

Agency Strategic Plan

Department of Professional & Occupational Regulation (222)

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Biennium: 2010-12 ▼

Mission and Vision

Mission Statement

The Department of Professional and Occupational Regulation's mission is to protect 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.

Vision Statement

The Department of Professional and Occupational Regulation will 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.

Agency Values

- Exceptional Customer Service
Demonstrating a caring attitude and placing the needs of our customers before our own
- Superior Professional Standards
Promising occupational proficiency
- Honesty and Fairness
Acting in an open, equitable and consistent manner
- Competence
Performing our jobs in an effective and efficient manner
- Continuous Improvement
Striving toward improvement and never resting on past achievements

Executive Progress Report

Service Performance and Productivity

- *Summary of current service performance*

As of June 2009, DPOR licensed, certified or registered more than 310,000 individuals and businesses in nearly 40 occupations and professions, with an agency workforce of 229 classified and wage employees budgeted for FY 2010.

An analysis of DPOR's operational activities, through FY 2009, indicates an overall increase of 10.7% in the number of licensees from FY04 through FY09. In FY09, DPOR processed 29,226 applications for licensure, representing a decrease of 16.6% from FY04 through FY09 with the expectation of processing approximately 30,000 applications in FY10. The decrease in processed applications is largely due to the economic downturn in FY09, which had a significant negative impact on the real estate and contractor professions. Together the two professions comprise almost 55% of the Department's licensees. After recent years of unusually high growth in those professions, the Department expects the volume of licensees and applicants to stabilize and return to more normal levels of growth in the next biennium.

Four of the agency's 20 regulatory boards comprise the majority of DPOR's activities. The Board for Contractors' service population represents 31% of the agency's total regulants, with the Real Estate Board at 23%; Board for Barbers and Cosmetology at 23.5%; and the Board for Architects, Professional Engineers, Land Surveyors, Certified Interior Designers and Landscape Architects (APELSCIDLA Board) at 12.5%. All other boards combined account for 10% of DPOR's regulant population.

In FY09, DPOR logged more than 4,600 complaints against individuals and businesses under its regulatory jurisdiction. During the same fiscal year, the Alternative Dispute Resolution Section of the Compliance and Investigations Division offered mediation services to complainants and respondents in 176 cases. The Adjudication Section conducts 250-350 disciplinary informal fact-finding conferences each year.

In FY08, DPOR achieved performance expectations in the Governor's Management Scorecard administrative support functions encompassing Human Resource Management; Financial Management; Government Procurement; IT/Enterprise Architecture Initiatives; Performance Management; and Environmental and Historic Resources

Stewardship. In the area of Government Procurement, the Department had a "progress toward expectations" rating during the first three quarters of the fiscal year, and "met expectations" in the fourth quarter.

- *Summary of current productivity*

DPOR productivity has increased markedly over time, with the agency providing a broader array of services to a greater number of customers every year. The agency operates efficiently and effectively, with 100% of agency procurements processed through eVA. Although DPOR received two APA audit points in the audit cycle ending on June 30, 2007 (one of which was information technology related), neither were repeat audit points and both have been corrected.

From FY04 to FY09, the number of licensees per employee (Full-Time Equivalent) decreased from 1,837 to about 1,580. During that time period, the number of applications processed per FTE in the Licensing and Regulation Division decreased from about 646 to 435 annually. This decrease in licensees and applications per FTE is due to a combination of factors. The economic downturn in FY09 caused a decline in the volume of applications and number of regulants. At the same time, the Department completed the first phase of development and implementation of its new licensing system which required additional staff to deal with the system's processing complexities.

Initiatives, Rankings and Customer Trends

- *Summary of Major Initiatives and Related Progress*

DPOR acknowledges that many opportunities exist to improve efficiency through technology. A technological advancement initiated in the 2002-04 biennium, the DPOR website "License Lookup" feature has evolved in recent years to include final orders, consent orders and continuing education information. As of the close of FY09, 25.6% of eligible regulants were taking advantage of DPOR's online renewal option, while the Department prepares for the continued development and implementation of an enterprise system solution that will allow customers to complete and submit online (1) license applications and (2) consumer complaints during the 2010-12 biennium.

During the 2008-10 Biennium, DPOR took major strides toward establishing the Department as an agency leader in electronic document management. The Department updated its electronic records management system to a web-based portal in order to streamline the management of digital images throughout the record life-cycle. Additionally, a "virtual" records room was created in order to store electronic images of documents previously stored in paper format. DPOR continues to identify and convert important record categories for electronic storage to improve efficiency while reducing the risk associated with paper record retention. By embracing electronic document management, DPOR employees have contributed to cost savings resulting from a reduction in the amount of leased space required to store paper records and enhanced customer service associated with desktop storage, retrieval and distribution of records.

Another technology-based opportunity afforded to DPOR employees is the ability to telecommute. Through secure remote access, employees are able to perform job duties outside of the central office in Henrico County. As of the end of FY09, 43% of eligible agency employees telework at least 32 hours a month which exceeds the Governor's goal of 25% by January 1, 2010. In addition to the obvious benefits to employees, telework serves as the cornerstone of the Department's Continuity of Operations Plan and other short-term business continuity plans.

Building on DPOR's commitment to excellence, during FY07, the Department initiated a training program designed to develop a culture that is focused on quality, teamwork and customer assistance. The training curriculum is based on the Chart House Learning FISH! Philosophy to help employees become more engaged with their work and the people they serve, and to encourage employees to choose positive, productive attitudes that foster an environment of responsiveness, energy, creativity, and performance excellence. More than 30 employees participated in FISH! workshops and activities during FY09.

- *Summary of Virginia's Ranking*

A comparison of DPOR to its national peers is complicated by the vastly different regulatory schemes across all 50 states. DPOR's structure is unusual as an umbrella agency administering a wide array of regulatory programs across multiple boards.

Among our neighbors, for example, Maryland oversees certain contractors through its Home Improvement Commission, while in North Carolina three different boards regulate electrical contractors; plumbing, heating and fire sprinkler contractors; and general contractors. The California Contractors State License Board, for instance, licenses 316,000 contractors in more than 40 classifications – three times Virginia's contractor licensee population – but the autonomous board is staffed by 434 employees with a \$60 million budget for FY 08-09.

Despite the difficulty of finding a true "apple-to-apple" comparison, DPOR is recognized nationally – and beyond – as a leader in its field. The Council on Licensure, Enforcement and Regulation (CLEAR), an international association of organizations involved in professional and occupational regulation, awarded DPOR employees with its highest honors twice in 2003 (Member Achievement and Investigator of the Year) and previously in 2000 (Member Achievement). In addition, one DPOR investigator currently serves on the CLEAR Board of Directors and two DPOR employees are

former presidents of the international organization.

- *Summary of Customer Trends and Coverage*

As of the close of FY09, DPOR licensed, certified, or registered more than 310,000 individuals and businesses in regulated professions, and expects the number of regulants to increase by an average of 1-2% annually during the 2010-12 Biennium. The agency serves approximately 30,000 applicants each year. The customer population of licensees and applicants is geographically and demographically diverse.

One hundred eighty practitioner and citizen members from every part of Virginia now serve on DPOR's 20 boards (19 regulatory boards and the Board for Professional and Occupational Regulation) up from the 174 board members prior to the beginning of FY10. Trade and professional organizations affiliated with regulated occupational areas include national, state and regional associations. The affiliated organizations actively participate in the regulatory and legislative processes affecting program areas. In addition, DPOR works directly with approximately 149 local, state and federal government offices and agencies in accomplishing its public protection mission and organizational goals.

At the start of FY10, the internal customer base was composed of 229 classified and wage employees, located primarily in the central Richmond office with field investigators working off-site in the Northern, Central, Tidewater, and Southwest regions of the Commonwealth. As in public agencies through Virginia and the federal government, the Department faces a potential staff shortage and loss of institutional knowledge due to a "graying" workforce. Based on 2009 data, the median years of service for a Department employee is 8.1 years, compared with the statewide median of 8.9 years. As with most state agencies, DPOR faces a potential staff shortage crisis and loss of institutional knowledge due to a "graying" workforce with over one-third (38%) of the agency classified employees (70) retirement-eligible within the next 10 years. Of those 70, 15 are eligible to retire immediately with full benefits, another 7 are eligible within 2 years, and in 5 years, a total of 29 employees will be eligible to retire with full benefits. To mitigate the impact, the Department uses tools such as compensation factors and tuition assistance to recruit and retain qualified employees.

Given the various professions and occupations assigned to DPOR, it is conceivable that all Virginia residents are served through and affected by DPOR's service area programs. Although the agency does not attempt to count individuals served outside of the licensure and complaint processes, DPOR responds to the needs of consumers and the general public through public records management (i.e., license verification and public records disclosure) and consumer education and outreach (i.e., media affairs, speaking engagements and publications). DPOR produces and distributes consumer education brochures and other materials for a variety of constituencies, including pamphlets targeted to Spanish-speaking consumers and senior citizens.

While consumers of all ages are served through and affected by the agency's services, the Department emphasizes consumer education of senior Virginians, who are potential targets for unscrupulous business practices in five particular regulatory areas: construction and home repair, fair housing, hearing aid specialists, cemeteries and pre-need burial contracts, and opticians. Through a dedicated hotline and partnerships with law enforcement and other senior service providers, DPOR is increasing awareness of elder fraud prevention and consumer protection for older Virginians. The Department offers "senior-friendly" print publications and a website section of consumer guides for older Virginians. Information is provided to seniors online and through partnerships with local senior centers, the Department for the Aging, TRIAD chapters, AARP Virginia, and Senior Navigator among others.

Future Direction, Expectations, and Priorities

- *Summary of Future Direction and Expectations*

DPOR's development of fully interactive business processes – including on-line licensure, address changes, case management, and reporting capabilities – is essential to improving customer service, excelling with e-government initiatives, managing and evaluating operations effectively, and redirecting staff to higher-level workflow activities. Yet the transition will require significant resource investments in application and employee development.

The Department continues to explore other processing efficiencies through technology. The ongoing expansion of its electronic document management capabilities will continue to improve Freedom of Information and in-house research response time through electronic retrieval of records from the employee's work station in a fraction of the time needed to retrieve paper documents. Additionally, DPOR will continue its conversion of internal paper/non-interactive forms to interactive forms with digital (electronic signature) capability thereby eliminating the cost and delay associated with paper record processing.

In an effort to cultivate a "quality" culture and provide exemplary customer service to all Virginians, DPOR will continue its process improvement efforts by investing in employee professional development and emphasizing the effective use of reliable data and measures to evaluate and improve performance.

- *Summary of Potential Impediments to Achievement*

As in public agencies throughout Virginia and the federal government, DPOR faces a potential staff shortage crisis and

loss of institutional knowledge due to a “graying” workforce. Based on 2009 data, the median years of service for a Department employee is 8.1 years, compared with the statewide median of 8.9 years. As with most state agencies, DPOR faces a potential staff shortage crisis and loss of institutional knowledge due to a “graying” workforce with over one-third (38%) of the agency classified employees (70) retirement-eligible within the next 10 years. Of those 70, 15 are eligible to retire immediately with full benefits, another 7 are eligible within 2 years, and in 5 years, a total of 29 employees will be eligible to retire with full benefits. If not addressed through succession planning, recruitment, retention, and employee development, DPOR’s ability to satisfy expectations and achieve its mission will be limited.

Given the issues associated with the Phase I development and implementation of the Department's new enterprise system solution during the 2008-10 biennium and continuing into the 2010-12 biennium, DPOR must pursue all possible avenues to mitigate the risks that plagued the first phase of the project. Without implementation of the risk mitigation strategies there is potential for significant project delays and operational disruptions.

Since 2000, the legislature has expanded DPOR’s responsibilities by adding or modifying more than a dozen regulatory programs. The lengthy regulatory review process impedes the ability of DPOR to provide responsive and efficient services. The various reviews, approvals, and mandated timeframes required by the Administrative Process Act generally take 24-36 months to become effective. Regulations involving fee adjustments are especially challenging. Currently, to comply with the Callahan Act (§54.1-113) and ensure enough time for the APA requirements, fee increases must be identified and initiated a minimum of 2-3 years before the point that expenditures are projected to exceed revenues and cash balances. Financial activities, position and projections can change substantially during such an extended time period, so that fees initially proposed may not be appropriate by the time they become effective – requiring the boards to adjust fees again immediately.

The dramatic regulatory and operational changes experienced by the Department during the 2008-10 and 2010-12 bienniums and the need for additional staff and office space has again caused the Department to be divided between the fourth and first floors of the Perimeter Center. The efficiencies associated with co-location of all agency operations will again be compromised until additional fourth floor space can be acquired.

Service Area List

Service Number	Title
222 560 46	Licensure, Certification, and Registration of Professions and Occupations
222 560 47	Enforcement of Licensing, Regulating and Certifying Professions and Occupations
222 560 48	Administrative Services

Agency Background Information

Statutory Authority

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)
 Title 2.2, Subtitle II, Part B (Transaction of Public Business)
 Title 6.1, Chapter 1.3 (Consumer Real Estate Settlement Protection)
 Title 13.1, Chapters 1-14 (Corporations)
 Title 36, Chapter 5.1 (Virginia Fair Housing Law)
 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 (The 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 28 (Commercial Real Estate Broker’s Lien Act)
 Title 55, Chapter 29 (Common Interest Community Management Information Fund)
 12 USC Sec. 3301 et seq. (Financial Institutions Reform, Recovery and Enforcement Act)
 15 USC 2681-2692 (Control of Toxic Substances)
 15 USC Sec. 6300 et seq. (Professional Boxing Safety Act of 1996, amended by the Muhammad Ali Boxing Reform Act effective 6/26/00)
 24 CFR Part 14 et al (Implementation of the Fair Housing Amendments Act of 1988; Final Rule)
 24 CFR Part I (Final Fair Housing Accessibility Guidelines)
 24 CFR Parts 111 and 115 (Regulatory Reinvention; Certification and Funding of State and Local Fair Housing Enforcement

Agencies; Final Rule)

24 CFR Part 100 (Fair Housing Enforcement-Occupancy Standards; Statement of Policy; Notice; Publication)

29 CFR 1926.1101 (Occupational Safety and Health Administration Asbestos Construction Industry Standard)

40 CFR Part 61 (EPA National Emission Standards for Hazardous Air Pollutants)

40 CFR Part 745 Subchapter R (Toxic Substances Control Act)

40 CFR 763 Appendix C to Subpart E (EPA Asbestos Hazard Emergency Response Act; EPA Model Accreditation Plan)

Customers

Customer Group	Customers served annually	Potential customers annually
Applicants (potential licensees)	29,226	40,000
Board members (regulatory & advisory)	180	180
Complainants (individuals submitting complaints)	4,600	5,500
Employees	202	229
Local, state and federal government offices and agencies	149	149
Recovery fund claimants	232	195
Regulants (individuals/businesses holding licenses, certifications, registrations, and other authorizations)	310,000	320,000
Trade & professional organizations associated with regulated professions & occupations	63	63

Anticipated Changes To Agency Customer Base

In FY07, the Department received almost 30,000 applications. The volume of applications decreased almost 15% in FY09 due to the economic downturn.

At the close of FY09, the Department regulated more than 310,000 individuals and businesses. The volume of regulants decreased almost 2% in FY09 again due to the economic downturn and its impact on the contractors and real estate professions. DPOR expects its regulant population to stabilize in FY10 and return to more moderate growth rates of 1-2% annually during the 2010-12 Biennium. Based on those assumptions, the regulant population is expected to be about 320,000 by the close of FY12.

The Department estimates that it will receive more than 4,500 complaints against regulants and unlicensed practitioners in each year of the 2010-12 Biennium.

From FY04 through FY10, the Department's maximum employment level (MEL) increased from 137 to 202. In FY08, 32 positions were approved to address workload issues in the Compliance and Investigations Division. Then in FY09, 16 positions were added to handle new or expanded regulatory activities, to respond to additional requirements in support functions, and to provide staff to manage increased complexities and processing time associated with the agency's new licensing system. The Department has requested an additional 18 positions for the 2010-12 Biennium, and is likely to be given additional responsibility for new or expanded regulatory programs which could result in additional positions. The MEL for the biennium is likely to be 225-230 positions.

Changes in the overall number or composition of regulatory programs - as determined by the General Assembly - will affect the number of potential customers in the bases of applicants, regulants, affiliated organizations, board members, and employees. In addition, greater diversity in the applicant, regulant and consumer customer bases presents an increasing demand for services in languages other than English.

Partners

Partner	Description
[None entered]	

Products and Services

- *Description of the Agency's Products and/or Services:*
 - *Licenses, certifications, registrations, and other authorizations
 - *Alternative dispute resolution
 - *Applications and forms design
 - *Board administration

- *Budget and financial planning
 - *Case (disciplinary) adjudication
 - *Case (disciplinary) compliance tracking and documentation
 - *Community outreach
 - *Complaint intake and analysis
 - *Continuity of Operations Planning
 - *Customer assistance
 - *Document conversion (paper to electronic) and indexing
 - *Education curricula development
 - *Employee benefits administration
 - *Employee development
 - *Employee recruitment
 - *Employee recognition program administration
 - *Examination administration
 - *Financial management
 - *Information systems development
 - *Investigation of regulatory, fair housing and unlicensed activity complaints
 - *Legislative analysis
 - *Mail processing and delivery
 - *Management analysis
 - *Media relations
 - *Policy development
 - *Procurement of goods and services
 - *Project Management
 - *Public relations
 - *Quality assurance and performance measurement
 - *Records management
 - *Records and information disclosure
 - *Recovery fund claim processing
 - *Regulation promulgation
 - *Risk management
 - *Supply inventory management
 - *Strategic planning
 - *Visitor access control
- *Factors Impacting Agency Products and/or Services:*
 - *New regulatory programs
 - *Changes to existing regulatory programs
 - *Increases in the number of licenses issued
 - *Increases in the number of complaints filed (including regulatory, fair housing and unlicensed activity)
 - *Increases in the number of Contractor and Real Estate recovery fund claims submitted
 - *Changes in the frequency of board meetings
 - *Changes to the Administrative Process Act (APA)
 - *Federal environmental mandates (e.g., EPA)
 - *Greater diversity in applicant, regulant and consumer customer bases
 - *Changes in the composition of the Department's workforce
 - *Changes in state policy
 - *Changes in state directives and reporting requirements
 - *Information technology opportunities and challenges
 - *Anticipated Changes in Products or Services:*
 - New and modified programs
 - *Licensure of Community Interest Community Managers and establishment of Ombudsman (Common Interest Community Board), effective 7/1/08
 - *Licensure of Onsite Sewage System Professionals (Board for Waterworks and Wastewater Works Operators), effective 7/1/09
 - *Change from (voluntary) certification to (mandatory) licensure of Landscape Architects (Board for Architects, Professional Engineers, Landscape Architects, Certified Interior Designers and Landscape Architects), effective 7/1/10
 - *New Lead-Based Paint Renovation, Repair and Painting licensure program, effective 7/1/09
 - *New Mold Remediation licensure program (Board for Asbestos and Lead), effective 7/1/11

Potential for substantial increases in population (consumer base) coupled with DPOR's customer awareness and education initiatives creating increased demand for Department services.

Renewed emphasis on planning and accountability creates a greater demand for data, analysis and performance measures to support planning and decision-making as well as evaluate performance.

Implementation of a new licensing and enforcement system, while expected to enhance automated processing capabilities, may have limited functionality available to handle variances across programs. Additionally, development, implementation and learning curve delays experienced in the 2008-10 Biennium may continue during the next biennium.

Finance

● *Financial Overview:*

The agency's primary source of funding is licensing fees charged to applicants and regulants, which represent approximately 98.4% of revenues. Fee amounts are established for each board to provide revenues and cash reserves that are sufficient for operating expenses, but not excessive. Revenues from fees pay the expenses of each board, as well as a proportionate share of agency operations and support services. Approximately 1.6% of the agency's funds come from federal grants, which primarily support Fair Housing activities. The agency receives only non-general funds.

● *Financial Breakdown:*

	FY 2011		FY 2012	
	General Fund	Nongeneral Fund	General Fund	Nongeneral Fund
Base Budget	\$0	\$20,985,230	\$0	\$20,985,230
Change To Base	\$0	\$0	\$0	\$0
Agency Total	\$0	\$20,985,230	\$0	\$20,985,230

This financial summary is computed from information entered in the service area plans.

Human Resources

● *Overview*

The Department of Professional and Occupational Regulation's workforce is comprised of an experienced and diverse group of salaried and wage employees. The Department is committed to the professional development of all employees through support of both formal and informal educational opportunities. The Department uses tools such as compensation factors, employee recognition awards, and tuition assistance to recruit and retain qualified employees. The agency regularly monitors, analyzes and reports turnover, with positions in active recruitment remaining vacant on average less than 35 days after approval to fill is granted.

Based on 2009 data, the median years of service for a Department employee is 8.1 years, compared with the statewide median of 8.9 years. As with most state agencies, DPOR faces a potential staff shortage crisis and loss of institutional knowledge due to a "graying" workforce with over one-third (38%) of the agency classified employees (70) retirement-eligible within the next 10 years. Of those 70, 15 are eligible to retire immediately with full benefits, another 7 are eligible within 2 years, and in 5 years, a total of 29 employees will be eligible to retire with full benefits.

● *Human Resource Levels*

Effective Date	9/1/2009
Total Authorized Position level	202
Vacant Positions	-17
Current Employment Level	185.0
Non-Classified (Filled)	2
Full-Time Classified (Filled)	183
Part-Time Classified (Filled)	0
Faculty (Filled)	0
Wage	16
Contract Employees	0
Total Human Resource Level	201.0

breakout of Current Employment Level

= Current Employment Level + Wage and Contract Employees

- *Factors Impacting HR*

As in public agencies throughout Virginia and the federal government, the Department faces a potential staff shortage and loss of institutional knowledge due to a “graying” workforce with over one-third (38%) of the agency classified employees retirement-eligible within the next 10 years. Of those 70, more than one-third (29) will be eligible to retire with full benefits within the next five years and another 7 eligible for full retirement benefits within the next two years.

In addition, the discrepancy in state versus federal and private sector salaries creates recruitment and retention problems, especially when hiring field investigators in the Northern Virginia area.

- *Anticipated HR Changes*

With over one-third of the agency’s classified employees (70) retirement-eligible within the next 10 years, and over 41% of those 70 employees eligible to retire with full or reduced benefits within the next 5 years, a staff shortage crisis and loss of institutional knowledge will result. The age of DPOR employees range from 23 to 76 years, with 46 being the median age as compared to the state median age of 47. The Department’s workforce plan provides for position replacement through promotions facilitated by professional development training, recruitment strategies, and the use of wage staff including retirees.

Greater diversity in DPOR’s applicant, regulant and consumer customer bases requires recruitment of individuals with skills in multiple languages.

Information Technology

- *Current Operational IT Investments:*

DPOR places high priority on maximizing efficiencies through information technology to improve customer service and decrease costs across all functional service areas. Current IT efforts include the implementation of a web-enabled application to replace two in-house legacy systems (CLES and ETS) and to support new business requirements such as online license renewal and license application processing. The Department is one-third of the way through this implementation. This investment will support agency Goal #3 to maximize organizational effectiveness and improve the quality of customer service in all programs through efficient delivery of administrative support. The new system will provide constituent service value by improving our customers’ experience. It should be noted that during this implementation, we have discovered a major impact on agency resources.

A number of DPOR’s IT solutions are aging and approaching obsolescence. Agency-critical applications reside on outdated technology platforms and are increasingly hard to support from a software resource perspective. Non-integrated agency applications result in lost productivity due to data quality and workflow process issues.

In the mid 1990’s DPOR began the migration to a graphical user interface and client /server applications to support business processes such as licensing, exam scheduling and score maintenance, revenue processing, and enforcement activities. The applications were developed in-house to meet DPOR business needs in a cost effective manner. The legacy systems, GATS (General Application Tracking System) and CTES (Commerce tracking Enforcement System) were re-hosted from the DIT UNISYS platform to our in-house platform. The systems were renamed to CLES and ETS and were hosted on VAX machines that were currently owned by the Department. CLES was developed using COBOL, Rally and an Oracle RDB database. The Rally and Oracle RDB products have been de-supported by Oracle. ETS was developed using PowerBuilder in a client/server environment. Because these two systems are not integrated, certain agency processes are not accomplished as efficiently as possible. The aging VAX processors were upgraded to Alpha ES40 processors during 1998 to improve the processing performance of legacy applications.

- *Factors Impacting the Current IT:*

Population increases and new regulatory programs (customer bases) create increased demand for agency services, particularly fully interactive business processes including on-line licensure and case management. Renewed emphasis on planning and accountability generates greater demand for automated data reporting capabilities to support planning and decision-making as well as evaluate performance.

Implementation of a new licensing and enforcement system, while expected to enhance automated processing capabilities, may have limited functionality available to handle nuances across programs. Additionally, learning curve delays will be experienced early in the implementation phase.

Changes driven by VITA transformation activities may affect DPOR’s ability to serve its internal and external customers, and increase overhead costs to meet VITA mandates.

- *Proposed IT Solutions:*

DPOR’s future IT environment is one of continued integration and centralization of all IT systems across functional service areas. The Department’s long-term solution involves the implementation of one fully integrated program: the Electronic Access to Government Licensing and Enforcement System (EAGLES). The agency has contracted with

VERSA Management Systems to purchase a COTS (commercial off the shelf) application to support EAGLES.

The EAGLES project will:

- revolutionize service delivery by enabling external customers to apply for licenses via the Internet;
- meet external customers' accessibility needs by offering an additional means of interacting with the agency;
- enhance the efficiency and effectiveness of government services by decreasing transaction costs and improving license processing; and
- upgrade IT services for internal customers by providing an integrated suite of products for use in performing job responsibilities.

Ideally, DPOR will receive high quality and time-sensitive service from VITA, responsive to the central Richmond office as well as staff located in the field, with no increases in service costs.

● *Current IT Services:*

Estimated Ongoing Operations and Maintenance Costs for Existing IT Investments

	Cost - Year 1		Cost - Year 2	
	General Fund	Non-general Fund	General Fund	Non-general Fund
Projected Service Fees	\$0	\$1,394,593	\$0	\$1,415,512
Changes (+/-) to VITA Infrastructure	\$0	\$0	\$0	\$0
Estimated VITA Infrastructure	\$0	\$1,394,593	\$0	\$1,415,512
Specialized Infrastructure	\$0	\$0	\$0	\$0
Agency IT Staff	\$0	\$60,642	\$0	\$60,642
Non-agency IT Staff	\$0	\$0	\$0	\$0
Other Application Costs	\$0	\$0	\$0	\$0
Agency IT Current Services	\$0	\$1,455,235	\$0	\$1,476,154

Comments:

[Nothing entered]

● *Proposed IT Investments*

Estimated Costs for Projects and New IT Investments

	Cost - Year 1		Cost - Year 2	
	General Fund	Non-general Fund	General Fund	Non-general Fund
Major IT Projects	\$0	\$1,234,200	\$0	\$1,269,840
Non-major IT Projects	\$0	\$0	\$0	\$0
Agency-level IT Projects	\$0	\$0	\$0	\$0
Major Stand Alone IT Procurements	\$0	\$0	\$0	\$0
Non-major Stand Alone IT Procurements	\$0	\$0	\$0	\$0
Total Proposed IT Investments	\$0	\$1,234,200	\$0	\$1,269,840

● *Projected Total IT Budget*

Cost - Year 1	Cost - Year 2
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	General Fund	Non-general Fund	General Fund	Non-general Fund
Current IT Services	\$0	\$1,455,235	\$0	\$1,476,154
Proposed IT Investments	\$0	\$1,234,200	\$0	\$1,269,840
Total	\$0	\$2,689,435	\$0	\$2,745,994

[Appendix A](#) - Agency's information technology investment detail maintained in VITA's ProSight system.

Capital

- *Current State of Capital Investments:*
[Nothing entered]
- *Factors Impacting Capital Investments:*
[Nothing entered]
- *Capital Investments Alignment:*
[Nothing entered]

Agency Goals

Goal 1

Promote a positive business climate and ensure a competent workforce by issuing licenses, certifications and registrations to qualified individuals and businesses for the authorized practice of regulated professions.

Goal Summary and Alignment

Professional regulation establishes entry standards to ensure that individuals and businesses engaged in activities that pose potential harm to the public are sufficiently qualified by meeting standards of competency via education, experience, and/or examination.

Goal Alignment to Statewide Goals

- Be a national leader in the preservation and enhancement of our economy.
- Engage and inform citizens to ensure we serve their interests.
- Protect the public's safety and security, ensuring a fair and effective system of justice and providing a prepared response to emergencies and disasters of all kinds.

Goal 2

Protect the public and promote fair housing opportunities by preventing statutory and regulatory violations and resolving complaints against regulated professionals who fail to comply with minimal standards of practice.

Goal Summary and Alignment

Demanding compliance with statutory and regulatory standards of practice – including non-discrimination in residential housing transactions – protects the public from incompetent or unscrupulous practitioners in a fair, expeditious, and uniform manner.

Goal Alignment to Statewide Goals

- Engage and inform citizens to ensure we serve their interests.
- Protect the public's safety and security, ensuring a fair and effective system of justice and providing a prepared response to emergencies and disasters of all kinds.

Goal 3

Maximize organizational effectiveness and improve the quality of customer service in all programs through efficient delivery of administrative support.

Goal Summary and Alignment

Internal and external customers expect effective, efficient business processes that support all agency operations. Stakeholders expect competent management of resources (financial, human and material), information technology, policy and planning activities, and public information supported by a comprehensive performance measurement system.

Goal Alignment to Statewide Goals

- Engage and inform citizens to ensure we serve their interests.
- Be recognized as the best-managed state in the nation.

Goal 4

Strengthen the culture of preparedness across state agencies, their employees and customers

Goal Summary and Alignment

This goal ensures compliance with federal and state regulations, policies and procedures for Commonwealth preparedness, as well as guidelines and best practices promulgated by the Assistant to the Governor for Commonwealth Preparedness, in collaboration with the Governor's Cabinet, the Commonwealth Preparedness Working Group, the Department of Planning and Budget and the Council on Virginia's Future. The goal supports achievement of the Commonwealth's statewide goal of protecting the public's safety and security, ensuring a fair and effective system of justice and providing a prepared response to emergencies and disasters of all kinds.

Goal Alignment to Statewide Goals

- Protect the public's safety and security, ensuring a fair and effective system of justice and providing a prepared response to emergencies and disasters of all kinds.

Goal Objectives

- We will be prepared to act in the interest of the citizens of the Commonwealth and its infrastructure during emergency situations by actively planning and training both as an agency and as individuals.

Objective Strategies

- The agency Emergency Coordination Officer will stay in regular communication with the Office of Commonwealth Preparedness, the Virginia Department of Emergency Management, and other Commonwealth Preparedness Working Group agencies.

Link to State Strategy

- nothing linked

Objective Measures

- Agency Preparedness Assessment Score

Measure Class: Measure Type: Measure Frequency: Preferred Trend:

Measure Baseline Value: Date:

Measure Baseline Description: 2008 Agency Preparedness Assessment Score (% out of 100)

Measure Target Value: Date:

Measure Target Description: 2009 Agency Preparedness Assessment Score (minimum % out of 100)

Data Source and Calculation: The Agency Preparedness Assessment is an all-hazards assessment tool that measures agencies' compliance with requirements and best practices. The assessment has components including Physical Security, Continuity of Operations, Information Security, Vital Records, Fire Safety, Human Resources, Risk Management and Internal Controls, and the National Incident Management System (for Virginia Emergency Response Team - VERT - agencies only).

Service Area Strategic Plan

Department of Professional & Occupational Regulation (222)

3/13/2014 11:32 am

Biennium: 2010-12 ▼

Service Area 1 of 3

Licensure, Certification, and Registration of Professions and Occupations (222 560 46)

Description

The licensure, certification, and registration service area maintains clear licensure requirements and standards, and issues licenses, certifications, and registrations for the authorized practice of regulated professions and occupations.

Background Information

Mission Alignment and Authority

- *Describe how this service supports the agency mission*
This service area aligns directly with DPOR’s mission to serve and protect the public through licensure of qualified individuals and businesses in professions that, if not regulated, may harm the public’s health, safety and welfare.
- *Describe the Statutory Authority of this Service*
 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)
 Title 2.2, Subtitle II, Part B (Transaction of Public Business)
 Title 6.1, Chapter 1.3 (Consumer Real Estate Settlement Protection)
 Title 13.1, Chapters 1-14 (Corporations)
 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 (The 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 28 (Commercial Real Estate Broker’s Lien Act)
 Title 55, Chapter 29 (Common Interest Community Management Information Fund)
 12 USC Sec. 3301 et seq. (Financial Institutions Reform, Recovery and Enforcement Act)
 15 USC 2681-2692 (Control of Toxic Substances)
 15 USC Sec. 6300 et seq. (Professional Boxing Safety Act of 1996, amended by the Muhammad Ali Boxing Reform Act effective 6/26/00)
 24 CFR Part 14 et al (Implementation of the Fair Housing Amendments Act of 1988; Final Rule)
 24 CFR Part I (Final Fair Housing Accessibility Guidelines)
 24 CFR Parts 111 and 115 (Regulatory Reinvention; Certification and Funding of State and Local Fair Housing Enforcement Agencies; Final Rule)
 24 CFR Part 100 (Fair Housing Enforcement-Occupancy Standards; Statement of Policy; Notice; Publication)
 29 CFR 1926.1101 (Occupational Safety and Health Administration Asbestos Construction Industry Standard)
 40 CFR Part 61 (EPA National Emission Standards for Hazardous Air Pollutants)
 40 CFR Part 745 Subchapter R (Toxic Substances Control Act)
 40 CFR 763 Appendix C to Subpart E (EPA Asbestos Hazard Emergency Response Act; EPA Model Accreditation Plan)

Customers

Agency Customer Group	Customer	Customers served annually	Potential annual customers
Applicants (potential licensees)	Applicants (potential licensees)	26,226	40,000
Board members (regulatory & advisory)	Board members (regulatory & advisory)	180	180
Local, state and federal government offices and agencies	Local, state and federal government offices and agencies	149	149
Recovery fund claimants	Recovery fund claimants	232	195

Regulants (individuals/businesses holding licenses, certifications, registrations, and other authorizations)	Regulants (individuals/businesses holding licenses, certifications, registrations, and other authorizations)	310,000	320,000
Trade & professional organizations associated with regulated professions & occupations	Trade & professional organizations associated with regulated professions & occupations	63	63

Anticipated Changes To Agency Customer Base

In FY07, the Department received almost 30,000 applications. The volume of applications decreased almost 15% in FY09 due to the economic downturn.

At the close of FY09, the Department regulated more than 310,000 individuals and businesses. The volume of regulants decreased almost 2% in FY09 again due to the economic downturn and its impact on the contractors and real estate professions. DPOR expects its regulant population to stabilize in FY10 and return to more moderate growth rates of 1-2% annually during the 2010-12 Biennium. Based on those assumptions, the regulant population is expected to be about 320,000 by the close of FY12.

Changes in the overall number or composition of regulatory programs - as determined by the General Assembly - will affect the number of potential customers in the bases of applicants, regulants, affiliated organizations, board members, and employees. In addition, greater diversity in the applicant, regulant and consumer customer bases presents an increasing demand for services in languages other than English.

Partners

Partner	Description
[None entered]	

Products and Services

- *Factors Impacting the Products and/or Services:*
 - *New regulatory programs
 - *Changes to existing regulatory programs
 - *Increases in the number of licenses issued
 - *Increases in the number of complaints filed (including regulatory, fair housing and unlicensed activity)
 - *Increases in the number of Contractor and Real Estate recovery fund claims submitted
 - *Changes in the frequency of board meetings
 - *Changes to the Administrative Process Act (APA)
 - *Federal environmental mandates (e.g., EPA)
 - *Greater diversity in applicant, regulant and consumer customer bases
 - *Changes in the composition of the Department’s workforce
 - *Changes in state policy
 - *Changes in state directives and reporting requirements
 - *Information technology opportunities and challenges
- *Anticipated Changes to the Products and/or Services*
 - New and modified programs
 - *Licensure of Community Interest Community Managers and establishment of Ombudsman (Common Interest Community Board), effective 7/1/08
 - *Licensure of Onsite Sewage System Professionals (Board for Waterworks and Wastewater Works Operators), effective 7/1/09
 - *Change from (voluntary) certification to (mandatory) licensure of Landscape Architects (Board for Architects, Professional Engineers, Landscape Architects, Certified Interior Designers and Landscape Architects), effective 7/1/10
 - *New Lead-Based Paint Renovation, Repair and Painting licensure program, effective 7/1/09
 - *New Mold Remediation licensure program (Board for Asbestos and Lead), effective 7/1/11

Increases in population (consumer base), coupled with DPOR’s customer awareness and education initiatives creating increased demand for Department services.

Renewed emphasis on planning and accountability creates a greater demand for data, analysis and performance measures to support planning and decision-making as well as evaluate performance.

Implementation of a new licensing and enforcement system, while expected to enhance automated processing capabilities, may have limited functionality available to handle variances across programs. Additionally, development,

implementation and learning curve delays experienced in the 2008-10 Biennium may continue during the next biennium.

- *Listing of Products and/or Services*

- Licenses, certifications, registrations, and other authorizations
- Board administration
- Case (disciplinary) compliance tracking and documentation
- Community outreach
- Continuity of Operations Planning
- Customer assistance
- Education curricula development
- Employee development
- Examination administration
- Legislative analysis
- Management analysis
- Quality assurance and performance management
- Records management
- Records and information disclosure
- Recovery fund claims processing
- Regulation promulgation

Finance

- *Financial Overview*

The major source of funding for this service area is licensing fees charged to applicants and regulants. Fee amounts are established for each board to provide revenues and cash reserves that are sufficient for operating expenses, but not excessive. Revenues from fees pay the expenses of each board, as well as a proportionate share of agency operations and support services. In addition, this service area may receive federal grants to support environmental protection activities, generally representing less than 0.5% of the service area’s total funding. This service area is funded entirely from non-general funds.

- *Financial Breakdown*

	FY 2011		FY 2012		FY 2011	FY 2012	FY 2011	FY 2012
	General Fund	Nongeneral Fund	General Fund	Nongeneral Fund				
Base Budget	\$0	\$6,105,449	\$0	\$6,105,449				
Change To Base	\$0	\$0	\$0	\$0				
Service Area Total	\$0	\$6,105,449	\$0	\$6,105,449				
Base Budget	\$0	\$6,105,449	\$0	\$6,105,449				
Change To Base	\$0	\$0	\$0	\$0				
Service Area Total	\$0	\$6,105,449	\$0	\$6,105,449				
Base Budget	\$0	\$6,105,449	\$0	\$6,105,449				
Change To Base	\$0	\$0	\$0	\$0				

Service Area Total	\$0	\$6,105,449	\$0	\$6,105,449
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Human Resources

- *Human Resources Overview*
[Nothing entered]

- *Human Resource Levels*

Effective Date	
Total Authorized Position level	69
Vacant Positions	0
Current Employment Level	69.0
Non-Classified (Filled)	
Full-Time Classified (Filled)	
Part-Time Classified (Filled)	
Faculty (Filled)	
Wage	
Contract Employees	
Total Human Resource Level	69.0

breakout of Current Employment Level

= Current Employment Level + Wage and Contract Employees

- *Factors Impacting HR*
[Nothing entered]
- *Anticipated HR Changes*
[Nothing entered]

Service Area Objectives

- We will issue licenses, certifications, registrations, and other authorizations to qualified individuals and businesses in an efficient manner.

Objective Description

Efficient licensure of qualified individuals and businesses ensures that those entering regulated professions and occupations receive authorization to practice their chosen profession with minimal application processing delays.

Alignment to Agency Goals

- Agency Goal: Promote a positive business climate and ensure a competent workforce by issuing licenses, certifications and registrations to qualified individuals and businesses for the authorized practice of regulated professions.

Objective Strategies

- Implement a new web-based licensing and enforcement system to enable customers to complete and submit new license applications and consumer complaints online.
- Perform periodic audits of applications, forms and instructions to ensure compliance with applicable laws and regulations while maintaining clarity to improve applicant comprehension and completion rates.

Link to State Strategy

- nothing linked

Objective Measures

- Percent of licenses issued to qualified applicants within 15 days of receipt of completed application (with appropriate fee and exam score)

Measure Class: Agency Key Measure Type: Outcome Measure Frequency: Quarterly Preferred Trend: Up

Measure Baseline Value: 78.7 Date: 6/30/2004

Measure Baseline Description: Average percentage for 2002-04 Biennium

Measure Target Value: 90.0 Date: 6/30/2012

Measure Target Description: Average percentage for 2010-12 Biennium

Long-range Measure Target Value: 95.0 Date: 6/30/2018

Long-range Measure Target Description: Average percentage for 2016-18 Biennium

Data Source and Calculation: The measure uses the DPOR licensing databases. For all records of licenses issued during the time period, calculate the number of days between the date the completed application (with appropriate payment and exam score) is received and the date the license is issued; then divide the number of licenses issued within 15 days by the total number of licenses issued during the same time period to calculate the percentage. Records containing stop codes or system alerts are excluded from the calculation since the codes/alerts indicate that an application is not ready for processing due to incomplete documentation, inaccurate payment, inadequate exam score, etc. Invalid records, which may have inaccurate dates or other data are also excluded from the calculation.

○ Cost per Licensee

Measure Class: Productivity Measure Frequency: Quarterly Preferred Trend: Maintain

Measure Baseline Value: 12.56 Date: 6/30/2009

Measure Baseline Description: 1st quarter of FY09

Measure Target Value: 16.61 Date: 6/30/2012

Measure Target Description:

Data Source and Calculation: Data from the Commonwealth Accounting and Reporting System (CARS) is used to determine operating expenses (total expenditures less unusual, one-time costs) divided by the number of individuals and businesses regulated by the Department from the agency's automated licensing systems, the Electronic Access to Government Licensing and Enforcement System (EAGLES), and the Commerce Licensing Enforcement System (CLES). The Boxing and Wrestling Program and the Common Interest Community Management Program are excluded since they are accounted for in separate funds.

- To regulate professions and occupations effectively.

Objective Description

Effective regulation requires legal standards that minimize barriers to entry into and practice of regulated professions and occupations while ensuring professional competence.

Alignment to Agency Goals

- Agency Goal: Promote a positive business climate and ensure a competent workforce by issuing licenses, certifications and registrations to qualified individuals and businesses for the authorized practice of regulated professions.

Objective Strategies

- Promulgation of non-restrictive regulations, which establish minimal standards of proficiency and conduct required to ensure professional and occupational competence.
- Administer examination contracts to ensure psychometrically valid, reasonably accessible and properly

administered exams.

Link to State Strategy

- nothing linked

Objective Measures

- Percent of agency regulants with no disciplinary violations during the year

Measure Class: Measure Type: Measure Frequency: Preferred Trend:

Measure Baseline Value: Date:

Measure Baseline Description: Average percentage for 2002-04 Biennium

Measure Target Value: Date:

Measure Target Description: Average percentage for 2008-10 Biennium

Long-range Measure Target Value: Date:

Long-range Measure Target Description: Average percentage for 2010-12 Biennium

Data Source and Calculation: Data is from the DPOR Enforcement Tracking System & Cost Allocation System.
Calculation: Divide the total number of regulants with no violations for the year by the total number of regulants

Service Area Strategic Plan

Department of Professional & Occupational Regulation (222)

3/13/2014 11:32 am

Biennium: 2010-12 ▼

Service Area 2 of 3

Enforcement of Licensing, Regulating and Certifying Professions and Occupations (222 560 47)

Description

The enforcement of licensing, regulating, and certifying service area investigates, ascertains probable cause, and processes complaints of violations of statutory and regulatory requirements including possible violations of fair housing laws that prohibit discriminatory practices in residential housing.

Background Information

Mission Alignment and Authority

- *Describe how this service supports the agency mission*
This service area aligns directly with DPOR’s mission to protect the public health, safety, and welfare through enforcement of laws that demand professional compliance, competence, and conduct.
- *Describe the Statutory Authority of this Service*
 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)
 Title 2.2, Subtitle II, Part B (Transaction of Public Business)
 Title 6.1, Chapter 1.3 (Consumer Real Estate Settlement Protection)
 Title 13.1, Chapters 1-14 (Corporations)
 Title 36, Chapter 5.1 (Virginia Fair Housing Law)
 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 (The 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 28 (Commercial Real Estate Broker’s Lien Act)
 Title 55, Chapter 29 (Common Interest Community Management Information Fund)
 12 USC Sec. 3301 et seq. (Financial Institutions Reform, Recovery and Enforcement Act)
 15 USC 2681-2692 (Control of Toxic Substances)
 15 USC Sec. 6300 et seq. (Professional Boxing Safety Act of 1996, amended by the Muhammad Ali Boxing Reform Act effective 6/26/00)
 24 CFR Part 14 et al (Implementation of the Fair Housing Amendments Act of 1988; Final Rule)
 24 CFR Part I (Final Fair Housing Accessibility Guidelines)
 24 CFR Parts 111 and 115 (Regulatory Reinvention; Certification and Funding of State and Local Fair Housing Enforcement Agencies; Final Rule)
 24 CFR Part 100 (Fair Housing Enforcement-Occupancy Standards; Statement of Policy; Notice; Publication)
 29 CFR 1926.1101 (Occupational Safety and Health Administration Asbestos Construction Industry Standard)
 40 CFR Part 61 (EPA National Emission Standards for Hazardous Air Pollutants)
 40 CFR Part 745 Subchapter R (Toxic Substances Control Act)
 40 CFR 763 Appendix C to Subpart E (EPA Asbestos Hazard Emergency Response Act; EPA Model Accreditation Plan)

Customers

Agency Customer Group	Customer	Customers served annually	Potential annual customers
Board members (regulatory & advisory)	Board members (regulatory & advisory)	180	180
Complainants (individuals submitting complaints)	Complainants (individuals submitting complaints)	4,600	5,500

Local, state and federal government offices and agencies	Local, state and federal government offices and agencies	149	149
Regulants (individuals/businesses holding licenses, certifications, registrations, and other authorizations)	Regulants (individuals/businesses holding licenses, certifications, registrations, and other authorizations)	310,000	320,000

Anticipated Changes To Agency Customer Base

In FY07, the Department received almost 30,000 applications. The volume of applications decreased almost 15% in FY09 due to the economic downturn.

At the close of FY09, the Department regulated more than 310,000 individuals and businesses. The volume of regulants decreased almost 2% in FY09 again due to the economic downturn and its impact on the contractors and real estate professions. DPOR expects its regulant population to stabilize in FY10 and return to more moderate growth rates of 1-2% annually during the 2010-12 Biennium. Based on those assumptions, the regulant population is expected to be about 320,000 by the close of FY12.

The Department estimates that it will receive more than 4,500 complaints against regulants and unlicensed practitioners in each year of the 2010-12 Biennium.

Changes in the overall number or composition of regulatory programs - as determined by the General Assembly - will affect the number of potential customers in the bases of applicants, regulants, affiliated organizations, board members, and employees. In addition, greater diversity in the applicant, regulant and consumer customer bases presents an increasing demand for services in languages other than English.

Partners

Partner	Description
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[None entered]

Products and Services

- *Factors Impacting the Products and/or Services:*

- *New regulatory programs
- *Changes to existing regulatory programs
- *Increases in the number of licenses issued
- *Increases in the number of complaints filed (including regulatory, fair housing and unlicensed activity)
- *Increases in the number of Contractor and Real Estate recovery fund claims submitted
- *Changes in the frequency of board meetings
- *Changes to the Administrative Process Act (APA)
- *Federal environmental mandates (e.g., EPA)
- *Greater diversity in applicant, regulant and consumer customer bases
- *Changes in the composition of the Department's workforce
- *Changes in state policy
- *Changes in state directives and reporting requirements
- *Information technology opportunities and challenges

- *Anticipated Changes to the Products and/or Services*

New and modified programs

*Licensure of Community Interest Community Managers and establishment of Ombudsman (Common Interest Community Board), effective 7/1/08

*Licensure of Onsite Sewage System Professionals (Board for Waterworks and Wastewater Works Operators), effective 7/1/09

*Change from (voluntary) certification to (mandatory) licensure of Landscape Architects (Board for Architects, Professional Engineers, Landscape Architects, Certified Interior Designers and Landscape Architects), effective 7/1/10

*New Lead-Based Paint Renovation, Repair and Painting licensure program, effective 7/1/09

*New Mold Remediation licensure program (Board for Asbestos and Lead), effective 7/1/11

Increases in population (consumer base), coupled with DPOR's customer awareness and education initiatives creating increased demand for Department services.

Renewed emphasis on planning and accountability creates a greater demand for data, analysis and performance measures to support planning and decision-making as well as evaluate performance.

Implementation of a new licensing and enforcement system, while expected to enhance automated processing

capabilities, may have limited functionality available to handle variances across programs. Additionally, development, implementation and learning curve delays experienced in the 2008-10 Biennium may continue during the next biennium.

- *Listing of Products and/or Services*

- Alternative dispute resolution
- Case (disciplinary) adjudication
- Complaint intake and analysis
- Continuity of Operations Planning
- Customer assistance
- Employee development
- Investigation of regulatory, fair housing and unlicensed activity complaints
- Management analysis
- Records management
- Records and information disclosure

Finance

- *Financial Overview*

The major source of funding for this service area is licensing fees charged to applicants and regulants. Fee amounts are established for each board to provide revenues and cash reserves that are sufficient for operating expenses, but not excessive. Revenues from fees pay the expenses of each board and a proportionate share of agency operations, including enforcement activities conducted on behalf of the board. In addition, about 50% of the funding for Fair Housing enforcement activity is provided from federal grants. This service area is funded entirely from non-general funds.

- *Financial Breakdown*

	FY 2011		FY 2012		FY 2011	FY 2012
	General Fund	Nongeneral Fund	General Fund	Nongeneral Fund		
Base Budget	\$0	\$7,442,432	\$0	\$7,442,432		
Change To Base	\$0	\$0	\$0	\$0		
Service Area Total	\$0	\$7,442,432	\$0	\$7,442,432		
Base Budget	\$0	\$7,442,432	\$0	\$7,442,432		
Change To Base	\$0	\$0	\$0	\$0		
Service Area Total	\$0	\$7,442,432	\$0	\$7,442,432		

Human Resources

- *Human Resources Overview*

[Nothing entered]

- *Human Resource Levels*

Effective Date	
Total Authorized Position level	86
Vacant Positions	0
Current Employment Level	86.0
Non-Classified (Filled)	

Full-Time Classified (Filled)	} breakout of Current Employment Level
Part-Time Classified (Filled)	
Faculty (Filled)	
Wage	
Contract Employees	
Total Human Resource Level	86.0 = Current Employment Level + Wage and Contract Employees

- **Factors Impacting HR**
[Nothing entered]
- **Anticipated HR Changes**
[Nothing entered]

Service Area Objectives

- We will investigate and resolve complaints efficiently through alternatives to the formal disciplinary process.

Objective Description

Enforcement serves to prevent violations and, when necessary, investigate and adjudicate complaints of failure to comply with legal or regulatory professional requirements, in a fair, expeditious and uniform manner. Rather than emphasizing board-imposed sanctions against the respondent, the Department will use a variety of alternatives to formal enforcement, including voluntary correction of administrative deficiencies and alternative dispute resolution.

Alignment to Agency Goals

- Agency Goal: Protect the public and promote fair housing opportunities by preventing statutory and regulatory violations and resolving complaints against regulated professionals who fail to comply with minimal standards of practice.

Objective Strategies

- Increase the Department's emphasis on correcting practitioner non-compliance issues.
- Require remedial education in addition or as an alternative to other sanctions imposed because of regulatory violations.

Link to State Strategy

- nothing linked

Objective Measures

- Proportion of complaints resolved through alternatives to the official disciplinary process.

Measure Class: Agency Key Measure Type: Outcome Measure Frequency: Quarterly Preferred Trend: Down

Measure Baseline Value: 78.9 Date: 6/30/2004

Measure Baseline Description: Percent for FY04

Measure Target Value: 53.0 Date: 6/30/2012

Measure Target Description: Percent for the 2010-12 Biennium

Long-range Measure Target Value: 50.0 Date: 6/30/2018

Long-range Measure Target Description: Percent for the 2016-18 Biennium

Data Source and Calculation: Alternative Dispute Resolution (ADR) records and DPOR's Enforcement Tracking System databases are used in the calculation. Divide the total number of cases resolved through the official

disciplinary process by the total number of valid complaints. Valid complaints are defined as regulatory or unlicensed cases resulting in a finding that the regulant did not comply with regulations or law, including noncompliance, order, pending court action, warrant obtained, conviction, alternative dispute resolution, or settled through Alternative Dispute Resolution. Cases resolved through the formal disciplinary process include those resulting in consent orders, final orders, citations, and convictions.

- Percent of disciplinary violations resolved through consent order. Violations are defined as disciplinary cases resulting in Final Order, Consent Agreement/Citation, or Consent Order.

Measure Class: Measure Type: Measure Frequency: Preferred Trend:

Measure Baseline Value: Date:

Measure Baseline Description: Percentage for 2002-04 Biennium

Measure Target Value: Date:

Measure Target Description: Percentage for 2010-12 Biennium

Data Source and Calculation: DPOR's Enforcement Tracking System data (Orders Created During Specified Period Report) is used in the calculation. Divide total number of consent orders entered during the fiscal year by the total number of orders entered during the same time period.

- Investigate and resolve disciplinary complaints efficiently.

Objective Description

Enforcement serves to prevent violations and, when necessary, investigate and adjudicate complaints of failure to comply with legal or regulatory professional requirements, in a fair, expeditious and uniform manner. Customer service (to the regulant, complainant and consumer customer bases) is improved by expeditious resolution of complaints.

Alignment to Agency Goals

- Agency Goal: Protect the public and promote fair housing opportunities by preventing statutory and regulatory violations and resolving complaints against regulated professionals who fail to comply with minimal standards of practice.

Objective Strategies

- Evaluate alternative methods and develop new processes to increase the number of disciplinary cases closed within 150 days.
- Explore ways to reduce and simplify disciplinary case documentation requirements.

Link to State Strategy

- nothing linked

Objective Measures

- Percent of "valid" disciplinary files closed within 150 days. Valid cases are those that result in findings of violation of regulations, including orders, citations, compliance obtained, and successful Alternative Dispute Resolution (ADR).

Measure Class: Measure Type: Measure Frequency: Preferred Trend:

Measure Baseline Value: Date:

Measure Baseline Description: Percentage in FY05

Measure Target Value: Date:

Measure Target Description: Percentage for 2010-12 Biennium

Data Source and Calculation: Data from DPOR's Enforcement Tracking System database is used in this

calculation. Divide the total number of disciplinary cases closed with findings of compliance obtained, successful ADR, citation, consent order, or final order within 150 days or less by total number of cases with the same findings.

Service Area Strategic Plan

Department of Professional & Occupational Regulation (222)

3/13/2014 11:32 am

Biennium: 2010-12 ▼

Service Area 3 of 3

Administrative Services (222 560 48)

Description

The administrative services area provides efficient and effective operational support to all functional areas of the Department.

Background Information

Mission Alignment and Authority

- *Describe how this service supports the agency mission*

This service area aligns with DPOR's mission to serve and protect the public by providing efficient and effective support to all agency licensure and enforcement functions with many administrative work units working collaboratively within the service area to enhance agency efficiency overall. While administrative services supports primarily internal customers; the service area aligns directly with the agency mission to serve and protect the public, in sections that service a variety of external customers (e.g., customer assistance, community outreach, public relations, public records/information disclosure, and employee recruitment).

- *Describe the Statutory Authority of this Service*

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)

Title 2.2, Subtitle II, Part B (Transaction of Public Business)

Customers

Agency Customer Group	Customer	Customers served annually	Potential annual customers
Applicants (potential licensees)	Applicants (potential licensees)	29,226	40,000
Board members (regulatory & advisory)	Board members (regulatory & advisory)	180	180
Complainants (individuals submitting complaints)	Complainants (individuals submitting complaints)	4,600	5,500
Employees	Employees	202	229
Local, state and federal government offices and agencies	Local, state and federal government offices and agencies	149	149
Recovery fund claimants	Recovery fund claimants	232	195
Regulants (individuals/businesses holding licenses, certifications, registrations, and other authorizations)	Regulants (individuals/businesses holding licenses, certifications, registrations, and other authorizations)	310,000	320,000
Trade & professional organizations associated with regulated professions & occupations	Trade & professional organizations associated with regulated professions & occupations	63	63

Anticipated Changes To Agency Customer Base

In FY07, the Department received almost 30,000 applications. The volume of applications decreased almost 15% in FY09 due to the economic downturn.

At the close of FY09, the Department regulated more than 310,000 individuals and businesses. The volume of regulants decreased almost 2% in FY09 again due to the economic downturn and its impact on the contractors and real estate professions. DPOR expects its regulant population to stabilize in FY10 and return to more moderate growth rates of 1-2% annually during the 2010-12 Biennium. Based on those assumptions, the regulant population is expected to be about 320,000 by the close of FY12.

The Department estimates that it will receive more than 4,500 complaints against regulants and unlicensed practitioners in each year of the 2010-12 Biennium.

From FY04 through FY10, the Department's maximum employment level (MEL) increased from 137 to 202. In FY08, 32 positions were approved to address workload issues in the Compliance and Investigations Division. Then in FY09, 16 positions were added to handle new or expanded regulatory activities, to respond to additional requirements in support functions, and to provide staff to manage increased complexities and processing time associated with the agency's new licensing system. The Department has requested an additional 18 positions for the 2010-12 Biennium, and is likely to be given additional responsibility for new or expanded regulatory programs which could result in additional positions. The MEL for the biennium is likely to be 225-230 positions.

Changes in the overall number or composition of regulatory programs - as determined by the General Assembly - will affect the number of potential customers in the bases of applicants, regulants, affiliated organizations, board members, and employees. In addition, greater diversity in the applicant, regulant and consumer customer bases presents an increasing demand for services in languages other than English.

Partners

Partner	Description
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[None entered]

Products and Services

- *Factors Impacting the Products and/or Services:*

New regulatory programs

*Changes to existing regulatory programs

*Increases in the number of licenses issued

*Increases in the number of complaints filed (including regulatory, fair housing and unlicensed activity)

*Increases in the number of Contractor and Real Estate recovery fund claims submitted

*Changes in the frequency of board meetings

*Changes to the Administrative Process Act (APA)

*Federal environmental mandates (e.g., EPA)

*Greater diversity in applicant, regulant and consumer customer bases

*Changes in the composition of the Department's workforce

*Changes in state policy

*Changes in state directives and reporting requirements

*Information technology opportunities and challenges

- *Anticipated Changes to the Products and/or Services*

New and modified programs

*Licensure of Community Interest Community Managers and establishment of Ombudsman (Common Interest Community Board), effective 7/1/08

*Licensure of Onsite Sewage System Professionals (Board for Waterworks and Wastewater Works Operators), effective 7/1/09

*Change from (voluntary) certification to (mandatory) licensure of Landscape Architects (Board for Architects, Professional Engineers, Landscape Architects, Certified Interior Designers and Landscape Architects), effective 7/1/10

*New Lead-Based Paint Renovation, Repair and Painting licensure program, effective 7/1/09

*New Mold Remediation licensure program (Board for Asbestos and Lead), effective 7/1/11

Potential for substantial increases in population (consumer base) coupled with DPOR's customer awareness and education initiatives creating increased demand for Department services.

Renewed emphasis on planning and accountability creates a greater demand for data, analysis and performance measures to support planning and decision-making as well as evaluate performance.

Implementation of a new licensing and enforcement system, while expected to enhance automated processing capabilities, may have limited functionality available to handle variances across programs. Additionally, development, implementation and learning curve delays experienced in the 2008-10 Biennium may continue during the next biennium.

- *Listing of Products and/or Services*

- Application and form design

- Budget and financial planning

- Community outreach

- Continuity of Operations Planning
- Customer assistance
- Document conversion (paper to electronic) and indexing
- Employee benefits administration
- Employee development
- Employee recruitment
- Employee recognition program administration
- Financial management
- Information systems development
- Legislative analysis
- Mail processing and delivery
- Management analysis
- Media relations
- Policy development
- Procurement of goods and services
- Project management
- Public relations
- Quality assurance and performance measurement
- Records management
- Records and information disclosure
- Risk management
- Supply inventory management
- Strategic planning
- Visitor access control

Finance

- *Financial Overview*

The source of funding for this service area is licensing fees charged to applicants and regulants. Fee amounts are established for each board to provide revenues and cash reserves that are sufficient for operating expenses, but not excessive. Revenues from fees pay the expenses of each board and a proportionate share of agency operations, including administrative support activities. This service area is funded entirely from non-general funds.

- *Financial Breakdown*

	FY 2011		FY 2012	
	General Fund	Nongeneral Fund	General Fund	Nongeneral Fund
Base Budget	\$0	\$7,437,349	\$0	\$7,437,349
Change To Base	\$0	\$0	\$0	\$0
Service Area Total	\$0	\$7,437,349	\$0	\$7,437,349

Human Resources

- *Human Resources Overview*

[Nothing entered]

- *Human Resource Levels*

Effective Date	
Total Authorized Position level	47

Vacant Positions	0	
Current Employment Level	47.0	
Non-Classified (Filled)		breakout of Current Employment Level
Full-Time Classified (Filled)		
Part-Time Classified (Filled)		
Faculty (Filled)		
Wage		
Contract Employees		
Total Human Resource Level	47.0	= Current Employment Level + Wage and Contract Employees

- **Factors Impacting HR**
[Nothing entered]
- **Anticipated HR Changes**
[Nothing entered]

Service Area Objectives

- To ensure that resources are used efficiently and programs are managed effectively, and in a manner consistent with applicable state and federal requirements.

Objective Description

Administrative support services seek full compliance with all categories in the Management Scorecard through integration of IT/Enterprise Architecture Initiatives; and effective human resource management, government procurement, financial management, performance management, and resource stewardship.

Alignment to Agency Goals

- Agency Goal: Maximize organizational effectiveness and improve the quality of customer service in all programs through efficient delivery of administrative support.

Objective Strategies

- Schedule, perform and evaluate effectiveness of annual Continuity of Operations Plan tests to improve agency preparedness.
- Increase telework opportunities and efficiency through technological advancements.

Link to State Strategy

- nothing linked

Objective Measures

- Percent of administrative measures marked as 'meets expectations' (green indicator) for the agency

Measure Class: Measure Type: Measure Frequency: Preferred Trend:

Measure Baseline Value: Date:

Measure Baseline Description: FY09 score (10 of 13 administrative measures meet expectations)

Measure Target Value: Date:

Measure Target Description: 100% of administrative measures meets expectations

Data Source and Calculation: Data Source: There are currently 13 administrative measures organized into five categories. Each measure has a different data source. Agencies should refer to the administrative measures data source information table to locate the data source for each measure. The table is located in Virginia Performs/Agency Planning and Performance/Administrative Measures. Calculation: Agencies select the appropriate colored indicator (green, yellow, red) for each measure depending on the results. A gray indicator is

used for measures where data are not available. The agency administration measure is the percent of the administrative measures that have a green indicator (meets expectations). Exclude items with a gray indicator from the calculation.

- Integrate support services into individual service area operations efficiently to maximize customer satisfaction.

Objective Description

Administrative services strives to meet customers' high performance expectations in all functional areas of responsibility by providing expert resource management, cost-effective information technology applications, innovative public relations and outreach activities, and comprehensive planning and evaluation efforts.

Alignment to Agency Goals

- Agency Goal: Maximize organizational effectiveness and improve the quality of customer service in all programs through efficient delivery of administrative support.

Objective Strategies

- Develop a plan for maintaining/upgrading system hardware and software and allocating needed resources.
- Explore electronic document management opportunities.

Link to State Strategy

- nothing linked

Objective Measures

- Percent of renewals processed through the agency's website

Measure Class: Measure Type: Measure Frequency: Preferred Trend:

Measure Baseline Value: Date:

Measure Baseline Description: 16.4% for FY 2005

Measure Target Value: Date:

Measure Target Description: Percentage for the 2010-12 Biennium

Data Source and Calculation: Licensing System Online Statistics Files from the Finance Reports is the data source. To calculate divide the number of renewals processed on-line through the agency's website by the total number of renewals.

- To administer support services effectively while complying with legal, state and operational requirements.

Objective Description

Administrative services are conducted in a highly structured environment bound by numerous federal and state guidelines. The ongoing challenge to support areas is to identify process improvement opportunities that conform to the legal and operational confines in order to maximize agency effectiveness.

Alignment to Agency Goals

- Agency Goal: Maximize organizational effectiveness and improve the quality of customer service in all programs through efficient delivery of administrative support.

Objective Strategies

- Identify and address potential internal processing weaknesses.
- Design and implement a Departmental Performance Management Systems.

Link to State Strategy

- nothing linked

Objective Measures

- The percentage of Freedom of Information requests completed within five workdays.

Measure Class: Measure Type: Measure Frequency: Preferred Trend:

Measure Baseline Description: Percentage based on historical performance

Measure Target Value: Date:

Measure Target Description: Percentage for the 2010-12 Biennium

Data Source and Calculation: Public Records Freedom of Information Act Tracking Database data is used.
Calculation: Divide number of requests completed within 5 days by the total number of FOIA requests received by the Public Records Section. FOIA requests do not include information prepared in response to subpoenas with established deadlines.