

Federal/Non-Federal Grants Review and Approval

Executive Appropriations Committee, May 13, 2020

	<i>a</i>	<i>b</i>	<i>c</i>	<i>d</i>	<i>e</i>	<i>f</i>	<i>g</i>
	Term	Agency	Grant Name	Grant Amount	State Match	New FTE	Detail Reference
<u>Grants Requiring EAC Review and Recommendation</u>							
Federal Grants							
1	New	Environmental Quality	Department of Defense Cooperative Agreement	\$ 1,408,449	\$ -	-	p. 15, row 1
2	New	Health*	Utah Integrated Network for Falls Prevention	\$ 388,389	\$ -	-	p. 15, row 2
3	New	Health	Tobacco Control Program, Component 1	\$ 1,500,000	\$ -	-	p. 15, row 3
4	New	Human Services	PREA Grant -Federal assistance to fund agency efforts to implement the Prison Rape Elimination Act S	\$ 197,342	\$ 198,960	-	p. 15, row 4
5	New	Natural Resources*	Regulation of surface effects of underground coal mining	\$ 2,544,453	\$ 134,483	-	p. 16, row 1
6	New	Natural Resources	Utah Basin Model: Monthly Estimates of Recharge and Runoff	\$ 50,440	\$ 50,440	-	p. 16, row 2
7	New	Natural Resources	Geologic & Mineral Resources Data Development, Utah Recreation & Visitors Services	\$ 33,264	\$ 8,316	-	p. 16, row 3
8	New	Natural Resources	Utah 2020 STATEMAP Supplemental	\$ 299,919	\$ 299,919	-	p. 16, row 4
9	New	Natural Resources	Triassic Paleontology of the Island in the Sky District, Canyonlands National Park	\$ 30,000	\$ 30,000	-	p. 16, row 5
10	New	Natural Resources	Mapping Clifton and Gold Hill 7.5 Quads	\$ 49,985	\$ 12,496	-	p. 17, row 1
11	New	Transportation	FHWA-2016-21063 AID Demonstation Grant: Advancing Digital Construction to Include Data Capture	\$ 500,000	\$ 125,000	-	p. 17, row 2
12	New	Transportation	U.S. 40 Climbing Lane	\$ 462,000	\$ 308,000	-	p. 17, row 3
<u>Non-Federal Grants</u>							
13	New	Attorney General	2020 Awards for the Establishment, Improvement and Expansion of Children's Advocacy Centers	\$ 134,000	\$ -	-	p. 24, row 1
14	New	Human Services	VASPC (Victim Advocate and Services Program Coordinator Grant)	\$ 118,500	\$ -	-	p. 24, row 2
15	New	Human Services	Use Only As Directed	\$ 300,000	\$ -	-	p. 24, row 3
16	New	Courts	Utah State Court Online Dispute Resolution (ODR) Assesment	\$ 185,000	\$ -	-	pp. 26 - 51
17	New	Courts	Piloting Utah's Legal Services Oversight Office and Regulatory Sandbox	\$ 207,214	\$ -	-	pp. 52 - 67
<u>Grants Approved by the Governor, Judicial Council, or State Board of Education</u>							
Federal Grants							
18	New	Courts	Justice for Families Program	\$ 183,333	\$ -	-	p. 18, row 1
19	New	Environmental Quality	Jacobs Smelter OU6 Remedial Investigation and Feasibility Study	\$ 215,000	\$ -	-	p. 18, row 2
20	New	Environmental Quality*	Exchange Network Grant Program	\$ 100,000	\$ -	-	p. 18, row 3
21	New	Environmental Quality	FY20 Air Toxics Ethylene Oxide	\$ 182,477	\$ -	-	p. 18, row 4
22	New	Health	Utah Pregnancy Risk Assessment Monitoring System - PRAMS	\$ 166,648	\$ -	-	p. 19, row 1

Federal/Non-Federal Grants Review and Approval

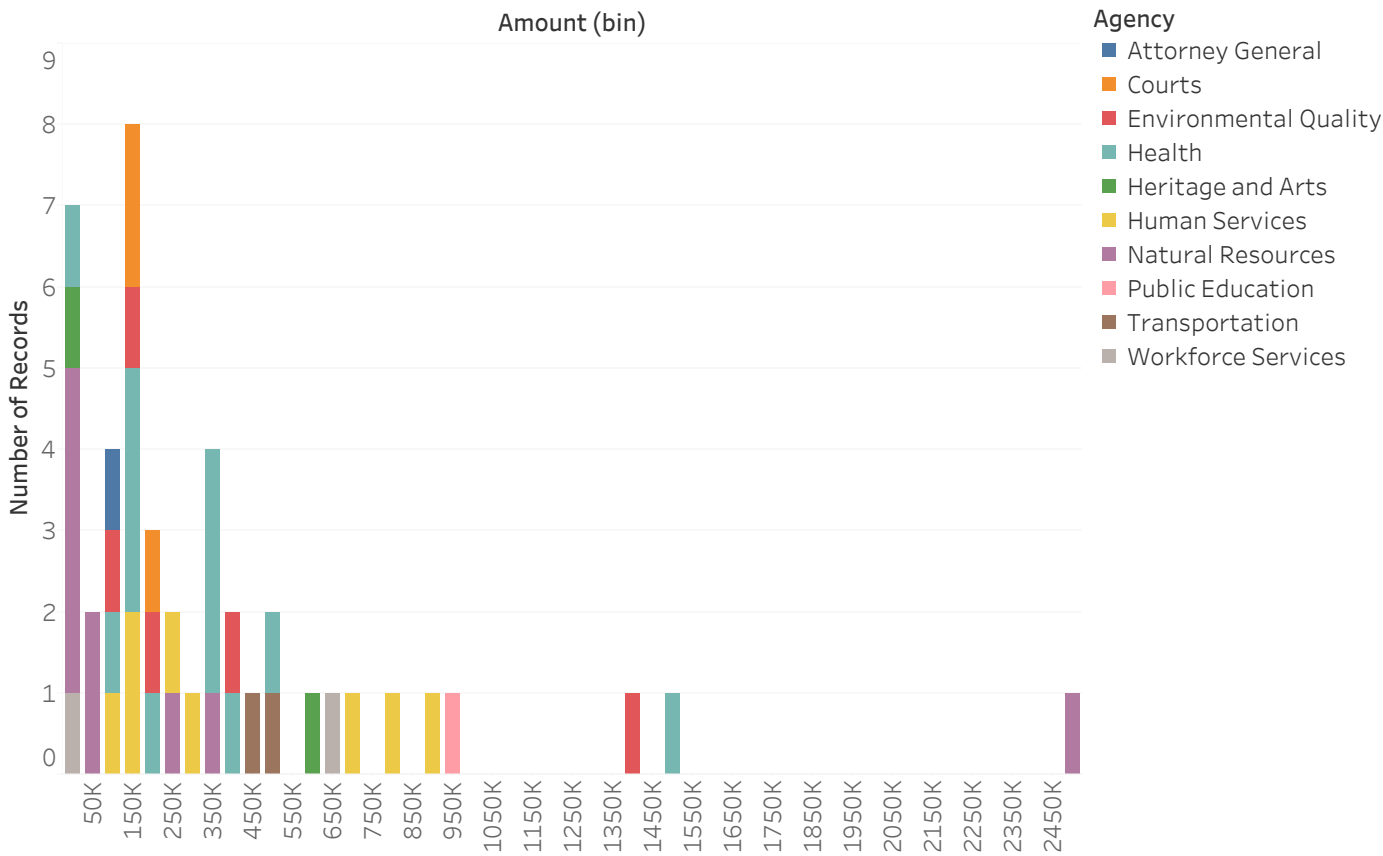
Executive Appropriations Committee, May 13, 2020

	<i>a</i>	<i>b</i>	<i>c</i>	<i>d</i>	<i>e</i>	<i>f</i>	<i>g</i>
	Term	Agency	Grant Name	Grant Amount	State Match	New FTE	Detail Reference
23	New	Health	Networks to Deliver and Sustain Evidence-Based Chronic Disease Self-Management Education	\$ 537,562	\$ -	-	p. 19, row 2
24	New	Health*	Improve Timely Documentation Reporting & Analysis of Intervention Data-EHDI Surveillance & Inf Sys	\$ 187,400	\$ -	-	p. 19, row 3
25	New	Health	Commercial Tobacco Use and Dependence Treatment Support System, Component 2	\$ 200,000	\$ -	-	p. 19, row 4
26	New	Health	WIC Program - Fiscal Year (FY) 2020 General Infrastructure Funding	\$ 391,631	\$ -	-	p. 20, row 1
27	New	Health	Immunization Information Systems Coverage Assessment	\$ 114,396	\$ -	-	p. 20, row 2
28	New	Health	Improving Immunization Information System Data	\$ 423,280	\$ -	-	p. 20, row 3
29	New	Health	Improving Coverage Among Under-Vaccinated Populations	\$ 365,382	\$ -	-	p. 20, row 4
30	New	Heritage and Arts	USDA-Forest Service Cooperative Agreement for Data Sharing	\$ 25,000	\$ -	-	p. 20, row 5
31	New	Heritage and Arts	Historic Revitalization Subgrant Program (HRSP) UTG-	\$ 600,000	\$ -	-	p. 21, row 1
32	New	Human Services	Utah PPW PLT Grant Project	\$ 900,000	\$ -	-	p. 21, row 2
33	New	Human Services	Transformation Transfer Initiative	\$ 150,000	\$ -	-	p. 21, row 3
34	New	Human Services	Zero Suicide in Systems	\$ 700,000	\$ -	-	p. 21, row 4
35	New	Public Education	TITLE I PROGRAM FOR NEGLECTED AND DELINQUENT CHILDREN	\$ 988,106	\$ -	-	p. 21, row 5
36	New	Natural Resources	Land and Water Conservation Fund - Ira Allan Park Improvements	\$ 398,933	\$ -	-	p. 22, row 1
37	New	Natural Resources	Utah 2020 National Geologic Map Database Phase 3 Initiative	\$ 92,683	\$ -	-	p. 22, row 2
38	New	Natural Resources	2020 National Groundwater Monitoring Network	\$ 30,502	\$ -	-	p. 22, row 3
39	New	Workforce Services	Fiscal Year (FY) 2020 Funding Allotments and Operating Guidance for UI RESEA Grants	\$ 676,585	\$ -	-	p. 22, row 4
40	Supplemental	Health	Public Health Approaches for Ensuring Quitline Capacity	\$ 12,179	\$ -	-	p. 23, row 1
41	Supplemental	Health	National State Based Tobacco Control Programs	\$ 172,124	\$ -	-	p. 23, row 2
42	Reapplication	Human Services*	Clinical High Risk Psychosis (CHR-P)	\$ 800,000	\$ -	-	p. 23, row 3
43	Continuation	Environmental Quality*	FY2020 San Juan Watershed Monitoring Program	\$ 410,000	\$ -	-	p. 23, row 4
44	Reapplication	Human Services*	Behavioral Health Workforce Education and Training (BHWET) Program	\$ 288,560	\$ -	-	p. 23, row 5
Non-Federal Grants							
45	New	Workforce Services	Strada Education Network	\$ 10,000	\$ -	-	p. 25, row 1

*This grant has exceeded 125% of what was approved during the 2020 legislative session and/or its state match amount has exceeded the previously approved amount.

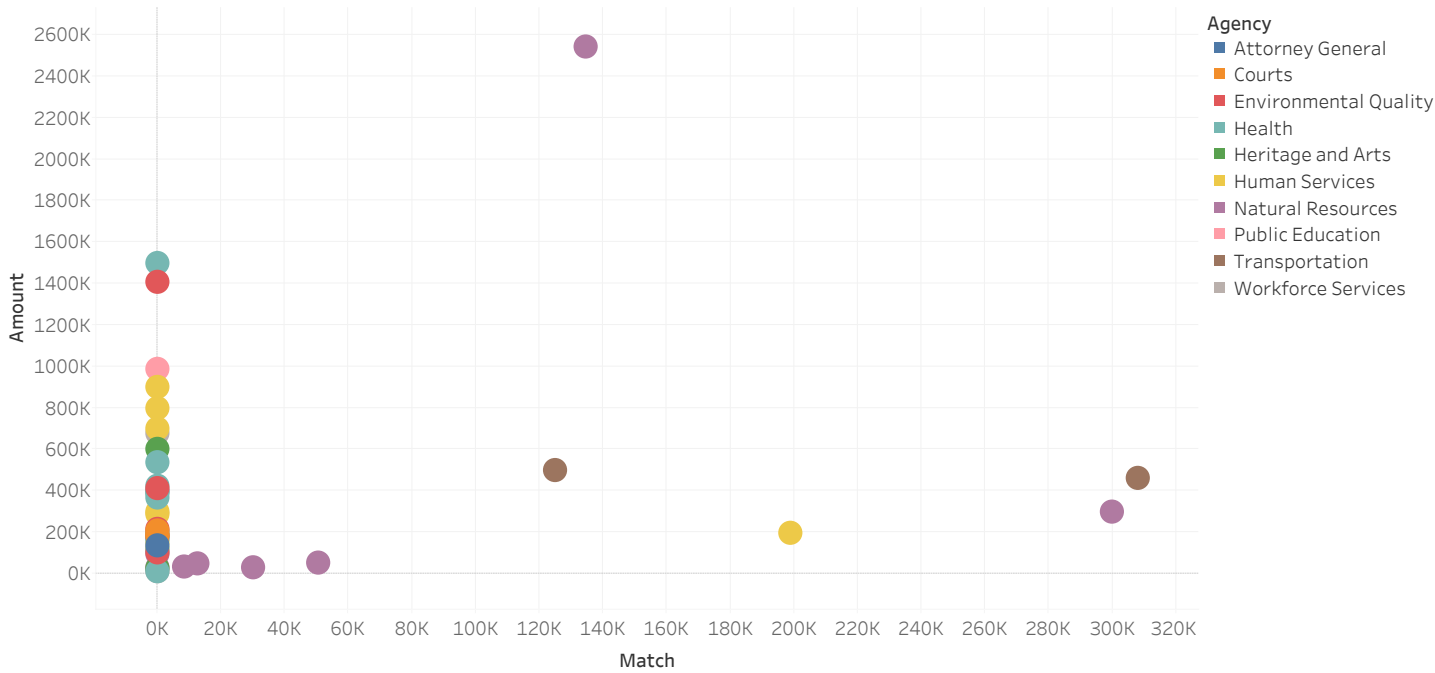
- Where available, award letters (or similar documentation) for specific grants can be found in the meeting materials online.

Individual Grants Distribution by Agency



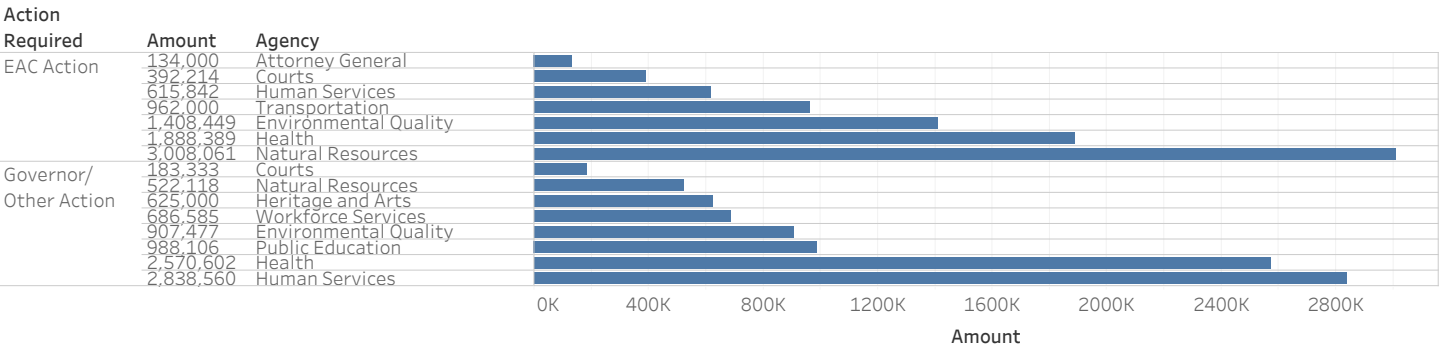
Sum of Number of Records for each Amount (bin). Color shows details about Agency.

Grant Amount Compared to Match (Agencies Colored)



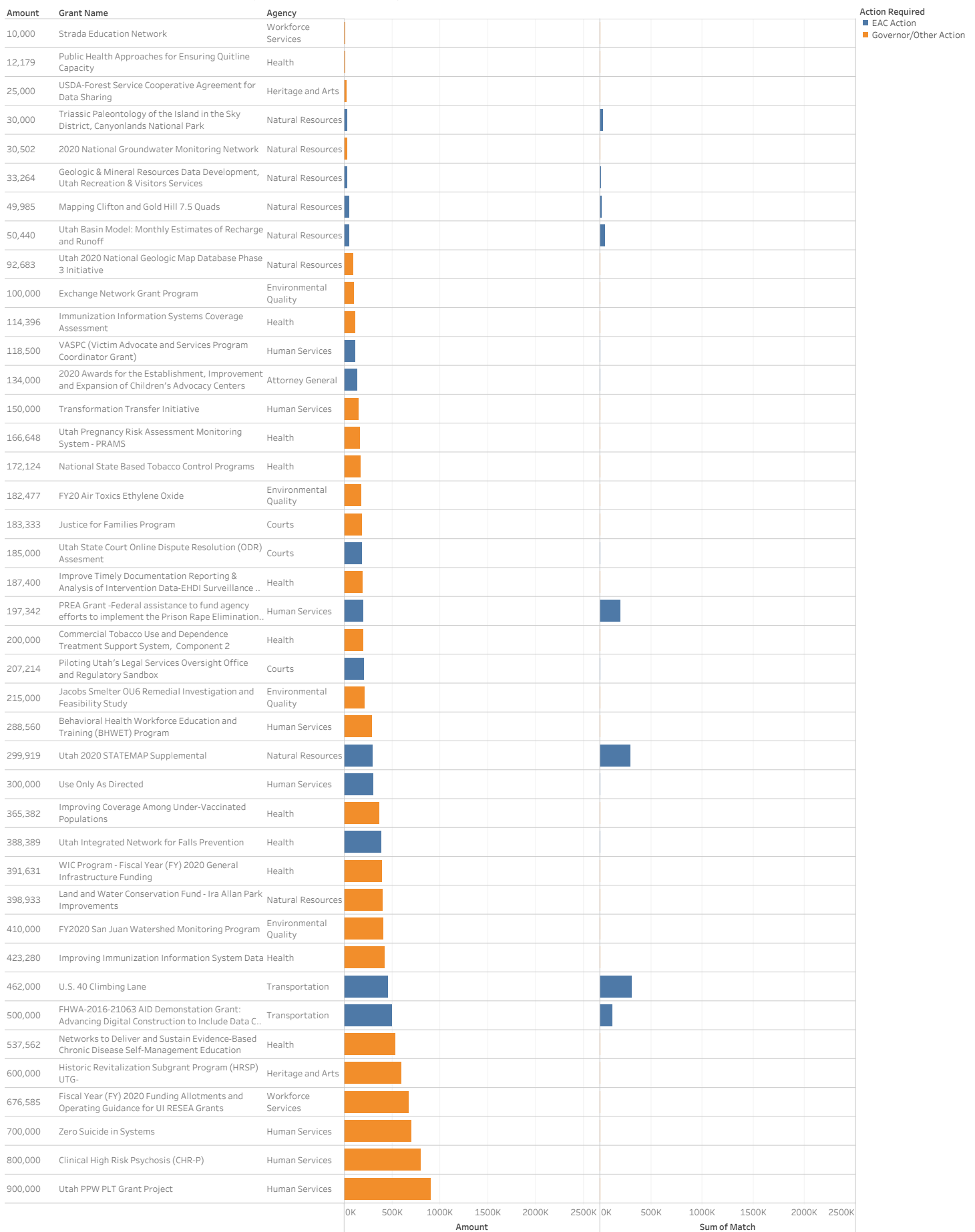
Match vs. Amount. Color shows details about Agency.

Total Agency Grant Amount

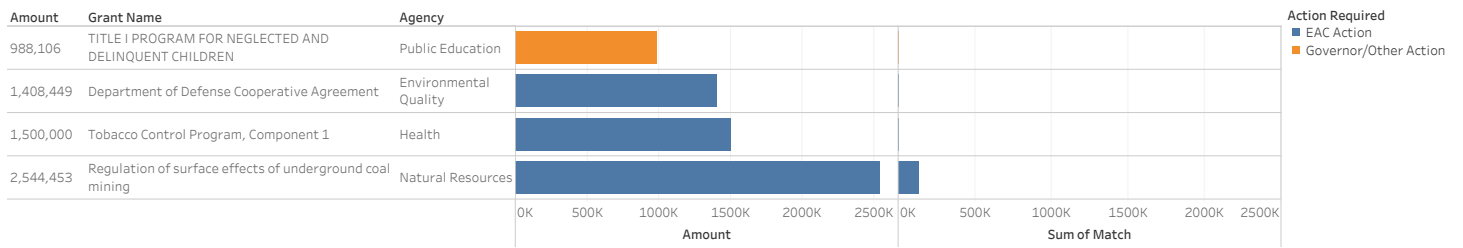


Sum of Amount for each sum of Amount broken down by Action Required and Agency.

Individual Grant and Match amount (Review Type Colored)



Individual Grant and Match amount (Review Type Colored)



Sum of Amount and sum of Match for each sum of Amount broken down by Grant Name and Agency. Color shows details about Action Required.

This page intentionally left blank.

COVERSHEET
Governor's Office of Management and Budget
Federal and Non-Federal Funds Report
May 13, 2020

HIGHLIGHTS:

Federal Grant Applications Requiring Legislative Action

- Twelve new grants requiring legislative action

Environmental Quality

Department of Defense Cooperative Agreement

Federal Award of **\$1,408,449**

No state match required

Health

Utah Integrated Network for Falls Prevention

Federal Award of **\$388,389**

No state match required

Health

Tobacco Control Program, Component 1

Federal Award of **\$1,500,000**

No state match required

Human Services

PREA Grant-Federal assistance to fund agency efforts to implement the Prison Rape Elimination Act

Federal Award of **\$ 197,342**

State match of **\$198,960** of existing program expense

Natural Resources

Regulation of surface effects of underground coal mining

Federal Award of **\$2,544,453**

State match of **\$134,483** of existing program expense

Natural Resources

Utah Basin Model: Monthly Estimates of Recharge and Runoff

Federal Award of **\$50,440**

State match of **\$50,440** of existing program expense

Natural Resources

Geologic & Mineral Resources Data Development, Utah Recreation & Visitors Services

Federal Award of **\$33,264**

State match of **\$8,316** of existing program expense

Natural Resources

Utah 2020 STATEMAP Supplemental

Federal Award of **\$299,919**

State match of **\$299,919** of existing program expense

Natural Resources

Triassic Paleontology of the Island in the Sky District, Canyonlands National Park

Federal Award of **\$30,000**

State match of **\$30,000** of existing program expense

Natural Resources

Mapping Clifton and Gold Hill 7.5 Quads

Federal Award of **\$49,985**

State match of **\$12,496** of existing program expense

Transportation

FHWA-2016-21063 AID Demonstration Grant: Advancing Digital Construction to Include Data Capture

Federal Award of **\$500,000**

State match of **\$125,000** of existing program expense

Transportation

U.S. 40 Climbing Lane

Federal Award of **\$462,000**

State match of **\$308,000** of existing program expense

Federal Grant Applications Approved by the Governor's Office

- Twenty-two new grants have been approved by the Governor's Office

Courts

Justice for Families Program

Federal Award of **\$183,333**

No state match required

Environmental Quality

Jacobs Smelter OU6 Remedial Investigation and Feasibility Study

Federal Award of **\$215,000**

No state match required

Environmental Quality

Exchange Network Grant Program

Federal Award of **\$100,000**

No state match required

Environmental Quality

FY20 Air Toxics Ethylene Oxide

Federal Award of **\$182,477**

No state match required

Health

Utah Pregnancy Risk Assessment Monitoring System - PRAMS

Federal Award of **\$166,648**

No state match required

Health

Networks to Deliver and Sustain Evidence-Based Chronic Disease Self-Management Education

Federal Award of **\$537,562**

No state match required

Health

Improve Timely Documentation Reporting & Analysis of Intervention Data-EHDI Surveillance & Inf Sys

Federal Award of **\$187,400**

No state match required

Health

Commercial Tobacco Use and Dependence Treatment Support System, Component 2

Federal Award of **\$200,000**

No state match required

Health

WIC Program – Fiscal Year (FY) 2020 General Infrastructure Funding

Federal Award of **\$391,631**

No state match required

Health

Immunization Information Systems Coverage Assessment

Federal Award of **\$114,396**

No state match required

Health

Improving Immunization Information System Data

Federal Award of **\$423,280**

No state match required

Health

Improving Coverage Among Under-Vaccinated Populations

Federal Award of **\$365,382**

No state match required

Heritage and Arts

USDA-Forest Service Cooperative Agreement for Data Sharing

Federal Award of **\$25,000**

No state match required

Heritage and Arts

Historic Revitalization Subgrant Program (HRSP)

Federal Award of **\$600,000**

No state match required

Human Services

Utah PPW PLT Grant Project

Federal Award of **\$900,000**

No state match required

Human Services

Transformation Transfer Initiative

Federal Award of **\$150,000**

No state match required

Human Services

Zero Suicide in Systems

Federal Award of **\$700,000**

No state match required

Public Education

TITLE I PROGRAM FOR NEGLECTED AND DELINQUENT CHILDREN

Federal Award of **\$988,106**

No state match required

Natural Resources

Land and Water Conservation Fund – Ira Allan Park Improvements

Federal Award of **\$398,933**

No state match required

Natural Resources

Utah 2020 National Geologic Map Database Phase 3 Initiative

Federal Award of **\$93,683**

No state match required

Natural Resources

2020 National Groundwater Monitoring Network

Federal Award of **\$30,502**

No state match required

Workforce Services

Fiscal year (FY) 2020 Funding Allotments and Operating Guidance for UI RESEA Grants

Federal Award of **\$676,585**

No state match required

- Five supplemental/Reapplications/Continuations approved by the Governor's Office

Health

Public Health Approaches for Ensuring Quitline Capacity

Federal Award of **\$12,179**

No state match required

Health

National State Based Tobacco Control Programs

Federal Award of **\$172,124**

No state match required

Human Services

Clinical High Risk Psychosis (CHR-P)

Federal Award of **\$800,000**

No state match required

Environmental Quality

FY2020 San Juan Watershed Monitoring Program

Federal Award of **\$410,000**

No state match required

Human Services

Behavioral Health Workforce Education and Training (BHWET) Program

Federal Award of **\$288,560**

No state match required

Non-Federal Grants Requiring Legislative Action

- Two new grants requiring legislative action

Attorney General

2020 Awards for the Establishment, Improvement and Expansion of Children's Advocacy Centers

Award of **\$134,000**

No state match required

Human Services

VASPC (Victim Advocate and Services Program Coordinator) Grant

Award of **\$118,500**

No state match required

Non-Federal Grants Approved by the Governor's Office

- One new grant approved by the Governor's Office

Workforce Services

Strada Education Network

Award of **\$10,000**

No state match required

Federal Assistance Applications Requiring Legislative Action

May 13, 2020

State Department	State Application Identifier #	Grant Title	Federal Agency	State Fiscal Year			Start/End Date	% Share To Local Agencies	Expectation when Funds expire	Add'l Permanent Staff	Grant Status	Grant Term (Years)	Type of Grant
				Federal Annual Award	Annual Match Requirement								
					State	Local/ Other							

New Grants

Environmental Quality	UTG-200402010-ab	Department of Defense Cooperative Agreement	Department of the Army Corp of Engineers (DSMOA)	\$1,408,449	\$0	\$0	7/1/2020 - 6/30/2022	0%	N	0	Submitted	2	New
	Description and Purpose of Grant: Technical Services to Army, Air Force and Corp of Engineers, (FUDS), For Site Review, Corrective Action, Post Closure and Groundwater Monitoring.												
Health*	UTG-200131010-aa	Utah Integrated Network for Falls Prevention	Administration on Aging	\$388,389	\$0	\$0	5/1/2020 - 4/30/2021	67%	N	0	Submitted	1	New
	Description and Purpose of Grant: This is a new three year grant to develop an integrated health network for falls prevention. Goals: 1. to develop a strategy and plan to reduce falls and fall risks among older adults and adults with disabilities living in the community; 2. to increase the number of older adults and adults with disabilities who participate in evidence-based falls prevention programs and to increase the sustainability of these programs beyond the end of the grant period.												
Health	UTG-200401030-aa	Tobacco Control Program, Component 1	HHS, PHS. Centers for Disease Control and Prevention	\$1,500,000	\$0	\$0	6/29/2020 - 4/28/2021	65%	N	0	Submitted	1	New
	Description and Purpose of Grant: The purposes of this grant are to: 1. Prevent initiation of commercial tobacco use among youth and young adults; 2. Eliminate exposure to secondhand smoke; 3. Promote quitting among adults and youth; and 4. Identify and eliminate tobacco-related disparities. Achievement of these goals will reduce chronic disease morbidity, mortality, and disability related to commercial tobacco use and dependence and second hand smoke exposure in Utah.												
Human Services	UTG-200410020-aa	PREA Grant -Federal assistance to fund agency efforts to implement the Prison Rape Elimination Act S	US Department of Justice	\$197,342	\$198,960	\$0	10/1/2020 - 9/30/2022	0%	N	0	Submitted	1	New
	Description and Purpose of Grant: PREA Grant funding will be used to implement our PREA policy, through youth education, staff training and also to meet facility security concerns. If awarded the Grant, JJS will meet with our PREA Coach during the planning phase to discuss and review our needs. If our Coach's expertise indicates that we have additional critical needs, we will follow their recommendations. Grant funding will also be used to develop printed and digital materials for our facilities to make sure everyone is well informed of PREA standards. we will utilize grant funding to create web-based PREA training, with two shortened 30 minute segments focused on Utah's juvenile justice system. Matching funds will for the grant be generated from staff facility PREA Compliance Managers dedicated to PREA implementation. Grant funds will be used to pay 25% of the PREA Coordinators position for administrative oversight and 25% of an office specialist position for administrative support.												

State Department	State Application Identifier #	Grant Title	Federal Agency	State Fiscal Year			Start/End Date	% Share To Local Agencies	Expectation when Funds expire	Add'l Permanent Staff	Grant Status	Grant Term (Years)	Type of Grant
				Federal Annual Award	Annual Match Requirement								
					State	Local/ Other							
Natural Resources*	UTG-200318010-aa	Regulation of surface effects of underground coal mining	Department of Interior Office of Surface Mining	\$2,544,453	\$134,483	\$0	7/1/2020 - 6/30/2021	0%	N	0	Submitted	1	New
	Description and Purpose of Grant:	Provide federal assistance for administration and enforcement of coal mining in the state of Utah. Coal Mining is regulated by the federal surface mine controlled reclamation act (SMACRA). Utah has primacy to administer SMCRA											
Natural Resources	UTG-191029010-ab	Utah Basin Model: Monthly Estimates of Recharge and Runoff	Department of Interior, Bureau of Reclamation	\$50,440	\$50,440	\$0	10/1/2020 - 9/30/2022	0%	N	0	Submitted	2	New
	Description and Purpose of Grant:	The UGS Groundwater group created a soil-water balance model, the Utah Basin Model (UBM), that can calculate hydraulic budgets. We propose to run the UBM model for the entire state for all years of input data availability, using high-resolution precipitation data. We will improve the UBM by conducting a basin specific calibration and optimization that can then be scaled up to a state-wide calibration of the model. This project will consist of five tasks, 1) input data compilation, 2) initial model run, 3) model calibration, 4) model improvement, and 5) reporting results and providing publicly accessible GIS and web interface toolsets and input and output data.											
Natural Resources	UTG-200422070-aa	Geologic & Mineral Resources Data Development, Utah Recreation & Visitors Services	Department of Interior, Bureau of Land Management	\$33,264	\$8,316	\$0	7/1/2020 - 6/30/2023	0%	N	0	Submitted	1	New
	Description and Purpose of Grant:	Compile additional industrial mineral GIS layers (potash and phosphate) to recent work. Continue geodatabase of analytical data from BLM Wildness Study Area mineral evaluations. Update the Utah Mineral Occurrence System. Add additional rockhounding sites to a recent GIS layer. All information will be made available on the UGS website.											
Natural Resources	UTG-200422040-aa	Utah 2020 STATEMAP Supplemental	USGS	\$299,919	\$299,919	\$0	7/1/2020 - 6/30/2021	0%	N	0	Submitted	1	New
	Description and Purpose of Grant:	Supplemental Phase 3 is a new block of funding added to the USGS for a new aspects of the National Cooperative Geologic Mapping Program. We are going to upload 100+ maps to Natl Geo Map Database; GeMS training of all applicable staff and developing GeMS methods; GeMS-compliant GIS and border issues resolution of 6 areas; improve geology and GeMS-compliant GIS revision of state map; border match with adjacent states in Uinta Basin/Mtns area only; and report on status of GeMS-compliant maps in Utah.											
Natural Resources	UTG-200422020-aa	Triassic Paleontology of the Island in the Sky District, Canyonlands National Park	National Park Service	\$30,000	\$30,000	\$0	8/25/2020 - 6/30/2021	0%	N	0	Submitted	1	New
	Description and Purpose of Grant:	Examine the Lower to Middle Triassic Moenkopi Formation and overlaying Upper Triassic Chinle Formation in the Island in the Sky District. We anticipate this will be the first of several inventories needed to properly access and manage paleontological resources in Canyonlands National Park.											

State Department	State Application Identifier #	Grant Title	Federal Agency	State Fiscal Year			Start/End Date	% Share To Local Agencies	Expectation when Funds expire	Add'l Permanent Staff	Grant Status	Grant Term (Years)	Type of Grant
				Federal Annual Award	Annual Match Requirement								
					State	Local/ Other							

Natural Resources	UTG-200422010-ab	Mapping Clifton and Gold Hill 7.5 Quads	USGS	\$49,985	\$12,496	\$0	7/1/2020 - 6/30/2022	0%	N	0	Submitted	2	New
	Description and Purpose of Grant: Complete a geologic map of the Clifton 7.5' quadrangle in western Tooele County and digitize the geologic map of the Gold Hill 7.5' quadrangle. This project was developed in cooperation with the U.S. Geological Survey's EarthMRI program and is related to the USGS's current goal of critical mineral research.												
Transportation	UTG-200224010-ab	FHWA-2016-21063 AID Demonstation Grant: Advancing Digital Construction to Include Data Capture	Federal Highway Administration (FHWA)	\$500,000	\$125,000	\$0	4/1/2020 - 4/1/2022	0%	N	0	Submitted	2	New
	Description and Purpose of Grant: The AID Demonstration program provides funding as an incentive for eligible entities to accelerate the implementation and adoption of innovation in highway transportation. The AID Demonstration program is one initiative under the multi-faceted Technology and Innovation Deployment Program (TIDP) approach providing funding and other resources to offset the risk of trying an innovation. This grant may award any value up to the requested amount.												
Transportation	UTG-200225010-ac	U.S. 40 Climbing Lane	U.S. Department of Transportation	\$462,000	\$308,000	\$0	8/1/2020 - 12/31/2022	0%	N	0	Submitted	3	New
	Description and Purpose of Grant: Construct a new climbing lane on westbound U.S. 40 from milepost 5.7 to 12.2. This will enhance mobility and improve safety along a corridor that is heavily traveled by trucks moving crude oil from the Uintah Basin.												

New Totals

\$7,464,241

\$1,167,614

\$0

*This grant has exceeded 125% of what was approved during the 2020 legislative session and/or its state match amount has exceeded the previously approved amount.

Prepared by the Governor's Office of Management and Budget

Federal Assistance Applications Approved by the Governor's Office

May 13, 2020

State Department	State Application Identifier #	Grant Title	Federal Agency	State Fiscal Year			Start/End Date	% Share To Local Agencies	Expectation when funds expire	Add'l Permanent Staff	Grant Status	Grant Term (Years)	Type of Grant
				Federal Annual Award	Annual Match Requirement								
					State	Local/ Other							

New Grants

Courts	UTG-200121010-ac	Justice for Families Program	Office on Violence Against Women	\$183,333	\$0	\$0	10/1/2020 - 10/1/2023	35%	N	0	Submitted	3	New
	Description and Purpose of Grant: To improve the Utah Courts' response (civil and criminal justice system) to families with a history of domestic violence, dating violence, sexual assault, and stalking, or in cases involving allegations of child sexual abuse. The program supports the following activities for improving the capacity of courts and communities to respond to families affected by the targeted crimes: court-based and court-related programs; supervised visitation and safe exchange by and between parents; training for people who work with families in the court system; civil legal services and the provision of resources in juvenile court matters.												
Environmental Quality	UTG-200302010-aa	Jacobs Smelter OU6 Remedial Investigation and Feasibility Study	Environmental Protection Agency	\$215,000	\$0	\$0	5/1/2020 - 6/30/2022	0%	N	0	Submitted	1	New
	Description and Purpose of Grant: The objective of this Cooperative Agreement is to allow the State of Utah to complete a Remedial Investigation (RI), Feasibility Study (FS), Proposed Plan (PP) and Record of Decision (ROD) that address contamination associated with the Chicago and Carson Buzzo Smelters (OU6). The Cooperative Agreement includes additional sampling activities to support a Human Health Risk Assessment (HHRA) and Ecological Risk Assessment (ERA) that evaluate exposure scenarios specific to the agricultural uses at OU6. The Division of Environmental Response and Remediation (DERR) will prepare a draft and final RI, FS, PP and ROD with assistance of the level of effort contractor. DERR will follow the Community Involvement Plan (CIP) and coordinate all community relations associated with the site with the EPA.												
Environmental Quality*	UTG-200410010-aa	Exchange Network Grant Program	EPA	\$100,000	\$0	\$0	10/1/2020 - 9/30/2021	0%	N	0	Submitted	1	New
	Description and Purpose of Grant: Web Services Forms for Class V UIC Inventory Submittals, under the FY 2020 Exchange Network Grant Program. This application is seeking \$100,000 in direct grants funding. DWQ would like to create a web form interface to allow customers applying for a Class V UIC Well to enter their information online eliminating the need for paper forms, improving data quality and streamlining data digitization.												
Environmental Quality	UTG-200420040-ab	FY20 Air Toxics Ethylene Oxide	EPA	\$182,477	\$0	\$0	10/1/2020 - 9/30/2022	39%	N	0	Submitted	2	New
	Description and Purpose of Grant: Recent modeling from EPA indicated an increased potential cancer risk from ethylene oxide due to emissions from medical sterilization facilities. There are two medical sterilization facilities in Utah, both located in the Salt Lake Valley, but ambient measurements of ethylene oxide are unavailable. To quantify ethylene oxide levels from these two facilities and to assess their health impact on surrounding communities, we're proposing to conduct ambient monitoring in the vicinity of these facilities.												

State Department	State Application Identifier #	Grant Title	Federal Agency	State Fiscal Year			Start/End Date	% Share To Local Agencies	Expectation when funds expire	Add'l Permanent Staff	Grant Status	Grant Term (Years)	Type of Grant
				Federal Annual Award	Annual Match Requirement								
					State	Local/ Other							
Health	UTG-200127030-aa	Utah Pregnancy Risk Assessment Monitoring System - PRAMS	Center for Disease Control and Prevention	\$166,648	\$0	\$0	5/1/2020 - 4/30/2021	0%	N	0	Submitted	1	New
	Description and Purpose of Grant: PRAMS (Pregnancy Risk Assessment Monitoring System) is a joint project between the Utah Department of Health and the Centers for Disease Control and Prevention (CDC). Our purpose is to find out why some babies are born healthy and others are not. To do this, our questionnaire asks new mothers questions about their pregnancy and new baby. Each year in Utah there are hundreds of babies born with serious health problems. Many of these babies die. We need new mothers' help to find out why. No matter how their pregnancy went, their answers will help us learn more about ways to improve the health of future mothers and babies in Utah.												
Health	UTG-200124010-ac	Networks to Deliver and Sustain Evidence-Based Chronic Disease Self-Management Education	HHS, Administration on Aging, Administration for Community Living	\$537,562	\$0	\$0	5/1/2020 - 4/30/2023	67%	N	0	Submitted	3	New
	Description and Purpose of Grant: The purpose of the grant is to increase and sustain the reach of approved self-management programs through innovative funding structures via social determinants of health. Primary system partners include Area Agencies on Aging, Local Health Departments, Healthcare Systems, and Community-Based Organizations. Activities focus on strengthening an integrated network that addresses social and behavioral determinants of health of older adults and adults with disabilities. The goal is to increase the number of older adults and adults with disabilities who participate in evidence-based program services to empower them to better manage their chronic conditions. The project period is for three years from May1,2020 to April 30, 2023. Total 3 year amount is \$1,500,000.												
Health*	UTG-200227020-aa	Improve Timely Documentation Reporting & Analysis of Intervention Data-EHDI Surveillance & Inf Sys	Centers for Disease Control and Prevention	\$187,400	\$0	\$0	7/1/2020 - 6/30/2021	37%	N	0	Submitted	1	New
	Description and Purpose of Grant: As part of its Congressional authority, the CDC provides funding and technical assistance to state agencies to develop standardized procedures for data management and program effectiveness. Through this funding, the following are Utah EHDI's programmatic goals for a more complete EHDI-IS (Information System):												
Health	UTG-200401040-aa	Commercial Tobacco Use and Dependence Treatment Support System, Component 2	HHS, PHS. Centers for Disease Control and Prevention	\$200,000	\$0	\$0	6/29/2020 - 4/28/2021	0%	N	0	Submitted	1	New
	Description and Purpose of Grant: The purposes of this grant is: 1. To decrease tobacco use and dependence among adults and youth; 2. To decrease disparities in tobacco cessation and tobacco use and dependence; 3. To promote smoking cessation among youth and young adults by promoting Quitline resources and education.												

State Department	State Application Identifier #	Grant Title	Federal Agency	State Fiscal Year			Start/End Date	% Share To Local Agencies	Expectation when funds expire	Add'l Permanent Staff	Grant Status	Grant Term (Years)	Type of Grant
				Federal Annual Award	Annual Match Requirement								
					State	Local/ Other							
Health	UTG-200327010-aa	WIC Program - Fiscal Year (FY) 2020 General Infrastructure Funding	U.S. Department of Agriculture	\$391,631	\$0	\$0	5/1/2020 - 9/30/2021	100%	N	0	Submitted	1	New
	Description and Purpose of Grant: Priority 1: Customer Service - Infrastructure funds to optimize the customer service provided to program applicants and participants with:												
Health	UTG-200323010-aa	Immunization Information Systems Coverage Assessment	HHS, PHS. Centers for Disease Control and Prevention	\$114,396	\$0	\$0	7/1/2020 - 6/30/2021	0%	N	0	Submitted	1	New
	Description and Purpose of Grant: To improve processes to share aggregate and de-identified immunization data with CDC to help monitor vaccination coverage and vaccine use. System enhancements will incorporate the latest technological features to improve the usability and Quality.												
Health	UTG-200323030-aa	Improving Immunization Information System Data	HHS, PHS. Centers for Disease Control and Prevention	\$423,280	\$0	\$0	7/1/2020 - 6/30/2021	0%	N	0	Submitted	1	New
	Description and Purpose of Grant: The purpose of this grant is to improve the completeness and quality of childhood immunization data collected, stored, and made available by the Utah Statewide Immunization Information System (USIIS). This will include implementation of tools and processes to provide feedback to providers regarding data quality for bidirectional data exchange.												
Health	UTG-200323020-aa	Improving Coverage Among Under-Vaccinated Populations	HHS, PHS. Centers for Disease Control and Prevention	\$365,382	\$0	\$0	7/1/2020 - 6/30/2021	0%	N	0	Submitted	1	New
	Description and Purpose of Grant: The purpose of this grant is to improve vaccination coverage in targeted areas with high un-vaccinated populations. The proposed targeted areas include those served Southeast Local Health Department, Southwest Local Health Department and Tri-County Local Health Department. This is to be expanded to other areas as funding becomes available.												
Heritage and Arts	UTG-200403010-ae	USDA-Forest Service Cooperative Agreement for Data Sharing	United States Forest Service	\$25,000	\$0	\$0	5/1/2020 - 5/3/2025	0%	N	0	Submitted	5	New
	Description and Purpose of Grant: This Agreement recognizes the expertise and role of both parties in the development and application of cultural resource data within the State of Utah. Funding under this Agreement will help the UDSH to ensure the long-term growth and management of the SHPO's information management system. The U.S. Forest Service will benefit by having access to National Forest cultural resource information maintained by SHPO for use in completing and updating its own cultural resource information management systems.												

State Department	State Application Identifier #	Grant Title	Federal Agency	State Fiscal Year			Start/End Date	% Share To Local Agencies	Expectation when funds expire	Add'l Permanent Staff	Grant Status	Grant Term (Years)	Type of Grant
				Federal Annual Award	Annual Match Requirement								
					State	Local/ Other							
Heritage and Arts	UTG-200413010-ac	Historic Revitalization Subgrant Program (HRSP) UTG-	National Park Service	\$600,000	\$0	\$200,000	10/1/2020 - 9/30/2023	100%	N	0	Submitted	3	New
	Description and Purpose of Grant:	To provide subgrants to local communities in southern and central Utah, for the rehabilitation of historic structures to increase economic resilience, create jobs, and retain the historic character and charm of these rural areas..											
Human Services	UTG-200323040-ac	Utah PPW PLT Grant Project	SAMHSA	\$900,000	\$0	\$0	10/1/2020 - 9/30/2023	75%	N	0	Submitted	3	New
	Description and Purpose of Grant:	The purpose of the SAMHSA PPW PLT Grant Project is 1) support family-based services for pregnant and postpartum women with a primary diagnosis of a substance use disorder, including opioid use disorders; 2) help state substance abuse agencies address the continuum of care and 3) promote a coordinated, effective and efficient state system managed by state substance abuse agencies by encouraging new approaches and models of service delivery.											
Human Services	UTG-191220010-aa	Transformation Transfer Initiative	SAMHSA	\$150,000	\$0	\$0	2/1/2020 - 8/15/2020	50%	N	0	Submitted	1	New
	Description and Purpose of Grant:	Development of bed registry to decrease wait times and improve coordination of care to individuals with mental illness. A registry will ensure that there is limited delay in accessing the post appropriate 24/7 emergency, crisis stabilization, inpatient, or recovery services. The registry will be part of a continuum of care that includes community partnerships across public and private agencies.											
Human Services	UTG-200326020-ae	Zero Suicide in Systems	SAMHSA	\$700,000	\$0	\$0	6/30/2020 - 6/30/2025	85%	N	0	Submitted	5	New
	Description and Purpose of Grant:	The purpose of the Substance Abuse and Mental Health Services Administration (SAMHSA) Zero Suicide in Systems grant is to implement a comprehensive and multi-setting approach to suicide prevention in health systems.											
Public Education	UTG-200130130-aa	TITLE I PROGRAM FOR NEGLECTED AND DELINQUENT CHILDREN	US Department of Education	\$988,106	\$0	\$0	7/1/2019 - 9/30/2020	86%	N	0	Submitted	1	New
	Description and Purpose of Grant:	Part D, Subpart 1, State Agency Neglected and Delinquent (N and D) program provides formula grants to SEAs for supplementary education services to help provide education continuity for children and youths in state-run institutions for juveniles and in adult correctional institutions so that these youths can make successful transitions to school or employment once they are released. Funds are allocated by formula to SEAs, which make subgrants to the state agencies responsible for educating neglected or delinquent children and youths. To be eligible for state N and D funds, juvenile institutions must provide 20 hours a week of instruction from nonfederal funds; adult correctional institutions must provide 15 hours. The Subpart 2 Local Education Agency Program requires each SEA to reserve from its Title I, Part A, allocation, funds generated by the number of children in locally operated institutions for delinquent youths. Funds are awarded to LEAs with high proportions of youths in local correctional facilities to support dropout prevention programs for at-risk youths.											

State Department	State Application Identifier #	Grant Title	Federal Agency	State Fiscal Year			Start/End Date	% Share To Local Agencies	Expectation when funds expire	Add'l Permanent Staff	Grant Status	Grant Term (Years)	Type of Grant
				Federal Annual Award	Annual Match Requirement								
					State	Local/ Other							
Natural Resources	UTG-191216010-ac	Land and Water Conservation Fund Ira Allan Park Improvements	National Park Service	\$398,933	\$0	\$0	12/16/2019 - 12/31/2022	0%	N	0	Submitted	3	New
	Description and Purpose of Grant:	Mapleton City applied to the Land and Water Grant Program to request federal matching funds to develop pickleball and futsal courts within Ira Allan Sports Park. The State-side Land and Water Conservation Fund Grant Program provides matching funds to state and local governmental agencies for the development of public outdoor recreation.											
Natural Resources	UTG-200422060-aa	Utah 2020 National Geologic Map Database Phase 3 Initiative	USGS	\$92,683	\$0	\$0	7/1/2020 - 6/30/2021	0%	N	0	Submitted	1	New
	Description and Purpose of Grant:	The USGS National Geologic Map Database (NGMDB) program has made an additional funding opportunity available. We propose to complete GeMS-compliant geologic maps of two to four older 7.5' quadrangle geologic maps that are within our high priority ares of the state (Wasatch or St. George area), to construct a standardize database of 3D data extracted from drill hole logs, and to compile existing drill hole log data for specific areas of the state.											
Natural Resources	UTG-200422050-ab	2020 National Groundwater Monitoring Network	USGS	\$30,502	\$0	\$0	7/1/2020 - 6/30/2022	0%	N	0	Submitted	2	New
	Description and Purpose of Grant:	Continue data service of all water-quality monitor wells and springs and from wells in our Snake Valley Water-level Monitoring Network to the National Ground-Water Monitoring Network. The UGS will maintain persistent data flow to the NGWMN, including period update of pertinent site information. Make modifications to the web services and database schema to better suit the requirements of the NGWMN.											
Workforce Services	UTG-200311010-aa	Fiscal Year (FY) 2020 Funding Allotments and Operating Guidance for UI RESEA Grants	The U.S. Department of Labor's Employment and Training Administration	\$676,585	\$0	\$0	1/1/2020 - 9/30/2021	0%	N	0	Submitted	1	New
	Description and Purpose of Grant:	Funding provided to state workforce agencies to deliver the Unemployment Insurance (UI) Reemployment Services and Eligibility Assessment (RESEA) program. This program focuses on UI claimants most likely to exhaust benefits under methods established for the state's Worker Profiling and Reemployment Services program and transitioning veterans receiving Unemployment Compensation for ExService members are the target populations for the RESEA program.											
New Totals				\$7,446,441	\$0	\$200,000							

State Department	State Application Identifier #	Grant Title	Federal Agency	State Fiscal Year			Start/End Date	% Share To Local Agencies	Expectation when funds expire	Add'l Permanent Staff	Grant Status	Grant Term (Years)	Type of Grant
				Federal Annual Award	Annual Match Requirement								
					State	Local/ Other							

Reapplications/Continuations/Supplemental

Health	UTG-200127020-aa	Public Health Approaches for Ensuring Quitline Capacity	HHS, PHS. Centers for Disease Control and Prevention	\$12,179	\$0	\$0	4/29/2020 - 6/29/2020	0%	N	0	Submitted	1	Supplemental
	Description and Purpose of Grant:	This is a supplemental grant to extend the grant period for 2 months and add funding. The purpose of the grant is to ensure and expand quitline capacity so that all callers to the quitline are offered at least one coaching call, either immediately upon calling or by being re-contacted within three days. The secondary purpose is to continue to expand the capacity of state tobacco control programs to implement evidence-based cessations interventions.											
Health	UTG-200127010-aa	National State Based Tobacco Control Programs	HHS, PHS. Centers for Disease Control and Prevention	\$172,124	\$0	\$0	4/29/2020 - 6/29/2020	54%	N	0	Submitted	1	Supplemental
	Description and Purpose of Grant:	This is a supplemental grant to extend the original grant period by 2 months and add funding. The purpose of the grant is to reduce morbidity and mortality associated with tobacco use and to eliminate associated health disparities by supporting capacity building, program planning, development, implementation, evaluation, and surveillance.											
Human Services*	UTG-200228020-aa	Clinical High Risk Psychosis (CHR-P)	SAMHSA	\$800,000	\$0	\$0	9/30/2018 - 9/29/2022	0%	N	0	Submitted	1	Reapplication
	Description and Purpose of Grant:	The purpose of this program is to identify youth and young adults, not more than 25 years old, at clinical high risk for psychosis and provide evidence-based interventions to prevent the onset of psychosis or lessen the severity of psychotic disorder.											
Environmental Quality*	UTG-200408020-ac	FY2020 San Juan Watershed Monitoring Program	Environmental Protection Agency	\$410,000	\$0	\$0	3/1/2018 - 12/31/2021	50%	N	0	Submitted	3	Continuation
	Description and Purpose of Grant:	To develop work plans consistent with activities identified in the San Juan Watershed Monitoring Program Plan including tasks such as assessment, outreach, collaboration and work group participation. State will use data and other information to develop and implement a communication forum.											
Human Services*	UTG-200414020-aa	Behavioral Health Workforce Education and Training (BHWET) Program	HRSA	\$288,560	\$0	\$0	9/30/2020 - 8/31/2021	85%	N	0	Submitted	1	Reapplication
	Description and Purpose of Grant:	Department of Human Service- DSAMH plans to use Behavioral Health Workforce Education and Training (BHWET) Program : Development of Peer Workforce who will use their story to promote hope and recovery for individuals in treatment.											

Reapplication/Continuation Totals \$1,272,863 \$0 \$0

*This grant has exceeded 125% of what was approved during the 2020 legislative session and/or its state match amount has exceeded the previously approved amount.
Prepared by the Governor's Office of Management and Budget

Non-Federal Grant Applications Requiring Legislative Action

May 13, 2020

State Department	State Grant Identifier #	Grant Title	Grantor	State Fiscal Year			Start/End Date	% Share To Local Agencies	Expectation when funds expire	Add'l Permanent Staff	Grant Status	Grant Term (Years)	Type of Grant
				Annual Award	Annual Match Requirement								
					State	Local/ Other							

New Grants

Attorney General	UNF-191202010-aa	2020 Awards for the Establishment, Improvement and Expansion of Children's Advocacy Centers	National Children's Alliance	\$134,000	\$0	\$0	1/1/2020 - 12/31/2020	69%	N	0	Submitted	1	New
	Description and Purpose of Grant:	The National Children's Alliance receives funds (from the Victims of Child Abuse Act) for the development and implementation of multidisciplinary child abuse investigation and prosecution programs. Using said funds, NCA makes grants available for the purpose of improving the quality of service provision within Children's Advocacy/Justice Centers nationwide, through state-based projects, programs, training and service provisions.											
Human Services	UNF-191220010-aa	VASPC (Victim Advocate and Services Program Coordinator Grant)	Utah Office for Victims of Crime	\$118,500	\$0	\$0	1/6/2020 - 6/30/2020	0%	N	0	Submitted	1	New
	Description and Purpose of Grant:	Develop and implement a pilot program that is designed to oversee and assist the Utah Board of Probations and Parole (UBOPP) to: minimize re-traumatization of victims of all crimes within the UBOPP, help recognize the presence of trauma symptoms, acknowledge the role trauma plays in the life of victim of crime, and comprehensively incorporate this knowledge into policies procedures and practices.											
Human Services	UNF-200113010-ab	Use Only As Directed	Intermountain Healthcare	\$300,000	\$0	\$0	1/1/2020 - 12/31/2022	100%	N	0	Submitted	2	New
	Description and Purpose of Grant:	To support and fund the statewide prescription misuse and abuse prevention campaign. This grant will increase hope and recovery through the media. The aim is to prevent misuse and abuse, but to also link families to resources throughout the state.											
New Totals				\$552,500	\$0	\$0							

Prepared by the Governor's Office of Management and Budget

Non-Federal Assistance Applications Approved by the Governor's Office

May 13, 2020

State Department	State Grant Identifier #	Grant Title	Grantor	State Fiscal Year			Start/End Date	% Share To Local Agencies	Expectation when funds expire	Add'l Permanent Staff	Grant Status	Grant Term (Years)	Type of Grant
				Annual Award	Annual Match Requirement								
					State	Local/ Other							

New Grants

Workforce Services	UNF-200123010-ae	Strada Education Network	Strada Education Network	\$10,000	\$0	\$0	11/25/2019 - 11/25/2024	0%	N	0	Submitted	5	New
	Description and Purpose of Grant: Grant funds will support short-term vocational training for refugees, which includes vocational English, specific job skill training, soft skills, and resume development. Refugees will participate in the training in small cohorts. At the end of each training, there will be a job fair with employers in the specific industry to help refugees secure employment.												

New Totals

\$10,000

\$0

\$0

Prepared by the Governor's Office of Management and Budget

NON-FEDERAL GRANTS

Judicial District or Location: Third Judicial District / Appellate Courts

Issues to be addressed by the Project: The access-to-justice gap: services for self-represented litigants

Explanation of how the grant funds will contribute toward resolving the issues identified: The Legal Services Oversight Office and Regulatory Sandbox will ease certain restrictions on the practice of law in a safe and controlled environment to allow legal service providers to experiment with new, innovative, and cost-effective legal services.

Total Funding Sources

			(PROVIDE EXPLANATION OF ALL MATCHES IN THE COMMENTS SECTION)					
			MATCHING STATE DOLLARS					
			Other Matching Funds from Non-State Entities					
CASH MATCH			General Fund	Dedicated Credits	Restricted Funds	Other (Write In)	Maintenance of Effort	
State Fiscal Year	Grant Amount							Total Funds
FY 2021	\$107,214	\$100,000						\$207,214
FY 2022	\$92,786							\$92,786
FY								\$0

			(PROVIDE EXPLANATION OF ALL MATCHES IN THE COMMENTS SECTION)						
IN-KIND MATCH		Other Matching Funds from Non-State Entities	MATCHING STATE DOLLARS						
			General Fund	Dedicated Credits	Restricted Funds	Other (Write In)	Maintenance of Effort	Total Funds	
			State Fiscal Year	Grant Amount					
			FY 2021	\$107,214	\$100,000			Staff Time	\$207,214
			FY 2022	\$92,786					\$92,786
			FY						\$0

Comments: The Court will receive approximately \$100,000 in in-kind staff assistance from the National Center for State Courts and the Institute for the Advancement of the American Legal System. Larissa Lee, the Appellate Court Administrator, will devote approximately \$25,000 of her salary time to this project, but this contribution is not separately quantified in the grant application.

Will additional state funding be required to maintain or continue this program or its infrastructure when this grant expires or is reduced? Yes No **X** If yes, explain:

Will the funds to continue this program come from within your exiting budget: Yes _____ No **X** N/A _____

How many additional permanent FTEs are required for the grant?	0	Temp FTEs?	0
--	---	------------	---

This proposal has been reviewed and approved by the following:

N/A* The court executives and judges in the affected district(s).

X The Grant Coordinator and the Budget Manager at the Administrative Office of the Courts.

N/A* The affected Board(s) of Judges.

* Per Brent Johnson, there are no courts or Boards of Judges affected by this grant.

Approved by the Judicial Council Apr 29, 2020 by Mary T. Noonan 4/29/2020
Date Court Administrator

Copy forwarded to Legislative Fiscal Analyst _____ date _____



Larissa Lee
Appellate Court Administrator

Nicole J. Gray
Clerk of Court

Supreme Court of Utah
450 South State Street
P.O. Box 140210
Salt Lake City, Utah 84114-0210

Appellate Clerks' Office
Telephone 801-578-3900
Email: supremecourt@utcourts.gov

Matthew B. Durrant	Chief Justice
Thomas R. Lee	Associate Chief Justice
Deno G. Himonas	Justice
John A. Pearce	Justice
Paige Petersen	Justice

State Justice Institute
Attn: Jonathan D. Mattiello
11951 Freedom Dr., Suite 1029
Reston, VA 20190

January 28, 2020

***Re: Strategic Initiatives Grant for Piloting Utah's Legal Services Oversight Office
and Regulatory Sandbox***

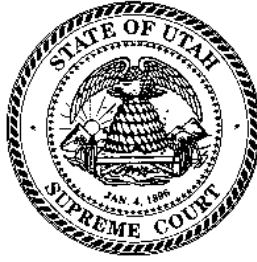
Dear Mr. Mattiello,

Enclosed is a proposal respectfully requesting SJI's support with piloting Utah's new Legal Services Oversight Office and Regulatory Sandbox. Please feel free to contact me if you have any questions or need any additional information.

Sincerely,

Larissa Lee
Utah Appellate Court Administrator

Enclosures



Grant Proposal:

Piloting Utah’s Legal Service Oversight Office and Regulatory Sandbox

Project Abstract

The Utah Supreme Court respectfully requests support for its effort to pilot a “regulatory sandbox” for legal services. This sandbox is an innovative policy tool that will allow new players in the legal market to test cutting-edge products and services in a safe and controlled environment, with the ultimate goal of leveraging new technologies and business models to increase access to justice. The Court is also creating a new regulatory entity – the Legal Service Provider Oversight Office – to oversee the sandbox and ensure the project’s success.

As it pilots this new regulatory approach, the Court specifically requests support from the State Justice Institute for the following four tasks: 1) standing up the sandbox and Oversight Office, 2) evaluating which service providers it should allow into the sandbox, 3) evaluating the performance of sandbox participants, and 4) measuring the sandbox’s impact on Utah’s legal market. As a pilot project, the Court envisions that this first iteration of the sandbox will run for at least two years, and seeks SJI’s assistance for the first eighteen months. With SJI’s help, the Court believes this new regulatory strategy will make significant progress toward closing the access-to-justice gap in Utah and serve as a model of reform for other states.

Project Narrative

Introduction

The United States currently is in the midst of a well-documented “access-to-justice” crisis. In 2019, America’s civil justice system was tied for 99th out of 126 countries in terms of access and affordability,¹ down from 65th out of 102 countries in 2015,² and 94th out of 112

¹ WORLD JUSTICE PROJECT, *Rule of Law Index 2019*, https://worldjusticeproject.org/sites/default/files/documents/WJP_RuleofLawIndex_2019_Website_reduced.pdf (last visited Aug. 12, 2019).

² WORLD JUSTICE PROJECT, *Rule of Law Index 2015*, https://worldjusticeproject.org/sites/default/files/documents/roli_2015_0.pdf (last visited Aug. 12, 2019).

countries in 2016, 2017, and 2018.³ Many Americans must “go it alone without legal representation in disputes where they risk losing their job, their livelihood, their home, or children, or seek a restraining order against an abuser.”⁴ Data from Utah’s third judicial district suggest that Utah’s courts track this national pattern. In 2018, at least one party was unrepresented throughout the entirety of their lawsuit in 93% of all civil and family law disputes.⁵

To address this crisis, the Utah Supreme Court formed a task force to explore optimizing the regulatory structure for the practice of law. As part of its mandate, the task force studied the possibility of loosening certain regulations to allow for new, innovative, and cost-effective legal services. And in August 2019, the task force ultimately proposed creating a new regulatory entity for legal services in Utah – the Legal Service Provider Oversight Office – and directing it to run a “regulatory sandbox” to pilot innovate new offerings. Now the Court has formed a plan to launch these efforts in June 2020, and respectfully requests help from the State Justice Institute with financing the infrastructure and staff necessary to operate this potentially game-changing regulatory strategy.

Program Objective

The objective of this program is to launch a new regulatory entity, the Legal Service Provider Oversight Office, which will meaningfully address the access-to-justice crisis, primarily through the operation of a regulatory sandbox that allows providers to experiment with innovative legal services in a safe and controlled environment.

Program Areas Covered

The Utah Supreme Court makes this request under the **Strategic Initiative** category for the priority investment areas of Self-Represented Litigation and State Court Reengineering.

Self-represented litigants: This project will benefit self-represented litigants by experimenting with potentially innovative and cost-effective new legal services. A 2015 study by the National Center for State Courts (NCSC) examined the non-domestic civil caseloads in 152 courts in 10 urban counties and found that at least one party was self-represented in 76% of all

³ WORLD JUSTICE PROJECT, *Rule of Law Index 2016*, https://worldjusticeproject.org/sites/default/files/documents/RoLI_Final-Digital_0.pdf (last visited Aug. 12, 2019); WORLD JUSTICE PROJECT, *Rule of Law Index 2017–2018*, https://worldjusticeproject.org/sites/default/files/documents/WJP-ROLI-2018-June-Online-Edition_0.pdf (last visited Aug. 12, 2019).

⁴ LEGAL SERVICES CORPORATION, *The Justice Gap: Measuring the Unmet Civil Legal Needs of Low-income Americans* (June 2017), <https://www.lsc.gov/sites/default/files/images/TheJusticeGap-FullReport.pdf> (last visited Aug. 12, 2019).

⁵ For purposes of this statistic, the third judicial district includes all adult courts, including justice courts, in Salt Lake, Summit, and Tooele Counties.

cases.⁶ And internal data from Utah’s third judicial district shows that, in 2018, at least one party was unrepresented throughout the entirety of their lawsuit in 93% of all civil and family law disputes. The goal of the proposed regulatory sandbox is to facilitate a market for the unmet legal needs of this extraordinary number of self-represented litigants.

This project will also contribute to SJI’s state court reengineering efforts by helping the Utah Supreme Court increase access to justice. NCSC’s 2018 State of the State Courts-Survey found that a “broad majority (59%)” of respondents believed “state courts are not doing enough to empower regular people to navigate the court system without an attorney,” while only “a third (33%) believe courts are providing the information to do so.”⁷ The Utah Supreme Court is attempting to address these concerns by reengineering legal regulation to encourage the development of flexible and low-cost services. The goal of this reengineering effort is to empower unrepresented litigants and reduce the number of cases resolved by default or by failure to comply with required court processes.

Need for Funding

One driving force behind the access-to-justice crisis is how states currently regulate the practice of law. Outmoded regulations severely constrain courts, nonprofits, and for-profit organizations from innovating in ways that would significantly increase both the availability and affordability of legal services and correspondingly level both the in-court and out-of-court legal playing fields and simultaneously reduce demands on the courts. Even lawyers, who have a monopoly on legal-service delivery, face numerous advertising, marketing, ethical conduct codes, training requirements, ownership restrictions, and other rules that keep them from testing innovations that might provide significant access-to-justice benefits. Beyond this restrictiveness, the current regulatory approach relies heavily on conceptual harms to consumers that have not been empirically verified.

These regulations no longer make sense in an age where disruptive technological innovation happens constantly. The precipitous rise in self-represented litigants and the unaffordability of lawyers has driven a new market for groundbreaking, cost-effective legal services. And the potential access-to-justice benefits from these new services are significant. If providers can serve litigants and those with potential legal problems in more cost-effective ways, true access to justice becomes possible for millions who currently receive no help.

⁶ Civil Justice Initiative, *The Landscape of Civil Litigation in State Courts*, NAT’L CENTER FOR STATE COURTS, <https://www.ncsc.org/~media/Files/PDF/Research/CivilJusticeReport-2015.ashx> (last visited Aug. 12, 2019).

⁷ Memorandum from GBA Strategies to NCSC, 5 (Dec. 3, 2018), https://www.ncsc.org/~media/Files/PDF/Topics/Public%20Trust%20and%20Confidence/SoSC_2018_Survey_Analysis.ashx (last visited Jan. 16, 2020).

With this opportunity in mind, Utah has undertaken significant regulatory reform in its legal-services industry. At the heart of this reform is a cutting-edge policy tool known as a “regulatory sandbox,” which will allow new players in the legal market to test new products and services while ensuring they are consistent, cost-effective, and safe. And to ensure its success, the Court has established a new regulatory entity to run the sandbox – the Legal Service Provider Oversight Office – which will, at least during the pilot period,⁸ function alongside the Utah State Bar as a regulator of the practice of law in Utah.

Unfortunately, the Utah Supreme Court cannot fund this effort on its own. Although the Court expects the new Oversight Office to eventually have an operating budget made up of fees paid by sandbox participants and others, it requests funding from SJI to finance a discrete set of start-up costs during the Office’s first eighteen months of operation.

Tasks, Methods, and Evaluations

Launching the proposed regulatory sandbox involves four tasks: 1) standing up the sandbox, 2) processing the sandbox applicants, 3) assessing the sandbox participants, and 4) assessing the sandbox itself. A special Implementation Task Force, comprised of leaders from Utah’s legal community and national experts in the access-to-justice field, will oversee each of these tasks. And in keeping with the innovative spirit driving this regulatory-test effort, the sandbox and the Oversight Office itself will be entirely virtual, existing primarily through a website (www.sandbox.utcourts.gov), a part-time staff working remotely, and a volunteer Oversight Board that meets on a regular basis at the Administrative Office of the Utah Courts.⁹

Task 1 – Stand Up the Regulatory Sandbox

June – July 2020

Standing up the sandbox requires accomplishing three objectives: 1) expanding the sandbox website, 2) building a case-management system, and 3) staffing the Oversight Office with three part-time, contract positions: an economist, a data-analyst, and a project manager. The Court envisions meeting these objectives between June and July 2020.

Website and Case-Management System

Given its virtual character, it is critical that the Court expand the Oversight Office’s existing website and establish a case-management system to maintain information about sandbox participants and program data. The first step is expanding the Oversight Office’s website, which will serve as the primary interface for legal service providers to submit sandbox applications and

⁸ The specific design and business processes of this new regulatory entity are ultimately subject to the evaluation of this pilot period.

⁹ The Court notes, of course, that the launch of the sandbox and Oversight Office is still subject to final approval under the Court’s formal rule-promulgation process. Through spring and early summer of 2020, the Court will promulgate a set of rules and a Standing Order that will govern the sandbox and Oversight Office, and solicit public comment on the Order. Following the comment period, the Court will take a final vote to formally establish the sandbox and Oversight Office along the parameters set forth in the Order.

for those accepted into the sandbox to submit quarterly data reports. Building out this interface requires revamping the existing website so it can:

- Receive, store, and track documents uploaded by sandbox participants (including solicitations from applicants)
- Receive, store, and retrieve participant data, and track the status of internal process steps for applicants and participants
- Support communication with participants via website forms, email, and text
- Receive, process, and track participant fees and fines
- If enough funding is available, carry out consumer surveys and receive, store, and track consumer complaints

Along with this expanded website, standing up the sandbox also requires a case-management system to store and analyze participant data. Tracking, storing, and assessing this participant data is critical, as it will provide the basis for the Oversight Office to evaluate and report on the sandbox's progress to the Court and the public. A successful case-management system requires the ability to:

- Store data gathered from sandbox participants
- Generate reports on data gathered from participants and on the market as a whole
- Access data remotely to ensure the Oversight Office can remain virtual
- Secure all data held by the Oversight Office

If funded, the Task Force will hire contractors to build out this website and case-management infrastructure. The Court anticipates that these contractors will include a Web Developer to expand the website, a Programmer to create the case-management system, and a Business Analyst / Project Manager to oversee development and document business processes. The Court will also leverage its existing IT resources – such as its contracts with Google for email and productivity tools, and Amazon for web hosting services – to keep the costs of this build-out as low as possible.

Initial Oversight Office Positions

The Court also requests funding for three contract positions: an economist, a data analyst, and a business analyst / project manager, all of whom will be hired on a part-time basis. During the first portion of the stand-up phase, through December 2020, the business of the Oversight Office will be conducted by these three positions, with assistance from Task Force members Lucy Ricca (courtesy of an in-kind contribution of up to \$50,000 from the Institute for the Advancement of the American Legal System) and Tom Clarke (courtesy of a \$50,000 in-kind contribution from the National Center for State Courts). After that first portion, there may be some adjustments to this staffing model. The Court also envisions that members of the Administrative Office of the Utah Courts, chiefly Larissa Lee, Appellate Court Administrator,

will continue to be involved with and provide significant support to the Task Force. And while we have not separately quantified this contribution, we anticipate it will exceed \$25,000 dollars.

Once the website and case-management system are complete, this launch-group, along with the Oversight Board, will begin soliciting and accepting sandbox applications (subject to final approval by the Court). As service providers operate in the sandbox, this launch-group will collect and analyze data to provide an ongoing assessment of consumer harms and benefits. This assessment will proceed under the supervision of the Oversight Board and the Court.

This stand-up phase will last approximately eighteen months, after which this initial staffing model will transition to a new model comprised of an Oversight Office Director (appointed by the Oversight Board with final approval by the Court), a contract economist, and a contract data analyst. Importantly, SJI funds will only be used to fund contract positions during the stand-up phase. After the first eighteen months, and prior to the expiration of the pilot phase, the project will need to be self-sustaining or obtain funds from alternative sources. Thereafter, the operating budget must be made up of fees paid by sandbox participants and others.

Task 2 – Process Sandbox Applicants

June 2020 – November 2021

After standing up the sandbox, the Oversight Office will begin processing sandbox applicants. During this period, the launch-group staff and Oversight Board will solicit applicants for the sandbox, assess each application, and either accept a pilot phase or reject the applicant. Processing sandbox applicants will proceed in three steps:

- 1. The Oversight Office calls for applications.** This call will clearly identify the types of innovations the Court will accept into the sandbox, which regulations it will relax or remove, the data and evaluation metrics participants must prepare, and the safeguards against regulation and enforcement that participants will receive.
- 2. Service providers submit applications.** Applicants must detail exactly what their new offering is, how it will benefit the public, what risks or harms they expect might arise, how they will deploy it, and which regulations must be relaxed to allow their offering.
- 3. The Oversight Office invites promising applications into the sandbox.** After receiving applications, the Oversight Office and Board will review proposals and, with final approval from the Court, accept those that demonstrate an innovative new offering, a strong assessment plan, and a strong potential for public benefit. The Oversight Office and Court will then invite and work with approved participants to establish protocols for data-sharing, auditing, and evaluation. Participants who agree to these terms will receive a non-enforcement guarantee allowing them to deliver their proposed offering without running afoul of existing regulations. It is anticipated that participants will also pay a fee for their participation, which will form a portion of all the bases of the Office's operating budget after the eighteen-month launch period.

During this step, the economist and data analyst will analyze sandbox applications for potential risks and benefits to consumers. After concluding this analysis, they will issue recommendations to the Oversight Board on whether to accept or reject each applicant. Throughout this process, the project manager will coordinate the review of applications and manage communications between the staff, the Oversight Board, and the Court.

Task 3 – Assess Sandbox Participants

June 2020 – November 2021

After accepting participants, the Court envisions running the proposed sandbox for at least two years, with SJI funding being sought for the first eighteen months. During this time, participants must submit quarterly reports, which the data analyst and economist will use to conduct ongoing evaluations on the risks and benefits to consumers of each offering. The project manager will coordinate this process by monitoring the website and database for quarterly reports, consumer feedback, and consumer complaints, and will manage communications with the staff, the Oversight Board, and the Court. This assessment period will proceed in two steps:

- 1. Sandbox runs and rolling evaluation beings.** During this time, participants will develop their offerings, put them on the market, and collect data on their performance. Participants must conspicuously disclose their involvement in the sandbox and refer consumers to the Oversight Office for feedback and complaints. The Office will observe participants' performance to see if the public uses the proposed offerings, if the offerings benefit the public, and if any expected or unexpected harms result. The Office can suspend a participant's non-enforcement guarantee if it fails to perform according to its agreement or its offerings result in harms above what the entity deems acceptable.
- 2. Sandbox ends and company and Office (potentially) continue on.** At the end of the two-year sandbox period, the Oversight Office will allow participants to continue with their approved offerings (subject to Supreme Court approval) with the non-enforcement guarantee still intact. The Office will also use participants' offerings and data to decide if it should 1) call for another round of applications or 2) permanently relax or change certain regulations.

Task 4 – Assess Sandbox Pilot

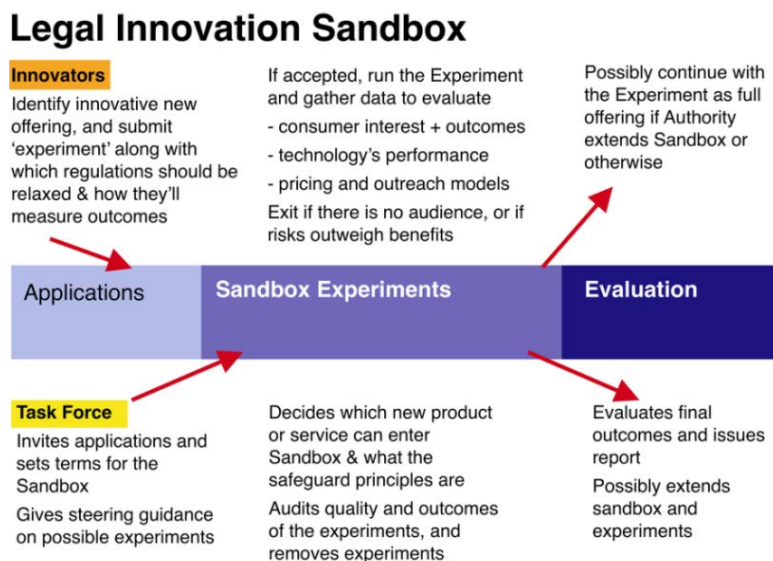
November – December 2021

In the final months of the grant period, the Oversight Office will conduct an internal assessment of the sandbox and report the results back to the Oversight Board and the Court. The Court and Oversight Board will then determine whether the pilot period has been a success and what they should do in response. If the Court deems the sandbox successful, it will decide whether to engage in another round of applications and whether to permanently ease or eliminate certain regulations. The Court also envisions conducting an independent audit of the sandbox's performance, which would occur outside of SJI-funded activity.

During this task, the data analyst and economist will evaluate the sandbox for:

- Its effect on the overall competitiveness of the legal-services market
- Its impact on access to justice and innovation in legal services
- The type and affordability of new legal services, and whether those services are reaching underserved populations

Overall, the tasks required to implement the sandbox can be summarized as follows:



Project Management

To accomplish the tasks identified above, the Utah Supreme Court has established an Implementation Task Force, which is ultimately responsible for managing the launch of the Oversight Office and accompanying sandbox. This task force is comprised of leaders in Utah's legal community and several national experts in the regulatory and access-to-justice fields. All task force members serve on a volunteer basis, except for Lucy Ricca and Tom Clarke, whose participation is provided through an in-kind donation of staff time from IAALS and NCSC.

Task Force Leadership

Justice Deno Himonas (Co-Chair)

Justice Himonas was appointed to the Utah Supreme Court in 2015. For the decade prior, he served as a district judge, where he tried hundreds of criminal, civil, and family law cases and ran a felony drug court. He is deeply involved in the access-to-justice movement and can often be found speaking about access-to-justice around the country. In addition to co-chairing the Implementation Task Force, he also chairs the Utah Supreme Court's task forces on licensed paralegal practitioners and online dispute resolution.

John Lund (Co-Chair)

John Lund is a shareholder with the Salt Lake City law firm of Parsons Behle & Latimer and immediate past president of the Utah State Bar. Mr. Lund has been involved in leadership of the Utah Bar for over a decade, including by co-chairing the Utah Bar's 2015 Futures Commission, and the Utah Supreme Court's task forces on licensed paralegal practitioners and attorney-discipline reform. He was also instrumental in establishing Utah's newly formed Access to Justice Commission.

Task Force Membership

Tom Clarke, National Center for State Courts

Tom Clarke has served for fourteen years as the Vice President for Research and Technology at the National Center for State Courts. Before that, Tom worked for ten years with the Washington State Administrative Office of the Courts as the research manager and then as CIO. He has consulted frequently on topics relating to the redesign of court systems, access to justice strategies, and program evaluation approaches.

Lucy Ricca

Lucy is a Fellow and former Executive Director of the Stanford Center on the Legal Profession at Stanford Law School and a Special Project Advisor of the Institute for the Advancement of the American Legal System. She was a lecturer at Stanford Law School and has written on the regulation of the profession and the changing practice of law. As Executive Director, she was responsible for developing the direction and goals for the Center and overseeing operations, publications, programs, research, and other interdisciplinary projects.

Other Task Force Members include:

- Justice Christine Durham (Ret.), former Chief Justice of the Utah Supreme Court
- Gillian Hadfield, J.D., M.A. Ph.D (Economics), Schwartz Reisman Chair in Technology and Society, Professor of Law and Strategic Management at the University of Toronto
- Margaret Hagan, J.D., Director of the Legal Design Lab at Stanford University and lecturer in the Institute of Design
- Rebecca Sandefur, Professor of Social and Family Dynamics at Arizona State University and Faculty Fellow at the American Bar Foundation
- D. Gordon Smith, Dean and Glen L. Farr Professor of Law of the J. Reuben Clark Law School at Brigham Young University
- Larissa Lee, Utah Appellate Court Administrator
- Heather Farnsworth, J.D.

- Steven G. Johnson, J.D.

The full biographies and qualifications of all task-force members can be found at <http://sandbox.utcourts.gov/about>. After standing up the sandbox, the Implementation Task Force will transition into the Oversight Board, and the Utah Supreme Court will appoint John Lund as chair.

Products

The specific product for which funding is sought is a regulatory sandbox that will allow participants to test high-quality, innovative legal services without running afoul of current regulations. Through this sandbox, the Oversight Office will solicit nontraditional sources of legal services, including non-lawyers and technology companies, and allow them to test innovative services. The goal of the sandbox is to allow aspiring innovators to develop new offerings that could benefit the public, instill confidence in these new offerings, and allow the Oversight Office to understand how regulations should be selectively or permanently relaxed to permit these and other innovations.

Key Features

After reviewing the approach to regulatory sandboxes taken by other countries and jurisdictions, the Utah Supreme Court has identified three key features that it plans to incorporate into the proposed sandbox:

- 1. Testing out what innovations are possible.** Relaxing regulations in a controlled sandbox environment will allow the Court to observe what kinds of innovations are possible and what risks they might present.
- 2. Tailored evaluation plans focused on risk.** In exchange for participating in the sandbox, providers must self-assess and share with the new regulatory entity the benefits, harms, and risks of their services to customers.
- 3. New sources of data on what regulation works best.** Currently legal regulations are so restrictive in part because they are based on concerns that have not been empirically validated. By gathering data from sandbox participants, the new regulatory entity can pivot to a data-driven and evidence-backed regulatory approach

Regulatory Scope

Prior to standing up the sandbox, the Utah Supreme Court will promulgate a rule or court order defining the types of new ventures that must be offered through the sandbox before entering the mainstream legal market.

Type 1 – Ventures Operated by Conventional Law Firms and Lawyers

Conventional 100% lawyer-owned, managed, and financed law firms and individual lawyers with an active law license must use the sandbox to engage in the following activities:

1. Subtype 1: Ventures offering legal service options not previously authorized, whether directly or via a joint-venture, subsidiary, or other corporate structure

- **Example:** Attorneys-at-Law LLP, an old Salt Lake firm, offers an online tool providing information and guidance, including legal advice via chatbot, around corporate formation
- **Example:** HousingHelp, a legal services nonprofit, offers an online tool providing guidance, form completion, and legal advice on eviction defense via its website

2. Subtype 2: Partnering (fee-sharing) with a non-lawyer owned entity that has not been approved to offer legal services by the Utah Supreme Court

- **Example:** Attorneys-at-Law LLP enters into an agreement with SavMart Big Box Store to offer legal services in their stores. The agreement specifies that the firm will lease space and pay a certain percent of revenue generated by in-store engagements to SavMart. Firm advertises services leveraging SavMart's brand and SavMart advertises that legal services are available in the store from firm. Fees are earned through engagement between firm and customer. SavMart has not been approved to offer legal services by the Task Force.

Type 2 – Ventures Operated by Conventional Law Firms and Lawyers with Less than 100% Lawyer Ownership, Management, or Financing

The Utah Rules of Professional Conduct currently prohibit non-lawyers from owning, managing, or financing law firms and other legal-services organizations. Organizations with non-lawyer ownership, management, or financing may, however, apply to pilot services through the sandbox.

- **Example:** Attorneys-at-Law LLP takes on financing from a private equity firm
- **Example:** Attorneys-at-law LLP finances a tech subsidiary via venture capital funding

Type 3 – Ventures Operated by Non-lawyer Owned Legal Services Providers (For-Profit and Non-Profit)

Non-lawyer owned legal services providers must pilot the following ventures through the sandbox:

1. Subtype 1: Practice law via technology platforms, through lawyer and/or non-lawyer staff, or through the purchase of a law firm

Example: LawSwoosh, an online legal platform offering services to the public, including legal assistance from lawyers, non-lawyer experts, and technology platforms

Example: SavMart, a big box retailer offering flat-fee legal services for consumers via lawyers, non-lawyer experts, and technology platforms in its stores and online

Example: Women's Shelter, a domestic violence non-profit, offers legal assistance to its clients through its non-lawyer staff, including assistance with protective orders, divorces, and custody proceedings

- 2. Subtype 2:** Practicing law through a business partnership or contract with individual lawyers or firms in which the services are advertised as part of the provider's brand and in which the contract for services is between the entity (not the lawyer or the firm) and the consumer.

Example: Bank enters into business partnership with Attorneys-at-Law LLP or individual lawyer in which Bank advertises legal help as part of its services/products. Fees are earned through a contract for services between Bank and customer.

Example: SavMart enters into a joint-venture with Attorneys-at-Law, LLP through which the firm's attorneys offer legal services to SavMart's customers, either in their stores or via online platforms. The services are advertised under SavMart's brand and fees are earned through a contract for services between SavMart and the consumer.

Conventional 100% lawyer-owned, managed, and financed law partnerships, professional law corporations, and individual lawyers with an active Utah license may continue their traditional law practice without interacting with the sandbox or Oversight Office.

Incentivizing Access to Justice

Finally, in order to ensure the sandbox meaningfully addresses the access-to-justice crisis, the Oversight Office will also experiment with several features that ensure sandbox offerings meet the needs of low-income consumers, including:

1. Obligating providers to give free licenses, software, or other access to people who cannot afford their innovative services
2. Encouraging more access-oriented participants by bringing together innovative providers and professionals who serve low-income communities (such as legal-aid lawyers or social workers), and offering incentives and training to participants focused on low-income consumers
3. Specifically soliciting access-oriented services when the sandbox is announced and pre-identifying technologies and business models that experts have identified as promoting access to justice

Budget Narrative

Task 1 – Stand Up Regulatory Sandbox

Standing up the sandbox requires expanding the sandbox website, building a case-management system, and documenting the sandbox's business processes and internal operating procedures.

- Expand sandbox website: 1 Web Developer @ \$40.00 / hr x 100 hours = \$4,000.00
- Build case-management system: 1 Programmer @ \$40.00 / hr x 119 hours = \$4,760.00
- Documenting business processes: 1 Project Manager @ \$50.00 / hr x 39 hrs = \$1,950.00

Total Cost: \$10,710.00

Schedule: Standing up the regulatory sandbox will take approximately one-to-two months and will take place during June and July 2020.

Task 2 – Process Sandbox Applicants

Processing applicants involves assessing potential participants' applications and setting conditions for the participation of those applicants who are accepted into the sandbox. During the assessment period, the Economist, Data Analyst, and Project Manager, along with the Oversight Board and initial staff members Lucy Ricca and Tom Clarke, will examine all submitted proposals and, with final approval from the Utah Supreme Court, accept those that demonstrate an innovative new offering, a strong assessment plan, and a strong potential for public benefit.

During the assessment period, the Project Manager will coordinate communication between applicants, the Oversight Office, the Oversight Board, and the Court. The Economist and Data Analyst will use their expertise to assess each applicant for potential risks and benefits to consumers and the market as a whole, and determine the effectiveness of the applicant's proposed assessment plan. The Web Developer and Programmer who expanded the sandbox website and case-management system will remain involved on a contract basis to assist the Oversight Office in evaluating the technological feasibility of proposed offerings, provide technical support, and address problems encountered by applicants or the other contract positions.

- Assess applications:
 - Economist @ \$75.00 / hr x 67 hours = \$5,025.00
 - Data analyst @ \$50.00 / hr x 100 hours = \$5,000.00
 - Project Manager @ \$50.00 / hr x 100 hours = \$5,000.00
 - Web Developer @ \$40.00 / hr x 81.5 hrs = \$3,260.00
 - Programmer @ \$40.00 / hr x 47 hrs = \$1,880.00
 - ***Subtotal: \$20,165.00***

Participants who are accepted into the sandbox will then work with the Economist, Data Analyst, and Project Manager to establish protocols for data-sharing, auditing, and evaluation. The Project Manager will coordinate communication between approved participants and the Oversight Office. The Economist and Data Analyst will use their expertise to identify and fashion unique and effective protocols for each individual participant.

- Set participant conditions
 - Economist @ \$75.00 / hr x 149 hours = \$11,175.00
 - Data Analyst @ \$50.00 / hr x 111.77 hours = \$5,600.00
 - Project Manager @ \$50.00 / hr x 447.09 hours = \$22,350.00
 - **Subtotal: \$39,125.00**

Total Cost: \$59,290.00

Schedule: Processing sandbox applicants will take approximately 16 months and occur between July 2020 and November 2021

Task 3 – Assess Sandbox Participants

Sandbox participants must submit quarterly reports throughout the pilot period. The Data Analyst and Economist will use these reports to conduct ongoing evaluations of the risks and benefits to consumers of each offering. The Project Manager will coordinate this process by monitoring the website and database for quarterly reports, consumer feedback, consumer complaints, and will manage communications with participants, the other two positions, the Oversight Board, and the Court.

- Evaluate participant data
 - Economist @ \$75.00 / hr x 75 hours = \$5,625.00
 - Data Analyst @ \$50.00 / hr x 447 hours = \$6,650.00
 - Project Manager @ \$50.00 / hr x 112 hours = 5,600.00
 - **Subtotal: \$33,575.00**

During or at the end of the sandbox pilot, the Economist and Data Analyst will use their expertise to conduct a risk and benefit assessment of the individual participant's overall performance. This assessment will form the basis of a recommendation they will submit to the Oversight Board and Court about whether each individual participant should be allowed to continue with their offering after the sandbox concludes, and which (if any) regulations should be permanently relaxed or revised. During this time, the Project Manager will continue to coordinate information and communications with the other two positions, the Oversight Board, and the Court.

- Determine whether participants can continue
 - Economist @ \$75.00 / hr x 354 hours = 26,550.00

- Data Analyst @ \$50.00 / hr x 133 hours = \$6,650.00
- Project Manager @ \$50.00 / hr x 265 hours = \$13,250.00
- ***Subtotal: \$46,450.00***

Total Cost: \$80,025.00

Schedule: Assessing sandbox participants will take approximately 16 months and occur between July 2020 and November 2021

Task 4 – Assess Sandbox Pilot

In the final months of the grant period, the Economist and Data Analyst will conduct an internal assessment of the sandbox and report the results to the Oversight Board and the Court. The Project Manager will coordinate this assessment, managing information and communication between the other two positions, the Oversight Board, and the Court.

Total Cost: \$49,975.00

Schedule: Assessing the sandbox will take approximately one-to-two months and will take place during November and December 2021.

Total Requested from SJI: \$200,000

In-Kind Match

The National Center for State Courts and the Institute for the Advancement of the American Legal System have both made in-kind contributions through the assistance of Lucy Ricca and Tom Clarke, respectfully, in standing up the sandbox. Lucy and Tom will play a critical advisory role in standing up the sandbox, onboarding the Project Manager, Economist, and Data Analyst, and providing technical expertise and institutional knowledge as the sandbox begins accepting and assessing participants. Furthermore, members of the Administrative Office of the Utah Courts, chiefly Larissa Lee, Appellate Court Administrator, will continue to be involved with and provide significant support to the Task Force. And while we have not separately quantified this contribution, we anticipate it will exceed \$25,000 dollars.

- ***Institute for the Advancement of the American Legal System: up to \$50,000 (Lucy Ricca)***
 - Task 1: up to \$20,000.00
 - Task 2: up to \$10,000.00
 - Task 3: up to \$30,000.00
 - Task 4: \$0.00
 - ***Subtotal: \$50,000***
- ***National Center for State Courts: \$50,000 (Tom Clarke)***
 - Task 1: \$10,000.00
 - Task 2: \$20,000.00

- Task 3: \$20,000.00
- Task 4: \$0
- ***Subtotal: \$50,000***

Total In-Kind Match: \$100,000+

Total Project Cost: \$300,000

STATE JUSTICE INSTITUTE APPLICATION

1. APPLICANT a. Organization Name <u>Utah Supreme Court</u> b. Street/P.O. Box <u>450 S. State St.</u> c. City <u>Salt Lake City</u> d. State <u>UT</u> e. Zip Code <u>84111</u> f. Phone Number <u>(801) 578-3900</u> g. Fax Number _____ h. Web Site Address <u>https://www.utcourts.gov/courts/sup/</u> i. Name & Phone Number of Contact Person <u>Larissa Lee, 801-578-3834</u> j. Title <u>Appellate Court Administrator</u> k. E-Mail Address <u>larissal@utcourts.gov</u>	2. TYPE OF APPLICANT (Check appropriate box) <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <input checked="" type="checkbox"/> State Court <input type="checkbox"/> National organization operating in conjunction with State court <input type="checkbox"/> National State court support organization <input type="checkbox"/> College or university </div> <div style="width: 45%;"> <input type="checkbox"/> Other non-profit organization or agency <input type="checkbox"/> Individual <input type="checkbox"/> Corporation or partnership <input type="checkbox"/> Other unit of government <input type="checkbox"/> Other _____ (Specify) _____ </div> </div>
3. PROPOSED START DATE _____ <u>June 1, 2020</u>	
4. PROJECT DURATION (months) <u>18 months</u>	
5. APPLICANT FINANCIAL CONTACT a. Organization Name <u>Utah State Courts - Administrative Office of the Courts</u> b. Street/P.O. Box <u>450 S. State St.</u> c. City <u>Salt Lake City</u> d. State <u>UT</u> e. Zip Code <u>84111</u> f. Phone Number _____ g. Fax Number _____ h. Web Site Address _____ i. Name & Phone Number of Contact Person <u>Milton Margaritis, (801) 578-3863</u> j. Title <u>Grant Coordinator</u> k. E-Mail Address <u>miltonm@utcourts.gov</u> l. Organization EIN <u>876000545</u>	
6. IF THIS APPLICATION HAS BEEN SUBMITTED TO OTHER FUNDING SOURCES, PLEASE PROVIDE THE FOLLOWING INFORMATION: Source <u>N/A</u> Date Submitted _____ Amount Requested _____ Disposition (if any) or Current Status _____	
7. a. AMOUNT REQUESTED FROM SJI \$ <u>200,000</u> b. AMOUNT OF MATCH <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div style="width: 60%;"> Cash Match \$ _____ In-kind Match \$ <u>100,000</u> </div> <div style="width: 35%; text-align: right;"> c. TOTAL MATCH \$ _____ d. OTHER CASH \$ _____ e. TOTAL PROJECT COST \$ <u>300,000</u> </div> </div>	
8. TITLE OF PROPOSED PROJECT <u>Piloting Utah's Legal Services Oversight Office and Regulatory Sandbox</u>	
9. CONGRESSIONAL DISTRICT OF: <u>Rep. Chris Stewart, UT-02</u> <u>Statewide</u> <div style="display: flex; justify-content: space-between; font-size: small;"> Name of Representative; District Number Project location (if different from applicant location): Name of Representative; District Number </div>	
10. CERTIFICATION On behalf of the applicant, I hereby certify that to the best of my knowledge the information in this application is true and complete. I have read the attached assurances (Form D) and understand that if this application is approved for funding, the award will be subject to those assurances. I certify that the applicant will comply with the assurances if the application is approved, and that I am lawfully authorized to make these representations on the behalf of the applicant.	
<div style="display: flex; justify-content: space-between; align-items: flex-end;"> <div style="width: 40%;"> SIGNATURE OF RESPONSIBLE OFFICIAL (For applications from State and local courts, Form B - Certificate of State Approval, must be attached) </div> <div style="width: 30%; text-align: center;"> <u>Appellate Court Administrator</u> TITLE </div> <div style="width: 25%; text-align: center;"> <u>Jan. 30, 2020</u> DATE </div> </div>	

STATE JUSTICE INSTITUTE

Certificate of State Approval

The Utah Supreme Court

Name of State Supreme Court or Designated Agency or Council

has reviewed the application entitled Piloting Utah's Legal Services Oversight Office and Regulatory Sandbox

prepared by Larissa Lee, Appellate Court Administrator

Name of Applicant

approves its submission to the State Justice Institute, and

☒

agrees to receive and administer and be accountable for all funds awarded by SJI pursuant to the application;

☐


herby requests consideration of a reduction in cash match as requested by the applicant (**NOTE: only applicable to Project Grant applications**);

☐

designates

Name of Trial or Appellate Court or Agency

as the entity to receive, administer, and be accountable for all funds awarded by SJI pursuant to the application.


Signature

January 28, 2019

Date

Matthew B. Durrant

Name

Chief Justice, Utah Supreme Court

Title

STATE JUSTICE INSTITUTE

PROJECT BUDGET

(TABULAR FORMAT)

Applicant: Utah Supreme Court

Project Title: Piloting Utah's Legal Services Oversight Office and Regulatory Sandbox

For Project Activity from 06/01/2020 **to** 05/31/2021

Total Amount Requested for Project from SJI \$ 107,214.06

RESET

ITEM	SJI FUNDS	STATE FUNDS	FEDERAL FUNDS	APPLICANT FUNDS	OTHER FUNDS	IN-KIND SUPPORT	TOTAL
Personnel							0.00
Fringe Benefits							0.00
Consultant / Contractual	107,214.06					100,000.00	207,214.06
Travel							0.00
Equipment							0.00
Supplies							0.00
Telephone							0.00
Postage							0.00
Printing / Photocopying							0.00
Audit							0.00
Other (specify)							0.00
Subtotal, Direct Costs	107,214.06	0.00	0.00	0.00	0.00	100,000.00	207,214.06
Indirect Costs							0.00
Grand Total	107,214.06	0.00	0.00	0.00	0.00	100,000.00	207,214.06

Remarks:

RESET

STATE JUSTICE INSTITUTE

PROJECT BUDGET

(TABULAR FORMAT)

Applicant: Utah Supreme Court

Project Title: Piloting Utah's Legal Services Oversight Office and Regulatory Sandbox

For Project Activity from 06/01/2021 **to** 12/31/2021

Total Amount Requested for Project from SJI \$ 92,785.94

RESET

ITEM	SJI FUNDS	STATE FUNDS	FEDERAL FUNDS	APPLICANT FUNDS	OTHER FUNDS	IN-KIND SUPPORT	TOTAL
Personnel							0.00
Fringe Benefits							0.00
Consultant / Contractual	92,785.94					0.00	92,785.94
Travel							0.00
Equipment							0.00
Supplies							0.00
Telephone							0.00
Postage							0.00
Printing / Photocopying							0.00
Audit							0.00
Other (specify)							0.00
Subtotal, Direct Costs	92,785.94	0.00	0.00	0.00	0.00	0.00	92,785.94
Indirect Costs							0.00
Grand Total	92,785.94	0.00	0.00	0.00	0.00	0.00	92,785.94

Remarks:

RESET

STATE JUSTICE INSTITUTE

PROJECT BUDGET

(TABULAR FORMAT)

Applicant: Utah Supreme Court

Project Title: Piloting Utah's Legal Services Oversight Office and Regulatory Sandbox

For Project Activity from 06/01/2020 **to** 12/31/2021

Total Amount Requested for Project from SJI \$ 200,000.00

RESET

ITEM	SJI FUNDS	STATE FUNDS	FEDERAL FUNDS	APPLICANT FUNDS	OTHER FUNDS	IN-KIND SUPPORT	TOTAL
Personnel							0.00
Fringe Benefits							0.00
Consultant / Contractual	200,000.00					100,000.00	300,000.00
Travel							0.00
Equipment							0.00
Supplies							0.00
Telephone							0.00
Postage							0.00
Printing / Photocopying							0.00
Audit							0.00
Other (specify)							0.00
Subtotal, Direct Costs	200,000.00	0.00	0.00	0.00	0.00	100,000.00	300,000.00
Indirect Costs							0.00
Grand Total	200,000.00	0.00	0.00	0.00	0.00	100,000.00	300,000.00

Remarks:

RESET

STATE JUSTICE INSTITUTE ASSURANCES

The applicant hereby assures and certifies that it possesses legal authority to apply for the grant, and that if funds are awarded by the State Justice Institute pursuant to this application, it will comply with all applicable provisions of law and the regulations, policies, guidelines and requirements of SJI as they relate to the acceptance and use of SJI funds pursuant to this application. The applicant further assures and certifies with respect to this application, that:

1. No person will, on the basis of race, sex, national origin, disability, color, or creed be excluded from participation in, denied the benefits of, or otherwise subjected to discrimination under any program or activity supported by SJI funds, and that the applicant will immediately take any measures necessary to effectuate this assurance.
2. In accordance with 42 U.S.C. 10706(a), funds awarded to the applicant by SJI will not be used, directly or indirectly, to influence the issuance, amendment, or revocation of any Executive order or similar promulgation by federal, state or local agencies, or to influence the passage or defeat of any legislation or constitutional amendment by any federal, state or local legislative body.
3. In accordance with 42 U.S.C. 10706(a) and 10707(c):
 - a. It will not contribute or make available SJI funds, project personnel, or equipment to any political party or association, to the campaign of any candidate for public or party office, or to influence the passage or defeat of any ballot measure, initiative, or referendum;
 - b. No officer or employee of the applicant will intentionally identify SJI or applicant with any partisan or nonpartisan political activity or the campaign of any candidate for public or party office; and,
 - c. No officer or employee of the applicant will engage in partisan political activity while engaged in work supported in whole or in part by SJI.
4. In accordance with 42 U.S.C. 10706(b), no funds awarded by SJI will be used to support or conduct training programs for the purpose of advocating particular non-judicial public policies or encouraging non-judicial political activities.
5. In accordance with 42 U.S.C. 10706(d), no funds awarded by SJI will be used to supplant state or local funds supporting a program or activity; to construct court facilities or structures, except to remodel existing facilities or to demonstrate new architectural or technological techniques, or to provide temporary facilities for new personnel or for personnel involved in a demonstration or experimental program; or to solely purchase equipment for a court system.
6. It will provide for an annual fiscal audit of the project.
7. It will give the Institute, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award.
8. In accordance with 42 U.S.C. 10708(b) (as amended), research or statistical information that is furnished during the course of the project and that is identifiable to any specific individual, shall not be used or revealed for any purpose other than the purpose for which it was obtained. Such information and copies thereof shall be immune from legal process, and shall not be offered as

evidence or used for any purpose in any action suit, or other judicial, legislative, or administrative proceeding without the consent of the person who furnished the information.

9. All research involving human subjects will be conducted with the informed consent of those subjects and in a manner that will ensure their privacy and freedom from risk or harm and the protection of persons who are not subjects of the research but would be affected by it, unless such procedures and safeguards would make the research impractical. In such instances, the Institute must approve procedures designed by the grantee to provide human subjects with relevant information about the research after their involvement and to minimize or eliminate risk or harm to those subjects due to their participation.
10. All products prepared as the result of the project will be originally-developed material unless otherwise specifically provided for in the award documents, and that material not originally developed that is included in such projects must be properly identified, whether the material is in a verbatim or extensive paraphrase format.
11. No funds will be obligated for publication or reproduction of a final product developed with Institute funds without the written approval of the Institute. The recipient will submit a final draft of each such product to the Institute for review and approval prior to submitting that product for publication or reproduction.
12. The following statement will be prominently displayed on all products prepared as a result of the project: "This [document, website, film, videotape, etc.] was developed under a [grant, cooperative agreement, contract] from the State Justice Institute. Points of view expressed herein are those of the [author(s), filmmaker(s), etc.] and do not necessarily represent the official position or policies of the State Justice Institute."
13. The "SJI" logo will appear on the front cover of a written product or in the opening frames of a video production produced with Institute funds, unless another placement is approved in writing by the Institute.
14. Except as otherwise provided in the terms and conditions of a SJI award, the recipient is free to copyright any books, publications, or other copyrightable materials developed in the course of an Institute-supported project, but the Institute shall reserve a royalty-free, non-exclusive and irrevocable right to reproduce, publish, or otherwise use, and to authorize others to use, the materials for purposes consistent with the State Justice Institute Act.
15. It will submit quarterly progress and financial reports within 30 days of the close of each calendar quarter during the funding period (that is, no later than January 30, April 30, July 30, and October 30); that progress reports will include a narrative description of the project activities during the calendar quarter, the relationship between those activities and the task schedule and objectives set forth in the approved application or an approved adjustment thereto, any significant problem areas that have developed and how they will be resolved, and the activities scheduled during the next reporting period,; and that financial reports will contain the information required.
16. At the conclusion of the project, title to all expendable and non-expendable personal property purchased with SJI funds shall vest in the court, organization, or individual that purchased the property if certification is made to the Institute that the property will continue to be used for the authorized purposes of SJI-funded project or other purposes consistent with the State Justice Institute Act, as approved by SJI. If such certification is not made or SJI disapproves such certification, title to all such property with an aggregate or individual value of \$1,000 or more shall vest in SJI, which will direct the disposition of the property.

17. The person signing the application is authorized to do so on behalf of the applicant, and to obligate the applicant to comply with the assurances enumerated above.

NON-FEDERAL GRANTS

Judicial District or Location: Administrative Office of the Courts, Salt Lake City, Utah

Grant Level (check one): ☐ Low ☒ Med. ☐ High.
\$10,000 to \$50,001 \$50,000 to \$1,000,000 Over \$1,000,000

Explanation of how the grant funds will contribute toward resolving the issues identified: The grant funds would enable the court to pay for a full code review, documentation enhancement, ensure compliance with intellectual property and governance requirements, and develop RFI to identify other states with interest in implementing Utah's code for ODR. Utah Courts will collaborate with National Center for State Courts (NCSC) to complete the work, which is estimated to take 3-6 months to complete.

Total Funding Sources

[illegible][illegible]

Comments: _____

Will additional state funding be required to maintain or continue this program or its infrastructure when this grant expires or is reduced? Yes No **X** If yes, explain:

Will the funds to continue this program come from within your exiting budget: Yes _____ No **X** N/A _____

How many additional permanent FTEs are required for the grant?	0	Temp FTEs?	0
--	---	------------	---

This proposal has been reviewed and approved by the following:

N/A* The court executives and judges in the affected district(s).

X The Grant Coordinator and the Budget Manager at the Administrative Office of the Courts.

N/A* The affected Board(s) of Judges.

* Per Brent Johnson, there are no courts or Boards of Judges affected by this grant.

Approved by the Judicial Council _____ by Mary T. Noonan
Date _____ Court Administrator _____

Copy forwarded to Legislative Fiscal Analyst May 6, 2020
date

Signature: Mary T. Noonan 5/6/2020
Mary T. Noonan 5/6/2020 (May 6, 2020)

-52-

Judicial Council Form ODR grant proposal

Final Audit Report

2020-05-06

Created:	2020-05-06
By:	TODD EATON (todde@utcourts.gov)
Status:	Signed
Transaction ID:	CBJCHBCAABAAWiw2pnDh5tWt1o5sVFA40XvBovfz_QDW

"Judicial Council Form ODR grant proposal" History



Document created by TODD EATON (todde@utcourts.gov)

2020-05-06 - 1:17:59 PM GMT- IP address: 65.100.239.74



Document emailed to Mary T. Noonan 5/6/2020 (mnoonan@utcourts.gov) for signature

2020-05-06 - 1:18:45 PM GMT



Email viewed by Mary T. Noonan 5/6/2020 (mnoonan@utcourts.gov)

2020-05-06 - 3:17:53 PM GMT- IP address: 66.249.84.189



Document e-signed by Mary T. Noonan 5/6/2020 (mnoonan@utcourts.gov)

Signature Date: 2020-05-06 - 3:36:11 PM GMT - Time Source: server- IP address: 174.208.11.234


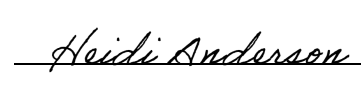


Signed document emailed to TODD EATON (todde@utcourts.gov) and Mary T. Noonan 5/6/2020 (mnoonan@utcourts.gov)

2020-05-06 - 3:36:11 PM GMT

STATE JUSTICE INSTITUTE

AWARD

<input checked="" type="checkbox"/> Grant <input type="checkbox"/> Contract <input type="checkbox"/> Cooperative Agreement		Page <u>1</u> of <u>1</u>
1. Grantee Name and Address Utah Supreme Court 450 S. State St. Salt Lake City, UT 84111		3. Award Number SJ-20-P-047
		4. Award Period 4/27/20 – 4/27/21
		5. Award Date 4/27/2020
1a. Employer Identification No. 87-6000545		6. Award Amount \$185,000
2. Entity to Receive Funds		7. Type of Award <input type="checkbox"/> Project Grant <input type="checkbox"/> Technical Assistance (TA) Grant <input type="checkbox"/> Curriculum Adaptation & Training (CAT) Grant <input checked="" type="checkbox"/> Strategic Initiative Grant <input type="checkbox"/> Partner Grant
2a. Employer Identification No.		
8. Project Title <i>Online Dispute Resolution (ODR) Assessment</i>		
9. Special Conditions (<i>Check if applicable</i>) <input type="checkbox"/> The above project is approved subject to such conditions or limitations as set forth on the attached _____ page(s).		
STATE JUSTICE INSTITUTE APPROVAL		GRANTEE ACCEPTANCE
10. Approving SJI Official Name: <u>John D. Minton</u> Title: <u>Chair, Board of Directors</u> Signature: <u></u> Date: <u>April 27, 2020</u>		11. Authorized Official of Grantee Name: <u>Heidi Anderson</u> Title: <u>CIO</u> Signature: <u></u> Date: <u>May 5, 2020</u>

Mary Campbell McQueen
President

Dan Hall
Vice President
Court Consulting Services Division
Denver Office

January 30th, 2020

Jonathan Mattiello
Executive Director
State Justice Institute
11951 Freedom Drive, Suite 1020
Reston, Virginia 20190

Dear Jonathan:

The National Center for State Courts is pleased to submit this application on behalf of the Utah Courts to conduct a three- to six-month project to review Utah's ODR tool and explore options for documenting and licensing it to make it available at no cost to other courts. This project falls within the State Justice Institute's Priority Investment Areas – Self-Represented Litigation. The proposed budget is \$185,000.

We are grateful to the State Justice Institute for reviewing the grant proposal and are happy to provide any additional information if needed. If you have any questions, please contact me at 303.293.3063 or via email, lkaversma@ncsc.org.

Sincerely,



Laura Klaversma

Enclosures

UTAH STATE COURT
ONLINE DISPUTE RESOLUTION (ODR) ASSESSMENT

STATE JUSTICE INSTITUTE
STRATEGIC INITIATIVE GRANT

JANUARY 2020

SUBMITTED BY

UTAH STATE COURTS
ADMINISTRATIVE OFFICE OF THE COURTS
450 SOUTH STATE STREET
SALT LAKE CITY, UT 84114-0210

TABLE OF CONTENTS

Statement of the Problem.....	1
Who is involved	1
Grant Structure.....	2
Utah ODR	2
Work to be Performed.....	2
Budget	6

Statement of the Problem

Online Dispute Resolution (ODR) is helping US courts of all sizes make justice processes more accessible, reducing the timeline for case resolution, decreasing some forms of implicit bias, and saving clerk and judicial time on some case types, freeing up judicial resources to focus on more complex matters. “Off-the-shelf” ODR products either have up-front costs or per-case ongoing fees that some courts cannot afford or that would ultimately be passed along to the user, creating a greater burden on parties. Acquiring and adapting code developed by another court can make it possible for some courts to implement an ODR solution with features and capabilities beyond their budget.

Federal source code policy encourages agencies to achieve “greater efficiency, transparency, and innovation through reusable and open source software.”¹ This policy, applicable to federal agencies, lays out a vision that can benefit state and local agencies, as well. In the spirit of efficiency and collaboration, Utah Courts would like to make an in-house developed ODR product available for other courts to use and modify. Before doing so, the code should be reviewed for quality and issues of governance and licensing must be addressed.

Who is involved

This work would be undertaken by partnership between the National Center for State Courts (NCSC) and the Utah Courts. NCSC has a demonstrated history of technical expertise in the courts and is a trusted advisor to court systems throughout the US including Utah. Utah Courts continue to demonstrate visionary leadership in applying technology to court processes and are a nationally recognized leader in the court community.

Utah Administrative Office of the Courts

Justice Deno Himonas, Utah Supreme Court
Judge Brendan McCullagh, West Valley Justice Court
Brody Arishita, IT Department
Heidi Anderson, IT Department
Kimberlee Zimmerman, West Valley Justice Court

National Center for State Courts

Barb Holmes and Paul Embley

¹ Federal Source Code Policy, Memorandum for the Heads of Departments and Agencies, M-16-21.
<https://sourcecode.cio.gov/>

Grant Structure

SJI will make the grant directly to Utah Courts. Utah will subcontract with NCSC as described below. Utah will seek matching funds grant from Pew Foundation to assist with the total cost outlined below.

Utah ODR

The Utah State Courts (Utah) have developed an Online Dispute Resolution (ODR) tool for small claims cases in Utah. Unlike other ODR tools, this tool was developed in-house by IT staff at the Utah courts. This approach allows Utah to scale their implementation to other jurisdictions and case types without additional development costs. Utah can also modify and improve the tool at their discretion and not be limited by vendor development timelines and priorities.

The Utah ODR tool is notably user-friendly and designed particularly to support the needs of self-representative litigants. It is currently undergoing user experience testing from the University of Arizona supported by The Pew Charitable Trusts which will only further improve the tool. Starting in late 2020, Utah would like to be able to share their ODR tool with other states. Before they do so, there are some key steps to be completed to make the tool ready for sharing. These key steps are highlighted below.

Work to be Performed

Before the Utah ODR tool can be shared with other jurisdictions, these key tasks must be addressed:

- Code review
- Documentation enhancement
- Intellectual property and governance
- RFI development to identify other states with interest in implementing Utah's code

Code Review

There are two types of code review to be performed:

- Assessment of the code for ease of adoption by other jurisdictions
- Cyber security assessment

Adoption Assessment

To ensure the Utah ODR tool is ready for adoption by another court system, the 300,000 lines of code that make up the tool should be reviewed by software developers with an understanding of courts. This review would analyze the ease of implementation for another jurisdiction and would provide recommendations to the Utah courts about possible changes that should be made to the

code to facilitate implementation. Utah courts could then choose which recommendations to implement.

Who - This work would be undertaken by partnership between the National Center for State Courts (NCSC) and the Utah Courts. NCSC has a demonstrated history of technical expertise in the courts and is a trusted advisor to court systems throughout the US including Utah.

Time - This work could take up to approximately three months to complete with two months for NCSC to analyze and create recommendations and one month for Utah to implement.

Cost -This work should be priced in hours from NCSC and Utah. estimated for no more than \$25,000.

Deliverables

1. NCSC technical staff will review the Utah code and assess ease of adoption for future jurisdictions
2. After completing review, NCSC will submit a draft report to Utah; report will include recommendations for improvements to improve possible adoption by future states.
3. NCSC staff will be available to advise Utah on implementing recommendations in draft report
4. Utah will choose which recommendations from NCSC to implement and will use staff to implement.

Security Assessment

The code should also be assessed by an organization with specific cybersecurity expertise. This security assessment would include a line-by-line code review as well as data privacy assessments and would include recommendations for remediating any findings from the review. Following the review, Utah courts could choose which recommendations to implement. This review is critical to demonstrate to the people of Utah and possible interested jurisdictions that they are working with a tool that is handling their personal data to the best industry standards.

Who – Utah will manage an RFP process to select a cybersecurity vendor. Once a vendor is selected and the code reviewed, Utah will implement recommendations for improvements from vendor.

Time - This work would take approximately three months to complete after contract signing with two months for analysis and recommendations from the security firm and one month for Utah to implement.

Cost - This work would include a contract to a security assessment firm (approximately \$50,000-\$60,000) and Utah staff time to implement recommendations based on hours.

Deliverables

1. Utah will contract with a vendor to provide a cyber security assessment and privacy review for the ODR tool.
 - a. Assessment will include but is not limited to code review (approximately 300,000 lines), up-to-date patch review, password and encryption review, and other assessments deemed necessary by the vendor and Utah.
 - b. Vendor will provide a report of recommendations for Utah to implement ordered by severity of findings.
2. Utah will use staff time to implement recommendations from the assessment

Documentation Enhancements

Documentation of the Utah ODR tool is critical to facilitate on-boarding any other states. Not only do the technical pieces of the project need to be documented for developers but guides for users and court staff must also be developed. All documentation will require a plain-language technical writing expert who can distill complex procedural steps and technical information into easy-to-understand, actionable information. Documentation is not just limited to written documentation but may include flow charts and videos especially for user facing documentation.

Who - This work would be performed by Utah in partnership with NCSC and possibly an outside technical writer. Utah would be responsible for managing the documentation process and revising any documents received from the technical writer and/or NCSC.

Time - This work could take up to six months to complete. Guides to be written include technical guides for developers and future implementers, court staff guides, and possibly additional user guides which may come in the form of more videos or other media if necessary.

Cost - This work should be priced in hours by Utah and NCSC. Estimated for not more than \$40,000

Deliverables

1. Utah and NCSC will work together to highlight possible areas of enhancement for documentation
2. Utah works with partners to assign work
3. Utah contracts with NCSC for specific pieces of documentation
4. Utah contracts with outside vendors if needed

Intellectual Property

To protect the investment in IP made by the Utah courts, outside counsel with IP expertise should be retained to assist the court in developing appropriate licensing and governance structures to protect the IP of the ODR tool. Utah does not want to simply open source this tool as it would allow vendors to take their code base and profit from their work. Instead, Utah would like to establish a license that allows for governments to be able to implement the code base while controlling use by for-profits entities.

To determine the scope of the governance, Utah will convene a one-day meeting with relevant stakeholders from Utah and NCSC as well as possible outside organizations to assist Utah in determining what governance and licensing structure should be implemented. Attorneys who will write the license and governance should attend this meeting as well.

Who - This work should be performed by IP lawyers versed in government technology. The lawyers should work with Utah to ensure the goals of the court are met by the licensing and governance that will be setup. Lessons should also be drawn from similar government licensing structures like those utilized by 18F, GSA, and others.

Time - This work could take three to six months to complete and should be managed by the Utah courts to ensure their needs are fulfilled.

Cost - Priced by contract to law firm and hours for Utah staff. Estimated for not more than \$50,000. Travel budget for non-Utah based people/organizations will be covered in grant agreement.

Deliverables

1. Utah will host a convening in Salt Lake City in partnership with NCSC.
2. Utah will use this convening to determine the tool's license and governance structure.
3. Attorneys contracted to Utah will deliver a license and a governance structure meeting Utah's goals.

RFI Development

While the Utah ODR tool is being enhanced prior to deployment in future states, a request for information should go out to all courts interested in adopting the Utah ODR tool. This RFI should be designed to assess the technical capacity of the requesting jurisdictions to make sure that not only are they interested in adopting the tool, but also that they have the technical capabilities to adopt and implement it successfully.

Who - This work should be performed collaboratively between Utah and NCSC. NCSC will facilitate distribution of the RFI to courts they think would be interested in applying. Utah and NCSC could then review RFI responses and identify states likely to adopt the tool going forward. This would help prioritize the technical assistance that could be provided by the partner organizations to the new jurisdiction.

Time - This work should take approximately three months to complete with one month to create the RFI, one month to release the RFI, and one month to review and prioritize responses to the RFI.

Cost – Estimated for not more than \$10,000.

Deliverables

Utah and NCSC will work together to develop an RFI.

NCSC will release RFI to networks of courts of their choosing who may be a good fit to respond to the RFI.

Utah and NCSC will review responses to RFI to assist in determining organizations who might be ready to adopt Utah ODR and who may or may not require additional technical assistance from NCSC.

Budget

The total cost of the project will be a firm fixed price of \$185,000. The Utah State Court is requesting up to \$185,000 in SJI funds. A line item budget (Form C) and budget narrative are attached, as well as a letter from the NCSC affirming its participation.

We are grateful to the State Justice Institute for reviewing this Grant Proposal and are happy to provide any additional information if needed. If you have any questions about our proposal, please contact Heidi Anderson, Chief Information Officer, Utah State Courts, at 801-578-3872.

Thank you for the opportunity to request this grant.

Sincerely,



Heidi Anderson

Chief Information Officer, Utah State Courts

STATE JUSTICE INSTITUTE APPLICATION

1. APPLICANT a. Organization Name <u>Utah Supreme Court</u> b. Street/P.O. Box <u>450 S. State St.</u> c. City <u>Salt Lake City</u> d. State <u>UT</u> e. Zip Code <u>84111</u> f. Phone Number <u>801-578-3900</u> g. Fax Number _____ h. Web Site Address <u>https://www.utcourts.gov/courts/sup/</u> i. Name & Phone Number of Contact Person <u>Heidi Anderson, 801-578-3872</u> j. Title <u>Chief Information Officer</u> k. E-Mail Address <u>heidia@utcourts.gov</u>	2. TYPE OF APPLICANT (Check appropriate box) <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <input checked="" type="checkbox"/> State Court <input type="checkbox"/> National organization operating in conjunction with State court <input type="checkbox"/> National State court support organization <input type="checkbox"/> College or university </div> <div style="width: 45%;"> <input type="checkbox"/> Other non-profit organization or agency <input type="checkbox"/> Individual <input type="checkbox"/> Corporation or partnership <input type="checkbox"/> Other unit of government <input type="checkbox"/> Other _____ (Specify) _____ </div> </div>
3. PROPOSED START DATE _____ <u>April 30, 2020</u>	
4. PROJECT DURATION (months) <u>3-6 months</u>	
5. APPLICANT FINANCIAL CONTACT a. Organization Name <u>Utah State Courts--Administrative Office of the Courts</u> b. Street/P.O. Box <u>450 S. State St.</u> c. City <u>Salt Lake City</u> d. State <u>UT</u> e. Zip Code <u>84111</u> f. Phone Number _____ g. Fax Number _____ h. Web Site Address _____ i. Name & Phone Number of Contact Person <u>Milton Margaritis, 801-578-3863</u> j. Title <u>Grant Coordinator</u> k. E-Mail Address <u>miltonm@utcourts.gov</u> l. Organization EIN <u>876000545</u>	6. IF THIS APPLICATION HAS BEEN SUBMITTED TO OTHER FUNDING SOURCES, PLEASE PROVIDE THE FOLLOWING INFORMATION: Source <u>N/A</u> Date Submitted _____ Amount Requested _____ Disposition (if any) or Current Status _____ 7. a. AMOUNT REQUESTED FROM SJI \$ <u>185,000</u> b. AMOUNT OF MATCH Cash Match \$ <u>PEW</u> In-kind Match \$ _____ c. TOTAL MATCH \$ _____ d. OTHER CASH \$ _____ e. TOTAL PROJECT COST \$ <u>185,000</u>
8. TITLE OF PROPOSED PROJECT <u>ONLINE DISPUTE RESOLUTION (ODR) ASSESSMENT</u>	
9. CONGRESSIONAL DISTRICT OF: <u>Many</u> <u>Many</u> <div style="display: flex; justify-content: space-between; font-size: small;"> Name of Representative; District Number Project location (if different from applicant location); Name of Representative; District Number </div>	
10. CERTIFICATION On behalf of the applicant, I hereby certify that to the best of my knowledge the information in this application is true and complete. I have read the attached assurances (Form D) and understand that if this application is approved for funding, the award will be subject to those assurances. I certify that the applicant will comply with the assurances if the application is approved, and that I am lawfully authorized to make these representations on the behalf of the applicant. <div style="display: flex; justify-content: space-between; align-items: flex-end; margin-top: 20px;"> <div style="width: 40%;"> SIGNATURE OF RESPONSIBLE OFFICIAL </div> <div style="width: 30%; text-align: center;"> Chief Information Officer TITLE </div> <div style="width: 30%; text-align: right;"> January 30, 2020 DATE </div> </div> <div style="font-size: x-small; margin-top: 5px;"> (For applications from State and local courts, Form B - Certificate of State Approval, must be attached) </div>	

STATE JUSTICE INSTITUTE

Certificate of State Approval

The Utah Administrative Office of the Courts

Name of State Supreme Court or Designated Agency or Council

has reviewed the application entitled ONLINE DISPUTE RESOLUTION (ODR) ASSESSMENT

prepared by Heidi Anderson

Name of Applicant

approves its submission to the State Justice Institute, and

☒ agrees to receive and administer and be accountable for all funds awarded by SJI pursuant to the application;

☐ hereby requests consideration of a reduction in cash match as requested by the applicant (**NOTE: only applicable to Project Grant applications**);

☐ designates

Name of Trial or Appellate Court or Agency

as the entity to receive, administer, and be accountable for all funds awarded by SJI pursuant to the application.



Signature

January 30, 2020

Date

Judge Mary T. Noonan

Name

Utah State Court Administrator

Title

STATE JUSTICE INSTITUTE

PROJECT BUDGET

(TABULAR FORMAT)

Applicant: Utah State Courts

Project Title: Online Dispute Resolution Assessment

For Project Activity from 04/30/2020 **to** 10/30/2021

Total Amount Requested for Project from SJI \$ 185,000.00

ITEM	SJI FUNDS	STATE FUNDS	FEDERAL FUNDS	APPLICANT FUNDS	OTHER FUNDS	IN-KIND SUPPORT	TOTAL
Personnel							0.00
Fringe Benefits							0.00
Consultant / Contractual	170,000.00						170,000.00
Travel	15,000.00						15,000.00
Equipment							0.00
Supplies							0.00
Telephone							0.00
Postage							0.00
Printing / Photocopying							0.00
Audit							0.00
Other (specify)							0.00
Subtotal, Direct Costs	185,000.00	0.00	0.00	0.00	0.00	0.00	185,000.00
Indirect Costs							0.00
Grand Total	185,000.00	0.00	0.00	0.00	0.00	0.00	185,000.00

Remarks:

BUDGET NARRATIVE

Utah State Courts

Online Dispute Resolution (ODR) Assessment

OVERALL BUDGET

The total cost of the project is a firm fixed price of \$185,000. The Utah State Court is requesting up to \$185,000 in SJJ funds. Utah will seek matching funds from the Pew Foundation to assist with this total cost.

The budget is based on the following:

Total Budget:	\$185,000
SJJ Request:	\$185,000

Consulting Personnel Costs:	\$170,000
Travel:	\$15,000

Code Review	\$25,000
Security Review	\$60,000
Enhance Documentation	\$40,000
Intellectual Property	\$50,000
RFI Development	\$10,000

Travel:

Site Visits Estimated up to 15 total trips, with an average of 3 days/2 nights.

*Note: Travel expenses include airfare, hotel, per diem, and ground transportation and are based on the National Center for State Courts policy that utilizes federal policies as guidelines. The travel days include travel time.