



# OKLAHOMA EFFICIENCY REVIEW

FINAL

Department of Public Safety





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- II. Mandates Analysis
- III. Budget Process Analysis
- IV. Opportunities Analysis

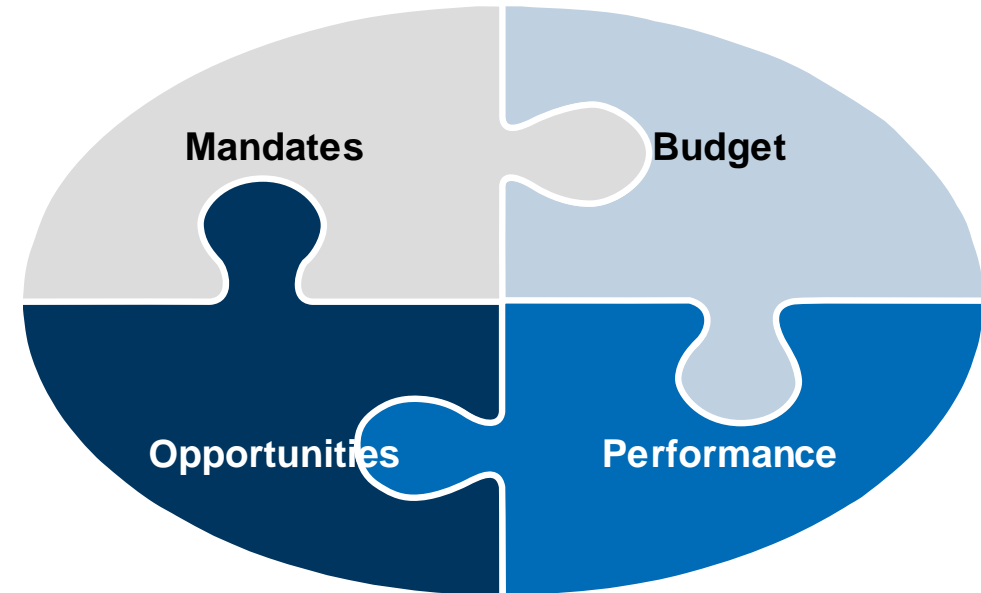


The A&M team organized its review of the Department to coincide with the four interconnected key drivers of efficiency.



## Summary of Approach

1. **Mandates:** Reviewed the titles and statutes governing the Department and its divisions to determine if these align with the functions or services provided by each division within the Department.
2. **Budget and Performance:** Reviewed the Department's current budget development process and assessed to what extent the Department utilizes performance measures to coincide with this process.
1. **Opportunities:** Identified opportunities for increasing the Department's efficiency in meeting its mission; provided estimates for investment or cost savings related to those opportunities.



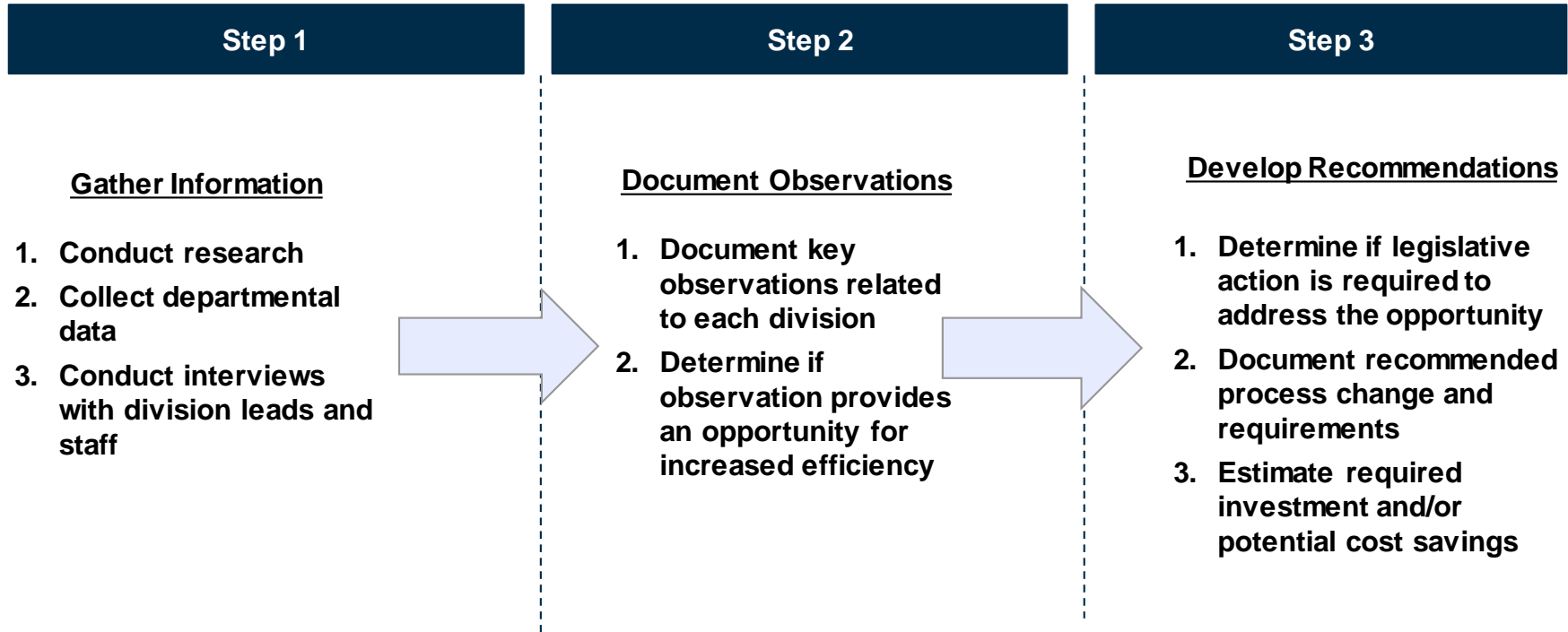
A thorough review of departmental mandates, budget process and performance measures is critical to determine opportunities for increased operational or financial efficiency.

# EXECUTIVE SUMMARY

The A&M team implemented the process below across each Department to document observations and develop recommendations for increased efficiency.



## Summary of Process



The A&M team applies its process and sub-steps across the Mandates, Budget and Opportunities Analyses, categorizing our findings as observations and recommendations.

A summary of our observations and recommendations are provided below and organized by report section.



| Summary of Findings        |                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                               |
|----------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Section                    | Observations                                                                                                                                                                                                                                                                                                                                                                                             | Recommendations                                                                                                                                                                                                                                                                                                                                                                               |
| 1. Mandates Analysis       | Based on initial analysis, all DPS lines of service are tied to a statute.                                                                                                                                                                                                                                                                                                                               | <b>A&amp;M recommends amending statutes related to records management and highway safety in order to codify creation of a DPS Informatics Division.</b>                                                                                                                                                                                                                                       |
| 2. Budget Process Analysis | The Department practices zero based budgeting through calculating costs for the upcoming fiscal year by holding review meetings with each division. Strategic priorities are set at the executive level but the department has included special requests for capital projects (such as physical maintenance to facilities) or other operational increases (such as pay raises or funding for academies). | <b>Performance-based budgeting: The Department should ensure that its strategic plan aligns with performance measures in addition to the strategic capital needs currently identified in the budget development process.</b>                                                                                                                                                                  |
| 3. Opportunities Analysis  | The Department needs stronger data management processes and analytical to demonstrate the impact of increased funding for personnel, increased performance, and the enhanced safety of Oklahoma residents. Additionally, the Department lacks a methodology for systematic replacement of fleet vehicles.                                                                                                | <b>The Department would benefit from an investment in an Informatics Division to support strategic data collection and analysis to drive evidence based decision making related to programmatic and financial investments. Additionally, the Department should implement a standardized method of vehicle replacement based on three criteria: vehicle age, mileage and maintenance cost.</b> |

# DEPARTMENT OF PUBLIC SAFETY – INVESTMENT AND SAVINGS

A summary of preliminary estimates for recommendations that require investment and yield cost savings is provided below.

| Opportunity                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | Investment         | Savings          | Net              | Legislative Action Needed |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|------------------|------------------|---------------------------|
| DPS should invest in an electronic submission and data management platform for the division Records Management.                                                                                                                                                                                                                                                                                                                                                                                                                                    | ---                | \$360,000        | \$360,000        | ✓                         |
| DPS should create a new internal division reporting directly to the Commissioner that would manage both records and data analytics for all internal divisions. This division should: <ul style="list-style-type: none"> <li>• Collaborate with each division to identify and then collect metrics that can be used to assess performance;</li> <li>• Maintain a dashboard of all DPS performance metrics; and</li> <li>• Drive a quarterly report to the Commission on progress toward short-term and long-term performance objectives.</li> </ul> | (\$150,000)        | ---              | (\$150,000)      | ✓                         |
| DPS should review for potential replacement vehicles that fall within the replacement criteria proposed by A&M.                                                                                                                                                                                                                                                                                                                                                                                                                                    | ---                | \$147,000*       | \$147,000*       |                           |
| <b>TOTAL</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <b>(\$150,000)</b> | <b>\$507,000</b> | <b>\$357,000</b> |                           |

\*Figure denotes maximum savings based on methodology outlined in Slides 39-43. More analysis is needed to determine whether inefficient vehicles recommended for replacement should be retained.



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# DEPARTMENT OF PUBLIC SAFETY MANDATES ANALYSIS



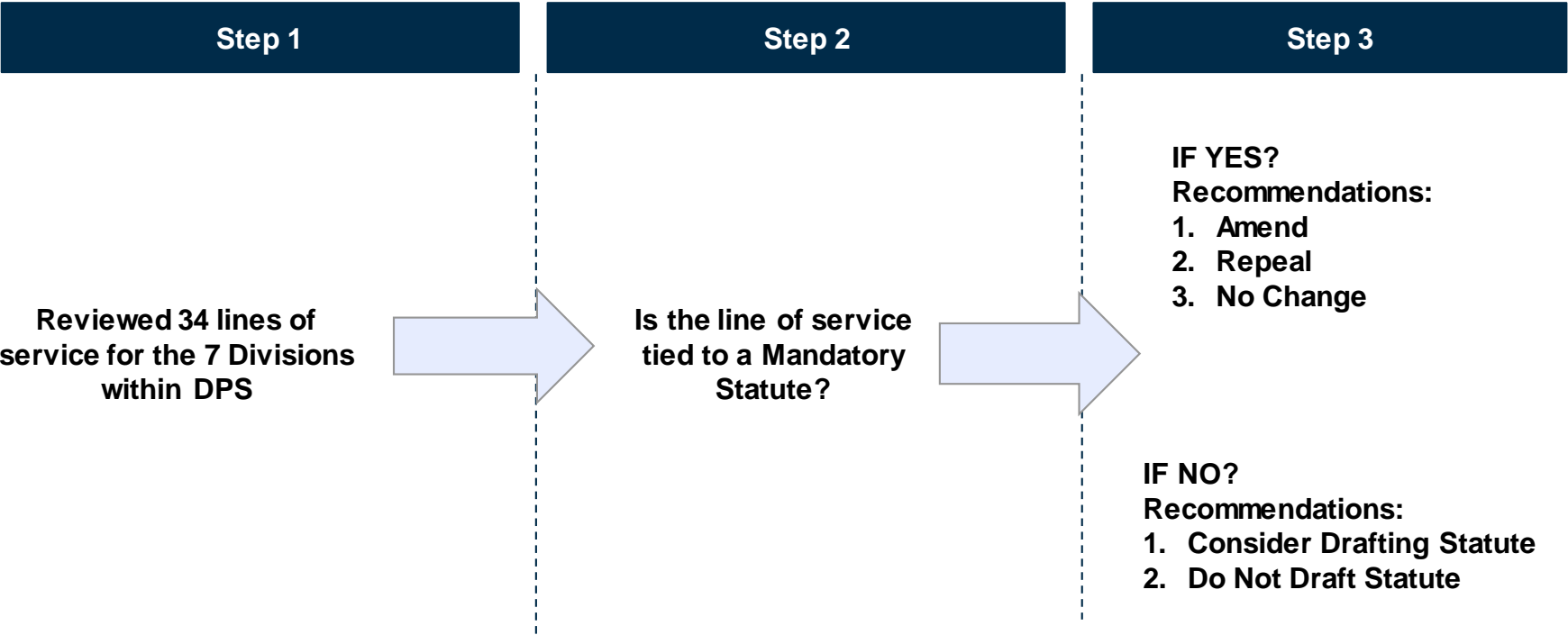


# DEPARTMENT OF PUBLIC SAFETY MANDATES ANALYSIS

A&M conducted a review of statutes related to the lines of service provided by the Department of Public Safety, following the process depicted below.



## Approach to Mandates Analysis



The A&M Review Process identifies lines of service that fall outside the scope of the Department’s mission through a review of both lines of service definitions and their associated statutes.

**A&M's review indicates that the lines of service provided by DPS are tied to statutes and within the scope of the Department's mission.**



## Summary of Findings

1. Based on initial analysis, all DPS lines of service are tied to a statute.
2. The team recommends two amendments to better align the statute's language to the Department's line of service.
3. The team recommends amending statutes related to records management and highway safety in order to codify creation of a DPS Informatics Division.

# DEPARTMENT OF PUBLIC SAFETY MANDATES ANALYSIS

## Administration

| Division            | Line of Service                   | Definition of Line of Service                                                                                                                                                                                                                    | Statute Check | Statute Action Recommended           | Reason                                                                                   |
|---------------------|-----------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|--------------------------------------|------------------------------------------------------------------------------------------|
| Admin-<br>istration | Property Management               | DPS Property Management performs routine maintenance on DPS buildings and generators.                                                                                                                                                            | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission.  |
|                     | Records Management                | DPS is required to deliver upon request a certified copy of any record of the Department for a fee of \$3 for each certified copy. Additionally, DPS is responsible for providing collision reports and abstracts of court records upon request. | YES           | Amend Statute                        | Update statute language to better align the line of service to the Department's mission. |
|                     | Size & Weight Permits             | DPS is responsible for issuing annual vehicle permits for the movement of oversize or overweight loads that cannot reasonably be dismantled.                                                                                                     | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission.  |
|                     | Transportation (Fleet Management) | DPS Transportation conducts purchasing, maintenance and modifications for all DPS vehicles and associated transportation machinery.                                                                                                              | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission.  |

Driver License Services

| Division                | Line of Service                               | Definition of Line of Service                                                                                                                                                         | Statute Check | Statute Action Recommended           | Reason                                                                                  |
|-------------------------|-----------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|--------------------------------------|-----------------------------------------------------------------------------------------|
| Driver License Services | Background Checks                             | DPS is responsible for maintaining information related to assessing individual criminal records, participation in a deferred sentence or deferred prosecution agreement for a felony. | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission. |
|                         | CDL Endorsement                               | DPS is responsible for issuing commercial driver licenses.                                                                                                                            | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission. |
|                         | Driver License ID Card Issuing and Revocation | DPS is responsible for the issuing, modification and/or revocation of OK driver licenses.                                                                                             | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission. |
|                         | Driver Tests                                  | DPS is responsible for conducting driving examinations required for an individual to obtain a driver license in OK.                                                                   | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission. |
|                         | Enforcement of Driver Responsibility Laws     | DPS is responsible for the enforcement of driver responsibility laws.                                                                                                                 | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission. |

Driver License Services and Highway Patrol

| Division                | Line of Service              | Definition of Line of Service                                                                                                                                | Statute Check | Statute Action Recommended           | Reason                                                                                  |
|-------------------------|------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|--------------------------------------|-----------------------------------------------------------------------------------------|
| Driver License Services | Fee Collection               | DPS is responsible for collecting fees associated with the services it provides.                                                                             | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission. |
|                         | Name Change Processing       | DPS is responsible for receiving and responding to notices of name change.                                                                                   | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission. |
|                         | Permit Transfers             | DPS is responsible for permit transfers associated with permitted OK vehicles.                                                                               | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission. |
|                         | Record and Report Management | DPS is responsible for filing and maintaining suitable indexes for every application for a driver license or identification card received by the Department. | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission. |
| Highway Patrol          | Identity Theft               | DPS HP is responsible for conducting investigations related to identity theft as a component of the fraudulent services investigatory unit.                  | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission. |
|                         | Bomb Squad                   | DPS HP is responsible for the training and provision of bomb security technicians.                                                                           | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission. |

Highway Patrol

| Division       | Line of Service                          | Definition of Line of Service                                                                                | Statute Check | Statute Action Recommended           | Reason                                                                                  |
|----------------|------------------------------------------|--------------------------------------------------------------------------------------------------------------|---------------|--------------------------------------|-----------------------------------------------------------------------------------------|
| Highway Patrol | Capitol Patrol                           | DPS HP is responsible for the patrol and safety of the OK State Capitol.                                     | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission. |
|                | Criminal Investigation                   | DPS HP is authorized to perform criminal investigations in all OK counties.                                  | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission. |
|                | Executive Security - Governor and Family | DPS HP is responsible for the security of the Governor and his/her immediate family.                         | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission. |
|                | Executive Security - Governor's Mansion  | DPS HP is responsible for the security of the Governor's Mansion.                                            | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission. |
|                | Executive Security - Lieutenant Governor | DPS HP is responsible for the security of the Lieutenant Governor.                                           | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission. |
|                | Highway Patrol Academies                 | DPS has the authority to conduct academies as funds are available for them and with approval of legislature. | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission. |

Highway Patrol



| Division       | Line of Service                      | Definition of Line of Service                                                                                  | Statute Check | Statute Action Recommended           | Reason                                                                                  |
|----------------|--------------------------------------|----------------------------------------------------------------------------------------------------------------|---------------|--------------------------------------|-----------------------------------------------------------------------------------------|
| Highway Patrol | Lake Patrol                          | DPS HP is responsible for the patrol and safety of all OK lakes.                                               | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission. |
|                | Recruitment and Training             | DPS HP is responsible for the recruitment and training of all highway patrol troopers.                         | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission. |
|                | Toll Road Traffic Law Enforcement    | DPS HP provides trooper patrol and law enforcement for all OK toll roads.                                      | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission. |
|                | Traffic Law Enforcement              | DPS HP provides trooper patrol, size and weight permit enforcement and law enforcement for all counties in OK. | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission. |
|                | Commercial Motor Vehicle Enforcement | DPS HP is responsible for the enforcement of regulations related to commercial motor vehicles.                 | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission. |

# DEPARTMENT OF PUBLIC SAFETY MANDATES ANALYSIS

## Highway Safety

| Division       | Line of Service                        | Definition of Line of Service                                                                                                                                                                | Statute Check | Statute Action Recommended           | Reason                                                                                  |
|----------------|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|--------------------------------------|-----------------------------------------------------------------------------------------|
| Highway Safety | Behavioral Analysis                    | DPS HSO is responsible for maintaining and analyzing data related to the behavior of OK drivers.                                                                                             | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission. |
|                | Data Management/ Modernization         | DPS HSO is responsible for investing in updated data tracking and management systems.                                                                                                        | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission. |
|                | Grant Administration                   | DPS HS is responsible for the administration of the NHTSA grant.                                                                                                                             | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission. |
|                | Traffic Records Coordinating Committee | DPS manages the Traffic Records Coordinating Committee. The committee includes members from multiple state agencies and makes recommendations associated with data collection and analytics. | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission. |
|                | Traffic Safety Program                 | DPS is responsible for maintaining a program to reduce traffic crashes and the resulting injuries, fatalities, and property damage.                                                          | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission. |



Homeland Security and Oklahoma Law Enforcement Telecommunications System (OLETS)



| Division          | Line of Service                                         | Definition of Line of Service                                                                                                                                                   | Statute Check | Statute Action Recommended           | Reason                                                                                  |
|-------------------|---------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|--------------------------------------|-----------------------------------------------------------------------------------------|
| Homeland Security | Homeland Security                                       | DPS hosts the Oklahoma Office of Homeland Security which is responsible for preparing the state to respond to terrorist attacks, natural disasters and technological incidents. | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission. |
| OLETS             | Local, State, and National Communication Infrastructure | DPS is responsible for maintaining OLETS.                                                                                                                                       | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission. |
|                   | CGIS Compliance                                         | DPS is responsible for ensuring compliance with the national Criminal Justice Information System.                                                                               | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission. |
|                   | Terminal Auditing                                       | DPS is responsible for auditing all terminals associated with CJIS.                                                                                                             | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission. |
|                   | User Certification                                      | DPS is responsible for certifying users who request terminal access to CJIS.                                                                                                    | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission. |

# DEPARTMENT OF PUBLIC SAFETY MANDATES ANALYSIS

## Comptroller



| Division    | Line of Service                  | Definition of Line of Service                                                                          | Statute Check | Statute Action Recommended           | Reason                                                                                  |
|-------------|----------------------------------|--------------------------------------------------------------------------------------------------------|---------------|--------------------------------------|-----------------------------------------------------------------------------------------|
| Comptroller | Budget Development and Oversight | DPS Comptroller develops the annual budget and tracks expenditures and revenues for all DPS divisions. | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission. |
|             | Procurement                      | DPS Comptroller manages procurement for all DPS divisions.                                             | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission. |
|             | Finance                          | DPS Comptroller manages expenditures and revenues for all DPS divisions.                               | YES           | No Change Recommended to the Statute | Statute reflects a line of service that currently aligns with the Department's mission. |



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# BUDGET PROCESS ANALYSIS



# BUDGET PREPARATION AND MONITORING

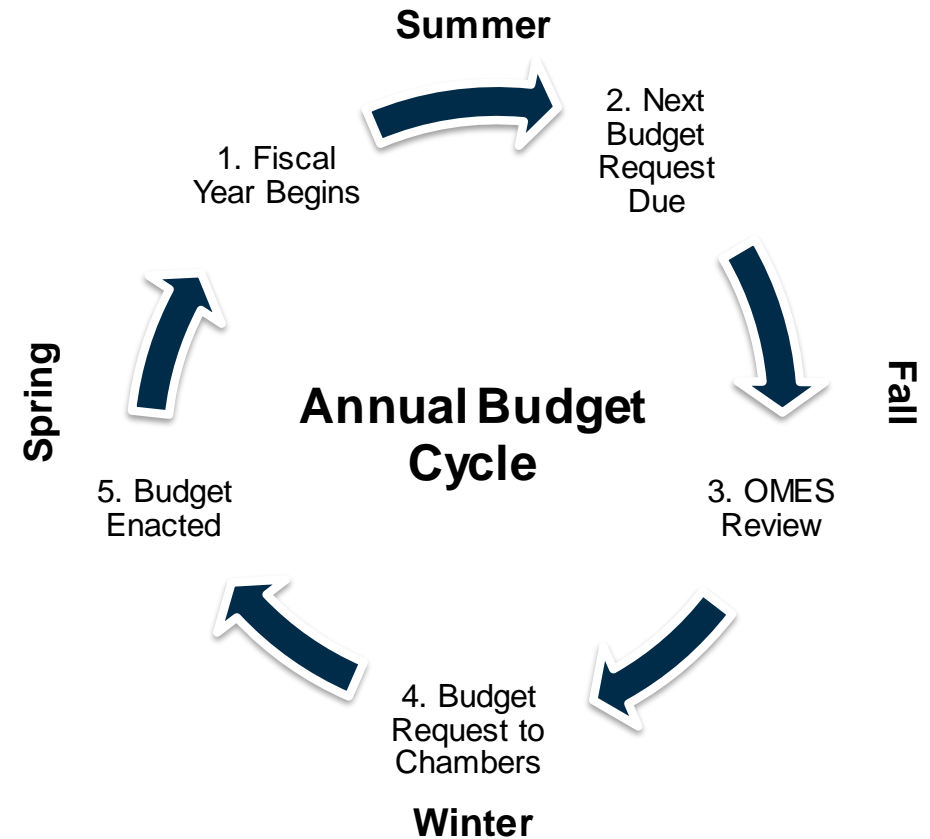
A&M recommends that budget preparation and monitoring coincide with the annual budget cycle.



## Overview

1. Budget preparation should begin at the beginning of the fiscal year (FY) to ensure the following steps are incorporated prior to sending to OMES for review:
  - *Analysis of previous FY's expenditures*
  - *Stakeholder engagement*
  - *Strategic planning*
  - *Review of performance measures by Division*
2. It is important to continue monthly budget to actual reporting (as outlined on the next slide) throughout the budget cycle.
3. Departments undergo various levels of budget preparation within the cycle as detailed in the observations and recommendations section of this report.

## Figure 1. Annual Budget Cycle



# OVERVIEW OF PERFORMANCE-BASED BUDGETING

A&M recommends that each department adopt performance-based budgeting (PBB), a strategy to improve budgeting and ensure that tax dollars are spent efficiently and effectively.

| #  | Budget Strategies              | Description                                                                                                                                                                                                                                                                                                          | Benefits                                                                                                                                                                                                       | Drawbacks                                                                                                                                     |
|----|--------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------|
| 1. | <b>Incremental (IB)</b>        | The traditional approach to governmental budgeting where the current year's budget becomes the basis for the next year's spending plan, and the majority of the organization's analytical and political attention focuses on how to modify this year's spending plan based on revenues anticipated in the next year. | An incremental approach is workable, if suboptimal, in periods of reasonably stable expenditure and revenue growth because the current level of expenditures can be funded with relatively little controversy. | In budget-constrained environments, does not provide a prioritized view of the Department's budget needs that is tied to mission or outcomes. |
| 2. | <b>Zero-based (ZBB)</b>        | Budget built from the ground up, starting from zero. ZBB promises to move the organization away from incremental budgeting, where last year's budget is the starting point. Instead, the starting point becomes zero, with the implication that past patterns of spending are no longer taken as a given.            | In theory, the organization's entire budget needs to be justified and approved, rather than just the incremental change from the prior year.                                                                   | Requires rigorous analysis to complete budget development every cycle without tying the request to the Department's mission or outcomes.      |
| 3. | <b>Performance-based (PBB)</b> | Requires Departments to estimate the funding levels needed to meet prioritized outcomes tied to the Department's mission.                                                                                                                                                                                            | Enables budget decision making that is tied to performance and workload drivers such that cuts or increases in the budget can be measured in terms of outcomes that are trying to be achieved.                 | <b><i>Requires commitment and coordination across the Department, the Executive Budget Office, and Legislature.</i></b>                       |

# OVERVIEW OF PERFORMANCE-BASED BUDGETING

**A&M recommends that each Department adopt performance-based budgeting (PBB), a strategy to improve budgeting and ensure that tax dollars are spent efficiently and effectively.**



| Characteristics                                                                                                                                                                                                                                                                                                                                                             | Outcomes                                                                                                                                                                                                                                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <ol style="list-style-type: none"><li>1. Incorporates a long-term perspective;</li><li>2. Establishes linkages to broad organizational goals;</li><li>3. Focuses budget decisions on results and outcomes;</li><li>4. Involves and promotes effective communication with stakeholders; and</li><li>5. Provides incentives to government management and employees.</li></ol> | <ol style="list-style-type: none"><li>1. The development of organizational goals;</li><li>2. Establishment of policies and plans to achieve these goals; and</li><li>3. Allocation of resources through the budget process that are consistent with goals, policies, and plans.</li></ol> |

Performance-based budgeting focuses more on outcomes than traditional budgeting.

# STEPS TO IMPLEMENT

Performance-based budgeting is a strategy to improve budgeting and ensure that tax dollars are spent efficiently and effectively.



| #  | Step                                                        | Description                                                                                                                                                                                                                                                                                                                                                                                                                      |
|----|-------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. | Adopt legislation supporting performance-based budgeting    | Research shows that when there is a law supporting performance budgeting, there is stronger support and smoother implementation (e.g. State agencies are directed to develop strategic plans for their agency which are then included in the budget process).                                                                                                                                                                    |
| 2. | Incorporate strategic plans developed by the Department     | Agency strategic plans should be included in the budget process. For example, the strategic plan should describe an agency's goals and how proposed resource allocations contribute to the accomplishment of those goals.                                                                                                                                                                                                        |
| 3. | Develop and deploy Department performance measures          | The quality of the measures produced have an important impact on whether performance budgeting works. If the state develops a program inventory, it can begin to develop measures for its programs. An executive order could be used to define a measurement system needed to support a performance budgeting approach while the state takes the time to develop a thorough and thoughtful law supporting performance budgeting. |
| 4. | Develop implementation plan for performance-based budgeting | The legislative statute shouldn't define the precise details of a performance budgeting process. These details will need to be designed by administrators. The development of a performance measurement statute will help define some of the features of the process.                                                                                                                                                            |
| 5. | Consider developing statewide goals and priorities          | It is more practical to set goals and plans for each agency than it is for the state government as a whole. However, the absence of statewide goals limits the potential benefit of a performance budgeting system. This is because if there are no statewide goals, there is no context to judge the relative merit of one program versus another across state agencies.                                                        |



# CHALLENGES

State agencies face challenges in effectively implementing performance-based budgeting.



| Challenges                                                                                                                                                                                                                                 | Solutions                                                                                                                                                                                                              |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. Data collection is critical to <b>successfully implementing</b> performance-based budgeting; availability and quality of data across Department programs often requires investment to improve before a PBB process can be put in place. | 1. The legislature and Department need to align on required technology investment(s) to establish a technology platform and processes that will capture and ensure quality of data.                                    |
| 2. Departments need to <b>develop strategic plans and performance measures</b> to align with budget development; these are time-intensive exercises for which budget officers do not have the authority to coordinate.                     | 2. Stakeholders across the Department, executive administration, and legislature need to align on the Department's strategic plan and its incorporation into the budget request in order for a PBB process to succeed. |
| 3. Many state governmental departments that have adopted PBB do not <b>see the benefits</b> in continuing the process year over year; state legislatures who have mandated this process do not necessarily tie it to budget decisions.     | 3. The legislature must commit to incorporating the principals of a PBB into the budget review process and clearly tie decisions driving allocation of funding across Departments and their divisions to this process. |

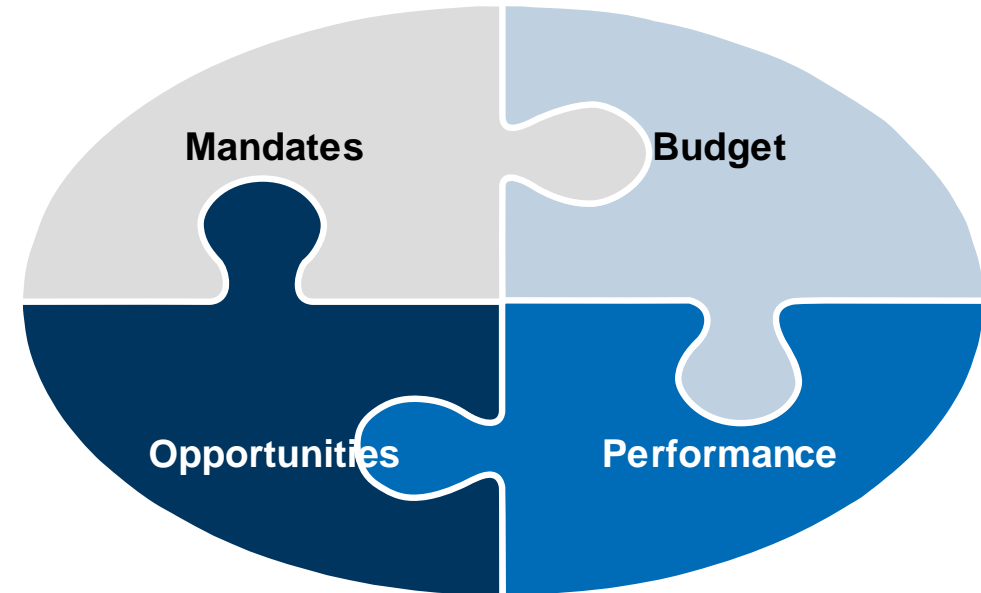
# BIG PICTURE

The budget process should align with a clear view of what services each division is mandated to deliver and include a review of performance measures for these services. This is exactly the scope of the APAC statement of work.



## Summary

1. The budget development process should always provide an opportunity for the Department to review their organization's mandates and prioritize the needs of each Division to meet those mandates; PBB is designed to do just that.
2. Further, Divisions should utilize the budget development process as an opportunity to tie historical expenditures and requested funding to their state performance measures and outcomes.
3. All stakeholders responsible for driving the budget development process (the Department's budget and Divisional leadership, the executive budget office, the Legislature) must weigh opportunities for additional investment and/or cost savings measures against the performance measures of the Department.





Summary of Observations and Recommendations of the Budget Process

| Category                         | Observation                                                                                                                                                                                                                                                                                                                                                                                                                                        |
|----------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Organization and Staffing</b> | <p>The Department should ensure that its strategic plan aligns with performance measures in addition to the strategic needs currently identified in the budget development process.</p> <p>Budget development and monitoring are conducted by the Comptroller.</p>                                                                                                                                                                                 |
| <b>Budget Development</b>        | <p>The Department practices zero based budgeting by calculating costs for the upcoming fiscal year by holding review meetings with each division. Strategic priorities are set at the executive level and are the focus of the budget request but the Department has included special requests for capital projects (such as physical maintenance to facilities) or other operational increases (such as pay raises or funding for academies).</p> |
| <b>Budget Monitoring</b>         | <p>The Comptroller conducts monthly budget to actual reporting at the division level.</p>                                                                                                                                                                                                                                                                                                                                                          |

The Department should ensure that its strategic plan aligns with performance measures in addition to the strategic needs identified in the budget development process.



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# DEPARTMENT OF PUBLIC SAFETY OPPORTUNITIES

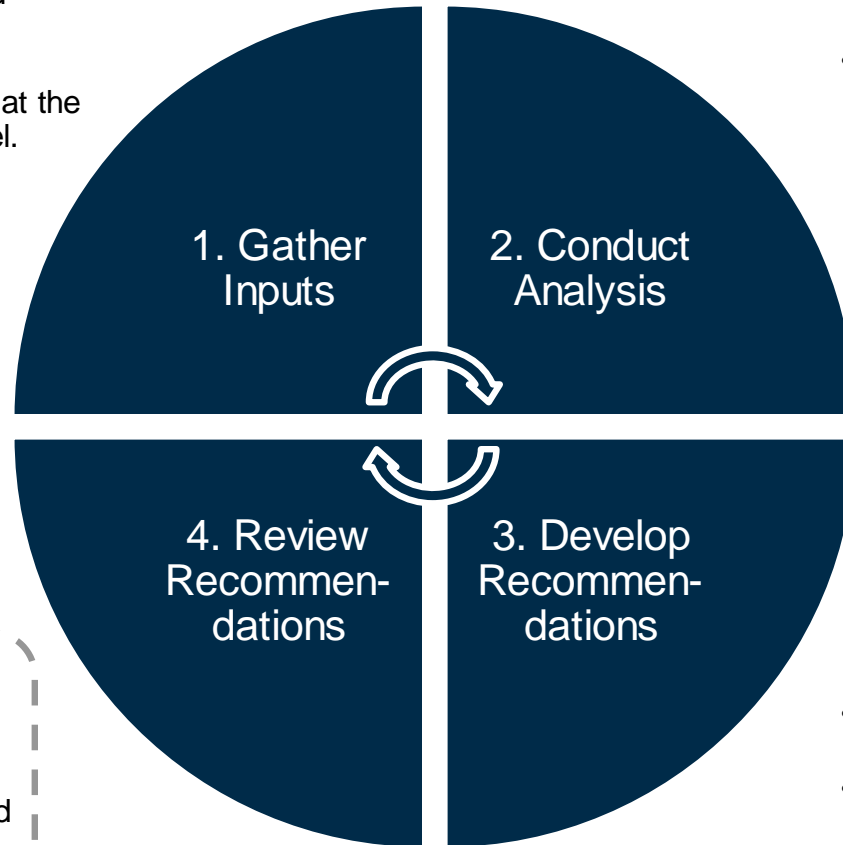


A&M is following an iterative process for developing recommendation opportunities for the Department of Public Safety.



## Recommendations Development Process

- Issue Data Requests and Conduct Interviews with Department Directors.
- Ensure Data is Provided at the Program or Division Level.



- Formulate Observations and Begin Conducting Analyses.
- Include analysis on Mandates, Budget Process, and Other Areas for Improvement.

### CURRENT STATUS

- Review Draft Recommendations and supporting Analysis with Departments.
- Incorporate feedback and changes as appropriate.

- Draft Opportunities with Supporting Analysis.
- Gather Additional Inputs as Needed (repeat steps 1 and 2).

### Department of Public Safety Divisions

- Driver License Services
- Highway Patrol
- Highway Safety
- Records Management
- Comptroller
- Property Management
- Fleet Management

## A&M identified cost savings and investment opportunities associated with DPS staffing, fleet utilization, and data management.



### Summary of Recommendations

1. The Department of Public Safety should prioritize investment in enhanced communication systems for troopers.
1. Streamline grant management processes.
2. Generate approximately \$200K annually in cost savings by eliminating unfilled Driver License Services vacancies.
3. Establish an Informatics Division which reports to the Commissioner.
4. Generate \$147K in revenue by surplusizing vehicles that fall within the replacement criteria proposed by A&M.
5. Analyses related to observation of investment required to filling vacant positions in Highway Patrol and Driver Licenses Services are included. At this time, A&M will not recommend filling these vacancies as there is no identifiable cost savings offset or performance improvement benefit associated with the expense.

# DEPARTMENT OF PUBLIC SAFETY – INVESTMENT AND SAVINGS

A summary of preliminary estimates for recommendations that require investment and yield cost savings is provided below.

| Opportunity                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | Investment       | Savings          | Net              | Legislative Action Needed? |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|------------------|------------------|----------------------------|
| DPS should invest in an electronic submission and data management platform for the division Records Management.                                                                                                                                                                                                                                                                                                                                                                                                                                    | ---              | \$360,000        | \$360,000        | ✓                          |
| DPS should create a new internal division reporting directly to the Commissioner that would manage both records and data analytics for all internal divisions. This division should: <ul style="list-style-type: none"> <li>• Collaborate with each division to identify and then collect metrics that can be used to assess performance;</li> <li>• Maintain a dashboard of all DPS performance metrics; and</li> <li>• Drive a quarterly report to the Commission on progress toward short-term and long-term performance objectives.</li> </ul> | (\$150,000)      | ---              | (\$150,000)      | ✓                          |
| DPS should review for potential replacement vehicles that fall within the replacement criteria proposed by A&M.                                                                                                                                                                                                                                                                                                                                                                                                                                    | ---              | \$147,000*       | \$147,000*       |                            |
| <b>TOTAL</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <b>\$150,000</b> | <b>\$507,000</b> | <b>\$357,000</b> |                            |

\*Figure denotes maximum savings based on methodology outlined in Slides 39-43. More analysis is needed to determine whether inefficient vehicles recommended for replacement should be retained.





Driver License Services

| Division                | Function             | Observations                                                                                                                                                                                                               | Recommendations                                                                                                                                                                                                                                                                                                                          |
|-------------------------|----------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Driver License Services | Office Consolidation | The statutory requirement to ensure DLS facilities are no more than 100 miles from a resident is driving up operational costs.                                                                                             | Explore opportunities to consolidate DLS offices or implement a mobile office program. DPS has previously scoped out models to reduce offices yet maintain adherence to the mandate for access to services. The legislature would need to support implementation of the model as a mechanism of reducing cost and increasing efficiency. |
|                         | Personnel            | DLS has 25 vacancies: 19 of those positions are currently unfunded.                                                                                                                                                        | Reduce vacant positions within DLS from 15% of total employees to 9% (reduction of 10 unfunded vacancies).                                                                                                                                                                                                                               |
|                         | Grant Management     | N/A                                                                                                                                                                                                                        | Establish a grant management protocol that follows the DAC grant and budget management process for all DPS departments receiving federal funds.                                                                                                                                                                                          |
|                         | Data Management      | DLS recently implemented a tracking system to allow the division to track customer wait times. DLS modernization efforts include projects to increase quality of customer service by decreasing wait times at DLS offices. | Implement performance measures for DLS wait times, and establish a quality assurance and improvement plan to support reaching identified performance targets.                                                                                                                                                                            |



Driver License Services and Oklahoma Highway Patrol

| Division                       | Function                   | Observations                                                                                                                                                                                                                                                                                         | Recommendations                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
|--------------------------------|----------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Driver License Services</b> | OMES Communications        | There are points in the existing contract approval process where OMES intervenes and provides direction to agencies. However, at times this intervention slows the contract process and inhibits DPS from executing on their mission.                                                                | Consider assessing the balance between the degree of service the agency is attempting to provide and the degree of direction set by servicing agencies like OMES.                                                                                                                                                                                                                                                                                                                                          |
| <b>Oklahoma Highway Patrol</b> | Interagency Communications | Troopers are challenged to communicate efficiently with troop HQs due to outdated communication systems. In order to expand the 800MZ system statewide to all law enforcement agencies, DPS would need millions to build additional infrastructure like towers to expand the range of the frequency. | <p>Assess opportunities to model communication and organizational alignment efforts of states like Texas and Arkansas to drive collaboration between Oklahoma’s law enforcement agencies.</p> <p>Improve the communication system used by troopers for adequate communication between headquarters and patrols, particularly in rural areas. DPS needs to build 37 additional towers in order to have statewide coverage. Each tower is estimated to cost \$1 million to build and \$500K to maintain.</p> |
|                                | Personnel                  | According to the Division, Highway Patrol loses potential recruits to other law enforcement agencies because it does not offer a competitive salary.                                                                                                                                                 | Conduct a compensation study to determine the appropriate base salary for troopers and ensure that salary is competitive with that of comparable positions at other law enforcement agencies. DPS has a model for increasing compensation of troopers but has not put it forward due to the recent budget climate.                                                                                                                                                                                         |

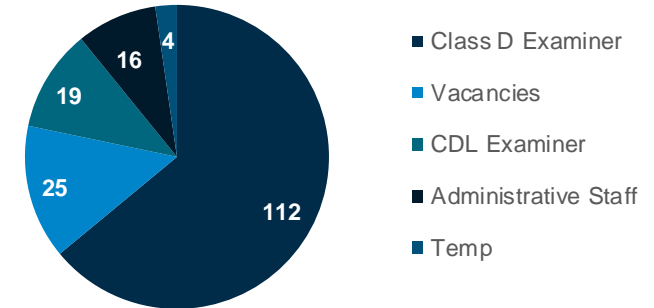
# DEPARTMENT OF PUBLIC SAFETY – DLS VACANT POSITIONS OBSERVATION

Fully funding the Driver License Testing division would require an annual investment of up to \$1.3M and is not associated with an identifiable performance improvement or cost savings opportunity.

## Targeted Observations:

- Based on FY19 payroll data, there are currently 147 FTE in DLS
- Within the Drivers License Services Division, the statewide issuance of driver license and identification cards under Driver License Testing (a sub-division) is comprised of primarily Class D and CDL examiners.
- Using an average Drivers License Testing total salary (direct salary + benefits) of \$66,677\*, the cost of fully funding currently unfunded vacancies would be \$1,266,858.33.
- At this time, A&M will not recommend filling these vacancies as there is no identifiable cost savings offset or performance improvement benefit associated with the expense.

Figure 1. DLS Employee Chart



| Driver License Services |               |                       |                         |                            |
|-------------------------|---------------|-----------------------|-------------------------|----------------------------|
| % FTE funded            | All vacancies | Funded Vacancies Only | Unfunded Vacancies Only | To Fill Unfunded Vacancies |
| 10%                     | 2.5           | 1                     | 1.5                     | \$100,015.13               |
| 25%                     | 6.5           | 1.5                   | 5                       | \$333,383.77               |
| 50%                     | 12.5          | 3                     | 9.5                     | \$633,429.16               |
| 75%                     | 19            | 4.5                   | 14.5                    | \$966,812.93               |
| 100%                    | 25            | 6                     | 19                      | \$1,266,858.33             |

Note: Average salary was calculated based on FY19 payroll data submitted by the Comptroller's Office within DPS.

Note: The 147 FTE includes filled and funded vacancies but excludes unfunded vacancies and temp positions.

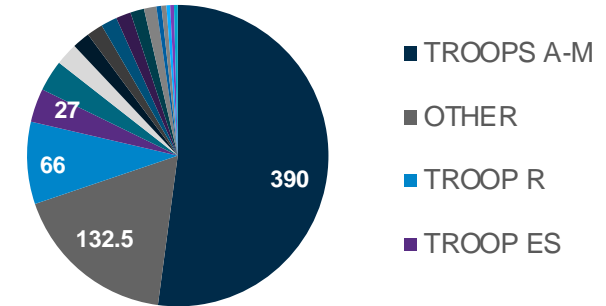
# DEPARTMENT OF PUBLIC SAFETY – OHP VACANT POSITIONS OBSERVATION

Fully funding the Oklahoma Highway Patrol would require an annual investment of up to \$1.9M and is not associated with an identifiable performance improvement or cost savings opportunity.

## Targeted Observations:

- Based on FY19 payroll data, there are currently 790 FTE in OHP.
- The Oklahoma Highway Patrol struggles to offer a competitive salary for new recruits.
- Using an average OHP total salary (direct salary + benefits) of \$84,591\*, the cost of fully funding currently unfunded vacancies would be \$1,860,998.69.
- OHP has stated that their target goal is to reach 970 FTEs. A breakdown of costs to reach this target FTE goal can be found below.
- At this time, A&M will not recommend filling these vacancies as there is no identifiable cost savings offset or performance improvement benefit associated with the expense.

Figure 2. OHP Employee Chart



## Oklahoma Highway Patrol Cost Associated with Reaching 970 FTE Goal

| % FTE funded | All vacancies | Funded Vacancies Only | Unfunded Vacancies Only | Target FTE Goal* | To Fill Unfunded Vacancies | To reach/fill Target FTE Goal* |
|--------------|---------------|-----------------------|-------------------------|------------------|----------------------------|--------------------------------|
| 10%          | 4.5           | 2                     | 2.5                     | 22.5             | \$211,477.12               | \$190,329.41                   |
| 25%          | 10.5          | 5                     | 5.5                     | 55.5             | \$465,249.67               | \$1,173,698.04                 |
| 50%          | 20.5          | 9.5                   | 11                      | 110.5            | \$930,499.35               | \$4,673,644.44                 |
| 75%          | 31            | 14.5                  | 16.5                    | 165.5            | \$1,395,749.02             | \$10,499,839.21                |
| 100%         | 41            | 19                    | 22                      | 220.5            | \$1,860,998.69             | \$18,652,282.35                |

Note: Average salary was calculated based on FY19 payroll data submitted by the Comptroller's Office within DPS.



Oklahoma Highway Safety Office (OHSO) and Property Management

| Division                              | Function            | Observations                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | Recommendations                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|---------------------------------------|---------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Oklahoma Highway Safety Office (OHSO) | Indirect Cost       | Highway Safety has no standard indirect cost rate for grant subcontractors.                                                                                                                                                                                                                                                                                                                                                                                                  | Implement a 12% maximum standard indirect cost rate for all DPS subcontractors. This is a practice used in other states to ensure that taxpayer dollars passed through a state department to a community based organization or nonprofit are invested in the community vs. organizational overhead.                                                                                                                                                                            |
|                                       | Data Management     | There is a two year lag in traffic record data.<br>OSBI has an electronic reporting system called OTIS that is working well for some highway safety programs. HSO is in the process of converting its existing system, PARIS, to OTIS.                                                                                                                                                                                                                                       | Implement an electronic data submission and management system for all data received by OHSO.                                                                                                                                                                                                                                                                                                                                                                                   |
| Property Management                   | Property Management | The DPS property management team provides routine maintenance but is not equipped to conduct comprehensive preventative maintenance on DPS buildings. Preventive maintenance is limited to generators and troop headquarters.<br>DPS does not maintain an inventory of all properties that tracks maintenance needs. DPS has considered implementing inventory management systems for property management but has found the per person user licensing fees cost prohibitive. | Create a simple excel based inventory of all DPS properties that tracks maintenance activities, cost associated with those activities, and unmet maintenance needs. Use this inventory to drive funding requests associated with preventive maintenance of high expense items (ex. HVAC and generator replacement).<br>Define and quantify the financial and safety risks associated with not being able to complete comprehensive preventative maintenance on DPS properties. |



Transportation (Fleet Management)

| Division                                        | Function                                 | Observations                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | Recommendations                                                                                                                                                                                                                                                                                              |
|-------------------------------------------------|------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><b>Transportation (Fleet Management)</b></p> | <p>Access to M5 Modules and Training</p> | <p>DPS is moving to AssetWorks M5 for improved fleet inventory and maintenance management which will significantly improve fleet tracking, as current tracking is conducted by paper and a dated DOS-based system. Migration to M5 will help address the following issues:</p> <ul style="list-style-type: none"> <li>• <b>Tracking:</b> DPS fleet vehicle locations are currently only tracked at the county level. More precise vehicle tracking helps inform opportunities for cost savings, such as consolidating administrative and local vehicles into motorpools.</li> <li>• <b>Field Expenses:</b> Historically there has not been a standard tracking system in place at the troop level for maintenance performed on a vehicle by a subcontractor or through a purchase order. This puts the agency at risk for potential abuse of maintenance reimbursements.</li> <li>• <b>Maintenance:</b> Costs of fuel, maintenance, and new vehicle parts are consolidated in one calculation. It is not possible to accurately track the change in maintenance costs as a vehicle ages.</li> </ul> | <p>Assess the ability of current M5 modules and identify funding to expand the modules to those needed to appropriately track fleet inventory.</p> <p>DPS should ensure that all individuals assigned to M5 should have the ability to not only use M5 comfortably but also explain it to new personnel.</p> |



Transportation (Fleet Management)

| Division                                        | Function                                   | Observations                                                                                                                                                                                                                                                                                                   | Recommendations                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
|-------------------------------------------------|--------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><b>Transportation (Fleet Management)</b></p> | <p>Replacement Criteria and Adjustment</p> | <p>DPS does not have a replacement criteria for fleet vehicles. Vehicles are presently assessed for replacement on a case-by-case basis, with trooper vehicles replaced at 130,000 miles. The ability to replace fleet vehicles is primarily driven by the DPS annual budget allocated by the legislature.</p> | <p>DPS should establish clear replacement criteria for all fleet vehicles. In particular, OHP trooper vehicles should be replaced at 100,000 miles (the mileage ceiling after which the vehicle is no longer covered under warranty) instead of 130,000 miles. DPS should conduct a cost assessment to determine whether the cumulative maintenance costs of OHP vehicles over 100,000 miles can be offset by a more aggressive replacement criteria.</p> <p>Based on A&amp;M's suggested replacement criteria, DPS should prioritize replacing 45 vehicles (3.3% of total fleet). The 45 vehicles identified for replacement are in addition to the 109 vehicles that the Transportation Division has currently categorized for review.</p> <ul style="list-style-type: none"> <li>• Vehicles recommended for replacement represent the top 25% oldest and costliest vehicles when compared to other vehicles assigned to the same troop.</li> <li>• Of the 45 vehicles, 11 fall outside of OHP and should also be assessed for defleeting/pooling.</li> </ul> |
|                                                 | <p>Vehicle Pooling</p>                     | <p>The majority of vehicles managed by the Transportation Division are assigned to the Oklahoma Highway Patrol on a 1:1 basis, but opportunities for pooling have not been fully explored for other vehicles.</p>                                                                                              | <p>Currently, only 15 of 105 civilian vehicles concentrated in the OKC region are designated pool units. DPS should conduct a categorical assessment of civilian vehicles to determine whether more vehicles can be pooled.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |

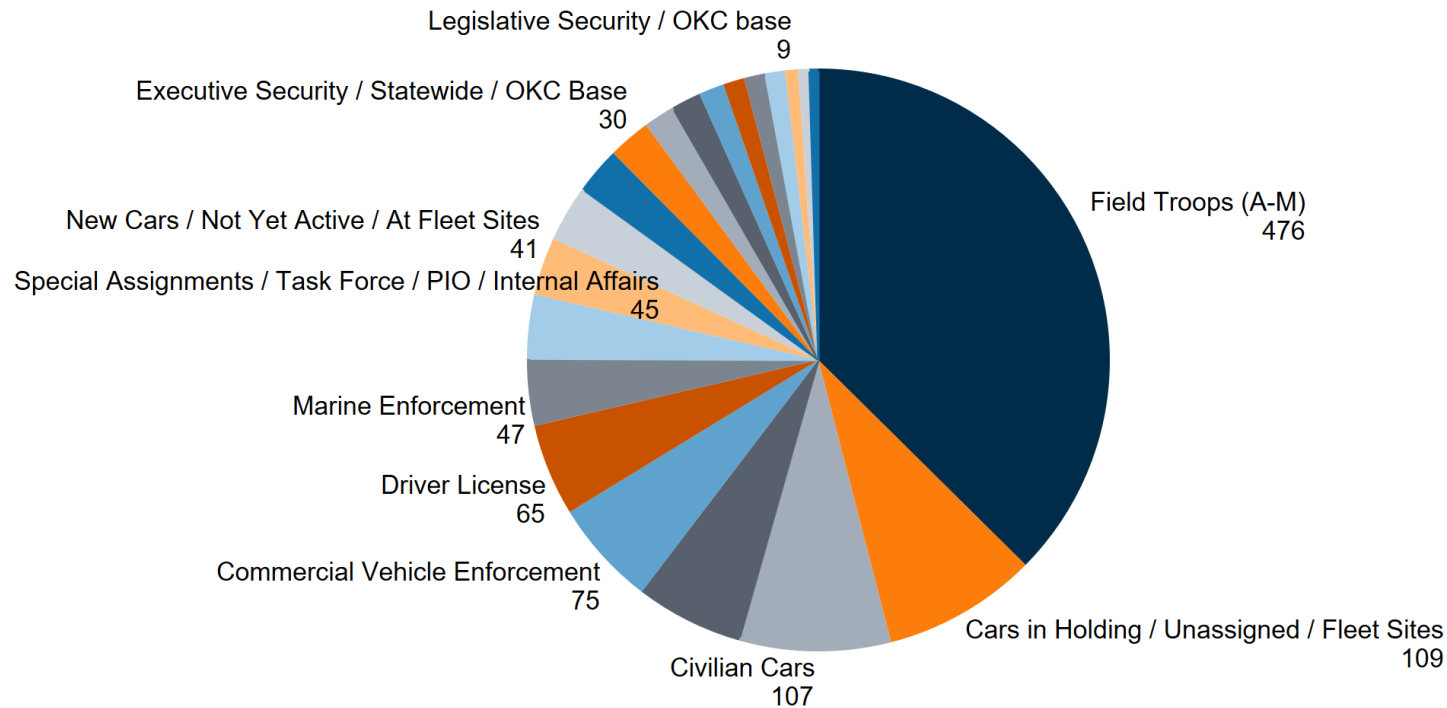
# OVERVIEW OF DEPARTMENT OF PUBLIC SAFETY FLEET ANALYSIS

The DPS Transportation Division maintains a fleet of 1,346 vehicles, the majority of which are assigned to or operated by the Oklahoma Highway Patrol.



**Figure 3. Breakdown of DPS Fleet Vehicles by Troop Description**

A majority of fleet vehicles (35.6%) are assigned to troopers in Troops A-M spread among counties across Oklahoma.





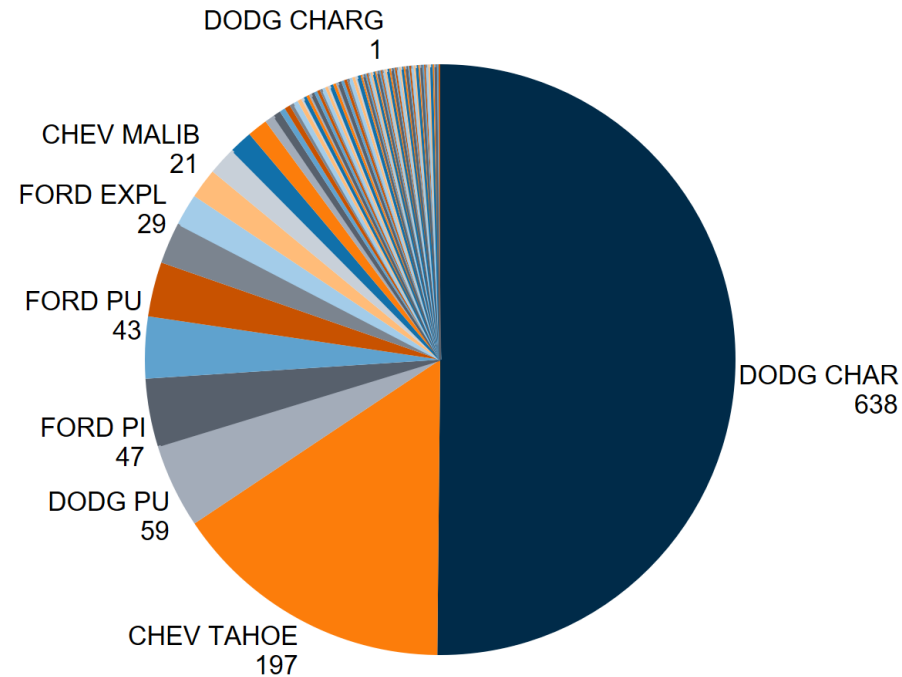
# OVERVIEW OF DEPARTMENT OF PUBLIC SAFETY FLEET ANALYSIS

The majority of DPS' fleet is comprised of two types of vehicles.



Figure 4. Breakdown of DPS Fleet Vehicles by Make and Model

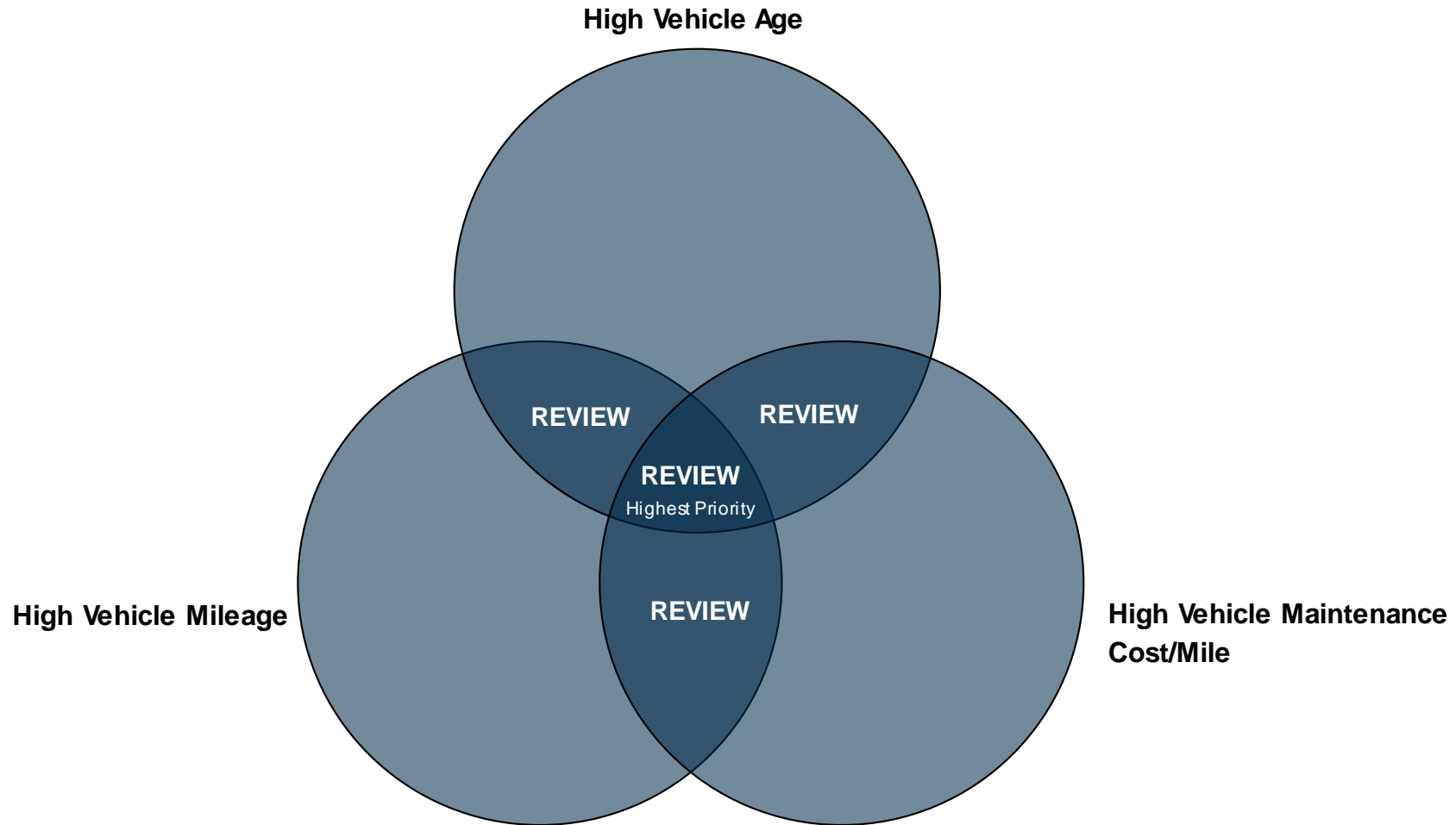
Over 60% of the DPS fleet is comprised of two makes and models – Dodge Chargers and Chevy Tahoes.



A&M recommends that DPS replace vehicles that have accumulated high mileage, are costly, and are older than average. Vehicles that fall into two of three categories should be reviewed on a case-by-case basis.



**Figure 5. Methodology Used to Identify Vehicles for Replacement or Review**

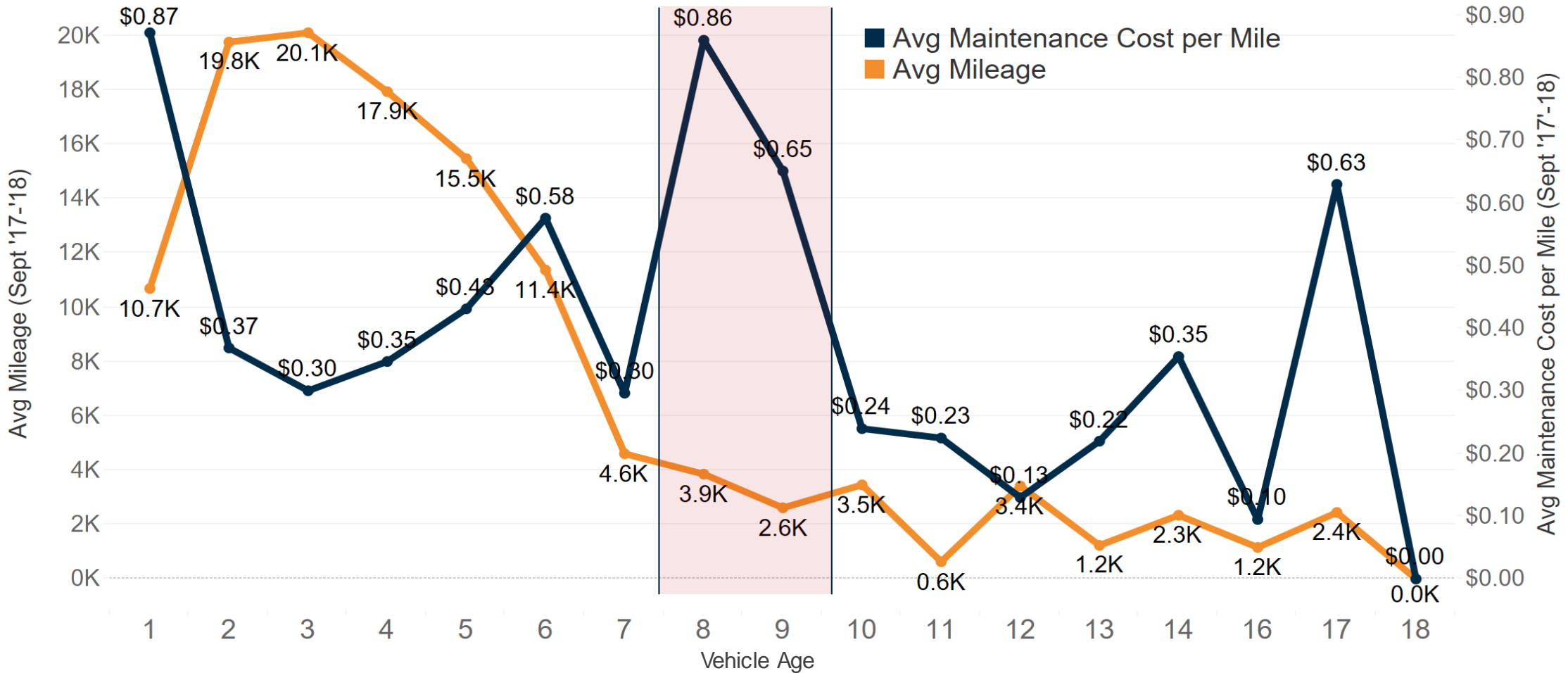


# DEPARTMENT OF PUBLIC SAFETY REPLACEMENT CRITERIA

Of the 476 Troops A-M vehicles, those that reach eight years of age incur significant maintenance costs per mile and should be assessed for review or replacement. In general, vehicles should be periodically reviewed for outliers in maintenance costs.



**Figure 6. Average Maintenance Cost per Mile and Mileage for Troops A-M (Sept 2017 – 2018)**



# DEPARTMENT OF PUBLIC SAFETY REPLACEMENT CRITERIA

Of all 1,346 fleet vehicles, DPS can reduce up to \$737,000 in maintenance fees over five years (\$147,000 annually) by replacing or de-fleeting 45 vehicles that have high mileage, are costly, and are older than average.

Figure 7. Average Maintenance Cost of Vehicles within each Troop Recommended for Review



Note: The threshold for vehicles recommended for deletion must meet the cost AND age AND mileage criteria.



Records Management and Comptroller

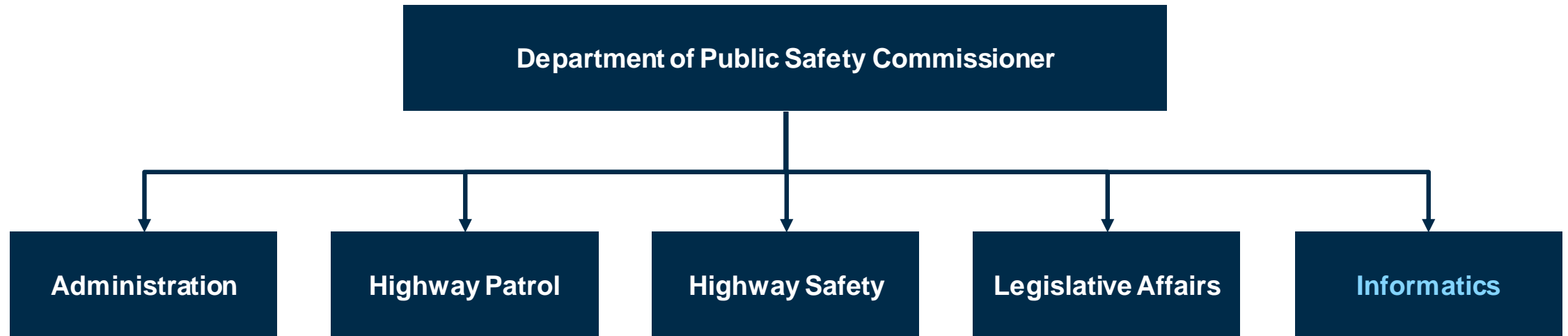
| Division                  | Function                     | Observations                                                                                                                                                                                                                                                                                                                  | Recommendations                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
|---------------------------|------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Records Management</b> | Data Management              | <p>DPS receives some data in hard copy that must be manually entered into a database management system.</p> <p>DPS Records Management and Highway Safety are both manually entering data into database management systems.</p> <p>DPS has no centralized office for performance measurement and data analytics.</p>           | <p>Create a new department within DPS that reports directly to the Commissioner and manages both records and data analytics for all DPS divisions. This division should maintain a dashboard of all DPS performance metrics and drive a quarterly report to the Commissioner on Division level progress toward short and long term performance objectives. This recommendation addresses previously described overlap between the Records Management Division and Highway Safety Office.</p> |
| <b>Comptroller</b>        | Financial Management         | <p>DPS does not have a clear financial management strategy for each division under the purview of the Comptroller.</p>                                                                                                                                                                                                        | <p>Consider utilizing enhanced PeopleSoft reporting modules to increase transparency of budget information and regular reporting and tracking of key budget performance measures.</p>                                                                                                                                                                                                                                                                                                        |
|                           | Payroll & Overtime Estimates | <p>DPS is assessing opportunities to implement a new accounts receivable and point of sale system. The current accounts receivable system included in the OMES PeopleSoft implementation does not have a point of sale system that is compatible with DLS documentation and processing needs for conducting driver exams.</p> | <p>Conduct quarterly monitoring of compensatory time within the Highway Patrol Division to identify opportunities to convert overtime spending into funded FTE.</p>                                                                                                                                                                                                                                                                                                                          |

# DEPARTMENT OF PUBLIC SAFETY OPPORTUNITIES

Establish a division within DPS that reports directly to the Commissioner and manages both records and data analytics for all DPS divisions.



Figure 8. Recommended Placement of an Informatics Division within DPS





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