



WISCONSIN

DEPARTMENT OF SAFETY AND PROFESSIONAL SERVICES

***ANNUAL INFORMATION TECHNOLOGY  
PLAN***

***FISCAL YEAR 2016***

Department of Safety and Professional Services

March 2015

## **Agency Overview**

The Department of Safety and Professional Services (DSPS) is responsible for ensuring the safe and competent practice of licensed professionals in Wisconsin. The department also administers and enforces laws to assure safe and sanitary conditions in public and private buildings. It provides administrative services to the state occupational regulatory authorities responsible for regulation of occupations and offers policy assistance in such areas as evaluating and establishing new professional licensing programs, creating routine procedures for legal proceedings, and adjusting policies in response to public needs.

The Department licenses and regulates more than 200 different types of credentials. The agency also provides centralized administrative services to nearly 70 boards, councils, and advisory committees. The boards, councils, and advisory committees have varying levels of responsibility and professional oversight based on statutory provisions.

Administration and oversight of these activities is provided by five divisions and the Office of the Secretary:

- Division of Industry Services (DIS)
- Division of Legal Services and Compliance (DLSC)
- Division of Management Services (DMS)
- Division of Policy Development (DPD)
- Division of Professional Credential Processing (DPCP)

The technical support of DSPS business drivers are aligned with the IT application development and infrastructure support provided by the Department of Administration, Division of Enterprise Technology (DOA-DET). The following information technology objectives for FY16 will support DSPS business needs and goals, while reducing the cost of government and improving customer satisfaction.

## I Top Five DSPS IT Goals

- **Transform the Application Portfolio**

To meet DSPS business strategies and goals, the agency seeks to transform and rebuild its application portfolio to utilize proven technologies in the provision of service and support to the citizens of the state of Wisconsin. A combination of technical and process innovation is a cornerstone of this goal.

The current portfolio of agency applications is a collection of aging legacy tools that struggle to meet the demands of today's mobile, connected citizenry. One of the top goals of the agency is to transform that portfolio into a modern suite of applications through concerted planning, design, and construction efforts over the next several years. The foundation of the new IT systems will consist of technologies that focus on customer relationship management, availability/mobility, collaboration, analytics, and document management, with most of this functionality provided "out of the box", increasing the speed with which new applications can be developed. To that end, DSPS will continue to expand the use of Microsoft technologies, mirroring the proven direction of DOA in use of these tools.

- Microsoft Dynamics CRM is a core component of DOA development, and has already been utilized within the DSPS On-Line Licensure Application System to help manage the interactions with applicants. As a development component, MS Dynamics provides a quick and effective jump-start to standard application development, and its functionality will be used as the framework for future applications where appropriate. MS Dynamics provides a positive customer experience while at the same time providing built-in security, workflow, and document management components. It can also address the need for availability in a mobile world – all functionality developed within the tool is automatically available to smartphones and tablets, empowering Wisconsin citizens to connect with the agency at any time and place. These powerful components of MS Dynamics are key to the successful accomplishment of the Application Transformation goal.
- To provide for seamless sharing of information between the agency and its citizen customers, as well as between its own Divisions and other State agencies, DSPS plans will include the use of Microsoft SharePoint as a collaboration tool. It also provides capabilities that can simplify complex workflows and multi-step business functions. Documents, approvals, calendars, notifications, and other functionality can be shared with DSPS board and council members, and the technology is regularly used as a plug-in for CRM and other customer service applications. SharePoint provides document management capabilities as well as collaboration, but to address the countless paper file folders in the agency, investigation will

continue into a robust, enterprise Document Management system that can eliminate the paper and make those documents available at the touch of a button.

- While the agency gathers data at an every-increasing rate, the ability to leverage that data and provide useful information for decision-making and provision of better customer service requires Business Intelligence (BI) and Data Analytics tools that are lacking today. The transformation of the application portfolio will also include the use of technologies like Tableau and Oracle Business Intelligence Enterprise Edition (OBIEE) to transform Online Transaction Processing (OLTP) data, unstructured data or raw data into meaningful and useful information that can be used to enable effective strategic, analytical and mission-critical decision making. DSPS seeks to take advantage of the enterprise offerings from DOA in the Business Intelligence arena.
- DSPS will continue to support the State's Enterprise Resource Planning (ERP) "STAR" project to further enable DSPS agency integration into statewide enterprise operations and modernize its aging administrative functions. A key DOA strategy that is fully supported by DSPS, this effort will improve the efficiency of systems and processes that support operations across the state enterprise. DOA is responsible for many of the central administrative program operations for the state such as payroll, personnel, procurement, budget and financial management, and each of these program operation areas will be deeply affected by the future implementation of an ERP system. DSPS also is directly affected because the ERP implementation will be targeted at modernizing most of the back-end systems that support ongoing DSPS business functions. During FY16 DSPS will continue to work with the STAR implementation team to assist the project in any manner requested. DSPS will also participate in the identification and follow-up required for agency systems that are impacted or replaced by the pending ERP system.

- **Upgrade and Optimize the IT Infrastructure**

At the same time that DSPS embarks on major initiatives to transform and modernize its application portfolio, it must also look to the underlying infrastructure that will support those applications to ensure that they are robust, secure, and scalable while remaining cost-effective. These efforts comprise the next key IT Goal for DSPS.

In addition to existing server infrastructure that is primarily Windows Server 2003-based, the development and execution environments that allow programmers to build applications and deploy them for production use need to be upgraded and optimized for the new technologies to be employed. Frameworks need to be modernized, tools need to be brought in, and processes need to be developed. DSPS will also work with DOA on Unified Communications as a way to better collaborate and communicate in the IT and

business work environments. These actions will follow the enterprise direction set by DOA, and will collectively contribute to the development of an IT infrastructure capable of supporting the needs of the agency.

- The primary servers supporting the DSPS agency IT environment are Windows Server 2003-based, and are approaching end of support life. Part of the upgrade of the infrastructure involves the replacement/upgrade of these servers to the currently supported server version (Windows 2012 R2).
- Although efforts are nearing an end, DSPS continues to pursue projects for Oracle Consolidation, and the migration of applications from EA Server to the supported Tomcat environment. Whatever activities remain in the next fiscal year to complete these efforts will be supported.
- Because DSPS has a need for remote office work, investigation will be conducted to design/implement an environment that facilitates the performance, security, and availability of applications in the field. The use of “virtual applications” is an available technology that can potentially provide these capabilities.
- To facilitate innovation and productivity, collaboration must be trouble-free and consistent across any medium. DSPS will work with DOA on the Wisconsin unified communications strategy as a way to provide this critical need, for both technical and business endeavors. Unified communications (UC) will integrate voice, video, conferencing, messaging, and collaboration across multiple platforms, applications, and locations through one common service. It will replace outdated phone technologies and contracts while increasing productivity through the integrated and more flexible communications platform. With UC, a user can access a variety of communication applications such as email, video, fax, and voice through a single user mailbox independent of the access device. UC can also expand to incorporate interactive systems such as scheduling, workflow, instant messaging and voice response systems. This ability to communicate seamlessly via a wide range of components advances all types of communication and collaboration, and doesn't force an organization to mandate preferred media or devices. Buying in to the unified communications roadmap will help DSPS maintain viable communication tools, increase productivity, and control costs.

- **Enable a Mobile Workforce**

The transformation and upgrade of the IT environment enables the next DSPS IT goal – allowing DSPS staff to work from the field with the same technologies and functionality as their central office counterparts. Field inspectors, auditors, and other field staff have been hampered in the past by their inability to use technology on the work site. With

the use of new technologies like CRM, Virtual Applications, and location-based functionality, they can take advantage of the benefits of the “mobile office”, allowing real-time decision making, collaboration, and flexibility. However, with the plethora of device manufacturers providing a growing number of mobile platforms, challenges to this goal include data security, usability, and application management across multiple personal and state devices. Enterprise Mobility Management will be a key component in the attainment of this overall goal.

- **Expand e-Government Offerings**

Governor Walker wants citizen interactions with state government to be easy and efficient, and e-Government services are the key tools for meeting that expectation.

- DSPS will continue to collaborate with the state’s self-funded portal vendor to provide access to DSPS Services for Wisconsin citizens. Currently planned efforts include:

- License Verification Service
- Licensee Bulk List
- License Monitoring Service

It is expected that these types of services will continue to be identified and developed in partnership with the vendor.

- The establishment of new Wisconsin businesses is also a priority of the governor, and because DSPS plays an important part in this process, plans call for investigation of the One-Stop Business Portal, another service provided in partnership with the state’s self-funded portal vendor. This is a service that provides a single location and unified user experience for the cross-departmental paperwork required to open a business. The application will use a guided approach that eliminates the need to understand governmental organizations to establish a business in compliance with Wisconsin laws.

- **Develop the IT Workforce**

The agency continues to face the prospect of an aging IT workforce. Newer technologies will also require retooling and retraining of staff. Moving from a general “support and maintenance” model to one of new technology introduction and development will uncover skill gaps that need to be filled. Customer service provided by DET IT Staff needs to keep up with the demands of the business. Therefore, the focus of the final IT Goal for the agency is the continued development of IT staff to keep pace with the changing technologies.

- Retooling of current staff to effectively utilize new technologies like CRM and SharePoint development will be a top priority, and will include a combination of training, mentoring, and hands-on experience. Much of this retooling will be done in partnership with the DET-BBAS Innovation Center Director and staff.
- Business Analysis skills will also be a focus, as these technology initiatives being planned will offer an opportunity to revisit all existing business requirements, and uncover new ones. An existing FTE vacancy will be used to bring in a Senior-level business analyst to augment the skills already present with current staff.
- Due to FTE losses in the past, DSPS has relied more heavily on contractors for current system support, and this has led to an imbalance between contractor and FTE skillsets. The coming year will see efforts spent in restoring the responsibilities and ownership of FTE staff in the new systems by cross-training and mentoring with current contract staff and the Innovation Center. The goal is to make the FTE staff self-sufficient in support of all systems, with contractors providing needed supplemental support.
- The IT Customer Service and Support supplied to DSPS by DET will be a focus in the coming year. Using the “INSPIRE” Customer Experience framework provided by DET, the IT staff will be provided further training and exposure to Customer Service principles. Standards will be developed that span the expectations from Senior Management down to the individual support level to ensure that DET remains the “Service Provider of Choice.”

## II Agency IT Budget

Total Agency Budget:	FY15 - \$51,186,700 FY16 - \$99,999,999
IT Budget:	FY15 and FY16 – \$3,087,900 (includes \$727,000 for Modernization Projects)

## III Agency Projects

The following lists all of the agency’s IT projects expected to cost \$1 million or more. (\$1 million is the statutory threshold for reporting to the Legislature on IT projects, e.g., Wisconsin s.16.973(16), stats.) This includes projects that are starting, ongoing or

ending anytime between July 1, 2015 and June 30, 2016. The list includes all types of IT projects (not just application development).

- There are no active or scheduled projects at this time that meet the \$1 Million threshold

#### IV Potential Agency Projects

The following lists all potential agency IT projects expected to meet the \$1million cost threshold that are in the conceptual phase, or that might be implemented in FY16 due to potential legislative changes (state or federal), or that might be dependent on securing grant funding (from a state, federal or nongovernmental organization). Note: The difference between projects listed in Item IV above and Item V is that projects in Item IV are currently active or scheduled projects, and Item V is for projects in the conceptual or planning phases.

- There are no known potential projects in a conceptual or planning stage at this time that meet the \$1 million threshold.

#### V IT Infrastructure Projects or Expenditures

The following describes projects or anticipated expenditures over \$100,000 related to augmenting IT infrastructure (e.g., hardware, servers, storage, networking components, security, backup and disaster recovery), if they have not already been included in sections III or IV above.

Project Name: DSPS Oracle Consolidation
Description: The Department of Safety and Professional Services currently licenses its Oracle product under two different purchase agreements, stemming from the merger of parts of the former Department of Commerce with the former Department of Regulations and Licensing. This project will create a consolidated DSPS Oracle environment in the DET Shared Enterprise Oracle environment. <i>This project is currently underway, and has the potential to be completed before the start of FY16. If not completed, it will extend into the new fiscal year for a short time.</i>
Anticipated Total Costs: \$104,286 (project staffing); ongoing monthly operational costs not included
Resourcing: Primary staff time will come from the Small Agency Systems/DSPS Application team, with some additional support provided by resources from the DET Data Center (all resources are existing staff). Funding provided through budgeted IT salary line.

Project Name: Windows Server 2003 Upgrade
Description: Applications for the Department of Safety and Professional Services currently run on the outdated Windows Server 2003 operating system platform. This project will upgrade all old servers to the newest DET-supported operating system to ensure continued security, availability, and support.
Anticipated Total Costs: \$106,704 (project staffing); no additional licensing costs have been identified at this time, but could be needed as plans are finalized
Resourcing: Primary staff time will come from the Small Agency Systems/DSPS Applications team, with some additional support provided by resources from the DET Data Center (all resources are existing staff). Funding provided through budgeted IT salary line.

## VI Issues

The following list of issues could influence successful execution of the agency's IT plan:

- Agency Merger Planning
  - In the 2015 State of the State address, Governor Walker called for the merger of the Department of Financial Institutions with the Department of Safety and Professional Services. Legislation has not passed at this point, and although some preliminary planning discussions have taken place, much remains to be worked out regarding this merger. Depending on actions taken, the FY16 IT Plan could be affected significantly. All of the goals from the plan would still be reasonable, but it is also reasonable that new goals and directives could be introduced to support the new agency.
- Workforce Planning
  - The staffing requirements for a large-scale modernization effort can be hampered by the inability to find or retain qualified staff. The plan to retool, retrain, and upgrade skillsets, as well as complete modernization projects, all hinge on successful recruitment strategies, training programs, and budget availability. This issue will be a key factor in the successful completion of this plan, and will require continued scrutiny.
- COOP Planning:
  - The revamping of the DSPS Continuity of Operations plan is reaching final stages of completion, and the IT components of the plan will require continued efforts to ensure an effective plan implementation should disaster strike. An inventory of all DSPS business applications was completed during

FY15, as part of a DOA Application Portfolio Management initiative. The application information was analyzed for business and technical functionality, and will provide a roadmap for application prioritization and recovery. During the coming year, DSPS will again work with DOA using an integrated approach to COOP to further refine and support the DSPS COOP plan, to be ready in the event of an actual COOP event.

- IT Modernization Funding
  - Although plans are in the works for a modernization effort (as outlined in this document), funding plans also need to be put into place to successfully support the efforts. Because no solid costs or resource requirements are known at this time, it is difficult to estimate or even envision what the future project list might look like, and what the budget requirements might be, so careful consideration must be given to proposed projects and timelines, to ensure effective use of the funding dollars that do become available, or if efforts are to be accomplished using existing funding structures.