

Report Title: 2020 - 2022 IT Strategic Plan

Agency: 222 Department of Professional & Occupational Regulation (DPOR)

Date: 9/2/2020

Current Operational IT Investments

In this section, describe the high-level strategy the agency will use to manage existing operational IT investments over the next year to 5 years. This section should align with identified Business Requirements for Existing Technology (BReTs). At minimum, please address the following questions in your description of your agency's strategy for managing existing operational IT investments:

Are there existing IT investments that will require additional funding over the next year to 5 years, such as license renewals, re-competition of current IT contracts, or system enhancements required by the Agency Strategic Plan?

If there are systems that will no longer support the agency's business needs, either through poor performance or excessive cost, how does IT leadership in the agency plan to address the issues?

If the agency does not have the staff or funding to meet increasing demand for IT services, how will IT leadership fulfill the requests?

The Department of Professional and Occupational Regulation protects the health, safety and welfare of the public by licensing qualified individuals and businesses and enforcing standard of professional conduct for professions and occupations as designated by statute. Its vision, to be the Commonwealth's most effective agency, discovering creative ways to integrate regulatory efficiency with consumer protection via a commitment to exceptional customer service, efficient business processes, technological proficiency, and empowered employees who are committed to public service and professional development will require significant investments in new technologies. The Department's Strategic Plan is built on three service areas: licensing, enforcement, and administrative services. The systems supporting the three service areas while functional, have become increasingly out-of-date and cumbersome for existing staff to maintain. The Department's mission-critical licensing system (EAGLES), while relatively new (completed in 2013) has proven difficult for users to learn and Information Technology staff to maintain. The Department purchased the code when the system was completed with plans to enhance the existing solution; however, staff turnover has limited the work to critical changes required to keep the system compliant with statutory and regulatory changes. The EAGLES system is also limited in its scope. The original system was intended to support the Department's licensing and enforcement efforts; however, due to time and cost overages, the enforcement component was abandoned. The separate Enforcement Tracking System (ETS) was developed in a now obsolete programming language (PowerBuilder) that offers few cloud alternatives needed to support the system over the next few years. Finally, the document management system (IRIS) offers limited user-controlled configuration options necessary to support new document categories. The Department's server infrastructure is comprised of older servers running end-of-life software that compromised the stability of the licensing system. Server upgrades will be completed within FY 2020 as they are critical to the continued operation of the Department's licensing function, but to move the agency forward into new capabilities, new software solutions must be explored to replace the agency's licensing system, enforcement and case management system, and document management system. In order to fund these initiatives, a dedicated \$22 million dedicated special fund was established by Chapter 854 of the 2019 Acts of Assembly, Item 119, Paragraph C which states, in relevant part: "In consultation and cooperation with the Virginia Information Technologies Agency (VITA) and the Commonwealth's Chief Data Officer, the Department of Professional and Occupational Regulation shall develop a plan to replace or upgrade the current information technology system, including the licensing system, utilized by the Department. At a minimum, the new or improved IT system should have the capacity to do the following: (i) accept and process applications and payments online; (ii) improve the ease of online renewals; and (iii) integrate licensing data with enforcement case management data." Staffing will be handled utilizing a "hybrid" approach in which short-term needs will be met by staff augmentation and VITA services with long-term/permanent system support handled by three to four full-time positions in the Information Technology and Business Development Division which will also include the transfer of IT-related responsibilities for its licensing system and technical aspects of website management, records management, and electronic forms from the licensing division.

Factors Impacting the Current IT

In this section, the agency will describe the changes in their business environment that will require or mandate changes to the agency's current IT investments. These are requirements and mandates from external sources, such as

other agencies or business partners, the agency's customer base, product and service providers, or new federal or state legislation or regulations. The agency must identify the business value of the change, any important deadlines that must be met, and the consequences if the deadlines are not met. In your discussion, be sure to note whether the proposed enhancements are funded or not. If the agency's existing current IT investments will not need enhancement due to requirements or mandates from external sources in the foreseeable future, the agency should enter the following text rather than leave the Factors Impacting the Current IT section blank

For each mandated change, summarize your agency's response from your Agency Strategic Plan, and is it the opinion of agency IT leadership that the IT portion of the response is adequately funded?

Do the mandated changes effect IT in other Commonwealth agencies, or in other states? If so, how?

The Department's 2020-2022 Strategic Plan includes many business objectives that justify investments in new licensing, enforcement, and document management technology. Specifically, the plan states the following goals, objectives and strategies: (1) issue licenses, certifications, registrations, and other authorizations to qualified individuals and businesses in an efficient manner with minimal application processing delays; (2) integrate support services into individual service area operations efficiently to maximize customer satisfaction; (3) extend or replace licensing system functionality to expand online license capability to all professions and occupations; (4) explore new electronic document management opportunities to include case management and enterprise content management/correspondence management that integrates into our database systems.

Proposed IT Solutions

In this section, describe the high-level strategy the agency will use to initiate new IT investments over the next year to 5 years in support of the agency strategic objectives documented in your Agency Strategic Plan. The agency does not need to consider specific technologies at this time, however, the strategy should identify how the IT implementation will provide business value to the organization. This section should align with identified Business Requirements for New Technology (BRnTs). At minimum, please address the following questions in your description of your agency's strategy for initiating new IT investments:

What are the most important solutions, based on the priority assigned to the requirements by the business sponsors in your agency, and what is the approach to achieving these priority solutions?

If any new IT initiatives will be started in the upcoming budget biennium, is it the opinion of agency IT leadership that it is adequately funded?

Does the agency's current IT staff have the appropriate skill set needed to support future agency technologies? If not, what skill sets need to be acquired?

If the agency will be engaged in multiple new IT initiatives, how will agency IT staff and agency subject matter experts be used across the initiatives?

Procurement of an enterprise-wide licensing, enforcement, and document management solution is the priority for the Department of Professional and Occupational Regulation. Adequate funding exists for system and staffing changes in the technology area for the Department as a result of Chapter 854 of the 2019 Acts of Assembly, Item 119, Paragraph C, although the agency's overall MEL may require adjustment to accommodate increased full-time staff. Current staffing does not offer the appropriate skill set needed to support future agency technologies, but staff augmentation and organizational restructuring are being proposed to handle IT-related responsibilities for the procurement and management of the system investments and technical aspects of website management, records management, and electronic forms responsibilities transferred from the licensing division.

Report Title: Business Requirements For Technology

Agency: 222 Department of Professional & Occupational Regulation (DPOR)

Date: 9/2/2020

BReT DPOR Systems Replacement

BRT Type:	Business Requirement for Existing Technology
Date Submitted:	5/11/2020
Mandate:	Yes
Mission Critical:	Yes

Description:

The Department of Professional and Occupational Regulation is charged with replacing the following systems, in consultation and cooperation with VITA:

- Enforcement and Government Licensing System (EAGLES - licensing)
- Enforcement Tracking System (ETS - enforcement/compliance)
- Information Retrieval Information System (IRIS - document management)

These legacy systems were essentially deemed inadequate in the October 2018 JLARC study of the Department, ultimately resulting in <https://budget.lis.virginia.gov/item/2019/1/HB1700/Chapter/1/119/>.

BRet DPOR Upgrade to RHEL 6.5

BRT Type:	Business Requirement for Existing Technology
Date Submitted:	10/15/2019
Mandate:	No
Mission Critical:	No

Description:

Upgrade operating systems on five Linux database servers to release 6.5

Report Title: IT Strategic Plan Budget Tables

Agency: 222 Department of Professional & Occupational Regulation (DPOR)

Date: 9/2/2020

Current IT Services				
	Costs Year 1		Costs Year 2	
Category	GF	NGF	GF	NGF
Projected Service Fees	\$0.00	\$1,236,002.00	\$0.00	\$1,273,082.00
VITA Infrastructure Changes	\$0.00	\$0.00	\$0.00	\$0.00
Estimated VITA Infrastructure	\$0.00	\$1,236,002.00	\$0.00	\$1,273,082.00
Specialized Infrastructure	\$0.00	\$0.00	\$0.00	\$0.00
Agency IT Staff	\$0.00	\$880,335.00	\$0.00	\$880,335.00
Non-agency IT Staff	\$0.00	\$545,976.00	\$0.00	\$545,976.00
Cloud Computing Service	\$0.00	\$0.00	\$0.00	\$0.00
Other Application Costs	\$0.00	\$0.00	\$0.00	\$0.00
Total	\$0.00	\$2,662,313.00	\$0.00	\$2,699,393.00
Proposed IT Investments				
	Costs Year 1		Costs Year 2	
Category	GF	NGF	GF	NGF
Major IT Projects	\$0.00	\$0.00	\$0.00	\$0.00
Non-Major IT Projects	\$0.00	\$0.00	\$0.00	\$0.00
Agency-Level IT Projects	\$0.00	\$0.00	\$0.00	\$0.00
Major Stand Alone IT Procurements	\$0.00	\$0.00	\$0.00	\$0.00
Non-Major Stand Alone IT Procurements	\$0.00	\$0.00	\$0.00	\$0.00
Agency-Level Stand Alone IT Procurements	\$0.00	\$0.00	\$0.00	\$0.00
Procurement Adjustment for Staffing	\$0.00	\$0.00	\$0.00	\$0.00
Total	\$0.00	\$0.00	\$0.00	\$0.00
Projected Total IT Budget				
	Costs Year 1		Costs Year 2	
Category	GF	NGF	GF	NGF
Current IT Services	\$0.00	\$2,662,313.00	\$0.00	\$2,699,393.00
Proposed IT Investments	\$0.00	\$0.00	\$0.00	\$0.00
Total	\$0.00	\$2,662,313.00	\$0.00	\$2,699,393.00

Report Title: IT Strategic Plan Projects

Agency: 222 Department of Professional & Occupational Regulation (DPOR)

Date: 9/2/2020

There are no projects for this agency.

Report Title: IT Strategic Plan Procurements

Agency: 222 Department of Professional & Occupational Regulation (DPOR)

Date: 9/2/2020

Stand Alone Procurements:

There are no stand alone procurements for this agency.