

# 2022 - 2024 IT Strategic Plan

**Agency:** 222 Dept of Professional & Occupational Regulation

**Date:** 1/7/2022

## Current IT State

**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 (DPOR) protects the health, safety and welfare of the public by licensing qualified individuals and businesses and enforcing standards of professional conduct for professions and occupations as designated by statute. DPOR's vision is to be the Commonwealth's most effective agency by discovering creative ways to integrate regulatory efficiency with consumer protection. The Department's Strategic Plan focuses on the goals, objectives and strategies associated with DPOR's three service areas: licensing, enforcement, and administrative services. Each of these service areas is supported by individual computer systems that operate independently with no inherent data connections between them. They are:

1. Electronic Access to Government Licensing and Enforcement System (EAGLES): Licensing
2. Enforcement Tracking System (ETS): Enforcement
3. Image Retrieval Information System (IRIS): Administrative Services/Document Management:

The three systems supporting the service areas, while functional, use obsolete technologies, offer little on-line functionality, and have become increasingly burdensome for staff to maintain and modify.

DPOR's mission-critical licensing system, EAGLES is one example of out-of-date technology that is difficult for staff to learn and IT staff to maintain. No vendor support is available to augment the Department's IT staff efforts following the Department's decision to purchase the code in 2012 and assume responsibility for system upgrades and enhancements. Staff turnover has limited the work to system troubleshooting and critical changes required to keep the system compliant with statutory and regulatory changes.

The Joint Legislative Audit and Review Commission (JLARC) October 9, 2018 report to the Governor and the General Assembly of Virginia on the Operations and Performance of the Department of Professional and Occupational Regulation stated that, "The many limitations of DPOR's licensing IT system create challenges for both staff and applicants. The system does not allow DPOR to offer basic, user-friendly online services and does not effectively automate key licensing processes". With limited IT resources available to the Department and the Commonwealth's push for cloud-based solutions, DPOR initiated the DPOR System Replacement Project to procure a new integrated licensing, enforcement, document/case management system with the capacity to accept/process applications (including renewals), complaints and online payments. The project to procure the System Automation (MLO) solution, using the current state contract was granted Project Initiation Approval (PIA) on February 8, 2021. The new system will be hosted and maintained by System Automation.

At the beginning of FY21, the Department's server environment included approximately 20 virtual servers housed at Commonwealth Enterprise Solutions Center (CESC), as well as five physical servers running end-of-life software that compromised the stability of the critical EAGLES licensing system. All the servers required relocation to the QTS Data Center by December 2021; however, the physical server move was delayed while waiting for an acceptable Oracle cloud solution to support the application and database on new virtual servers. As of the end of May, 2021, all agency virtual servers are scheduled to move to QTS on June 5, 2021 and work is continuing on the P2V conversion of the Linux Red Hat servers.

## **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 Strategic Plan identifies business objectives that justify investments in new technologies. 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. The System Automation solution integrates licensing, enforcement, and document management into one enterprise solution.

The Department of Professional and Occupational Regulation is affected by both state and federal laws and regulations that add, delete or modify regulatory programs. System modifications (are standard operating procedures) for up to five regulatory changes per year. Changes to these laws and statutes impact the scope of the Department's operations and subsequently, its IT expenditures.

Examples include:

Title 54.1, Subtitle I. General Provisions Relating to Regulatory Boards

Title 54.1, Subtitle II. Professions and Occupations Regulated by the Department of Professional and Occupational Regulation and Boards within the Department

Virginia Administrative Code, Title 18, Professional and Occupational Licenses

Title 2.2, Subtitle I, Part C. State Agencies Related to the General Operation of Government

Title 2.2, Subtitle I, Part E. State Officers and Employees

Title 2.2, Subtitle II. Part B. Transaction of Public Business

Title 13.1, Corporations

Title 36, Chapter 5.1 (Virginia Fair Housing Law)

Title 42.1, Chapter 7 (Virginia Public Records Act)

Title 55, Chapter 4.1 (Horizontal Property)

Title 55, Chapter 4.2 (Condominium Act)

Title 55, Chapter 19 (Subdivided Land Sales Act)

Title 55, Chapter 21 (Virginia Real Estate Time-Share Act)

Title 55, Chapter 24 (Virginia Real Estate Cooperative Act)

Title 55, Chapter 26 (Property Owners' Association Act)

Title 55, Chapter 27 (Virginia Residential Property Disclosure Act)

Title 55, Chapter 27.2 (Real Estate Settlements)

Title 55, Chapter 27.3 (Real Estate Settlement Agents)  
Title 55, Chapter 28 (Commercial Real Estate Broker's Lien Act)  
Title 55, Chapter 29 (Common Interest Community Management Information Fund)  
12 USC 3301 et seq. (Financial Institutions Reform, Recovery and Enforcement Act)  
15 USC 2601 et seq. (Toxic Substances Control Act)  
15 USC 6300 et seq. (Professional Boxing Safety Act of 1996, amended by the Muhammad Ali Boxing Reform Act effective 6/26/00)  
42 USC 3601 et seq. (Federal Fair Housing Act)

The System Automation Cloud-Based Hosting and Administration Statement of Work allows for a reasonable number of program changes required by changes to our regulatory environment.

### **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 Department's technology area 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 development transferred from the licensing division.

# IT Strategic Plan Budget Tables

Agency:	222 Dept of Professional & Occupational Regulation
Date:	1/7/2022

Current IT Services				
	Costs Year 1		Costs Year 2	
Category	GF	NGF	GF	NGF
Projected Service Fees		\$1,770,684.00		\$1,823,805.00
VITA Infrastructure Changes				
Estimated VITA Infrastructure	\$0.00	\$1,770,684.00	\$0.00	\$1,823,805.00
Specialized Infrastructure				
Agency IT Staff		\$880,335.00		\$880,335.00
Non-agency IT Staff		\$811,073.60		\$649,096.60
Cloud Computing Service				
Other Application Costs				
<b>Total:</b>	\$0.00	\$3,462,092.60	\$0.00	\$3,353,236.60

Proposed IT Investments				
	Costs Year 1		Costs Year 2	
Category	GF	NGF	GF	NGF
Major IT Projects:		\$2,740,000.00		\$1,790,000.00
Non-Major IT Projects:				
Agency-Level IT Projects:				
Major Stand Alone IT Procurements:				
Non-Major Stand Alone IT Procurements:				
Agency-Level Stand Alone IT Procurements:				
Procurement Adjustment for Staffing:				
<b>Total:</b>	\$0.00	\$2,740,000.00	\$0.00	\$1,790,000.00

Projected Total IT Budget				
	Costs Year 1		Costs Year 2	
Category	GF	NGF	GF	NGF
Current IT Services:	\$0.00	\$3,462,092.60	\$0.00	\$3,353,236.60
Proposed IT Investments:	\$0.00	\$2,740,000.00	\$0.00	\$1,790,000.00
<b>Total:</b>	\$0.00	\$6,202,092.60	\$0.00	\$5,143,236.60

# Business Requirements For Technology

<b>Agency:</b>	222 Dept. of Professional & Occupational Regulatio
<b>Date:</b>	1/7/2022
<b>222 DPOR BRt Cloud Readiness Assessment 2018 Elec</b>	
<b>BRT Type:</b>	Business Requirement for Existing Technology
<b>Date Submitted:</b>	3/26/2021
<b>Mandate:</b>	Yes
<b>Mission Critical:</b>	Yes
<b>Description:</b>	
<p>Governor Ralph Northam's "Executive Order 19: Cloud Service Utilization and Readiness" requires agencies to take specific actions starting this month and continuing through fall 2019.</p> <p>The order requires VITA to adopt a model for evaluating and incorporating cloud services into the commonwealth's information technology (IT) strategy and services. VITA has:</p> <ul style="list-style-type: none"> <li>Started the process of creating a cloud services model</li> <li>Begun obtaining information about agency systems that can be migrated to a cloud environment</li> <li>Provided an overview of the process at the recent agency information technology resources (AITR) meeting</li> <li>Planned additional announcements to AITRs regarding remaining steps</li> <li>Included cloud-related services and migration to the new data center in the recently awarded infrastructure contracts</li> </ul> <p>Additionally, VITA and all systems must move from the Commonwealth Enterprise Solutions Center (CESC) in Chester by December of 2021. One related strategy is to reduce the number of physical servicers at CESC to prepare for the move. This means migration to the cloud must be completed by that time. It is imperative to start planning now.</p> <p>Agencies' IT staff members have been asked to complete cloud assessments and should be using the results to identify resource requirements. VITA encourages agencies to evaluate their resources and discuss resource planning with the appropriate financial staff to ensure work can begin as required. Resource needs should be included requests in the upcoming budget cycle.</p> <p>To identify which existing solutions can be migrated to the cloud and ensure all new IT solutions proposed be cloud-enabled, VITA will issue a hosting standard in the coming weeks. This standard will define terminology and identify requirements agencies must consider when implementing cloud-based IT solutions.</p>	
<b>BRt DPOR Systems Replacement</b>	
<b>BRT Type:</b>	Business Requirement for Existing Technology
<b>Date Submitted:</b>	3/26/2021
<b>Mandate:</b>	Yes
<b>Mission Critical:</b>	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/>.

**BRnT DPOR Systems Replacement**

<b>BRT Type:</b>	Business Requirement for New Technology
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<b>Date Submitted:</b>	3/26/2021
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<b>Mandate:</b>	Yes
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<b>Mission Critical:</b>	Yes
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**Description:**

The Joint Legislative Audit and Review Commission (JLARC) October 9, 2018 Report to the Governor and the General Assembly of Virginia on the Operations and Performance of the Department of Professional and Occupational Regulation found that, "The many limitations of DPOR's licensing IT system create challenges for both staff and applicants. The system does not allow DPOR to offer basic, user-friendly online services and does not effectively automate key licensing processes." The Department currently operates three mission critical systems that operate independently. They are the 1) Enforcement and Government Licensing Electronic System (EAGLES); Enforcement Tracking System (ETS); and Image Retrieval Information System (IRIS). The inefficiency of operating three separate systems that are fundamental to effective agency operations is compounded by the learning curve associated with the current licensing system, the obsolete programming language used to develop and support the enforcement system, and the lack of user configurable features available in the document management system. With limited IT resources available for system enhancements and maintenance and the Commonwealth's push for cloud-based solutions, DPOR is proposing implementation of a new system with the capacity to accept/process applications (including renewal) and payments online. The new system will integrate licensing and enforcement data with document management and case management data. The preferred solution, System Automation MyLicense Platform is currently on Virginia state contract. The project will involve development of a new user and consumer-friendly solution and migration from the current systems into a new system to be hosted and maintained by System Automation (SA).

**Electronic Access to the Government Licensing and**

<b>BRT Type:</b>	Business Requirement for Existing Technology
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<b>Date Submitted:</b>	3/31/2021
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<b>Mandate:</b>	
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<b>Mission Critical:</b>	
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**Description:**

Associated Project: CTP20602 - EO19\_DPOR\_Electronic Access to the Government Licensing and Enforcement System



# IT Strategic Plan Projects

<b>Agency:</b>	222 Dept of Professional & Occupational Regulation		
<b>Date:</b>	1/7/2022		
<b>DPOR Systems Replacement - Project</b>			
Category 1	Project Initiation Approval		
<p>The Department of Professional and Occupational Regulation is initiating a project to procure a new licensing system using the state System Automation contract. The system has the ability to accept and process online applications (including renewals) and online payments. The system will replace the current licensing system (EAGLES) as well as integrate licensing data with document management and enforcement case management data. The preferred solution will include migration of the current systems' data, records and documents into the new system; implementation of the new multi-function system (to include training); and hosting and maintenance/administration by the vendor.</p>			
Project Start Date	2/12/2021	Project End Date	
<b>Estimated Costs:</b>	<b>Total</b>	<b>General Fund</b>	<b>Non-General Fund</b>
Project Cost	\$7,785,000.00		\$7,785,000.00
Estimated first year of biennium:	\$515,000.00	\$0.00	\$515,000.00
Estimated second year of biennium:	\$2,740,000.00	\$0.00	\$2,740,000.00

## Project Related Procurements

DPOR Systems Replacement - Procurement
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# IT Strategic Plan Procurements

There are no stand alone procurements for this agency.