

AGENCY STRATEGIC PLAN

For the Fiscal Years 2019-2023 Period

by

TEXAS ETHICS COMMISSION

AGENCY STRATEGIC PLAN

FISCAL YEARS 2019-2023

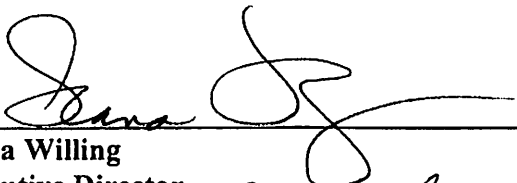
BY

TEXAS ETHICS COMMISSION

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Submitted June 8, 2018

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Chair

Texas Ethics Commission Strategic Plan For the Fiscal Years 2019-2023 Period

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AGENCY MISSION

The mission of the Texas Ethics Commission (Commission) is to promote public confidence in government.

AGENCY OVERVIEW

The Commission was created effective January 1, 1992, by a voter-approved constitutional amendment. This amendment added Section 24a to Article III, Legislative Department, of the Texas Constitution establishing an eight-member commission with four members appointed by the Governor, and two each by the Lieutenant Governor and the Speaker of the Texas House of Representatives. Appointees are selected from lists submitted by members of the Texas Senate and the Texas House of Representatives. These lists represent individuals from each political party required by law to hold a primary election. Accordingly, equal numbers from each major political party are represented on the Commission. The members of the Commission hold staggered four-year terms and annually elect a presiding officer.

The Commission has 32.4 authorized FTEs headed by an Executive Director who oversees four major divisions to accomplish the working functions and duties of the agency. The Commission has both constitutional and statutory duties. Constitutionally, the Commission is authorized to recommend the salary of members of the Legislature and the Lieutenant Governor, subject to approval by the voters; and sets the per diem for members of the Legislature and the Lieutenant Governor. Statutory authority for the Commission is partially outlined in Chapter 571 of the Government Code. Laws under the Commission's jurisdiction include those relating to campaign finance and political advertising, lobby activity, personal financial disclosure by state officers and candidates, the standards of conduct and conflicts of interest of public servants, and several other laws regulating the reporting requirements of other state and local officials and entities.

AGENCY OPERATIONAL GOAL AND ACTION PLAN

The Commission's primary goal is to promote public confidence in electoral and governmental processes by enforcing and administering applicable laws. The action plan to achieve this goal includes increasing the public's ability to access information about public officials, candidates for public office, and persons attempting to influence public officials, and to assist people in understanding their responsibilities under the laws administered by the Commission, thereby enhancing the potential for individual participation in government. The action plan necessary to achieve the Commission's primary goal also includes making reports required to be filed with the Commission available to the public within two working days of receipt, to provide responses to advisory opinion requests within 60 days, and to respond to sworn complaints within five working days after filing.

The Commission's secondary goal is to establish and carry out policies governing purchasing and contracting that foster meaningful and substantive inclusion of historically underutilized businesses. The action plan to achieve this goal is to include historically underutilized businesses (HUBs) in at least 20 percent of the total value of contracts and subcontracts awarded annually by the agency in purchasing and contracting.

SPECIFIC ACTION ITEMS TO ACHIEVE OUR GOALS

Primary Goal - Promote Public Confidence

1. **DISCLOSURE FILINGS DIVISION.** This division serves as the repository for information required to be filed with the Commission and helps the public access the information. The Commission achieves this goal by complying with the statutory requirement that campaign finance reports and lobby activity reports filed with the Commission are made available to the public on the Commission's website within two working days of receipt. To ensure this action item is achieved, the Commission tracks when each report is received, when it is properly processed, and when it is made available to the public.

Statewide Objectives Supported: The Commission meets the statewide objective of providing excellent customer service by making reports available to the public within two working days of receipt. Quick access to information is vital for the public to make informed decisions about candidates and officeholders. The Commission achieves the statewide objective of producing maximum results with no waste of taxpayers' funds by posting campaign finance reports and lobby activities reports on the Commission's website. The public is able to view reports on the website free of charge without having to contact the Commission to request paper copies, which would result in fees for the copies and postage for mailing. The Commission is effective in meeting statewide objectives by successfully fulfilling core functions, consistently achieving performance measures, and implementing plans to continuously improve services by automating some of the steps that must occur before electronically filed reports are available to the public and by making data contained in campaign finance reports and lobby reports searchable and downloadable from the website.

2. **LEGAL GUIDANCE AND OPINIONS DIVISION.** This division provides assistance to the public and filers by: (1) responding by telephone and in writing to requests for guidance and instruction on laws administered and enforced by the Commission and (2) by drafting responses quickly, accurately, and impartially to advisory opinion requests. It is essential to the Commission's primary goal that requests for advisory opinions are answered as quickly as possible and in compliance with the 60-day statutory deadline. To measure this goal, it is necessary to track when a request for an advisory opinion is received and when a response is provided.

Statewide objectives met: The Commission meets the statewide objective of providing excellent customer service by providing legal guidance by telephone. Individuals who call the agency have immediate access to expert guidance in a complex area of laws not readily available from other sources. Additionally, the Commission posts its advisory opinions online in searchable format. The Commission consistently meets the statewide objective of being accountable to Texas citizens by issuing quick, accurate, and impartial advisory opinions.

3. **ENFORCEMENT DIVISION.** This division enforces compliance with laws administered and enforced by the Commission by responding quickly and impartially to sworn complaints, by performing investigations where advisable, and by assessing penalties for late reports. The Commission achieves its primary goal by processing sworn complaints within five working days as required by law. To measure this action item, the Commission tracks when each

complaint is filed and when each complaint is processed. The Commission also achieves its mission by notifying filers when a report is filed late and the amount of the late fine assessed for the late report. To measure this action, the Commission identifies when a report is late and the date a filer is notified of that fact.

Statewide objectives met: The Commission is effective in meeting statewide objectives by successfully fulfilling core functions, consistently achieving performance measures, and implementing plans to continuously improve services by processing sworn complaints within five working days. The Commission continues to improve how it processes complaints and consistently complies with the statutory deadline to process complaints within five working days even during periods when the agency experiences a high volume of sworn complaint filings. The Commission consistently meets the statewide objective of being accountable to Texas citizens by resolving complaints in an impartial manner. In order to achieve the statewide objective of transparency, the Commission makes certain sworn complaint decisions available on its website, to the extent permitted by law. The Commission consistently meets the statewide objective of being accountable to Texas citizens by issuing impartial sworn complaint decisions that are accessible to the public on the Commission's website.

Secondary Goal – Inclusion of Historically Underutilized Businesses

4. **ADMINISTRATION DIVISION:** This division handles the working function of the agency. To meet the Commission's secondary goal, this division develops and implements a plan for increasing the use of historically underutilized businesses (HUBs) through purchasing contracts and subcontracts. The plan ensures that the agency complies with state law requiring that at least 20 percent of the total value of contracts and subcontracts are awarded to HUBs. To measure this outcome, the Commission tracks the number of HUB contractors and subcontractors contacted for bid proposals, the number of HUB contracts and subcontracts awarded, and the percent of total dollar value of purchasing contracts and subcontracts awarded to HUBs.

Statewide objectives met: The Commission meets the statewide objective of accountability to Texas citizens by developing and implementing a plan to contract and subcontract with historically underutilized businesses that efficiently and cost-effectively deliver products and services to the public. The Commission complies with state law by attaining or exceeding the statewide HUB procurement goals for FY 2016-2017 and continues to work diligently to attain those goals in the future.

REDUNDANCIES AND IMPEDIMENTS

The following chart includes redundancies and impediments identified by the Texas Ethics Commission, as required by the Legislative Budget Board (LBB) and the Office of the Governor.

Service, Statute, Rule or Regulation (Provide Specific Citation if applicable)	Describe why the Service, Statute, Rule or Regulation is Resulting in Inefficient or Ineffective Agency Operations	Provide Agency Recommendation for Modification or Elimination	Describe the Estimated Cost Savings or Other Benefit Associated with Recommended Change
<p>Filing and Retention of Representation before State Agency (RBSA) Reports (Gov't Code, Ch. 2004):</p> <p>Individuals are required to register when making certain contacts with executive branch state agencies or their officials.</p> <p>Agencies are required to prepare reports containing the registrations and file quarterly with TEC, which must retain them for four years.</p>	<p>TEC receives RBSA reports each quarter in a paper format. Space limitations require TEC to store RBSA reports off-site with a third-party vendor, which requires storage and retrieval fees. Processing of paper reports and retrieval of reports in response to open records requests also requires TEC staff time. TEC currently has 78 boxes of RBSA reports in storage, including a total of approximately 140,400 to 175,000 sheets.</p>	<p>Amend the law to require electronic filing of RBSAs using a uniform format across all applicable agencies. Require agencies to send completed RBSAs to TEC electronically.</p> <p>Authorize TEC to adopt rules prescribing the software requirements for RBSAs and prescribing how RBSAs are to be submitted to TEC.</p>	<p>Electronic registration and reporting would minimize agency costs in processing, storing, retrieving, and disclosing paper records. It would also improve transparency by reducing the time necessary to retrieve and deliver copies of stored records in response to requests.</p>
<p>Notices to Filers and Parties to a Complaint (Elec. Code §§ 251.033, 254.042; Gov't Code, Ch. 571; Gov't Code §§ 305.033, 572.030):</p> <p>State law requires TEC to send to filers notices of certain report deadlines and notices of late filings. State law also requires TEC to send the first notice of any sworn complaint to both a complainant and respondent by registered or certified mail, restricted delivery, return receipt requested (571.032).</p>	<p>TEC mails numerous notices via USPS mail to filers as well as receives a large number of sworn complaints that allege violations of laws outside of TEC's jurisdiction or that otherwise do not comply with certain legal requirements. These complaints are not accepted and are either dismissed for no jurisdiction or returned to the complainant to cure any deficiencies. Current law requires notice of these types of complaints to be sent to both a complainant and respondent by certified mail, return receipt requested.</p> <p>Allowing TEC to adopt rules prescribing how notices of filing requirements and notices of late reports are sent to filers and respondents will allow TEC to reduce costs by providing for efficient and regular electronic delivery of notices.</p>	<p>Authorize TEC to adopt rules prescribing how TEC will notify any person of filing requirements or late reports, and sworn complaints for which jurisdiction is not accepted.</p> <p>This recommendation excludes notice requirements related to sworn complaints for which jurisdiction is accepted and notices regarding the referral of a fine or civil penalty to the Office of the Attorney General.</p>	<p>The amendment would reduce TEC costs for mailing certain notices by certified mail and regular mail delivery.</p>
<p>Judicial Review by Trial <i>de Novo</i> (Gov't Code § 571.133):</p>	<p>The TEC's work and the entire record of its</p>	<p>Provide for judicial review of TEC decisions based on substantial</p>	<p>The potential savings would be reduction of trial</p>

<p>Unlike many state agencies with enforcement authority, a respondent to a complaint filed with TEC may appeal to court under a trial <i>de novo</i> standard after TEC issues a final order or after choosing to bypass TEC's hearings process.</p>	<p>proceedings, which represents significant skilled legal work by TEC staff and meaningful insight and sustained effort by TEC commissioners, is ignored and disregarded in an appeal under a trial <i>de novo</i> standard.</p> <p>The trial <i>de novo</i> standard prohibits a district judge on appeal from considering the record from TEC proceedings, resulting in inefficiencies due to duplicative costs and delays.</p>	<p>evidence of the record and decisions made by TEC. In the alternative, provide for judicial review of TEC decisions in a manner that allows the record of a TEC hearing to be admissible at trial in district court, consistent with the court's discretion under the Texas Rules of Evidence. In addition, a trial would be limited to issues decided by TEC in its enforcement proceedings and on which judicial review is sought. In a trial without a jury, the district court would be required, when rendering judgment on an issue under appeal, to consider the decisions made by TEC in its enforcement proceedings.</p>	<p>costs that stem from duplication of work conducted during TEC's enforcement proceedings. In addition, a trial may include fewer delays because the district court would be able, in its discretion, to consider the record of TEC's enforcement proceedings without unnecessarily receiving, considering, and ruling on evidence and other matters.</p>
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SCHEDULE A

Budget Structure

**A. GOAL: Administer Ethics Laws
Provide access to reports**

A.1.1 Strategy I: DISCLOSURE FILING (Authorized 7 FTEs). Serve as the repository for statutorily required information. Serve as the repository for information required to be filed with the Commission and assist persons in accessing that information.

Performance Measures:

Outcomes: Percent of reports available for public inspection within two days.

Outputs: **KEY. Number of reports logged within two working days of Receipt.**

Number of reports received and processed.

Explanatory: Number of inquiries for information.

Number of lobbyists registered with the Commission.

Number of public officials required to file reports with the Commission.

Number of reports due filed electronically.

A.1.2. Strategy II: LEGAL GUIDANCE AND OPINIONS (Authorized 6 FTEs). Respond to requests for guidance / advisory opinions. Provide assistance to the public and filers by quickly responding by telephone to their request for guidance and instruction on laws administered by the Commission and by responding quickly, accurately, and impartially to advisory opinion requests.

Performance Measures:

Outcomes: **KEY**. Percent of advisory opinion requests answered within 60 days.

Outputs: Number of advisory opinions adopted by the Commission.

Efficiencies: **KEY**. Average time (working days) to answer advisory opinion requests.

Explanatory: Number of information requests regarding Commission administered advisory opinions.

Number of advisory opinion requests received.

A. 1.3. Strategy III: ENFORCEMENT (Authorized 8.4 FTEs). Respond to complaints and enforce applicable statutes. Enforce compliance with laws administered by the Ethics Commission by responding quickly and impartially to sworn complaints, by performing investigations where advisable, and by assessing penalties for late reports.

Performance Measures:

Outcomes: Percent of sworn complaints processed within five working days after filing.

Outputs: Number of sworn complaints recommended for resolution.

Number of sworn complaints processed within five working days after filing.

KEY. Number of sworn complaints processed.

Number of late notices sent to filers.

Efficiencies: KEY. Average time (working days) to respond to sworn complaints.

Average time to notify late filer of late report.

Average time to notify complainants and respondents of Commission determination.

Explanatory: Number of sworn complaints received.

Percent of filers filing timely reports.

Number of late penalties received.

Percent of sworn complaints resolved within 180 days.

B. GOAL: Indirect Administration

Strategy: Indirect Administration. Develop and implement a plan for increasing the use of historically underutilized businesses through purchasing contracts and subcontracts.

B.1.1 Central Administration (Authorized 4 FTEs). –Provide the working functions of the agency.

B. 1.2 Information Resources (Authorized 7 FTEs) - Provide agency wide computer service report and manage IT Projects of the agency.

SCHEDULE B

Measure Definitions

Strategy I: DISCLOSURE FILING. Serve as the repository for information required to be filed with the Commission and assist persons in accessing that information.

Objective Outcome: Percent of reports available for public inspection within two days.

Short Definition: All reports on file with the Commission are available for public viewing. The types of reports consist of campaign finance reports, lobby registrations, lobby activities reports, personal financial statements, and acknowledged certificates of interested parties. Reports are considered available for public inspection after they have been logged as received into the database.

Purpose/Importance: The ability for the public to access information on file with the Commission is central to Goal 1. This measure indicates how quickly the public has access to this information once it is actually received by the Commission.

Source/Collection of Data: The data is retrieved from the Commission's internal database.

Method of Calculation: This measure is calculated by a computer generated report which: 1) subtracts the date the report was received from the date the report was logged into the database; 2) determines the number of reports logged as received within two working days and the total number of reports logged as received; and 3) divides the number of reports logged as received within 2 working days by the total number of reports logged as received.

Data Limitations: It is not possible to "re-create" the calculations for a point in time because the database is continually updated.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Higher

KEY. Output 1: Number of reports logged within two working days of receipt.

Short Definition: A report is considered available for public inspection after it has been logged as received into the database.

Purpose/Importance: This measure indicates the raw number of reports logged within two working days of receipt, which is necessary to derive the percentage of reports logged within two working days of receipt.

Source/Collection of Data: The data is collected from the Commission's internal database.

Method of Calculation: This measure is calculated by a computer generated report which: 1) subtracts the date the report was logged as received from the date the report was logged into the

database; and 2) counts the number of reports logged within two working days or less of receipt.

Data Limitations: It is not possible to “re-create” the calculations for a point in time because the database is continually updated.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Higher

Output 2: Number of reports received and processed.

Short Definition: Number of reports logged as received into the database.

Purpose/Importance: This measure shows the volume of information received by the Commission and puts the outcome measure for this strategy into perspective. This number is also necessary to calculate the percentage of reports available to the public within two working days of receipt.

Source/Collection of Data: This data is collected from the Commission’s internal database.

Method of Calculation: This is a computer generated count of the number of reports logged as received into the database.

Data Limitations: It is not possible to “re-create” the calculations for a point in time because the database is continually updated.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Higher

Explanatory/Input 1: Number of inquiries for information.

Short Definition: This is a count of the: 1) number of requests for information (other than open record requests and phone calls to the Legal Division) received via phone, mail, or in person; and 2) the number of people who access the Commission’s website .

Purpose/Importance: Public access to the information stored by the Commission is central to Goal 1, and this measure indicates the volume of requests received by the Commission.

Source/Collection of Data: This data is retrieved from the Commission’s internal database.

Method of Calculation: This measure is a computer generated count calculated by adding: 1) the number of people who access the Commission’s website; and 2) the number of requests received via phone (other than phone calls to the Legal Division), mail, or in person. The count is generated for a particular date range.

Data Limitations: At this time it is not possible to determine if a person accessing the Commission’s

website is actually doing so to gather information or for some other purpose.

Calculation Type: Non-cumulative

Desired Performance: Higher

New Measure: No

Explanatory/Input 2: Number of lobbyists registered with the Commission.

Short Definition: Lobbyists are required to file an annual registration with the Commission and this is a count of the number registered. The registrations and fees are logged into the Commission's internal database.

Purpose/Importance: The number of lobbyists registered will indicate the number of lobbyists who will be registered for the year.

Source/Collection of Data: The data is retrieved from the Commission's internal database.

Method of Calculation: This is a computer generated count of the number of lobbyists who file registrations with the Commission.

Data Limitations: Lobbyists file on a calendar basis, so the data and calculations can be archived and re-created.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Higher

Explanatory/Input 3: Number of public officials required to file reports with the Commission.

Short Definition: This measure is a count of the number of public officials who are required to file a campaign finance report, personal financial statement, or both, with the Commission. These filers are entered into the Commission's internal database.

Purpose/Importance: The number of public officials required to file will indicate the approximate number of reports that can be expected to be filed.

Source/Collection of Data: The data is retrieved from the Commission's internal database.

Method of Calculation: This is a computer generated count of the number of public officials required to file reports with the Commission.

Data Limitations: It is not possible to "re-create" the calculations for a point in time because the database is continually updated.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Higher

Explanatory/Input 4: Number of reports due filed electronically.

Short Definition: This is a count of the number of reports filed with the Commission directly over the Internet.

Purpose/Importance: Electronic filing is a statutory requirement for filers. Additionally, electronic filing is much more efficient and cost effective for the state. It allows the Commission to achieve its goals at a higher level.

Source/Collection of Data: This data is collected from the Commission's internal database.

Method of Calculation: This is a computer generated count of the number of reports marked in the database as electronically filed.

Data Limitations: It is not possible to "re-create" the calculations for a point in time because the database is continually updated.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Higher

Strategy II: LEGAL GUIDANCE AND OPINIONS. Provide assistance to the public and filers by quickly responding by telephone to their request for guidance and instruction on laws administered by the Commission and by responding quickly, accurately, and impartially to advisory opinion requests.

KEY. Objective Outcome: Percent of advisory opinion requests answered within 60 days.

Short Definition: An opinion request is considered received when the executive director identifies it as an advisory opinion request, assigns it an advisory opinion request number, and sends an acknowledgment letter to the requestor after determining that the request complies with the Commission's statutory and rule requirements for an advisory opinion.. Therefore, the received date is the date a formal opinion request number is assigned. The acknowledgment letter to the requestor evidences receipt of the request. An advisory opinion request is considered answered the date the advisory opinion request file is closed. The closing date is the date the Commission adopts the opinion or, if not adopted, the date the file is closed for any of the following reasons: 1) the opinion is withdrawn by the requestor; 2) a previously issued opinion resolves the request; 3) the request will be resolved by a rule adopted by the Commission; or 4) there are insufficient votes for the Commission to adopt an opinion; or 5) a staff letter is sufficient in answering the request.

Purpose/Importance: Statutorily, advisory opinion requests must be answered within 60 days. The Commission has the authority to extend this period by vote for two 30-day periods.

Source/Collection of Data: The data is retrieved from an internal database.

Method of Calculation: This measure is calculated by dividing the total number of opinion requests

answered into the number of opinion requests answered within 60 working days.

Data Limitations: This data is very reliable.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Higher

Output: Number of advisory opinions adopted by the Commission.

Short Definition: An opinion is considered adopted the date of the meeting the Commission votes to adopt the opinion.

Purpose/Importance: The Commission is required by law to issue advisory opinions on request. The advisory opinions clarify the law and provide a defense to prosecution or the imposition of civil penalties for reasonable reliance.

Source/Collection of Data: The data is retrieved from an internal database.

Method of Calculation: This measure is a manual count of the number of opinions adopted by the commission.

Data Limitations: This data is very reliable.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Higher

KEY. Efficiency: Average time (working days) to answer advisory opinion requests.

Short Definition: An opinion request is considered received when the executive director identifies it as an advisory opinion request, assigns it an advisory opinion request number, and sends an acknowledgment letter to the requestor after determining that the request complies with the Commission's statutory and rule requirements for an advisory opinion. Therefore, the received date is the date a formal opinion request number is assigned. The acknowledgment letter to the requestor evidences receipt of the request. An advisory opinion request is considered answered the date the advisory opinion request file is closed. The closing date is the date the Commission adopts the opinion or, if not adopted, the date the file is closed for any of the following reasons: 1) the opinion is withdrawn by the requestor; 2) a previously issued opinion resolves the request; 3) the request will be resolved by a rule adopted by the Commission; 4) there are insufficient votes for the Commission to adopt an opinion; or 5) a staff letter is sufficient in answering the request.

Purpose/Importance: This is an indication of the efficiency of the Commission.

Source/Collection of Data: The data is retrieved from the Commission's internal database.

Method of Calculation: This measure is calculated by a manual count of the total number of days to respond to a legal advisory opinion. Response time is calculated by counting the number of days between the received date and closing date. The average is then determined by dividing the total number of days to respond by the total number of requests answered.

Data Limitations: This data is very reliable.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Lower

Explanatory/Input: Number of information requests regarding Commission administered laws.

Short Definition: This is a count of the number of requests for information from the public regarding laws administered and enforced by the Commission, questions concerning filing instructions, and guidelines on the sworn complaint process that are received and answered in phone calls by the Legal Division.

Purpose/Importance: This measure is an indication of workload handled by the Legal Division, whose primary function is providing guidance regarding laws administered by the Commission.

Source/Collection of Data: This data is based on reports provided to the Commission by the Capitol Complex Telephone system (CCTS) division of the Department of Information Resources (DIR).

Method of Calculation: This measure is a count of the number of incoming and outgoing phone calls of the Legal Division of the Commission. The count is generated for a particular date range.

Data Limitations: The large majority of the phone calls relate to guidance, but it is not possible to determine the precise number.

Calculation Type: Non-cumulative

New Measure: Yes

Desired Performance: Higher

Explanatory/Input: Number of advisory opinion requests received.

Short Definition: An opinion request is considered received when the executive director identifies an advisory opinion request, assigns it an advisory opinion request number after determining that the request complies with the Commission's statutory and rule requirements for an advisory opinion, and sends an acknowledgment letter to the requestor. Therefore, the received date is the date a formal opinion request number is assigned. The acknowledgment letter to the requestor evidences receipt of the request.

Purpose/Importance: This is one indication of the workload on the Commission's advisory opinion

staff.

Source/Collection of Data: The data is retrieved from the Commission's internal database.

Method of Calculation: This measure is a manual count of the number of opinion requests received.

Data Limitations: This data is very reliable.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Higher

Strategy III: ENFORCEMENT. Enforce compliance with laws administered by the Commission by responding quickly and impartially to sworn complaints, by performing investigations where advisable, and by assessing penalties for late reports.

Objective Outcome: Percent of sworn complaints processed within 5 working days after filing.

Short Definition: A sworn complaint is considered processed the date the notice of compliance or non-compliance is sent. The Commission must determine whether a sworn complaint is in an acceptable format according to the guidelines set by law. Once the determination of compliance or non-compliance has been made, the Commission is required by law to notify the complainant and respondent of that determination in writing 5 working days of the date the complaint was filed. The date the notice is sent and the date a sworn complaint is received are recorded in a database.

Purpose/Importance: This measure directly relates to the Commission's Goal 1 objective by responding to sworn complaints in a timely manner.

Source/Collection of Data: The data is retrieved from the Commission's internal database.

Method of Calculation: This measure is calculated by a computer generated report that subtracts the date the complaint is received from the date the notice of compliance or non-compliance is sent. The computer then counts how many complaints were processed within 5 working days and how many complaints total were processed. Finally, the number of complaints processed within 5 working days is divided by the total number of complaints processed.

Data Limitations: This data is very reliable.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Higher

Output 1: Number of sworn complaints recommended for resolution.

Short Definition: A sworn complaint is recommended for resolution when it has been sent to the

Commission for review and placement on the agenda. The date a sworn complaint is sent to the Commission for review and placement on the agenda is recorded in a database.

Purpose/Importance: This measure directly relates to the Commission's Goal 1 objective by responding to sworn complaints in a timely manner.

Source/Collection of Data: The data is retrieved from the Commission's internal database.

Method of Calculation: This measure is a computer generated count of the number of sworn complaints recommended for resolution.

Data Limitations: This data is very reliable.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Higher

Output 2: Number of sworn complaints processed within five working days after filing.

Short Definition: A sworn complaint is considered processed the date the notice of compliance or non-compliance is sent. The Commission must determine whether a sworn complaint is in an acceptable format according to the guidelines set by law. Once the determination of compliance or non-compliance has been made, the Commission is required by law to notify the complainant and respondent of that determination in writing. This notification must be sent within 5 work days of the date the complaint was filed. The date the notice is sent and the date a sworn complaint is received are recorded in a database.

Purpose/Importance: This measure directly relates to the Commission's Goal 1 objective by responding to sworn complaints in a timely manner.

Source/Collection of Data: The data is retrieved from the Commission's internal database.

Method of Calculation: The number of sworn complaints processed within 5 working days is calculated by a computer generated report which subtracts the date the complaint is received from the date the notice of compliance or non-compliance is sent. The computer then counts how many complaints were processed within 5 working days.

Data Limitations: This data is very reliable.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Higher

KEY. Output 3: Number of sworn complaints processed.

Short Definition: A sworn complaint is considered processed the date the notice of compliance or

non-compliance is sent. The Commission must determine whether a sworn complaint is in an acceptable format according to the guidelines set by law. Once the determination of compliance or non-compliance has been made, the Commission is required by law to notify the complainant and respondent of that determination in writing. This notification must be sent within 5 working days of the date the complaint was filed. The date the notice is sent and the date a sworn complaint is received are recorded in a database.

Purpose/Importance: This measures a significant portion of the workload performed by the enforcement division and puts some of the outcome percentages into perspective.

Source/Collection of Data: The data is retrieved from the Commission's internal database.

Method of Calculation: The number of sworn complaints processed is calculated by a computer generated report which counts the number of notices sent.

Data Limitations: This data is very reliable.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Higher

Output 4: Number of late notices sent to filers.

Short Definition: Three possible notices can be sent in regard to a late report: 1) a preliminary late notice, 2) a late notice after 30 days, and 3) a letter of referral to the Attorney General for collection of the late penalty, and to the Comptroller for warrant hold proceedings.

Purpose/Importance: This measure indicates the number of filers who are in possible non-compliance with the laws administered and enforced by the Commission.

Source/Collection of Data: The data is retrieved from the Commission's internal database.

Method of Calculation: This measure is a computer generated count of the number of late notices sent to filers who have not resolved the late filing at the time the late notice is mailed out.

Data Limitations: This data does not account for filers who receive late notices and then subsequent waivers for the penalty.

Calculation Type: Cumulative

New Measure: No.

Desired Performance: Higher

KEY. Efficiency 1: Average time (working days) to respond to sworn complaints.

Short Definition: A sworn complaint is considered processed the date the notice of compliance or non-compliance is sent. For purposes of this measure, "processed" is the same as "responded to."

The Commission must determine whether a sworn complaint is in an acceptable format according to the guidelines set by law. Once the determination of compliance or non-compliance has been made, the Commission is required by law to notify the complainant and respondent of that determination in writing.

Purpose/Importance: This measure directly relates to the Commission's Goal 1 objective by responding to sworn complaints in a timely manner.

Source/Collection of Data: The data is retrieved from the Commission's internal database.

Method of Calculation: The date the notice is sent and the date a sworn complaint is received are recorded in a database. This measure is calculated by a computer generated report which: 1) subtracts the date the complaint was received from the date the complaint was processed (responded to); 2) adds the total number of working days to process (respond to) sworn complaints; and 3) divides the total number of working days to process (respond to) sworn complaints by the number of sworn complaints processed (responded to).

Data Limitations: This data is very reliable.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Lower

Efficiency 2: Average time to notify late filer of late report.

Short Definition: This is a measure of the number of working days between the date a report was due and the date the preliminary late notice is sent.

Purpose/Importance: This is an indication of the efficiency of the Disclosure Filing Division.

Source/Collection of Data: The data is retrieved from the Commission's internal database.

Method of Calculation: This measure is a computer generated report that counts the number of working days between the date a report was due and the date the preliminary late notice is sent. The total number of working days to send a preliminary late notice is then divided by the number of late notices sent.

Data Limitations: This data does not account for reports that may be missed or for filers who may have received waivers.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Lower

Efficiency 3: Average time to notify complainants and respondents of Commission determination.

Short Definition: Once the Commission has made a determination on a proposed resolution for a sworn complaint, the Commission must notify the complainant and respondent in writing of the decision. The date of determination is the date the Commission meets for review of the complaint. This date is recorded in a database. The date the notification of determination is sent to the complainant and respondent is also recorded in the database.

Purpose/Importance: This measure is directly related to the Commission's Goal 1 objective to respond to sworn complaints in a timely manner.

Source/Collection of Data: The data is retrieved from the Commission's internal database.

Method of Calculation: This measure is calculated by a computer generated report which: 1) subtracts the date of determination (resolution) from the date the notice of determination is sent; 2) adds the number of working days to notify complainants and respondents of determination; 3) divides the total number of working days to notify complainants and respondents of determination by the total number of determinations made.

Data Limitations: This data is very reliable.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Lower

Explanatory/Input 1: Number of sworn complaints received.

Short Definition: A sworn complaint is considered received the date it is filed. It is considered filed on the date it is assigned a sworn complaint number. To be assigned a sworn complaint number, a sworn complaint must be filed on the sworn complaint form prescribed by the Commission. The measure will be collected and maintained by agency staff.

Purpose/Importance: This is an indication of the workload handled by the Enforcement Division.

Source/Collection of Data: The data is retrieved from the Commission's internal database.

Method of Calculation: This measure is a computer generated count of the number of sworn complaints received.

Data Limitations: This data is very reliable.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Higher

Explanatory/Input 2: Percent of filers filing timely reports.

Short Definition: A report filed on paper is considered timely filed if it is either hand-delivered,

deposited with the U.S. Post Office, or placed in the hands of a common or contract carrier properly addressed with postage and handling charges pre-paid no later than 5:00 p.m. on the deadline date. A report transmitted by Internet is considered timely filed if it is successfully transmitted in the correct format by midnight, Central Time Zone, on the last day of the filing deadline.

Purpose/Importance: This is an indication of how effectively the Commission communicates filing information.

Source/Collection of Data: The data is retrieved from the Commission's internal database.

Method of Calculation: To calculate this measure a computer generated count of the number of reports filed timely is divided by the number of reports due for a given deadline. The number of reports due is also a computerized count.

Data Limitations: This data is very reliable.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Higher.

Explanatory/Input 3: Number of late penalties received.

Short Definition: This measure is a count of the number of penalty payments received.

Purpose/Importance: This indicates the number of penalties enforced by the Commission.

Source/Collection of Data: The data is retrieved from the Commission's internal database.

Method of Calculation: This measure is a computer-generated count of the number of penalties received in response to late filings of reports.

Data Limitations: This data is very reliable.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Higher.

Explanatory/Input 4: Percent of sworn complaints resolved within 180 days.

Short Definition: A sworn complaint is considered received the date it is filed. It is considered filed on the date it is assigned a sworn complaint number. To be assigned a sworn complaint number, a sworn complaint filed with the Commission must be filed on a sworn complaint form prescribed by the Commission, and the signature of the complainant must be notarized (sworn). A sworn complaint is resolved on the date the Commission dismisses the complaint, accepts an offer of settlement from a respondent that finally resolves the complaint, or makes a final decision that a violation occurred. This data will be collected and maintained by agency staff.

Purpose/Importance: This measure can only be used for reference because the Commission has limited control over the time-frame for the resolution of sworn complaints.

Source/Collection of Data: The data is retrieved from the Commission's internal database.

Method of Calculation: The percentage of sworn complaints resolved within 180 days of receipt is calculated by dividing the number of sworn complaints resolved within 180 days after they were filed (received) by the total number of sworn complaints that were resolved.

Data Limitations: This data is very reliable.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Higher

SCHEDULE C

Historically Underutilized Business Plan

Fiscal Year 2016-2017 HUB Expenditure Information

Statewide HUB Goals	Procurement Category	HUB Expenditures FY 2016				Total Expenditures	HUB Expenditures FY 2017				Total Expenditures
		% Goal	% Actual	Diff	Actual \$	FY 2016	% Goal	% Actual	Diff	Actual \$	FY 2017
11.20%	Heavy Construction	0.0 %	0.0 %	0.00%	\$0.00	\$0.00	0.00%	0.00%	0.00%	\$0.00	\$0.00
21.10%	Building	0.0 %	0.0 %	0.00%	\$0.00	\$0.00	0.00%	0.00%	0.00%	\$0.00	\$0.00
32.90%	Special Trade	0.0 %	0.0 %	0.00%	\$0.00	\$0.00	0.00%	0.00%	0.00%	\$0.00	\$0.00
23.70%	Professional	23.70%	100%	76.30%	\$3,124.00	\$3,124	23.70%	100.00%	76.30%	\$4,185	\$4,185
26.00%	Other Services	26.00%	93.25%	67.25%	\$1,011,794.	\$1,085,083	26.00%	67.27%	41.27%	\$382,861	\$569,103
21.10%	Commodity Purchasing	21.10%	56.22%	35.12%	\$53,750.00	\$95,607	21.10%	49.31%	28.21%	\$42,117	\$85,413
	Total Expenditures		90.27%		\$1,068,669	\$1,183,816		65.15%		\$429,164	\$658,701

Assessment of Fiscal Year 2016-2017 Efforts to Meet HUB Procurement Goals.

Attainment:

The agency attained or exceeded all three, or 100%, of the applicable statewide HUB procurement goals for FY 2016-2017. In both years, the agency exceeded its performance measure objective in the Strategic Plan of Utilizing HUBs in at least 20% of the total value of contracts awarded.

Applicability:

The "Heavy Construction", "Building Construction", and "Special Trades" categories are not applicable to agency operations in either FY 2016 or FY 2017.

Factors Affecting Attainment:

In both FY 2016 and FY 2017, 100% of the applicable goals were met. The goals for FY 2018-2019 will remain as those listed for FY 2017.

"Good Faith" Efforts:

The agency made and will continue to make the following good-faith efforts to comply with statewide HUB procurement goals per Article IX of the 2018-2019 General Appropriations Act (GAA) Section 7.06 and 7.07, and Government Code, §2161.123:

- Ensure that three out of four vendors solicited for bids are HUBs
- Encourage prospective vendors to register with the Comptroller of Public accounts in order to obtain HUB status.
- Verify HUB status with both the DIR and Comptroller’s USAS databases before selecting a vendor.

SCHEDULE F

Workforce Plan¹

I. Agency Overview

The Commission was created effective January 1, 1992, by a voter-approved constitutional amendment. This amendment added Section 24a to Article III, Legislative Department, of the Texas Constitution establishing an eight-member commission with four members appointed by the Governor, and two each by the Lieutenant Governor and the Speaker of the Texas House of Representatives. Appointees are selected from lists submitted by the Texas Senate and the Texas House of Representatives.

A. Working Functions

The Commission has 32.4 authorized FTEs in FY 2018 and 33.4 authorized FTEs in FY 2019 headed by an Executive Director who oversees four major divisions to accomplish the working functions and duties of the agency. The Commission has both constitutional and statutory duties. Constitutionally, the Commission is authorized to recommend the salary of members of the Legislature and the Lieutenant Governor, subject to approval by the voters; and sets the per diem for members of the Legislature and the Lieutenant Governor. Statutorily, the Commission is responsible for administering and enforcing the laws concerning campaign finance and political advertising, lobby activity, personal financial disclosure by state officers, the standards of conduct and conflicts of interest of state officers and employees, and several other laws regulating the reporting requirements of other state and local officials and entities.

Disclosure Filing. The Disclosure Filing Division (authorized 7 FTEs) handles the processing and maintenance of all reports received by the Commission. In addition, this division provides the public with information about and copies of disclosure reports filed with the agency, distributes blank disclosure reporting forms upon request, and collects charges for copies as authorized by law. The Commission serves to receive and make available for public review and inspection required disclosure reports for state officials, candidates, political committees, lobbyists, political parties, party chairs, legislative caucuses, district judicial officers, and certain county judicial officers. Since July 2000, campaign finance reports filed with the Commission are required by law to be filed electronically unless the filer qualifies for and claims the exemption from the electronic filing requirement. Since December 2004, lobbyists are required to file lobby reports electronically unless the filer qualifies for and claims an exemption. Since September 2016, holders of and candidates for certain state offices are required to file personal financial statements electronically.² Since January 2016, Certificate of Interested Party Forms (Form 1295) are required to be filed electronically.³ Campaign finance, lobby reports, personal financial statements, and Form 1295 make up the majority of the reports filed electronically with the Commission. Other reports filed with the Commission are filed on paper.

¹ This report is required by the Legislative Budget Board (LBB), the Office of the Governor, and the State Auditor.

² After May 29, 2017, appointed officers were given the option to file on paper.

³ In 2015, the Legislature passed H.B. 1295, which added Section 2252.908 to the Texas Government Code. The law requires a governmental entity or state agency may not enter into certain contracts with a business entity unless the business entity submits a disclosure of interested parties (Form 1295) to the governmental entity or state agency at the time the business entity submits the signed contract to the governmental entity or state agency.

Legal. The Legal Division (authorized 14.4 FTEs) handles all regulatory functions in addition to providing legal counsel to the agency on daily operational matters. The legal staff splits its time between two strategies: Legal Guidance and Opinions (authorized 6 FTEs) and Enforcement (authorized 8.4 FTEs). The legal staff also assists callers and visitors to the agency who have questions about laws under the Commission's jurisdiction.

The Commission has the authority to enforce all laws under its jurisdiction except Chapters 36 and 39 of the Penal Code. Thus, the Commission's enforcement jurisdiction extends to all individuals and entities filing reports with the Commission, as well as to those who file campaign finance reports with local filing authorities such as the county or city clerk or elections administrator. The Commission is authorized to undertake civil enforcement actions on its own motion or in response to a sworn complaint, hold enforcement hearings, issue and enforce orders, impose civil penalties, refer matters for criminal prosecution, and deny, suspend, or rescind a lobby registration for specified reasons. A sworn complaint sets in motion a process that may include a preliminary review, a preliminary review hearing, and a formal hearing, and which permits resolution of the complaint at several points in the process. Unless an open order is issued, the Commissioners and Commission staff are required to keep the complaint confidential.

The Commission also imposes administrative penalties on filers who are late in filing reports with the Commission. This process is an administrative function and does not require a sworn complaint to be filed. The administrative process involves notifying filers that a report is late and that a penalty may be administratively assessed. The Executive Director has authority to waive penalties for reasons specified by rule. The members of the Commission have the authority to waive or reduce administrative penalties. A filer who does not pay an administrative penalty is referred to the Office of the Attorney General for collection of the penalty and to the Comptroller of Public Accounts to initiate the warrant-hold process, and may be referred to the appropriate prosecuting attorney for criminal prosecution.

The Commission has the authority to issue advisory opinions about the laws under its jurisdiction, as well as Chapter 36 and 39 of the Penal Code. The Commission also provides, as resources allow, ethics training to state and local officers and employees on request, and produces educational materials and conducts training programs for other groups affected by laws administered by the Commission. The Commission has also implemented an on-line ethics training program for state officers, members of the legislature, agency employees, and legislative branch employees.

Administration. The Administration Division (authorized 4 FTEs including the Executive Director) handles the working functions of the agency. It provides the primary support for the Commission with respect to accounting and budgeting, purchasing, travel, human resources and payroll, secretarial and reception duties, building and equipment maintenance, risk and safety management, and mail services and inventory control.

Computer Services. The Computer Services Division (authorized 7 FTEs) maintains the Commission's technology infrastructure, the electronic filing system and database, and the agency website. This division also provides technical support to filers who are required to file reports electronically with the Commission, prepares reports in response to open records requests for data from electronically filed reports, and assists staff with computer applications.

B. Agency Mission

The mission of the Texas Ethics Commission is to promote public confidence in government.

C. Agency Strategic Goals and Objectives

GOAL 1: To promote public confidence in electoral and governmental processes by enforcing and administering applicable laws. To increase the public's ability to access information about public officials, candidates for public office, and persons attempting to influence public officials, and to assist people in understanding their responsibilities under the laws administered by the Commission, thereby enhancing the potential for individual participation in government.

Objective: To make reports required to be filed with the Commission available to the public within two working days of receipt; to provide responses to advisory opinion requests within 60 days; to respond to sworn complaints within five working days after filing.

Strategy I: Disclosure Filing. Serve as the repository for information required to be filed with the Commission and assist persons in accessing that information.

Strategy II: Legal Guidance and Opinions. Provide assistance to the public and filers by quickly responding by telephone to their requests for guidance and instruction on laws administered by the Commission and by responding quickly, accurately, and impartially to advisory opinion requests.

Strategy III: Enforcement. Enforce compliance with laws administered by the Ethics Commission by responding quickly and impartially to sworn complaints, by performing investigations where advisable, and by assessing penalties for late reports.

GOAL 2: Indirect Administration. Provide the Administration and Information Technology functions of the agency. This includes establishing and carrying out policies governing purchasing and contracting that foster meaningful and substantive inclusion of historically underutilized businesses.

Objective: To include historically underutilized businesses (HUBs) in at least 20 percent of the total value of contracts and subcontracts awarded annually by the agency in purchasing and contracting.

Strategy I: Central Administration. Provide the working functions of the agency.

Strategy II: Information Resources. Provide agency wide computer service support and manage IT Projects of the agency.

D. Anticipated Changes to Mission, Goals, and Strategies over the Next Five Years

The Commission does not anticipate any significant changes to its mission, goals, or strategies over the next five years.

II. Current Workforce Profile (Supply Analysis)

A. Demographic Information

The following chart profiles the Commission’s total workforce as of June 1, 2018. The Commission’s workforce is comprised of 70.37 % females and 29.63% males. Over 70.37% of our employees are over the age of 40. Approximately 48.15% of our employees have less than 5 years of agency service. This percentage indicates the need for continuing strong training programs to ensure our employees are well-trained to serve the State of Texas.

Workforce Breakdown						
Category	Gender		Age		Agency Tenure	
	Number	Percent	Number	Percent	Number	Percent
Male	8	29.63 %				
Female	19	70.37 %				
Under 30 Years			4	14.81 %		
30 – 39 Years			4	14.81 %		
40 – 49 Years			2	7.42%		
50 – 59 Years			11	40.74 %		
60 and Over Yrs			6	22.22 %		
Under 2 Years					9	33.33 %
2 – 4 Years					5	18.52 %
5 – 9 Years					5	18.52 %
10 -14 Years					2	7.41 %
15 & Over Years					6	22.22 %
Total	27	100 %	27	100 %	27	100 %

The following table compares the percentage of African American, Hispanic, and Female Commission employees (as of June 1, 2018) to the State Agencies Workforce Composition (FY 2016 is most current on Workforce Commission website). The Commission has been working to meet various diversity targets, among which are African American, Hispanic, and Female positions. In these three categories, the agency has exceeded the total state agencies workforce statistics: Hispanic Officials, Female Officials, Female Administrative Support, and Female Para-Professionals.

There are several categories of under-represented classes that the Commission should address: particularly African Americans in all Job Categories; Hispanics in Administrative Support, Professional, Para-Professional, and Technical positions; and females in Professional and Technical positions. Through its recruitment plan, the Commission continues to strive to maximize the number of qualified minority, disabled, veterans, and female applicants for positions within all job categories.

Workforce Breakdown by Under-Represented Class						
Job Category	African American		Hispanic American		Females	
	TEC %	State %	TEC%	State %	TEC %	State %
Officials, Administration (A)	0%	11.0%	25%	15.4%	100 %	53.2%
Administrative Support (C)	0 %	18.1%	25%	31.9%	87.5%	82.1%
Service and Maintenance (M)	0%	25.0 %	0%	35.1%	0%	44.1%
Professional (P)	0 %	11.0 %	14.3%	15.8 %	42.9%	56.2 %
Para-Professional(Q)	25%	35.0%	25%	29.7%	100%	70.4%
Protective Services (R)	0%	33.5%	0%	23.2%	0%	45.2%
Skilled Craft (S)	0%	8.5%	0%	26.6%	0%	6.4%
Technical (T)	0%	18.5%	25%	25.5 %	25 %	60.2 %

B. Agency Turnover

Turnover is an important issue in any organization, and the Commission is no exception. The following charts show the Commission's turnover rate compared to the state percentages (employees who transferred to another state agency are not included), as well as a breakdown of the turnover data according to the length of agency service and age of the separating employees. Over the past five years (from September 1, 2012 to August 31, 2017), the Commission's turnover rate has averaged 21.94%, which is above the statewide five year average of 17.86%.

Year	TEC%	State %
Fiscal Year 2013	6.6%	17.6%
Fiscal Year 2014	20.2%	17.5%
Fiscal Year 2015	23.7%	18.0%
Fiscal Year 2016	35.5%	17.6%
Fiscal Year 2017	23.7%	18.6%

Length of Service: The greatest area of turnover for the Commission has been with employees who have less than four years of experience. This group accounted for 63.33 % of the turnover over the past five years.

Agency Service Before Separation	Number of Turnovers					
	FY2013	FY 2014	FY 2015	FY2016	FY2017	Overall%
Less than 2 years	0	3	4	5	3	50%
2-4 years	1	1	0	1	1	13.33 %
5-9 years	0	1	1	2	0	13.33 %
10-14 years	1	1	0	0	0	6.67 %
15 years and over	0	0	2	1	2	16.67 %

C. Retirement Eligibility and Employee Attrition Rate Over the Next Five Years

Eight of the Commission's current employees are now eligible for retirement and seven more will become eligible within the next five years. This represents 46.30% of the total authorized full-time employee workforce, with many of these employees occupying key positions within the agency and possible payments of over \$ 80,000 per year in lump sum entitlements. For this

reason, it is important for the Commission to ensure that the agency's knowledge and expertise is not lost. Based on past turnover trends, the projected attrition rate will be a loss of six employees per fiscal year, of which at least two or three will be a retiree.

D. Workforce Skills Critical to Agency Mission and Goals

The Commission is fortunate to have a staff that ranges broadly in training and experience. It is critical in a small agency to have a staff that is diverse in skills because often staff is asked to perform more than one job function. The following are critical skills that are important to the Commission's ability to operate and, without which, the Commission could not provide basic working functions to accomplish its strategic mission and goals:

- Customer service
- Collaborating and communicating with others
- Interpreting legal statutes
- Conducting investigations
- Reviewing, analyzing, and processing data files
- Interpreting computer programs
- Developing and maintaining a database
- Providing ethics training
- Designing and distributing informational materials
- Administering and maintaining a network infrastructure
- Developing and maintaining a website
- Developing and maintaining Java based computer programs

III. Future Workforce Profile (Demand Analysis)

A. Critical Functions Required to Achieve the Strategic Plan

- Receive and maintain information required to be filed with the Commission, both electronically and in hard copy, and assist persons in accessing that information.
- Respond quickly, accurately, and impartially to advisory opinion requests.
- Enforce compliance with laws enforced by the Commission by responding quickly and impartially to sworn complaints, performing investigations, and assessing penalties for violations.
- Educate the public, state employees, and those subject to the laws administered and enforced by the Commission.
- Implement a plan for increasing the use of historically underutilized businesses through purchasing contracts and subcontracts.

B. Expected Workforce Changes

The Commission does not anticipate any changes that will significantly affect the core functions of the Commission. However, there are other possible developments that the Commission must be aware of as it prepares its workforce for the future.

The passage of House Bill 1295 during the 84th Legislature negatively impacted the Commission by significantly increasing the number of calls received by the legal, administrative, and technical

support divisions, which handled the increased volume of calls without additional FTEs. However, now that the filers are more acquainted with the rules and who is required to file a Form 1295, the number of technical calls alone has decreased to approximately 343 per month, which totals approximately 4,100 yearly. The agency introduced the Form 1295 electronic filing application on December 31, 2015, to enable government entities and state agencies to comply with HB 1295, which went into effect on January 1, 2016. The agency was not appropriated additional funds to expand its server and network capacity for the Form 1295 application, which negatively impacted the agency's ability to design and build its new electronic filing system that went into production in 2015. Currently, there are 2,485 government users and 29,195 working users of the agency's HB 1295 electronic filing application; this number grows daily. The Commission estimates that approximately 86,051 Form 1295 acknowledged certificates will be filed yearly. Based on Form 1295 capacity projections, the agency needs to increase the server and storage capacity of its electronic filing system to accommodate these filers. Additional programming would be required by the electronic filing system vendor to modify the filing system software framework for the additional server and storage devices for Form 1295 filings.

As background, in addition to the Form 1295 filings, there are approximately 3,707 persons who file campaign finance reports, 2,045 who file lobby reports, and 2,671 who file personal financial statements with the Commission. There are also over 4,200 local filing authorities that the Commission communicates with but who are not counted as filers. Furthermore, there are candidates, officeholders, and political committees who file reports with the local filing authorities and who contact the Commission for assistance in complying with the campaign finance and personal financial statement disclosure laws.

C. Future Workforce Skills Needed

Over the next five years, the Commission will be able to fulfill its mission and strategies and continue to function effectively and efficiently as long as it is able to maintain the critical workforce skills listed above. If certain legislative and technological changes occur, the Commission would likely require an increase in computer skills such as web design and programming.

D. Anticipated Increase/Decrease in the Number of Employees Needed

The agency currently is authorized 32.4 FTEs, which is down from the 33.4 authorized FTEs in Fiscal Year 2017. This decrease in current staffing levels, especially should it continue, will have a significant negative impact on the Commission's ability to achieve its mission and statutory obligations.

IV. Gap Analysis

The Commission analyzed its workforce proficiency based on the critical workforce skills listed earlier. Each occupational group was rated on its current proficiency level and its desired proficiency level, using a scale from 0 (No Knowledge) to 3 (Professional Knowledge). Then the difference, or "gap," between the current and future skill levels was determined, with results ranging from 0 (No Gap) to 3 (Potential Problem). The results shown in the table below indicate that the Commission anticipates no significant gaps or excesses in skill competency levels over the next five years.

<i>Gap Analysis of Workforce</i>												
Skill	Officials/Admin			Professional			Technical			Ad Sup/Para-prof		
	Have	Need	Gap	Have	Need	Gap	Have	Need	Gap	Have	Need	Gap
Customer Service	3	3	0	1	3	2	3	3	0	2	3	1
Collaboration	3	3	0	2	3	1	3	3	0	2	3	1
Interpreting Statutes	3	3	0	2	3	1	1	3	2	2	2	0
Conducting Investigations	3	3	0	3	3	0	0	0	0	1	1	0
Processing Data Files	2	3	1	1	3	2	3	3	0	2	2	0
Develop/Maintain Database	1	1	0	0	1	1	2	3	1	1	2	1
Provide Ethics Training	2	2	0	2	3	1	3	3	0	1	1	0
Designing Materials	3	3	0	2	3	1	2	3	1	1	2	1
Interpreting Comp Pgms	3	3	0	0	0	0	3	3	0	0	0	0
Administer Network Info	2	2	0	0	0	0	2	3	1	0	0	0
Dev & Maintain Website	2	2	0	0	0	0	2	3	1	0	0	0
Dev & Maintain Java Pgms	0	0	0	0	0	0	2	3	1	0	0	0

Legend
Have = Avg. competency level for current employees in job category
Need = Avg. competency level needed for future employees in job category
0 = No knowledge
1 = Minimal knowledge, familiarity with skill
2 = Working knowledge, proficiency in skill
3 = Professional knowledge, mastery of skill
Gap = Difference in skill level between current and future competency levels
0 = No gap
1 = Minimal gap
2 = Some gap
3 = Problem gap

V. Strategy Development

A. Specific Goals to Address Workforce Competency Gap/Surplus

The Commission has determined that there are twenty-one anticipated gaps in workforce numbers or skills for the next five years. These gaps are in the following skill sets: (1) officials/admin; (9) professional; (7) technical and (4) ad sup/para-prof. All these arise in large part due to changes in technology and laws. The Commission will continue to train its staff and adapt as needed to handle current needs and any unexpected changes in its mandates.

Based on the analysis of current workforce demographics, there are several issues that the Commission will continue to focus on in order to keep a competent and knowledgeable workforce that is able to accomplish its strategic mission and goals:

- The Commission will continue to follow the state recruitment plan to maximize the number of qualified minority, disabled, veterans, and female applicants for available positions within all job categories.
- When new employees are hired, the Commission will ensure that they are trained quickly and adequately so that our employees are well trained to serve the State of Texas.

The Commission will work to bring down its turnover rate lower than the State average by

continuing to conduct exit interviews, offer the State On-line Exit Survey to voluntarily separating employees, conduct employee satisfaction surveys, and assess the results to identify retention issues. As the agency foresees losing more employees to retirement over the next few years, the Commission will continue to document working processes and procedures and cross-train employees to ensure that organizational knowledge is retained.

SCHEDULE G

Report on Customer Service

Introduction:

The Texas Ethics Commission takes pride in the exceptional customer service it provides the citizens of Texas. Our mission is to promote public confidence in government.

Inventory of External Customers by Strategy

The Governor’s Office and the Legislative Budget Board require all state agencies to provide an inventory of their external customers organized by the strategies listed in the General Appropriations Act as well as briefly describe the types of services provided. The Texas Ethics Commission consists of the following strategies:

Strategy A1.1 Disclosure Filing

External Customer	Service Provided
Registered lobbyists; Elected and appointed public officials; Political committees registered in Texas; State agencies and employees; Candidates for office in all political subdivisions; All state political subdivisions (county, city, school, water districts, etc.); General Public	provided filing assistance for required reports and registration; made available for public review and inspection disclosure reports and statements required by law; processed copy orders of requested reports; assisted with password setup and reset.

Strategy A.1.2. Legal Guidance and Opinions

External Customer	Service Provided
Registered lobbyists; Elected and appointed public officials; Political committees registered in Texas; State agencies and employees; Candidates for office in all political subdivisions; All state political subdivisions (county, city, school, water districts, etc.); General Public	provided filing assistance for required reports and statements; provided ethics training; provided advisory opinions

Strategy A.1.3. Enforcement

External Customer	Service Provided
Registered lobbyists Elected and appointed public officials Political committees registered in Texas State agencies and employees Candidates for office in all political subdivisions All state political subdivisions (county, city, school, water districts, etc.)	provided filing assistance for required reports and statements; provided ethics training; processed sworn complaint filings submitted to the agency

General Public	
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Strategy B.1.1 Central Administration

External Customer	Service Provided
General Public	Answered general inquiries; directed calls to appropriate divisions; promoted employment opportunities;
State agencies and employees	Verified prior state service; reported budget structure and expenditures
Vendor Community	Processed contracts for goods and services; processed payments; encouraged HUB participation.

Strategy B.1.2. Information Resources

External Customer	Service Provided
Registered lobbyists Elected and appointed public officials Political committees registered in Texas State agencies and employees Candidates for office in all political subdivisions All state political subdivisions (county, city, school, water districts, etc.) General Public	provided filing assistance for required reports and registration; made available for public review and inspection disclosure reports and statements required by law; processed copy orders of requested reports; assisted with password setup and reset.

Customer Service Performance Measures and Methodology

The following information-gathering method was used for collection of customer feedback.

The Commission’s method for the collection of customer feedback was by use of an on-line customer satisfaction survey located in a clearly identified prominent position on our agency’s website homepage. On April 26, 2018, an email requesting participation in the survey that included the link to the survey location was sent to 7,651 of Commission filers and 11,604 Form 1295 filers.⁴ Customers were given two weeks to respond to the survey. Of the 19,255 emails sent, a total of 2,011 responses of a completed customer service survey were received, which represents a 10.44% response rate.

The on-line survey identifies seven major categories to which the person responding chooses to best describe himself or herself: (1) PFS Filers; (2) Lobby Filers; (3) Campaign Finance Filers; (4) 1295 Filers; (5) Received Ethics Training; (6) Copy Orders Customers; and (7) General Public.

The survey was designed to gather information concerning the customer’s experience with the agency in the eight customer service quality elements specified by statute: staff, facilities, communications, website information, website ease, complaint, timeliness, and printed information. It also provides an opportunity to add comments. The Commission currently has 3,707 persons who

⁴ This represents 96.24% of the total of 20,007 estimated filers, after eliminating filers whose email addresses were known to be incorrect or defunct.

are required to file campaign finance reports⁵, 2,045 who file lobby activities reports, and 2,671 who file personal financial statements. The following questionnaire was provided online, and the charts summarizing the results follow.

⁵ This figure represents the following filers: 650 Non-Judicial Candidates/Officeholders; 867 Judicial Candidates/Officeholders; 1,820 General-Purpose Committees; 168 Specific-Purpose Committees (including Judicial); 56 County Executive Committees; 44 State/County Chair Candidates/Officeholders; 50 Political Party Reports of Corporate/Labor Union Contributions; 30 Legislative Caucuses; 21 Direct Campaign Expenditure Filers; and 1 As If-Specific Purpose Committee.

Texas Ethics Commission 2018 Customer Satisfaction Survey

To serve you better, the Texas Ethics Commission would like to know about your experiences with us. Please take a few minutes to answer the questions below and click the submit button when finished.

What was the nature of your contact with us?	How did you contact us?	Which category best describes you?
<input type="radio"/> Request copy of Reports/Contributions <input type="radio"/> Update Treasurer <input type="radio"/> Obtain Filer ID <input type="radio"/> Change Name/Address <input type="radio"/> Register as a Lobbyist <input type="radio"/> Create a PAC or Run for Office <input type="radio"/> Request Advisory Opinion <input type="radio"/> File a Complaint <input type="radio"/> Subject of a Complaint <input type="radio"/> Request Technical Assistance <input type="radio"/> File Report Electronically <input type="radio"/> Payment Processing <input type="radio"/> Seeking Employment <input type="radio"/> Doing Working with the State <input type="radio"/> Other	<input type="radio"/> In person <input type="radio"/> Mail <input type="radio"/> Email <input type="radio"/> Phone <input type="radio"/> Website	<input type="radio"/> 1295 Filings <input type="radio"/> Campaign Finance Filings <input type="radio"/> Copy Orders <input type="radio"/> General Public/Vendor <input type="radio"/> Lobby Filings <input type="radio"/> PFS Filings <input type="radio"/> Received Ethics Training

STAFF

The Commission's staff members were helpful (demonstrated a willingness to assist me).
 Strongly Disagree Disagree Neutral Agree Strongly Agree Not Applicable

The Commission's staff members were courteous.
 Strongly Disagree Disagree Neutral Agree Strongly Agree Not Applicable

The Commission's staff members were knowledgeable (able to answer my questions).
 Strongly Disagree Disagree Neutral Agree Strongly Agree Not Applicable

The Commission's staff identified themselves by name.
 Strongly Disagree Disagree Neutral Agree Strongly Agree Not Applicable

My telephone call, email, or letter was routed to the proper person.

Strongly Disagree Disagree Neutral Agree Strongly Agree Not Applicable

FACILITIES

The Commission's office was accessible.

Strongly Disagree Disagree Neutral Agree Strongly Agree Not Applicable

The Commission's office was clean.

Strongly Disagree Disagree Neutral Agree Strongly Agree Not Applicable

The Commission's office was adequately equipped for my needs.

Strongly Disagree Disagree Neutral Agree Strongly Agree Not Applicable

COMMUNICATIONS

Communication with the Commission was a trouble-free process.

Strongly Disagree Disagree Neutral Agree Strongly Agree Not Applicable

Communication with the Commission was an efficient process.

Strongly Disagree Disagree Neutral Agree Strongly Agree Not Applicable

WEBSITE

The Commission's website contains clear and adequate information on both the Commission and the services provided.

Strongly Disagree Disagree Neutral Agree Strongly Agree Not Applicable

The Commission's website was easy to use and well organized.

Strongly Disagree Disagree Neutral Agree Strongly Agree Not Applicable

COMPLAINTS

Excluding sworn complaints, customer service complaints are easy to address and are resolved in a timely manner.

Strongly Disagree Disagree Neutral Agree Strongly Agree Not Applicable

TIMELINESS

The Commission answered my questions in a timely manner.

Strongly Disagree Disagree Neutral Agree Strongly Agree Not Applicable

PRINTED INFORMATION

The Commission's brochures, forms, and instructions available online or in printed form provided thorough and accurate information.

<input type="radio"/>	Strongly Disagree	<input type="radio"/>	Disagree	<input type="radio"/>	Neutral	<input type="radio"/>	Agree	<input type="radio"/>	Strongly Agree	<input type="radio"/>	Not Applicable
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COMMENTS
You may add any additional information in the comment box below. Comments should be limited to feedback on your customer service experience only. If you require immediate assistance, you can reach us by phone at 512-463-5800.
Maximum 2,000 characters

2018 Customer Satisfaction Survey (4/26/18 – 5/11/18)

The following charts indicate by customer category the total number of responses and the average score, based on the 1 to 5 scale detailed below.

- 1 – Strongly Disagree
- 2 – Disagree
- 3 – Neutral
- 4 – Agree
- 5 – Strongly Agree
- N/A – Not Applicable (not included in the Average Score calculation)
- No Answer – (not included in the Average Score calculation)

Total of All 2,011 Responses – By Number

	Staff Helpful	Staff Courteous	Staff Knowledgeable	Staff Name	Staff Routed	Facilities Accessible	Facilities Clean	Facilities Equipped	Communications Trouble free	Communications Efficient	Website Info	Website Easy	Complaints	Timeliness	Printed Info
Strongly Disagree	36	29	27	24	36	16	3	8	59	65	107	114	16	38	74
Disagree	18	10	19	2	12	9	0	5	53	60	113	142	20	25	75
Neutral	132	74	86	96	90	78	87	87	114	108	211	221	115	83	156
Agree	207	190	202	214	260	114	35	55	411	387	775	760	105	263	555
Strongly Agree	673	651	615	570	584	161	59	86	649	648	701	667	106	536	534
N/A*	0	1030	1031	1066	983	1579	1755	1680	676	677	75	58	1564	1007	561
No Answer*	945	27	31	39	46	54	72	90	49	66	29	49	85	59	56
Avg. Score	4.37	4.49	4.43	4.44	4.37	4.04	3.80	3.85	4.20	4.18	3.97	3.91	3.73	4.31	4.00

*N/A and No Answer are not included in the Average Score calculation

Total of All 2,011 Responses – By Percentages

	Staff Helpful	Staff Courteous	Staff Knowledgeable	Staff Name	Staff Routed	Facilities Accessible	Facilities Clean	Facilities Equipped	Communications Trouble free	Communications Efficient	Website Info	Website Easy	Complaints	Timeliness	Printed Info
Strongly Disagree	3.4%	3.0%	2.8%	2.6%	3.7%	4.2%	1.6%	3.3%	4.6%	5.1%	5.6%	6.0%	4.4%	4.0%	4.0%
Disagree	1.7%	1.0%	2.0%	0.2%	1.2%	2.4%	0.0%	2.1%	4.1%	4.7%	5.9%	7.5%	5.5%	2.6%	3.1%
Neutral	12.4%	7.8%	9.1%	10.6%	9.2%	20.6%	47.3%	36.1%	8.9%	8.5%	11.1%	11.6%	31.8%	8.8%	16.3%
Agree	19.4%	19.9%	21.3%	23.6%	26.5%	30.2%	19.0%	22.8%	32.0%	30.5%	40.6%	39.9%	29.0%	27.8%	28.2%
Strongly Agree	63.1%	68.2%	64.8%	62.9%	59.5%	42.6%	32.1%	35.7%	50.5%	51.1%	36.8%	35.0%	29.3%	56.7%	48.4%
N/A*	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
No Answer*	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Avg. Score	82.6%	88.2%	86.1%	86.5%	85.9%	72.8%	51.1%	58.5%	82.4%	81.6%	77.4%	74.9%	58.3%	84.6%	76.6%

*N/A and No Answer are not included in the Average Score calculation

1295 Filings (743)

	Staff Helpful	Staff Courteous	Staff Knowledgeable	Staff Name	Staff Routed	Facilities Accessible	Facilities Clean	Facilities Equipped	Communications Trouble free	Communications Efficient	Website Info	Website Easy	Complaints	Timeliness	Printed Info
Strongly Disagree	10	8	9	8	8	4	0	4	17	18	50	48	4	8	33
Disagree	4	3	6	1	4	1	0	0	11	16	27	43	6	3	22
Neutral	69	31	34	34	35	39	36	37	50	43	84	72	36	35	52
Agree	58	49	41	47	62	21	6	6	100	96	279	270	18	60	186
Strongly Agree	113	107	106	98	985	22	6	9	146	152	269	275	25	92	184
N/A*	0	534	539	545	519	639	669	653	398	394	23	18	618	519	251
No Answer*	489	11	8	10	17	17	26	21	21	24	11	17	36	26	15
Avg. Score	4.02	4.23	4.17	4.20	4.15	3.64	3.38	4.07	4.07	4.07	3.97	3.96	3.61	4.14	3.98

*N/A and No Answer are not included in the Average Score calculation

Campaign Finance Filing Customers (420)

	Staff Helpful	Staff Courteous	Staff Knowledgeable	Staff Name	Staff Routed	Facilities Accessible	Facilities Clean	Facilities Equipped	Communications Trouble free	Communications Efficient	Website Info	Website Easy	Complaints	Timeliness	Printed Info
Strongly Disagree	6	5	5	3	6	4	3	3	11	14	11	13	5	11	7
Disagree	4	3	7	0	3	2	0	1	16	17	34	43	7	9	22
Neutral	20	10	17	21	22	16	17	20	18	21	46	49	35	18	40
Agree	61	58	71	69	75	38	11	21	122	108	173	180	34	84	133
Strongly Agree	245	247	224	216	218	50	16	26	181	181	139	114	35	192	120
N/A*	0	94	93	102	88	299	357	331	65	72	13	10	289	101	87
No Answer*	83	3	3	9	8	11	16	18	7	7	4	11	15	5	11
Avg. Score	4.58	4.67	4.55	4.60	4.53	4.16	3.79	3.93	4.28	4.25	3.98	3.85	3.75	4.39	4.05

*N/A and No Answer are not included in the Average Score calculation

Copy Orders (4)

	Staff Helpful	Staff Courteous	Staff Knowledgeable	Staff Name	Staff Routed	Facilities Accessible	Facilities Clean	Facilities Equipped	Communications Trouble free	Communications Efficient	Website Info	Website Easy	Complaints	Timeliness	Printed Info
Strongly Disagree	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Disagree	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Neutral	1	2	1	1	1	0	1	1	1	1	2	2	2	2	2
Agree	1	1	0	1	1	1	0	0	2	2	1	2	0	1	0
Strongly Agree	1	1	2	1	1	0	0	0	1	1	0	0	0	0	0
N/A*	0	0	1	1	1	3	3	3	0	0	1	0	2	1	2
No Answer*	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Avg. Score	3.50	3.75	4.33	4.00	4.00	4.00	3.00	3.00	4.00	4.00	3.33	3.50	3.00	3.33	3.00

*N/A and No Answer are not included in the Average Score calculation

General Public /Vendor Customers (115)

	Staff Helpful	Staff Courteous	Staff Knowledgeable	Staff Name	Staff Routed	Facilities Accessible	Facilities Clean	Facilities Equipped	Communications Trouble free	Communications Efficient	Website Info	Website Easy	Complaints	Timeliness	Printed Info
Strongly Disagree	6	5	6	5	6	3	0	1	7	8	6	7	2	5	4
Disagree	1	0	0	1	2	0	0	1	3	4	8	5	2	2	2
Neutral	6	6	2	2	2	3	6	5	7	5	0	18	9	4	15
Agree	16	14	19	18	27	9	3	6	29	26	44	39	9	25	24
Strongly Agree	42	39	38	35	30	8	5	2	33	34	37	36	5	32	22
N/A*	0	48	47	52	45	88	96	94	34	34	7	6	81	42	46
No Answer*	44	3	3	2	3	4	5	6	2	4	3	4	7	5	2
Avg. Score	4.23	4.28	4.28	4.26	4.09	3.83	3.93	3.47	3.99	3.96	3.93	3.88	3.48	4.13	3.87

*N/A and No Answer are not included in the Average Score calculation

Lobby Filings (169)

	Staff Helpful	Staff Courteous	Staff Knowledgeable	Staff Name	Staff Routed	Facilities Accessible	Facilities Clean	Facilities Equipped	Communications Trouble free	Communications Efficient	Website Info	Website Easy	Complaints	Timeliness	Printed Info
Strongly Disagree	2	1	0	0	1	0	0	0	4	5	4	8	0	2	2
Disagree	1	0	1	0	1	0	0	1	4	2	10	14	0	3	5
Neutral	7	5	6	7	6	6	7	6	8	8	14	17	10	3	12
Agree	16	17	20	21	24	11	7	6	39	35	69	63	18	31	51
Strongly Agree	97	94	88	81	75	27	15	21	84	87	62	57	16	77	49
N/A*	0	51	50	55	56	121	134	125	27	27	7	5	121	47	42
No Answer*	46	1	4	5	6	4	6	10	3	5	3	5	4	6	8
Avg. Score	4.67	4.74	4.70	4.68	4.60	4.48	4.28	4.38	4.40	4.44	4.10	3.92	4.14	4.53	4.18

*N/A and No Answer are not included in the Average Score calculation

Personal Financial Statement (PFS) Filings (529)

	Staff Helpful	Staff Courteous	Staff Knowledgeable	Staff Name	Staff Routed	Facilities Accessible	Facilities Clean	Facilities Equipped	Communications Trouble free	Communications Efficient	Website Info	Website Easy	Complaints	Timeliness	Printed Info
Strongly Disagree	9	6	4	5	12	5	0	0	19	19	31	33	3	9	27
Disagree	5	4	4	0	2	5	0	2	18	20	33	36	4	7	22
Neutral	27	19	25	28	21	13	16	15	27	29	53	59	20	19	34
Agree	50	48	47	53	67	30	6	12	111	110	200	198	23	58	153
Strongly Agree	157	143	138	123	146	50	14	25	189	178	182	176	20	128	147
N/A*	0	300	298	308	271	410	475	455	149	147	23	17	437	292	127
No Answer*	281	9	13	12	10	16	18	20	16	26	7	10	22	16	19
Avg. Score	4.38	4.45	4.43	4.38	4.34	4.12	3.94	4.11	4.19	4.15	3.94	3.89	3.76	4.31	3.97

*N/A and No Answer are not included in the Average Score calculation

Received Ethics Training (31)

	Staff Helpful	Staff Courteous	Staff Knowledgeable	Staff Name	Staff Routed	Facilities Accessible	Facilities Clean	Facilities Equipped	Communications Trouble free	Communications Efficient	Website Info	Website Easy	Complaints	Timeliness	Printed Info
Strongly Disagree	3	4	3	3	3	0	0	0	1	1	5	5	2	3	1
Disagree	1	0	1	0	0	1	0	0	1	1	1	1	1	1	2
Neutral	2	1	1	3	3	1	4	3	3	1	2	4	3	2	1
Agree	5	3	4	5	4	4	2	4	8	10	9	8	3	4	8
Strongly Agree	18	20	19	16	16	4	3	3	15	15	12	9	5	15	12
N/A*	0	3	3	3	3	19	21	19	3	3	1	2	16	5	6
No Answer*	2	0	0	1	2	2	1	2	0	0	1	2	1	1	1
Avg. Score	4.17	4.25	4.25	4.15	4.15	4.10	3.89	4.00	4.25	4.32	3.76	3.56	3.57	4.08	4.17

*N/A and No Answer are not included in the Average Score calculation

Analysis of Findings

The response rate for the on-line survey was not as high as we would have preferred considering that nearly 96.24% of our customers were sent a request to complete the on-line survey. A total of 2,011 customer surveys were completed for an overall response rate of 10.44%. Of the total 20,007 filing customers, the 2,011 surveys completed on-line on our website represents an overall response rate of 10.05% of all our filers. Over 33.7% of the 2,011 surveys were submitted within two days following the email notification requesting participation in the survey.

The Commission received very positive scores across all service areas and customer groups with 76.6% of the respondents scoring the Commission as either “agree” or “strongly agree”. The customer service element concerning our staff, measuring their level of being helpful, courteous, and knowledgeable, had the highest overall average score of 4.42, on a scale of 1 to 5 with 5 indicating the highest level of satisfaction. Our staff received 85.84% of all respondents rating them as “agree” or “strongly agree”. The complaints, excluding sworn complaints, considering whether customer service complaints are easy to address and are resolved in a timely manner, had the lowest overall average score of 3.73 and 58.3% of the respondents rating this category as “agree” or “strongly agree”. The overall average score for all eight of the customer service elements was 4.14. Many of the surveys also included feedback and suggestions for improvement. The vast majority of this feedback was extremely positive, containing many statements praising the knowledge and helpfulness of the Commission staff.

There were also some suggestions on how we can improve our services. The main focus of these comments concerned Form 1295⁶ and improving the process and efficiency of filing the report. Suggestions included: 1) make the report annual or upon change of information and not with every job; 2) remove the requirement of providing a DOB or address in unsworn declaration or go back to requiring form to be sworn to in front of a notary; 3) submit secure codes via email when resetting passwords versus having to call in to have it reset; 4) allow corrections to Form 1295 rather than having to start all over again; 5) allow making a duplicate copy/ auto-fill of the information versus having to enter it all over again for the same company; 6) modify the system to allow you to change username and email when employee leaves or has a name change and still retain historical access to prior Form 1295s and 7) remove the requirement for original signatures and accept electronic signatures.

The Commission continually retains the on-line survey link on the Commission’s website so that the Commission can receive and review customer feedback throughout the year. It is the Commission’s practice to address any criticism that is within our control.

Customer service is a high priority with the Commission, and every comment and score is considered as the Commission strives for excellence in customer service.

⁶ In 2015, the Legislature passed H.B. 1295, which added Section 2252.908 to the Texas Government Code. The law requires a governmental entity or state agency may not enter into certain contracts with a business entity unless the business entity submits a disclosure of interested parties (Form 1295) to the governmental entity or state agency at the time the business entity submits the signed contract to the governmental entity or state agency.

Performance Measures Standards and Customer Satisfaction

Outcome Measures	FY 2018
Percentage of Surveyed Customer Respondents Expressing Overall Satisfaction with Services Received	76.6%
Percentage of Surveyed Customer Respondents Identifying Ways to Improve Service Delivery	4.38%
Output Measures	
Total Customers Surveyed (total customers responding)	2,011
Total Customers Served	20,007
Efficiency Measures	
Cost per Customer Surveyed - Not applicable 100% sent via e-mail	N/A
Explanatory Measures	
Total Customers Identified	20,007
Total Customer Groups Inventoried	8