

Trends

No Data Available

Legend:

↑ Increase, ↓ Decrease, ↔ Steady

Key Performance Areas

No Data Available

Productivity

No Data Available

Legend:

↑ Improving, ↓ Worsening,
 ↔ Maintaining

For more information on administrative key, and productivity measures, go to www.vaperforms.virginia.gov/agencylevel/index.cfm

Background & History

The Department of Professional and Occupational Regulation (DPOR) issues professional credentials (licenses, certificates or registrations) for more than 300,000 individuals and businesses subject to regulation, as determined by the General Assembly. The agency performs all administrative functions for 18 boards (15 policy boards, 2 advisory boards and the Board for Professional and Occupational Regulation) established by statute and comprised of practitioners and citizens. DPOR protects the public by verifying minimum competency, investigating complaints, and upholding professional compliance with state law and regulations.

DPOR regulatory boards establish minimum entry qualifications and qualify applicants based on a combination of education, experience and examination. The agency enforces standards of professional conduct by investigating reports of regulatory violations, seeking compliance with legal requirements or disciplining the regulant. Regulatory violations are subject to sanctions ranging from fines and probationary terms to license suspension or revocation.

As of the beginning of the 2014 fiscal year, the Department has 203 full-time positions (178 of them currently filled) and 22 wage positions. A non-general fund agency, DPOR is financed solely by licensing fees, which are adjusted periodically in accordance with state law to ensure revenues are sufficient but not excessive. Additionally, the agency administers and enforces federal and state fair housing law, and manages recovery funds established by statute to assist consumers victimized by licensed contractors or real estate professionals.

Primary Product & Services

Products and services with a direct impact on external customers include:

- Licenses, certifications, registrations, and other authorizations
- Complaint (disciplinary) intake and analysis
- Investigation of regulatory, fair housing and unlicensed activity complaints
- Case (disciplinary) adjudication
- Alternative dispute resolution
- Public relations and consumer outreach
- Recovery fund claim processing
- Office of Common Interest Community Ombudsman

Other products and services include:

- Application development and form design
- Board administration
- Budget and financial planning
- Case (disciplinary) compliance tracking and documentation
- Education curricula development
- Examination procurement and administration
- Information management and record disclosure
- Legislative analysis
- Reports to the General Assembly (biennial reports and operational impact studies as assigned)
- Regulation promulgation

Customer Base

At the close of FY 2013, the Department of Professional and Occupational Regulation

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(DPOR) licensed, certified or registered over 305,000 individuals and businesses in regulated professions. The volume of regulants remained steady since FY 2009 and the Department expects continued stability in this customer group with possible growth rates of 1-2% near the end of the 2012-14 Biennium. In FY 2013, DPOR received approximately 26,000 applications.

One hundred eighty practitioner and citizen members from every part of Virginia now serve on DPOR's 18 boards. 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.

Customer Listing

No Data Available

Key Agency Statistics

Given the various professions and occupations assigned to the Department of Professional and Occupational Regulation (DPOR), it is conceivable that nearly all Virginia residents are served through and affected by the Department's service area programs. The statistics included in this report illustrate the magnitude of DPOR's operations. Specifically, DPOR processed 162,727 initial, renewal and reinstatement applications and related payments during FY 2013 while during the same time period, the licensing division alone handled over 262,000 telephone calls and email communications from the public.

Finances

The Department of Professional and Occupational Regulation (DPOR) budget is comprised of the appropriation of three Non-General funds: Dedicated Special Revenue, Federal Trust, and Special. Activities of the Professional Boxing, Wrestling, and Martial Arts Advisory Board and the Common Interest Community Board are conducted within the Special Fund. Federal grants that help support the Fair Housing activities are maintained within the Federal Trust fund. All other boards and agency support activities are conducted within the Dedicated Special Revenue fund. In addition to the federal grant, 99% of DPOR's source of funding is licensing and related fees charged to applicants and regulants. Pursuant to the Callahan Act (Section 54.1-113) of the Code of Virginia, fee amounts are established for each board to provide revenues and cash reserves that are sufficient for operating expenses, but not excessive. Operating expenses for each board include direct expenditures and a proportionate share of agency operations and support services. The agency receives no support from the general fund for its operations.

Fund Sources

No Data Available

Revenue Summary Statement

Revenue for each board is recorded in separate revenue source categories. Revenue is collected from licensing and related fees as set in regulation. The agency and the boards have no other source of revenue. Fines and penalties may be collected by the agency but all such monies are transferred to the Literary Fund. All other revenue collected pays for the expenses of the boards and a proportionate share the agency operations and support services.

Key Risk Factors

The addition and modification of regulatory programs assigned to the Department of Professional and Occupational Regulation (DPOR) by the legislature, as well as the potential for additional environmental and fair housing mandates issued by the federal government are among the many challenges facing DPOR. The resulting regulatory review process impedes the Department's ability to provide responsive and efficient services. The various reviews, approvals and mandated timeframes required by the Administrative Process Act (APA) generally result in regulations taking at a minimum 24-36 months to become effective. Regulations involving fee adjustments are

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especially challenging. Currently, to comply with the Callahan Act (Section 54.1-113 of the Code of Virginia) while ensuring enough time for APA requirements, fee increases must be identified and initiated two to three years before the point that expenditures are projected to exceed revenues and cash balances. Financial position and projections can change significantly 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 initiate fee adjustments immediately.

Additionally, the implementation of Release 1 and 2 of DPOR's new enterprise system solution during the 2010-12 Biennium had a significant impact on agency processes. DPOR continues to identify and pursue all possible avenues to mitigate the risks associated with implementation of the new system. While system performance and staff processing issues are expected when the remaining (Release 3) boards go-live in the 2012-14 biennium, the Department has developed an aggressive system testing, training and support program which has proven successful in reducing the delays associated with new system processing.

Performance Highlights

Of the over 305,000 individuals and businesses holding current licenses, certifications or registrations issued by the Department of Professional and Occupational Regulation (DPOR) at the end of FY 2013, 99.78% had no disciplinary violations during the same fiscal year. During FY 2013, DPOR processed nearly 163,000 initial, renewal and reinstatement applications and related payments, including nearly 26,000 applications for new licenses. Approximately 3,500 disciplinary complaints were processed by the Compliance and Investigations Division during the same fiscal year.

During the 2010-12 biennium, DPOR migrated 48 license types across six regulatory programs into its multi-phase information technology project (EAGLES). The final phase of EAGLES will migrate the remaining third of DPOR's regulatory boards, fully retiring the agency's legacy licensing system.

In addition to the operational performance noted above, DPOR initiated a comprehensive overhaul of its website in FY 2012 in order to improve the user experience for employees and website visitors. The redesigned site (launched in July 2012) streamlines navigation and provides an intuitive architecture, in an effort to reduce the number of telephone inquiries requesting common information.

Performance Measures

Management Discussion & Analysis

General Information about the Ongoing Status of the Agency

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.

DPOR continues to explore other processing efficiencies through technology. The ongoing expansion of its electronic document management capabilities will continue to improve Freedom of Information Act (FOIA) and in-house research response time through desktop retrieval of electronic records 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.

Information Technology

Population increases and new regulatory programs (affecting 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 performance evaluation.

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.

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Changes driven by the Virginia Information Technology Agency (VITA) transformation activities may affect DPOR's ability to serve its internal and external customers, and increase overhead costs to meet VITA mandates.

Workforce Development

As the operational needs of DPOR evolve to better align our mission and the expectations of our customers, professional development opportunities for our workforce are critical. DPOR is a customer service orientated agency charged with assisting and protecting the public with regard to our regulated professions. In an effort to focus on enhancing our customer service philosophy throughout the agency, employees are afforded various training sessions on multiple topics related to further building those skills and aligning our practices to improve our delivery. DPOR also continues to encourage and support specific employee development initiatives connected to individual positions, and extends a tuition reimbursement program as an additional consideration for job-related courses/programs. Regarding the technological advancements the agency is pursuing, a new and improved computer licensing system is being progressively incorporated at DPOR. Along with this implementation, the agency provides continual training to employees to increase their ability to fully utilize this advanced system. DPOR partners with the Performance Management Group through Virginia Commonwealth University and identifies employees to participate in supervisory and/or management level programs to refine or establish those leadership skills which are beneficial to the agency in achieving both our short-term and long-term initiatives. Considering all of our professional development efforts combined with our succession planning and cross training opportunities, DPOR will be adequately prepared to meet our customer' s needs as we move into the future.

Physical Plant

The Department of Professional and Occupational Regulation (DPOR) is located in the Perimeter Center office building in Henrico County's Deep Run Office Park. The Department of General Services leases the building at 9960 Mayland Drive, Richmond, Virginia, 23233 and in turn has assigned that space to six state agencies. DPOR leases approximately 40,000 sq. feet of commercial office and storage space in the four-story building.

The Department employs more than 200 individuals with 40% of those positions [many as field investigators with home offices] telecommuting at least 32 hours each month, and another 19% telecommuting on an occasional basis.