# Detailed Requirements

** [State Standards]

PH1 – Current Function – Needed upfront, PH2 – Can wait till second phase, PH3 – Nice to haves

| Requirement # | Priority | Description |
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| **HLR01** | PH1 | New system must be capable of supporting test environments that will enable DPR agency-users to configure and fully test processes and interfaces, with a phased-in testing approach with a final all-inclusive test, before releasing them to production. New system must accommodate and facilitate testing that replicates in every detail possible how the system will look and function in production including, but not limited to:<br>• every section in the New system (e.g., licensing, enforcement)<br>• accounting (e.g., entering 'fake' credit card payments via a test payment processor)<br>• workflow and assignment mechanisms<br>• end-user and agency-user interfaces<br>*Note:* This should be included in the Statement of Work. |
| **HLR02** | PH1 | New system must accommodate the constant statutory, regulatory and policy changes that DPR agency-users must implement by supplying a comprehensive array of administrator tools to help authorized agency-users efficiently configure, update and maintain the new system (e.g., changing agency-user interfaces via a web builder, re-configuring workflow and assignments, adding new professions and license types, modifying the dynamic question flow in an end-user form, revising license requirements, changing fees, revising language or functionality on reports and correspondence). |
| **HLR03** | PH1 | New system documentation must be provided and kept up-to-date including, but not limited to, data dictionary, administrator guide, agency-user tutorials, documentation of version releases that explains all fixes and enhancements.<br>*Note:* This should be included in the Statement of Work. |
| **HLR04** | PH1 | New system must support<br>• single sign-on concept (i.e., DE SSO (formerly known as IAM)), for the citizen end-user, the DPR agency-user, and/or any other authorized user of the system<br>• self-service password reset for all users whether external (end-users) or internal (agency-users)<br>*Note*: SSO will not apply to every end-user service in the new system (e.g., the public-facing 'read-only', license lookup service, called eVerification, which displays only 'public' information, should not require SSO).<br>*Solution Request:* Many requirements later in this document address what we term 'subsequent' actions – that is, an action related to a person/facility already in the system's database (e.g., a person signs on to renew a license (PH1), a person who applied for a license before signs on to apply for another license (PH2), a person who holds a license signs on to file a complaint against another licensee (PH1), a facility that previously paid someone's fee signs on to pay somebody else's fee (PH1)). Others address the importance of not allowing agency-users or end-users to create multiple records for the same person/facility. Please describe the process by which the new system will attempt to connect a person's or facility's SSO to a prior record that the person/facility may have in the database. The factors to consider in this solution may include any/all of the following: |

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| | | • All persons and facilities have a unique person_id in the L2K database. The person_id is not known to the person/facility.<br>• All persons and facilities have an L2K-generated but non-unique MyLicense alphanumeric (i.e., registration code) in the L2K and eGov databases. The registration code is provided to applicants and licensees; it is not provided to others. Some, not all, licensees have used the registration code to create a userID/password in the eGov database.<br>• License numbers are public information and, as such, should not be an identifier during SSO.<br>• Not all persons in the database have a Social Security Number. 87% of licensees do, but non-licensees do not.<br>• Facilities in the database, including facility licensees, have no unique identifier such as an EIN.<br>• Facility names are often long and duplicative.<br>• Although 90% of persons who have applied for licenses have an email address in the database, few persons who have not applied have an email. Only 15% of facilities in the database have emails, and most of those are believed to be emails of people who work there (e.g., owner, pharmacist-in-charge).<br>• Licensees often use employer emails, and the same email may be used by many persons. |
| **HLR05** | PH1 | New system must provide citizen end-users who have signed in with an account home page that<br>• displays demographic data (e.g., addresses and other contact info) and other kinds of data depending on the type of end-user they are<br>• provides access to end-user services (e.g., renewal service, duplicate license service and complaint service in PH1)<br>Data displayed for licensee/applicant end-users should include not only demographic data but also applications/licenses, complaints on which they are named respondent, disciplinary data, etc.<br>• Licenses should be sortable by criteria such as type, issue date, expiration date, etc.<br>• Complaints should be sortable by date received. |
| **HLR06** | PH1 | New system must provide agency-users who have signed in with an Employee Dashboard displaying data based on their roles (e.g., credentialer, Service Team supervisor, paralegal, investigator) and assignments including, but not limited to:<br>• system-generated assignments (e.g., incoming applications, complaint investigations, upcoming hearings)<br>• system-generated alerts<br>• assignments generated by supervisors<br>• self-set tasks, reminders and notes<br>• any personal workload/workflow metrics which may be determined to be useful (e.g., investigations closed for investigators, license applications reviewed for credentialers, applications entered for OPS staff members)<br>Assignments and alerts are covered later in this document. Other dashboards (e.g., Division Dashboard, Service Team Dashboard) accessible to agency-users are covered later in this document. |
| **HLR07** | PH1 | New system must display on the Employee Dashboards of supervisory/management employees indicators of the workloads of their subordinate employees, regardless whether assigned by supervisor or system. |

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| **HLR08** | PH1 | New system must provide a mechanism for assigning workloads to agency-users. The assignment mechanism must be flexible and configurable so as to<br>• automate assignments to the extent possible (e.g., assign all incoming end-user complaints to agency-user who is the investigative supervisor, assign all incoming license applications to OPS agency-users)<br>• allow manual assignment/re-assignment by authorized agency-users (e.g., investigative supervisor reassigns accepted complaints to agency-user investigator)<br>• accommodate a solution to automatically back up or redirect assignments when automatic assignee is out of office or otherwise unable to accept assignment.<br>Since DPR is team-based, the assignment mechanism must be sufficiently configurable to allow DPR the option to assign automated assignments to groups (Teams or Units) or to assign them to individual agency-users (e.g., Nursing license applications ready for credentialing would be automatically assigned to Team A while Controlled Substance applications are assigned to one primary and one backup agency-user on Team C). |
| **HLR09** | PH1 | New system must accommodate configuration of workflow activities related to DPR's business processes as a means to manage workloads and enable metrics (e.g., assigning two reviews on fast-tracked license issuances, assigning two reviews on complaint rejections, assigning Board-review applications to a Board liaison agency-user, assigning Hearing Officer recommendations to Board liaison).<br>*Note*: Workflow of most DPR processes is consistent. However, some processes, while they may be similar on a high level, vary from Team to Team on a granular level. This may be due in part to policy differences based on profession. It may also be related to pilot projects (e.g., 'complete application' project to streamline Medical licensing) or on other initiatives (e.g., LEAN implementation). DPR anticipates that workflow will evolve and further standardize as a result of implementing this new system and adding end-user services. However, the sum of all these considerations is that configuration of workflow activities must accommodate variance and change and, yet, still provide useful tools for managing workloads and yield meaningful metrics. |
| **HLR10** | PH1 | New system's assignment mechanism must be sufficiently flexible that personnel changes (new agency-users, departing agency-users) can be easily accommodated (e.g., agency-user assignments are not 'lost' due to departing personnel). |
| **HLR11** | PH1 | New system must be cloud-based to be accessible from anywhere and by various authorized end-users and agency-users (e.g., in conference rooms, at hearings, in DPR, in the field (see mobile requirements), etc.). |
| **HLR12** | PH1 | New system must have security levels on the data fields and enable admin to set granular user permissions.<br>*Note*: Due to changes in DPR's organizational paradigm since they were established, roles in DPR's current system require revisiting and better alignment to current job tasks. |
| **HLR13** | PH1 | New system must support entry of new person/facility records and changes within an existing record by authorized agency-users, based on user permissions, as well as supporting specific permitted additions and changes by end-users. |
| **HLR14** | PH1 | New system must support an array of end-user services to encourage and facilitate self-service. Some must be in the initial phase of implementation with expanded services in later phases. In the initial phase of |

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| | | implementation, the services must include, but are not limited to, the following:<br>• license lookup (eVerification)<br>• demographic (address and contact info) changes<br>• duplicate license orders<br>• renewal applications<br>• application status<br>• complaint submission<br>Each of these is covered in separate requirement(s) later in this document. |
| **HLR15** | PH2, PH3 | Unless they can be implemented in PH1, the end-user services that the system must support in later phases must include, but are not limited to, the following:<br>• license applications<br>• license verification requests (to be sent to other jurisdictions)<br>• Real Estate (RE) transfers<br>• continuing education (CE) tracking<br>• CE approval submissions<br>• self-service reports<br>Each service is covered in separate requirements later in this document.<br>*Note:* When a service is not implemented until a later phase, the system's earlier phases must nonetheless have a solution for handling the workload in the most efficient manner possible. Please address how the new system would handle each listed workload before the end-user service is implemented. |
| **HLR16** | PH1 | For all end-user services, new system must provide standard validation of end-user entries (e.g., email format) and auto-generate city, state and county based on entered zip code. If possible, system should validate or alert on inappropriate case. |
| **HLR17** | PH1 | New system must provide end-users with a printable/saveable summary of their submission in all end-user services. The summary must include all field labels (including full text of questions asked) and responses. Requirements later in this document specify any additional components of the summary for specific end-user services. |
| **HLR18** | PH1 | New system must support an end-user demographic service which will permit end-users to update their contact information. This service will replace and enhance the current system's online demographic service. The system will permit changes to<br>• any address defined for their profession/license type(s) *unless* blocked as explained below<br>• public disclosure indicator on an address.<br>• email addresses and phone numbers<br>The system must<br>• enable DPR to block end-users in certain license types from changing certain addresses (e.g., some facility license types are not permitted to change location addresses, ACGME Training licensees are allowed to change residence addresses but not mailing addresses).<br>• post the address or other contact info change in the appropriate address history<br>• retain the prior information (e.g., old address, old email) for retrieval when needed<br>• maintain workload statistics |
| **HLR19** | PH1 | New system must provide a mechanism within the end-user demographic service to automate, to the extent possible, or to otherwise help DPR |

| Requirement # | Priority | Description |
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| | | process the notifications and data changes involved when a nurse changes residence address (e.g., a DE RN moving to another compact state loses her DE RN but keeps her DE Advanced Practice Nurse license, an RN from another compact state moving to DE has to apply for a multi-state DE RN within a prescribed period of time, a DE RN moving to a non-compact can keep the DE license but it becomes a DE-only license).<br>*Note*: DPR will provide detailed documentation. |
| **HLR20** | PH1 | New system must support an end-user duplicate license service with which end-users can order and pay for duplicate licenses. This service will replace and enhance the current system's online duplicate license service.<br>• The payment must post to the accounting section. Similarly, the appropriate fee must be posted to the license and the payment automatically allocated to it.<br>• The duplicate request must post to the license history.<br>• The duplicate license must be sent to the appropriate batch for printing.<br>• The order must post an alert on the dashboard of the agency-user/assignee for printing and mailing.<br>• Workload statistics must be retrievable. |
| **HLR21** | PH1 | New system must be able to provide workload and workflow metrics, in reports and dashboard formats, that authorized agency-users may access on-demand or may schedule for delivery to their dashboard on a periodic basis, to help with the benchmarking necessary for day-to-day operations.<br>Dashboards and reports will be covered later in this document. |
| **HLR22** | PH1 | New system must interface with the DPR webserver to facilitate access to key web pages that end-users or agency-users will need while using the system (e.g., end-users need instructions on dpr.delaware.gov as introduction to licensure applications in PH2, investigator agency-users need law and regulations on dpr.delaware.gov while completing Investigative Report). |
| **HLR23** | PH1 | New system must have a vast amount of capacity<br>• to store data needed to carry out the full array of DPR's statutory and regulatory responsibilities, including data for public disclosure under the Freedom of Information Act<br>• to house all applicable documents related to all functions of the system including, but not limited to, license applications, enforcement and accounting.<br>This storage needs to be sustainable throughout the life of the system's use. |
| **HLR24** | PH1 | New system's components that are accessed by end-users must mirror www.dpr.delaware.gov's 'look and feel' consistent with State of Delaware web standards. |
| **HLR25** | PH1 | In all of its interfaces in end-user services, new system must support the following configurable features to ensure that the end-user understands what data to enter in a field:<br>• prompts with instructions to assist the end-user<br>• 'hovers' over the data fields<br>• other help mechanisms |
| **HLR26** | PH1 | New system must provide capability to connect all data that pertains to a single person/facility to a single record for the person/facility. This includes, but is not limited to, adding the following to person/facility records that already exist in the system's database:<br>• license applications<br>• complaints or other enforcement actions |

| Requirement # | Priority | Description |
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| | | • accounting actions (e.g., payments, fees) |
| **HLR27** | PH1 | New system must have an automated validation process, workflow or other mechanism to help prevent entry of more than one record for the same person/facility, whether as applicants or non-licensees (e.g., complainants), regardless of whether an end-user (e.g., license application in PH2) or agency-user is trying to enter the record. |
| **HLR28** | PH1 | New system must support a mechanism that<br>• alerts authorized agency-users to possible multiple person/facility records for the same person/facility<br>• allows authorized agency-users to merge duplicate person/facility records that have been inadvertently created – along with any associated applications/licenses, fees/payments or complaints/enforcement – into a single person/facility record that retains all of the information for all records merged. |
| **HLR29** | PH1 | New system must accommodate records of persons/facilities that are NOT licensees/applicants but which play a role in professional licensing. These 'non-licensees' include, but are not limited to, third party payers, parties involved in an enforcement action (e.g., unlicensed complainants or respondents, witnesses or attorneys), facility owners (e.g., corporate officers or proprietors), etc. The system must also support changes to the records (e.g., addresses) of such non-licensees at any time. |
| **HLR30** | PH1 | New system must accommodate situations in which persons/facilities that were created as non-licensees (e.g., payers, respondents) subsequently become applicants/licensees and, when that occurs, to enable all functionality associated with applicants/licensees (e.g., replication of data to the eVerification license lookup service). |
| **HLR31** | PH1 | New system must provide a configurable interface for agency-users to view and enter basic data pertaining to a person/facility, regardless whether the person/facility is an applicant, licensee or non-licensee. The person/facility interface must<br>• allow data from any section of the system (e.g., demographic, licensing, enforcement, accounting) to be displayed<br>• be configurable as to appearance (e.g. fields displayed, screen layout, labels on fields)<br>• support 'hovers' over the data fields and/or other help mechanisms to ensure agency-users understand the data and procedures<br>• provide easy access to detail screens for viewing, entering and modifying data in any section of the system (e.g. changing addresses, entering a first or subsequent license application, adding complaint activities, scheduling a hearing, annotating an inspection, etc.) |
| **HLR32** | PH1 | In addition to the person/facility interface, detail screens in the agency-user interface must<br>• be configurable as to appearance in order to accommodate differences between professions/license types and to prevent errors in entering and interpreting data (e.g., screen layout for a facility-type license differs from layout for person-type license, field labels for prerequisites differ according to the license type)<br>• support 'hovers' over the data fields and/or other help mechanisms to ensure agency-users understand the data and procedures |
| **HLR33** | PH1 | New system must support configuration of multiple addresses for each person/facility and the 'kinds' of addresses must also be configurable. Specifically, each person/facility in the system must have a 'basic address' as follows: |

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| | | • Each person who is a licensee/applicant must have a personal (residence) address that will pertain to all his/her licenses/applications.<br>• Each facility that is a licensee/applicant must have a physical location address that will pertain to all licenses/applications.<br>• Each person or facility that is a non-licensee must have a 'mailing address.'<br>• Each person or facility that becomes a respondent – regardless whether a licensee/applicant or a non-licensee – must have a 'respondent mailing address.'<br>In addition to the 'basic address' described above:<br>• Every license held or application filed by a person/facility must have a 'mailing address'. The mailing address may or may not be the same as the basic address (e.g., by law, the mailing address for an ACGME license must be his hospital employer while the mailing address for the same person's Physician license may be another address, such as his residence or practice address).<br>• Every license of the following types must have a 'practice location address' for federal reporting purposes: physician, advanced practice nurse, dentist, mental health practitioner (counselor, chemical dependency professional or marriage/family therapist), social worker or psychologist.<br>• Other licenses may have other specific types of addresses (e.g., 'training location' for apprentice licenses, 'practice location' for certain temporary licenses, 'location of electrical work' for Homeowner (Electrical) Permits, 'dispensing location' for Controlled Substances permits, 'event location' for Charitable Gaming permits, broker's office address for Real Estate Salesperson licenses).<br>To avoid re-keying addresses, the system must allow users (both agency- and end-users) to copy addresses.<br>*Note*: To transition to the new address definitions, mapping address rows from the current address table to the appropriate address fields in the new database will differ for each license type. In addition, since current database does not differentiate 'residence address' from 'mailing address' of most person licensees/applicants, DPR will need a plan to elicit self-service corrections. |
| **HLR34** | PH1 | New system must allow applicants/licensees to designate any configured address, regardless of type, as 'public' or 'non-public' for disclosure (FOIA) purposes. Any address not designated as 'public' defaults to 'non-public.' |
| **HLR35** | PH1 | New system must support foreign and U.S. address formats whether such addresses are entered by end-users or by agency-users. |
| **HLR36** | PH1 | New system must have global positioning capability (GPS) available for use with end-user services (e.g., end-user looks up a Physician's public practice address in eVerification). It must also provide GPS support to agency-users (e.g., inspector conducting surprise salon inspections finds licensed salon locations along a selected route but, as she drives, she also spots unlicensed salons along the route). |
| **HLR37** | PH1 | New system must support<br>• robust, highly flexible search/query capability for agency-users, including a wild card option (e.g., search for last four digits of a Social Security Number, portion of license number)<br>• configurable user interfaces for routine searches, including which fields are searchable (e.g., aliases, addresses, complaint numbers)<br>• options for simple non-routine searches to avoid forcing agency-users to |

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| | | resort to asking for SQL queries.<br>*Note:* A 'fuzzy search' is not desired as the number of results would generally be unmanageable.<br>Reporting requirements are covered later in this document. |
| **HLR38** | PH1 | New system must provide accounting functionality including, but not limited to:<br>• receiving payments<br>• reconciling payments received against reports from external systems (e.g., reports from credit card payment processor)<br>• assigning (i.e., allocating) payment(s) to fee(s)<br>• setting audit controls and trails on accounting-related transactions |
| **HLR39** | PH1 | New system must issue a unique, sequential receipt number to each payment entered, at the time the payment is submitted, regardless whether an end-user or agency-user enters the payment in the system and regardless of payer or method of payment (e.g., credit card, check). New system must retain the receipt number in perpetuity. |
| **HLR40** | PH1 | New system's end-user services (e.g., renewal applications) must connect and interact with the payment processor (EPX) for exporting and importing payment (i.e., credit card) data inbound and outbound.<br>*Note*: It is our understanding that we will no longer use the Govolution Velocity Payment payment processor, which now connects with our eGov online services, and that EPX will be the sole payment processor in the new system. |
| **HLR41** | PH1 | New system must have an accounting-mechanism that supports various payment methods (e.g., credit cards, cash, check, money order, intergovernmental voucher). |
| **HLR42** | PH1 | New system's end-user interfaces must ensure that content displays correctly even when the end-user's internet language option is not English. Fee amounts displayed must be in U.S. $ (or the equivalent foreign currency).<br>*Note*: This requirement seeks to remedy an issue in our current system where fee amounts of end-users whose internet language option is not English display incorrectly at checkout, and their payments import to the accounting tables in an incorrect amount (e.g., payment of $13,000 instead of $110) – yet the amount charged to the end-user's credit card correctly matches the fee (e.g., $110). The only solution we have found is to try to get end-users to change their language option to English before checkout. We simply want to ensure that nothing like this happens in the new system. |
| **HLR43** | PH1 | New system must<br>• capture merchant ID of each payment:<br>  o $ (scanned checks)<br>  o $ (bank run)<br>  o online (Visa, MC, Discover)<br>  o POS (Visa, MC, Discover)<br>  o POS (Amex)<br>  o online (Amex)<br>• facilitate reconciling its payment records in each merchant ID against the merchant ID's source documents (e.g., checks being deposited, point-of-sale credit card receipts, payment processor settlement reports) on a daily or other periodic basis. |
| **HLR44** | PH1 | New system must<br>• allow payments either by the person/facility whose fee is being paid <u>or</u> by a third-party paying a fee on behalf of another person/facility |

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| | | • maintain a record of the payer (e.g., person/facility on whose account a check is drawn, the cardholder of a credit card) of all payments submitted regardless of payment method<br>• allow agency-users to easily identify the payer(s) of a fee, including third-party payers, when viewing the fees and payments on the records of applicants/licensees. |
| **HLR45** | PH1 | New system must provide a mechanism to enable authorized agency-users to create a ***non-license*** record for the purpose of posting a fee in the accounting section so that a ***non-license*** end-user can pay it online and the system can automatically allocate the payment to the fee.<br>*Policy Note*: Eventually, end-user services will post most fees and automatically allocate payments made via the service to them. However, for payments where there will be no end-user service to post the fee (e.g., FOIA requests from media) or a planned end-user service to post the fee has not yet been implemented (e.g., CE approval request service), this mechanism would provide an option for non-license payers to submit payments online. *However,* due to the difficulty of identifying the person/facility and fee that an ad hoc payment (often a third party payment) is intended for, DPR policy will be:<br>• Online payments are ***not*** permitted unless the corresponding fees to which the payments will be allocated are already posted on the accounting section of the payer's record so that they will appear in the payer's shopping cart. (See also requirements on third-party payments.)<br>• Agency-users are ***not*** permitted to create a non-license payer record for the sole purpose of posting a fee to it when:<br>o an end-user service to post the fee exists (e.g., renewal service posts renewal fee, roster service (when implemented) posts fee for rosters on end-user/subscriber's record), ***or***<br>o the system will post the fee to a license record as part of another process (e.g., agency-user enters a license application and system posts the appropriate license fee to the applicant's accounting section), ***or***<br>o an agency-user will post the fee on a license or non-license record in accordance with procedure (e.g., agency-user posts a fine fee on a disciplined licensee's or non-licensee's accounting section in the course of processing a discipline). |
| **HLR46** | PH1 | New system must provide robust search capability for all facets of accounting including, but not limited to, searching for non-license payer name, payment receipt number, payment type, date paid, date posted, payment amount and date due. |
| **HLR47** | PH1 | New system must support a shopping cart concept to allow an end-user to pay more than one fee at a time (e.g., a nurse renewing her RN and APN licenses puts the fees for both licenses in her shopping cart and then pays both at once). The fees may be for different fee types and/or from different end-user services (e.g., a renewal fee from the renewal service and a licensing fee from the application service). |
| **HLR48** | PH1 | New system must support a mechanism to allow a third-party payer to submit a payment for the fee(s) of one or more applicant/licensees (e.g., an employer/payer pays the fee for an applicant's license application, a hospital/payer pays the renewal fees for 10 ACGME Training licensees, a broker/payer pays transfer fees for 5 salesperson licensees whom he is moving to another office).<br>*Note*: The mechanism must address a policy concern that the system should ***not*** provide an applicant/licensee with a printable/saveable summary |

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| | | of his/her submission until the third-party payment is complete. |
| **HLR49** | PH1 | New system must support various kinds of changes related to previously entered payments including, but not limited to, refunding (full or partial), deleting or returning payments (e.g., bad check, charge-back). However, the system must be configurable as to the agency-users authorized to refund, delete or return payments. |
| **HLR50** | PH1 | New system must be capable of automatically applying certain kinds of 'holds' to a record, instead of the agency-user adding them manually. The situations in which to apply an automated hold must be configurable and must include, but are not limited to,<br>• end-user incorrectly answers a question on a renewal application (see later requirements on renewal applications)<br>• authorized agency-user enters a returned payment due to 'bad check' reason<br>Configuration of automatic holds must also include whether the hold should stop all license issuances and renewals related to the person/facility regardless of the profession (e.g., bad check hold) or stop only renewals related to a specific license (e.g., incorrect answer to a renewal question). Authorized end-users must be able to release the holds to restart processing. |
| **HLR51** | PH1 | New system must permit configurable 'holds' which authorized agency-users can<br>• manually add to stop the system from issuing or renewing licenses – either on a person/facility record (which would apply to all licenses/applications for that person/facility, regardless of profession) or on only a specific profession/license type (which would apply only to the specified profession/license type)<br>• release to restart processing<br>Reports of holds/alerts are covered later in this document. |
| **HLR52** | PH1 | New system must permit authorized agency-users to manually add 'alerts' either on a person/facility record (which would apply to all licenses/applications for that person/facility, regardless of profession) or on only a specific profession/license type (which would apply only to the specified profession/license type). Alerts would pop up when the record is opened but would not stop license issuance or renewal. New system must permit agency-users to release any alerts.<br>Reports of holds/alerts are covered later in this document. |
| **HLR53** | PH1 | New system must have capability of automatically applying certain kinds of alerts to a record, instead of the agency-user adding them manually. The situations in which an automated alert would be applied must be configurable and include, but are not limited to,<br>• end-user submits report via report service indicating change that requires agency-user development and possible action (e.g., location address change, manager (prerequisite) change, owner change, SSN addition/change, name change)<br>• prerequisite license auto-expires or auto-terminates<br>• no activity is posted on a complaint investigation for a specified period of time |
| **HLR54** | PH1 | When the new system automatically applies an alert, it must have a mechanism for 'notifying' designated agency-users/assignees (e.g., team supervisors) of the alert (e.g., when the prerequisite of a license auto-expires due to non-renewal, the system posts an alert on the Employee Dashboard(s) of agency-user(s)/assignee(s) for that profession). |

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| **HLR55** | PH1 | New system must facilitate mass entry of holds or alerts when one-by-one entry would be time-consuming. |
| **HLR56** | PH1 | New system must provide a mechanism to support scheduling, notifying and tracking attendance for events which DPR administers including, but not limited to,<br>• hearings before hearing officers (see additional requirements later in this document)<br>• seminars/training (e.g., annual all-profession board member seminar, Real Estate, Appraisers)<br>• exams (e.g., magistrate, geology, dental) |
| **HLR57** | PH1 | New system must support multiple file mediums (e.g., pdf, Word, tiff, jpeg, etc.) for any purpose including, but not limited to, imports, storage and presentation. It must allow end-users to upload documents of any file type as part of any service (e.g., renewal applications, license applications, CE requests, self-reports). |
| **HLR58** | PH1 for renewals, complaints PH2 for applications | New system must capture images of any end-user submission (e.g., renewal applications, complaints, license applications etc.) for storage and later retrieval/review (e.g., FOIA requests, administrative hearings, etc.). This image may be the same as a printable/saveable version of a summary of the submission that the service provides to the end-user.<br>*Solution Request:* DPR's Filebound imaging system already contains about 1.5 million images of documents related to licensing and investigations. All DPR agency-users have access to Filebound. However, captures of the summary pages of renewal applications are currently stored on the eGov/eVerification web server, where only DPR Operations can access them; they are not in Filebound. Scanned images of public documents (e.g., disciplinary orders) that are displayed on eVerification are stored on the web server as well but, to be accessible to other staff, they are also stored on a shared drive. *Optimally, agency-users should be able to access all images related to a person/facility (e.g., license applications, enforcement actions) in one place – preferably the new system – rather than having to go multiple places with the associated risk of overlooking key documents.* The images in question would include not only those captured by the new system or uploaded to it as part of end-user services but also images of new documents incoming by mail from third parties (e.g., transcripts, forms) or as electronic files (e.g., orders from the Department of Justice). Please discuss the feasibility of<br>• making the images the new system is required to capture or store accessible not only from the new system but also from DPR's Filebound imaging system where images of other licensing and enforcement documents are currently stored ***vs***.<br>• making images currently stored in Filebound accessible from the new system as well as Filebound. |
| **HLR59** | PH1 | New system must allow agency-users to send and receive notifications from any section/function including, but not limited to, pending applications, complaint or other enforcement-related records, accounting records, license and non-license records. |
| **HLR60** | PH1 | New system must provide a mechanism equivalent to the wide array of 1152 Word templates that DPR depends on to create customized notifications (e.g., form letters) or other documents (e.g, license certificates) for any person/facility in the database. The mechanism must<br>• accommodate an equivalent to the extensive If/Then/Else and Fill-in code which cause current templates to merge varying text from the database or agency-user entry into the documents (e.g., enable system |

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| | | to derive when to print ‘multi-state’ vs. ‘DE only’ on an RN/LPN license or when to print vs. not print a prescriptive authority number on an APN license)<br>• enable agency-user to edit/correct notification<br>• facilitate DPR’s frequent need to create new templates or revise existing ones.<br>*Note:* Conversion of the current templates to whatever mechanism will replace them in the new system should be included in the Statement of Work. |
| **HLR61** | PH1 | New system must have a mechanism equivalent to the 350+ pre-set texts that DPR has configured in L2K to enable agency-users to select from optional texts to add to a notification (based on current ‘templates’). To make selection from the large volume of texts manageable, the texts must be classified by:<br>• all professions (i.e., generic) vs. profession-specific, and<br>• process to which they apply: license applications, renewal applications, enforcements |
| **HLR62** | PH1 | New system must be configurable to handle all of the following situations with notifications (based on current ‘templates’):<br>• system generates notification based on configuration with fully automated release by email (no DPR involvement)<br>• system generates notification based on configuration and sends to batch for later DPR emailing/printing (human involvement)<br>• DPR generates ad hoc notification and either sends to batch for later emailing/printing or prints/emails it immediately |
| **HLR63** | PH1 | New system must capture an image of the notifications it creates for storage and later retrieval/review (e.g., FOIA requests, administrative hearings, etc.).<br>*Note:* Please consider these captures when discussing the imaging solution requested in an earlier requirement. |
| **HLR64** | PH1 | New system must have only one database to replace the L2K and eGov databases for ease of sustainment, reliability, and interconnections to other applications that require data to be imported and exported<br>*Solution Request*: Please discuss whether the single database required above would also replace the current eVerification database, which is a subset of fields replicated from L2K but which contains only publicly disclosable data for security reasons. As the data in the new system’s eVerification will be public-facing and will not require SSO, please explain how the new system will secure the highly sensitive non-public data if only a single database replaces eVerification as well as L2K and eGov. |
| **HLR65** | PH1 | New system must allow and facilitate configuration of custom data imports to any table in the database (e.g., exam results, user fields). |
| **HLR66** | PH1 | New system must retain all history as long as DPR deems necessary, including every change, event, activity or other transaction on a record. This includes audit trail controls.<br>• Authorized agency-users must have easy access to the history.<br>• History must show type of change/event/transaction, date/time, who/what made the change (agency-user, end-user or system process) and (when appropriate), reason for change (e.g., reason for status change).<br>• New system must provide a print option for any history.<br>• The history tracked must include, *but is not limited to*:<br>o license status changes<br>o expiration date changes |

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| | | o payment entry changes<br>o allocation (assignment) of payments to fees<br>o prerequisite license changes<br>o notifications released by print or email<br>o remarks additions/changes<br>o changes to data in user fields<br>o address changes<br>o name changes<br>o changes to facility owners<br>o addition or revision of parties to the investigation of a complaint (e.g., addition of a witness)<br>o merger of duplicate person/facility records<br>o data-entry of license application<br>o submittal of renewal application<br>o receipt of checklist items (i.e., when requirements are met)<br>o workflow activities/tasks (e.g., designating license application for Board review, assigning complaint for investigation) |
| **HLR67** | PH1 | New system must provide audit controls and trails in order to support sampling for the purpose of evaluating the quality of submissions by end-users (e.g., CE tracking) and/or quality of work of agency-users (e.g., accuracy of payments). |
| **HLR68** | PH1 | New system must accommodate changes to display values (e.g., names of professions, license types, statuses, etc.) in agency-user and end-user interfaces. Further, the system must immediately display the revised value throughout the system, <u>including its end-user services</u>, without requiring rebuilding resource files (e.g., if license type name changed from 'Gun Dealer' to 'Firearms Dealer,' the new name should display in all end-user and agency-user interfaces immediately). |
| **HLR69** | PH1 | New system must support a hierarchy of professions under which are various license types (currently about 225 types in 39 professions), with growth potential and sustainment. Each license type must be individually configurable. |
| **HLR70** | PH1 | New system must support configuration of each license type's features including, but not limited to,<br>• record type (person vs. facility)<br>• expiration/termination<br>• specialties<br>• predecessor/successor licenses<br>• continuing education (CE) due<br>• fees<br>• prerequisite licenses (e.g., professional in charge)<br>(Each of these configuration features is covered in later requirements.)<br>The system must also support changes to the configuration of a license type's features at any time. A mechanism to copy settings or configuration options from other similar license types would be optimal. |
| **HLR71** | PH1 | New system must support configuration of license types that are event permits in such a way that<br>• associates each event with the facility (i.e., organization or business) that gives the events (e.g., volunteer fire companies that give charitable gaming events, entertainment companies that give combative sports events)<br>• facilitates entry of each event with different criteria (e.g., date, time, prizes, participants) but yet does not require repetition of data related to the facility giving the event – in addition, the types of participants for |

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| | | each event must be configurable (e.g., officers in charge of gaming event, fighters in a combative sports event)<br>• a separate permit (based on a current 'template') can be issued for each event (e.g., separate permit number)<br>• ensures that event permits expire no later than the event date<br>• enables workload metrics by either events (e.g., separate counts of events) or organization (e.g., counts of organizations) |
| **HLR72** | PH1 | New system must support configuration of the amount of CE due for a full license cycle in license types that require CE. |
| **HLR73** | PH2 | New system must provide a mechanism for configuring the calculation of CE due at the first license renewal when CE due for a partial license period is less than the full amount. This calculation must be configurable to the license type level. The calculated amount must be retained in the database for use at any time before or after the first renewal occurs (e.g., on the renewal application, in a post-renewal CE audit notification, in the CE tracking end-user service).<br>*Note*: A later requirement addresses the need for a mechanism with which agency-users can enter the first-renewal CE amount manually until configuration of the automated calculation is implemented.<br>*Note:* Configuration of the CE calculations should be included in the Statement of Work. |
| **HLR74** | PH1 | New system must support configuration of license types for required prerequisite license types (i.e., licenses that must be connected to other licenses) including:<br>• connecting a license to one or more prerequisite licenses of specific types (e.g., a Salon permit must have one 'manager prerequisite' who holds one of five specific types of licenses, an Apprentice permit must have both a Salon permit prerequisite and a 'supervisor prerequisite' where the supervisor must hold one of five specific types of licenses)<br>• automatically connecting a license to a specific type of license held by the same person/facility (e.g., a practitioner's Controlled Substance Registration license automatically connects to her prerequisite Physician license) – termed a 'self-automatic' prerequisite<br>• specifying all of the following:<br>o maximum number of licenses to which a prerequisite license can be connected as well as the required minimum number of prerequisites of the same type (e.g., a Funeral Director licensee cannot be the 'manager prerequisite' for more than two Funeral Home permits)<br>o whether to prevent license issuance until a prerequisite license in Active or Probation status is attached to it<br>o whether to hold license renewal until the prerequisite license attached to it has renewed<br>o what action the system should take on a license when its prerequisite license expires and what action it should take when the prerequisite license terminates (e.g., a Controlled Substance registration must terminate when its self-automatic prerequisite Physician license terminates). |
| **HLR75** | PH1 | New system must support configuration of license type precedence in order to provide a mechanism to accomplish the following: when a license is issued to a licensee who already holds a license configured as a predecessor license type to the license type issued, the system automatically changes the predecessor license to Null and Void status with a reason of 'superceded' (e.g., issuance of a Physical Therapist (PT) license null-and-voids a Physical Therapist Assistant (PTA) license because the PTA license type is configured as a predecessor to a PT license type and |

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| | | the PT license type is configured as a successor license type to the PTA). |
| **HLR76** | PH1 | New system must support configuration of the equivalent of the wide array of user-defined fields that DPR uses to capture needed data where no appropriate field exists in the current system's main database (e.g., Volunteer in Emergencies? SBI Number).<br>• User fields must be configurable either at the license type level or the person/facility level.<br>• Formats available for user fields must include checkboxes (Y/N), string and date fields.<br>• Fields must be available for data entry or update both to agency-users and end-users (the latter via the self-services).<br>• Data captured in user fields must be available to be merged into a 'template.'<br>• Data captured in user fields must be retrievable by agency-users for reports. (Reports are covered in a later section.)<br>• New system must post history of changes to each user field. History must include date of change and user whether agency-user or end-user. |
| **HLR77** | PH1 | New system must support various configurable license statuses (e.g., Active, Inactive, Expired, Denied, Pending, Suspension, Revocation, etc.) and configuration changes to them including, but not limited to,<br>• which statuses apply to which license types<br>• whether a license in a status can be renewed (e.g., an Inactive license in some license types can be renewed but is not renewable in other license types)<br>• whether to auto-expire or auto-terminate licenses in the status.<br>*Transition Note*: Status setup in our current system needs to be revisited. |
| **HLR78** | PH1 | New system must support configuration of specialties for each license type (e.g., a Physician license type is configured for medical specialties such as oncology and thoracic surgery while a Charitable Gaming Event license type is configured for specialties such as Black Jack and 50/50) so one or more specialties can be entered for individual applicants/licensees, retrieved and merged into 'templates.'<br>*Note*: Some data configured as specialties in DPR's current system are not actual 'specialties.' Instead, DPR leveraged specialty configuration in order to be able to consistently enter (from a drop-down), retrieve and merge (into "templates") otherwise unsupported data (e.g., type of electrical work performed under a Homeowner's Permit, location of Nursing practice for a temporary permit). DPR anticipates that such pseudo-specialties will be configured as some other kind of field (e.g., user fields) in the new system.<br>Reporting related to specialties is covered later in this document. |
| **HLR79** | PH1 | New system must allow each license type to have its own expiration/termination configuration. For each license type, even within the same profession, the following must be configurable:<br>• license period (e.g., 3 months, 1 year, 2 years)<br>• whether or not the license type is renewable<br>• late renewal period, if any (e.g., 60 days)<br>• expiration policy (see next requirement) |
| **HLR80** | PH1 | New system must allow configuration of each license type for its own expiration policy, which is comprised of:<br>• method for calculating the expiration date for newly-issued and renewed licenses. The options available must include, but are not limited to:<br>o same date from issuance<br>o fixed period from issuance |

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| | | o no expiration<br>o manual entry of expiration date<br>• recurring expiration date for those configured for 'same date from issuance' (e.g., 1/31 of even years, 11/30 of each year) |
| **HLR81** | PH1 | When the recurring expiration date for a license type is 2/28, new system must automatically adjust expiration dates to 2/29 when the expiration date falls in a leap year. This applies to expiration dates it calculates for newly-issued licenses as well as renewed licenses. |
| **HLR82** | PH1 | New system must support current expiration cycles for Nursing RN and APN licenses as follows:<br>• The system must retain the three current renewal cycles for Nursing RN and APN licenses – 2/28 odd year, 5/31 odd year and 9/30 odd year<br>• All *new* RN licenses in these types must go into the 9/30 cycle.<br>• When a nurse has both Delaware RN and APN, the RN and APN must be on the same license cycle (because the RN is a self-automatic prerequisite for the APN). When issuing a new APN to an RN in the 2/28 or 5/31 cycle, the APN expiration cycle must coincide with the expiration cycle of the prerequisite RN.<br>• When the nurse's current RN is in a compact state, a newly-issued Delaware APN will go into the 9/30 cycle.<br>• When a terminated RN and/or APN is reinstated, the cycle will be 9/30 regardless of the nurse's original cycle. |
| **HLR83** | PH1 | New system must<br>• have a daily process that automatically changes a license's status to a configured <u>expiration</u> status at midnight of the expiration date (e.g. LPN licenses expire to Lapsed-Can Renew status at midnight of 2/28 of even years, Physician Assistant licenses expire to Expired-Can Renew on 3/31 of odd years )<br>• allow configuration of this process to simultaneously release an automated expiration notification tailored to the license type (based on a current 'template') by email. If not configured for automatic email notification <u>or</u> if an individual licensee does not have an email, the system must batch an expiration notification (based on a current 'template') for later printing.<br>• automatically post an alert to the agency-user/assignee to prepare post-renewal audit if the profession has a CE requirement<br>• post history on each individual license that the process expires<br>• create a report for each day to confirm that the process ran successfully and to summarize the licenses that expired. |
| **HLR84** | PH1 | In addition to the requirement to allow configuration of an automated expiration notification, new system must allow configuration of an automated pre-expiration (warning) notification (based on a new 'template') tailored to the license type. System must<br>• allow configuration of the number of days prior to the expiration date when the notification is to be generated and released<br>• release the notification *only to* licensees who have not yet renewed |
| **HLR85** | PH1 | New system must<br>• have a daily process to automatically change a license's status to a configured <u>termination</u> status at midnight at the end of the configured termination period (e.g., late period)<br>• render a license that it terminates non-renewable by removing access to any renewal application, canceling any outstanding renewal fee, etc.<br>• post history on each individual license that the process terminates<br>• create a report for each day to confirm that the process ran successfully |

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| | | and to summarize the licenses that terminated. |
| **HLR86** | PH1 | New system must accommodate creation of new fee types – some of which will attach to license types (e.g., license fee, renewal fee) while others will attach to non-license records (e.g., fees assessed to providers requesting CE approval, roster fees). |
| **HLR87** | PH1 | New system must accommodate configuration of a fee with the following features in order to automate accounting and reduce error to the extent possible:<br>• amount (flat or calculated) – fee amounts for the same type of fee will differ based on license type (e.g., RN license fee is $129 while Physician license fee is $320)<br>• formula for computing calculated fees<br>• associated revenue account codes (for use in First State Financial FSF)) – revenue codes are derived from profession and fee type<br>• multiple components with different revenue codes (e.g., Real Estate Appraiser renewal fee consists of two components – the renewal fee itself and a federal registry fee)<br>All fees must have growth potential and sustainment. |
| **HLR88** | PH1 | New system must accommodate configuration of<br>• multiple fee types per license type (e.g., license fee, renewal fee, exam fee, duplicate fee, fine fee) **and**<br>• multiple types of non-license fees (i.e., fees not related to a specific license or application) per profession.<br>All non-license and license-related fees must be configured with a profession-based revenue account code because *all DPR revenue must be apportioned to a profession for budgetary purposes.* For example:<br>• A fine fee can be either a license-related fee when assessed to a licensee OR a non-license fee when assessed to a person/facility that is not a licensee (e.g., regardless whether it is assessed to a licensed veterinarian or to an unlicensed person guilty of practicing veterinary medicine without a license, the fine fee must be given a veterinary profession revenue account code).<br>• A roster fee is always a non-license fee because it is never connected to a specific licensee or license application. However, since end-users may request rosters in any profession, a non-license roster fee must be configured for each profession because the roster fee's revenue account code will differ based on the profession requested.<br>Revenue reporting requirements are covered later in this document. |
| **HLR89** | PH1 | New system must have a mechanism for allocating (assigning) payments to one or more fees ***or*** multiple payments to one fee. As allocation determines how much revenue will be assigned to the fee's revenue account code, the system must accommodate all of the following:<br>• When a payment is intended to cover more than one fee but the payment is insufficient to cover all the fees, the system must permit assignment of a specified dollar amount of the payment to each fee.<br>• New system must calculate whether each fee to which a payment is allocated is paid in full and alert the agency-user in a noticeable manner whether the fee is paid in full or unpaid.<br>  o If a fee is underpaid, the system must display a balance due and provide a mechanism for releasing an invoice notification (based on a current 'template') on which the balance due will be shown.<br>  o If a fee is overpaid, the system must display the excess payment (see next requirement).<br>New system must display all allocation history, including the date/time of |

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| | | allocation and user performing the allocation, in an easily accessible and readable manner.<br>Revenue reporting requirements are covered later in this document. |
| **HLR90** | PH1 | New system must have a mechanism to account separately within each revenue account code for overpayments (i.e., payment exceeds configured fee) that DPR will not refund (unless requested) up to a tolerance of $35 per fee.<br>*Note*: In DPR's current system, this is accomplished by manually creating a separate 'overpayment tolerance fee' on the license record and then allocating the overpaid amount to it. |
| **HLR91** | PH1 | New system must accommodate<br>• all of the following fee-related configuration changes at any time: create new fee types, add fees/remove fees from license types, change fee amounts, change fee calculation, combine fee components, change revenue account codes<br>• scheduling future fee amount changes, including the new amounts that are effective at midnight on 7/1 of every even-numbered year<br>Revenue reporting requirements for biennial fee-setting purposes are covered later in this document. |
| **HLR92** | PH1 | New system must allow<br>• adding fees to a person/facility record (license or non-license)<br>• changing fees posted on a person/facility record including, but not limited to, waiving, canceling, or adjusting amounts<br>However, the system must be configurable as to the agency-users authorized to cancel, waive or adjust fees. |
| **HLR93** | PH1 | New system must-support First State Financial (FSF) for accounting purposes.<br>Revenue reporting requirements for FSF purposes are covered later in this document. |
| **HLR94** | PH1 | When payments must be manually entered and allocated to a fee (e.g., checks sent with paper license applications before end-user license application service implemented in PH2), the system must capture sufficient data during entry of the payments to enable DPR to easily debit payments from the FSF holding account and assign them to the correct FSF revenue account when they are later allocated to the appropriate fee(s). The data captured must include merchant ID and allocation date.<br>Revenue reporting for FSF purposes is covered later in this document. |
| **HLR95** | PH3 | New system must accommodate an interface with FSF to enable payments which are automatically allocated to a fee (e.g., renewal fee in the end-user renewal service) to be directly assigned to the correct FSF revenue account (based on profession, type of fee, and merchant ID) rather than to an intermediary FSF holding account. (See accounting process diagram.)<br>Revenue reporting for FSF purposes is covered later in this document. |
| **HLR96** | PH1 | New system must be robust enough to handle 1500+ license application submissions per month. |
| **HLR97** | PH1 | Until all license applications have transitioned to the end-user license application service (PH2), new system must have a mechanism for agency-users to enter license applications basing the data fields they enter on applicant responses on current paper application forms on www.dpr.delaware.gov. |
| **HLR98** | PH1 | In configuration of license types, new system must support the following options for processing subsequent license applications when the |

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| | | person/facility's record has a prior license of the same type that is now in a terminated status (i.e., the terminated license is no longer renewable via a renewal application). Only reapplication ***or*** reinstatement will apply to a license type.<br>*Note*: The Physical Therapy profession is an exception in that reinstatement is permitted for five years after termination but reapplication required thereafter.<br>• Reinstatement – subsequent application for a license of the same type which, when the reinstated license is issued, changes the status from the terminated status back to Active and leaves the same license number.<br>• Reapplication – subsequent application for a license of the same type which, when the reapplied license is issued, creates a new license record with a new license number and new issue date and does ***not*** change the status of the terminated license.<br>*Note*: Different processing may apply to reapplications or reinstatements after a disciplinary termination status (i.e., Revocation, Suspension). Discuss with DPR. |
| **HLR99** | PH1 | In configuration of license types, new system must support transfer of facility licenses under specific circumstances (e.g., remodeling of a Pharmacy). A transfer is a subsequent application for a license of the same type as one that is still Active which, when the transferred license is issued, leaves the status Active and license number the same.<br>*Note*: Transfer may apply to a license type in addition to reapplication or reinstatement. |
| **HLR100** | PH1 | New system must provide a mechanism for inserting an old license record in the database using its original license number, issue date and other data (e.g., an old license record is not in the database because it was not converted from a prior database but DPR needs to issue a verification, reinstate or take some other action on the old license). Such 'new' old license records should be excluded from metrics for license applications received or licenses issued. |
| **HLR101** | PH1 | To the extent possible, the new system's agency-user interface for entering license applications must utilize standard mandatory fields and flow across all professions or across all license types of the same record structure (facility vs. person vs. event) within a profession. However, the system must allow tailoring of the interface down to the license-type level as exceptions abound.<br>*Note*: See also requirement on Cosmo exam applications, which must be imported from an external source. |
| **HLR102** | PH1 | New system must, to the extent administratively possible, assist agency-users in reviewing license applications – regardless whether an agency-user enters the application (PH1) or an end-user enters it (PH2) – by detecting errors in data type or other simple surface issues and by identifying incorrect responses.<br>*Solution Request*: The extent of the new system's ability to assist agency-user in reviewing not only license applications but other submissions depends on whether it can detect incorrect responses as well as other flaws in the data entered. This may depend on whether each entry on an application or other submission (e.g., every question on a license application) is configured as a field in the database (or in some other manner) and whether the configuration specifies correct/incorrect responses. Considering the high number and complexity of entries (e.g., questions on license applications) and how often the entry requirements |

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| | | change (e.g., based on new regulations or laws), configuring every entry for system-assisted review may impose an undue administrative burden depending on the ease-of-use of the new system's administrator configuration tools. Please<br>• describe how entries are configured for system-assisted review<br>• recommend a protocol or criteria for selecting which entries to configure for system-assisted review vs. which to leave unconfigured for manual agency-user review and action |
| **HLR103** | PH1 | New system must generate an application receipt notification (based on a current 'template') for each license application that agency-users enter from a paper form. The system must<br>• be configurable to release the receipt by email – if not configured for email or if an individual applicant does not have an email, the system must batch the receipt for later printing.<br>• provide a mechanism for DPR to include, as part of the notification, a checklist of requirements (i.e., documents or actions needed) customized to the applicant's license type/path.<br>*Note*: Unlike the application receipt that the system will be required to generate when license applications are submitted by end-users (PH2), the PH1 receipt cannot automatically tailor a checklist to the applicant's responses unless all responses from a paper application are entered in the system.<br>*Note*: See *Solution Request* in requirement above. |
| **HLR104** | PH2 | New system must accommodate end-user license applications for over 250 license types with as few as one or any number of different 'paths' to licensure per type, where different evidentiary requirements apply to each path – that is, approximately 600 combinations of license type/path. New system must<br>• accommodate not only initial (first-time) applications but also applications to reinstate or reapply for a prior now-terminated Delaware license or to transfer a license<br>• be flexible enough to allow and facilitate frequent changes to these license applications and also to accommodate frequent new license type/path combinations.<br>*Note*: See *Solution Request* in HLR04. |
| **HLR105** | PH2 | New system must provide a 'wizard' to help applicant end-users<br>• select the correct license type and correct 'path' to licensure – *before* beginning the license application – as the path determines the applicable questions and requirements on the license application<br>• identify certain situations when an applicant should <u>not</u> file a Delaware license application and stop the process *before* the applicant begins the application. |
| **HLR106** | PH2 | New system's content for license applications (e.g., instructions, question text, hyperlinks, checklists of requirements) must mirror those of DPR's current license applications with only necessary revision appropriate to transitioning to a dynamic online (instead of paper) form. Questions are not to be abbreviated or otherwise reworded unless approved by DPR subject matter experts. To the extent possible, consistent question text and flow will be utilized across professions or across license types in a profession. However, the system must allow tailoring, as needed, down to the license-type level in license applications. |
| **HLR107** | PH2 | New system must provide a<br>• dynamic workflow through the license application questions based on the chosen path (see above) and the end-user applicant's answers to |

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| | | earlier questions (e.g., if applying by reciprocity and Question 10 is answered yes, application skips to Question 13; if Question 5 is yes and Question 6 is no, application displays an additional thread of questions<br>• summary of questions and responses for applicant's review and acceptance before payment<br>• printable/saveable summary of questions and responses after payment, including a payment receipt and checklist of requirements (e.g., documents or actions needed) customized to the applicant's license type/path and tailored to individual responses on the license application.<br>In addition, the system must<br>• automatically generate an application receipt notice (based on a current 'template') by email for each license application submitted. The receipt must also include the checklist of requirements described above.<br>• have a mechanism for transmitting the checklist to DPR. |
| **HLR108** | PH2 | New system must support e-Signature on certain license applications. |
| **HLR109** | PH2 | New system must have a mechanism to accommodate license applications in which third parties (i.e., external sources other than the applicant) are required to<br>• submit separate forms in connection with the application (e.g. verification form from applicant's supervising physician, Delaware Child Protection Registry form) , or<br>• complete a separate section of or sign off on the application (e.g., collaborator has to complete and sign a section of an APN application, the director of a resident program has to sign-off on a Medical resident's application).<br>The system must provide a mechanism by which the third-party forms, whether uploaded via the license application service or sent in on paper, connect to the application record. |
| **HLR110** | PH2 | New system must provide a mechanism for DPR to receive – by import or some other means – several types of Cosmetology/Barbering license applications by examination from the Professional Credentialing Service (PCS). In the current process under a contract with DPR, PCS<br>• provides a combination Delaware license application (based on requirements from DPR) and exam registration to applicants via an online service on the PCS website<br>• collects a combination license-registration fee from each Delaware applicant<br>• provides DPR with access to an sftp where, each day, DPR picks up file extracts of the license applications, which DPR then uses to enter the applications in the current system (thereby posting the fee on each application)<br>• sends DPR a list of applicants and a monthly check for DPR's license fee share of the combination fees it collects, which DPR then allocates to the fees created when the license applications were entered.<br>At a minimum, the import or other mechanism must enter the data from the applications into the new system. |
| **HLR111** | PH1 | New system must provide a mechanism to retrieve a searchable list of pending license applications. The display must include at a minimum<br>• profession<br>• license type and path<br>• date application received (regardless whether submitted by end-user applicant or entered by DPR agency-user) |
| **HLR112** | PH1 | New system must provide a mechanism to help DPR credential each |

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| | | license application by tracking what the requirements are and when they are met (i.e., a checklist or its equivalent). These requirements must be configurable based on license type/path. The types of configurable requirements may include any/all of the following:<br>• fee<br>• documents to be submitted (e.g., transcript)<br>• standards to be met (e.g., 250 hours of experience)<br>Note: We include these standards to ensure quality credentialing and as a job aide for agency-users. Although the new system must address these concerns, we recognize that there may be other mechanisms preferable to adding them to the checklist of requirements.<br>• actions DPR must take as part of the application process (e.g., complete initial review, send exam scores)<br>*Note*: While some actions are consistent for all applications (see process diagrams for license processing), other actions will vary based on profession and/or license type. We include actions on checklists in our current system because we have no other mechanism available to us to document the workflow process electronically. However, we recognize that there may be other, equally effective mechanisms preferable to including them on the checklist of requirements.<br>New system must permit and facilitate frequent changes to the configuration of requirements on credentialing checklists. |
| **HLR113** | PH1 | New system must allow DPR to do the following on a case-by-case basis:<br>• add a requirement (e.g., a criminal background check when applicant responds that he has been convicted)<br>*Note:* In PH2, new system must be able to identify requirements based on responses. However, the system must nonetheless be flexible enough to allow agency-users to add requirements.<br>• exclude/waive a requirement with reason (e.g., proof of experience is not needed in a given case) |
| **HLR114** | PH1 | Among the configured requirements on the credentialing checklist, new system must have a mechanism to<br>• individually track license verifications from other jurisdictions<br>• enable agency-users to add verifications for jurisdictions which are not configured<br>*Example*: if applicant end-user has licenses in KY, MD, OH and Guam – where KY, MD, OH verifications are configured but Guam's is not – the system must allow agency-user to add Guam to the list of verifications required and track receipt of each of the four verifications separately. |
| **HLR115** | PH2 | New system must facilitate credentialing of license applications by allowing agency-users to enter development remarks in connection with each requirement. The system must post date and agency-user with the remarks. |
| **HLR116** | PH1 | New system must allow authorized agency-users to change the license type and/or path of an application if, in the course of processing the application, it is determined that the license type/path originally entered is not correct.<br>*Note*: Although the 'wizard' required for the end-user license application service (PH2) should prevent misidentification of license type/path to a great extent, there will always be situations when changing one or the other may be necessary (e.g., applicant files on the basis of a reciprocity path but it is determined, during processing, that he does not qualify for reciprocity but can be licensed on the basis of examination).<br>*Solution Request*: The path chosen determines, in part, the questions to be answered on an application and the requirements to be met. In PH2, if the |

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| | | path changes after the end-user application is submitted (as described above in this requirement), the end-user may have to answer additional questions or submit additional documents. Although DPR could manually add the documents to the checklist requirements, please discuss whether there is a solution for identifying and obtaining the additional answers via the system or whether this will be, for all intents and purposes, a manual process. |
| **HLR117** | PH1 | New system must capture a printable/ saveable version of the credentialing checklist that DPR can provide to boards and commissions to help with their review. This version must summarize all requirements (regardless whether configured or added manually), all dates, all remarks and all agency-users in an easily understandable format.<br>More checklist-related reporting requirements are covered later in this document. |
| **HLR118** | PH1 | New system must provide an application status service to allow the end-user applicant to review status of his/her license application. The service must display a summary of the applicable requirements (including each required license verification from other jurisdictions) and whether each requirement has been met. This requirement applies to both license applications entered by agency-users and, later in PH2, submitted by applicant end-users. |
| **HLR119** | PH1 | New system must provide a mechanism for dispensing with pending license applications other than by issuing a license including, but not limited to, denying, abandoning or deleting (e.g., duplicate entry) applications. In addition to removing a license application from the list of pending applications, the system must<br>• place the record in a configured status (e.g., Deleted, Abandoned or Denied)<br>• post history of the removal including the reason<br>• release a configured notification specific to the removal reason (based on a current 'template') by email (or batch for print where no email) or present agency-user with option to release an ad hoc notification |
| **HLR120** | PH3 | New system must provide a mechanism for *automated* removal of license applications from the checklist due to abandonment when no action has occurred on application for a configurable period (e.g., six months) and the application has reached a configurable age (e.g., one year since receipt). In addition to removing license application from checklist, the system must<br>• change status to Abandoned<br>• post history<br>• automatically release notification (based on current Abandonment 'template') |
| **HLR121** | PH1 | New system must prevent agency-users from issuing a license until the requirements for the license type/path (i.e., on the license application's checklist) are met, unless the requirement has been excluded. |
| **HLR122** | PH1 | New system must handle multiple approval workflows for issuing licenses. On a case by case basis, almost all applications in all license types may have either a 'board review' or a 'fast track' approval workflow; only a few have only one of the two. The system should assign license applications designated as<br>• 'board review' to the agency-user who handles that profession's board meetings<br>• 'fast track' to the agency-user(s) who handles that profession's license issuances and to a second agency-user authorized to do quality review |

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| **HLR123** | PH1 | New system must provide a mechanism for DPR to enter amount of CE due at the first renewal of a license when the license type<br>• the amount due for a partial license period is less that the full CE amount configured for the license type.<br>• requires CE<br>This amount must be merged into a license issuance notification.<br>*Note*: In a later phase, the system must support configuration of calculation of the CE amount; however, a manual entry mechanism is needed until then. |
| **HLR124** | PH1 | New system must accomplish the following when a license is issued:<br>• generate license number tailored to license type<br>• calculate expiration date based on configuration<br>• change status to from Pending to Active<br>• post history<br>• batch a license certificate tailored to the license type (based on a current 'template') for later printing<br>In addition, this process must be configurable to simultaneously release an automated license issuance notification tailored to the license type (based on a current 'template') by email. If not configured for automatic email notification or if an individual licensee does not have an email, the system must batch the license issuance notification for later printing along with the license certificate. |
| **HLR125** | PH1 | New system must have an auto-numbering mechanism for generating license numbers upon license issuance. The number must be in a specific format that includes an assigned license prefix for each type, dash and sequence number. |
| **HLR126** | PH1 | New system must be configurable as to the number of days or months (e.g., four months) before a license type's configured expiration date (e.g., 7/31 odd years, 1/31 even years, 1/31 each year) during which it should 'push out' a newly-issued license's first expiration date another full license cycle (e.g., two years) so that the newly-issued license will not come up for renewal within a short period after issuance. System must add an extra day to the push period when a leap-year February falls in a push period.<br>*Note*: This requirement does not apply to licenses that are not renewable or those that have a 'fixed period from issuance' expiration policy. |
| **HLR127** | PH2 | New system must provide a mechanism to help DPR implement electronic workflow of license applications as each profession/license type application transitions to the end-user license application service (from paper). It is anticipated that, as each application transitions to the end-user service, agency-users will transition to exclusive use of the new system's user interfaces and captured images throughout each stage of the application processing workflow, thereby reducing and eventually eliminating reliance on paper-based workflow. |
| **HLR128** | PH1 | New system must<br>• accommodate end-user renewal applications for over 180 license types in as few as three but as many as five different license statuses – that is, approximately 650 combinations of license type/status<br>• allow configuration of different web content (including questions) for the various renewable statuses (e.g., the text, questions and fee on a renewal application for a license in Active status differ from those for a license in Inactive status).<br>• be flexible enough to allow frequent changes to the renewal applications (e.g., new/revised questions) and also to accommodate frequent new |

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| | | license type/status combinations. |
| **HLR129** | PH1 | New system's content for end-user renewal applications (e.g., instructions, question text, hyperlinks) must mirror those of DPR's current renewal applications with only necessary revision appropriate to transitioning to a dynamic online form. Questions are not to be abbreviated or otherwise reworded unless approved by DPR subject matter experts. To the extent possible, consistent question text and flow will be utilized across professions or across license types in a profession or across all statuses in a profession. However, the system must allow tailoring, as needed, down to the license status level (e.g., web page text and renewal questions for a license in Active status differ from those for a license of the same type in Inactive status). |
| **HLR130** | PH1 | New system must<br>• provide a mechanism by which end-users cannot access the renewal applications for a license type/status until an authorized agency-user 'publishes' or 'releases' them<br>• allow authorized agency-users to schedule the publication/release of renewal applications in advance. |
| **HLR131** | PH1 | When the renewal application is published/released, the new system must be configurable to release a renewal notification tailored to the license type (based on a current 'template') either to batch for later printing or by email (unless an individual licensee does not have an email). |
| **HLR132** | PH1 | New system must be capable of changing the renewal application when a licensee's renewable license status changes after the renewal application is 'published/released' but before it is submitted (e.g., when agency-user changes license status from Active to Inactive based on licensee request, the text, questions and fee on the renewal application must change to those configured for an Inactive status license). |
| **HLR133** | PH1 | New system's end-user renewal applications must provide a 'wizard' to stop licensees from completing a renewal application under certain situations. These situations include those when the wizard reveals that the:<br>• licensee should no longer have a Delaware license and, therefore, should not submit a renewal application – usually due to an unreported change that has occurred (e.g., practitioner no longer dispenses controlled substances in Delaware, RN now lives in a compact state other than Delaware, licensee requests status change to a non-renewable Inactive status)<br>• renewal application must change based on a new status (e.g., licensee requests change to a renewable Inactive status). |
| **HLR134** | PH1 | New system must provide a dynamic workflow through the renewal application questions based on the end-user licensee's status and/or answers to earlier questions, unlike the current system's rigid question grids (e.g., if a nurse in Active status answers that she is not renewing her prescriptive authority, the system should skip her over questions about prescriptive authority CE). |
| **HLR135** | PH1 | New system must be configured with a dynamic renewal application for nurses (including RN, LPN and Advanced Practice Nurses (APNs)) during PH1 in order to streamline the renewal application for end-users and eliminate complex and potentially error-prone reviews by agency-users necessitated by the current system's rigid, non-dynamic question grids.<br>• RN and LPN renewal questions can be simplified by addressing compact state changes under the end-user demographic service (see compact-related requirements earlier in this document)<br>• APN renewal questions can be simplified by evaluating prescriptive |

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| | | authority and certification expiration dates and then asking only necessary questions (see prescriptive authority requirements later in this document).<br>*Note*: Other profession/license types will also benefit from changing to dynamic question flow. However, nursing license types are the most critical; others can be transitioned more gradually. |
| **HLR136** | PH1 | New system must allow configuration of<br>• which data fields are displayed on renewal applications including, but not limited to, contact data, demographics data, prerequisite data, and data in user-defined fields<br>• whether the data displayed is read-only OR editable.<br>When the data is editable, the system must capture date of change and user for history.<br>*Policy Note*: The user is presumed to be the end-user/licensee as DPR policy does not permit/acknowledge third-party completion of renewal applications. |
| **HLR137** | PH1 | When the expiration process changes a license's status to the configurable expiration status, new system must automatically add the appropriate late fee (configured on the license type) to the requirements for completing the renewal process. The late fee must display on the payment page of the end-user renewal application. Note that the system should add the late fee only when a licensee has ***not*** submitted the renewal application. The system must ***not*** add the late fee if the renewal application has already been submitted even if the renewal process has not yet completed because the renewal is on 'hold' for some reason. |
| **HLR138** | PH1 | New system must provide a mechanism to stop the renewal process from completing until requirements for the renewal are met (i.e., a checklist). These requirements must be configurable based on license type/status. Requirements to be configured may include either/both of the following:<br>• fee<br>• documents to be submitted for all renewal applications in a type (e.g., verification form from third party, physical exam form).<br>New system must permit and facilitate changes to the configuration of checklists. |
| **HLR139** | PH1 | When the expiration process changes a license's status to the configured expiration status, new system must be configurable to automatically add questions (e.g., 'late renewal attestation') to the end-user renewal applications of certain license types. The new system is to add the question(s) only when a licensee has ***not*** submitted the renewal application. The question(s) is not added if the renewal application has already been submitted even if the renewal process has not yet completed because the renewal is on 'hold' for some reason. |
| **HLR140** | PH1 | New system must<br>• provide a summary of the entire renewal application, including questions and responses, for applicant's review and acceptance <u>before</u> payment – editing of answers is permitted before payment<br>• allow end-user to upload documents required in connection with a renewal<br>• provide a printable/saveable summary of the renewal application, <u>after</u> payment, including payment receipt and checklist of additional requirements that he/she must meet (see requirements below) |
| **HLR141** | PH1 | New system must be configurable in order to evaluate licensee's responses to questions on the renewal application when the licensee submits it. The |

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| | | purpose of the evaluation is to determine if the responses are correct or incorrect and, if incorrect, to stop the renewal (i.e., to put the renewal on 'hold'). |
| **HLR142** | PH1 | New system must provide a mechanism to do the following on a ***case-by-case*** basis:<br>• add requirements based on incorrect responses to renewal questions (e.g., require a criminal background check when licensee responds 'yes' to the conviction question)<br>• allow authorized agency-user to exclude a requirement with reason (e.g., licensee responded 'yes' to the conviction question in error)<br>New system must permit and facilitate configuration changes in the requirements based on question responses. |
| **HLR143** | PH1 | New system must<br>• automatically add the following to a renewal application's requirements (i.e., its checklist) in order to place the renewal 'on hold' (i.e., to stop the renewal process from completing):<br>o *Prerequisite License Not Renewed* - Prerequisite licensee(s) is missing OR the prerequisite license has terminated (i.e., gone into a non-renewable status such as Suspension or Lapsed-Must Reapply) or has not yet completed renewal. Authorized agency-user must be able to override the prerequisite requirement (e.g., although vast majority of APNs require RN prerequisite, prerequisite RN is not required when APN resides in a compact state – therefore, agency-user must be able to override the prerequisite requirement on a case-by-case basis).<br>o *Unpaid Fine* – Licensee has an unpaid fine fee posted.<br>o *Uncleared CE Audit* – License has an uncleared audit.<br>o *Failed Last Inspection* – Facility failed its most recent inspection<br>o *APN Certification Not Current* – The APN Certification Expiration Date (currently a user-defined field) for license types classified as APNs is on or before the license expiration date<br>• clearly display the reason for the renewal hold to agency-users viewing the record in the system<br>• automatically drop off these auto-holds when the underlying requirement is met (e.g., the unpaid fine is paid in full, the prerequisite license is renewed). |
| **HLR144** | PH1 | Based on its evaluation of the licensee end-user's responses and any auto-holds, new system must automatically provide the licensee with the following information when the renewal application is submitted (after payment) – both in the renewal application summary and by notification (email or, if no email, batched for later printing):<br>• If the new system's review of the responses on the renewal application indicate that all responses are correct and that all requirements are met, the system must automatically create a notification (based on a new 'template') that the renewal was successful and that a license certificate or, if Inactive status, an inactive approval notice is being sent by mail. New system must batch the license certificate or inactive approval notice for later printing.<br>• If the new system's review of the responses on the renewal application indicate that one or more of the responses was incorrect, the system must explain that the renewal is on hold and why. It will include a pre-set text that correlates to the requirement for ***each*** incorrect response (e.g., 'You responded that you have been convicted since your last renewal. You must submit a criminal background check…', 'You responded that the pharmacist-in-charge of this pharmacy has |

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| | | changed. Answer the following questions about the new pharmacist-in-charge:…) and/or auto-holds (e.g., 'Your supervisor must renew his/her license before we can renew yours…' 'Our records indicate you have an outstanding fine…').<br>*Solution Request*: In the current system, many 'incorrect' answers to renewal questions require additional questions to be asked. Lacking a dynamic question flow, DPR currently configures these questions as part of the notifications it sends, and then processes the responses manually. In the new system, we anticipate that many of these additional questions can be configured into the dynamic question flow and will thereby become part of the renewal application itself, eliminating the need for asking the questions in the post-payment notification. However, we expect that such dynamic question configuration (except for the Nursing renewal applications) will occur gradually after PH1. Until all renewal applications are fully transitioned to dynamic question flow, please discuss a solution for handling the follow up questions. |
| **HLR145** | PH1 | New system must ensure that all deficiency-free renewal applications are processed and the licenses renewed <u>before</u> it runs the expiration process (see earlier requirement on when the expiration process must run) which will change the status of unrenewed licenses to the configured expiration status and release the expiration notices. |
| **HLR146** | PH1 | New system must provide a mechanism for handling renewal of prescriptive authority concurrent with renewal of a licensee's APN license. Specifically, in the dynamic APN renewal application:<br>• Only those who have current prescriptive authority should be presented with the option to renew prescriptive authority. APNs may opt to renew or not to renew their prescriptive authority.<br>• Those who opt for renewal of prescriptive authority must be asked about CE that pertains only to prescriptive authority.<br>The prescriptive authority number assigned to those who renew prescriptive authority must appear only on the APN license certificates (based on current 'template') of those who opt to renew it. |
| **HLR147** | PH1 | New system must include an end-user renewal application for ACGME Training licenses. The renewal application must accommodate<br>• section to be completed and 'signed' by the residency program director in addition to the section to be completed by the licensee<br>• payment by a single non-license payer for multiple ACGME Training renewals<br>Note: Configuration of the ACGME Training renewal application should be included in the Statement of Work. |
| **HLR148** | PH1 | New system must provide a mechanism for agency-users to release 'holds' caused by incorrect responses to questions on a renewal application by clearing the completed requirements on the renewal checklist.<br>*Note*: Only *authorized* agency-users should be permitted to clear (override) auto-holds (e.g., override the RN prerequisite requirement for an APN when the prerequisite RN is held in a compact state). |
| **HLR149** | PH1 | New system must accomplish the following when all renewal requirements are met (i.e., the checklist is complete):<br>• calculate new expiration date based on configuration |

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| | | • determine status of renewed license based on the renewal application the licensee completed, as follows:<br>o If Active application, renew to Active<br>o If Probation application (which is currently the same as Active but may not always be so), renew to Probation<br>o If Inactive application (including current status of Can Renew Inactive), renew to Inactive<br>o If Lapsed-Can Renew or Expired-Can Renew, renew to status license was in when it expired (i.e., Active or Probation)<br>• post history (e.g., renewal date, fee payment)<br>• batch a license certificate tailored to the license type (based on a current 'template') for later printing. |
| **HLR150** | PH1 | New system must provide a mechanism for authorized agency-users to manually renew a license in situations where an issue prevents auto-renewal.<br>*Note*: DPR's current system's client allows agency-users to manually renew licenses due to import failures. With only one database in the new system, such chronic import issues are not anticipated but an occasional need to renew manually may nonetheless arise. |
| **HLR151** | PH1 | New system must provide a mechanism for changing expiration dates including changing expiration dates of<br>• non-renewable licenses (e.g., extending temporary licenses configured for fixed period from issuance expiration date for additional 90 days)<br>• renewable licenses ***without*** changing the license's renewal cycle (e.g., board grants a licensee a temporary three-month extension of the expiration date during which to complete CE) |
| **HLR152** | PH1 | New system must provide a mechanism for documenting and approving individual CE courses submitted for approval by end-users (i.e., CE providers or licensees) – either via an end-user CE course approval request service (see PH2 requirement later in this document) or entered manually by agency-users. The data the system must maintain must include, but is not limited to<br>• provider/sponsor<br>• course title (including an option for 'all courses' from an approved CE provider)<br>• credits approved<br>• course approval expiration date<br>• course approval number generated by the system<br>• additional configurable indicators that may vary by profession or license type (e.g., approved for ethics requirement, module(s) approved for in Real Estate, curriculum approved for in Real Estate, approved for substance abuse education requirement)<br>This data will feed a system-generated report that will replace the current manually-maintained lists of approved CE. Report requirements are covered later in this document. |
| **HLR153** | PH1 | New system must have a mechanism for approving CE <u>providers</u>. Any course from an approved provider is also approved without requiring board approval of the individual courses. Provider approval occurs in two ways: the board either<br>• lists the provider in its regulations (e.g., national professional association such as the American Medical Association), or<br>• reviews and approves a 'provider application.'<br>Some Boards have only approved CE providers and never review individual CE courses (e.g., Board of Medical Licensure and Discipline, Board of |

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| | | Pharmacy, Board of Nursing). A small number never approve CE providers (no applications and none listed in their regulations); these boards must review and approve every course individually. However, most boards list some approved providers in their regulations while individually reviewing and approving courses from all other CE providers. |
| **HLR154** | PH1 | New system must have auto-numbering mechanism for generating CE course approval numbers when the agency-user approves the course. The number must be in a specific format that includes an assigned profession code as well as a sequence number and approval year. |
| **HLR155** | PH2 or PH3 | New system must have a CE tracking mechanism that<br>• enables licensees to log CE they have completed using an end-user CE tracking service (see requirement later in this document)<br>• validates logged CE against CE approvals issued by the new system<br>• checks CE-related responses on renewal applications against logged CE (see requirement later in this document)<br>The data tracked must include, but is not limited to<br>• course approval number<br>*Note*: Courses will not have a system-generated approval number if they are from a board-approved CE provider. (See earlier requirement on approved CE providers.)<br>• date completed<br>• credits earned<br>• additional configurable indicators that may vary by profession or license type (e.g., approved for ethics requirement). |
| **HLR156** | PH2 or PH3 | When licensee submits a renewal application attesting to completion of required CE, the new system must check the tracked CE completed during that renewal period and, if the total of approved credits for the tracked CE does not meet the required CE amount configured for the license type, the system must either<br>• alert the agency-user/assignee as a prompt to flag the license for a CE audit, or<br>• auto-flag the license for CE audit.<br>*Note*: This requirement is contingent on implementation of the CE tracking end-user service. In addition, the flagging would be reliable only to the extent that use of the end-user CE tracking service is made mandatory. |
| **HLR157** | PH1 | New system must permit authorized agency-users to ‘flag’ a license so that, when the next CE audit is initiated, the system will select the flagged license for audit along with licenses it randomly selects based on configured percentages. Reasons for flags may include, but are not limited to, disciplinary orders, total of tracked CE does not equal or exceed the required CE for the license type. |
| **HLR158** | PH1 | New system must have a mechanism that permits the following to be configurable in connection with CE audits:<br>• percentage of licenses to be *randomly* selected for audit when the renewal application was submitted ‘on time’ (i.e., on or before the expiration date)<br>• percentage of licenses to be selected for audit when the renewal application was submitted ‘late’ (i.e., after the expiration date) – usually 100%<br>When the agency-user generates the audit, the audit mechanism must:<br>• exclude licenses from the selection when the CE amount due for the period being audited was zero (i.e., based on the CE rules configured for the license type’s first renewal) |

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| | | • add any flagged licenses to the audit above and beyond the randomly selected percentage<br>• post history of the date the audit was generated and consider the audit pending until cleared<br>• batch an audit notification tailored to the license type (based on a current 'template') for later printing |
| **HLR159** | PH1 | New system must:<br>• permit agency-user to clear each audit as passed, failed or waived<br>• post history of date each audit cleared and result<br>• generate an audit approval notification (based on a current 'template') for each audit that agency-user enters as 'passed' – to automatically release by email if configured for email or to batch for later printing if not configured for email notification or if the licensee does not have an email.<br>• permit agency-user to generate ad hoc notification (based on current 'template') for each audit that agency-user enters as 'failed' or 'waived' and either send it to email or batch for later printing or print it immediately |
| **HLR160** | PH1 | New system must<br>• permit license status changes (e.g., Active to Inactive, Active to Revocation, Suspension to Probation, etc.)<br>• automatically take subsequent actions based on the configuration of the destination status (e.g., if an Active license in renewal is changed to Suspension, which is configured as non-renewable, system must remove access to the renewal application, cancel the renewal fee, etc.) |
| **HLR161** | PH2 | New system must be configurable to give agency-user the option (e.g., via a prompt) to release a status change notification (based on a current 'template') tailored to the license type for the following specific types of status changes:<br>• to or from Inactive status<br>• to or from Administrative Suspension<br>• to Cancelled, Terminated, Null and Void<br>System must accommodate configuration of additional license status change notifications (e.g., from or to Probation, from or to Suspension). |
| **HLR162** | PH1 | New system must support an enforcement section encompassing workflow and workloads related to:<br>• complaints (i.e., investigations)<br>• inspections<br>• hearings<br>• disciplines<br>The enforcement section must<br>• accommodate actions against a person or facility that may be a licensee or non-licensee<br>• facilitate tracking of enforcement-related activities and provide enforcement-related metrics.<br>Reports are covered later in this document. |
| **HLR163** | PH1 | New system must provide a public-facing end-user complaint service to<br>• allow complainants to submit a complaint form<br>• create a complaint record in the enforcement section of the system |
| **HLR164** | PH1 | New system must provide a 'wizard' to<br>• help complainant end-users select the correct complaint path corresponding to the current general Statement of Complaint or Report |

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| | | of Healthcare Provider forms (see http://dpr.delaware.gov/boards/investigativeunit/filecomplaint.shtml)<br>• identify certain situations when the complainant should not file a complaint with DPR because DPR has no jurisdiction (e.g., a complaint about fees charged by a licensee).<br>When no complaint should be filed, the system must stop the complainant before he/she begins the complaint form and, when possible, provide help on where to file a complaint. |
| **HLR165** | PH1 | New system must make a printable/saveable summary of fields and responses on the complaint form available to the complainant end-user ***after*** submission. |
| **HLR166** | PH1 | New system must capture an image of the complaint submission (e.g., of the printable summary) and link it to the complaint record for later retrieval. Although the system must retain the original image, it must also provide a mechanism to redact and retain a copy of the submission (e.g., remove the names and contact information of complainant and witnesses) in order to attach the redacted version to the respondent's notification. |
| **HLR167** | PH1 | New system must support a workflow that automatically assigns all incoming complaints to the agency-user (i.e., investigative supervisor backed up by lead investigator) who is authorized to review complaints, validate the respondent, and accept/reject complaint. |
| **HLR168** | PH1 | New system must create a complaint record in the database for each complaint form submitted by an end-user. |
| **HLR169** | PH1 | New system must have a mechanism for agency-users to manually enter complaints, basing the data fields they enter on complainant responses on current paper forms on www.dpr.delaware.gov.<br>*Note:* When the end-user complaint submission is implemented, we anticipate that we will receive most complaints via the end-user service; however, we may need to continue manually entering occasional complaints from other sources (e.g., Physician Self-Report). |
| **HLR170** | PH1 | New system must provide a robust search capability for all complaint records, including rejected as well as accepted complaints. |
| **HLR171** | PH1 | New system must support and facilitate a process with which a reviewing agency-user is able to:<br>• search for prior records of any kind on the named respondent<br>• associate or dissociate an incoming complaint to an existing person record even if the person is not a current or former licensee (e.g., respondent previously applied but never licensed, respondent was also respondent on previous complaint)<br>• associate or dissociate an incoming complaint with an existing license record<br>• create a new person record for the named respondent when reviewer confirms that respondent is not already in the database<br>• enter/correct basic data including, but not limited to:<br>  o category (e.g., unprofessional conduct)<br>  o source<br>  o priority<br>• assign activity(ies) to agency-users (e.g., assign subpoena to admin specialist, assign investigation to investigator)<br>• defer assigned activity until workloads permit activity to proceed (e.g., Investigative supervisor designates Joe Investigator as the assignee on a low-priority investigation but waits to assign the case until Joe has completed higher priority cases ) |

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| | | • provide notes<br>*Note*: Allowing a complainant to select the respondent from publicly available license records online as a step in filing the end-user complaint is not desired due to the risk of error and confusion. |
| **HLR172** | PH1 | New system must support capability to associate a complaint with<br>• more than one respondent (whether licensed or unlicensed) and<br>• more than one license which may not be in the same profession (e.g., a complaint against a Physician involves both his Physician license and his Controlled Substance registration) |
| **HLR173** | PH1 | New system must<br>• support entry of multiple parties, who may be licensees or non-licensees, to a complaint *in addition to* the respondent and complainant, including witnesses and attorneys<br>• allow agency-users to merge the names and contact info for such parties into correspondence and forms (e.g., Interview Summary Report, Investigative Report) |
| **HLR174** | PH1 | New system must provide a mechanism for DPR to accept or reject complaints for investigation. The system must<br>• differentiate accepted and rejected workloads for reporting purposes<br>• support configurable reasons for rejection (e.g., duplicate, fee issue)<br>• generate a complaint number only for complaints which are accepted for investigation (complaint numbers are addressed in a later requirement). |
| **HLR175** | PH1 | New system workflow must automatically assign any complaint rejected by the initial reviewer to a second agency-user authorized to reject complaints (i.e., two reviewers must approve a rejection). |
| **HLR176** | PH1 | New system must generate a complaint rejection notification (based on a current 'template') for each end-user complaint that is rejected for investigation by two reviewers. The system must<br>• be configurable to release the rejection by email or, if not configured for email notification, must batch the rejection for later printing.<br>• provide a mechanism for DPR reviewer to select pre-set texts (e.g., reasons for rejection) as these notifications are typically detailed. |
| **HLR177** | PH1 | New system must have auto-numbering mechanism for generating complaint numbers when the complaint is <u>accepted for investigation</u>. The number must be in a specific format that includes an assigned profession code for each type as well as a sequence number and year. The sequence number must be configurable to restart from 01 each calendar year. |
| **HLR178** | PH1 | For each complaint that is <u>accepted</u> for investigation, new system must automatically<br>• generate a complaint acceptance notification (based on a current 'template') by email to the complainant. The notification must display the complaint number.<br>• batch a complaint acceptance notification (based on a current 'template') for release to the respondent. As a copy of the complaint goes with this notification, it must be sent by mail or by secure email. |
| **HLR179** | PH2 | New system must provide a mobile feature to support investigative activities in the field. This feature must support similar capabilities to those for the inspection mobile feature. It must include an Interview Summary Report form that:<br>• investigator can complete while onsite during interviews<br>• links to the complaint record<br>• is configurable to prompt or otherwise alert agency-user investigator to |

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| | | procedures (e.g., profession-specific questions)<br>• can be retrieved for later use (e.g., release to attorney) |
| **HLR180** | PH1 | New system must provide a mechanism to help DPR investigate complaints and manage the investigative process by documenting and tracking the history of all activities entailed in the investigation. The system must<br>• allow configuration of activities generally involved in routine investigations so that agency-users can select activities from a list or the system itself can identify and auto-post them<br>• automatically post activities the system can identify from agency-user actions (e.g., notifications issued to complainant and respondent, required reviews completed, subpoenas issued, Interview Summary Reports completed, letter from respondent uploaded (if imaging is integrated into the new system ))<br>• allow authorized agency-users to post activities that are not automatically identifiable from other actions (e.g., non-required review completed, response letter received (if imaging is not integrated into the new system))<br>• allow authorized agency-users to manually add an activity that is not configured (e.g., document voice mail message left for witness) or exclude/waive a configured activity (e.g., no complainant letter is issued to a complainant who is a DPR employee) on a case-by-case basis<br>• issue an alert to appropriate agency-user/assignee (e.g., investigative supervisor, investigator) when no activity is posted on a complaint for a configurable period of time. |
| **HLR181** | PH2 | New system must support Investigative Report form to help investigator agency-user summarize all developments in the case. The Report must:<br>• link to the complaint record and be retrievable for later use<br>• automatically insert elements including, but not limited to,<br>  o names and contact info of all parties to the complaint entered in the system (e.g., complainant, respondent, attorney, witness, investigator)<br>  o license history (e.g., issue date, expiration date, status)<br>  o complaint history (e.g., complaint numbers, received dates, complaint status)<br>  o related enforcement actions (e.g., complaints, disciplines)<br>• be configurable to prompt or otherwise alert agency-user investigator to elements needed for certain reports (e.g., AMA research required for Medical cases)<br>• summarize all investigator activities with dates and agency-user<br>• facilitate inclusion of statutory or regulatory citations for violations<br>• support attachments/links (e.g., Interview Summary Reports, correspondence, images of evidence)<br>• provide recommendation (i.e., refer for prosecution or not) |
| **HLR182** | PH1 | New system must provide a mechanism to help DPR perform inspections and manage the inspection process by documenting and tracking the history of all activities entailed in inspections. Currently, DPR conducts scheduled and unscheduled inspections of cosmetology/barbering shops and pharmacies – but this may expand to other facilities (e.g. funeral homes) – and monitors events (e.g., gaming, combative sports). The system must<br>• support scheduling inspections including follow ups<br>• allow configuration of deficiencies (violations) by description and statutory/regulatory citation so that agency-users can select deficiencies from a list or, when mobile inspections are implemented in PH2, the system itself can identify and auto-post them based on the inspection checklist |

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| | | • automatically post activities the system can identify from agency-user actions (e.g., deficiency notifications issued, required follow up completed)<br>• allow authorized agency-users to post activities that are not automatically identifiable from other actions (e.g., correspondence received (if imaging is not integrated in the new system))<br>• issue an alert to appropriate agency-user/assignee when inspection or follow up due. |
| **HLR183** | PH2 | New system must provide a mobile feature to support inspections. Mobile feature must include, but not be limited to<br>• link to licensing database<br>• inspection checklists, based on type of facility or event, that agency-user inspector can complete while onsite<br>• deficiency notifications that agency-user inspector can issue on site<br>• ability to link to internet and social media (e.g., research on advertising)<br>• linkage to camera and recorder and ability to link to and store audio/video files |
| **HLR184** | PH2 | New system must support citations (i.e., tickets) issued in the field as a result of inspections. Citations may be issued to a person or facility that is either a licensee or non-licensee). New system must:<br>• create a complaint record (with complaint number) with a source of 'Citation' and other appropriate data (e.g., agency-user as complainant, complaint status<br>• post Citation as a Final Disposition and associate it with the Fine disciplinary action<br>• post the Fine as a disciplinary action in the enforcement section of the record<br>• post the amount of the Fine resulting from the citation in the accounting section of the record.<br>Reporting related to citations is covered later in this document. |
| **HLR185** | PH1 | New system must support granting rights to Department of Justice prosecuting Deputies Attorney General (DAGs) as agency-users in order to enable<br>• tracking of DAG activities related to cases (i.e., the DAG is part of the workflow)<br>• DAGs to view documents and notifications created and stored by the system (e.g., Investigative Reports, subpoenas) |
| **HLR186** | PH2 | New system must support and facilitate tracking of hearing-related activities within the system's enforcement section including, but not limited to,<br>• Department of Justice issuing 'formal complaint' as a result of an investigation<br>*Note*: A 'formal complaint' is like an indictment; it is not the same as the 'complaint' that initiates an investigation.<br>• DPR Service Team or OPS referring Rule-to-Show-Cause (RTSC) hearings to Administrative Hearing Unit (AHU) (e.g., failed audit, non-compliance with a statutory deadline)<br>• Service Team scheduling hearing before a board vs. AHU schedules hearing before a hearing officer<br>• Department of Justice, Service Team, or AHU issuing notifications<br>• AHU preparing and submitting Hearing Officer Recommendations to a board<br>• AHU and Service Team implementing board decisions |
| **HLR187** | PH2 | New system must |

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| | | • present agency-user with option to create a notification (based on current 'templates') when agency-user:<br>  o schedules hearing<br>  o postpones or reschedules hearing<br>  o cancels hearing<br>  o completes Hearing Officer Recommendation activity<br>• batch the notification for later printing<br>• capture an image of the notification it creates for storage and later retrieval/review |
| **HLR188** | PH1 | New system must provide a mechanism to help DPR manage the disciplinary process by documenting and tracking the history of all activities entailed in a disciplinary ruling – both leading up to and following the ruling. The system must<br>• accommodate all possible enforcement workflow scenarios (see process diagrams) leading to the ruling including, but not limited to, rulings that<br>  o were preceded by a complaint investigation *or* no complaint investigation (e.g., RTSC)<br>  o are linked to more than one complaint, which may be in the same or different professions<br>  o pertain to more than one licensee or non-licensee<br>  o were preceded by a hearing *or* no hearing (i.e., cease-and-desist)<br>  o were preceded by a hearing, if any, before a Hearing Officer *or* before a board<br>  o were handed down by a board, DPR or Department of Justice<br>• allow configuration of the type of ruling (i.e., termed a Final Disposition in the current system) (i.e., disciplinary order, consent agreement, cease-and-desist, citation)<br>• allow configuration of disciplinary actions (i.e., sanctions) handed down in the ruling (e.g., revocation, reprimand, fine, probation, limitation) with start and end date<br>• automatically post activities the system itself can identify from agency-user actions (e.g., notifications issued)<br>• display disciplinary data in eVerification in real-time |
| **HLR189** | PH1 | New system must facilitate synchronizing disciplinary actions with license status, where applicable, and maintaining accuracy of disciplinary action start and end dates. Specifically,<br>• alert agency user/assignee that disciplinary action data is required when a license status is changed as follows:<br>  o Active/Probation to Suspension but no suspension disciplinary action is present in the enforcement section<br>  o Active/Probation to Revocation but no revocation disciplinary action is present in the enforcement section<br>  o Active to Probation but no probation disciplinary action is present in the enforcement section<br>• alert agency-user/assignee when start or end date of disciplinary action in enforcement section is not consistent with license status on that date<br>  o probation action but not Probation status<br>  o suspension action but not Suspension status<br>  o revocation action but not Revocation status<br>*Note*: These alerts are needed because certain status changes related to disciplines are entered immediately after the hearing, while others cannot be entered until the board signs the order much later. Similarly, disciplinary actions are not entered until the order is signed and, while start dates generally coincide with the order signing, others should be consistent with |

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| | | the status change. |
| **HLR190** | PH1 | New system must provide a mechanism to help DPR manage the activities related to issuing and tracking 'letters of concern' (LOCs), which are currently limited to Medical and Gaming professions. Medical LOCs result from complaint investigations. Gaming LOCs result from inspections. Unlike disciplinary rulings, LOCs are not subject to public disclosure (i.e., must not be displayed on eVerification) and are not reportable to the National Practitioner Databank or other oversight agency. Support must include, but is not limited to:<br>• issuing LOC (based on current 'template')<br>• alerting the agency-user/assignee when a(n)<br>    o Physician licensee is issued third LOC<br>    o inspection reveals another violation(s) by a Gaming permittee that has already been issued three LOCs. |
| **HLR191** | PH1 | New system must support enforcement actions against unlicensed respondents as well as licensees. It must also accommodate situations in which unlicensed respondents later become licensed by<br>• automatically associating the discipline with a subsequent license (including the application for the license) in the profession in which the discipline occurred<br>• displaying the disciplinary data in eVerification along with the respondent's other disclosable data (e.g. license data, address data) even though the licensee was unlicensed at the time of the disciplinary action |
| **HLR192** | PH1 | New system must<br>• tie a disciplinary action of Fine entered in the enforcement section to a fine fee in the accounting section of the record and vice versa.<br>• display a balance due when a fine fee is unpaid and provide a mechanism for releasing an invoice notification (based on a current 'template') on which the balance due will be shown<br>• allow entry of due date, including a mechanism for establishing a payment plan<br>Reporting related to fines is covered later in this document. |
| **HLR193** | PH1 | New system must provide a mechanism to facilitate documenting the violations, which are the section(s) of law and/or rule(s) cited in a ruling, out of a set of 10,000+ citations, each profession with its own set, in a manner that accommodates frequent changes in the law/regulations.<br>*Note*: The purpose of violation data is for metrics on sections violated, not for public display on eVerification. The public documents posted on eVerification are sufficient for public consumption. |
| **HLR194** | PH1 | New system must support a mechanism for monitoring licensees who receive a disciplinary action of probation. The system must support, but is not limited to, the following features:<br>• allow configuration of terms of probation (e.g., counseling, remedial continuing education, supervisory reports)<br>• provide a mechanism for scheduling and rescheduling due dates of probationary terms including recurring terms (e.g., quarterly reports)<br>• track all probation-related activities<br>• post alerts for agency-user/assignee when terms are coming due and overdue<br>• enable agency-user to issue notifications (e.g., reminders), which are captured as images and stored for later retrieval/use and post findings related to terms (e.g., late completion, failure to complete correctly, etc.) |

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| | | Probation-related reports are covered later in this document. |
| **HLR195** | PH3 | New system must have a survey mechanism to enable DPR to<br>• add survey questions to end-user services (e.g., license or renewal applications) with ability to make the survey either optional or mandatory<br>• harvest the survey data independently of data related to the end-user service.<br>The survey mechanism must not impede or interfere with the end-user service in any way.<br>*Note*: DPR currently links to survey monkey, which we can continue to do. The purpose of this requirement would be to increase participation by blending the survey into the end-user service. |
| **HLR196** | PH1 | New system must provide a license lookup service (eVerification) that does not require sign-on. The service must display certain disclosable data (i.e., public information under FOIA) for public viewing in real time with real time replication. |
| **HLR197** | PH1 | New system must be configurable as to the specific data fields to be displayed in eVerification for each license type. The types of data to be displayed include, but are not limited to:<br>• person/facility name or event sponsoring organization<br>• facility manager<br>• license data (e.g. license type, license number, license status)<br>• address data<br>• disciplinary data<br>• specialty data<br>• user-defined fields (e.g., prescriptive authority data)<br>• event date |
| **HLR198** | PH1 | New system must have a robust search capability in eVerification with configurable search criteria (e.g., specialty) and an automatic wildcard at the end of the entry. The system must display results alphabetically.<br>*Note*: A ‘fuzzy search’ is not desired as the number of results is generally unmanageable. |
| **HLR199** | PH1 | New system must display only appropriate, disclosable address data:<br>• When the applicant/licensee is a person, the system must be able to display a full address in eVerification only when it is designated as public. If an address is not designated as public, it must display only city, state, zip and country.<br>• When the applicant/licensee is a facility or an event organization, the system must enable DPR to configure which address, if any, is fully disclosable (e.g., location address).<br>*Note:* See earlier requirements related to addresses. |
| **HLR200** | PH1 | New system must have mechanism to facilitate filtering certain data so that it does ***not*** display in eVerification. The filtering mechanism must accommodate masking<br>• entire professions and any license type within them (e.g., Magistrate)<br>• entire license types within a profession<br>• entire records in filtered statuses within any license type in any profession (e.g., Deleted).<br>*Note*: Denied is *not* a filtered status. |
| **HLR201** | PH1 | New system must include a mechanism to enable easy upload of pdfs of public documents (e.g., disciplinary orders, consent agreements) associated with a license record so that the general public may view the documents when looking up license records in eVerification. |

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| **HLR202** | PH2 | New system must have an end-user service to enable licensees to order and pay for license verifications to be sent to other jurisdictions at a rate of one verification fee per addressee.<br>• The mechanism for generating and releasing the verification to the other jurisdiction must be fully automated, requiring no action on the part of agency-users. This service would replace the request form at http://dpr.delaware.gov/agency/ Verification_Written_Request.pdf.<br>• The output must be derived from the current verification 'template.' For licensees who have a disciplinary action on their licenses, the output must display the disciplinary actions.<br>• The payment must post to the accounting section. Similarly, the appropriate fee must be posted on the license's accounting section and the payment automatically allocated to it.<br>• The verification must post to the license history, including where and when the verification was sent.<br>• Workload statistics must be retrievable. |
| **HLR203** | PH1 | New system must support a solution to handle the existing written verification workload in the most efficient manner possible until the end-user verification service described above is implemented and as a backup to the end-user service (e.g., when another jurisdiction refuses to accept a verification without a seal). The system must<br>• enable the agency-user to search for the non-license addressee to which the verification will be sent and, if the addressee is not in the database, to add the addressee as a non-license person/facility record<br>• post the verification fee on the license's accounting section so that the agency-user can allocate the payment to it<br>• batch a verification notification (based on a current 'template' but including any disciplinary actions) for later printing<br>• post to the license history including where as well as when the verification was sent and which agency-user sent it<br>• provide workload statistics |
| **HLR204** | PH1 | New system must support a solution to handle the 'special' written verifications listed on http://dpr.delaware.gov/agency/verification_request_insts.shtml (e.g., RE License History) based on current 'templates.' If these cannot be fully automated in the end-user written verification service, the system must continue to support them as described the requirement above. |
| **HLR205** | PH1 | New system must have an end-user roster subscription service to enable subscribers (e.g., hospitals) to order and pay for license rosters at a rate of one roster fee per profession.<br>• The service must allow subscribers to:<br>o select the data fields they want on each roster (limited to publicly disclosable data under FOIA)<br>o schedule recurring delivery to an email address<br>o specify the file format desired (e.g., spreadsheet)<br>• The payment must post to the accounting section. As this type of fee does not relate to a specific license, the appropriate non-license fee must be posted to the non-license record and the payment automatically allocated to it.<br>• The request must post to history for the non-license record.<br>• Workload statistics must be retrievable.<br>*Note:* If this end-user service is not implemented until a later phase, the new system's earlier phases must nonetheless have a solution for handling the existing workload in the most efficient manner possible. Please discuss how |

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| | | the new system would handle the roster request workload before the end-user service is implemented. |
| **HLR206** | PH3 | New system must have an end-user real estate transfer service available to enable Real Estate (RE) brokers and salespersons to transact various business and pay appropriate fees (e.g., salesperson requests transfer and both the receiving and releasing brokers 'sign off' on it).<br>• This service would replace Sections A,C, and D of the form located at http://dpr.delaware.gov/boards/realestate/documents/License_Status_Change_Form.pdf, on which Sections A and C require signature(s) of a salesperson's broker(s).<br>*Note:* In DPR's current system, the 4000+ active RE salespersons are not connected to their broker prerequisite(s) (i.e., the releasing broker in a salesperson transfer is not in the system as the salesperson's prerequisite).<br>• The payment must post to the accounting section. Similarly, the appropriate fee must post to the license's accounting section and the payment must automatically allocate to it.<br>• The transfer must post to the license history.<br>• Workload statistics must be retrievable.<br>*Note*: The new system's earlier phases must have a solution for handling the existing workload in the most efficient manner possible until the end-user service is implemented. Please discuss how the new system would handle the RE transfer workload before the end-user service is implemented. |
| **HLR207** | PH2, PH3 | New system must have an end-user report service to enable licensees to submit a number of common reports.<br>• The purpose of self-service reporting, as differentiated from reporting by email or letter, is to<br>o encourage reporting<br>o manage the reporting process more efficiently<br>• Self-reports submitted via this service include, but are not limited to:<br>o receiving a Social Security Number<br>o prerequisite change<br>o facility ownership change<br>o name change (replaces form at http://dpr.delaware.gov/documents/Name_Change_Request.pdf<br>• The new system must<br>o provide dropdowns of report types, professions, and license types in order to identify appropriate 'reporting form' and agency-user/assignee<br>o require relevant information (e.g., license number, reporting party) and ask appropriate questions based on the type of report<br>o send dashboard alert to agency-user/assignee (e.g., Team for Medical)<br>o allow upload of supporting documentation and attach files to the record of the reporting end-user (e.g., proof of name change)<br>o maintain retrievable workload statistics by each report type. |
| **HLR208** | PH3 | New system must provide an end-user service to enable end-user licensees to log and-track their own CE credits and upload supporting documentation. The data must tie to the licensee's license record so that, in the event of an audit, agency-users can readily access the information. Data logged must include, but is not limited to:<br>• date course taken<br>• course approval number (if any) |

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| | | *Note*: When the end-user indicates that the course is from a board-approved CE provider (i.e., listed in the board's regulations or otherwise previously approved), no course approval number is required. As such courses are not submitted for individual approval, they would have no system-generated course approval number. (See earlier requirement on approved CE providers.)<br>• course title<br>• course provider<br>• credits earned<br>• additional configurable indicators that may vary by profession or license type (e.g., approved for ethics requirement, approved for substance abuse education) |
| **HLR209** | PH3 | New system must have an end-user service to enable CE providers to complete, submit and pay for CE course approval requests at a rate of one fee per course. The service must also be available to licensees who wish to submit approval requests but who do not have to pay the fee. The new end-user service must tie into and feed the CE approval process described in earlier requirements.<br>• This service would replace the array of CE approval request forms on each profession's site on http://dpr.delaware.gov/. Since CE request forms vary based on profession, the service must provide a wizard or other mechanism to ensure that the correct instructions are given and information obtained based on the profession.<br>• The service must bypass the payment checkout when the requester is a licensee.<br>• The payment, if applicable, must post to the accounting section. As this type of fee does not connect to a specific license, it must post the appropriate non-license fee and automatically allocate the payment to it.<br>• The system must post the incoming requests as assignments on the dashboard(s) of the appropriate agency-user/assignee(s). Note that the workflow for these requests generally requires board/commission review.<br>• The request (receipt and approval) must post to history for the non-license record.<br>• Workload statistics must be retrievable.<br>*Note:* If this end-user service is not implemented until a later phase, the new system's earlier phases must nonetheless have a solution for handling the existing workload in the most efficient manner possible. Please discuss how the new system would handle the CE approval request workload before the service is implemented. |
| **HLR210** | PH2 | New system must support and facilitate<br>• creation of extracts for export or sftp to external organizations and agencies, according to the other entity's specifications when applicable *Note*: System must facilitate transitioning to more automated delivery of data currently in extracts delivered via sftp.<br>• data pushes to external organizations and agencies<br>*Note*: If not implemented until a later phase, earlier phases must provide alternative capability to meet needs for recurrent, periodic reports DPR now sends to external organizations and agencies (e.g., assorted associations of state boards such as the Federation of State Boards of Medical Practice, assorted national professional associations such as the American Medical Association, VeriDoc, federal agencies such as the Appraisal Subcommittee) as well as ad hoc or recurrent extracts DPR may need to send in the future (e.g., National Practitioner Databank). |

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| **HLR211** | PH1 | New system must support and facilitate creation of extracts and data pushes to other Delaware agencies including those to which DPR now sends recurrent, periodic extracts (e.g., Division of Revenue, Division of Child Support Enforcement, Office of Narcotics and Dangerous Drugs, Division of Services for Children, Youth and Families) and those to which DPR may need to send ad hoc or recurrent extracts (e.g., DELJIS) in the future.<br>*Note*: System must facilitate transitioning to more automated delivery of data currently in extracts delivered via sftp. |
| **HLR212** | PH1 | New system must support and facilitate data pushes to other systems that DPR<br>• uses in its day-to-day operations (i.e., Salesforce and Filebound)<br>*Note*: The extent of the push to Filebound is impacted by any decision regarding integration of imaging into the new system.<br>• administers for end-users (i.e., Prescription Monitoring Program, Provider Verification System) |
| **HLR213** | PH1 | New system must support and facilitate<br>• creation of an extract and daily export to NurSys, the database of the National Council of State Boards of Nursing (NCSBN), according to NurSys specifications – this replaces the extract created by DPR's current system<br>• creation of additional future extracts and pushes for NurSys (e.g., Advanced Practice Nurses)<br>New system must allow and facilitate modification of its extract setup when NCSBN changes its specifications. |
| **HLR214** | PH1 | New system must allow reporting from all its sections including enforcement, licensing, demographics and accounting. |
| **HLR215** | PH1 | For all reports, new system<br>• must allow 'all profession' searches as well as single- and multi-profession searches and single- and multi-license type searches within a profession<br>• must not restrict reports to a single profession and/or a single license type within a profession. |
| **HLR216** | PH1 | New system must allow authorized agency-users to create and store queries and make them available to other agency-users for the purpose of generating their own reports. |
| **HLR217** | PH1 | For all reports, new system must provide an output option of 'counts' in addition to or instead of any other output options. |
| **HLR218** | PH1 | For all reports, new system must provide an option of a count or listing of licenses that existed on a past date (e.g., number of active/probation licensees on 6/30/2012).<br>*Note*: This 'snapshot' of a past date(s) is a common request. Currently, we must derive a current count of the licenses desired, then derive and add back in licenses that have expired/terminated/deactivated since the past date and then derive and deduct licenses that were issued/reactivated/reinstated since that date. Where multiple past snapshot dates are requested, the queries become cumbersome and unreliable due to the structure of the current database. |
| **HLR219** | PH1 | For all reports, new system must allow sorting of search results and provide format options for results, including, but not limited to, spreadsheet, printout, tab delimited text. |
| **HLR220** | PH1 | New system must provide an all-purpose report on license-related data |

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| | | which allows agency-users to select search criteria (e.g., professions, statuses, etc.) ***and*** output options (e.g., fields). |
| **HLR221** | PH1 | New system must report demographic-related data (e.g., dates of birth, Social Security Numbers, gender) including null values. |
| **HLR222** | PH1 | New system must report address-related data. In addition to the standard search criteria (e.g., profession(s), license type(s), status, etc.), search criteria must include valid email address present vs. no email present. Output options must include:<br>• kind(s) of addresses as defined for a profession/license type (e.g., mailing, residence, practice address, event location, business location, apprenticeship location)<br>• email addresses<br>• public disclosure indicator |
| **HLR223** | PH1 | New system must report metrics on license renewals including, but not limited to, licenses renewed and licenses pending renewal. In addition to the standard search criteria (e.g., profession(s), license type(s), status, etc.), search criteria must include, but are not limited to, time period. Output options for pending renewals must include those where no application has been submitted vs those where an application has been submitted but is on hold awaiting documentation or other requirements (e.g., renewal of a prerequisite). Output options for pending renewals 'on hold' must include reason(s) why the license has not been renewed. |
| **HLR224** | PH1 | New system must report holds and alerts. In addition to the standard search criteria (e.g., profession(s), license type(s), status, etc.), search criteria must include, but are not limited to, hold vs. alert, specific types of holds or alerts, and time period during which hold/alert was applied. |
| **HLR225** | PH1 | New system must report unpaid fees (i.e., no payment has been allocated to the fee OR the payment(s) allocated to the fee is insufficient to fully pay the fee). In addition to the standard search criteria (e.g., profession(s), license type(s), status, etc.), search criteria must include, but are not limited to:<br>• fee type (e.g., fine fees)<br>• time period when fees were posted<br>• due date of fees (including future dates)<br>• partially paid fees including receipt(s) and payer(s) |
| **HLR226** | PH1 | New system must report payments that are fully allocated (assigned to fee(s)) and those that are wholly or partially unallocated (i.e., payment has not been assigned to a fee(s)). Search criteria must include, but are not limited to:<br>• payments that have been fully allocated vs. partially allocated vs. unallocated to a fee(s)<br>• profession/license type<br>• license number payments were allocated to when payments have been fully or partially allocated (see revenue report requirement)<br>• profession/license type/licensee indicated when payments not yet allocated<br>• time period when payments were received<br>• type of payment (e.g., check, credit card)<br>• merchant id<br>Output options for partially paid fees must include the receipt(s) and payer(s) involved. |
| **HLR227** | PH1 | New system must report revenue by profession (i.e., total amount of payments allocated to license types in a profession) for purposes of FSF reporting. In this report, revenue for a profession must be broken down by |

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| | | account revenue code and, within each code, further broken down by merchant id. Search criteria must include, but are not limited to, merchant id and time period (e.g., fiscal year). |
| **HLR228** | PH1 | New system must report revenue by profession (i.e., total amount of payments allocated to license types in a profession) for purposes of biennial fee-setting. In this report, revenue for a profession must be broken down by fee type (e.g., renewal fee, license fee, miscellaneous fees such a verification and duplicate license) as well as revenue account code since more than one fee type is combined under single revenue account code during a range of time) |
| **HLR229** | PH1 | New system must report user field data in a format that is easily readable. User field reports that are recurrent include:<br>• PMP (Prescription Monitoring Program) Registration<br>• Volunteer for Emergency<br>• SBI (State Bureau of Identification) Number<br>• Prescriptive Authority Number, Prescriptive Authority Issue Date, Prescriptive Authority Expiration Date (three fields of different data types in current system)<br>• APN Certification Expiration Date<br>• After Occasion Report Received<br>• CME Maintenance<br>• Approved for Injections<br>However, a report may be needed on <u>any</u> existing or new user field.<br>In addition to the standard search criteria (e.g., profession(s), license type(s), status, etc.), search criteria must include, but are not limited to, users field(s), field data (e.g., if x = 'Y') and time period of entry. |
| **HLR230** | PH1 | New system must provide a mechanism for reporting the absence of data in a user field (e.g., where a user field applies to specific license types, the report shows which licensees in those types have no data in the field). |
| **HLR231** | PH1 | New system must report on checklists for pending license applications (i.e., where licenses have neither been issued nor denied), as follows:<br>• checklists with outstanding requirements<br>• checklists with no outstanding requirements<br>In addition to the standard search criteria (e.g., profession(s), license type(s)) for the above reports, output options must include, but are not limited to,<br>• all outstanding requirements on each pending application<br>• specific outstanding requirements on pending applications (e.g., all applications pending a criminal background check)<br>• application received date range |
| **HLR232** | PH3 | New system must report license applications that the system<br>• is configured to automatically remove from the checklists within a future date range in order to allow agency-users to take any appropriate follow up action<br>• has automatically removed from the checklist within a date range. |
| **HLR233** | PH1 | New system must provide an all-purpose report on complaint-related data which allows agency-users to select search criteria ***and*** output options (e.g., fields). In addition to the usual search criteria (e.g. profession, license type), the new system must allow searches by relevant investigation-related criteria including, but not limited to,<br>• complaint source<br>• category (e.g., malpractice, negligence, sexual boundaries)<br>• priority |

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| | | • investigation status (e.g., referred to AG for prosecution, closed)<br>• activity (e.g., dismissed by DAG, consent agreement received)<br>• assignee (e.g., investigator) |
| **HLR234** | PH1 | New system must report basic workload and workflow metrics. Metrics must include, but are not limited to,<br>• workload counts (e.g., license applications received, licenses issued, licenses denied, complaints received, hearings conducted) with useful breakouts in addition to the usual breakouts by profession and license type (e.g., complaints by priority level)<br>• workflow processing times (e.g., from date license application received to date license issued/denied, from date complaint accepted to date investigation closed, from date referred to DOJ for prosecution to date of indictment, from date RTSC referred for hearing to date hearing conducted) with useful breakouts in addition to the usual breakouts by profession and license type (e.g., license issuances via fast track vs. board review, disciplines by complaint category) |
| **HLR235** | PH1 | New system must provide a Division Dashboard to present basic division-level, all-profession statistics to all DPR staff. These statistics must include, but are not limited to,<br>• License applications received in current month and fiscal year to date (FYTD)<br>• Pending license applications broken into 0-7, 8-30, and over 30 days since received<br>• Licenses issued in current month and FYTD<br>• Pending renewals<br>• Renewals processed in current month and FYTD<br>• Complaints received in current month and FYTD<br>• Pending complaints<br>• Complaints investigations concluded in current month and FYTD<br>• Disciplinary dispositions reached in current month and FYTD |
| **HLR236** | PH1 | New system must provide a Service Team Dashboard to present basic *team-level statistics for the professions assigned to that Service Team*.<br>The system must accommodate changes in a profession's Team assignment and automatically shift assignments when a profession is reassigned to a different Team.<br>These statistics must include, but are not limited to,<br>• License applications received in current month and fiscal year to date (FYTD)<br>• Pending license applications broken into profession and, within each profession, applications pending 0-7, 8-30, and over 30 days since received<br>• Licenses issued in current month and FYTD broken into profession and date received<br>• Professions assigned to the Team that are in renewal broken into<br>  o profession name<br>  o expiration date<br>  o end of late period date (i.e., termination date)<br>  o renewed to date (expressed both as a number and as a % of the renewals originally generated<br>• Pending renewals broken into<br>  o no application submitted<br>  o application submitted but renewal is on hold.<br>• Meetings coming up the next 30 days<br>*Note*: This data would have to come from the statewide public meeting |

<table>
<tr><th>Requirement #</th><th>Priority</th><th>Description</th></tr>
<tr><td></td><td></td><td>calendar application, which may not be feasible. Entering meetings on both the statewide calendar (required) and in the new system for the sole purpose of propagating to this dashboard is not desired.<ul><li>Compliance events coming due in the next 30 days</li><li>In addition, the new system must support adding Team-specific metrics (e.g. Pharmacy inspections completed in current month and FYTD for Team C).</li></ul></td></tr>
<tr><td>HLR237</td><td>PH1</td><td>New system must provide a Hearing Dashboard to present basic team-level statistics relevant to the Administrative Hearings Unit (AHU). These statistics must include, but are not limited to,<ul><li>AHU-assigned hearings<ul><li>scheduled for next 30 days</li><li>concluded in current month and FYTD</li><li>scheduled but ‘no show’</li></ul></li><li>Board-assigned hearings<ul><li>scheduled for next 30 days</li><li>concluded in current month and FYTD</li></ul></li></ul>Note: Hearing data, whether AHU or Board, must be derived from data entered in the new system in connection with hearing workflow (e.g., scheduling, releasing notifications and/or documenting activities). Entering data in the new system for the sole purpose of propagating to this dashboard is not desired. However, although AHU also enters hearings on the Statewide Calendar, the entries are merely blocks of time – not specific hearings for named individuals – so entering them both the Statewide Calendar and the new system will not be burdensome.</td></tr>
<tr><td>HLR238</td><td>PH1</td><td>New system must provide an Accounting Dashboard to present basic division-level statistics relevant to accounting support. These statistics must include, but are not limited to,<ul><li>Count and total amount of payments received in current month<ul><li>point-of-sale credit card (in office)</li><li>credit cards submitted via end-user service</li><li>checks/money orders/cash</li></ul></li><li>Total payments allocated in current month and FYTD expressed both as an amount and as a percentage of payments received</li><li>Total payments not allocated (including payments partially unallocated) in current month and FYTD expressed both as an amount and as a percentage of payments received</li></ul></td></tr>
<tr><td>HLR239</td><td>PH1</td><td>New system must provide an Information Center Dashboard to present basic division-level statistics to help with frequently asked questions and to predict inquiry volume. These statistics must include, but are not limited to,<ul><li>Professions in renewal broken into<ul><li>profession name</li><li>expiration date</li><li>end of late period date (i.e., termination date)</li><li>renewed to date (expressed both as a number and as a % of the renewals originally generated</li></ul></li><li>Applications received last 30 days</li><li>Meetings broken into last month, current month, next month<br>Note: This data must come from the statewide public meeting calendar application, which may not be feasible. Entering board meetings on both the statewide calendar (required) and in the new system for the sole purpose of propagating to this dashboard is not desired.</li></ul></td></tr>
<tr><td>HLR240</td><td>PH1</td><td>New system must provide an Operations (OPS) Dashboard to present basic division-level statistics relevant to operations support. These statistics must</td></tr>
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| Requirement # | Priority | Description |
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| | | include, but are not limited to,<br>• Profession/license types with push periods starting in next 30 days to assist in renewal planning<br>• Professions in renewal broken into<br>o profession name<br>o expiration date<br>o end of late period date (i.e., termination date)<br>o renewed to date (expressed both as a number and as a % of the renewals originally generated<br>• Pending renewals broken into<br>o no application submitted<br>o application submitted but renewal is on hold.<br>• Renewals processed in current month and FYTD<br>• Expiration dates coming up in the next 30 days to assist in planning end-of-renewal activities (e.g., non-automated expiration notices)<br>• Licenses with expiration dates within the next four months when the profession/license type has a 'fixed period from issuance' expiration policy<br>• Profession/license types that reach a due date to generate post-renewal CE audits |
| **HLR241** | PH1 | New system must provide an Investigative Dashboard to present basic division-level statistics relevant to investigations and inspections. These statistics must include, but are not limited to,<br>• Complaints received current month and CYTD (or FYTD) broken into<br>o accepted<br>o rejected<br>• Pending investigations broken into<br>o unassigned<br>o assigned<br>o priority breakout of assigned<br>• Investigations concluded current month and CYTD (or FYTD) broken into processing time ranges<br>• Inspections concluded in current month and CYTD (or FYTD) |
| **HLR242** | PH1 | New system must provide an all-purpose report on discipline-related data which allows agency-users to select search criteria ***and*** output options (e.g., fields). In addition to the usual search criteria (e.g. profession, license type), the system must allow searches by relevant discipline-related criteria including, but not limited to,<br>• disposition (e.g., disciplinary order, citation)<br>• specific disciplinary action (e.g., cease-and-desist, suspension, reprimand)<br>• discipline start and end date ranges |
| **HLR243** | PH2 | New system must report data pertaining to a disposition of citation which allows agency-users to select search criteria ***and*** output options (e.g., fields). In addition to the usual search criteria (e.g., profession, license type), the system must compile citation-related data including, but not limited to,<br>• citation reason<br>• data issued<br>• agency-user issuing citation<br>• amount of fine imposed<br>• status of fine payment (i.e., unpaid, fully paid, partially paid)<br>• total fine payment to date |

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| **HLR244** | PH1 | New system must report data pertaining to disciplinary action of probation which allows agency-users to select search criteria ***and*** output options (e.g., fields). In addition to the usual search criteria (e.g., profession, license type), the system must allow searches by relevant probation-related criteria including, but not limited to<br>• period(s) of probation<br>• specific terms of probation (e.g., remedial continuing education, supervisory reports)<br>• schedules (i.e., term due dates, completion dates)<br>• term due dates within a date range (e.g., terms due within next 30 days, terms completed within past 30 days) |
| **HLR245** | PH1 | New system must report data which are configured as ‘specialties’ in DPR’s current system (or may be later configured as specialties in the new system) which allows agency-users to select search criteria ***and*** output options (e.g., fields). In addition to the usual search criteria (e.g., profession, license type), the new system must allow searches by specific specialties configured for a profession or license type (e.g., medical specialties of Physicians such as Oncology, Pediatrics, Internal Medicine). |
| **HLR246** | PH1 for audit report, PH3 for others | New system must report data pertaining to CE which allows agency-users to select search criteria ***and*** output options (e.g., fields). In addition to the usual search criteria (e.g., profession, license type), the system must allow searches by relevant CE-related criteria including, but not limited to<br>• CE audits – including both pending and completed audits, when generated, when cleared, cleared status (e.g., passed, failed, waived), license status – in order to help ensure timely completion of audits<br>• CE tracking summaries – including courses submitted by a licensee, total credits – in order to help in audit reviews<br>• CE courses approved by the board for a profession – including course info (e.g., title, provider, course code), date submitted, date approved, date approval expires, and approved credit – in order to provide a consistent and simple method of compiling lists of approved courses which are currently manually updated monthly for posting on the DPR website |
| **HLR247** | PH1 | New system must report data pertaining to prerequisites which allows agency-users to select search criteria ***and*** output options (e.g., fields). In addition to the usual search criteria (e.g., profession, license type), the system must allow searches by the type of prerequisite (e.g., professional in charge, supervisor). The report options must include:<br>• Prerequisite license(s) connected to subordinate licenses (e.g., list of retail pharmacies showing pharmacist-in-charge prerequisite for each)<br>• Subordinate license(s) connected to a prerequisite license (e.g., funeral director prerequisite showing list of funeral homes for which he/she is the prerequisite managing funeral director))<br>• Missing prerequisite (e.g., list of salons with no prerequisite professional-in-charge in active/probation status) |
| **HLR248** | PH1 | New system must provide a mechanism to support and facilitate DPR’s frequent mass mailings/emailings. It must allow agency-users to compile mailing lists using not only the usual search criteria (e.g., profession, license type, license status) but also additional, specific search criteria (e.g., specialties, current prescriptive authority, PMP registration). In addition, it must accomplish the following:<br>• allow authorized agency-users to select the type of mailing data to harvest (i.e., email only, mailing address only or combination email for those with emails and mailing address for those with no email) |

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| | | • validate email addresses<br>• help agency-users create and address notifications in different formats for emailing and/or mailing (e.g., the former with hotlinks, the latter with navigation)<br>• allow agency-users to send email notifications in a manner that does not expose personal data (e.g. emails) to other addressees<br>• capture images (or other type of file) of notification and store with license record<br>*Note:* DPR's current mass mailing process involves SQL queries (i.e., harvest addresses, validate emails), Word (e.g., mail merge, templates), Outlook and Adobe. The process is cumbersome, especially when it involves thousands of addressees and/or a hybrid mailing (i.e., part email, part mail). If the system cannot fully support mass mailings in the manner described until later phases, PH1 must provide at least a mechanism for DPR to harvest the addresses/emails (through a report or other means) and utilize them for mass notifications (whether by Word mail merge or other mechanism). |