

# Ways and Means Written Reference Materials

Oregon Medical Board, Agency 847

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## Governor's Recommended Budget Document

<https://www.oregon.gov/omb/board/about/Documents/Agency%20847%202021-2023%20GRB%20Full%20Narrative%20FINAL.pdf>

### Agency mission, goals, and historical perspective

The Oregon Medical Board (“Board” or “OMB”) is an entirely other-funded agency established in 1889 to ensure that only qualified and competent individuals are licensed to practice medicine in Oregon. The Board is responsible for licensure and regulation of the professions of medical doctor (MD), doctor of osteopathic medicine (DO), doctor of podiatric medicine (DPM), physician assistant (PA), and licensed acupuncturist (LAc).

The 14 members of the Board (seven medical doctors, two doctors of osteopathic medicine, one podiatric physician, one physician assistant, and three public members) are appointed by the Governor and confirmed by the Senate. Board members have ultimate responsibility for the activities of the agency and the decisions concerning licensure, discipline, and regulations through administrative rules on numerous medical and ethical issues. Board members also appoint and review the work of the Executive Director; review the findings and recommendations of the Acupuncture and Emergency Medical Services Advisory Committees; guide agency initiatives and communications through the Legislative and Editorial Committees; and monitor and inform the agency on developing trends and issues in medical practice.

Current board membership and committee assignments are available on the Board’s website at <https://www.oregon.gov/omb/board/Pages/default.aspx>.

The Board’s purpose is public safety. Public protection is achieved through prevention, remediation, discipline, and ensuring members of the public are informed about their medical providers and Board processes. The Board operates in an atmosphere of constant change due to ongoing developments in the medical profession. In responding to these changes, the Board is guided by its values of integrity, accountability, excellence, customer service, and equity.

The mission of the Oregon Medical Board is to protect the health, safety, and wellbeing of Oregon's citizens by regulating the practice of medicine in a manner that promotes access to quality care. The OMB is also focused on fostering licensee wellness and ensuring equitable health care is available to all Oregonians.

The Board is governed by Oregon Revised Statute (ORS) Chapter 677, known as the Medical Practice Act, and Oregon Administrative Rules (OAR) Chapter 847. In recognizing that the practice of medicine is a privilege, not a right, the Legislature established the Board in 1889, tasking it with the responsibility to protect the public from unauthorized or unqualified persons

and from unprofessional conduct by licensed persons. The Board has proudly protected the people of Oregon for more than 130 years.

The 2021-23 Governor's Recommended budget is \$16,496,735. This funding will provide the resources needed to achieve the goal of ensuring public safety through prevention and remediation. It will also allow the Board to continue to meet performance measures efficiently.

## Agency performance goals

The Oregon Medical Board's long- and short-range planning is directed by its mission and enacted through the OMB Strategic Plan. The Strategic Plan was initially formally completed in January 2001 and is revised regularly as objectives are met and new needs and issues arise. The plan and its goals were used as criteria for developing the Board's 2021-23 budget. The OMB mission statement and Strategic Plan drive the agency's key performance measures (KPMs), which were designed to promote quality care for Oregonians. The OMB's high-level goals, as identified within the Strategic Plan, are shaped by the agency mission and incorporate the agency's values of:

- Integrity – a commitment to acting honestly, ethically, and fairly
- Accountability – a willingness to accept responsibility for actions in a transparent manner
- Excellence – an expectation of the highest quality work and innovation
- Customer Service – a dedication to provide equitable, caring service to all Oregonians with professionalism and respect
- Equity – a devotion to creating and fostering an environment where everyone has access and opportunity to thrive

The complete strategic plan is available on the agency website at

<https://www.oregon.gov/omb/board/about/Documents/Strategic%20Plan.pdf>.

The Board prioritizes equity, diversity and inclusion in its workforce. Agency activities in support of these values are identified in our Diversity and Inclusion plan, available on the agency website at

<https://www.oregon.gov/omb/board/Documents/Affirmative%20Action%20Plan%202019-2021.pdf>.

The Board has created a comprehensive set of key performance measures to help assess and manage our performance. Performance measure results are reviewed regularly to quickly identify and respond to variances. The Board expects to continue to meet or exceed its KPMs in 2021-23 and beyond through streamlining and process improvement.

<b>Key Performance Measure</b>	<b>FY 2016</b>	<b>FY 2017</b>	<b>FY 2018</b>	<b>FY 2019</b>	<b>FY 2020</b>
License Appropriately	✓	✓	✓	✓	✓
Discipline Appropriately	✓	✓	✓		✓
Monitor Licensees who are Disciplined	✓	✓	✓	✓	✓
License Efficiently	✓	✓	✓	✓	✓
Renew Licenses Efficiently	✓	✓	✓	✓	✓
Customer Satisfaction	✓	✓	✓	✓	✓
Board Best Practices	✓	✓	✓	✓	✓

✓ Target met or exceeded

## Summary of programs

The Board’s purpose is public safety, which is achieved through prevention, remediation, and ensuring all members of the public have needed information about their medical providers and can equally access Board services.

The Board is responsible for licensing, regulating, and disciplining the professions of medical doctor (MD), doctor of osteopathic medicine (DO), doctor of podiatric medicine (DPM), physician assistant (PA), and acupuncturist (LAC) to ensure that only qualified and competent individuals are licensed to practice. The Board has only one program consisting of 41 FTE in several functional areas or sections.

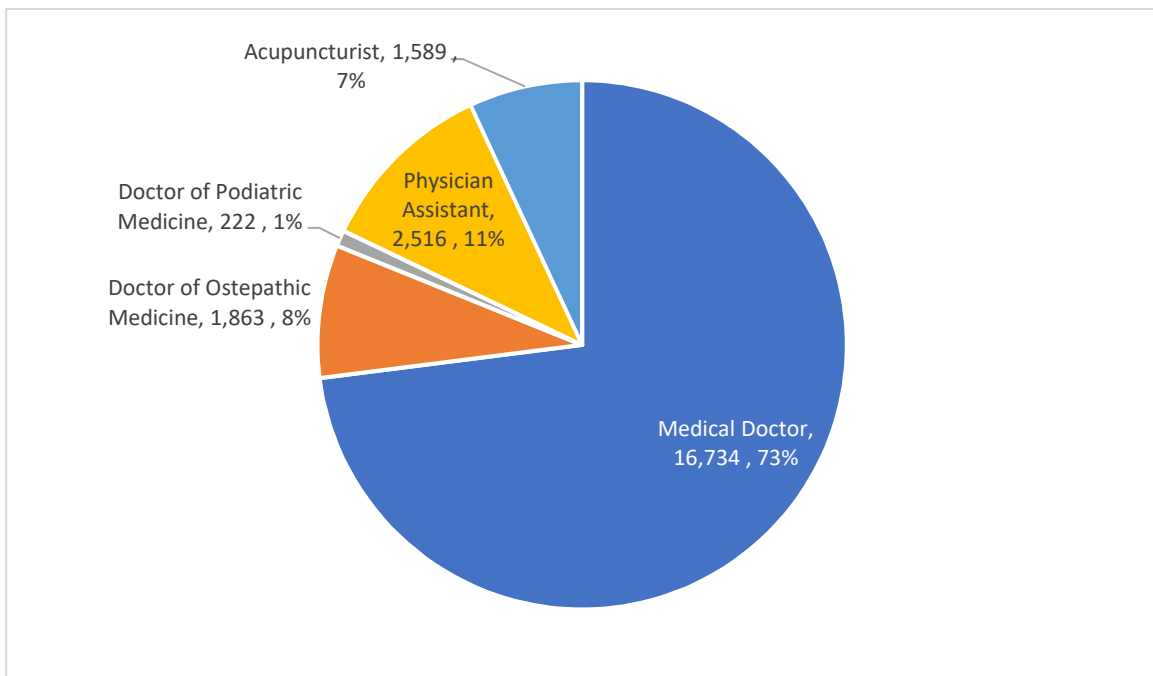
The Board grants licenses only after careful review of an applicant’s education, training, employment history, and criminal background to ensure that the applicant is qualified and competent to practice medicine safely in Oregon. Licensing requirements are consistent with the rigorous standards or “best practices” recommended by the Federation of State Medical Boards and aimed at ensuring all Oregonians have access to medical providers who meet statewide standards for licensure. Patients, health systems, and insurers rely on the Board’s careful and thorough evaluation of each applicant. New licenses are issued daily and renewed biennially.

The OMB’s Investigations and Compliance Section responds to complaints from the community alleging that licensees may have violated the Medical Practice Act, monitors disciplined licensees, reviews current licensees when questions arise during the renewal process, investigates applicants if there is a question regarding whether they meet licensing qualifications, and facilitates remediation. The OMB utilizes Oregon’s Health Professionals’ Services Program (HPSP) to rehabilitate licensees with substance use disorders, mental health disorders, or who are dually diagnosed. Investigative and disciplinary procedures are consistent and adhere to state law to ensure equitable treatment of each complaint and that licensees

receive expected due process. Disciplinary orders are issued monthly after each full Board conference call.

Customers and partner organizations include the public, applicants and licensees, other state and national boards and agencies, professional organizations, health care systems and hospitals, medical schools, physician assistant programs, acupuncture schools, and health insurance systems. The Board strives to be transparent and to provide customers with the ability to access to its services. The Board informs interested parties about Board processes and actions through interactions with agency staff, the agency website, the quarterly newsletter, community presentations, and multiple other channels of communication. The Board also partners with professional associations and others to achieve common goals.

As of January 1, 2021, the Board has a total of 24,436 full and limited licenses as follows:



### Agency organizational information

The Board is 100% other funded; it receives no General Fund dollars. The Board’s revenues and expenditures are paid by and dedicated to those who are served.

The agency is divided into four service areas- licensing, investigations and compliance, administrative and business services, and administration and communications.

These services support the agency’s focus on protecting the public and promoting equitable access to quality health care.

With 41 FTE, the OMB is a relatively small agency. Board staff work together to continuously improve processes and provide services in the most effective and efficient way possible. Our staff also work as a team in support of various statewide charitable fundraising activities.



### License Services

The License Services Section is responsible for both the initial licensure and license renewal of all health care providers under the jurisdiction of the Board. Its mission is to ensure that only providers who meet all requirements for education, clinical training, examinations, and conduct are granted the privilege to practice medicine in Oregon.

This team is responsible for issuing over 2,600 licenses annually and renewing approximately 20,000 licenses every two years.

Services are primarily provided through our online services website, allowing individuals to apply for, renew, or reactivate their license, check the status of their application, print their certificate of registration, and more 24/7. We also provide a call center to provide services by phone and through email during regular business hours.

### Investigations and Compliance

While decisions regarding disciplinary matters are made by the 14-member Board, this section is responsible for gathering and supplying the information on which those decisions are based.

This section receives approximately 2,000 complaint and investigation-related contacts annually, receives 700-800 written complaints annually against licensees and applicants, and conducts investigations as required by statute. This section assists the public and Board

licensees when problems arise with medical providers or medical practice and monitors licensees who are on probation to ensure that it is safe for them to continue practicing.

Services are primarily provided through phone, email, and written communications with consumers and licensees, review of records received, and through consultation with medical experts.

### Administrative and Business Services

The Administrative and Business Services Section is organized into two main teams: Fiscal Services and Information Systems. Together, these sections support the Board's mission by providing information to the public and by providing business and technical support to all other sections and activities.

This section of the agency performs all accounting, procurement, contracting, and payroll functions, coordinates facilities and equipment, and administers all information systems for the agency.

### Administration and Communications

The Administration and Communications Section is responsible for all internal and external Board operations and for ensuring that the Board carries out the goals and objectives of the agency as mandated by law and consistent with the agency's values.

This team develops agency communications, including our quarterly newsletter and other published materials, such as our award-winning Cultural Competency Guide, and works with partners and impacted parties on policy initiatives such as equity, opioid guidelines and licensee wellness. The members of this team manage the agency's administrative rules; respond to public records requests; develop, draft, monitor, and help to implement legislative concepts; provide educational outreach to licensees; and provides the human resource management for the agency.

### Major budget drivers, risks, and environmental factors

The agency's major cost drivers are:

- Increasing numbers of licensees increase overall agency workload.
- Increasing numbers of complaints against licensees increase Investigations section and Board member workload.
- Increasing personal services expenses and inflation drive the Board's expenses and fees necessary to pay for agency services.

The agency's most significant budget risks are:

- The need to maintain reasonable licensing fees while retaining adequate ending balance to provide agency services. As an other-funded agency, we must carefully monitor revenue, expenditures, and fee changes to ensure the agency is appropriately funded.
- An aging core business suite software system. This system performs nearly all agency business functions and is approaching its end of life. The agency has proposed replacement, see information in [policy package 101](#), below.
- Several pending lawsuits brought by current and former licensees dissatisfied with the actions of the Board. The Board is a regulatory agency, and impacted licensees may not agree with our actions. This does not mean those actions are improper. The Board affords extensive due process to all applicants and licensees to ensure appropriate outcomes. Licensees are entitled to a contested case hearing and may appeal Board decisions within the courts. These proceedings can be costly. The Board strives to retain appropriate funding limitation to be sure we have the financial resources to act in the best interests of public safety.

The most significant environmental factors impacting the agency are:

- The COVID-19 pandemic has stretched and strained government agencies in new ways throughout 2020 and the first part of 2021. The Board has partnered with other state agencies and the medical community in response to the pandemic.
- The evolution of the medical profession requires that the agency continue to partner with other agencies, both in-state and nationally, to establish best practices and seek solutions to public health issues, including equity, physician wellness and the opioid epidemic.
- Societal factors, such as balancing the increased need for confidentiality with the growing desire for transparency. The Board is also focusing on equity in the services we provide.
- The increasing use of technology, which is changing how medical care is delivered. The use of electronic medical records systems has dramatically changed medical records, which now result in much larger case files and higher levels of support staff expertise to manage and prepare for review by investigators, executive staff, and Board members. In response, the agency has proposed reclassification of five support positions, see [policy package 102](#), below.
- The ever-growing threats to the security of the confidential information we collect. The Board works diligently to protect this data and has proposed [policy package 103](#), see below, to improve monitoring of systems for potential security incidents and events.
- Maintaining responsibilities to multiple customers, all while keeping the patient first.



## Major changes to the agency in the past 6 years

Not applicable.

## Cost containment

Cost drivers, budget risks, and the operating environment, discussed above, have driven agency changes. The agency consistently works to contain costs and improve services, eliminate redundant and unnecessary processes, and increase automation for our customers and staff.

The agency principally uses technology to modernize activities, utilize paperless processes, and increase efficiency. We maintain an online services website, allowing individuals to apply for, renew, or reactivate their license, check the status of their application, print their certificate of registration, and more at any time. Through the use of our online services website, we have recently:

- Added Limited Liability Registration
- Added Locum Tenens reporting
- Enabled self-service certificate printing, eliminating printing and mailing by agency staff.
- Provided a secure upload portal for documents that now allows viewing of previously uploaded documents
- Updated online processes to improve opportunities for securely submitting documents

The OMB also uses technology to serve consumers and licensing credentialers. We maintain a recently updated website and robust, modern licensee lookup with newly introduced search features. The strategic and forward-thinking use of technology allowed the agency to readily transition most agency functions into telework in response to the COVID-19 pandemic.

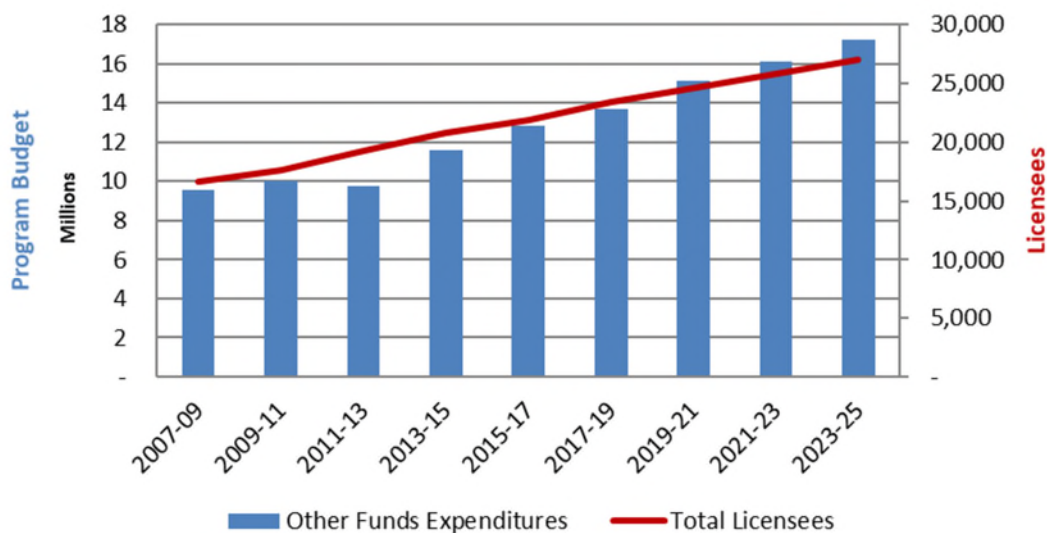
We've improved services to our customers by creating an internal communications team, which has helped us to improve the quality and quantity of communications with customers through a redesigned quarterly newsletter and focus on keeping our website current and relevant. We've improved mechanisms for generating email recipient lists from our licensing database and replaced our email list service software, allowing for more timely notifications about current events, including public health issues such as COVID-19.

The agency has a long practice of partnering in-state, nationally, and internationally to establish best practices and seek solutions to public health issues, including equity, physician wellness and the opioid epidemic. Recently, our Executive Director has served on the Management Committee for the International Association of Medical Regulatory Authorities Management Committee, which leads this international association's strategic planning, and has been a panelist for several international webinars focused on regulatory best practices during the pandemic. These partnerships allow the agency to contribute to and utilize the work of our partners, creating efficiencies and consistency for all.

## Major budget information

The Board is 100% other funded; it receives no General Fund dollars. The Board's revenues and expenditures are paid by and dedicated to those who are served; 97% of agency revenue comes from the licensing and renewal activities of the agency. The other 3% of revenue is generated by civil penalties and various fees for services the agency provides. The Board is not anticipating changes in fees or revenue sources and has not proposed fee increases for 2021-23.

The historical and projected agency current service level spending is shown in the chart below. The standard inflation factor for services and supplies is less than anticipated licensee growth. However, agency expenditures are outpacing anticipated licensee growth due to growing personnel services costs and increasing state government service charges.



With the 2021-23 budget, the Governor has approved three policy option packages proposed by the OMB.

### 101 Core Business Suite Software Replacement

In conducting the OMB's programs, Board staff use GLSuite software, which contains data on all current and former licensees and new applicants. The system performs nearly all of the Board's core business functions, including licensing and investigative case management. However, GLSuite's programmatic architecture limits the performance and further sustainability of the system. The vendor who built the software is now unable to provide adequate updates to the software or support it to the level required. The agency does not have access to all of the source code, which severely limits our ability to improve and secure the system. To reduce the risk to agency functions and to improve Board services, the agency proposes transitioning to a more modern core business software suite.

The Board recommends finalizing complete system requirements, determining how to procure a solution, and proceeding with contracting and system implementation. The agency seeks an easily configurable replacement solution that fulfills all functions of the current system and allows the agency to add other needed functionality. The project will consist of reviewing and acquiring a single system that can replace the current one. All existing essential functions of the current system should be enacted in the new one, and quality assurance will be performed on the system to ensure all functionality meets the agency's needs. Data in the existing system will be migrated, including all historical data that may not be referenced within new processes.

A modern system will bring efficiencies and flexibility, providing the agency opportunities to enhance service delivery to our customers and improve information security. We anticipate a new system will help to improve access to services for licensees. A new system will comply with best practices established by the Americans with Disabilities Act (ADA) in areas our current system does not, allowing us to more equitably serve a more diverse community. This project aligns with the agency's Strategic Plan strategy 1.3, modernizing technology, and supports the agency core values of excellence, customer service, and equity.

The project will ensure a user-friendly, reliable, and secure state technology system.

The OMB has demonstrated a consistent record of intentional and successful technology projects. For example, the OMB was an early adopter of "non-binary" as a gender designation for our applicants and licensees. This project will continue our equity work by ensuring adaptability to community needs, robust data collection, and the ability to report analytics that will assist with statewide efforts, including evaluating diversity in the health care workforce and helping to understand and respond to workforce and community needs.

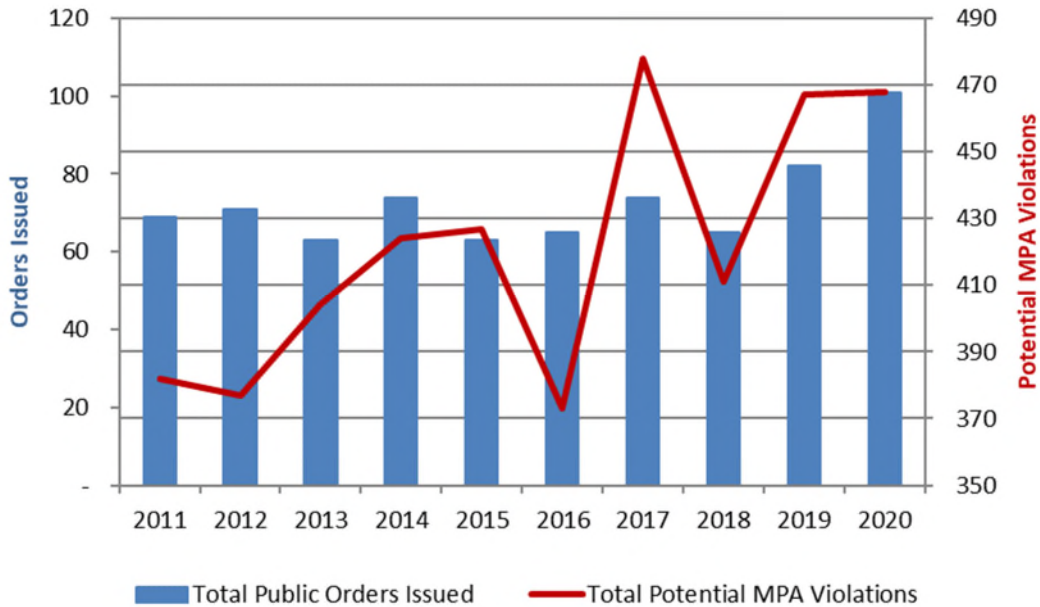
This project meets the thresholds for Enterprise project prioritization and stage gate oversight. We've been working closely with the Enterprise Information Services division and have their support for this project. We have completed Stage Gate 1 and are working toward Stage Gate 2 endorsement. The project Information Technology Investment Form, Business Case, and Prioritization Matrix, are available in [Exhibit A](#).

The total requested budget limitation increase is \$1,603,000 for the 2021-23 biennium. Of that, \$512,000 would be a permanent budget adjustment. We expect ongoing licensing, maintenance, and support costs of \$890,000 per biennium, so we are also requesting a 2023-25 phase in of \$378,000 (\$890,000 - \$512,000) for those expenses.

#### 102 Investigative Resources

To meet growing complexity of investigations and manage the workload, as well as to remove barriers to accessing the Board's investigative services, the agency proposes to add a new Investigator position and reclassify five existing support positions.

As shown in the chart below, the number of complaints involving potential violations of the medical practices act has been steadily increasing in recent years. In 2020, the investigations section also received 877 phone call inquiries, 961 emails, and 750 written complaints. We need to be certain we are continuing to meet the needs of the public, in particular ensuring that all Oregonians have the ability to access our services.



The new investigator position will provide case intake, and he or she will be specially trained in trauma-informed approaches, issues surrounding sexual misconduct, and how to assist complainants who need ADA accommodations. We envision this position being the primary liaison with complainants, therefore handling many of the calls, emails, and written inquiries. This is anticipated to improve customer service for complainants.

All existing agency Investigator positions are classified as Investigator 3. The addition of an Investigator 2 position will provide additional investigative resources and provide an opportunity for a less-experienced investigator to join our team and grow their experience within our agency.

In addition to the growing number of cases, the volume of medical records that must be reviewed – and the time and expertise to review them – has risen sharply due to the now prevalent use of electronic medical records. During the course of an investigation, investigative support staff prepare the electronic medical records to be used by the Investigator, the Medical Director, the Chief Investigator, the Executive Director, and members of the Board. To do this well, investigative support staff must be knowledgeable in medical terminology, practices in the health care system, and able to identify the important components of the medical record. In addition, managing these electronic medical records requires our staff to be knowledgeable

and adept in technology, finding innovative solutions when our IT system cannot directly interface with those of the various health systems, and when imaging files are so large, they cannot be transferred through traditional methods. All of this is beyond the scope of clerical skills within the current classifications for these positions.

Our proposed additional investigator and the reclassification of the support positions helps us to provide the right resources to manage the type and volume of work most effectively.

The total requested on-going budget limitation increase is \$277,921 for 2021-23.

### 103 Information Security Management

To carry out its work, the Oregon Medical Board collects a variety of data from applicants and licensees. Data collected includes personally identifying information (PII), Health Insurance Portability and Accountability Act (HIPPA), and Criminal Justice Information Services (CJIS) information. This information is considered to meet the State's level 3 classification for all applicants and licensees, with a few licensees marked as having level 4 classified data.

To protect this highly sensitive data, the Oregon Medical Board diligently works to comply with the Statewide Information Security Plan and Statewide Information Security Standards. We are currently unable to implement portions of the plan and standards because we have limited resources to detect attacks and indicators of potential attacks, unauthorized use of our systems, or provide monitoring information to system administrators in support of continuous monitoring and incident response programs. The current resources provide limited alerts and are generally not real time.

In May of 2020, the Board contracted with a 3rd party to perform an external vulnerability scan and penetration test. The findings were generally of medium or low risk but the vendor did note that the agency should consider implementing a Security Information Event Management Software solution.

In October of 2020, the state's Enterprise Information Services Cyber Security Services Assessment Team completed a Center for Information Security (CIS) Controls Basic assessment of the OMB. The report found exemplary practices in areas of continuous vulnerability management and secure configurations, but found gaps in monitoring and logging that would be resolved through the use of a Security Information Event Management Software solution.

Security Information Event Management Software collects and aggregates log data generated throughout the organization's technology infrastructure, from host systems and applications to network and security devices, such as firewalls and antivirus filters. The software then identifies, categorizes, and analyzes incidents and events, then alerts system administrators to provide awareness of security-related incidents and events.

Deployment of Security Information Event Management Software will provide improved access, evaluation, and alerting of system logs and help quickly identify and respond should we experience a system breach. This helps us to protect the sensitive information we collect in accordance with the Statewide Information Security Plan and Statewide Information Security Standards.

The total requested budget limitation increase is \$72,000 for 2021-23. Of that, \$9,000 would be a permanent budget adjustment for ongoing licensing, maintenance, and support costs.

## Shared programs and dependencies

The Oregon Medical Board, the Oregon State Board of Nursing, the Board of Dentistry, and the Oregon Board of Pharmacy have partnered to contract for the Health Professional's Services Program (HPSP). This program provides confidential monitoring for health care professionals with a substance abuse or mental health diagnosis. The program is focused on ensuring the continued safe practice of enrolled health care professionals. Licensees enter into the program either through Board referral or self-enrollment. Licensees who self-enroll remain anonymous as long as they fully comply with the program. Careful long-term monitoring, combined with referral to treatment programs where indicated can allow disciplined licensees to be successfully remediated and eventually restored to full practice. As the largest of the participating Boards, the Oregon Medical Board and Oregon State Board of Nursing together pay 85% of the Health Professional's Services Program costs. Should the Oregon State Board of Nursing decide to withdraw from this partnership, the program may become unaffordable to the remaining Boards.

As an agency, we share our expertise with other health boards when they need additional support. For example, the OMB also provides fiscal and human resources services to the Board of Dentistry.

The Board also collaborates with the Prescription Drug Monitoring Program (PDMP), a tool to help health care providers offer patients better care in managing their prescriptions. The program was started to support the appropriate use of prescription drugs. The information is intended to help patients and health care providers work together to determine what medications are best for them.

Finally, the Board collects data prescribed by the Health Care Workforce Committee. The data collected helps state and federal programs identify health care shortages to ensure Oregon citizens have access to the health care services they need.

## Proposed legislation

For 2021, the Board has proposed one legislative concept, LC 484, House Bill 2113, which proposes amending ORS 677.235(2)(d)(B) to allow any of the eleven professional members of the Board to satisfy the requirement that at least one member is appointed from each federal congressional district. This will provide flexibility when identifying the best-qualified candidates and will improve geographic diversity among board members. There is no fiscal impact associated with this change.

With every legislative session there are numerous proposals that impact the agency. During 2019 and 2020, the agency tracked over 200 bills with potential impacts. For 2021, there are bills that could impact the agency in large and small ways. OMB staff will continue to monitor these bills and provide fiscal impact statements timely.

## Reductions included in the Governor's budget, vacancies

The Governor's Recommended Budget for 2021-23 reduces the OMB budget for personal services through increased vacancy savings and eliminates inflation on services and supplies. The agency can likely absorb these reductions through operational efficiencies and delayed hiring.

The OMB has experienced difficulty in hiring several positions due to the constraints of the COVID-19 teleworking operating environment. The agency has one long-term vacancy within the information technology team; this position is scheduled for recruitment during the second quarter of calendar year 2021.

## Pandemic/Coronavirus Relief Fund issues

The Oregon Medical Board experienced some increased costs related to the COVID-19 pandemic but was able to offset those costs with savings in other areas, such as reduced travel and meeting expenses, and through other operational efficiencies. The agency did not receive Coronavirus Relief Funds. The agency does not currently anticipate COVID-19 will have substantive impacts on our 2021-23 operations or budget.

With our mission of public protection and promoting access to quality medical care, the OMB has had a role to play in the State response to the pandemic. As an agency, we took many actions to help ensure the healthcare workforce was available for pandemic response and recovery.

- Issued approximately 750 Emergency Authorizations to care providers during 2020 and 2021

- Implemented administrative rules and procedures to authorize out-of-state providers to practice in Oregon during the pandemic
- Amended administrative rules and expedited the procedure to relicense recently retired physicians and physician assistants to return to the workforce
- Amended administrative rules for Emergency Medical Services providers to allow greater flexibility, enabling these providers to assist with COVID testing and vaccinations throughout the state
- Waived late fees for Acupuncturists, whose practices were disrupted by COVID-19
- Provided information and resources about COVID-19 through our website and other communications
- Provided healthcare practitioner data to other state and municipal agencies for response and vaccination planning
- Participated in meetings on the local, national, and international levels focusing on support of the medical workforce, distributing critical information to the medical community, and strategizing vaccine clinic staffing throughout the state in the safest and most efficient manner

In spite of increased service demands from the above actions, the agency's use of technology allowed the us to readily transition most agency staff to remote worksites in response to the COVID-19 pandemic without substantially impacting services to customers.

### Results of Secretary of State audits

Not applicable.

### Recent changes impact on agency operations

Not applicable.

### Supervisory Span of Control Report

Not applicable.

### Proposed technology projects

See policy package [101, Core Business Suite Software Replacement project](#), above.



Program prioritization for 2021-23

**Program Prioritization for 2021-23**

Agency Name: Oregon Medical Board														
2021-23 Biennium													Agency Number: 84700	
Agency-Wide														
Program/Division Priorities for 2021-23 Biennium														
1	2	4	5	6	7	10	14	15	16	17	18	19	20	22
Priority (ranked with highest priority first)	Program or Activity Initials	Program Unity/Activity Description	Identify Key Performan ce Measure(s)	Primary Purpose Program- Activity Code	OF	TOTAL FUNDS	Pos.	FTE	New or Enhanced Program (Y/N)	Included as Reduction Option (Y/N)	Legal Req. Code (C, D, FM, FO, S)	Legal Citation	Comments on Proposed Changes to CSL included in Agency Request	
Agcy	Prgm/ Div													
1	1	License Services	1) Process new license applications 2) Renew existing licenses 3) Answer questions from licensees and applicants 4) Work with investigators on problem applications 5) Update database records (addresses, license status, etc) 6) Develop license policy	1, 6, 7, 9	3, 10	2,606,855	\$ 2,606,855	11	11.00	N	Y	S	ORS 677	
2	1	Investigations and Compliance	1) Investigate complaints 2) Assist Board in developing remedies 3) Coordinate contested case hearings 4) Monitor licensees under probation 5) Provide required information to national databases 6) Work with License staff on problem applications 7) Perform triage and investigative services for the Health Professionals' Services Program	2, 4, 7	3, 10	7,469,085	\$ 7,469,085	15	15.00	N	Y	S	ORS 677	
	1	Administration and Communication	1) Provide information for board members and advisory committee decision-making 2) Represent the agency to outside entities including the media 3) Oversee the agency's 4 departments 4) Coordinate development and promulgation of laws and rules 5) Ensure provision of legal expertise 6) Provide education and publish newsletter on regulatory and disciplinary issues 7) Provide public information including: written verifications of licensure and telephoned inquiries 8) Provide Human Resources 9) Includes per diem for 14 Board Members and 10 Committee members, totaling \$168,600	7, 8	4, 10	2,493,678	\$ 2,493,678	7	7.00	N	N	S	ORS 677	
	1	Administrative and Business Services	1) Provide public information through electronic data requests 2) Agency network database, and website development and maintenance 3) Budgeting, cash receipts, and disbursement 4) Payroll and Benefits 5) Purchasing and general services 6) Contracting of medical consultants, legal, and other services 7) Office facilities rental, equipment maintenance, and telecommunications	6, 7, 8, 9	4, 10	2,542,768	\$ 2,542,768	8	8.00	N	Y	S	ORS 677	
						5,112,386	\$ 5,112,386	41	41.00					

## Program Prioritization for 2021-23

<b>Agency Name: Oregon Medical Board</b>														
2021-23 Biennium										Agency Number: 84700				
Agency-Wide														
Program/Division Priorities for 2021-23 Biennium														
1	2	4	5	6	7	10	14	15	16	17	18	19	20	22
<b>Priority</b> <small>(ranked with highest priority first)</small>	<b>Program or Activity Initials</b>	<b>Program Unit/Activity Description</b>		<b>Identify Key Performance Measure(s)</b>	<b>Primary Purpose Program-Activity Code</b>	<b>OF</b>	<b>TOTAL FUNDS</b>	<b>Pos.</b>	<b>FTE</b>	<b>New or Enhanced Program (Y/N)</b>	<b>Included as Reduction Option (Y/N)</b>	<b>Legal Req. Code (C, D, FM, FO, S)</b>	<b>Legal Citation</b>	<b>Comments on Proposed Changes to CSL included in Agency Request</b>
<i>Agcy</i>	<i>Prgm/Div</i>													

**7. Primary Purpose Program/A**

- 1 Civil Justice
- 2 Community Development
- 3 Consumer Protection
- 4 Administrative Function
- 5 Criminal Justice
- 6 Economic Development
- 7 Education & Skill Development
- 8 Emergency Services
- 9 Environmental Protection
- 10 Public Health
- 11 Recreation, Heritage, or Cultural
- 12 Social Support

**19. Legal Requirement Code**

- C Constitutional
- D Debt Service
- FM Federal - Mandatory
- FO Federal - Optional (once you choose to participate, certain requirements exist)
- S Statutory

Within each Program/Division area, prioritize each Budget Program Unit (Activity) by detail budget level in ORBITS

**Document criteria used to prioritize activities:**

- Activities were prioritized based on the following criteria:
- 1) Does the activity fulfill a statutory mandate?
  - 2) Does the activity support the mission of the Oregon Medical Board?
  - 3) Does the activity support the Governor's priorities?
  - 4) What activities will serve the most Oregonians?

# Other Funds ending balance form

**UPDATED OTHER FUNDS ENDING BALANCES FOR THE 2019-21 & 2021-23 BIENNIA**

Agency: **Oregon Medical Board**  
 Contact Person (Name & Phone #): **Carol Brandt, (971) 673-2679**

(a) OF Type	(b) Program Area (SCR)	(c) Treasury Fund #/Name	(d) Category/Description	(e) Statutory reference	(f) 2019-21 Ending		(g) 2021-23 Ending		(i) Comments
					In LAB	Revised	In CSL	Revised	
Limited	84700-000-00-00-00000	8470000401 Oregon Medical Board	Operations	ORS 677.290	9,169,192	9,496,234	7,570,582	7,072,709	<p>Current projections of 2019-21 ending balance is higher than LAB due to lower than anticipated savings pending for the biennium. The agency has seen savings in travel and meeting expenses due to COVID-19 restrictions.</p> <p>The agency has had and expects to continue to incur expenses related to legal proceedings. These expenses will be significant, but the exact timing and cost cannot be predicted. COVID-19 precautions have delayed hearings, and these expenses will therefore incur at a later date. Sufficient ending balance ensures the agency can absorb these expenses.</p> <p>The 2019-21 Revised ending balance represents a reserve of approximately 13 months operating expenses for 2021-23. Based on renewal cycles, the agency requires a minimum of six months ending balance.</p> <p>The 2021-23 Revised ending balance represents a reserve of approximately 10 months operating expenses for 2023-25.</p> <p>The agency has not yet identified any revenue impacts from COVID-19. However, license renewal cycles are such that impacts may not occur until the end of calendar year 2021.</p>

## Exhibit A Core Business Suite Replacement Documents



# EIS IT Investment form

Investment Name:	<u>Core Business Suite Replacement</u>	Date:	<u>5/26/2020</u>
Agency:	<u>Oregon Medical Board</u>	Owner / Sponsor:	<u>Nicole Krishnaswami, JD</u>
Agency Division:	<u></u>	Business Contact:	<u>Carol Brandt</u>
Related Program:	<u></u>	IT Contact:	<u>Mark Levy</u>
Policy Option Package:	<u>101 Core Business Suite Replacement</u>	Mandate:	<u></u>

**Investment Type:**     Non-Project                       Project                       Program Initiation

**Estimated Scope / Description:**

The Oregon Medical Board (OMB) is the State of Oregon’s licensing agency for the following healthcare professionals: medical doctors, doctors of osteopathic medicine, doctors of podiatric medicine, physician assistants and acupuncturists.

In conducting OMB programs, board staff use GLSuite software, which contains data on all current and former licensees and new applicants. The system performs nearly all of the Board’s core business functions including licensing and investigative case management. GLSuite’s programmatical architecture limits the performance and further sustainability of the system. The vendor who built the software is unable to provide adequate updates to the software or support it to the level required. The agency does not have access to all of the source code, severely limiting the OMB’s ability to improve and secure the system.

To reduce the risk to agency functions and to improve services, the agency recommends transitioning to a more modern, platform as a service (PaaS) system. Continuing with the current GLSuite software puts agency mission fulfilment at risk due to difficulty of modifying the software to meet changing business needs, insufficient security controls, the pending obsolescence of Internet Explorer, and the lack of third-party support.

A modern system will bring efficiencies and flexibility, providing the agency opportunities to enhance service delivery to our customers.

See complete project details within the project Business Case.

**Estimated Schedule:**      Start Date: 6/1/2020                      End Date: 6/30/2023

**Estimated Budget:**

Implementation Cost		5 –Year Operating Cost	
Hardware:	<u></u>	Hardware:	<u></u>
Software:	<u></u>	Software:	<u></u>
Contracts/Services:	<u>\$1,359,716</u>	Contracts/Services:	<u>\$1,907,209</u>
Personnel:	<u>\$1,232,638</u>	Personnel:	<u></u>
Total:	<u>\$2,592,354</u>	Total:	<u>\$1,907,209</u>
Funding Source:	<u>Other Funds</u>	Total Cost*:	<u>\$4,499,563</u>
Contract NTE:	<u></u>		

\* Total cost includes implementation plus 5 years of operating cost




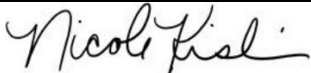


**Business Case for**  
*Core Business Suite Replacement*

**Oregon Medical Board**

Date: May 27, 2020

# Authorizing Signatures

The person signing this section is attesting to reviewing and approving the business case as proposed.

<b>Agency Head or Designee</b>	
Nicole Krishnaswami, JD	
	05/27/2020
<b>Agency Executive Sponsor</b>	
Nicole Krishnaswami, JD	
	05/27/2020
<b>Agency Chief Information Officer (CIO) or Agency Technology Manager</b>	
Carol Brandt	
	05/27/2020
<b>Business Analyst or Business Case Author</b>	
Carol Brandt	
	05/27/2020

## Executive Summary

The mission of the Oregon Medical Board (OMB) is to protect the health, safety, and wellbeing of Oregon citizens by regulating the practice of medicine in a manner that promotes access to quality care. OMB is the State of Oregon's licensing and regulatory agency for the following healthcare professionals: medical doctors, doctors of osteopathic medicine, doctors of podiatric medicine, physician assistants and acupuncturists. The Board issues full practice licenses, limited (training) licenses and courtesy (temporary) authorizations.

In conducting OMB programs, board staff use GLSuite software, which contains data on all current and former licensees and new applicants. The system performs nearly all of the Board's core business functions including licensing and investigative case management. GLSuite's programmatic architecture limits the performance and further sustainability of the system. The vendor who built the software is unable to provide adequate updates to the software or support it to the level required. The agency does not have access to all of the source code, severely limiting OMB's ability to improve and secure the system.

In reviewing options for moving forward, the agency has reviewed and considered several alternatives. These alternatives are:

1. Do nothing
2. Platform as a Service Solution, hosted by vendor
3. Commercial Off-The-Shelf Solution, hosted on premise
4. Software as a Service Solution, hosted by vendor

To reduce the risk to agency functions and to improve agency services, transitioning to a more modern system is recommended. The Board has determined that purchasing a solution from a vendor provides the most value for constituents.

The Board recommends finalizing complete system requirements, determining how to procure a PaaS solution, and proceeding with contracting and system implementation. The procurement may be able to leverage existing state contracts for software. If existing state contracts cannot be utilized, a Request for Proposal (RFP) would be developed.

Continuing with the current GLSuite software puts agency mission fulfillment at risk due to difficulty of modifying the software to meet changing business needs, insufficient security controls, the pending obsolescence of Internet Explorer, and the lack of third-party support.

A modern system will bring efficiencies and flexibility, providing the agency opportunities to enhance service delivery to our customers.

The Board is entirely supported by Other Funds generated principally through licensing fees; no General Fund dollars will be spent for this project. The agency has sufficient ending balance to fund this project without the immediate need for fee increases. Investment would be over a five-year period from June 01, 2020 through June 30, 2025. This would cover the planning,

execution and first two years of monitoring and control phases of the project. Total cost over a 5-year period is expected to be \$4.4 million.

## Overview and Background

### Background and Current State

The mission of the Oregon Medical Board is to protect the health, safety, and wellbeing of Oregon citizens by regulating the practice of medicine in a manner that promotes access to quality care.

OMB is the State of Oregon's licensing and regulatory agency for the following healthcare professionals: medical doctors, doctors of osteopathic medicine, doctors of podiatric medicine, physician assistants and acupuncturists. The Board issues full practice licenses, limited (training) licenses and courtesy (temporary) authorizations. The Board currently has approximately 23,000 licensees who renew their licenses mostly on a two-year schedule. The Board receives approximately 3,500 new license applications per year. License renewals happen at specified times of the year. Board staff and the system are especially busy during these times.

The Board is also responsible for accepting complaints regarding licensees, conducting investigations and issuing decisions concerning such investigations. These disciplinary decisions can result in fines or suspension of licensees. The Board receives approximately 850 complaints per year. About 45% of these are determined to be a possible violation of the Medical Practice Act, leading to further investigation and possible discipline.

The Board is subject to the State of Oregon's public records laws. Its current license management system allows the public to perform self-service lookups on the general status of licensees; over 1 million verification searches are performed annually. In addition, the Board processes about 1,400 detailed public records requests per year.

All of these core functions along with most of the Board's administrative business functions are performed using a single, integrated system, GLSuite. The system was procured from GL Solutions and went live in 2009. GLSuite is hosted on premises in the agency's office. Initially, support, maintenance, and enhancement of the system was shared between the agency's internal information technology staff and GL Solutions. The vendor was unable to meet agency needs and contractual requirements. In 2016, the support contract with the vendor was ended and the system has since been entirely supported internally by two information technology staff.



The system captures all data relevant to an applicant or licensee, including investigative cases. Varying levels of sensitive data can be included on each person's record. The system currently holds PII, HIPAA, and CJIS information. As such, information in the system is considered to meet the State's level 3 classification for all applicants and licensees with a few licensees marked as having level 4 classified data. Level 4 data is held securely on paper outside the system.

The Board uses GLSuite in nearly every aspect of its business processes. GLSuite supports the following business operations:

- Licensing: initial application, license issuance, license maintenance
- Investigations: complaint intake, case management, investigative activities, resolution
- Enforcement of Board Orders
- Meeting materials production and meeting management
- Supervising Physician/Physician Assistant Practice agreements
- Cash receipts processing and accounts receivable management
- Contracting with licensees to serve as medical consultants
- Newsletter enrollment
- Public records search and request tracking

The OMB's primary customers and partner organizations are:

- The people of Oregon – Oregon healthcare consumers rely on the OMB to appropriately license, investigate complaints, and discipline the professionals we regulate to protect their health and wellbeing.
- Applicants and Licensees —applicants and licensees need a system that allows them to easily maintain their data and submit accurate initial license and renewal applications with supporting information.
- Board Members (14)—Board members have fiduciary responsibility for the Boards' operations. They need to have access to accurate and timely information and especially rely on system documented data related to investigations.
- Agency Staff (41)—staff depend on the system to complete day-to-day tasks.
- Healthcare employers and insurance companies – these entities rely on OMB information in managing their business activities.
- Other State Agencies—OMB is subject to a variety of reporting requirements and must be able to provide information from our systems. The agency provides information to the Governor's Office, the Legislature, Department of Revenue, Department of Justice, Child Support Division, Oregon Health Authority, and the Department of Administrative Services.
- Professional Associations, Public Consumers and others—OMB is required to promptly respond to public records requests and other requests for information. The GLSuite system is the main source for agency information.

## Problem Analysis

Due to the high degree of configurability and openness of the GLSuite platform, the Board has successfully extended its life by adding reports, business logic and a public web front end to the system. However, the fundamental programmatical architecture limits the performance and further sustainability of the system.

- GLSuite does not allow the agency to meet several elements of the Statewide Information Security Plan (SISP) or Statewide Information Security Standards (SISS). The Board employs compensating controls to the extent possible. The deviations are as follows:
  - SISP - 12.1.4 Separation of development, testing and production environments and 14.3.1 Protection of test data. GL Suite does not have mechanisms to prevent Level 3 or higher information from being copied into the testing and development environments.
  - SISP - 12.4.1 Event Logging. GL Suite does not have mechanisms to log what was changed or by who in Practice Agreements between physicians and physician assistants. The system does not have mechanisms to log security relevant files.
  - SISS – AC-6 Security implementation is not robust enough to enforce least privilege at an individual user level.
  - SSIS – AC-7 & AU-2 Staff logins are not recorded or logged. Unable alert on invalid internal login attempts.
  - SISS – IA-2 Two factor authentication is not support and system passwords are stored within the database as clear text.
  - SISS – AU-3 System audit records are incomplete.
- The internal or “back office” component only functions on Internet Explorer. Internet Explorer has an estimated end of life October, 2025. Currently Internet Explorer is only being patched by Microsoft for major security flaws. In addition, the system does not support Internet Explorer versions 9 or greater, requiring use of a specially configured legacy mode to utilize the system.
- The system does not allow the agency to appropriately manage access to level 4 data. The workaround has been to purge level 4 data from the system and retain in external paper form to which access is controlled and logged.
- GLSuite does not meet accessibility standards for internal users.
- Document management within the system has been unreliable; the agency is unable to determine if documents stored on the record are accurate.
- The system has performance limitations which constrain the number of licensees able to access online services at any one time. This limitation is regularly encountered during busy renewal periods.
- The system’s core is designed around serial processing of individual records. As record sizes continue to grow, the system grows progressively slower, less reliable and requires alteration of some internal processes.

Without vendor support, the system cannot be upgraded to resolve these issues. Based on past experience, commencing support with and seeking upgrades from GL Solutions is not a viable alternative. Given the vendor’s software changes since the system was implemented and time elapsed since it has been supported, the resulting endeavor would be indistinguishable from a transition to completely different software.

This project has been approved by the members of Board and the agency's management team. Before deciding to undertake this project, the Business Manager and Information Technology staff evaluated the need to replace the system against the business needs. An initial market assessment was performed to ensure the availability of systems and vendors that might fulfill agency requirements. The agency's management team directed and advised on appropriate project timing. Once Board and management approval was received, the project was initiated and the agency started collecting the information needed to initiate the project.

## Alignment

Replacement of GLSuite is undertaken in keeping with the agency's Strategic Plan goal of modernizing and optimizing technology tools to simplify and streamline agency functions as well as position the agency for future technology needs. See [attached](#) Agency Strategic Plan, Strategy 1. Replacing GLSuite with a product which uses more modern architecture will allow the agency to improve internal efficiency and improve the usability and feature set offered so we may continue to provide our customers with excellent service.

The project supports the Governor's vision of user-friendly, reliable, and secure state technology systems as well as the Enterprise Information Services (EIS) modernization objectives.

The Board has been able to leverage the licensing systems requirements developed by EIS to issue a Request for Information to gather information about available products. The Board continues to partner with EIS and other licensing boards to share knowledge and experience in provisioning licensing software.

## Scope

### Description

The Board seeks an easily configurable replacement solution that fulfills all functions of the current system and allows the agency to add other needed functionality. The project will consist of reviewing and acquiring a single system that can replace the current one. A partnership with the vendor is important to the agency; vendor compatibility with the agency's vision and culture is as important as the product itself. The vendor will document and understand the agency's current processes and build or configure a system to adhere to them. All existing essential functions of the current system should be enacted in the new. Quality assurance will be performed on the system to ensure all functionality meets the agency's

needs. Data in the existing system will be migrated, including all historical data that may not be referenced within new processes. Training will be provided by the vendor to ensure agency staff and IT can utilize and configure the new system.

## Project Deliverables

- Provide a system that allows varying degrees of access by role.
- Create all components needed for internal Licensing staff to administer their current licensing process.
- Create all components needed for internal Investigations staff to administer their investigation processes.
- Create all components needed for internal Administrative Services staff to administer their administrative process.
- Build a public facing customer portal for applicants and licensees to apply and maintain licensure.
- Develop a public facing portal for the public to search licensed and disciplined individuals.
- Train IT staff in configuring the system.
- Train internal staff in performing their processes.
- Provide system specifications on the configuration of the system.

## Acceptance Criteria

- Licensing staff are able to effectively and securely complete their day-to-day activities in the new system.
- Investigations staff are able to effectively and securely complete their day-to-day activities in the new system.
- Administrative staff are able to effectively and securely complete their day-to-day activities in the new system.
- Agency IT has the ability and know-how to configure the system.
- Public facing customer portal allows applicants and licensees to effectively and securely apply and maintain licensure.
- The public can search for current and previous licensees along with individuals who may have been disciplined.

## Exclusions

- No more than 10% of the project effort should go into new functionality that is not in the current system.

## Research

The agency compiled a list of vendors with potential products by consulting with other state agencies, EIS, agencies outside the state, and through internet and news searches. Each vendor and their associated product(s) were reviewed for capabilities and how much potential they had to deliver a compatible product. The agency then compiled a set of high-level requirements to provide vendors an idea of what the agency was looking for. In March 2020, the agency issued an informal RFI, [attached](#), to gauge the marketplace and begin to develop a policy package for the 2021-23 biennium. The below alternatives analysis is based on the responses to this RFI.

The agency has monitored similar initiatives across the state. Contact with EIS has been maintained to keep apprised of other licensing system projects and their requirements. The OMB has sought information from other agencies about the products and vendors they evaluated as well as their final choice of product. The Board finds that other agencies with seemingly similar needs have documented requirement differences. An attempt to share services with other agencies would increase the scope, complexity, implementation time and project risk.

Responses to the RFI led to the classification of all products by their service type: platform as a service (PaaS), software as a service (SaaS), and commercial off-the-shelf solutions (COTS). The agency then evaluated the customer configurability of each solution. This allowed further classification of products as highly, moderately, or not configurable by agency staff, enabling the agency to gauge ongoing dependence on the vendor. The agency determined a preference towards a highly configurable PaaS as the service type that best aligns with agency needs and results in least risk. A highly configurable PaaS product provides a solution that can be easily modified as business needs evolve and managed using a combination of internal and external parties to ensure resource availability.

## Requirements

See the [attached](#) preliminary system requirements.

Examples of desired additional functionality:

- Board member access to meeting materials. These materials are currently being converted into encrypted PDF files that are distributed to the Board members via Dropbox to agency owned and secured laptops. These files can be as large as 2GB and contain 10,000 pages or more, making this a challenging process and inefficient tool for Board members and staff.

- Third-party provision of payments. Many provider organizations choose to pay licensing fees for their employees but there is currently no mechanism for them to do this online. The alternative is for these organizations to pay with checks or provide the agency with credit card information for manual processing. A secure, online, system allowing the entity to pay by credit card improves efficiency and reduces the risk inherent in handling of funds.
- Third-party provision of source documents. Throughout agency business processes we require information from third parties that must be manually managed. A modern system would allow data integrations to improve efficiencies and data source integrity.
- Integration with the state's financial system. Cash receipts and accounts receivable collections are recorded in GLSuite but the information must then be manually transferred into the state's financial system, SFMS. Integration would improve efficiencies.
- Improved workflow visibility and management. The current system does a poor job of allowing users to visualize workflows and track items needed to complete them. As complex as internal requirements can be, the agency needs a system that makes it easier for staff and customers to track workflows and understand what needs to be completed.
- Meeting security and accessibility standards. The current system is limited in what security standards it can meet and does not adhere to any accessibility standards.
- Integrated email, allowing secure email interactions with customers directly through the online portal as well as reliable and customizable mass email capabilities.

## Measurable Business Benefits

- Business Process Improvements or Transformation
  - Staff Utilization: staff may be able to be redeployed to other duties.
  - Streamlined process: No redundant steps, fewer steps, manual processes automated.
  - Reduced processing time: meeting statutory timeframes for reporting.
  - Improved internal controls: Accountability and increased audit compliance & recordkeeping.
  - Achieved policy objectives: Citizens receive better quality & timely services.
  - More stable IT environment: Business continuity, reduced errors.
  - Configurable: Allow greater staff visibility and control of processes.
- New or Enhanced Service
  - New or improved service: Automated transactions, ability to receive additional services on line.
  - Access to Information: Ability to view and/or purchase public records.
  - Increased availability of business and operational reporting: improved decision-making and transparency.
- Public/customer Satisfaction
  - Legislative or regulatory compliance: More adaptable to law changes.
  - More timely information: More effective decision-making ability backed by accurate information.
  - Streamlined processes: Easier for public to do business with government.
  - Increased responsiveness to customer needs.
- Strategic Alignment

- Directly supports state and agency strategy, mission or business plans.
- Alignment with agency modernization plan.
- Security: compliance, data integrity, risk reduction

**Benefit and Measurement**

<b>Benefit</b>	<b>Measurement</b>
Allow third parties to pay on behalf of customers.	Receipt of payments from a third parties.
System can handle all licensees during renewal periods.	Licensees are not prevented from accessing the system during renewal period high loads.
Reduce time spent fixing bugs.	Compare percentage of bug fixes in old system to new.
Reduce time implementing new features.	Compare time to release new features in old system to new.
Improve customer engagement and responsiveness throughout business processes.	Compare feedback of customers and time between staff requesting feedback and customers providing it.
Level 4 data can be securely stored.	System adheres to the State standards for storing Level 4 data.
Reduce time compiling Board meeting materials and distributing to the Board members.	Compare time staff spend assembling and distributing materials for Board meetings.
Improve document management.	Documents can be tracked through an approval process and versions can be reviewed by staff.
Increase system uptime.	Reduced monthly service updates downtime.
Less IT time spent maintaining servers and network through adequate vendor support and robust architecture.	Reduced server and network maintenance time.
Fewer staff data entry errors through improved workflow and data validation.	Reduced data entry errors.

Benefit	Measurement
Eliminate need for staff use of Excel and other tools to track processes and information.	Eliminated duplicate entry across informal tracking tools.
Reduced staff training time through improved workflows and visibility of processes.	Reduced time to train staff on the system.
Reduced investigation time through improved workflows and visibility.	Reduced time from initial complaint receipt to case closure.
<i>Optional, not included in initial system requirements:</i> More secure and traceable interactions with applicants, licensees and entities related to investigations with integrated secure email.	Improved traceability of interactions with applicants, licensees and entities.

## Assumptions & Constraints

### Assumptions

- The Board’s leadership and staff support this project.
- The agency has both the internal resources and the funding to pursue the project.
- Agency information technology staff will remain consistent throughout the project.
- Access to subject matter experts (SMEs) throughout the project will be available as needed.
- The OMB assumes that an integrated software solution from a stable and reliable vendor can be obtained that will meet our requirements without the need to custom build. See [attached](#) list of preliminary mandatory and optional requirements.
- The proposed project timeline can be achieved, see [Appendix 1](#).

### Constraints

- As an Other Funds agency, revenue from licensee fees must support agency operations and initiatives.
- As a relatively small agency, the number of SMEs is limited, and day-to-day, mission-related activities must be continued.
- Agency renewal cycles dictate that a new system cannot go live during the final three months of any odd-numbered year.
- Implementation must be completed before the current GLSuite software becomes non-operational.



# Alternatives

## 1. Do Nothing

Under this option, the Board would take no action and continue to use the on-premise GLSuite software. The OMB considers this to be the highest risk, least beneficial, alternative.

### Identified risks:

- End of life for Internet Explorer will introduce irreparable incompatibility with the application.
- Future operating system upgrades may be incompatible with the application.
- One or both agency information technology staff leave the agency, significantly reducing or entirely preventing the ability to manage or enhance the system.
- Record size grows over time, reducing system responsiveness to staff, licensees, and applicants.
- Unforeseen issues managing documents may result in lost information.
- Unforeseen core code bug could cause data loss or unreliability.
- New statutory requirements may not be able to be met due to system limitations.
- Ongoing management of hardware.
- Potential infrastructure unavailability.
- Limited capacity management and scaling of resources.
- Continued deviation from Statewide information security plan and standards.
- Inability to provide other agencies and organizations with real time data.

### Benefits Identified:

- No additional costs.
- No requirement to manage change or transition data and business processes.

Anticipated 5-year costs: \$ 2.2 million

## 2. Platform as a Service Solution, Hosted

Under this option, the Board would procure and implement a Platform as a Service (PaaS) solution.

### Identified risks:

- Relies on a third-party to provide required infrastructure, capacity management and scaling.
- Relies on a third-party to safeguard agency information.
- Platform and/or software vendor may cease business.
- Agency has less control of data.
- Platform and/or software updates may not meet the needs of the agency.
- Creates vendor lock-in.
- Licensing model and costs could change.

#### Benefits Identified:

- Most likely to allow No-code/Low-code development, providing opportunities for non-technical users to make system changes, increasing options to maintain and improve the system.
- Highly configurable modern architecture, allowing agency business processes to be efficiently designed.
- Highly flexible as statutory requirements change and business processes evolve.
- Hosted off site with system failovers, reducing risk of system unavailability.
- Vendor support provides resources for ongoing maintenance and system enhancements.
- Platform provides information security resources not able to be provided by a small agency.

Anticipated 5-year costs: \$ 4.4 million

### 3. Commercial Off-The-Shelf Solution, On Premise

Under this option, the Board would procure and customize a Commercial Off-The-Shelf solution (COTS), hosting on premise.

#### Identified risks:

- Ongoing management of hardware.
- Agency responsibility for capacity management and scaling.
- Potential infrastructure unavailability.
- Software vendor may cease business.
- Agency may have limited opportunity to self-manage software functioning and feature enhancements.
- Software updates may not meet the needs of the agency.
- New statutory requirements may not be able to be met due to system limitations.
- Most likely only developers would be able to make system changes, limiting support resources available to the agency.

#### Benefits Identified:

- Generally configurable modern architecture, allowing agency business processes to be efficiently designed.
- Moderately flexible as statutory requirements change and business processes evolve.
- Vendor support provides resources for ongoing maintenance and system enhancements.
- Agency has more control of data.
- More likely agency could own the source code and be able to support the system if the vendor cannot.

Anticipated 5-year costs: \$ 4.6 million

### 4. Software as a Service Solution, Hosted

Under this option, the Board would procure and implement a Software as a Service (SaaS) solution, hosted by the software vendor.

### Identified risks:

- Relies on a third-party to provide required infrastructure, capacity management and scaling.
- Relies on a third-party to safeguard agency information.
- Software vendor ceases business.
- Agency has less control of data.
- Agency may have limited opportunity to self-manage software functioning and feature enhancements.
- Software updates may not meet the needs of the agency.
- Creates vendor lock-in.
- Licensing model and costs could change drastically.
- Likely only vendor developers could make major system changes.
- Provides the agency the least ability to configure the system.

### Benefits Identified:

- Moderately configurable modern architecture, allowing agency business processes to be efficiently designed.
- Moderately flexible as statutory requirements change and business processes evolve.
- Hosted off site with system failovers, reducing risk of system unavailability.
- Vendor support provides resources for ongoing maintenance and system enhancements.
- Vendor and cloud host provide information security resources not able to be provided by a small agency.

Anticipated 5-year costs: \$ 5.6 million

## Conclusions

Based on the analysis of responses to our RFI and review of the anticipated risks and benefits of the solutions identified, the OMB has determined that a Platform as a Service (PaaS) approach is the best solution for the agency. This method of service delivery provides the best balance of flexibility, stability, and agency control.

The OMB recommends finalizing complete system requirements, determining how to procure a PaaS solution, and proceeding with contracting and system implementation. The procurement may be able to leverage existing state contracts for software. If existing state contracts cannot be utilized, a Request for Proposal (RFP) would be developed.

Continuing with the current GLSuite software puts agency mission fulfillment at risk due to difficulty of modifying the software to meet changing business needs, insufficient security controls, the pending obsolescence of Internet Explorer, and the lack of third-party support.

A modern system will bring efficiencies and flexibility, providing the agency opportunities to enhance service delivery to our customers.

# Appendixes and References

[Appendix 1](#)- Proposed Project timeline

[Appendix 2](#)- Preliminary mandatory and optional requirements

[Appendix 3](#)- Informal Request For Information (RFI)

[Appendix 4](#)- Agency Strategic plan

# Appendix 1

## Proposed Project Timeline

Stages	Project Initiation	Planning	Execution	Operations & Control
<b>Timeline</b>	January – June, 2020	July 2020 - December 2021	January 2022 – June 2023	July 2023+
<b>EIS Stage Gate</b>	Stage Gate 1	Stage Gate 2 & 3	Stage Gate 4	
<b>Key Deliverables &amp; Activities</b>	<ul style="list-style-type: none"> <li>• Market Research/RFI</li> <li>• Business Case</li> <li>• Early Budget development</li> <li>• IT Investment Form</li> <li>• Initial Complexity Assessment</li> <li>• Project Charter</li> </ul>	<ul style="list-style-type: none"> <li>• Project Management Plan</li> <li>• Business Requirements and Project Scope</li> <li>• Deliverable Management Plan</li> <li>• Requirements Traceability Matrix</li> <li>• Cloud Workbook</li> <li>• System Security Plan</li> <li>• RFP and Vendor Selection</li> </ul>	<ul style="list-style-type: none"> <li>• Contract Execution</li> <li>• Software Configuration</li> <li>• Vendor Management</li> <li>• Project Management</li> <li>• Budget Management</li> <li>• Risk Management</li> <li>• Operations and Maintenance Plan</li> <li>• System Security Plan</li> <li>• Go-Live</li> </ul>	<ul style="list-style-type: none"> <li>• Software Support</li> <li>• Change Management</li> <li>• Ongoing Documentation</li> </ul>

## Appendix 2

### Preliminary Mandatory and Optional Requirements



Modernization  
Preliminary Requirem

# Appendix 3

## Informal Request For Information (RFI)



OMB-RFI-Spring2020.pdf



RFI Requirements Workbook.xlsx



RFI Alternatives Analysis.xlsx

Project Prioritization Matrix		Core Business Suite Replacement
TOTAL PROJECT SCORE (0-100)		85
CRITERIA	WEIGHT	SCORING GUIDE
<b>Technology &amp; Strategic Alignment</b>	35%	<b>WEIGHTED SUBTOTAL &amp; PERCENT OF TOTAL PROJECT SCORE</b> 29 34%
<b>Alignment to Strategic Plans</b> Does the Agency adhere to the Governor's Strategic Plan ( <i>Action Plan: User Friendly, Reliable and Secure: Modernizing State Information Technology Systems and Oversight</i> ) and the Enterprise Information Services Strategic Plan? Does the investment align with IT best practices (e.g. transparency by design, easily retrievable data, early value delivery, modular implementation, security principles, modern hosting technologies such as cloud, configuration over customization, etc.) How does this investment integrate into the agency's strategic plan?		<p><b>3 - Mastery (High)</b> Investment incorporates multiple elements of state technical vision, is strategically consistent with agency strategic vision and IT best practices. Proposed solution is technically consistent with State vision for User-friendly.</p> <p><b>2 - Competent (Medium)</b> Mostly aligned with Mastery</p> <p><b>1 - Adequate (Low)</b> Partially aligned with Mastery</p> <p><b>0 - Insufficient (None)</b> Investment is inconsistent with elements of the Enterprise and/or Agency state technical vision and does not incorporate the state's technical values or</p>
<b>Diversity, Equity, Inclusion, and Accessibility</b> Does the Agency adhere to the Governor's Office of Diversity, Equity, Inclusion/Affirmative Action mission and objectives? Does the Agency have processes in place ensuring Oregon's government develops, maintains, and embeds a diverse and inclusive culture throughout state systems, institutions, and deliverables and plan to incorporate them into this investment? Does the Agency address how the solution will meet or exceed Oregon Accessibility Standards?		<p><b>3 - Mastery (High)</b> Agency intentionality makes equity, inclusion and accessibility a priority in change management, customer service, leadership development, and community engagement. Investment demonstrates and incorporates diligence in employment, from hiring to retention, promotion, and succession planning. Agency plans to work with Procurement on COBID certified firms. Project substantially benefits underserved communities-including rural communities, low income communities or communities of color.</p> <p><b>2 - Competent (Medium)</b> Mostly aligned with Mastery</p> <p><b>1 - Adequate (Low)</b> Partially aligned with Mastery</p> <p><b>0 - Insufficient (None)</b> Agency does not have adequate existing processes to intentionally promote diversity, equity, inclusion or accessibility and has only nominally considered incorporating them in to this investment.</p>
<b>Business &amp; Customer Driven Technology</b>	25%	<b>WEIGHTED SUBTOTAL &amp; PERCENT OF TOTAL PROJECT SCORE</b> 22 26%
<b>Customer Centered Approach</b> How does this technology investment take into consideration the number of users and place an emphasis on providing customer value? If the investment addresses public facing technology, is it customer-focused? If the investment is for agency use, does it improve the agency users' experience? Does the implementation plan focus on user experience/feedback?		<p><b>3 - Mastery (High)</b> Investment is focused on providing customer value. For public services, the customer experience is primary. Potential for use by all Oregonians. For agency investments, provides tangible benefits to agency users. Investment plan includes customer stakeholders and addresses methods to incorporate</p> <p><b>2 - Competent (Medium)</b> Mostly aligned with Mastery</p> <p><b>1 - Adequate (Low)</b> Partially aligned with Mastery</p> <p><b>0 - Insufficient (None)</b> Investment is being implemented in isolation from customers and end users or will not be used by many users.</p>
<b>Business Process Transformation</b> Does this technology investment contribute to business process improvement/transformation? How does this technology investment intersect with measurable business outcomes including the return on investment, if applicable?		<p><b>3 - Mastery (High)</b> Business outcomes will be improved as a result of this investment. Investment implementation is being driven by business process transformation to improve service delivery. If public facing, customer interaction with business process is improved as a result of this investment. Solution will modernize processes. Specific examples of measurable business improvements are provided in the business case (i.e. cost savings, streamlined processes, improved controls, access to information). Investment is consistent with the agency's internal</p> <p><b>2 - Competent (Medium)</b> Mostly aligned with Mastery, includes measurable outcomes</p> <p><b>1 - Adequate (Low)</b> Partially aligned with Mastery, does not include measurable outcomes.</p> <p><b>0 - Insufficient (None)</b> Investment implementation is nominally considering business processes and their integration with technology. Investment has no relationship with an agency's business processes. Agency is thinking "tool first" to solve business problems. Investment does not cohere with agency strategy.</p>
<b>Investment Risk</b> Does this investment need to be implemented during this budget cycle? What is the impact of not doing this investment during this cycle? Would the agency, state, or its customer be exposed to a risk or impact if the service/product is not offered (e.g., security, safety, legal, funding source, or any other related risk)? Is an existing service at risk? Do other current services/products depend on it?		<p><b>3 - Mastery (High)</b> Investment addresses a currently unmet, time sensitive mandate (legislative, federal, state) or risk, and/or addresses audit findings requiring urgent action or not implementing this solution puts existing services at risk.</p> <p><b>2 - Competent (Medium)</b> Mostly aligned with Mastery</p> <p><b>1 - Adequate (Low)</b> Partially aligned with Mastery</p> <p><b>0 - Insufficient (None)</b> Investment provides an opportunity to improve services, but does not introduce new capability or address imminent risks.</p>



Agency Readiness & Solution Appropriateness	40%	WEIGHTED SUBTOTAL & PERCENT OF TOTAL PROJECT SCORE	33 39%
<b>Organizational Change Management</b> How does this technology investment impact operations throughout the organization? What are the agency plans to address and mitigate risk through formal Organizational Change Management? (Organizational Change Management (OCM) is a framework for managing the effect of new business processes or systems.)		<b>3 - Mastery (High)</b> Investment demonstrates complete consideration and resources for OCM. Efforts are proportional to the size of the change taking place. <b>2 - Competent (Medium)</b> Mostly aligned with Mastery <b>1 - Adequate (Low)</b> Partially aligned with Mastery <b>0 - Insufficient (None)</b> Investment dramatically underestimates OCM requirements for this effort, or OCM efforts inadequate to address the impact of the change in the	2
<b>Solution Scale</b> What is the scope and size of the agency's proposed technology investment? Is this the right-sized appropriate scaled type of solution to address this problem?		<b>3 - Mastery (High)</b> Investment is appropriate size and scale for the agency's business needs. The investment addresses the agency's needs sufficiently and holistically. Criteria evaluation focuses on how this specific solution is right sized for the agency's <b>2 - Competent (Medium)</b> Mostly aligned with Mastery <b>1 - Adequate (Low)</b> Partially aligned with Mastery <b>0 - Insufficient (None)</b> Investment is inappropriately sized to address agency need. Investment narrowly targets agency needs and the proposed solution does not serve all areas that would be impacted by the investment.	3
<b>Capacity</b> Has the Agency given consideration for adequate staffing inclusive of project resources, subject matter experts (SMEs), leadership availability and capability to effectively support this technology investment? Will this technology investment detract from the Agency's ability to deliver on its core business functions? Has the Agency addressed capacity requirements needed to effectively resource this initiative to cover core business functions?		<b>3 - Mastery (High)</b> Investment has completely considered SME availability and resource backfilling. Investment and agency normal business is adequately staffed for duration of project. Availability of resources include: project team, SMEs, other technical resources, and backfilled resources. <b>2 - Competent (Medium)</b> Mostly aligned with Mastery <b>1 - Adequate (Low)</b> Partially aligned with Mastery <b>0 - Insufficient (None)</b> Investment has only nominally considered resource availability. Investment is not adequately staffed for duration of project.	3
<b>Governance Processes</b> What elements do the Agency's project governance process consist of? Project Governance standards are inclusive of executive sponsorship and steering, vendor/contract management, change control, Quality Assurance, Independent Verification & Validation (IV&V), stakeholder feedback for decision making.		<b>3 - Mastery (High)</b> Agency has existing governance processes in place or is introducing new ones to adequately oversee this investment. Processes include multiple of the following elements: engaged executive sponsorship, steering committees, vendor and contract management, change control, QA, IV&V, and stakeholder <b>2 - Competent (Medium)</b> Mostly aligned with Mastery <b>1 - Adequate (Low)</b> Partially aligned with Mastery <b>0 - Insufficient (None)</b> Agency does not have adequate existing governance processes and has only nominally considered incorporating them in to this investment.	2