

**Legislative Appropriations
Request for Fiscal Years
2022 and 2023**

**Submitted to the
Office of the Governor, Budget Division,
and the Legislative Budget Board**

by

Texas Ethics Commission

September 11, 2020

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ADMINISTRATOR'S STATEMENT
87th Regular Session, Agency Submission, Version 1

TEXAS ETHICS COMMISSION

The mission of the Texas Ethics Commission (TEC) is to promote public confidence in government. The TEC does this by administering and enforcing the state's campaign finance, lobby, and other ethics laws. In fulfilling its mission, the agency prioritizes providing the public with access to information about public officials, candidates for public office, and lobbyists; assisting those required to file information with the agency in understanding their responsibilities under laws administered by the TEC; and fairly and effectively upholding and enforcing the laws under its authority to underscore the importance of those laws. Additionally, the TEC prioritizes the safety of the public and agency employees.

The TEC was created by a constitutional amendment passed by the voters of this state and began operations on January 1, 1992. Under Section 24a, Article III, Texas Constitution, the TEC's governing body is composed of eight Commissioners, four of whom are appointed by the Governor, two by the Lieutenant Governor, and two by the Speaker of the House of Representatives. By law, four members must be selected from the Republican Party and four must be selected from the Democratic Party.¹ The current Commissioners are as follows:

Board Member	Hometown
Chad M. Craycraft, Chair	Dallas
Randall H. Erben	Austin
Chris Flood	Houston
Mary K. "Katie" Kennedy, Vice Chair	Houston
Patrick W. Mizell	Houston
Richard S. Schmidt	Corpus Christi
Joseph O. Slovacek	Houston
Steven D. Wolens	Dallas

¹ Secs. 24a(a)(1)-(4), Article III, Texas Constitution.

To carry out its mission, the TEC works to ensure that the agency: (1) responds to sworn complaints within five working days after filing;² (2) makes reports filed with the TEC available to the public within two working days of receipt;³ and (3) provides responses to advisory opinion requests within 60 days or before the expiration of the extension periods.⁴

The TEC must meet at least once every calendar quarter,⁵ but may meet at other times at the call of the presiding officer. This biennium, the TEC has increased its efficiency by meeting only four times in fiscal year 2019, down from a previous five-year average of seven times per year.⁶

The TEC does not have the authority to conduct background checks.

Exempt positions

The Texas Ethics Commission is not requesting a change in its exempt positions.

Significant changes in policy

The TEC has no significant policy changes to report.

² Section 571.123(b), Texas Government Code.

³ Section 254.0401(a), Texas Election Code.

⁴ Section 571.092(a), Texas Government Code (providing that advisory opinions must be issued within 60 days of a request, and providing that the Commission may by vote provide for two 30-day extensions). For more information on the TEC's compliance with this requirement, please refer to the agency strategic plan, found at https://www.ethics.state.tx.us/data/legislation/strategic/StrategicPlan_2021-2025.pdf at 14-16.

⁵ Section 571.025, Texas Government Code.

⁶ This is the average for fiscal year 2014 through fiscal year 2019. See the agency Legislative Appropriations Request, Fiscal Years 2020 and 2021, https://www.ethics.state.tx.us/data/legislation/reports/LAR_FY20-21_v2.pdf at 2. Per agency accounting records, the average cost for each meeting is \$4,300.

Significant changes in provision of service

The TEC recently made extensive changes to the electronic filing and disclosure database software to address legislative changes and the increase of more than fifty reporting thresholds by TEC rule,⁷ as required by its governing statute.⁸ The funding needed to continue the agency's quality of service will be discussed below.

With the previous biennium's exceptional funding, the TEC was able to replace network switches necessary to keep the TEC filing system and website available to filers and the public, procure a case management system for efficient operation of sworn complaint proceedings, hire a helpline attorney to assist filers, adjust staff salaries to lower the agency turnover rate,⁹ and entirely complete the agency transition to the Comptroller's new Centralized Accounting and Payroll/Personnel System (CAPPS).

Since FY 2016, the state has collected over \$1,200,949.82¹⁰ in penalties for violations of campaign finance, lobby, and personal financial disclosure laws. The TEC is responsible for collecting \$879,962.62 of that revenue. None of these funds is dedicated to the TEC's budget. The payroll of the TEC accounts for 53.4% of the agency's budget.

Significant Externalities

⁷ See 1 T.A.C. §18.31.

⁸ Section 571.064(b), Texas Government Code.

⁹ In FY 2019, the TEC experienced a 31.7% turnover rate due to eight employees leaving the agency to work at other state agencies for higher salaries and through retirement. See An Annual Report on Classified Employee Turnover for Fiscal Year 2019, <http://www.sao.texas.gov/reports/main/20-703.pdf> at 37. In FY 2020, the agency has computed the turnover rate as 21.4%, which includes two retirements.

¹⁰ As of August 31, 2020. Figures computed by agency.

To continue its services to the public and filers,¹¹ the TEC adapted rapidly to the COVID-19 situation, including by adapting procedures and technological solutions to hold the Commission meetings remotely and by assisting and encouraging filers to use the online resources made available by the Commission. The agency cannot predict whether the current crisis is a single, short-term occurrence, but staff will prepare for operating during a pandemic, and to that end, will need to maintain the technology necessary to provide all of its services online.

The TEC is currently a party to lawsuits filed in state court involving challenges to the constitutionality of the laws passed by the Legislature. The litigation is expected to continue into and beyond the 87th Legislative Session.

Budget Request

To continue to efficiently and effectively serve filers and the public, the TEC requests:

1. Funding for the following exceptional items above the approved baseline budget, in order of priority:
 - a. Managed Cloud Services for TEC Electronic Filing System (\$150,000¹² per fiscal year)
The TEC's electronic filing system servers are reaching 6 to 7 years of age and are now considered "legacy." Soon these servers will no longer be eligible to be covered under a hardware support contract. The Commission needs to modernize the legacy hardware to provide a robust electronic filing system for the State of Texas filers. The cost to replace the agency's server hardware is estimated to be \$200,000. Therefore, the agency has elected to migrate the electronic filing system to the Amazon Web Services (AWS) cloud. Moving the filing system to the cloud will adhere to DIR's Strategic Plan for Cloud Services, will provide the flexibility of on-demand CPU and storage capacity, and will enable the filing system to benefit from AWS continual cybersecurity enhancements. The Commission can cover the cost to outsource the initial engineering work of migrating the electronic filing system software to the cloud platform with no additional funding from the state. Due to the complexity of the computing environment and the difficulty to find, hire, and keep software engineering and system administration skills, the agency wishes to have the software vendor

¹¹ The TEC Disclosure Filing Services (DFS) Division receives an average of 29,400 filed reports each year and sends an average of 2,200 notices to late filers each year; the Legal Division investigates and resolves an average of 254 sworn complaints each year resulting in over \$50,000 in annual penalty assessments through the TEC's sworn complaint process.

¹² See Exhibit A for the vendor estimated cost.

that wrote and maintains the filing system to handle the hosting for the electronic filing system, as well as manage and monitor the associated environments.

- b. Increase DFS Division salaries for COH, PFS, and PAC Administrator positions to align with jobs requiring similar skills and new title change (\$20,000 per fiscal year)

Employees of the Disclosure Filings Division (DFS) are critical to the mission of the agency because, in addition to other duties, employees in these positions are responsible for promptly making filed reports¹³ available to the public, fostering compliance by directly assisting filers¹⁴ and by ensuring notices to file are sent as required by law. Currently, the positions of political committee (PAC), candidate and officeholder (COH), and personal financial statement (PFS) administrators start as Administrative Assistants II.¹⁵ TEC seeks to reclassify these positions as Program Specialists¹⁶ to conform the classification more closely to the

¹³ There are approximately 4,510 persons who file campaign finance reports, 1,866 who file lobby reports, and 3,308 who file personal financial statements with the Commission. As of June 2020, there were 3,385 active government users and 27,190 active business users of the agency's HB 1295 electronic filing application. See https://www.ethics.state.tx.us/data/legislation/strategic/StrategicPlan_2021-2025.pdf.

¹⁴ In FY 2019, DFS staff fielded more than 3,200 questions.

¹⁵ In the 2020-2021 biennium, the salary range for an Administrative Assistant II is \$26,332 - \$41,355, and the job is described as "Performs routine (journey-level) administrative support work. Work involves disseminating information, maintaining filing systems, and performing internal administrative support work." See <http://www.hr.sao.texas.gov/Compensation/JobDescriptions/R0152.pdf>.

¹⁶ In the 2020-2021 biennium, the salary range for a Program Specialist I is \$36,976 - \$58,399. Examples of work performed by a Program Specialist I include assisting with the collection, organization, analysis, and/or preparation of materials in response to requests for program information and reports; assisting in providing consultative services and technical assistance for agency programs; assisting with the preparation of administrative reports, studies, and specialized projects. These examples are more similar to the work performed by the Disclosure Filings employees that TEC seeks to reclassify, than the work listed in the Administrative Assistant II job description. The state turnover rate in FY 2019

work performed, to give the employees in the position greater opportunity for advancement after mastery of the work performed, and to attract applicants searching for a career in which specialized knowledge of regulations is required and technical assistance is given to the regulated community.¹⁷ Furthermore, the agency seeks to retain these essential employees, and lower the turnover rate.¹⁸

c. Increase programmer salaries (\$16,097 per fiscal year)

The TEC has two posted programmer positions (posted on 12/20/19 and 5/8/20) that as of 8/31/2020, it has been unable to fill.¹⁹ The salaries are posted at a range of \$55,000 - \$60,000, which is below the state average of \$60,575 for a Programmer II and \$70,522 for a Programmer III,²⁰ and well below the private sector market rate of \$83,877.²¹ These positions are essential to the agency's purpose because they are necessary for the operation of the filing application and the agency's website. Without multiple employees within the agency

for program specialists was 11.4%, compared to 14% for administrative assistants. See An Annual Report on Classified Employee Turnover for Fiscal Year 2019 <http://www.sao.texas.gov/Reports/Main/20-703.pdf>.

¹⁷ Current (August 2020) job postings for a Program Specialist II include in the job description tasks such as “responds to inquiries regarding program regulations, policies and procedures” and “monitors and conducts reviews to determine compliance with requirements with procedures and statutes.” Descriptions found here: <https://www.workintexas.com/vosnet/jobbanks/joblist.aspx>.

¹⁸ In FY 2019, the turnover rate for the TEC Administrative Assistants was 25%. See the agency strategic plan, https://www.ethics.state.tx.us/data/legislation/strategic/StrategicPlan_2021-2025.pdf at 33.

¹⁹ These positions are necessary to meet the demands put on the agency because of changes in procedures responding to the COVID-19 crisis, and were therefore unaffected by the mandate to keep unfilled “any open positions that are not essential to the COVID-19 response” issued 5/20/2020.

²⁰ See Exhibit B.

²¹ This refers to the state median, as reported in a Work In Texas job profile for computer programmers. Login is required to run reports on <https://www.workintexas.com>.

familiar with the agency's needs, the TEC will be unable to maintain and update its technology as needed to comply with law. Furthermore, the TEC anticipates multiple retirements and has already had one experienced programmer retire, for a loss of 10 years of historical knowledge and cumulative total experience. Accordingly, the TEC is requesting to increase the salary range to \$60,575 for the Programmer II and \$70,522 for the Programmer III.

- d. Shortage for Sworn Complaint Case Management Software license subscription renewal (\$5,000²² per fiscal year)

In an effort to further increase efficiency,²³ TEC acquired a case management system to replace its outdated system. Because the system uses a subscription-model for its billing, the TEC spent less at the outset to acquire the system than had been budgeted and was able to return \$55,000 to the state at the end of Fiscal Year 2020, the entire amount that was budgeted for acquiring the software. However, while there was no upfront cost to acquiring the software, the amount needed to maintain the TEC's license on an annual basis is slightly more than had originally been budgeted for ongoing software maintenance. In exchange for the agency's return of \$55,000, the agency seeks funding for that annual shortfall. That money will be used to pay the necessary fees to the vendor hosting the system, which is more necessary than ever in this environment of a global pandemic, where telecommunication among agency staff, complainants, respondents, and others is necessary for the safety of the individuals involved.

- e. Public information request module for case management system (\$30,044 in FY 2022 and \$31,546 in FY 2023)²⁴

²² See Exhibit C.

²³ An example for the efficient operation of the agency is the Enforcement Division's handling of complaints that had carried over from previous years. In fiscal years 2019 and 2020, the Commission received a total of 437 sworn complaints, and resolved 514.

²⁴ See Exhibit C.

When the TEC acquired a case management system, the amount appropriated for the agency did not cover the costs of obtaining a module²⁵ to track public information requests. The agency receives, on average, 106 public information requests and 477 copy order requests per year. Not only is complying with public information requests legally required, it is critical to the agency's mission of promoting public confidence in government. A case management system to track these requests will make complying with the requests for efficient, and will eliminate work being duplicated when multiple requests are received for the same or similar information. Because the same vendor who provides the case management system also provides a public information module for their software product, the TEC can procure this module for a lesser price point than it would typically cost by adding it to its existing case management system. This public information request module is priced on an annual subscription-based license model.

- f. Request removal of restriction of transferring funds into Indirect Administration (Information Resources and Central Administration) from Direct Strategies (no cost)

Agency funding is appropriated primarily for direct strategies. Without administrative and technical computer support, none of the direct strategies could be carried out. Among its other duties, the administrative division is responsible for procurement, commissioner travel to statutorily required meetings, and preparing the agency budget.²⁶ While the agency is small, the five employees in the administrative division must follow the same procurement guidelines, human resources requirements, and budgetary procedures of larger agencies. The computer services division maintains the electronic filing and disclosure database system and providing technical support to filers and to the other divisions within the TEC, without which carrying out the agency's mission is impossible. Therefore, it is necessary to have adequate funding for Indirect Administration, including funding for salaries for experienced and knowledgeable professionals. To the extent that funds are not needed for the direct strategies, allowing the agency to transfer funds can assist the agency in accomplishing its purposes and helping both filers and the public.

²⁵ A module is a software component that contains one or more routines. An enterprise-level software application may contain several different modules, and each module serves unique and separate business operations.

²⁶ See agency strategic plan, https://www.ethics.state.tx.us/data/legislation/strategic/StrategicPlan_2021-2025.pdf at 8.

- g. Request rider change to remove restriction of judgement/settlements paid by Comptroller (no cost)

A budget rider has provided that payment of judgments or settlements, including attorney's fees, resulting from actions brought under Title 42 United States Code §1983 that arise from claims challenging the validity or constitutionality of a state law and prosecuted or defended by the Office of the Attorney General that are obtained against the TEC, or any individual acting in their official capacity on behalf of the TEC, to be paid out by the Comptroller and not from funds appropriated to the TEC. If the TEC loses a case in a state court and judgement/settlement needs to be paid, that amount comes from TEC funds. Since this rider was adopted in the 82nd Legislature, the TEC has had to pay \$20,743.08 for a state judgment/settlement made during FY 2017. The distinction between federal and state courts is not logical, and it is impossible to predict when and how much must be budgeted in each fiscal year for events beyond the agency's control. Therefore, the TEC requests that state court judgements/settlements be added to the rider.

2. Overview of baseline budget

The Texas Ethics Commission's budget request was developed in accordance with the instructions provided by the Legislative Budget Board and the Governor's Budget Office Division. The Commission's approved 2022-2023 baseline budget is \$6,767,678, which represents the TEC's budget for the 2020-2021 biennium, reduced by 5%.

- 3. Included within the \$6,767,678 baseline request for the 2022-23 budget are the following items that are a significant expense to maintaining the agency's operation:

- a. Renew FAM Vendor Support Maintenance (\$447,890 per year)

The cost of vendor services covered by the maintenance contract²⁷ has remained at the rate of FY 2018- 2019 biennium and includes coverage for the Form 1295 certificates. Without the continued funding, the vendor will terminate its level of service to the TEC, causing delays in fixing problems, code defects, or performance

²⁷ Starting in FY 2020-2021, the TEC must pay the vendor \$447,890 per year to maintain the electronic filing and disclosure database system. The current budget structure prevents the agency from transferring funds or FTEs from other divisions into the Computer Services (IT) Division to cover any increases in system maintenance or enhancement costs. See Exhibit D for FY 2019 agency costs.

testing. Some problems will not be fixed, which will negatively affect filers trying to file statutorily required reports by the filing deadline to avoid penalties.

b. Purchase Enhancement hours for 1295 and FAM improvements (\$137,500 per year)

The requested amount covers work by the vendor for enhancements to the electronic filing and disclosure database system in response to legislative changes and requests from filers. This includes any changes to the filing software or changes to campaign finance, lobby, or personal financial disclosure reports or Form 1295 certificates. The cost of vendor services for enhancements is not covered by the maintenance contract. Without the additional funding, changes to forms or the software in response to new laws or amendments to existing laws will not happen.

c. Case Management (Sworn Complaints) maintenance (\$22,000 per year)

During FY 2020, TEC procured a case management system, allowing the agency to begin the process of moving to a paperless environment, saving the TEC and the state money by reducing costs associated with paper, copying, printing, postage, and storage. The system also provides a secure location for electronic storage of confidential data, including sworn complaint files and filers' sensitive financial information; allows managers, attorneys, and legal support staff to reduce the time spent on each casefile, manage and meet deadlines, and speed up the investigation and resolution of enforcement cases; allows automation of preparing correspondence, notices, and orders;²⁸ and provides for prompt and efficient retrieval of data and improves the accuracy of reports requested by Legislators and the LBB during the session and in response to interim charges. The TEC seeks to maintain this efficient case management system by paying the necessary fees to the vendor hosting the system, which is more necessary than ever in this environment of a global pandemic, where telecommunication among agency staff, complainants, respondents, and others is necessary for the safety of the individuals involved. Furthermore, the passage of Senate Bill 548 during the

²⁸ In FY 2019, the TEC received 207 sworn complaints, 84 of which the commission had jurisdiction over. On average, sworn complaints require a minimum of four letters to the complainant, five letters to the respondent, and at least one final order; cases that require a preliminary review hearing will generate additional letters, notices, and orders. With an automated case management system, the time spent drafting and finalizing thousands of letters and orders each year will be reduced, tracked, and better managed for improved efficiencies, allowing staff to focus on other tasks for greater overall productivity.

most recent 86th Legislature now requires the Commission to resolve complaints more quickly than ever. Senate Bill 548, which became effective on September 1, 2019, requires the Commission to propose a resolution to resolve a sworn complaint within 120 days after a response is received, or dismiss the complaint.

d. Maintain legal services costs (\$300,000 per year)

Since August 22, 2014, the Office of the Attorney General (OAG) has declined to represent the TEC in five lawsuits and seven appeals challenging the constitutionality of laws passed by the Legislature. Since then, the TEC has paid \$738,025 out of its own budget for the work of outside counsel in defense of these lawsuits.

Thus far, the Commission has consistently prevailed in every court—trial and appellate—that has considered these lawsuits. However, the continued successful defense of these lawsuits is necessary to ensure that the TEC may continue to enforce the laws that it is statutorily tasked with enforcing in accordance with Chapter 571, Government Code. Of the remaining cases, one is set for trial in July of 2021, and another is currently pending in an intermediate appellate court. However, because of the uncertainties of litigation, the TEC does not control and cannot be exactly certain when these cases will go to trial, or be resolved, and therefore it is necessary to have the resources to ensure payment for necessary legal representation. If the TEC is unable to successfully resolve these cases, its ability to carry out its enforcement duties will be greatly diminished, if not eliminated.

e. Renew hardware maintenance (\$100,000)

Please see explanation below under “f. Renew software licenses/maintenance.”

f. Renew software licenses/maintenance (\$200,000)

The TEC’s computer services division (IT) is responsible for the hardware and software that support the electronic filing and disclosure database system and the web server used by over 20,000 filers to file campaign finance reports, lobby reports, financial disclosure reports, and Form 1295 certificates.²⁹ The TEC network infrastructure relies on maintaining the costs of hardware and software fees and licenses. If these fees are not

²⁹ The TEC receives more than 100,000 electronically filed reports each year.

paid, and the licenses expire, (a) the TEC will have no support from industry vendors; (b) software will not receive updates, including security fixes; and (c) vendors will not cover any repairs to the hardware.

g. Lump sum payments to retiring/ terminating employees (\$80,000)

The TEC is required to pay retiring employees a lump sum for unused annual leave.³⁰ Four of the Commission's current employees are eligible for retirement at the end of Fiscal Year 2020 and an additional five will become eligible within the next five years. Combined, this represents 33.3% of the filled full-time employee workforce,³¹ with many of these employees occupying key positions within the agency and possible payments of over \$80,000 in lump sum entitlements.

5% Reduction

To achieve the \$356,194 reduction required in the 2020-2021 biennium, the TEC eliminated the CAPPs FTE, cut the budget for training symposiums, reduced commissioner travel, reduced consumables and other operating expenses, and returned unexpended outside legal counsel funds. The reductions in budget for training symposiums and commissioner travel were made possibly solely because COVID-19 made travel and gathering in large groups for training impossible. Some of the reduction in consumables was also directly attributable to agency reduction in in-office staff. We were able to return unexpended outside legal counsel funds due to costs driven down by the repeated delays not attributable to the TEC. Other than the lapse of outside legal counsel funds, these reductions did not significantly impact the Commission's fulfillment of its core mission.

³⁰ Section 661.091, Texas Government Code.

³¹ On average, during the past two years, two employees have retired each fiscal year. The commission has staff with a long and dedicated service to the agency and are quickly becoming retirement eligible. These retirements will take historical knowledge and experience that the agency will greatly miss.

From: [Jessie Haug](#)
To: [Anne Peters](#)
Subject: FW: Request for cost estimate to move the TEC filing system to the cloud
Date: Tuesday, September 08, 2020 9:25:50 PM

Here is the sizing note I received from RFD.

From: Tom Lynch [REDACTED]
Sent: Wednesday, August 12, 2020 4:23 PM
To: Jessie Haug <[REDACTED]> Scott Glover <[REDACTED]> Erik Dietz
 [REDACTED]
Subject: RE: Request for cost estimate to move the TEC filing system to the cloud

Jessie:

For RFD to handle hosting for the Ethics E-filing system, as well as managing and monitoring the associated environments, we think you should budget \$150,000-\$200,000 per year. Making the move to a managed cloud environment would let TEC eliminate hardware maintenance costs, as well as Red Hat license and support costs, while reducing demands on your staff. Jasper license costs would remain; we have not yet analyzed whether we can reduce the cost for those licenses going forward. The higher figure could probably also include hosting the agencies website. We would need to understand more about the resources currently dedicated to running the current site before we could narrow down the figures.

Separate from the annual managed service cost, we estimate that the transformation and migration effort to move the E-filing system to the cloud would take between 500 and 750 hours. You could use hours you have already accumulated under the maintenance contract to cover this effort.

Please let me know if you need additional information for your budgeting efforts.

Best regards,
 Tom

Tom Lynch, PMP
 [REDACTED]

From: Jessie Haug [REDACTED]
Sent: Tuesday, August 11, 2020 6:29 PM
To: Scott Glover [REDACTED] Tom Lynch [REDACTED]; Erik Dietz
 [REDACTED]
Subject: Request for cost estimate to move the TEC filing system to the cloud

0242	PROGRAMMER II	B21	582	TEXAS COMMISSION ON ENVIRONMENTAL QUALITY	4,953.44	USPS
0242	PROGRAMMER II	1B21	701	TEXAS EDUCATION AGENCY	4,980.00	SPRS
0242	PROGRAMMER II	1B21	302	OFFICE OF THE ATTORNEY GENERAL	5,000.00	SPRS
0242	PROGRAMMER II	1B21	320	TEXAS WORKFORCE COMMISSION	5,000.00	SPRS
0242	PROGRAMMER II	1B21	608	TEXAS DEPARTMENT OF MOTOR VEHICLES	5,166.66	SPRS
0242	PROGRAMMER II	1B21	608	TEXAS DEPARTMENT OF MOTOR VEHICLES	5,166.66	SPRS
0242	PROGRAMMER II	1B21	608	TEXAS DEPARTMENT OF MOTOR VEHICLES	5,166.66	SPRS
0242	PROGRAMMER II	B21	582	TEXAS COMMISSION ON ENVIRONMENTAL QUALITY	5,201.09	USPS
0242	PROGRAMMER II	B21	356	TEXAS ETHICS COMMISSION	5,275.00	USPS
0242	PROGRAMMER II	1B21	479	OFFICE OF RISK MANAGEMENT	5,300.00	SPRS
0242	PROGRAMMER II	1B21	529	HEALTH AND HUMAN SERVICES COMMISSION	5,301.29	SPRS
0242	PROGRAMMER II	1B21	323	TEACHER RETIREMENT SYSTEM	5,416.67	SPRS
0242	PROGRAMMER II	1B21	529	HEALTH AND HUMAN SERVICES COMMISSION	5,426.85	SPRS
0242	PROGRAMMER II	B21	582	TEXAS COMMISSION ON ENVIRONMENTAL QUALITY	5,478.34	USPS
0242	PROGRAMMER II	1B21	320	TEXAS WORKFORCE COMMISSION	5,500.00	SPRS
0242	PROGRAMMER II	1B21	320	TEXAS WORKFORCE COMMISSION	5,500.00	SPRS
0242	PROGRAMMER II	1B21	332	DEPARTMENT OF HOUSING AND COMMUNITY AFFAIRS	5,700.00	SPRS
0242	PROGRAMMER II	1B21	455	RAILROAD COMMISSION	5,702.90	SPRS
0242	PROGRAMMER II	B21	466	CONSUMER CREDIT COMMISSION	5,733.92	USPS
0242	PROGRAMMER II	1B21	454	TEXAS DEPARTMENT OF INSURANCE	5,750.00	SPRS
0242	PROGRAMMER II	1B21	454	TEXAS DEPARTMENT OF INSURANCE	5,750.00	SPRS
0242	PROGRAMMER II	1B21	529	HEALTH AND HUMAN SERVICES COMMISSION	5,800.00	SPRS
0242	PROGRAMMER II	1B21	529	HEALTH AND HUMAN SERVICES COMMISSION	5,833.33	SPRS
0242	PROGRAMMER II	1B21	302	OFFICE OF THE ATTORNEY GENERAL	5,886.00	SPRS
0242	PROGRAMMER II	1B21	323	TEACHER RETIREMENT SYSTEM	5,965.41	SPRS
0242	PROGRAMMER II	B21	362	TEXAS LOTTERY COMMISSION	6,054.65	USPS
0242	PROGRAMMER II	1B21	529	HEALTH AND HUMAN SERVICES COMMISSION	6,067.48	SPRS
0242	PROGRAMMER II	B21	411	TEXAS COMMISSION ON FIRE PROTECTION	6,250.00	USPS
0242	PROGRAMMER II	1B21	401	TEXAS MILITARY DEPARTMENT	6,500.00	SPRS
0242	PROGRAMMER II	1B21	529	HEALTH AND HUMAN SERVICES COMMISSION	6,500.99	SPRS
0242	PROGRAMMER II	B21	364	HEALTH PROFESSIONS COUNCIL	6,575.00	USPS
Agency average					\$5,047.95	\$60,515.41
0243	PROGRAMMER III	1B23	332	DEPARTMENT OF HOUSING AND COMMUNITY AFFAIRS	7,368.75	SPRS
0243	PROGRAMMER III	1B23	455	RAILROAD COMMISSION	7,387.35	SPRS
0243	PROGRAMMER III	1B23	323	TEACHER RETIREMENT SYSTEM	7,390.25	SPRS
0243	PROGRAMMER III	B23	305	GENERAL LAND OFFICE AND VETERAN'S LAND BOARD	7,416.00	USPS
0243	PROGRAMMER III	1B23	323	TEACHER RETIREMENT SYSTEM	7,490.00	SPRS
0243	PROGRAMMER III	1B23	323	TEACHER RETIREMENT SYSTEM	7,500.00	SPRS
0243	PROGRAMMER III	1B23	529	HEALTH AND HUMAN SERVICES COMMISSION	7,500.00	SPRS
0243	PROGRAMMER III	1B23	529	HEALTH AND HUMAN SERVICES COMMISSION	7,500.00	SPRS
0243	PROGRAMMER III	1B23	323	TEACHER RETIREMENT SYSTEM	7,530.70	SPRS
0243	PROGRAMMER III	1B23	542	PREVENTION AND RESEARCH INSTITUTE OF TEXAS	7,532.75	SPRS
Agency average					\$5,876.79	\$70,521.45

Computer Programmers

Texas

View Full Report

Computer Programmers - Create, modify, and test the code, forms, and script that allow computer applications to run. Work from specifications drawn up by software developers or other individuals. May assist software developers by analyzing user needs and designing software solutions. May develop and write computer programs to store, locate, and retrieve specific documents. [More](#)

Source: This information is based on O*NET data. O*NET is a trademark registered to the U.S. Department of Labor, Employment and Training Administration.



Advised Job Skills

Advised Detailed Job Skill	Job Opening Match Count
Problem solving	864
Developing web based applications	724
Work independently	285
Software development experience	238
Interpersonal skills	220

Source: Online advertised jobs data

Top Employers Posting Jobs

Employer Name	Job Openings
JPMorgan Chase & Co.	28
Robert Half	28
NTT DATA, Inc.	22
Kforce Inc.	24
Charles Schwab & Co, Inc.	22

Source: Online advertised jobs data

Advised Tools and Technology

Advised Detailed Tool or Technology	Job Opening Match Count
Structured query language (SQL)	2,154
JavaScript	1,479
Hypertext markup language (HTML)	960
Python	869
Git	822

Source: Online advertised jobs data

Supply and Demand

0.39
Candidates available per job opening.
1,113 Candidates | 871 Job Openings
Job Source: Online advertised jobs data.
Candidate Source: Individuals with active resumes in the workforce system.

Potential Candidates in Texas by County



Source: Individuals with active resumes in the workforce system

Real-time Wages

\$114,400
Average annual wage posted in job advertised online on September 8, 2020
Source: Online advertised jobs data

Typical Wages

\$84,983
Median Annual Wage
Source: Occupational Employment Statistics (OES) Program

Advised Job Openings in Texas by County



Source: Online advertised jobs data

Skills

Mental Processes
• Modify software programs to improve performance
• Develop diagrams or flow charts of system operation

Computer Programmers

Travis County, TX

View Full Report

Computer Programmers - Create, modify, and test the code, forms, and script that allow computer applications to run. Work from specifications drawn up by software developers or other individuals. May assist software developers by analyzing user needs and designing software solutions. May develop and write computer programs to store, locate, and retrieve specific documents. [More](#)

Source: This information is based on O*NET data. O*NET is a trademark registered to the U.S. Department of Labor, Employment and Training Administration.



*Hatched areas indicate results of an expanded geographic area. Hover cursor over icons for details.

Advised Job Skills

Advised Detailed Job Skill	Job Opening Match Count
Problem solving	232
Developing web based applications	193
Work independently	72
Software development experience	72
Interpersonal skills	66

Source: Online advertised jobs data

Top Employers Posting Jobs

Employer Name	Job Openings
Charles Schwab & Co, Inc.	32
Texas Health and Human Services	32
Oracle Corporation	10
CACI International Inc.	5
Conduent, Inc.	5

Source: Online advertised jobs data

Advised Tools and Technology

Advised Detailed Tool or Technology	Job Opening Match Count
Structured query language (SQL)	669
JavaScript	315
Hypertext markup language (HTML)	204
Git	125
C#	121

Source: Online advertised jobs data

Advised Job Certifications

Advised Certification Group	Job Opening Match Count
Six Sigma Certifications	5
Cisco Associate Certifications	4
American Heart Association (AHA) CPR & First Aid Certifications	3
Salesforce Administrator Certifications	4
NetScout Certifications	1

Source: Online advertised jobs data

Supply and Demand

0.48
Candidates available per job opening.
325 Candidates | 675 Job Openings
Job Source: Online advertised jobs data.
Candidate Source: Individuals with active resumes in the workforce system.

Potential Candidates in Texas by County



Source: Individuals with active resumes in the workforce system

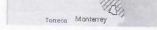
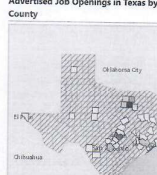
Real-time Wages

\$100,000
Average annual wage posted in job advertised online on September 8, 2020
Source: Online advertised jobs data

Typical Wages

\$83,548
Median Annual Wage
Source: Occupational Employment Statistics (OES) Program

Advised Job Openings in Texas by County



Source: Online advertised jobs data

Skills

Mental Processes
• Modify software programs to improve performance



Texas Ethics Commission

Margaret Sanchez

United States
Phone: (512) 463-5806
Fax:
Email: Margaret.sanchez@ethics.state.tx.us

Pricing Proposal

Quotation #: 19127882
Reference #: **TEC - GovQA (Complaints Only)**
Created On: 7/10/2020
Valid Until: 7/30/2020

Inside Account Manager

Jeremy Freedman

3828 Pecana Trail
Austin, TX 78749
Send POs to Texas@SHI.com
Phone: (800) 870-6079, Option 2
Fax: 512-732-0232
Email: Jeremy_Freedman@SHI.com

All Prices are in US Dollar (USD)

Product	Qty	Retail	Your Price	Total
1 "Hosted Data Storage (GB)Note: Overage Fees Will Apply", Annual Software Subscription Services GovQA - Part#: QA2000 Contract Name: Software/ Services Contract #: DIR-TSO-4317	500	\$0.00	\$0.00	\$0.00
2 Fortress Hosting, Annual Software Subscription Services GovQA - Part#: QA1001 Contract Name: Software/ Services Contract #: DIR-TSO-4317	1	\$4,300.00	\$4,245.61	\$4,245.61
3 Redaction License (per named user), Annual Software Subscription Services GovQA - Part#: QA1002 Contract Name: Software/ Services Contract #: DIR-TSO-4317	12	\$300.00	\$296.21	\$3,554.52
4 "Payments ModuleNote: Using GovQA-Approved Provider", Annual Software Subscription Services GovQA - Part#: QA2002 Contract Name: Software/ Services Contract #: DIR-TSO-4317	1	\$4,000.00	\$3,949.40	\$3,949.40
5 Invoicing Module, Annual Software Subscription Services GovQA - Part#: QA2003 Contract Name: Software/ Services Contract #: DIR-TSO-4317	1	\$3,000.00	\$2,962.05	\$2,962.05
6 Attachment Search, Annual Software Subscription Services GovQA - Part#: QA2007 Contract Name: Software/ Services Contract #: DIR-TSO-4317	1	\$0.00	\$0.00	\$0.00
7 Complaints Module, Annual Software Subscription Services GovQA - Part#: QA1008 Contract Name: Software/ Services Contract #: DIR-TSO-4317	1	\$19,000.00	\$18,759.65	\$18,759.65



Texas Ethics Commission

Margaret Sanchez

United States
Phone: (512) 463-5806
Fax:
Email: Margaret.sanchez@ethics.state.tx.us

Pricing Proposal

Quotation #: 19127883
Reference #: **TEC - GovQA (FOIA Only)**
Created On: 7/10/2020
Valid Until: 7/30/2020

Inside Account Manager

Jeremy Freedman

3828 Pecana Trail
Austin, TX 78749
Send POs to Texas@SHI.com
Phone: (800) 870-6079, Option 2
Fax: 512-732-0232
Email: Jeremy_Freedman@SHI.com

All Prices are in US Dollar (USD)

Product	Qty	Retail	Your Price	Total
1 "Exchange Platform with FOIA Module Note: Includes Unlimited Customer Employee Users and One Request Type Related to Public Records", Annual Software Subscription Services GovQA - Part#: QA1000 Contract Name: Software/ Services Contract #: DIR-TSO-4317	1	\$17,000.00	\$16,784.95	\$16,784.95
2 "Hosted Data Storage (GB)Note: Overage Fees Will Apply", Annual Software Subscription Services GovQA - Part#: QA2000 Contract Name: Software/ Services Contract #: DIR-TSO-4317	500	\$0.00	\$0.00	\$0.00
3 Fortress Hosting, Annual Software Subscription Services GovQA - Part#: QA1001 Contract Name: Software/ Services Contract #: DIR-TSO-4317	1	\$4,300.00	\$4,245.61	\$4,245.61
4 Redaction License (per named user), Annual Software Subscription Services GovQA - Part#: QA1002 Contract Name: Software/ Services Contract #: DIR-TSO-4317	12	\$300.00	\$296.21	\$3,554.52
5 "Payments ModuleNote: Using GovQA-Approved Provider", Annual Software Subscription Services GovQA - Part#: QA2002 Contract Name: Software/ Services Contract #: DIR-TSO-4317	1	\$4,000.00	\$3,949.40	\$3,949.40
6 Invoicing Module, Annual Software Subscription Services GovQA - Part#: QA2003 Contract Name: Software/ Services Contract #: DIR-TSO-4317	1	\$3,000.00	\$2,962.05	\$2,962.05
7 Attachment Search, Annual Software Subscription Services GovQA - Part#: QA2007	1	\$0.00	\$0.00	\$0.00

8 Exchange Platform Customer Onboarding, One-Time Fees GovQA - Part#: QA5000 Contract Name: Software/ Services Contract #: DIR-TSO-4317	1	\$0.00	\$0.00	\$0.00
9 Online Training – Administrator, One-Time Fees GovQA - Part#: QA5001 Contract Name: Software/ Services Contract #: DIR-TSO-4317	1	\$0.00	\$0.00	\$0.00
10 Online Training – Users, One-Time Fees GovQA - Part#: QA5002 Contract Name: Software/ Services Contract #: DIR-TSO-4317	2	\$0.00	\$0.00	\$0.00
Total				\$33,471.23

Additional Comments

Hardware items on this quote may be updated to reflect changes due to industry wide constraints and fluctuations.

Thank you for choosing SHI-GS! The pricing offered on this quote proposal is valid through the expiration date set above. To ensure the best level of service, please provide End User Name, Phone Number, Email Address and applicable Contract Number when submitting a Purchase Order. SHI Government Solutions, Inc. is 100% Minority Owned, Woman Owned Business. TAX ID# 22-3695478; DUNS# 14-724-3096

The products offered under this proposal are resold in accordance with the terms and conditions of the Contract referenced under that applicable line item.

Contract Name: Software/ Services
Contract #: DIR-TSO-4317

8 Exchange Platform Customer Onboarding, One-Time Fees GovQA - Part#: QA5000 Contract Name: Software/ Services Contract #: DIR-TSO-4317	1	\$0.00	\$0.00	\$0.00
9 Online Training – Administrator, One-Time Fees GovQA - Part#: QA5001 Contract Name: Software/ Services Contract #: DIR-TSO-4317	1	\$0.00	\$0.00	\$0.00
10 Online Training – Users, One-Time Fees GovQA - Part#: QA5002 Contract Name: Software/ Services Contract #: DIR-TSO-4317	2	\$0.00	\$0.00	\$0.00
Total				\$31,496.53

Additional Comments

Thank you for choosing SHI-GS! The pricing offered on this quote proposal is valid through the expiration date set above. To ensure the best level of service, please provide End User Name, Phone Number, Email Address and applicable Contract Number when submitting a Purchase Order. SHI Government Solutions, Inc. is 100% Minority Owned, Woman Owned Business. TAX ID# 22-3695478; DUNS# 14-724-3096

Hardware items on this quote may be updated to reflect changes due to industry wide constraints and fluctuations.

The products offered under this proposal are resold in accordance with the terms and conditions of the Contract referenced under that applicable line item.



Texas Ethics Commission
Business Unit # 35600
Purchase Order # 20-036

EXHIBIT D
Page: 1 of 1

Payment **NET3** Freight **FOB** Ship Via: **Vendor** PCC: **S** Date: **11/13/19** PO Method: **SV** Dispatch: **Dispatch** Rev Dt:
Terms: **0** Terms: **Destination** **Discretion**
n
Via Print

PLEASE NOTE: ADDITIONAL TERMS AND CONDITIONS MAY BE LISTED AT THE END OF THE PURCHASE ORDER.

Vendor: RFD & ASSOCIATES INC
401 CAMP CRAFT RD
WEST LAKE HILLS TX 787466507
United States

Ship To: HQ - Headquarters
Texas Ethics Commission
201 E. 14th Street
Sam Houston Bldg - 10th Floor
Austin TX 78701
United States

Bill To: P.O. Box 12070
Austin TX 78711-2070
United States

Vendor ID: 1742736774 7

Purchaser: Margaret Sanchez
Phone: 512/463-5806
Fax:

Bill to Fax:

Email: margaret.sanchez@ethics.state.tx.us

Bill to Email: invoices@ethics.state.tx.us

PO Information:

Ship to Comments:

PO Line Info

Line-Sch	Line Description	Class/Item	Quantity	UOM	Unit Price	Extended Amt	Due Date
----------	------------------	------------	----------	-----	------------	--------------	----------

Line-Sch:	Line Description:	Class/Item:	Quantity:	UOM:	Unit Price:	Extended Amt:	Due Date:
1-1	Maintenance Support Renewal - (2) Year Modification and Maintenance Services Contract for TEC Electronic Filing System including 2500 hours of Modifications, Updates and Changes. Payment for FY2020. (Payment for FY2021 to be made in September 2021.)	920/45	1.0000	EA	\$425,000.00000	\$425,000.00	11/15/2019

Schedule Total \$425,000.00

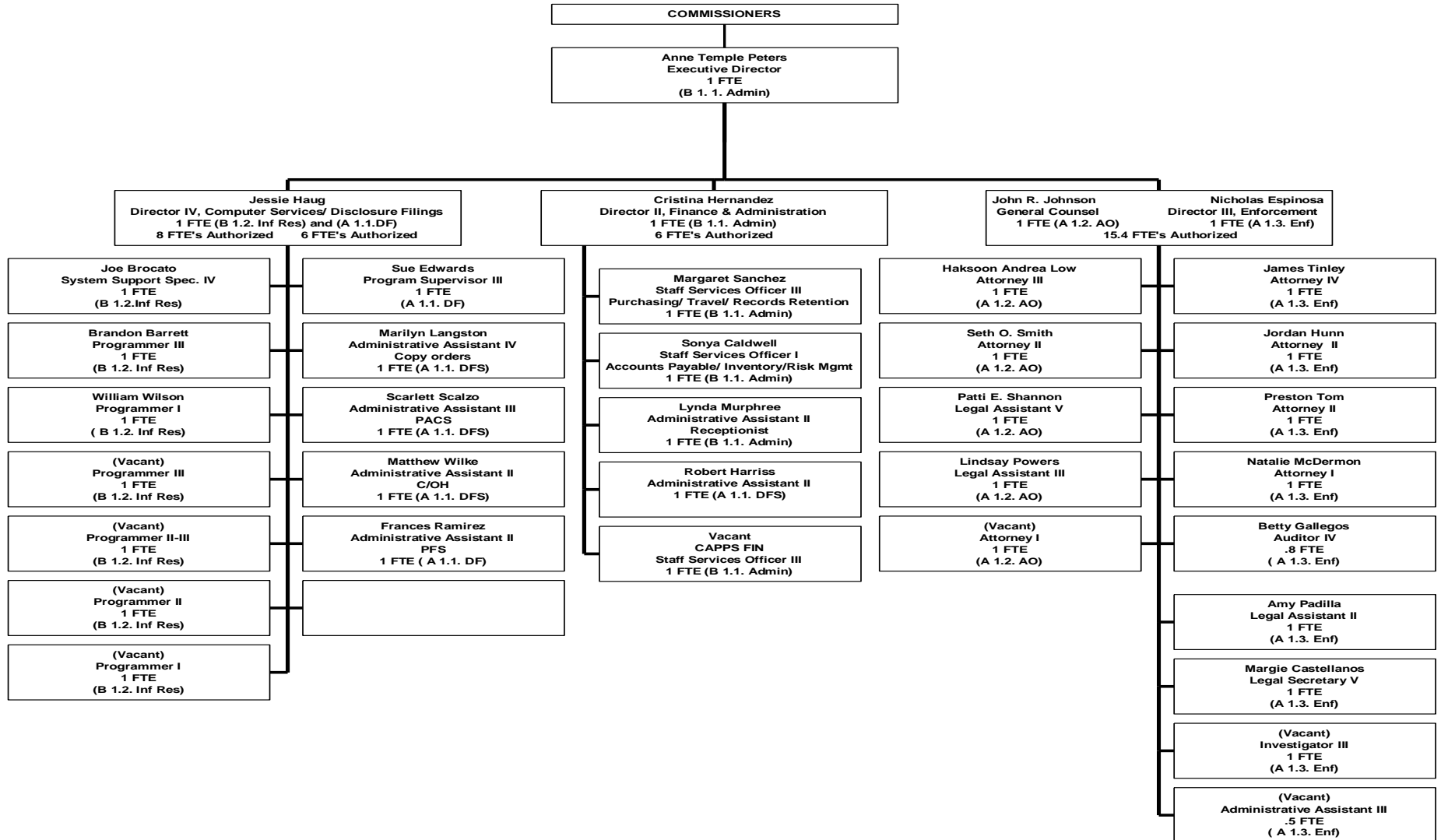
RegID:
0000000033

Item Total for Line # 1 \$425,000.00

Total PO Amount \$425,000.00

All Shipments, Shipping papers, invoices and correspondence must be identified with our Purchase Order Number. Over shipments will not be accepted unless authorized by Purchaser prior to Shipment.

Texas Ethics Commission
As Of 09 01 2020
Total FTEs Authorized: 34.4





CERTIFICATE

Agency Name Texas Ethics Commission

This is to certify that the information contained in the agency Legislative Appropriation Request filed with the Legislative Budget Board (LBB) and the Governor's Office Budget Division (Governor's Office) is accurate to the best of my knowledge and that the electronic submission to the LBB via the Automated Budget and Evaluation System of Texas (ABEST) and the PDF file submitted via the LBB Document Submission application are identical.

Additionally, should it become likely at any time that unexpended balances will accrue for any account, the LBB and the Governor's Office will be notified in writing in accordance with Article IX, Section 7.01 (2020–21 GAA).

Chief Executive Officer or Presiding Judge

/s/ Anne Temple Peters
Signature

Anne Temple Peters
Printed Name

Executive Director
Title

September 11, 2020
Date

Board or Commission Chair

Chad Craycraft
Signature

Chad Craycraft
Printed Name

Chair
Title

September 11, 2020
Date

Chief Financial Officer

Cristina Hernandez
Signature

Cristina Hernandez
Printed Name

Director of Finance and Administration
Title

September 11, 2020
Date

Budget Overview - Biennial Amounts
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

356 Texas Ethics Commission

Appropriation Years: 2022-23

	GENERAL REVENUE FUNDS		GR DEDICATED		FEDERAL FUNDS		OTHER FUNDS		ALL FUNDS		EXCEPTIONAL ITEM FUNDS
	2020-21	2022-23	2020-21	2022-23	2020-21	2022-23	2020-21	2022-23	2020-21	2022-23	2022-23
Goal: 1. Administer Public Disclosure/Ethics Laws											
1.1.1. Disclosure Filing	622,029	681,020					5,509		627,538	681,020	40,000
1.1.2. Legal Guidance And Opinions	863,964	1,019,250							863,964	1,019,250	
1.1.3. Enforcement	1,947,086	1,748,408							1,947,086	1,748,408	
Total, Goal	3,433,079	3,448,678					5,509		3,438,588	3,448,678	40,000
Goal: 2. Indirect Administration											
2.1.1. Central Administration	837,379	844,836							837,379	844,836	
2.1.2. Information Resources	2,587,793	2,474,164							2,587,793	2,474,164	403,784
Total, Goal	3,425,172	3,319,000							3,425,172	3,319,000	403,784
Total, Agency	6,858,251	6,767,678					5,509		6,863,760	6,767,678	443,784
Total FTEs									34.4	34.4	0.0

2.A. Summary of Base Request by Strategy

9/10/2020 11:06:28PM

87th Regular Session, Agency Submission, Version 1

Automated Budget and Evaluation System of Texas (ABEST)

356 Texas Ethics Commission

Goal / Objective / STRATEGY	Exp 2019	Est 2020	Bud 2021	Req 2022	Req 2023
1 Administer Public Disclosure/Ethics Laws					
1 Access Required Reports; Respond to Advisory Reqs & Sworn Complaints					
1 DISCLOSURE FILING	294,854	292,028	335,510	340,510	340,510
2 LEGAL GUIDANCE AND OPINIONS	357,645	431,982	431,982	509,625	509,625
3 ENFORCEMENT	663,088	949,191	997,895	874,204	874,204
TOTAL, GOAL 1	\$1,315,587	\$1,673,201	\$1,765,387	\$1,724,339	\$1,724,339
2 Indirect Administration					
1 Indirect Administration					
1 CENTRAL ADMINISTRATION	390,580	427,361	410,018	422,418	422,418
2 INFORMATION RESOURCES	858,645	1,296,262	1,291,531	1,237,082	1,237,082
TOTAL, GOAL 2	\$1,249,225	\$1,723,623	\$1,701,549	\$1,659,500	\$1,659,500
TOTAL, AGENCY STRATEGY REQUEST	\$2,564,812	\$3,396,824	\$3,466,936	\$3,383,839	\$3,383,839

2.A. Summary of Base Request by Strategy

9/10/2020 11:06:28PM

87th Regular Session, Agency Submission, Version 1

Automated Budget and Evaluation System of Texas (ABEST)

356 Texas Ethics Commission

Goal / Objective / STRATEGY	Exp 2019	Est 2020	Bud 2021	Req 2022	Req 2023
TOTAL, AGENCY RIDER APPROPRIATIONS REQUEST*				\$0	\$0
GRAND TOTAL, AGENCY REQUEST	\$2,564,812	\$3,396,824	\$3,466,936	\$3,383,839	\$3,383,839
<u>METHOD OF FINANCING:</u>					
General Revenue Funds:					
1 General Revenue Fund	2,550,319	3,391,315	3,466,936	3,383,839	3,383,839
SUBTOTAL	\$2,550,319	\$3,391,315	\$3,466,936	\$3,383,839	\$3,383,839
Other Funds:					
666 Appropriated Receipts	14,493	5,509	0	0	0
SUBTOTAL	\$14,493	\$5,509	\$0	\$0	\$0
TOTAL, METHOD OF FINANCING	\$2,564,812	\$3,396,824	\$3,466,936	\$3,383,839	\$3,383,839

*Rider appropriations for the historical years are included in the strategy amounts.

2.B. Summary of Base Request by Method of Finance
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

9/10/2020 11:06:29PM

Agency code: 356		Agency name: Texas Ethics Commission				
METHOD OF FINANCING		Exp 2019	Est 2020	Bud 2021	Req 2022	Req 2023
<u>GENERAL REVENUE</u>						
<u>1</u> General Revenue Fund						
<i>REGULAR APPROPRIATIONS</i>						
Regular Appropriations from MOF Table (2018-2019 GAA)		\$2,975,750	\$0	\$0	\$0	\$0
Regular Appropriations from MOF Table (2020-2021 GAA)		\$0	\$3,656,936	\$3,466,936	\$0	\$0
Regular Appropriations from MOF Table (2022-2023 GAA)		\$0	\$0	\$0	\$3,383,839	\$3,383,839
<i>LAPSED APPROPRIATIONS</i>						
adjusted lapsed appropriations		\$(475,431)	\$0	\$0	\$0	\$0

2.B. Summary of Base Request by Method of Finance

9/10/2020 11:06:29PM

87th Regular Session, Agency Submission, Version 1

Automated Budget and Evaluation System of Texas (ABEST)

Agency code: **356**Agency name: **Texas Ethics Commission**

METHOD OF FINANCING	Exp 2019	Est 2020	Bud 2021	Req 2022	Req 2023
---------------------	----------	----------	----------	----------	----------

GENERAL REVENUE

Comments: All lapsed FY 2019 funds were part of the base budget for agency use including salaries and basic operating needs.

13001= \$93,157.61 (includes partial vacant positions throughout the FY, unexpended other operating expenses and excess funds collected from appropriated receipts in the amount of \$6,302,98);

13002= \$31,321.28 (includes partial unfilled positions throughout the FY as well as other operating expenses);

13003= \$ 216,894.63 (of which \$198,292.12 is unexpended outside legal service fees);

13007= \$103,810.47 (includes partial unfilled positions throughout the FY as well as other operating expenses);

13800= \$26,537.68 (includes partial unfilled positions throughout the FY as well as other operating expenses);

55001= \$0 and

55002= \$ 3,709.47 (partial unfilled CAPPs FIN position)

Regular Appropriations from MOF Table (2020-21 GAA)

\$0

\$(265,621)

\$0

\$0

\$0

2.B. Summary of Base Request by Method of Finance

9/10/2020 11:06:29PM

87th Regular Session, Agency Submission, Version 1

Automated Budget and Evaluation System of Texas (ABEST)

Agency code:	356	Agency name:	Texas Ethics Commission			
METHOD OF FINANCING		Exp 2019	Est 2020	Bud 2021	Req 2022	Req 2023
<u>GENERAL REVENUE</u>						
<p>Comments: Estimated FY 2020 lapses from unexpended base line budget funds in all strategies and unexpended balances from Capital rider appropriations.</p> <p>13001= \$ 48,991 (partially unfilled position throughout FY; unexpended Lump sum appropriation and included collected revenue for copy orders)</p> <p>13002= \$ 0.00;</p> <p>13003= \$48,704 (partially unfilled position throughout FY; and unexpended Lump sum appropriation)</p> <p>13007= \$135,269; (Partially unfilled positions throughout FY; unexpended lump sum appropriation and other operating expenses)</p> <p>13800= \$0</p> <p>56001= \$0</p> <p>56002= \$32,657.14 (Unexpended CAPP HR appropriation)</p> <p>56003=\$0</p> <p>56004= \$0</p> <p>56005= \$0</p> <p>56006 = \$0</p> <p>Total= \$ 265,621</p>						
<i>UNEXPENDED BALANCES AUTHORITY</i>						
TX. Government Code, Ch 403, Sect 403.021 (d) and GAA,85th Leg. Article IX, Section 14.05(2).						
		\$50,000	\$0	\$0	\$0	\$0
<p>Comments: UB Forward unexpended FY 2018 Funds into FY 2019 for cipher lock purchase and installation</p>						
TOTAL,	General Revenue Fund	\$2,550,319	\$3,391,315	\$3,466,936	\$3,383,839	\$3,383,839
TOTAL, ALL	GENERAL REVENUE	\$2,550,319	\$3,391,315	\$3,466,936	\$3,383,839	\$3,383,839

2.B. Summary of Base Request by Method of Finance

9/10/2020 11:06:29PM

87th Regular Session, Agency Submission, Version 1

Automated Budget and Evaluation System of Texas (ABEST)

Agency code: 356		Agency name: Texas Ethics Commission				
METHOD OF FINANCING		Exp 2019	Est 2020	Bud 2021	Req 2022	Req 2023
<u>OTHER FUNDS</u>						
<u>666</u>	Appropriated Receipts					
	<i>REGULAR APPROPRIATIONS</i>					
	Regular Appropriations from MOF Table (2018-2019 GAA)					
		\$8,190	\$0	\$0	\$0	\$0
	Comments: Appropriated funds					
	<i>RIDER APPROPRIATION</i>					
	Art IX, Sec 8.02, Reimbursements and Payments (2018-19 GAA)					
		\$6,303	\$0	\$0	\$0	\$0
	Art IX, Sec 8.02, Reimbursements and Payments (2020-21 GAA)					
		\$0	\$5,509	\$0	\$0	\$0
TOTAL,	Appropriated Receipts	\$14,493	\$5,509	\$0	\$0	\$0
TOTAL, ALL	OTHER FUNDS	\$14,493	\$5,509	\$0	\$0	\$0
GRAND TOTAL		\$2,564,812	\$3,396,824	\$3,466,936	\$3,383,839	\$3,383,839

2.B. Summary of Base Request by Method of Finance

9/10/2020 11:06:29PM

87th Regular Session, Agency Submission, Version 1

Automated Budget and Evaluation System of Texas (ABEST)

Agency code: 356	Agency name: Texas Ethics Commission				
METHOD OF FINANCING	Exp 2019	Est 2020	Bud 2021	Req 2022	Req 2023
FULL-TIME-EQUIVALENT POSITIONS					
REGULAR APPROPRIATIONS					
Regular Appropriations from MOF Table (2018-19 GAA)	33.4	0.0	0.0	0.0	0.0
Regular Appropriations from MOF Table (2020-21 GAA)	0.0	35.4	34.4	0.0	0.0
Regular Appropriations from MOF Table (2022-23 GAA)	0.0	0.0	0.0	34.4	34.4
UNAUTHORIZED NUMBER OVER (BELOW) CAP					
Regular Appropriations from MOF Table (2018-2019 GAA) Comments: Unfilled FTE's	(8.7)	0.0	0.0	0.0	0.0
Regular Appropriations from MOF Table (2020- 2021 GAA) Comments: Estimated Unfilled FTE's	0.0	(5.7)	0.0	0.0	0.0
TOTAL, ADJUSTED FTES	24.7	29.7	34.4	34.4	34.4
NUMBER OF 100% FEDERALLY FUNDED FTEs					

2.C. Summary of Base Request by Object of Expense

9/10/2020 11:06:29PM

87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)**356 Texas Ethics Commission**

OBJECT OF EXPENSE	Exp 2019	Est 2020	Bud 2021	BL 2022	BL 2023
1001 SALARIES AND WAGES	\$1,492,976	\$1,789,005	\$2,023,207	\$1,980,519	\$1,980,519
1002 OTHER PERSONNEL COSTS	\$194,698	\$224,865	\$214,147	\$206,069	\$206,069
2001 PROFESSIONAL FEES AND SERVICES	\$107,075	\$313,674	\$312,840	\$312,010	\$312,010
2003 CONSUMABLE SUPPLIES	\$5,304	\$4,568	\$6,535	\$7,645	\$7,645
2004 UTILITIES	\$1,483	\$4,461	\$1,565	\$1,465	\$1,465
2005 TRAVEL	\$18,250	\$23,725	\$21,780	\$15,000	\$15,000
2006 RENT - BUILDING	\$711	\$993	\$6,980	\$985	\$985
2007 RENT - MACHINE AND OTHER	\$11,428	\$12,703	\$10,609	\$9,447	\$9,447
2009 OTHER OPERATING EXPENSE	\$348,707	\$268,097	\$261,883	\$243,309	\$243,309
5000 CAPITAL EXPENDITURES	\$384,180	\$754,733	\$607,390	\$607,390	\$607,390
OOE Total (Excluding Riders)	\$2,564,812	\$3,396,824	\$3,466,936	\$3,383,839	\$3,383,839
OOE Total (Riders)				\$0	\$0
Grand Total	\$2,564,812	\$3,396,824	\$3,466,936	\$3,383,839	\$3,383,839

2.D. Summary of Base Request Objective Outcomes
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation system of Texas (ABEST)

9/10/2020 11:06:29PM

356 Texas Ethics Commission					
Goal/ Objective / Outcome	Exp 2019	Est 2020	Bud 2021	BL 2022	BL 2023
1 Administer Public Disclosure/Ethics Laws					
1 Access Required Reports; Respond to Advisory Reqs & Sworn Complaints					
1 Percent of Reports Available for Public Inspection within Two Days					
	99.98%	99.97%	99.97%	99.97%	99.97%
2 % of Sworn Complaints Processed within Five Working Days After Filing					
	100.00%	100.00%	100.00%	100.00%	100.00%
KEY 4 Percent of Advisory Opinion Requests Answered					
	90.00%	90.00%	90.00%	90.00%	90.00%

2.E. Summary of Exceptional Items Request
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

DATE: 9/10/2020
TIME : 11:06:30PM

Agency code: 356

Agency name: Texas Ethics Commission

		2022			2023			Biennium	
Priority	Item	GR and GR/GR Dedicated	All Funds	FTEs	GR and GR Dedicated	All Funds	FTEs	GR and GR Dedicated	All Funds
1	Managed Cloud Services	\$150,000	\$150,000	0.0	\$150,000	\$150,000	0.0	\$300,000	\$300,000
2	Increase DFS Division salaries	\$20,000	\$20,000	0.0	\$20,000	\$20,000	0.0	\$40,000	\$40,000
3	Increase programmer salaries	\$16,097	\$16,097	0.0	\$16,097	\$16,097	0.0	\$32,194	\$32,194
4	Case Management Software License	\$5,000	\$5,000	0.0	\$5,000	\$5,000	0.0	\$10,000	\$10,000
5	PIR Module addition to CM	\$30,044	\$30,044	0.0	\$31,546	\$31,546	0.0	\$61,590	\$61,590
Total, Exceptional Items Request		\$221,141	\$221,141	0.0	\$222,643	\$222,643	0.0	\$443,784	\$443,784
Method of Financing									
	General Revenue	\$221,141	\$221,141		\$222,643	\$222,643		\$443,784	\$443,784
	General Revenue - Dedicated								
	Federal Funds								
	Other Funds								
		\$221,141	\$221,141		\$222,643	\$222,643		\$443,784	\$443,784
Full Time Equivalent Positions				0.0				0.0	
Number of 100% Federally Funded FTEs									

2.F. Summary of Total Request by Strategy
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

DATE : 9/10/2020
TIME : 11:06:30PM

Agency code: 356	Agency name: Texas Ethics Commission					
Goal/Objective/STRATEGY	Base	Base	Exceptional	Exceptional	Total Request	Total Request
1 Administer Public Disclosure/Ethics Laws						
1 Access Required Reports; Respond to Advisory Reqs & Sworn Comp						
1 DISCLOSURE FILING	\$340,510	\$340,510	\$20,000	\$20,000	\$360,510	\$360,510
2 LEGAL GUIDANCE AND OPINIONS	509,625	509,625	0	0	509,625	509,625
3 ENFORCEMENT	874,204	874,204	0	0	874,204	874,204
TOTAL, GOAL 1	\$1,724,339	\$1,724,339	\$20,000	\$20,000	\$1,744,339	\$1,744,339
2 Indirect Administration						
1 Indirect Administration						
1 CENTRAL ADMINISTRATION	422,418	422,418	0	0	422,418	422,418
2 INFORMATION RESOURCES	1,237,082	1,237,082	201,141	202,643	1,438,223	1,439,725
TOTAL, GOAL 2	\$1,659,500	\$1,659,500	\$201,141	\$202,643	\$1,860,641	\$1,862,143
TOTAL, AGENCY STRATEGY REQUEST	\$3,383,839	\$3,383,839	\$221,141	\$222,643	\$3,604,980	\$3,606,482
TOTAL, AGENCY RIDER APPROPRIATIONS REQUEST	\$0	\$0	\$0	\$0	\$0	\$0
GRAND TOTAL, AGENCY REQUEST	\$3,383,839	\$3,383,839	\$221,141	\$222,643	\$3,604,980	\$3,606,482

2.F. Summary of Total Request by Strategy
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

DATE : 9/10/2020
TIME : 11:06:30PM

Agency code: 356		Agency name: Texas Ethics Commission					
Goal/Objective/STRATEGY		Base	Base	Exceptional	Exceptional	Total Request	Total Request
General Revenue Funds:							
1	General Revenue Fund	\$3,383,839	\$3,383,839	\$221,141	\$222,643	\$3,604,980	\$3,606,482
		\$3,383,839	\$3,383,839	\$221,141	\$222,643	\$3,604,980	\$3,606,482
Other Funds:							
666	Appropriated Receipts	0	0	0	0	0	0
		\$0	\$0	\$0	\$0	\$0	\$0
TOTAL, METHOD OF FINANCING		\$3,383,839	\$3,383,839	\$221,141	\$222,643	\$3,604,980	\$3,606,482
FULL TIME EQUIVALENT POSITIONS		34.4	34.4	0.0	0.0	34.4	34.4

2.G. Summary of Total Request Objective Outcomes
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation system of Texas (ABEST)

Date : 9/10/2020

Time: 11:06:30PM

Agency code: **356**

Agency name: **Texas Ethics Commission**

Goal/ Objective / Outcome

	BL 2022	BL 2023	Excp 2022	Excp 2023	Total Request 2022	Total Request 2023
1	Administer Public Disclosure/Ethics Laws					
1	Access Required Reports; Respond to Advisory Reqs & Sworn Complaints					
	1 Percent of Reports Available for Public Inspection within Two Days					
	99.97%	99.97%	0.00%	0.00%	99.97%	99.97%
	2 % of Sworn Complaints Processed within Five Working Days After Filing					
	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%
KEY	4 Percent of Advisory Opinion Requests Answered					
	90.00%	90.00%	90.00%	90.00%	90.00%	90.00%

356 Texas Ethics Commission

GOAL: 1 Administer Public Disclosure/Ethics Laws

OBJECTIVE: 1 Access Required Reports; Respond to Advisory Reqs & Sworn Complaints

Service Categories:

STRATEGY: 1 Serve as the Repository for Statutorily Required Information

Service: 02

Income: A.2

Age: B.3

CODE	DESCRIPTION	Exp 2019	Est 2020	Bud 2021	BL 2022	BL 2023
Output Measures:						
KEY 1	Number of Reports Logged within Two Working Days of Receipt	106,218.00	92,485.00	92,485.00	92,485.00	92,485.00
2	Number of Reports Received and Processed	106,238.00	92,510.00	92,510.00	92,510.00	92,510.00
Explanatory/Input Measures:						
1	Number of Inquiries for Information	1,147,315.00	913,918.00	1,147,315.00	913,918.00	1,147,315.00
2	Number of Lobbyists Registered with the Commission	1,919.00	1,561.00	1,919.00	1,561.00	1,919.00
3	# of Public Officials Required to File Reports with the Commission	2,857.00	2,825.00	2,825.00	2,825.00	2,825.00
4	Number of Reports Due Filed Electronically	105,908.00	92,242.00	102,776.00	103,290.00	103,807.00
Objects of Expense:						
1001	SALARIES AND WAGES	\$224,510	\$217,035	\$261,500	\$268,500	\$268,500
1002	OTHER PERSONNEL COSTS	\$20,696	\$27,428	\$36,649	\$34,934	\$34,934
2001	PROFESSIONAL FEES AND SERVICES	\$112	\$247	\$250	\$250	\$250
2003	CONSUMABLE SUPPLIES	\$2,258	\$1,500	\$3,000	\$3,500	\$3,500
2004	UTILITIES	\$104	\$13	\$20	\$20	\$20
2005	TRAVEL	\$0	\$0	\$0	\$0	\$0
2006	RENT - BUILDING	\$330	\$605	\$400	\$600	\$600

356 Texas Ethics Commission

GOAL: 1 Administer Public Disclosure/Ethics Laws

OBJECTIVE: 1 Access Required Reports; Respond to Advisory Reqs & Sworn Complaints

Service Categories:

STRATEGY: 1 Serve as the Repository for Statutorily Required Information

Service: 02

Income: A.2

Age: B.3

CODE	DESCRIPTION	Exp 2019	Est 2020	Bud 2021	BL 2022	BL 2023
2007	RENT - MACHINE AND OTHER	\$5,919	\$7,400	\$5,000	\$6,000	\$6,000
2009	OTHER OPERATING EXPENSE	\$40,925	\$37,800	\$28,691	\$26,706	\$26,706
5000	CAPITAL EXPENDITURES	\$0	\$0	\$0	\$0	\$0
TOTAL, OBJECT OF EXPENSE		\$294,854	\$292,028	\$335,510	\$340,510	\$340,510
Method of Financing:						
1	General Revenue Fund	\$280,361	\$286,519	\$335,510	\$340,510	\$340,510
SUBTOTAL, MOF (GENERAL REVENUE FUNDS)		\$280,361	\$286,519	\$335,510	\$340,510	\$340,510
Method of Financing:						
666	Appropriated Receipts	\$14,493	\$5,509	\$0	\$0	\$0
SUBTOTAL, MOF (OTHER FUNDS)		\$14,493	\$5,509	\$0	\$0	\$0
TOTAL, METHOD OF FINANCE (INCLUDING RIDERS)					\$340,510	\$340,510
TOTAL, METHOD OF FINANCE (EXCLUDING RIDERS)		\$294,854	\$292,028	\$335,510	\$340,510	\$340,510
FULL TIME EQUIVALENT POSITIONS:		5.0	5.7	6.0	6.0	6.0

356 Texas Ethics Commission

GOAL: 1 Administer Public Disclosure/Ethics Laws

OBJECTIVE: 1 Access Required Reports; Respond to Advisory Reqs & Sworn Complaints Service Categories:

STRATEGY: 1 Serve as the Repository for Statutorily Required Information Service: 02 Income: A.2 Age: B.3

CODE	DESCRIPTION	Exp 2019	Est 2020	Bud 2021	BL 2022	BL 2023
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STRATEGY DESCRIPTION AND JUSTIFICATION:

The Disclosure Filing Division (authorized 6 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, certain county judicial officers, and business entities that file disclosure of interested parties (Form 1295). 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 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 2015, state officers and candidates for certain offices are required to file personal financial statements electronically, no exemptions. Since January 2016, Form 1295 reports are required to be filed electronically; appointed officers may file on paper. Campaign finance reports, lobby reports, personal financial statements, and Form 1295 reports make up the majority of the reports filed electronically with the Commission. The other reports filed with the Commission are filed on paper.

EXTERNAL/INTERNAL FACTORS IMPACTING STRATEGY:

The primary consumer of information on file with the Commission, pursuant to the disclosure statutes we administer, is the general public. While the information is available to any person, many in the general public historically rely on the agency website as its means to obtaining the disclosed information.

356 Texas Ethics Commission

GOAL: 1 Administer Public Disclosure/Ethics Laws

OBJECTIVE: 1 Access Required Reports; Respond to Advisory Reqs & Sworn Complaints Service Categories:

STRATEGY: 1 Serve as the Repository for Statutorily Required Information Service: 02 Income: A.2 Age: B.3

CODE	DESCRIPTION	Exp 2019	Est 2020	Bud 2021	BL 2022	BL 2023
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EXPLANATION OF BIENNIAL CHANGE (includes Rider amounts):

<u>STRATEGY BIENNIAL TOTAL - ALL FUNDS</u>		<u>BIENNIAL CHANGE</u>	<u>EXPLANATION OF BIENNIAL CHANGE</u>	
<u>Base Spending (Est 2020 + Bud 2021)</u>	<u>Baseline Request (BL 2022 + BL 2023)</u>		<u>\$ Amount</u>	<u>Explanation(s) of Amount (must specify MOFs and FTEs)</u>
\$627,538	\$681,020	\$53,482	\$29,232	salary adjustments on positions vacated for partial months, now filled.
			\$10,000	adjustments made to other personnel charges associated with one time merits
				consumables increased with revenue from copy orders.
			\$4,250	adjustments made to other operating costs associated with postage
			\$53,482	Total of Explanation of Biennial Change

356 Texas Ethics Commission

GOAL: 1 Administer Public Disclosure/Ethics Laws

OBJECTIVE: 1 Access Required Reports; Respond to Advisory Reqs & Sworn Complaints

Service Categories:

STRATEGY: 2 Respond to Requests for Guidance/Advisory Opinions

Service: 01

Income: A.2

Age: B.3

CODE	DESCRIPTION	Exp 2019	Est 2020	Bud 2021	BL 2022	BL 2023
Output Measures:						
	1 Number of Advisory Opinions Adopted by the Commission	3.00	15.00	15.00	15.00	15.00
Efficiency Measures:						
KEY 1	Average Time (Working Days) to Answer Advisory Opinion Requests	56.00	71.67	120.00	120.00	120.00
Explanatory/Input Measures:						
	1 Number of Information Requests Regarding Commission Administered Laws	8,269.00	8,268.00	8,269.00	5,684.00	8,269.00
	2 Number of Advisory Opinion Requests Received	4.00	6.00	15.00	15.00	15.00
Objects of Expense:						
1001	SALARIES AND WAGES	\$307,340	\$364,934	\$362,128	\$466,818	\$466,818
1002	OTHER PERSONNEL COSTS	\$11,320	\$37,961	\$32,100	\$19,453	\$19,453
2001	PROFESSIONAL FEES AND SERVICES	\$146	\$280	\$0	\$0	\$0
2003	CONSUMABLE SUPPLIES	\$555	\$542	\$545	\$545	\$545
2004	UTILITIES	\$0	\$(13)	\$0	\$0	\$0
2005	TRAVEL	\$56	\$0	\$1,780	\$0	\$0
2006	RENT - BUILDING	\$120	\$120	\$6,320	\$125	\$125
2007	RENT - MACHINE AND OTHER	\$2,686	\$437	\$700	\$700	\$700

356 Texas Ethics Commission

GOAL:	1	Administer Public Disclosure/Ethics Laws	
OBJECTIVE:	1	Access Required Reports; Respond to Advisory Reqs & Sworn Complaints	Service Categories:
STRATEGY:	2	Respond to Requests for Guidance/Advisory Opinions	Service: 01 Income: A.2 Age: B.3

CODE	DESCRIPTION	Exp 2019	Est 2020	Bud 2021	BL 2022	BL 2023
2009	OTHER OPERATING EXPENSE	\$35,422	\$27,721	\$28,409	\$21,984	\$21,984
5000	CAPITAL EXPENDITURES	\$0	\$0	\$0	\$0	\$0
TOTAL, OBJECT OF EXPENSE		\$357,645	\$431,982	\$431,982	\$509,625	\$509,625
Method of Financing:						
1	General Revenue Fund	\$357,645	\$431,982	\$431,982	\$509,625	\$509,625
SUBTOTAL, MOF (GENERAL REVENUE FUNDS)		\$357,645	\$431,982	\$431,982	\$509,625	\$509,625
TOTAL, METHOD OF FINANCE (INCLUDING RIDERS)					\$509,625	\$509,625
TOTAL, METHOD OF FINANCE (EXCLUDING RIDERS)		\$357,645	\$431,982	\$431,982	\$509,625	\$509,625
FULL TIME EQUIVALENT POSITIONS:		4.2	6.4	7.0	7.0	7.0
STRATEGY DESCRIPTION AND JUSTIFICATION:						

356 Texas Ethics Commission

GOAL:	1	Administer Public Disclosure/Ethics Laws	
OBJECTIVE:	1	Access Required Reports; Respond to Advisory Reqs & Sworn Complaints	Service Categories:
STRATEGY:	2	Respond to Requests for Guidance/Advisory Opinions	Service: 01 Income: A.2 Age: B.3

CODE	DESCRIPTION	Exp 2019	Est 2020	Bud 2021	BL 2022	BL 2023
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The Legal Guidance & Opinions division (Authorized 7 FTEs) provides counsel to the Commission on daily operational matters, answers questions from the regulated community and the public about laws under the agency's jurisdiction, and conducts training throughout the state to provide the regulated community guidance about the Commission's laws. The Division also produces different types of educational materials tailored for the different types of persons regulated by the Commission.

This Division also drafts advisory opinions and rules for the Commissioner's consideration. The Commission is authorized to issue advisory opinions relating to laws concerning: political contributions and expenditures, and political advertising; election of the Speaker of the Texas House of Representatives; governor for a day and speaker's reunion day ceremonies; lobbyist registration, reports, and activities; personal financial disclosure of state officers and conduct of state officers and employees; representation before state agencies; judges of statutory county courts or statutory probate courts who elect to file a financial statement with the Commission; conflict of interest in certain transactions involving the Facilities Commission; conflict of interest involving the Office of the Comptroller; bribery and benefits to public servants; and misuse of governmental resources. Also, the Commission is authorized to adopt rules concerning the requirement that a business entity disclose its interested parties at the time the business entity submits certain contracts to a governmental body.

EXTERNAL/INTERNAL FACTORS IMPACTING STRATEGY:

Advisory opinion requests are initiated by individuals subject to the laws administered by the Commission and are resolved by the Commission in open meetings. Accordingly, the Commission has no control over the number of requests received.

356 Texas Ethics Commission

GOAL: 1 Administer Public Disclosure/Ethics Laws

OBJECTIVE: 1 Access Required Reports; Respond to Advisory Reqs & Sworn Complaints Service Categories:

STRATEGY: 2 Respond to Requests for Guidance/Advisory Opinions Service: 01 Income: A.2 Age: B.3

CODE	DESCRIPTION	Exp 2019	Est 2020	Bud 2021	BL 2022	BL 2023
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EXPLANATION OF BIENNIAL CHANGE (includes Rider amounts):

<u>STRATEGY BIENNIAL TOTAL - ALL FUNDS</u>		<u>BIENNIAL CHANGE</u>	<u>EXPLANATION OF BIENNIAL CHANGE</u>	
<u>Base Spending (Est 2020 + Bud 2021)</u>	<u>Baseline Request (BL 2022 + BL 2023)</u>		<u>\$ Amount</u>	<u>Explanation(s) of Amount (must specify MOFs and FTEs)</u>
\$863,964	\$1,019,250	\$155,286	\$206,574	The baseline in FY 2022-23 has increased by \$206,574 over the biennium due to the 60/40% split between strategy A.1.2 (Guidance and Opinions) and A.1.3 (Enforcement) and salary adjustments for legal
			\$(20,800)	The baseline in FY 2022-23 has decreased by \$20,800 over the biennium due to training symposium on hold in A.1.2. (Guidance and Opinions)
			\$(1,780)	the baseline in FY 2022-23 has decreased by \$1,780 over the biennium due to the travel associated with the training symposium.
			\$(28,708)	the baseline in FY 2022-23 has decreased by \$28,708 over the biennium due adjustments to other operating costs in strategy A.1.2. (Guidance and Opinions)
			<u>\$155,286</u>	Total of Explanation of Biennial Change

356 Texas Ethics Commission

GOAL: 1 Administer Public Disclosure/Ethics Laws

OBJECTIVE: 1 Access Required Reports; Respond to Advisory Reqs & Sworn Complaints

Service Categories:

STRATEGY: 3 Respond to Complaints and Enforce Applicable Statutes

Service: 01

Income: A.2

Age: B.3

CODE	DESCRIPTION	Exp 2019	Est 2020	Bud 2021	BL 2022	BL 2023
Output Measures:						
	1 Number of Sworn Complaints Recommended for Resolution	125.00	111.50	111.50	111.50	111.50
	2 # of Sworn Complaints Processed within Five Working Days after Filing	206.00	249.30	249.30	249.30	249.30
KEY 3	Number of Sworn Complaints Processed	205.00	249.30	249.30	249.30	249.30
	4 Number of Late Notices Sent to Filers	2,214.00	2,529.00	2,214.00	2,529.00	2,214.00
	5 % Sworn Complaints W/ Proposed Resolution/dismissal Within 120 Days	95.00 %	100.00 %	100.00 %	100.00 %	100.00 %
Efficiency Measures:						
KEY 1	Average Time (Working Days) to Respond to Sworn Complaints	4.19	4.17	4.17	4.17	4.17
	2 Average Time to Notify Late Filer of Late Report	20.00	19.00	20.00	19.00	20.00
	3 Avg Time to Notify Complainants & Respondents/Commission Determination	4.99	4.57	4.57	4.57	4.57
Explanatory/Input Measures:						
	1 Number of Sworn Complaints Received	207.00	248.70	248.70	248.70	248.70
	2 Percent of Filers Filing Timely Reports	95.00 %	93.00 %	95.00 %	93.00 %	95.00 %
	3 Number of Late Penalties Received	518.00	414.00	518.00	414.00	518.00

356 Texas Ethics Commission

GOAL: 1 Administer Public Disclosure/Ethics Laws

OBJECTIVE: 1 Access Required Reports; Respond to Advisory Reqs & Sworn Complaints

Service Categories:

STRATEGY: 3 Respond to Complaints and Enforce Applicable Statutes

Service: 01

Income: A.2

Age: B.3

CODE	DESCRIPTION	Exp 2019	Est 2020	Bud 2021	BL 2022	BL 2023
	4 Percent of Sworn Complaints Resolved within 180 Days	83.88 %	76.19 %	76.19 %	76.19 %	76.19 %
	5 % Complaints Dismissed B/c Resolution Not Proposed Within 120 Days	0.00 %	0.00 %	0.00 %	0.00 %	0.00 %
Objects of Expense:						
1001	SALARIES AND WAGES	\$408,084	\$509,895	\$552,677	\$442,492	\$442,492
1002	OTHER PERSONNEL COSTS	\$97,557	\$74,256	\$89,758	\$89,082	\$89,082
2001	PROFESSIONAL FEES AND SERVICES	\$101,805	\$300,514	\$300,560	\$300,560	\$300,560
2003	CONSUMABLE SUPPLIES	\$1,448	\$1,551	\$1,290	\$1,400	\$1,400
2004	UTILITIES	\$915	\$3,992	\$1,101	\$1,001	\$1,001
2005	TRAVEL	\$18,194	\$23,725	\$20,000	\$15,000	\$15,000
2006	RENT - BUILDING	\$0	\$0	\$0	\$0	\$0
2007	RENT - MACHINE AND OTHER	\$2,066	\$4,391	\$4,162	\$2,000	\$2,000
2009	OTHER OPERATING EXPENSE	\$33,019	\$30,867	\$28,347	\$22,669	\$22,669
5000	CAPITAL EXPENDITURES	\$0	\$0	\$0	\$0	\$0
TOTAL, OBJECT OF EXPENSE		\$663,088	\$949,191	\$997,895	\$874,204	\$874,204
Method of Financing:						
1	General Revenue Fund	\$663,088	\$949,191	\$997,895	\$874,204	\$874,204

356 Texas Ethics Commission

GOAL:	1	Administer Public Disclosure/Ethics Laws	
OBJECTIVE:	1	Access Required Reports; Respond to Advisory Reqs & Sworn Complaints	Service Categories:
STRATEGY:	3	Respond to Complaints and Enforce Applicable Statutes	Service: 01 Income: A.2 Age: B.3

CODE	DESCRIPTION	Exp 2019	Est 2020	Bud 2021	BL 2022	BL 2023
SUBTOTAL, MOF (GENERAL REVENUE FUNDS)		\$663,088	\$949,191	\$997,895	\$874,204	\$874,204
TOTAL, METHOD OF FINANCE (INCLUDING RIDERS)					\$874,204	\$874,204
TOTAL, METHOD OF FINANCE (EXCLUDING RIDERS)		\$663,088	\$949,191	\$997,895	\$874,204	\$874,204
FULL TIME EQUIVALENT POSITIONS:		6.0	6.3	8.4	8.4	8.4

STRATEGY DESCRIPTION AND JUSTIFICATION:

The Enforcement division (Authorized 8.4 FTEs) is authorized to enforce the following laws concerning: political contributions and expenditures, and political advertising; the election of the Speaker of the Texas House of Representatives; governor for a day and speaker's reunion day ceremonies; lobbyist registration, reports, and activities; personal financial disclosure of state officers and conduct of state officers and employees; representation before state agencies; judges of statutory county courts or statutory probate courts who elect to file a financial statement with the Commission; conflict of interest in certain transactions involving the Facilities Commission; and conflict of interest involving the Office of the Comptroller. The Commission's enforcement jurisdiction of the campaign finance law 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, city, or school districts. The Commission is authorized to undertake civil enforcement actions on its own motion or in response to a sworn complaint, hold enforcement hearings, issue orders, impose civil penalties, refer matters for criminal prosecution, and deny, suspend, or revoke a lobby registration for specified reasons. The Enforcement Division investigates complaints from the public as well as complaints initiated by the Commission.

EXTERNAL/INTERNAL FACTORS IMPACTING STRATEGY:

356 Texas Ethics Commission

GOAL: 1 Administer Public Disclosure/Ethics Laws

OBJECTIVE: 1 Access Required Reports; Respond to Advisory Reqs & Sworn Complaints

Service Categories:

STRATEGY: 3 Respond to Complaints and Enforce Applicable Statutes

Service: 01

Income: A.2

Age: B.3

CODE	DESCRIPTION	Exp 2019	Est 2020	Bud 2021	BL 2022	BL 2023
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Any person may file a sworn complaint. The Commission has no control over the number of sworn complaints it receives or the violations alleged in those complaints. Once a sworn complaint has been filed, the respondent named in the complaint is entitled to two separate hearings, the last one may be before the Commission or an administrative law judge. The time needed to reach a final resolution is largely outside the control of the Commission.

Federal law has little direct influence on agency functions because federal laws apply to different persons than those regulated by the Commission. However, federal court rulings, such as the U. S. Supreme Court decision in Citizens United v. Federal Election Commission, may have an effect on the laws administered and enforced by the Commission. Similarly, federal lawsuits challenging the constitutionality of the laws enforced by the Commission may have an effect on the laws administered and enforced by the Commission.

356 Texas Ethics Commission

GOAL: 1 Administer Public Disclosure/Ethics Laws

OBJECTIVE: 1 Access Required Reports; Respond to Advisory Reqs & Sworn Complaints Service Categories:

STRATEGY: 3 Respond to Complaints and Enforce Applicable Statutes Service: 01 Income: A.2 Age: B.3

CODE	DESCRIPTION	Exp 2019	Est 2020	Bud 2021	BL 2022	BL 2023
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EXPLANATION OF BIENNIAL CHANGE (includes Rider amounts):

<u>STRATEGY BIENNIAL TOTAL - ALL FUNDS</u>		<u>BIENNIAL CHANGE</u>	<u>EXPLANATION OF BIENNIAL CHANGE</u>	
<u>Base Spending (Est 2020 + Bud 2021)</u>	<u>Baseline Request (BL 2022 + BL 2023)</u>		<u>\$ Amount</u>	<u>Explanation(s) of Amount (must specify MOFs and FTEs)</u>
\$1,947,086	\$1,748,408	\$ (198,678)	\$ (177,588)	the baseline in FY 2022-23 has decreased by \$177,588 over the biennium due to the 60/40% salary split between strategies A.1.2 (Guidance and Opinions) and A.1.3. (Enforcement)
			\$ (10,000)	the baseline in FY 2022-23 has decreased by \$10,000 over the biennium due to the travel associated with the commission meetings in strategy A.1.3 (Enforcement)
			\$ (11,090)	the baseline in FY 2022-23 has decreased by \$11,090 over the biennium due to other operating expenses in strategy A.1.3 (Enforcement)
			<u>\$ (198,678)</u>	Total of Explanation of Biennial Change

356 Texas Ethics Commission

GOAL: 2 Indirect Administration
OBJECTIVE: 1 Indirect Administration
STRATEGY: 1 Central Administration

Service Categories:

Service: 09 Income: A.2 Age: B.3

CODE	DESCRIPTION	Exp 2019	Est 2020	Bud 2021	BL 2022	BL 2023
Objects of Expense:						
1001	SALARIES AND WAGES	\$282,537	\$361,219	\$361,214	\$364,709	\$364,709
1002	OTHER PERSONNEL COSTS	\$27,145	\$33,394	\$32,600	\$40,600	\$40,600
2001	PROFESSIONAL FEES AND SERVICES	\$2,827	\$3,353	\$4,240	\$4,740	\$4,740
2003	CONSUMABLE SUPPLIES	\$811	\$745	\$1,500	\$2,000	\$2,000
2004	UTILITIES	\$8	\$13	\$14	\$14	\$14
2005	TRAVEL	\$0	\$0	\$0	\$0	\$0
2006	RENT - BUILDING	\$0	\$0	\$0	\$0	\$0
2007	RENT - MACHINE AND OTHER	\$606	\$350	\$622	\$622	\$622
2009	OTHER OPERATING EXPENSE	\$40,356	\$10,944	\$9,828	\$9,733	\$9,733
5000	CAPITAL EXPENDITURES	\$36,290	\$17,343	\$0	\$0	\$0
TOTAL, OBJECT OF EXPENSE		\$390,580	\$427,361	\$410,018	\$422,418	\$422,418
Method of Financing:						
1	General Revenue Fund	\$390,580	\$427,361	\$410,018	\$422,418	\$422,418
SUBTOTAL, MOF (GENERAL REVENUE FUNDS)		\$390,580	\$427,361	\$410,018	\$422,418	\$422,418

Rider Appropriations:

356 Texas Ethics Commission

GOAL: 2 Indirect Administration
OBJECTIVE: 1 Indirect Administration
STRATEGY: 1 Central Administration

Service Categories:

Service: 09 Income: A.2 Age: B.3

CODE	DESCRIPTION	Exp 2019	Est 2020	Bud 2021	BL 2022	BL 2023
1	General Revenue Fund					
2	2 Capital Budget (b)CAPPS				\$0	\$0
5	1 Appropriation for Retirement Payments				\$0	\$0
TOTAL, RIDER & UNEXPENDED BALANCES APPROP					\$0	\$0
TOTAL, METHOD OF FINANCE (INCLUDING RIDERS)					\$422,418	\$422,418
TOTAL, METHOD OF FINANCE (EXCLUDING RIDERS)		\$390,580	\$427,361	\$410,018	\$422,418	\$422,418
FULL TIME EQUIVALENT POSITIONS:		4.0	5.1	5.0	5.0	5.0

STRATEGY DESCRIPTION AND JUSTIFICATION:

The Central Administration division (Authorized 5 FTEs) is included in the Indirect Administration. The strategy functions include: the executive director and the business functions of the agency. The strategy includes the primary support functions for the agency with respect to accounting and budgeting, purchasing, travel, payroll, human resources, record retention, front desk reception and telephone call routing, building and equipment maintenance, risk and safety management, mail services, and inventory control.

EXTERNAL/INTERNAL FACTORS IMPACTING STRATEGY:

356 Texas Ethics Commission

GOAL: 2 Indirect Administration
OBJECTIVE: 1 Indirect Administration
STRATEGY: 1 Central Administration

Service Categories:

Service: 09 Income: A.2 Age: B.3

CODE	DESCRIPTION	Exp 2019	Est 2020	Bud 2021	BL 2022	BL 2023
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The Commission was also selected to begin implementation to the new Centralized Accounting and Payroll/Personnel System (CAPPS) system starting September 1, 2018. The Commission's small Administrative Division will be greatly impacted and does not have the resources needed to coordinate the implementation with the Comptroller of Public Accounts to make the transition.

EXPLANATION OF BIENNIAL CHANGE (includes Rider amounts):

<u>STRATEGY BIENNIAL TOTAL - ALL FUNDS</u>		<u>BIENNIAL CHANGE</u>	<u>EXPLANATION OF BIENNIAL CHANGE</u>	
<u>Base Spending (Est 2020 + Bud 2021)</u>	<u>Baseline Request (BL 2022 + BL 2023)</u>		<u>\$ Amount</u>	<u>Explanation(s) of Amount (must specify MOFs and FTEs)</u>
\$837,379	\$844,836	\$7,457	\$7,457	Baseline increased by \$7,457 over the biennium due to transfer from strategy B.1.2 into B.1.1 to cover the Executive Director's salary shortage approved in the 86th Legislature but not appropriated.
			<u>\$7,457</u>	Total of Explanation of Biennial Change

356 Texas Ethics Commission

GOAL: 2 Indirect Administration
OBJECTIVE: 1 Indirect Administration
STRATEGY: 2 Information Resources

Service Categories:

Service: 09 Income: A.2 Age: B.3

CODE	DESCRIPTION	Exp 2019	Est 2020	Bud 2021	BL 2022	BL 2023
Objects of Expense:						
1001	SALARIES AND WAGES	\$270,505	\$335,922	\$485,688	\$438,000	\$438,000
1002	OTHER PERSONNEL COSTS	\$37,980	\$51,826	\$23,040	\$22,000	\$22,000
2001	PROFESSIONAL FEES AND SERVICES	\$2,185	\$9,280	\$7,790	\$6,460	\$6,460
2003	CONSUMABLE SUPPLIES	\$232	\$230	\$200	\$200	\$200
2004	UTILITIES	\$456	\$456	\$430	\$430	\$430
2005	TRAVEL	\$0	\$0	\$0	\$0	\$0
2006	RENT - BUILDING	\$261	\$268	\$260	\$260	\$260
2007	RENT - MACHINE AND OTHER	\$151	\$125	\$125	\$125	\$125
2009	OTHER OPERATING EXPENSE	\$198,985	\$160,765	\$166,608	\$162,217	\$162,217
5000	CAPITAL EXPENDITURES	\$347,890	\$737,390	\$607,390	\$607,390	\$607,390
TOTAL, OBJECT OF EXPENSE		\$858,645	\$1,296,262	\$1,291,531	\$1,237,082	\$1,237,082
Method of Financing:						
1	General Revenue Fund	\$858,645	\$1,296,262	\$1,291,531	\$1,237,082	\$1,237,082
SUBTOTAL, MOF (GENERAL REVENUE FUNDS)		\$858,645	\$1,296,262	\$1,291,531	\$1,237,082	\$1,237,082

Rider Appropriations:

356 Texas Ethics Commission

GOAL: 2 Indirect Administration

OBJECTIVE: 1 Indirect Administration

STRATEGY: 2 Information Resources

Service Categories:

Service: 09

Income: A.2

Age: B.3

CODE	DESCRIPTION	Exp 2019	Est 2020	Bud 2021	BL 2022	BL 2023
1	General Revenue Fund					
2 1	Capital Budget (a) (1-5) Acquisit of Info. Resources Technologies				\$0	\$0
4 1	Disclosure of Registration under Foreign Agents Registration Act.				\$0	\$0
TOTAL, RIDER & UNEXPENDED BALANCES APPROP					\$0	\$0
TOTAL, METHOD OF FINANCE (INCLUDING RIDERS)					\$1,237,082	\$1,237,082
TOTAL, METHOD OF FINANCE (EXCLUDING RIDERS)		\$858,645	\$1,296,262	\$1,291,531	\$1,237,082	\$1,237,082
FULL TIME EQUIVALENT POSITIONS:		5.5	6.2	8.0	8.0	8.0
STRATEGY DESCRIPTION AND JUSTIFICATION:						

356 Texas Ethics Commission

GOAL: 2 Indirect Administration
OBJECTIVE: 1 Indirect Administration
STRATEGY: 2 Information Resources

Service Categories:

Service: 09 Income: A.2 Age: B.3

CODE	DESCRIPTION	Exp 2019	Est 2020	Bud 2021	BL 2022	BL 2023
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Computer Services (Auth. 8 FTEs) maintains the agency's technology infrastructure, electronic filing system, database, & agency website. Provides technical support to filers required to file reports electronically with the agency, prepares reports in response to open records requests for data from electronically filed reports, and assists staff with computer applications.

The agency received \$347,890 in capital budget for the FY 2018-19 biennium to maintain vendor support of the electronic filing system, released in 2015, for campaign finance reports, lobby reports, and personal financial statements. The agency introduced 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, thus negatively impacted the agency's ability to design & build its new electronic filing system. Currently, there are 2,485 government users and 29,195 business users of the agency's HB 1295 electronic filing application; this number grows daily. The agency estimates 86,051 Form 1295 acknowledged certificates will be filed yearly. Additional programming would be required by the vendor to modify the filing system software framework for the additional server & storage devices for Form 1295 filings.

EXTERNAL/INTERNAL FACTORS IMPACTING STRATEGY:

To best serve all population demographics, the Commission is continually updating and increasing the types of information available through the Internet. The Commission is also continually working to provide the public with more data. The Commission has raw data downloads available on its website. In addition to searching for individual campaign finance reports and lobby activities reports, the public and press can access and download a Campaign Finance Report Database and a Lobby Activities Report Database.

In an effort to reduce postage costs, the Commission has converted to e-mails from paper-mailed notices as the method by which to notify filers of reporting deadlines. E-mail notices to file are currently available for most reports.

356 Texas Ethics Commission

GOAL: 2 Indirect Administration
OBJECTIVE: 1 Indirect Administration
STRATEGY: 2 Information Resources

Service Categories:

Service: 09 Income: A.2 Age: B.3

CODE	DESCRIPTION	Exp 2019	Est 2020	Bud 2021	BL 2022	BL 2023
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EXPLANATION OF BIENNIAL CHANGE (includes Rider amounts):

<u>STRATEGY BIENNIAL TOTAL - ALL FUNDS</u>		<u>BIENNIAL CHANGE</u>	<u>EXPLANATION OF BIENNIAL CHANGE</u>	
<u>Base Spending (Est 2020 + Bud 2021)</u>	<u>Baseline Request (BL 2022 + BL 2023)</u>		<u>\$ Amount</u>	<u>Explanation(s) of Amount (must specify MOFs and FTEs)</u>
\$2,587,793	\$2,474,164	\$(113,629)	\$(54,390)	Baseline decreased by \$54390 over the biennium due to transfer from strategy B.1.2 into B.1.1 to cover the ED salary shortage approved in the 86th Legislature but not appropriated and other shortfall.
			\$(59,239)	Baseline decreased by \$59,239 over the biennium due to other operating cost in strategy B.1.2 including SW/HW maintenance.
			<u>\$(113,629)</u>	Total of Explanation of Biennial Change

SUMMARY TOTALS:

OBJECTS OF EXPENSE:	\$2,564,812	\$3,396,824	\$3,466,936	\$3,383,839	\$3,383,839
METHODS OF FINANCE (INCLUDING RIDERS):				\$3,383,839	\$3,383,839
METHODS OF FINANCE (EXCLUDING RIDERS):	\$2,564,812	\$3,396,824	\$3,466,936	\$3,383,839	\$3,383,839
FULL TIME EQUIVALENT POSITIONS:	24.7	29.7	34.4	34.4	34.4

3.A.1. PROGRAM-LEVEL REQUEST SCHEDULE

87th Regular Session, Agency Submission, Version 1

[illegible]

Program Prioritization: Indicate the methodology or approach taken by the agency, court, or institution to determine the ranking of each program by priority.	

3.B. Rider Revisions and Additions Request

Agency Code: 356		Agency Name: Texas Ethics Commission	Prepared By: Cristina Hernandez	Date: 9/04/2020	Request Level: Baseline
Current Rider Number	Page Number in 2016–17 GAA	Proposed Rider Language			
1	I-39	<p>Performance Measure Targets. The following is a listing of the key performance target levels for the Texas Ethics Commission. It is the intent of the Legislature that appropriations made by this Act be utilized in the most efficient and effective manner possible to achieve the intended mission of the Texas Ethics Commission. In order to achieve the objectives and service standards established by this Act, the Texas Ethics Commission shall make every effort to attain the following designated key performance target levels associated with each item of appropriation.</p>			
			<u>2020 2022</u>	<u>2021 2023</u>	
		A. Goal: ADMINISTER ETHICS LAWS			
		Outcome (Results/Impact):			
		Percent of Advisory Opinion Requests Answered by Commission within 60 Working Days of Receipt	90%	90%	
		A.1.1. Strategy: DISCLOSURE FILING			
		Output (Volume): Number of Reports Logged within Two Working Days of Receipt	110,000	125,000	
	I-40	A.1.2. Strategy: LEGAL GUIDANCE AND OPINIONS			
		Efficiencies:			
		Average Time (Working Days) to Answer Advisory Opinion Requests	60	60	
		A.1.3. Strategy: ENFORCEMENT			
		Output (Volume):			
		Number of Sworn Complaints Processed	311	311	
		Efficiencies:			
		Average Time (Working Days) to Respond to Sworn Complaints	5.00	5.00	
2	I-40	<p>Capital Budget. None of the funds appropriated above may be expended for capital budget items except as listed below. The amounts shown below shall be expended only for the purposes shown and are not available for expenditure for other purposes.</p>			

3.B. Rider Revisions and Additions Request (continued)

		<u>2020 2022</u>	<u>2021 2023</u>
I-40	a. Acquisition of Information Resource Technologies		
	(1) Vendor Support for Electronic Filing & Disclosure Database System	\$447,890	\$447,890
	(2) Enhancements to Electronic Filing System	\$137,500	\$137,500
	(3) Network Switches	\$75,000	\$0
	(4) Case Management Software	\$55,000	\$0
	(5) (4) Case Management Maintenance Software License Subscription Renewal	\$22,000 23,005	\$22,000 24,156
	(5) <u>Managed Cloud Services for TEC Electronic Filing System (EFS)</u>	\$150,000	\$150,000
	(6) <u>Public Information Records Module addition to Case management software license subscription</u>	<u>\$30,044</u>	<u>\$31, 546</u>
	Total, Acquisition of Information Resources Technologies	\$737,390 \$788,439	\$607,390 \$791,092
	b. Centralized Accounting and Payroll/		
	Personnel System (CAPPS)		
	(1) CAPPS Implementation	\$50,000	\$0
	Total, Capital Budget	\$787,390 \$788,439	\$607,390 \$791,092
	Method of Financing (Capital Budget):		
	General Revenue Fund	\$787,390 \$788,439	\$607,390 \$791,092
	Total, Method of Financing	\$787,390 \$788,439	\$607,390 \$791,092

3

I-40

Judgments and Settlements. Notwithstanding Article IX, Section 16.04, Judgments and Settlements, of this Act, payment of judgments or settlements, including attorney's fees, resulting from actions ~~brought under Title 42 United States Code § 1983~~ that arise from claims challenging the validity or constitutionality of a state law and prosecuted or defended by the Office of the Attorney General that are obtained against the Texas Ethics Commission, or any individual(s) acting in their official capacity on behalf of the Texas Ethics Commission, shall be paid out by the Comptroller and not from funds appropriated herein to the Texas Ethics Commission.

3.B. Rider Revisions and Additions Request (continued)

4	I-40	Disclosure of Registration under Foreign Agents Registration Act. Included in the amounts appropriated above in Strategy B.1.2, Information Resources, is \$10,000 from the General Revenue Fund in fiscal year 2020 to be used by the Texas Ethics Commission to modify the lobby registration form and electronic filing application to require disclosure of lobby registrants who have also filed an active registration statement under the Foreign Agents Registration Act of 1938, as amended (22 U.S.C. §611 et seq.).
5	I-40	Appropriation for Retirement Payments. Included in amounts appropriated above as General Revenue to the Texas Ethics Commission for the 2020-21 biennium, in Strategy A.1.1, Disclosure Filing, is \$10,000 in each fiscal year; in <u>Strategy A.1.2, Legal Guidance and Opinion, is \$2,700 in each fiscal year,</u> in Strategy A.1.3, Enforcement, is \$38,600 \$25,000 in each fiscal year; in Strategy B.1.1, Central Administration, is \$13,400 \$35,000 in each fiscal year; and in Strategy B.1.2, Information Resources, is \$18,000 \$7,300 in each fiscal year for payment of unused annual leave to retiring agency employees. Any part of the appropriation made for retirement payouts due at the time of agency employees' retirement that are not necessary for that purpose shall be lapsed by the agency at the end of the biennium.
701	I	<u>Transfer Authority.</u> <u>Notwithstanding limitations on appropriation transfers contained in the General Provisions of this Act, the Texas Ethics Commission is authorized to direct agency resources and transfer such amounts appropriated above between appropriation line items, including between Direct and Indirect Administration strategies with no limitations.</u>

3.C. Rider Appropriations and Unexpended Balances Request
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

DATE: 9/10/2020
TIME: 11:06:31PM

Agency Code: 356 Texas Ethics Commission

RIDER	STRATEGY	Exp 2019	Est 2020	Bud 2021	BL 2022	BL 2023
2 1 Capital Budget						
	2-1-2 INFORMATION RESOURCES	\$347,890	\$737,390	\$607,390	\$0	\$0
OBJECT OF EXPENSE:						
	5000 CAPITAL EXPENDITURES	\$347,890	\$737,390	\$607,390	\$0	\$0
Total, Object of Expense		\$347,890	\$737,390	\$607,390	\$0	\$0
METHOD OF FINANCING:						
	1 General Revenue Fund	\$347,890	\$737,390	\$607,390	\$0	\$0
Total, Method of Financing		\$347,890	\$737,390	\$607,390	\$0	\$0

Description/Justification for continuation of existing riders or proposed new rider

Update Rider

3.C. Rider Appropriations and Unexpended Balances Request
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

DATE: 9/10/2020
TIME: 11:06:31PM

Agency Code: 356 Texas Ethics Commission

RIDER	STRATEGY	Exp 2019	Est 2020	Bud 2021	BL 2022	BL 2023
2 2 Capital Budget						
2-1-1 CENTRAL ADMINISTRATION		\$36,291	\$11,562	\$0	\$0	\$0
OBJECT OF EXPENSE:						
5000 CAPITAL EXPENDITURES		\$36,291	\$11,562	\$0	\$0	\$0
Total, Object of Expense		\$36,291	\$11,562	\$0	\$0	\$0
METHOD OF FINANCING:						
1 General Revenue Fund		\$36,291	\$11,562	\$0	\$0	\$0
Total, Method of Financing		\$36,291	\$11,562	\$0	\$0	\$0
Description/Justification for continuation of existing riders or proposed new rider						
Update Rider						

3.C. Rider Appropriations and Unexpended Balances Request
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

DATE: 9/10/2020
TIME: 11:06:31PM

Agency Code: 356 Texas Ethics Commission

RIDER	STRATEGY	Exp 2019	Est 2020	Bud 2021	BL 2022	BL 2023
4 1	Disclosure of FARA 2-1-2 INFORMATION RESOURCES	\$0	\$10,000	\$0	\$0	\$0
OBJECT OF EXPENSE:						
	5000 CAPITAL EXPENDITURES	\$0	\$10,000	\$0	\$0	\$0
Total, Object of Expense		\$0	\$10,000	\$0	\$0	\$0
METHOD OF FINANCING:						
	1 General Revenue Fund	\$0	\$10,000	\$0	\$0	\$0
Total, Method of Financing		\$0	\$10,000	\$0	\$0	\$0
Description/Justification for continuation of existing riders or proposed new rider						
Update Rider						

3.C. Rider Appropriations and Unexpended Balances Request
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

DATE: 9/10/2020
TIME: 11:06:31PM

Agency Code: 356 Texas Ethics Commission

RIDER	STRATEGY	Exp 2019	Est 2020	Bud 2021	BL 2022	BL 2023
5 1	Appropriation for Retirement 2-1-1 CENTRAL ADMINISTRATION	\$0	\$15,388	\$80,000	\$0	\$0
OBJECT OF EXPENSE:						
	1002 OTHER PERSONNEL COSTS	\$0	\$15,388	\$80,000	\$0	\$0
Total, Object of Expense		\$0	\$15,388	\$80,000	\$0	\$0
METHOD OF FINANCING:						
	1 General Revenue Fund	\$0	\$15,388	\$80,000	\$0	\$0
Total, Method of Financing		\$0	\$15,388	\$80,000	\$0	\$0
Description/Justification for continuation of existing riders or proposed new rider						
Update Rider						

3.C. Rider Appropriations and Unexpended Balances Request
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

DATE: **9/10/2020**
TIME: **11:06:31PM**

Agency Code: 356 Texas Ethics Commission

RIDER	STRATEGY	Exp 2019	Est 2020	Bud 2021	BL 2022	BL 2023
SUMMARY:						
OBJECT OF EXPENSE TOTAL		\$384,181	\$774,340	\$687,390	\$0	\$0
METHOD OF FINANCING TOTAL		\$384,181	\$774,340	\$687,390	\$0	\$0

4.A. Exceptional Item Request Schedule
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

DATE: 9/10/2020
TIME: 11:06:32PM

Agency code: 356

Agency name:

Texas Ethics Commission

CODE	DESCRIPTION	Excp 2022	Excp 2023
<p style="text-align: right;">Item Name: Managed Cloud Services for TEC Electronic Filing System</p> <p style="text-align: right;">Item Priority: 1</p> <p style="text-align: right;">IT Component: Yes</p> <p style="text-align: right;">Anticipated Out-year Costs: Yes</p> <p style="text-align: right;">Involve Contracts > \$50,000: Yes</p> <p style="text-align: right;">Includes Funding for the Following Strategy or Strategies: 02-01-02 Information Resources</p>			
OBJECTS OF EXPENSE:			
5000	CAPITAL EXPENDITURES	150,000	150,000
TOTAL, OBJECT OF EXPENSE		\$150,000	\$150,000
METHOD OF FINANCING:			
1	General Revenue Fund	150,000	150,000
TOTAL, METHOD OF FINANCING		\$150,000	\$150,000

DESCRIPTION / JUSTIFICATION:

The Commission is required by Texas statute to provide an electronic filing system for the statewide campaign finance, lobby, and personal financial statement filers. As the agency's hardware has reached 6 to 7 years of age, the hardware is considered legacy, and Dell will soon no longer support the hardware. The agency has selected to move the filing application to the AWS cloud to reduce the burden on the state to purchase and deal with expensive server hardware that has minimal life expectancy. Moving the filing system to the cloud will adhere to DIR's Strategic Plan for Cloud Services and will provide the flexibility of on-demand CPU and storage capacity and will enable the filing system to benefit from AWS continual cybersecurity enhancements. Due to the difficulty of hiring and keeping software engineers on the TEC staff, the agency wishes to outsource the hosting for the electronic filing system, as well as the management and monitoring of the associated environments to the vendor that wrote and maintains the electronic filing system. The Commission will use its current enhancement hours to pay for the migration services. Currently the Commission pays approximately \$62,000 annually for RedHat Linux operating system, virtualization, and JBOSS licenses and support and Dell server maintenance and support. Beginning in year two of the cloud hosting, the Commission will apply the funds for current operating system software license and support fees and server hardware maintenance costs towards the cloud hosting, management, and monitoring costs. Additional funding is required to make up the remaining \$88,000 annual fees for the vendor to manage the hosting and manage and monitor the associated environments, amounting to \$150,000 annually.

EXTERNAL/INTERNAL FACTORS:

In response to changes in technologies and practices, the hardware platform for the agency electronic filing system will need to be migrated to the Cloud. This is necessary to continue to maintain the agency's level of service to filers and the public.

PCLS TRACKING KEY:

PCLS_87R_356_603854

Agency code: 356

Agency name:

Texas Ethics Commission

CODE	DESCRIPTION	Excp 2022	Excp 2023
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DESCRIPTION OF IT COMPONENT INCLUDED IN EXCEPTIONAL ITEM:

The Commission is requesting \$150,000 a year, of GR funds, due to changes in technologies and practices, the storage for the agency will need to migrate to the Cloud. This is necessary to continue to maintain the agency's level of service to filers and the public. The estimated out-year costs for these services from 2022 to 2026 is \$750,000, all from GR funds.

IS THIS IT COMPONENT RELATED TO A NEW OR CURRENT PROJECT?

NEW

STATUS:

The Texas Ethics Commission's electronic filing system is running on legacy server hardware that soon will no longer be supported by Dell. The Commission is not willing to risk operating the state's electronic filing system on legacy, unsupported hardware, and has selected to migrate the electronic filing system to the AWS cloud. Due to the complexity of the computing environment and the difficulty to find, hire, and keep Unix system administration and software engineering skills in-house, the agency wishes to outsource the hosting for the electronic filing system, as well as the management and monitoring of the associated environments to the vendor that wrote and maintains the electronic filing system. The Commission can cover the cost to outsource the initial engineering work of migrating the electronic filing system software to the cloud platform with no additional funding from the State. However, the Commission requires additional funding to cover the annual cost of the AWS cloud hosting services and the annual costs for the vendor to manage and monitor the associated environments.

OUTCOMES:

Short-term: Cost-savings from the State's buying power, increasing data storage and data processing ability through the pay-as-you-go cloud model.

Long-term: Investments in services rather than infrastructure, allowing for cost savings and replacement of unsupported (legacy) systems.

The hardware and operating system platform for the Commission's electronic filing system would be hosted in the AWS cloud, and would be managed and monitored by the vendor that wrote and maintains the electronic filing system. The vendor would be responsible for all system administration of the AWS virtual hosts.

OUTPUTS:

Moving the filing system to the cloud will adhere to DIR's Strategic Plan for Cloud Services, will provide flexibility of increasing CPU and storage capacity on demand, and can ease the burden of aging infrastructure and provide flexible, lower-cost, IT service delivery. TEC software engineers will be freed up to work on other projects as the vendor will be providing the system administration of the AWS compute environments.

TYPE OF PROJECT

Cloud Computing

ALTERNATIVE ANALYSIS

The Commission's current hardware platform for its electronic filing system is 6-7 years old and is considered legacy. The Commission needs to modernize the legacy hardware to provide a robust electronic filing system for the State of Texas filers. The State is highly discouraging agencies from purchasing expensive server platforms, which typically have only a 5-7 year lifespan with today's fast paced technological advancements. The cost to replace the agency's server hardware is approximately \$200,000. The Commission does not have the floor space, rack space, electrical power, cooling power, or network bandwidth to bring up a new environment while keeping the filing system running on legacy hardware until it could be cutover to new servers in the TEC server room. The agency also does not have the necessary skills on board to successfully handle such a complex project.

4.A. Exceptional Item Request Schedule
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

DATE: 9/10/2020
TIME: 11:06:32PM

Agency code: 356 Agency name: Texas Ethics Commission

CODE	DESCRIPTION	Excp 2022					Excp 2023
ESTIMATED IT COST							
2020	2021	2022	2023	2024	2025	2026	Total Over Life of Project
\$0	\$0	\$150,000	\$150,000	\$150,000	\$150,000	\$150,000	\$750,000
SCALABILITY							
2020	2021	2022	2023	2024	2025	2026	Total Over Life of Project
\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
FTE							
2020	2021	2022	2023	2024	2025	2026	
0.0	0.0	0.0	0.0	0.0	0.0	0.0	

DESCRIPTION OF ANTICIPATED OUT-YEAR COSTS :

Ongoing managed cloud services for the duration of the TEC electronic filing system's operation requires ongoing cost estimated at \$150,000 per year for the life of the service. The standard rate increase in the technology market is 25%. All appropriations would be GR funded.

ESTIMATED ANTICIPATED OUT-YEAR COSTS FOR ITEM:

2024	2025	2026
\$150,000	\$150,000	\$150,000

APPROXIMATE PERCENTAGE OF EXCEPTIONAL ITEM : 0.00%

CONTRACT DESCRIPTION :

The Texas Ethics Commission's (TEC) electronic filing system hardware platform consists of six Dell R820 servers, 4 of which were purchased in 2013 and 2 of which were purchased in 2014. Although Dell does not publish an end-of-life date for its server models, Dell does state that it prefers to not support servers that are more than 5 to 7 years old because parts are difficult to find after that time period. The TEC has previously enjoyed contracts with Dell for 3 years of warranty and support, but, in 2020, Dell limited support and warranty contracts to one year at a time. Because the TEC's electronic filing system servers are reaching 6 to 7 years of age, these systems are considered "legacy" even though the servers continue to perform well for the agency's needs.

Because the Commission is required by Texas statute to provide an electronic filing system for the statewide campaign finance, lobby, and personal financial statement filers,

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	<p>the Commission is not willing to risk operating the state's electronic filing system on legacy, unsupported hardware, and has selected to migrate the electronic filing system to the Amazon Web Services (AWS) cloud. This migration will be performed by the vendor that wrote and maintains the Commission's electronic filing system. Due to the complexity of the computing environment and the difficulty to find and hire and keep software engineering and system administration skills, the agency wishes to have the vendor handle the hosting for the electronic filing system, as well as manage and monitor the associated environments.</p> <p>The Commission can cover the cost to outsource the initial engineering work of migrating the electronic filing system software to the cloud platform with no additional funding from the State. However, the Commission requires additional funding to cover the annual cost of the AWS cloud hosting services and the annual costs for the vendor to manage and monitor the associated environments.</p>		

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Item Name:	Increase DFS Division salaries for COH, PFS, and PAC Administrator positions to align with the job market and new title change		
Item Priority:	2		
IT Component:	No		
Anticipated Out-year Costs:	Yes		
Involve Contracts > \$50,000:	No		
Includes Funding for the Following Strategy or Strategies:	01-01-01	Serve as the Repository for Statutorily Required Information	
	02-01-02	Information Resources	

OBJECTS OF EXPENSE:

1001	SALARIES AND WAGES	20,000	20,000
TOTAL, OBJECT OF EXPENSE		\$20,000	\$20,000

METHOD OF FINANCING:

1	General Revenue Fund	20,000	20,000
TOTAL, METHOD OF FINANCING		\$20,000	\$20,000

DESCRIPTION / JUSTIFICATION:

Increase DFS Division salaries for COH, PFS, and PAC Administrator positions to align with the job market and new title change.

EXTERNAL/INTERNAL FACTORS:

Employees of the Disclosure Filings Division are critical to the mission of the agency because, in addition to other duties, employees in these positions are responsible for promptly making filed reports available to the public, fostering compliance by directly assisting filers and by ensuring notices to file are sent as required by law. Currently these positions start as an Administrative Assistant II. TEC seeks to reclassify these positions as Program Specialists to conform the classification more closely to the work performed, to give the employees in the position greater opportunity for advancement after mastery of the work performed, and to attract applicants searching for a career in which specialized knowledge of regulations is required and technical assistance is given to the regulated community.

PCLS TRACKING KEY:

Agency code: **356**

Agency name:
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DESCRIPTION OF ANTICIPATED OUT-YEAR COSTS :

Currently the personnel who handle C/OH, PAC, PFS and Lobby reports are classified as Administrative Assistant II-III with a salary range between \$36,000 and \$41,000. The SAO classification of an Administrative Assistant is geared more towards filing and all around clerical work for individuals with a high school diploma or equivalent . The TEC seeks to reclassify these positions as Program Specialists to conform the classification more closely to the analytical work performed by these employees , as well as to give the employees in the position greater opportunity for advancement after mastery of the work performed, and to attract applicants with a college degree searching for a career in which specialized knowledge of regulations is required and technical assistance is given to the regulated community. The average state agency salary for a Program Specialist I is \$ 42,718 and \$46,640 for a Program Specialist II. The Commission anticipates the out –year cost in FY 2022- 2026 to increase these positions' salary is \$20,000 per year which will all be GR funded.

ESTIMATED ANTICIPATED OUT-YEAR COSTS FOR ITEM:

<u>2024</u>	<u>2025</u>	<u>2026</u>
\$20,000	\$20,000	\$20,000

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CODE	DESCRIPTION	Excp 2022	Excp 2023
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Item Name: Increase programmer salaries

Item Priority: 3

IT Component: No

Anticipated Out-year Costs: Yes

Involve Contracts > \$50,000: No

Includes Funding for the Following Strategy or Strategies: 02-01-02 Information Resources

OBJECTS OF EXPENSE:

1001 SALARIES AND WAGES

16,097

16,097

TOTAL, OBJECT OF EXPENSE

\$16,097

\$16,097

METHOD OF FINANCING:

1 General Revenue Fund

16,097

16,097

TOTAL, METHOD OF FINANCING

\$16,097

\$16,097

DESCRIPTION / JUSTIFICATION:

The TEC has two posted programmer II-III positions that as of 8/31/2020, it has been unable to fill. The salaries are posted at a range of \$55,000- \$60,000, which is below the state average of \$60,575 for a Programmer II and \$70,522 for a Programmer III, and well below the private sector market rate of \$83, 548. These positions are essential to the agency's purpose because they are necessary for the operation of the filing application and the agency's website. Without multiple employees within the agency familiar with the agency's needs, the TEC will be unable to maintain and update its technology as needed to comply with law. The Commission is requesting to increase the salary range to be \$60,575 for the Programmer II and \$70,522 for the Programmer III. The anticipated out-year cost increase is \$16,097 per year. Between FY 2022- FY 2026 the shortfall would be \$80,485 all of which would be GR funded.

EXTERNAL/INTERNAL FACTORS:

The TEC anticipates multiple retirements and has already had one experienced programmer retire, for a loss of 10 years of cumulative total experience.

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DESCRIPTION OF ANTICIPATED OUT-YEAR COSTS :

The TEC has two posted programmer II-III positions that as of 8/31/2020, it has been unable to fill. The salaries are posted at a range of \$55,000- \$60,000, which is below the state average of \$60,575 for a Programmer II and \$70,522 for a Programmer III, and well below the private sector market rate of \$83,548. These positions are essential to the agency's purpose because they are necessary for the operation of the filing application and the agency's website. Without multiple employees within the agency familiar with the agency's needs, the TEC will be unable to maintain and update its technology as needed to comply with law. The Commission is requesting to increase the salary range to \$60,575 for the Programmer II and \$70,522 for the Programmer III. The anticipated out-year cost increase is \$16,097 per year. Between FY 2022- FY 2026 the shortfall would be \$80,485 all of which would be GR funded.

ESTIMATED ANTICIPATED OUT-YEAR COSTS FOR ITEM:

2024	2025	2026
\$16,097	\$16,097	\$16,097

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CODE	DESCRIPTION	Excp 2022	Excp 2023
<p style="text-align: right;">Item Name: Case Management Software License Subscription Renewal</p> <p style="text-align: right;">Item Priority: 4</p> <p style="text-align: right;">IT Component: Yes</p> <p style="text-align: right;">Anticipated Out-year Costs: Yes</p> <p style="text-align: right;">Involve Contracts > \$50,000: No</p> <p style="text-align: right;">Includes Funding for the Following Strategy or Strategies: 02-01-02 Information Resources</p>			
5000	CAPITAL EXPENDITURES	5,000	5,000
TOTAL, OBJECT OF EXPENSE		\$5,000	\$5,000
<p>METHOD OF FINANCING:</p> <p>1 General Revenue Fund</p>			
TOTAL, METHOD OF FINANCING		\$5,000	\$5,000

DESCRIPTION / JUSTIFICATION:

In an effort to further increase efficiency, TEC acquired a case management system to replace its outdated legacy system. The TEC spent less at the outset to acquire the system than had been budgeted, and was able to return \$55,000 to the state. In exchange for the agency's fiscally responsible decision, the agency obtained a system that costs slightly more to continue to use, and seeks funding for the shortfall. Accordingly, the TEC seeks to maintain this efficient case management system by paying the necessary fees to the vendor hosting the system, which is more necessary than ever in this environment of a global pandemic, where telecommunication among agency staff, complainants, respondents, and others is necessary for the safety of the individuals involved.

EXTERNAL/INTERNAL FACTORS:

Because the agency does not have the hardware capacity, the web application framework, or the IT staff to host a case management software product in-house, TEC has procured an SaaS case management system that has an annual subscription-based licensing pricing model that is slightly higher than the amount that was estimated for annual maintenance and hosting of a perpetual licensing pricing model. Thus, the TEC has realized at \$5,000 annual shortfall beginning with year two of this product.

PCLS TRACKING KEY:

NA

DESCRIPTION OF IT COMPONENT INCLUDED IN EXCEPTIONAL ITEM:

The Commission is requesting an annual appropriation of \$5,000 to fill the annual shortfall of the subscription-based licensing costs for its newly acquired case management system for our legal division.

The case management system procured in FY2020 is a software license subscription that needs to be renewed on a yearly basis. The commission was appropriated \$22,000 for the ongoing maintenance of the newly acquired case management system, which is now a software license subscription fee and not a maintenance fee. The commission

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was able to cut cost on the initial software cost by entering into an annual license subscription for the software priced at \$23,005.25 for the first three years with a 5% increase each preceding year. The commission is asking for an additional \$5,000 a year for the shortfall associated with the ongoing license subscription fees and cloud hosting by an outsourced vendor. The estimated out-year shortage cost from FY 2022- 2026 is estimated to be \$25,000 with an estimated out-year license subscription cost from FY 2022-2026 to be \$181,035, all from GR funds.

IS THIS IT COMPONENT RELATED TO A NEW OR CURRENT PROJECT?

CURRENT

STATUS:

Status: for current IT projects, describe the status of the project, including: amounts appropriated, expended or allocated and allocation of FTE positions in both the 2020-21 and 2022-23 biennia; how funding was expended; and any detail on changes in cost, schedule, or scope since the project was initiated.

The case management system requires an ongoing annual subscription-based licensing fee of \$27,000. The TEC has been allocated \$22,000 annually. Thus, the TEC is \$5,000 short of this annual amount.

During the 86th Legislation, the commission was appropriated \$22,000 for ongoing maintenance of the case management software. In August 2020 the Commission entered into a software as a service, software license subscription agreement with an outside vendor in the amount of \$23,005.25 that allows the agency to track the status of all the sworn complaints. It allows the public to submit complaints and supporting documentation, streamlines the process and will be able to track the sworn complaint process from beginning to end in a seamless matter with reporting capabilities. The license subscription will have a yearly 5% increase over the life of the subscription.

In August 2020 the Commission entered into a software license subscription agreement with an outside vendor that allows the agency to track the status of all the sworn complaints. It allows the public to submit complaints and supporting documentation, streamlines the process and will be able to track the sworn complaint process from beginning to end in a seamless matter with reporting capabilities.

OUTCOMES:

Analyze the project cost factors related to the project's anticipated payback, benefit or gain.

The TEC spent less at the outset to acquire the system than had been budgeted, and was able to return \$55,000 to the state. In exchange for the agency's fiscally responsible decision, the agency obtained a system that costs slightly more to continue to use, and seeks funding for the shortfall. Accordingly, the TEC seeks to maintain this efficient case management system by paying the necessary fees to the vendor hosting the system, which is more necessary than ever in this environment of a global pandemic, where telecommunication among agency staff, complainants, respondents, and others is necessary for the safety of the individuals involved.

OUTPUTS:

Describe the program or system related performance objective and the measures that will gauge the project's success.xxx

TYPE OF PROJECT

Acquisition and Refresh of Hardware and Software

ALTERNATIVE ANALYSIS

Please explain the alternative solution if this Information Technology component is not funded? Can the project be scaled down if partial funding is received? Indicate how the project can be scalable by cost and/or duration (i.e. implemented in multiple years).

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If the Commission is unable to receive the additional funding, we would have to continue using an outdated database that makes managing cases more tedious, leaves room for manual errors and reporting inconsistencies. We would also not be able to continue using the newly acquired case management annual license subscription system and not be able to run reports on demand. Tracking of sworn complaints and the progress of cases and where they stand could be delayed due to manually tracking the sworn complaints.

ESTIMATED IT COST

2020	2021	2022	2023	2024	2025	2026	Total Over Life of Project
\$23,005	\$23,005	\$23,005	\$24,156	\$25,363	\$26,631	\$27,962	\$181,035

SCALABILITY

2020	2021	2022	2023	2024	2025	2026	Total Over Life of Project
\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0

FTE

2020	2021	2022	2023	2024	2025	2026
0.0	0.0	0.0	0.0	0.0	0.0	0.0

DESCRIPTION OF ANTICIPATED OUT-YEAR COSTS :

The ongoing subscription of the case management software license will be needed for the duration the commission uses the case management software. The subscription cost is based on number of users and is renewed on a yearly basis. The vendor's current rate for the software license subscription is \$23,005.25/year, which would all be GR funded. The vendor's standard rate increase is 5% per year.

ESTIMATED ANTICIPATED OUT-YEAR COSTS FOR ITEM:

2024	2025	2026
\$25,363	\$25,363	\$27,962

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Item Name: Public Information Records module addition to case management software license subscription

Item Priority: 5

IT Component: Yes

Anticipated Out-year Costs: Yes

Involve Contracts > \$50,000: No

Includes Funding for the Following Strategy or Strategies: 02-01-02 Information Resources

OBJECTS OF EXPENSE:

5000 CAPITAL EXPENDITURES

30,044

31,546

TOTAL, OBJECT OF EXPENSE

\$30,044

\$31,546

METHOD OF FINANCING:

1 General Revenue Fund

30,044

31,546

TOTAL, METHOD OF FINANCING

\$30,044

\$31,546

DESCRIPTION / JUSTIFICATION:

A cloud hosted SaaS PIR management system would be of great benefit to the Commission's staff for the tracking and delivery of open records requests. The agency does not have the hardware capability, the web application framework, or the IT staff to host a PIR software product in-house, so this product needs to be cloud hosted by the PIR software vendor. Having the PIR management system cloud hosted would have the advantages of increased security of the data in the system, and would have built in software and hardware upgrades managed by the hosting entity, ensuring that the TEC staff is always working on the most current level of the software. The Commission has recently acquired a subscription based, cloud-hosted case management system from GovQA. GovQA also sells a PIR management system that would be an add-in to the new GovQA case management system. Because the TEC has already licensed the base GovQA module, the PIR module can be acquired at a lesser price point than the case management system. The GovQA PIR module is subscription based, so funding would be required every year going forward after purchase.

EXTERNAL/INTERNAL FACTORS:

Compliance with the Texas Public Information Act (PIA) is legally required and is critical to the agency's mission of promoting public confidence in government. The Commission staff relies heavily on Word Documents and Excel spreadsheets to keep track of and follow the progress of PIRs to completion. There is no integration among the tools used. The TEC does not have server capacity, web application framework, or available IT staff resources for in-house hosting of such a system. The Commission would benefit greatly from a SaaS PIR management system to track open records requests and eliminate work being duplicated when multiple requests are received for the same or similar information. Because the TEC has already licensed a base case management system module, a PIR module can be acquired from the same vendor at a lesser price point compared to not having procured the case management system module. The PIR module is subscription-based, so funding would be required annually going forward after procurement.

PCLS TRACKING KEY:

NA

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DESCRIPTION OF IT COMPONENT INCLUDED IN EXCEPTIONAL ITEM:

A primary responsibility of the TEC staff is to process Public Information Requests (PIR) received by the Commission from Texas citizens for documentation and/or data maintained by the agency. The TEC is committed to ensuring public records are open and accessible, and is committed to delivering requested records in a timely manner to the requestor. Not only is complying with public information requests legally required, it is critical to the agency's mission of promoting public confidence in government. The TEC, on average, processes 115 PIRs and 490 copy orders annually. All TEC divisions are involved in processing open records requests. The TEC currently tracks PIRs through Excel and Word documents, and this methodology is tedious. A technological solution is required to support TEC staff and members of the public who process or make PIRs under the Texas Public Information Act (PIA). In order to streamline the PIR process, the Commission desires to purchase a cloud-hosted PIR module from GovQA, the business from which the agency recently purchased a case management system.

The Commission is requesting an annual appropriation of \$30,044 for FY 2022 and \$31,546 for FY 2023 which accounts for the vendors 5% increase on an annual basis for the annual subscription-based licensing costs for a PIR management module to add to its newly acquired case management system. All of which will be GR funded.

IS THIS IT COMPONENT RELATED TO A NEW OR CURRENT PROJECT?

NEW

STATUS:

The Commission has recently acquired a subscription based, cloud-hosted case management system from GovQA. GovQA also sells a PIR management system that would be an add-in to the new GovQA case management system. Because the TEC has already licensed the base GovQA module, the PIR module can be acquired at a lesser price point than the case management system.

OUTCOMES:

A cloud hosted SaaS PIR management system would have lower annual costs than hosting the system in-house due to annual operating system and JBOSS licenses fees. A hosted solution would also free up the IT staff to work on other matters at hand. The software would be up and running considerably quicker compared to the time it would take the agency IT staff to set up the product in-house. Hardware and software issues would be handled immediately by experienced resources at the vendor hosting site. The Commission's staff would always be working with the most current version of the software. Because the TEC has already licensed the base GovQA module, the PIR module can be acquired at a lesser price point than the case management system.

OUTPUTS:

A hosted solution would enable the PIR management system to be available online almost immediately after purchase. Issues in the system negatively affecting a staff member's work would be fixed quickly because the hosting vendor maintains staff to monitor and manage the hardware and software full-time.

TYPE OF PROJECT

Software as a Service

ALTERNATIVE ANALYSIS

If this project is not funded, the agency staff will continue tracking PIRs and copy orders using Excel spreadsheets and Word Documents. The process will continue to be tedious with a high risk of manual entry errors and reporting inconsistencies, and will continue as is in the less than ideal environment for staff work efficiencies.

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ESTIMATED IT COST								
2020	2021	2022	2023	2024	2025	2026	Total Over Life of Project	
\$0	\$0	\$30,044	\$31,546	\$33,123	\$34,779	\$36,518	\$166,010	
SCALABILITY								
2020	2021	2022	2023	2024	2025	2026	Total Over Life of Project	
\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	
FTE								
2020	2021	2022	2023	2024	2025	2026		
0.0	0.0	0.0	0.0	0.0	0.0	0.0		

DESCRIPTION OF ANTICIPATED OUT-YEAR COSTS :

The public information license subscription is based on the number of users and must be renewed on a yearly basis. The vendor's current rate for the license subscription is \$28,000 for FY 2022 and \$29,400 for FY 2023 with an anticipated out-year rate increase of 5% all of which will be GR funded.

ESTIMATED ANTICIPATED OUT-YEAR COSTS FOR ITEM:

2024	2025	2026
\$33,123	\$34,779	\$36,518

Agency code:	356	Agency name:	Texas Ethics Commission		
Code	Description		Excp 2022	Excp 2023	
Item Name:	Managed Cloud Services for TEC Electronic Filing System				
Allocation to Strategy:	2-1-2	Information Resources			
OBJECTS OF EXPENSE:					
5000	CAPITAL EXPENDITURES		150,000	150,000	
TOTAL, OBJECT OF EXPENSE			\$150,000	\$150,000	
METHOD OF FINANCING:					
1	General Revenue Fund		150,000	150,000	
TOTAL, METHOD OF FINANCING			\$150,000	\$150,000	
FULL-TIME EQUIVALENT POSITIONS (FTE):			0.0	0.0	

Agency code: 356 Agency name: Texas Ethics Commission

Code	Description	Excp 2022	Excp 2023
Item Name:		Increase DFS Division salaries for COH, PFS, and PAC Administrator positions to align with the job market and new title change	
Allocation to Strategy:		1-1-1	Serve as the Repository for Statutorily Required Information
STRATEGY IMPACT ON OUTCOME MEASURES:			
<u>1</u>	Percent of Reports Available for Public Inspection within Two Days	0.00%	0.00%
OUTPUT MEASURES:			
<u>1</u>	Number of Reports Logged within Two Working Days of Receipt	0.00	0.00
EXPLANATORY/INPUT MEASURES:			
<u>1</u>	Number of Inquiries for Information	0.00	0.00
OBJECTS OF EXPENSE:			
1001	SALARIES AND WAGES	20,000	20,000
TOTAL, OBJECT OF EXPENSE		\$20,000	\$20,000
METHOD OF FINANCING:			
1	General Revenue Fund	20,000	20,000
TOTAL, METHOD OF FINANCING		\$20,000	\$20,000
FULL-TIME EQUIVALENT POSITIONS (FTE):		0.0	0.0

Agency code:	356	Agency name:	Texas Ethics Commission		
Code	Description			Excp 2022	Excp 2023
Item Name:	Increase DFS Division salaries for COH, PFS, and PAC Administrator positions to align with the job market and new title change				
Allocation to Strategy:	2-1-2	Information Resources			
OBJECTS OF EXPENSE:					
	1001	SALARIES AND WAGES		0	0
TOTAL, OBJECT OF EXPENSE				\$0	\$0
METHOD OF FINANCING:					
	1	General Revenue Fund		0	0
TOTAL, METHOD OF FINANCING				\$0	\$0
FULL-TIME EQUIVALENT POSITIONS (FTE):				0.0	0.0

Agency code:	356	Agency name:	Texas Ethics Commission
Code	Description	Excp 2022	Excp 2023
Item Name:	Increase programmer salaries		
Allocation to Strategy:	2-1-2	Information Resources	
OBJECTS OF EXPENSE:			
1001	SALARIES AND WAGES	16,097	16,097
TOTAL, OBJECT OF EXPENSE		\$16,097	\$16,097
METHOD OF FINANCING:			
1	General Revenue Fund	16,097	16,097
TOTAL, METHOD OF FINANCING		\$16,097	\$16,097
FULL-TIME EQUIVALENT POSITIONS (FTE):		0.0	0.0

Agency code:	356	Agency name:	Texas Ethics Commission		
Code	Description		Excp 2022	Excp 2023	
Item Name:	Case Management Software License Subscription Renewal				
Allocation to Strategy:	2-1-2	Information Resources			
OBJECTS OF EXPENSE:					
5000	CAPITAL EXPENDITURES		5,000	5,000	
TOTAL, OBJECT OF EXPENSE			\$5,000	\$5,000	
METHOD OF FINANCING:					
1	General Revenue Fund		5,000	5,000	
TOTAL, METHOD OF FINANCING			\$5,000	\$5,000	
FULL-TIME EQUIVALENT POSITIONS (FTE):			0.0	0.0	

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Code	Description			Excp 2022	Excp 2023
Item Name:	Public Information Records module addition to case management software license subscription				
Allocation to Strategy:	2-1-2	Information Resources			
OBJECTS OF EXPENSE:					
5000	CAPITAL EXPENDITURES			30,044	31,546
TOTAL, OBJECT OF EXPENSE				\$30,044	\$31,546
METHOD OF FINANCING:					
1	General Revenue Fund			30,044	31,546
TOTAL, METHOD OF FINANCING				\$30,044	\$31,546
FULL-TIME EQUIVALENT POSITIONS (FTE):				0.0	0.0

4.C. Exceptional Items Strategy Request
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Agency Code: **356** Agency name: **Texas Ethics Commission**

GOAL: 1 Administer Public Disclosure/Ethics Laws

OBJECTIVE: 1 Access Required Reports; Respond to Advisory Reqs & Sworn Complaints

Service Categories:

STRATEGY: 1 Serve as the Repository for Statutorily Required Information

Service: 02 Income: A.2 Age: B.3

CODE	DESCRIPTION	Excp 2022	Excp 2023
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OBJECTS OF EXPENSE:

1001 SALARIES AND WAGES

20,000

20,000

Total, Objects of Expense

\$20,000

\$20,000

METHOD OF FINANCING:

1 General Revenue Fund

20,000

20,000

Total, Method of Finance

\$20,000

\$20,000

EXCEPTIONAL ITEM(S) INCLUDED IN STRATEGY:

Increase DFS Division salaries for COH, PFS, and PAC Administrator positions to align with the job market and new title change

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Agency Code: **356** Agency name: **Texas Ethics Commission**

GOAL: 1 Administer Public Disclosure/Ethics Laws

OBJECTIVE: 1 Access Required Reports; Respond to Advisory Reqs & Sworn Complaints

Service Categories:

STRATEGY: 2 Respond to Requests for Guidance/Advisory Opinions

Service: 01 Income: A.2 Age: B.3

CODE DESCRIPTION	Excp 2022	Excp 2023
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STRATEGY IMPACT ON OUTCOME MEASURES:

<u>4</u> Percent of Advisory Opinion Requests Answered	90.00 %	90.00 %
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4.C. Exceptional Items Strategy Request
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

DATE: 9/10/2020
TIME: 11:06:32PM

Agency Code: **356** Agency name: **Texas Ethics Commission**

GOAL: 1 Administer Public Disclosure/Ethics Laws

OBJECTIVE: 1 Access Required Reports; Respond to Advisory Reqs & Sworn Complaints

Service Categories:

STRATEGY: 3 Respond to Complaints and Enforce Applicable Statutes

Service: 01 Income: A.2 Age: B.3

CODE DESCRIPTION	Excp 2022	Excp 2023
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STRATEGY IMPACT ON OUTCOME MEASURES:

<u>2</u> % of Sworn Complaints Processed within Five Working Days After Filing	100.00 %	100.00 %
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4.C. Exceptional Items Strategy Request
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

DATE: 9/10/2020
TIME: 11:06:32PM

Agency Code: **356** Agency name: **Texas Ethics Commission**

GOAL: 2 Indirect Administration

OBJECTIVE: 1 Indirect Administration

STRATEGY: 2 Information Resources

Service Categories:

Service: 09 Income: A.2 Age: B.3

CODE	DESCRIPTION	Excp 2022	Excp 2023
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OBJECTS OF EXPENSE:

1001	SALARIES AND WAGES	16,097	16,097
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5000	CAPITAL EXPENDITURES	185,044	186,546
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Total, Objects of Expense		\$201,141	\$202,643
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METHOD OF FINANCING:

1	General Revenue Fund	201,141	202,643
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Total, Method of Finance		\$201,141	\$202,643
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EXCEPTIONAL ITEM(S) INCLUDED IN STRATEGY:

Managed Cloud Services for TEC Electronic Filing System

Increase DFS Division salaries for COH, PFS, and PAC Administrator positions to align with the job market and new title change

Increase programmer salaries

Case Management Software License Subscription Renewal

Public Information Records module addition to case management software license subscription

5.A. Capital Budget Project Schedule
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

DATE: **9/10/2020**
TIME : **11:06:33PM**

Agency code: **356**

Agency name: **Texas Ethics Commission**

Category Code / Category Name

Project Sequence/Project Id/ Name

OOE / TOF / MOF CODE

Est 2020

Bud 2021

BL 2022

BL 2023

5005 Acquisition of Information Resource Technologies

*1/1 Vendor Support for Electronic Filing &
Disclosure Database Systems*

OBJECTS OF EXPENSE

Capital

General	5000	CAPITAL EXPENDITURES		\$447,890	\$447,890	\$447,890	\$447,890
		Capital Subtotal OOE, Project	1	\$447,890	\$447,890	\$447,890	\$447,890
		Subtotal OOE, Project	1	\$447,890	\$447,890	\$447,890	\$447,890

TYPE OF FINANCING

Capital

General	CA	1	General Revenue Fund	\$447,890	\$447,890	\$447,890	\$447,890
			Capital Subtotal TOF, Project	1	\$447,890	\$447,890	\$447,890
			Subtotal TOF, Project	1	\$447,890	\$447,890	\$447,890

2/2 Enhancements to Electronic Filing System

OBJECTS OF EXPENSE

Capital

General	5000	CAPITAL EXPENDITURES		\$137,500	\$137,500	\$137,500	\$137,500
		Capital Subtotal OOE, Project	2	\$137,500	\$137,500	\$137,500	\$137,500
		Subtotal OOE, Project	2	\$137,500	\$137,500	\$137,500	\$137,500

TYPE OF FINANCING

Capital

General	CA	1	General Revenue Fund	\$137,500	\$137,500	\$137,500	\$137,500
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5.A. Capital Budget Project Schedule
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

DATE: **9/10/2020**
TIME : **11:06:33PM**

Agency code: **356**

Agency name: **Texas Ethics Commission**

Category Code / Category Name

Project Sequence/Project Id/ Name

OOE / TOF / MOF CODE			Est 2020	Bud 2021	BL 2022	BL 2023
Capital Subtotal TOF, Project			\$137,500	\$137,500	\$137,500	\$137,500
Subtotal TOF, Project			\$137,500	\$137,500	\$137,500	\$137,500
<i>4/4 Case Management Software License Subscription</i>						
OBJECTS OF EXPENSE						
<u>Capital</u>						
General	5000	CAPITAL EXPENDITURES	\$22,000	\$22,000	\$22,000	\$22,000
Capital Subtotal OOE, Project			\$22,000	\$22,000	\$22,000	\$22,000
Subtotal OOE, Project			\$22,000	\$22,000	\$22,000	\$22,000
TYPE OF FINANCING						
<u>Capital</u>						
General	CA	1 General Revenue Fund	\$22,000	\$22,000	\$22,000	\$22,000
Capital Subtotal TOF, Project			\$22,000	\$22,000	\$22,000	\$22,000
Subtotal TOF, Project			\$22,000	\$22,000	\$22,000	\$22,000
<i>5/5 Public Information Records Module addition to the Case Management Software License Subscription</i>						
OBJECTS OF EXPENSE						
<u>Capital</u>						
General	5000	CAPITAL EXPENDITURES	\$0	\$0	\$0	\$0
Capital Subtotal OOE, Project			\$0	\$0	\$0	\$0
Subtotal OOE, Project			\$0	\$0	\$0	\$0
TYPE OF FINANCING						

5.A. Capital Budget Project Schedule
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

DATE: **9/10/2020**
TIME : **11:06:33PM**

Agency code: **356**

Agency name: **Texas Ethics Commission**

Category Code / Category Name

Project Sequence/Project Id/ Name

OOE / TOF / MOF CODE				Est 2020	Bud 2021	BL 2022	BL 2023
<u>Capital</u>							
General	CA	1	General Revenue Fund	\$0	\$0	\$0	\$0
Capital Subtotal TOF, Project				\$0	\$0	\$0	\$0
Subtotal TOF, Project				\$0	\$0	\$0	\$0
Capital Subtotal, Category				\$607,390	\$607,390	\$607,390	\$607,390
Informational Subtotal, Category							
Total, Category				\$607,390	\$607,390	\$607,390	\$607,390
9500 Legacy Modernization							
<i>3/3 Managed Cloud Services for TEC Electronic Filing System</i>							
OBJECTS OF EXPENSE							
<u>Capital</u>							
General	5000		CAPITAL EXPENDITURES	\$0	\$0	\$0	\$0
Capital Subtotal OOE, Project				\$0	\$0	\$0	\$0
Subtotal OOE, Project				\$0	\$0	\$0	\$0
TYPE OF FINANCING							
<u>Capital</u>							
General	CA	1	General Revenue Fund	\$0	\$0	\$0	\$0
Capital Subtotal TOF, Project				\$0	\$0	\$0	\$0
Subtotal TOF, Project				\$0	\$0	\$0	\$0

5.A. Capital Budget Project Schedule
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

DATE: **9/10/2020**
TIME : **11:06:33PM**

Agency code: **356**

Agency name: **Texas Ethics Commission**

Category Code / Category Name

Project Sequence/Project Id/ Name

OOE / TOF / MOF CODE

Est 2020

Bud 2021

BL 2022

BL 2023

Capital Subtotal, Category 9500

\$0

\$0

\$0

\$0

Informational Subtotal, Category 9500

Total, Category 9500

\$0

\$0

\$0

\$0

AGENCY TOTAL -CAPITAL

\$607,390

\$607,390

\$607,390

\$607,390

AGENCY TOTAL -INFORMATIONAL

AGENCY TOTAL

\$607,390

\$607,390

\$607,390

\$607,390

METHOD OF FINANCING:

Capital

General 1 General Revenue Fund

\$607,390

\$607,390

\$607,390

\$607,390

Total, Method of Financing-Capital

\$607,390

\$607,390

\$607,390

\$607,390

Total, Method of Financing

\$607,390

\$607,390

\$607,390

\$607,390

TYPE OF FINANCING:

Capital

General CA CURRENT APPROPRIATIONS

\$607,390

\$607,390

\$607,390

\$607,390

Total, Type of Financing-Capital

\$607,390

\$607,390

\$607,390

\$607,390

Total,Type of Financing

\$607,390

\$607,390

\$607,390

\$607,390

5.B. Capital Budget Project Information
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

DATE: 9/10/2020
TIME: 11:06:33PM

Agency Code:	356	Agency name:	Texas Ethics Commission
Category Number:	5005	Category Name:	ACQUISITN INFO RES TECH.
Project number:	1	Project Name:	Vendor Support

PROJECT DESCRIPTION

General Information

The agency plans to extend the current maintenance contract with the vendor that designed and developed the agency's electronic filing system to cover maintenance and warranty of the system. The contract includes maintenance for the Filing Application Manager, the campaign finance filing application, the Lobby filing application, the Personal Financial Statement filing application, the Certificate of Interested Parties(Form 1295)filing application, and the underlying software infrastructure developed by the vendor. The agency is short \$100,000 per year to meet the \$425,000 annual cost.

PLCS Tracking Key	na
Number of Units / Average Unit Cost	1 @ \$447,890
Estimated Completion Date	Renewal until End of Use

Additional Capital Expenditure Amounts Required	2024	2025
	447,890	447,890

Type of Financing	CA	CURRENT APPROPRIATIONS
Projected Useful Life	\$1,791,560	
Estimated/Actual Project Cost	\$1,791,560	
Length of Financing/ Lease Period	Annual	

<u>ESTIMATED/ACTUAL DEBT OBLIGATION PAYMENTS</u>					Total over project life
2022	2023	2024	2025		
447,890	447,890	447,890	447,890		1,791,560

REVENUE GENERATION / COST SAVINGS

<u>REVENUE COST FLAG</u>	<u>MOF CODE</u>	<u>AVERAGE AMOUNT</u>
---------------------------------	------------------------	------------------------------

Explanation: Due to the complexity of the design of the software and the tight development schedule prior to putting the code into production the Commission IT programming staff has not had sufficient time to learn the code structure of the system. Thus, the vendor needs to be employed to not only fix defects inherent to the system, but also work with the commission staff to provide hands-on learning to fix code base of the system so the that commission staff can modify and maintain the code base in-house.

Project Location: The system is maintained at the Texas Ethics Commission headquarters in Austin, Texas. The system benefits filers throughout the state.

Beneficiaries: Elected/appointed public officials, political committees registered in Texas and out-of-state committees active in Texas, state/agency employees, candidates for office in Texas, registered and general public.

Frequency of Use and External Factors Affecting Use:
Daily/Laws of the Legislature and court rulings that impact filing requirements.

5.B. Capital Budget Project Information
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

DATE: 9/10/2020
TIME: 11:06:33PM

Agency Code:	356	Agency name:	Texas Ethics Commission
Category Number:	5005	Category Name:	ACQUISITN INFO RES TECH.
Project number:	2	Project Name:	Enhancements to E-Filing System

PROJECT DESCRIPTION

General Information

The Commission's maintenance contract with the vendor for the agency's electronic filing system does not cover enhancements to the system. Enhancements to the campaign finance, lobby, personal financial statement, and certificates of interested party filing applications are required when legislative changes and new Commission rules modify the underlying business rules of the filing system components. The Commission is also sensitive to public requests for modifying the source code for ease of use.

PLCS Tracking Key

na

Number of Units / Average Unit Cost

(1,100) hrs @ a rate of \$125/hr= \$137,500

Estimated Completion Date

Until end of use of EFSS

Additional Capital Expenditure Amounts Required

2024

2025

137,500

137,500

Type of Financing

CA CURRENT APPROPRIATIONS

Projected Useful Life

Until end of use of EFSS

Estimated/Actual Project Cost

\$550,000

Length of Financing/ Lease Period

annual

ESTIMATED/ACTUAL DEBT OBLIGATION PAYMENTS

2022

2023

2024

2025

**Total over
project life**

137,500

137,500

137,500

137,500

550,000

REVENUE GENERATION / COST SAVINGS

REVENUE COST FLAG

MOF CODE

AVERAGE AMOUNT

R

1

0.00

Explanation:

Commission will continue to anticipate future changes required by legislative changes passed during the 87th Legislative Session. Commission desires to implement several enhancements to the Filing Applications if funding is awarded.

Project Location:

The system is maintained at the Texas Ethics Commission headquarters in Austin, Texas. The system benefits filers throughout the state.

Beneficiaries:

Elected/appointed public officials, political committees registered in Texas and out-of-state committees active in Texas, state/agency employees, candidates for office in Texas, registered and general public.

Frequency of Use and External Factors Affecting Use:

As enhancements are needed based on Laws of the Legislature and court rulings that impact filing requirements and technology growth.

5.B. Capital Budget Project Information
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

DATE: 9/10/2020
TIME: 11:06:33PM

Agency Code:	356	Agency name:	Texas Ethics Commission
Category Number:	9500	Category Name:	Legacy Modernization
Project number:	3	Project Name:	Managed Cloud Services

PROJECT DESCRIPTION

General Information

The Texas Ethics Commission's electronic filing system is running on legacy server hardware that soon will no longer be supported by Dell. The Commission is not willing to risk operating the state's electronic filing system on legacy, unsupported hardware, and has selected to migrate the electronic filing system to the AWS cloud. Due to the complexity of the computing environment and the difficulty to find, hire, and keep Unix system administration and software engineering skills in-house, the agency wishes to outsource the hosting for the electronic filing system, as well as the management and monitoring of the associated environments to the vendor that wrote and maintains the electronic filing system. The Commission can cover the cost to outsource the initial engineering work of migrating the electronic filing system software to the cloud platform with no additional funding from the State. However, the Commission requires additional funding to cover the annual cost of the AWS cloud services and the annual costs for the vendor to manage and monitor the associated environments. Beginning in year two of the cloud hosting, the Commission will apply the funds for current operating system software license and support fees and server hardware maintenance costs towards the cloud hosting, management, and monitoring costs. The Commission must maintain its RedHat and Dell coverage during year one as the legacy system and the cloud system will both be active before the cutover.

PLCS Tracking Key	PCLS_87R_356_603854
Number of Units / Average Unit Cost	1 @ \$150,000 a year
Estimated Completion Date	Until end of use or replaced

Additional Capital Expenditure Amounts Required	2024	2025
	150,000	150,000
Type of Financing	CA CURRENT APPROPRIATIONS	
Projected Useful Life	Until end of use or replaced	
Estimated/Actual Project Cost	\$600,000	
Length of Financing/ Lease Period	annual	

ESTIMATED/ACTUAL DEBT OBLIGATION PAYMENTS

				Total over project life
2022	2023	2024	2025	
150,000	150,000	150,000	150,000	600,000

REVENUE GENERATION / COST SAVINGS

<u>REVENUE COST FLAG</u>	<u>MOF CODE</u>	<u>AVERAGE AMOUNT</u>
---------------------------------	------------------------	------------------------------

Explanation: The agency's hardware is 6 to 7 years old, and is considered legacy. Dell will no longer support the hardware. The agency needs to move the filing application to the AWS cloud to reduce the states purchase of expensive server hardware that has minimal life expectancy. Moving the filing system to the cloud will adhere to DIR's Strategic Plan for Cloud Services and provide the flexibility of on-demand CPU and storage capacity and will enable benefit from AWS continual cybersecurity enhancements.

5.B. Capital Budget Project Information
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

DATE: 9/10/2020
TIME: 11:06:33PM

Project Location: The system is maintained at the Texas Ethics Commission headquarters in Austin, Texas. The system benefits filers throughout the state.

Beneficiaries: Elected/appointed public officials, political committees registered in Texas and out-of-state committees active in Texas, state/agency employees, candidates for office in Texas, registered and general public.

Frequency of Use and External Factors Affecting Use:
Daily 24x7x365

5.B. Capital Budget Project Information
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

DATE: 9/10/2020
TIME: 11:06:33PM

Agency Code:	356	Agency name:	Texas Ethics Commission
Category Number:	5005	Category Name:	ACQUISITN INFO RES TECH.
Project number:	4	Project Name:	Case Management Software License

PROJECT DESCRIPTION

General Information

The case management system procured in FY 2020 is a software license subscription that needs to be renewed on a yearly basis. The commission was appropriated \$22,000 for the ongoing maintenance of the newly acquired case management system, which is now a software as a service license subscription fee and not a maintenance fee. The commission was able to cut cost on the initial software cost by entering into an annual license subscription for the software priced at \$23,005.25 for the first three years with a 5% increase each preceding year.

PLCS Tracking Key

NA

Number of Units / Average Unit Cost

(1) @ \$23,005.25 plus 5% increase on a yearly basis

Estimated Completion Date

Until end of use or replacement

Additional Capital Expenditure Amounts Required

2024

2025

5,000

5,000

Type of Financing

CA CURRENT APPROPRIATIONS

Projected Useful Life

Until end of use or replacement

Estimated/Actual Project Cost

\$99,155

Length of Financing/ Lease Period

Annual

ESTIMATED/ACTUAL DEBT OBLIGATION PAYMENTS

2022

2023

2024

2025

**Total over
project life**

23,005

24,156

25,363

26,631

99,155

REVENUE GENERATION / COST SAVINGS

REVENUE COST FLAG

MOF CODE

AVERAGE AMOUNT

R

1

0.00

Explanation:

In August 2020 the Commission entered into a SAAS, software license subscription agreement with an outside vendor that allows the agency to track the status of all the sworn complaints. It allows the public to submit complaints and supporting documentation, streamlines the process and will be able to track the sworn complaint process from beginning to end in a seamless matter with reporting capabilities. The license subscription will have a yearly 5% increase over the life of the subscription.

Project Location:

The system is maintained at the Texas Ethics Commission headquarters in Austin, Texas. The system benefits filers throughout the state.

Beneficiaries:

Texas Ethics Commission legal staff

Frequency of Use and External Factors Affecting Use:

Daily 24x7x365

5.B. Capital Budget Project Information
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

DATE: 9/10/2020
TIME: 11:06:33PM

Agency Code:	356	Agency name:	Texas Ethics Commission
Category Number:	5005	Category Name:	ACQUISITN INFO RES TECH.
Project number:	5	Project Name:	PIR module addition to CM

PROJECT DESCRIPTION

General Information

Adding the public information request (PIR) module to the current case management system would allow the TEC to move to a more efficient system for processing PIRS and copy order requests. The Commission staff relies on Word Documents and Excel spreadsheets to keep track of and follow the progress of PIRs and copy orders to completion. There is no integration among the tools used. A PIR system would allow managers, attorneys, and legal support staff to reduce the time spent on each open records request, manage and meet deadlines, and speed up the response.

PLCS Tracking Key	NA
Number of Units / Average Unit Cost	(1) @ \$30,044 for FY 2022 plus 5% increase every preceding year
Estimated Completion Date	Until end of use or replacement

Additional Capital Expenditure Amounts Required	2024	2025
	33,123	34,779

Type of Financing	CA CURRENT APPROPRIATIONS
Projected Useful Life	Until end of use or replacement

Estimated/Actual Project Cost	\$129,492
Length of Financing/ Lease Period	annual

<u>ESTIMATED/ACTUAL DEBT OBLIGATION PAYMENTS</u>					Total over project life
2022	2023	2024	2025		
30,044	31,546	33,123	34,779		129,492

REVENUE GENERATION / COST SAVINGS

<u>REVENUE COST FLAG</u>	<u>MOF CODE</u>	<u>AVERAGE AMOUNT</u>
R	1	0.00

Explanation: The agency receives 106 public information and 447 copy orders requests per year. Not only is complying with public information requests legally required, it is critical to the agency's mission of promoting public confidence in government. A case management system to track these requests will make complying with the requests more efficient, and will eliminate work being duplicated when multiple requests are received for the same or similar information.

Project Location: The system is maintained at the Texas Ethics Commission headquarters in Austin, Texas. The system benefits filers throughout the state.

Beneficiaries: Texas Ethics Commission legal staff and the general public

Frequency of Use and External Factors Affecting Use:

Daily 24x7x365

Agency code: 356 Agency name: Texas Ethics Commission

Category Code/Name

Project Sequence/Project Id/Name

Goal/Obj/Str	Strategy Name	Est 2020	Bud 2021	BL 2022	BL 2023
5005 Acquisition of Information Resource Technologies					
<i>1/1 Vendor Support</i>					
<u>GENERAL BUDGET</u>					
Capital	2-1-2 INFORMATION RESOURCES	447,890	447,890	\$447,890	\$447,890
	TOTAL, PROJECT	\$447,890	\$447,890	\$447,890	\$447,890
<i>2/2 Enhancements to E-Filing System</i>					
<u>GENERAL BUDGET</u>					
Capital	2-1-2 INFORMATION RESOURCES	137,500	137,500	137,500	137,500
	TOTAL, PROJECT	\$137,500	\$137,500	\$137,500	\$137,500
<i>4/4 Case Management Software License</i>					
<u>GENERAL BUDGET</u>					
Capital	2-1-2 INFORMATION RESOURCES	22,000	22,000	22,000	22,000
	TOTAL, PROJECT	\$22,000	\$22,000	\$22,000	\$22,000
<i>5/5 PIR module addition to CM</i>					
<u>GENERAL BUDGET</u>					
Capital	2-1-2 INFORMATION RESOURCES	0	0	0	0
	TOTAL, PROJECT	\$0	\$0	\$0	\$0

9500 Legacy Modernization

3/3 Managed Cloud Services

5.C. Capital Budget Allocation to Strategies (Baseline)
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

DATE: **9/10/2020**
TIME: **11:06:33PM**

Agency code: **356** Agency name: **Texas Ethics Commission**

Category Code/Name

Project Sequence/Project Id/Name

Goal/Obj/Str	Strategy Name	Est 2020	Bud 2021	BL 2022	BL 2023	
<u>GENERAL BUDGET</u>						
Capital	2-1-2	INFORMATION RESOURCES	0	0	\$0	\$0
		TOTAL, PROJECT	\$0	\$0	\$0	\$0
		TOTAL CAPITAL, ALL PROJECTS	\$607,390	\$607,390	\$607,390	\$607,390
		TOTAL INFORMATIONAL, ALL PROJECTS				
		TOTAL, ALL PROJECTS	\$607,390	\$607,390	\$607,390	\$607,390

5.D. Capital Budget Operating and Maintenance Expenses
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

DATE: 9/10/2020
TIME: 11:06:34PM

Agency Code: **356** Agency name: **Texas Ethics Commission**
Project Number: **1** Project name: **Vendor Support for Electronic Filing & Disclosure Database Systems**

Operating Expenses Estimates (For Information Only)

CODE DESCRIPTION	2022	2023	2024	2025
OBJECTS OF EXPENSE:				
5000 CAPITAL EXPENDITURES	\$447,890	\$447,890	\$447,890	\$447,890
TOTAL, OBJECT OF EXPENSE	\$447,890	\$447,890	\$447,890	\$447,890
METHOD OF FINANCING:				
1 General Revenue Fund	\$447,890	\$447,890	\$447,890	\$447,890
TOTAL, METHOD OF FINANCING	\$447,890	\$447,890	\$447,890	\$447,890
FULL TIME EQUIVALENT POSITIONS:	0.0	0.0	0.0	0.0
OPERATING COSTS DESCRIPTION AND JUSTIFICATION:				

The architecture of the new electronic filing system is complex. The code base consists of several hundred thousand lines of Java code that run in a virtualized Red Hat JBOSS environment. Due to the complexity of the design of the software and the tight development schedule prior to putting the code into production and the unexpected need to quickly develop, deploy, and assist filers with the new filing application to implement HB 1295 passed by the 84th Legislature, the agency IT programming staff has not had sufficient time to learn the code structure of the system. Thus, the vendor's contract needs to be renewed to not only fix the defects inherent in the system, but also work with the agency IT staff to provide hands-on learning of the code base of the new system so that the agency staff can modify and maintain the code base in-house.

5.D. Capital Budget Operating and Maintenance Expenses
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

DATE: 9/10/2020
TIME: 11:06:34PM

Agency Code: **356** Agency name: **Texas Ethics Commission**
Project Number: **2** Project name: **Enhancements to Electronic Filing System**

Operating Expenses Estimates (For Information Only)

CODE DESCRIPTION	2022	2023	2024	2025
OBJECTS OF EXPENSE:				
5000 CAPITAL EXPENDITURES	\$137,500	\$137,500	\$137,500	\$137,500
TOTAL, OBJECT OF EXPENSE	\$137,500	\$137,500	\$137,500	\$137,500
METHOD OF FINANCING:				
1 General Revenue Fund	\$137,500	\$137,500	\$137,500	\$137,500
TOTAL, METHOD OF FINANCING	\$137,500	\$137,500	\$137,500	\$137,500
FULL TIME EQUIVALENT POSITIONS:	0.0	0.0	0.0	0.0
OPERATING COSTS DESCRIPTION AND JUSTIFICATION:				

The Commission provides a state-of-the art electronic filing system for statewide filers as charged by Texas statute. This electronic filing system was put into production in 2015. Enhancements to the filing system source code are required when legislative changes, new Commission rules, and requests from agency staff and filers who use the filing applications alter the underlying business rules of the filing system. Enhancements to the Commission's electronic filing system are not covered under the maintenance contract with the vendor, but are billed as time and materials. The billing rate for FY2022 and FY2023 is \$125/hour, and this rate is expected to increase in future years.

Ethics reform is typically a priority on legislative session agendas. New ethics related statutory changes are passed each session that require source code changes to the electronic filing system in order to satisfy the legal requirements of the new statutes. Due to the complex nature of the electronic filing system, the contracted software vendor must be employed to make enhancements to the source code, and these changes are billed hourly as time and materials.

Enhancements to the electronic filing system will always be required due to legislative changes and Commission rule changes. Because the necessary code changes must be outsourced, the Commission needs to continually fund these enhancement hours on an annual basis.

5.D. Capital Budget Operating and Maintenance Expenses
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

DATE: 9/10/2020
TIME: 11:06:34PM

Agency Code: **356** Agency name: **Texas Ethics Commission**
Project Number: **3** Project name: **Managed Cloud Services for TEC Electronic Filing System**

Operating Expenses Estimates (For Information Only)

CODE DESCRIPTION	2022	2023	2024	2025
OBJECTS OF EXPENSE:				
5000 CAPITAL EXPENDITURES	\$150,000	\$150,000	\$150,000	\$150,000
TOTAL, OBJECT OF EXPENSE	\$150,000	\$150,000	\$150,000	\$150,000
METHOD OF FINANCING:				
1 General Revenue Fund	\$150,000	\$150,000	\$150,000	\$150,000
TOTAL, METHOD OF FINANCING	\$150,000	\$150,000	\$150,000	\$150,000
FULL TIME EQUIVALENT POSITIONS:	0.0	0.0	0.0	0.0
OPERATING COSTS DESCRIPTION AND JUSTIFICATION:				

The Commission is required by Texas statute to provide an electronic filing system for the statewide campaign finance, lobby, and personal financial statement filers. As the agency's hardware has reached 6 to 7 years of age, the hardware is considered legacy, and Dell will soon no longer support the hardware. The agency has selected to move the filing application to the AWS cloud to reduce the burden on the State to purchase and deal with expensive server hardware that has minimal life expectancy. Moving the filing system to the cloud will adhere to DIR's Strategic Plan for Cloud Services and will provide the flexibility of on-demand CPU and storage capacity and will enable the filing system to benefit from AWS continual cybersecurity enhancements. Due to the complexity of the computing environment and the difficulty of hiring and keeping software engineers on the TEC staff, the agency wishes to outsource the hosting for the electronic filing system, as well as the management and monitoring of the associated environments to the vendor that wrote and maintains the electronic filing system. The Commission will use its current enhancement hours to pay for the migration services. Funding is required to cover the annual cost of the AWS cloud hosting services and the annual costs for the vendor to manage and monitor the associated environments.

5.D. Capital Budget Operating and Maintenance Expenses
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

DATE: 9/10/2020
TIME: 11:06:34PM

Agency Code: **356** Agency name: **Texas Ethics Commission**
Project Number: **4** Project name: **Case Management Software License Subscription**

Operating Expenses Estimates (For Information Only)

CODE DESCRIPTION	2022	2023	2024	2025
OBJECTS OF EXPENSE:				
5000 CAPITAL EXPENDITURES	\$23,005	\$24,156	\$25,363	\$26,631
TOTAL, OBJECT OF EXPENSE	\$23,005	\$24,156	\$25,363	\$26,631
METHOD OF FINANCING:				
1 General Revenue Fund	\$23,005	\$24,156	\$25,363	\$26,631
TOTAL, METHOD OF FINANCING	\$23,005	\$24,156	\$25,363	\$26,631
FULL TIME EQUIVALENT POSITIONS:	0.0	0.0	0.0	0.0
OPERATING COSTS DESCRIPTION AND JUSTIFICATION:				

If funded the commission would be able to continue efficiently tracking sworn complaint cases and provide a report on the number received, closed and status of each case. If the commission is not funded for the shortfall, we would have to continue using an outdated database that makes managing cases more tedious, leaves room for manual errors and reporting inconsistencies.

5.D. Capital Budget Operating and Maintenance Expenses
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

DATE: 9/10/2020
TIME: 11:06:34PM

Agency Code: **356** Agency name: **Texas Ethics Commission**
Project Number: **5** Project name: **Public Information Records Module addition to the Case Management Software I**

Operating Expenses Estimates (For Information Only)

CODE DESCRIPTION	2022	2023	2024	2025
OBJECTS OF EXPENSE:				
5000 CAPITAL EXPENDITURES	\$30,044	\$31,546	\$33,123	\$34,779
TOTAL, OBJECT OF EXPENSE	\$30,044	\$31,546	\$33,123	\$34,779
METHOD OF FINANCING:				
1 General Revenue Fund	\$30,044	\$31,546	\$33,123	\$34,779
TOTAL, METHOD OF FINANCING	\$30,044	\$31,546	\$33,123	\$34,779
FULL TIME EQUIVALENT POSITIONS:	0.0	0.0	0.0	0.0
OPERATING COSTS DESCRIPTION AND JUSTIFICATION:				

The agency receives 107 public information requests per year. Not only is complying with public information requests legally required, it is critical to the agency's mission of promoting public confidence in government. A case management system to track these requests will make complying with the requests efficient, and will eliminate work being duplicated when multiple requests are received for the same or similar information.

356 Texas Ethics Commission

Category Code/Name

Project Sequence/Name

Goal/Obj/Str	Strategy Name	Est 2020	Bud 2021	BL 2022	BL 2023
5005 Acquisition of Information Resource Technologies					
1 Vendor Support					
OOE					
Capital					
2-1-2 INFORMATION RESOURCES					
<u>General Budget</u>					
5000	CAPITAL EXPENDITURES	447,890	447,890	447,890	447,890
	TOTAL, OOE's	\$447,890	\$447,890	447,890	447,890
MOF					
GENERAL REVENUE FUNDS					
Capital					
2-1-2 INFORMATION RESOURCES					
<u>General Budget</u>					
1	General Revenue Fund	447,890	447,890	447,890	447,890
	TOTAL, GENERAL REVENUE FUNDS	\$447,890	\$447,890	447,890	447,890
	TOTAL, MOF's	\$447,890	\$447,890	447,890	447,890

356 Texas Ethics Commission

Category Code/Name

Project Sequence/Name

Goal/Obj/Str	Strategy Name	Est 2020	Bud 2021	BL 2022	BL 2023
2 Enhancements to E-Filing System					
OOE					
Capital					
2-1-2 INFORMATION RESOURCES					
<u>General Budget</u>					
5000	CAPITAL EXPENDITURES	137,500	137,500	137,500	137,500
TOTAL, OOE's		\$137,500	\$137,500	137,500	137,500
MOF					
GENERAL REVENUE FUNDS					
Capital					
2-1-2 INFORMATION RESOURCES					
<u>General Budget</u>					
1	General Revenue Fund	137,500	137,500	137,500	137,500
TOTAL, GENERAL REVENUE FUNDS		\$137,500	\$137,500	137,500	137,500
TOTAL, MOF's		\$137,500	\$137,500	137,500	137,500

356 Texas Ethics Commission

Category Code/Name

Project Sequence/Name

Goal/Obj/Str	Strategy Name	Est 2020	Bud 2021	BL 2022	BL 2023
4 Case Management Software License					
OOE					
Capital					
2-1-2 INFORMATION RESOURCES					
<u>General Budget</u>					
5000	CAPITAL EXPENDITURES	22,000	22,000	22,000	22,000
TOTAL, OOE's		\$22,000	\$22,000	22,000	22,000
MOF					
GENERAL REVENUE FUNDS					
Capital					
2-1-2 INFORMATION RESOURCES					
<u>General Budget</u>					
1	General Revenue Fund	22,000	22,000	22,000	22,000
TOTAL, GENERAL REVENUE FUNDS		\$22,000	\$22,000	22,000	22,000
TOTAL, MOF's		\$22,000	\$22,000	22,000	22,000

356 Texas Ethics Commission

Category Code/Name

Project Sequence/Name

Goal/Obj/Str	Strategy Name	Est 2020	Bud 2021	BL 2022	BL 2023
5 PIR module addition to CM					
OOE					
Capital					
2-1-2 INFORMATION RESOURCES					
<u>General Budget</u>					
5000	CAPITAL EXPENDITURES	0	0	0	0
TOTAL, OOE's		\$0	\$0	0	0
MOF					
GENERAL REVENUE FUNDS					
Capital					
2-1-2 INFORMATION RESOURCES					
<u>General Budget</u>					
1	General Revenue Fund	0	0	0	0
TOTAL, GENERAL REVENUE FUNDS		\$0	\$0	0	0
TOTAL, MOF's		\$0	\$0	0	0

9500 Legacy Modernization

356 Texas Ethics Commission

Category Code/Name

Project Sequence/Name

Goal/Obj/Str	Strategy Name	Est 2020	Bud 2021	BL 2022	BL 2023
3 Managed Cloud Services					
OOE					
Capital					
2-1-2 INFORMATION RESOURCES					
<u>General Budget</u>					
5000	CAPITAL EXPENDITURES	0	0	0	0
TOTAL, OOE's		\$0	\$0	0	0
MOF					
GENERAL REVENUE FUNDS					
Capital					
2-1-2 INFORMATION RESOURCES					
<u>General Budget</u>					
1	General Revenue Fund	0	0	0	0
TOTAL, GENERAL REVENUE FUNDS		\$0	\$0	0	0
TOTAL, MOF's		\$0	\$0	0	0

356 Texas Ethics Commission

		Est 2020	Bud 2021	BL 2022	BL 2023
CAPITAL					
<u>General Budget</u>					
GENERAL REVENUE FUNDS					
TOTAL, GENERAL BUDGET		\$607,390	\$607,390	607,390	607,390
		607,390	607,390	607,390	607,390
TOTAL, ALL PROJECTS		\$607,390	\$607,390	607,390	607,390

6.A. Historically Underutilized Business Supporting Schedule
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

Date: **9/10/2020**
Time: **11:06:34PM**

Agency Code: **356** Agency: **Texas Ethics Commission**

COMPARISON TO STATEWIDE HUB PROCUREMENT GOALS

A. Fiscal Year - HUB Expenditure Information

Statewide HUB Goals	Procurement Category	% Goal	HUB Expenditures FY 2018			Total Expenditures		HUB Expenditures FY 2019			Total Expenditures	
			% Actual	Diff	Actual \$	FY 2018	% Goal	% Actual	Diff	Actual \$	FY 2019	
11.2%	Heavy Construction	11.2 %	0.0%	-11.2%	\$0	\$0	11.2 %	0.0%	-11.2%	\$0	\$0	
21.1%	Building Construction	21.1 %	0.0%	-21.1%	\$0	\$0	21.1 %	0.0%	-21.1%	\$0	\$0	
32.9%	Special Trade	32.9 %	0.0%	-32.9%	\$0	\$0	32.9 %	0.0%	-32.9%	\$0	\$0	
23.7%	Professional Services	23.7 %	100.0%	76.3%	\$3,536	\$3,536	23.7 %	100.0%	76.3%	\$3,492	\$3,492	
26.0%	Other Services	26.0 %	69.2%	43.2%	\$545,257	\$788,497	26.0 %	63.9%	37.9%	\$350,118	\$548,174	
21.1%	Commodities	21.1 %	6.2%	-14.9%	\$5,146	\$83,311	21.1 %	33.3%	12.2%	\$19,592	\$58,881	
	Total Expenditures		63.3%		\$553,939	\$875,344		61.1%		\$373,202	\$610,547	

B. Assessment of Fiscal Year - 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 2018-2019. 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 2018 or FY 2019.

Factors Affecting Attainment:

In both FY 2018 and FY 2019, 100% of the applicable goals were met. The goals for FY 2020-201 will remain as those listed for FY 2019.

"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 2020-2021 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.

6.E. Estimated Revenue Collections Supporting Schedule
87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

Agency Code: **356** Agency name: **Texas Ethics Commission**

FUND/ACCOUNT	Act 2019	Exp 2020	Est 2021	Est 2022	Est 2023
<u>666</u> Appropriated Receipts					
Beginning Balance (Unencumbered):	\$8,190	\$0	\$0	\$0	\$0
Estimated Revenue:					
3719 Fees/Copies or Filing of Records	6,303	5,606	0	0	0
Subtotal: Actual/Estimated Revenue	6,303	5,606	0	0	0
Total Available	\$14,493	\$5,606	\$0	\$0	\$0
DEDUCTIONS:					
Expenditures for Agency Operations	(14,493)	(5,606)	0	0	0
1	0	0	0	0	0
Total, Deductions	\$(14,493)	\$(5,606)	\$0	\$0	\$0
Ending Fund/Account Balance	\$0	\$0	\$0	\$0	\$0

REVENUE ASSUMPTIONS:

Appropriated Receipts revenue is comprised of the amounts charged to customers for providing copies of information (i.e., paper copies of reports filed with the agency or information from agency databases) maintained by the Commission. The Commission has no control over the number, size, or amounts of copy orders that will be received. During the 86th Legislature, the Commission requested to eliminate the contingency rider for FY 2020- 2021 and any future bienniums and have the \$8,190 included within the baseline of strategy 1.1 (Disclosure Filings Division). This request was approved.

CONTACT PERSON:

Cristina Hernandez

7.A. Indirect Administrative and Support Costs

9/10/2020 11:06:35PM

87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

356 Texas Ethics Commission						
Strategy		Exp 2019	Est 2020	Bud 2021	BL 2022	BL 2023
2-1-1	Central Administration					
OBJECTS OF EXPENSE:						
1001	SALARIES AND WAGES	\$282,537	\$ 361,219	\$ 361,214	\$ 364,709	\$ 364,709
1002	OTHER PERSONNEL COSTS	27,145	33,394	32,600	40,600	40,600
2001	PROFESSIONAL FEES AND SERVICES	2,827	3,353	4,240	4,740	4,740
2003	CONSUMABLE SUPPLIES	811	745	1,500	2,000	2,000
2004	UTILITIES	8	13	14	14	14
2005	TRAVEL	0	0	0	0	0
2006	RENT - BUILDING	0	0	0	0	0
2007	RENT - MACHINE AND OTHER	606	350	622	622	622
2009	OTHER OPERATING EXPENSE	40,356	10,944	9,828	9,733	9,733
5000	CAPITAL EXPENDITURES	36,290	17,343	0	0	0
Total, Objects of Expense		\$390,580	\$427,361	\$410,018	\$422,418	\$422,418
METHOD OF FINANCING:						
1	General Revenue Fund	390,580	427,361	410,018	422,418	422,418
Total, Method of Financing		\$390,580	\$427,361	\$410,018	\$422,418	\$422,418
FULL TIME EQUIVALENT POSITIONS		4.0	5.1	5.0	5.0	5.0

Method of Allocation

7.A. Indirect Administrative and Support Costs

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Automated Budget and Evaluation System of Texas (ABEST)

356 Texas Ethics Commission

Strategy		Exp 2019	Est 2020	Bud 2021	BL 2022	BL 2023
2-1-1	Central Administration					

Central Administration. The indirect administrative and support costs are allocated proportionately among all strategies based on the number of FTEs assigned to the strategies.

7.A. Indirect Administrative and Support Costs

9/10/2020 11:06:35PM

87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

356 Texas Ethics Commission						
Strategy		Exp 2019	Est 2020	Bud 2021	BL 2022	BL 2023
2-1-2	Information Resources					
OBJECTS OF EXPENSE:						
1001	SALARIES AND WAGES	\$270,505	\$ 335,922	\$ 485,688	\$ 438,000	\$ 438,000
1002	OTHER PERSONNEL COSTS	37,980	51,826	23,040	22,000	22,000
2001	PROFESSIONAL FEES AND SERVICES	2,185	9,280	7,790	6,460	6,460
2003	CONSUMABLE SUPPLIES	232	230	200	200	200
2004	UTILITIES	456	456	430	430	430
2005	TRAVEL	0	0	0	0	0
2006	RENT - BUILDING	261	268	260	260	260
2007	RENT - MACHINE AND OTHER	151	125	125	125	125
2009	OTHER OPERATING EXPENSE	198,985	160,765	166,608	162,217	162,217
5000	CAPITAL EXPENDITURES	347,890	737,390	607,390	607,390	607,390
Total, Objects of Expense		\$858,645	\$1,296,262	\$1,291,531	\$1,237,082	\$1,237,082
METHOD OF FINANCING:						
1	General Revenue Fund	858,645	1,296,262	1,291,531	1,237,082	1,237,082
Total, Method of Financing		\$858,645	\$1,296,262	\$1,291,531	\$1,237,082	\$1,237,082
FULL TIME EQUIVALENT POSITIONS		5.5	6.2	8.0	8.0	8.0

Method of Allocation

7.A. Indirect Administrative and Support Costs

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87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

356 Texas Ethics Commission

Exp 2019

Est 2020

Bud 2021

BL 2022

BL 2023

Information Resources. The indirect administrative and support costs are allocated proportionately among all strategies based on the number of FTEs assigned to the strategies.

7.A. Indirect Administrative and Support Costs

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87th Regular Session, Agency Submission, Version 1
Automated Budget and Evaluation System of Texas (ABEST)

356 Texas Ethics Commission

	Exp 2019	Est 2020	Bud 2021	BL 2022	BL 2023
GRAND TOTALS					
Objects of Expense					
1001 SALARIES AND WAGES	\$553,042	\$697,141	\$846,902	\$802,709	\$802,709
1002 OTHER PERSONNEL COSTS	\$65,125	\$85,220	\$55,640	\$62,600	\$62,600
2001 PROFESSIONAL FEES AND SERVICES	\$5,012	\$12,633	\$12,030	\$11,200	\$11,200
2003 CONSUMABLE SUPPLIES	\$1,043	\$975	\$1,700	\$2,200	\$2,200
2004 UTILITIES	\$464	\$469	\$444	\$444	\$444
2005 TRAVEL	\$0	\$0	\$0	\$0	\$0
2006 RENT - BUILDING	\$261	\$268	\$260	\$260	\$260
2007 RENT - MACHINE AND OTHER	\$757	\$475	\$747	\$747	\$747
2009 OTHER OPERATING EXPENSE	\$239,341	\$171,709	\$176,436	\$171,950	\$171,950
5000 CAPITAL EXPENDITURES	\$384,180	\$754,733	\$607,390	\$607,390	\$607,390
Total, Objects of Expense	\$1,249,225	\$1,723,623	\$1,701,549	\$1,659,500	\$1,659,500
Method of Financing					
1 General Revenue Fund	\$1,249,225	\$1,723,623	\$1,701,549	\$1,659,500	\$1,659,500
Total, Method of Financing	\$1,249,225	\$1,723,623	\$1,701,549	\$1,659,500	\$1,659,500
Full-Time-Equivalent Positions (FTE)	9.5	11.3	13.0	13.0	13.0

Agency code: **356**

Agency name: **Texas Ethics Commission**

Strategy		Exp 2019	Est 2020	Bud 2021	BL 2022	BL 2023
1-1-1		Serve as the Repository for Statutorily Required Information				
OBJECTS OF EXPENSE:						
1001	SALARIES AND WAGES	\$224,510	\$217,035	\$261,500	\$268,500	\$268,500
1002	OTHER PERSONNEL COSTS	20,696	27,428	36,649	34,934	34,934
2001	PROFESSIONAL FEES AND SERVICES	112	247	250	250	250
2003	CONSUMABLE SUPPLIES	2,258	1,500	3,000	3,500	3,500
2004	UTILITIES	104	13	20	20	20
2005	TRAVEL	0	0	0	0	0
2006	RENT - BUILDING	330	605	400	600	600
2007	RENT - MACHINE AND OTHER	5,919	7,400	5,000	6,000	6,000
2009	OTHER OPERATING EXPENSE	40,925	37,800	28,691	26,706	26,706
5000	CAPITAL EXPENDITURES	0	0	0	0	0
Total, Objects of Expense		\$294,854	\$292,028	\$335,510	\$340,510	\$340,510
METHOD OF FINANCING:						
1	General Revenue Fund	280,361	286,519	335,510	340,510	340,510
666	Appropriated Receipts	14,493	5,509	0	0	0
Total, Method of Financing		\$294,854	\$292,028	\$335,510	\$340,510	\$340,510

DESCRIPTION

Serve as the Repository for Statutorily Required Information.

Agency code: **356**

Agency name: **Texas Ethics Commission**

Strategy	Exp 2019	Est 2020	Bud 2021	BL 2022	BL 2023
1-1-2 Respond to Requests for Guidance/Advisory Opinions					
OBJECTS OF EXPENSE:					
1001 SALARIES AND WAGES	\$307,340	\$364,934	\$362,128	\$466,818	\$466,818
1002 OTHER PERSONNEL COSTS	11,320	37,961	32,100	19,453	19,453
2001 PROFESSIONAL FEES AND SERVICES	146	280	0	0	0
2003 CONSUMABLE SUPPLIES	555	542	545	545	545
2004 UTILITIES	0	-13	0	0	0
2005 TRAVEL	56	0	1,780	0	0
2006 RENT - BUILDING	120	120	6,320	125	125
2007 RENT - MACHINE AND OTHER	2,686	437	700	700	700
2009 OTHER OPERATING EXPENSE	35,422	27,721	28,409	21,984	21,984
5000 CAPITAL EXPENDITURES	0	0	0	0	0
Total, Objects of Expense	\$357,645	\$431,982	\$431,982	\$509,625	\$509,625
METHOD OF FINANCING:					
1 General Revenue Fund	357,645	431,982	431,982	509,625	509,625
Total, Method of Financing	\$357,645	\$431,982	\$431,982	\$509,625	\$509,625
FULL-TIME-EQUIVALENT POSITIONS (FTE):	4.2	6.4	7.0	7.0	7.0

DESCRIPTION

Respond to Requests for Guidance/Advisory Opinions. The direct administrative and support costs are allocated proportionately among all strategies based on the number of FTEs assigned to the strategies.

Agency code: **356**

Agency name: **Texas Ethics Commission**

Strategy		Exp 2019	Est 2020	Bud 2021	BL 2022	BL 2023
1-1-3	Respond to Complaints and Enforce Applicable Statutes					
OBJECTS OF EXPENSE:						
1001	SALARIES AND WAGES	\$408,084	\$509,895	\$552,677	\$442,492	\$442,492
1002	OTHER PERSONNEL COSTS	97,557	74,256	89,758	89,082	89,082
2001	PROFESSIONAL FEES AND SERVICES	101,805	300,514	300,560	300,560	300,560
2003	CONSUMABLE SUPPLIES	1,448	1,551	1,290	1,400	1,400
2004	UTILITIES	915	3,992	1,101	1,001	1,001
2005	TRAVEL	18,194	23,725	20,000	15,000	15,000
2006	RENT - BUILDING	0	0	0	0	0
2007	RENT - MACHINE AND OTHER	2,066	4,391	4,162	2,000	2,000
2009	OTHER OPERATING EXPENSE	33,019	30,867	28,347	22,669	22,669
5000	CAPITAL EXPENDITURES	0	0	0	0	0
Total, Objects of Expense		\$663,088	\$949,191	\$997,895	\$874,204	\$874,204
METHOD OF FINANCING:						
1	General Revenue Fund	663,088	949,191	997,895	874,204	874,204
Total, Method of Financing		\$663,088	\$949,191	\$997,895	\$874,204	\$874,204
FULL-TIME-EQUIVALENT POSITIONS (FTE):		6.0	6.3	8.4	8.4	8.4

DESCRIPTION

Respond to Complaints and Enforce Applicable Statutes. The direct administrative and support costs are allocated proportionately among all strategies based on the number of FTEs assigned to the strategies.

Agency code: **356**

Agency name: **Texas Ethics Commission**

		Exp 2019	Est 2020	Bud 2021	BL 2022	BL 2023
GRAND TOTALS						
Objects of Expense						
1001	SALARIES AND WAGES	\$939,934	\$1,091,864	\$1,176,305	\$1,177,810	\$1,177,810
1002	OTHER PERSONNEL COSTS	\$129,573	\$139,645	\$158,507	\$143,469	\$143,469
2001	PROFESSIONAL FEES AND SERVICES	\$102,063	\$301,041	\$300,810	\$300,810	\$300,810
2003	CONSUMABLE SUPPLIES	\$4,261	\$3,593	\$4,835	\$5,445	\$5,445
2004	UTILITIES	\$1,019	\$3,992	\$1,121	\$1,021	\$1,021
2005	TRAVEL	\$18,250	\$23,725	\$21,780	\$15,000	\$15,000
2006	RENT - BUILDING	\$450	\$725	\$6,720	\$725	\$725
2007	RENT - MACHINE AND OTHER	\$10,671	\$12,228	\$9,862	\$8,700	\$8,700
2009	OTHER OPERATING EXPENSE	\$109,366	\$96,388	\$85,447	\$71,359	\$71,359
5000	CAPITAL EXPENDITURES	\$0	\$0	\$0	\$0	\$0
Total, Objects of Expense		\$1,315,587	\$1,673,201	\$1,765,387	\$1,724,339	\$1,724,339
Method of Financing						
1	General Revenue Fund	\$1,301,094	\$1,667,692	\$1,765,387	\$1,724,339	\$1,724,339
666	Appropriated Receipts	\$14,493	\$5,509	\$0	\$0	\$0
Total, Method of Financing		\$1,315,587	\$1,673,201	\$1,765,387	\$1,724,339	\$1,724,339
Full-Time-Equivalent Positions (FTE)		10.2	12.7	15.4	15.4	15.4