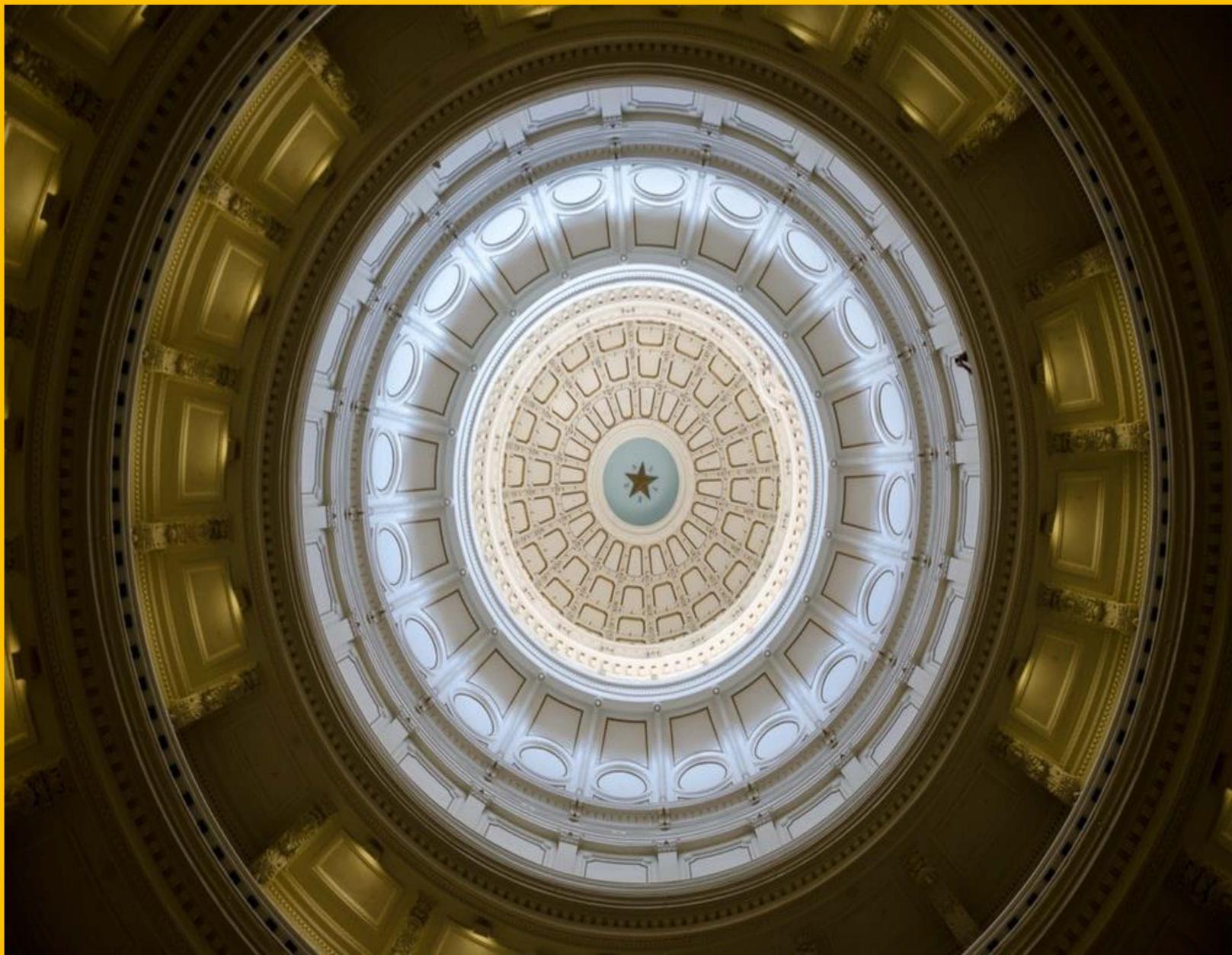


TEXAS ETHICS COMMISSION

STRATEGIC PLAN

FISCAL YEARS 2021 - 2025



JUNE 2020

TEXAS ETHICS COMMISSION



STRATEGIC PLAN



FISCAL PERIOD 2021 - 2025

BOARD MEMBERS	TERM	HOMETOWN
CHAD M. CRAYCRAFT, CHAIR	2016 - 2023	DALLAS, TEXAS
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CHRIS FLOOD	2017 - 2019	HOUSTON, TEXAS
MARY K. "KATIE" KENNEDY, VICE CHAIR	2016 - 2023	HOUSTON, TEXAS
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STEVEN D. WOLENS	2016 - 2019	DALLAS, TEXAS

SUBMITTED JUNE 2020

SIGNED:

ANNE T. PETERS
EXECUTIVE DIRECTOR

APPROVED:

CHAD M. CRAYCRAFT
CHAIR

TEXAS ETHICS COMMISSION
STRATEGIC PLAN
FISCAL PERIODS 2021 – 2025

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AGENCY MISSION AND OVERVIEW

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

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

The Commission has 35.4 authorized FTE's headed by an Executive Director who oversees four major divisions to accomplish the working functions and duties of the agency. The Commission has both constitutional and statutory duties. Constitutionally, the Commission is authorized to recommend the salary of members of the Legislature and the Lieutenant Governor, subject to approval by the voters; and sets the per diem for member of the Legislature and the Lieutenant Governor. Statutory authority for the Commission is partially outlined in Chapter 571 of the Government Code. Laws under the Commission's jurisdiction include those relating to campaign finance and political advertising, lobby activity, personal financial disclosure by state officers and candidates, the standards of conduct and conflicts of interest of public servants, and several other laws regulating the reporting requirements of other state and local officials and entities.

AGENCY OPERATIONAL GOAL AND ACTION PLAN

The Commission's primary goal is to promote public confidence in electoral and governmental processes by enforcing and administering applicable laws. The action plan to achieve this goal includes increasing the public's ability to access information about public officials, candidates for public office, and persons attempting to influence public officials, and to assist people in understanding their responsibilities under the laws administered by the Commission, thereby enhancing the potential for individual participation in government. The action plan necessary to achieve the Commission's primary goal also includes making reports required to be filed with the Commission available to the public within two working days of receipt, to provide responses to advisory opinion requests within the time provided by law (60 days, plus two 30-day extensions for a total of 120 days), and to respond to sworn complaints within five business days after filing.

The Commission's secondary goal is to establish and carry out policies governing budgeting, human resources, risk management, purchasing and contracting that foster meaningful and substantive inclusion of historically underutilized businesses, as well as providing agency-wide computer service support, managing information technology projects, and improving the agency website and electronic filing systems. The action plan for the secondary goal is to include historically underutilized business (HUB's) in at least 20 percent of the total value of contracts and subcontracts awarded annually by the agency in purchasing and contracting.

The Commission's achievement of this secondary goal is also reflected in the agency's ability to meet its primary goal.

SPECIFIC ACTION ITEMS TO ACHIEVE GOALS

PRIMARY GOAL - PROMOTE PUBLIC CONFIDENCE:

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

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

2. LEGAL GUIDANCE AND OPINIONS DIVISION. This division provides assistance to the public and filers by: (1) responding by telephone and in writing to requests for guidance and instruction on laws administered and enforced by the Commission and (2) by drafting responses quickly, accurately, and impartially to advisory opinion requests. It is essential to the Commission's primary goal that requests for advisory opinions are answered as quickly as possible and in compliance with the 120-day statutory deadline (60 days, plus two 30-day extensions). To measure this goal, it is necessary to track when a request for an advisory opinion is received and when a response is provided.

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

3. ENFORCEMENT DIVISION. This division enforces compliance with laws administered and enforced by the Commission by responding quickly and impartially to sworn complaints, by performing investigations where advisable, and by assessing penalties for late reports. The Commission achieves its primary goal by processing sworn complaints within five business

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

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

SECONDARY GOAL – ESTABLISH AND CARRY OUT ADMINISTRATIVE AND INFORMATION TECHNOLOGY FUNCTIONS:

4. ADMINISTRATION DIVISION: This division handles the working function of the agency. To meet the Commission's secondary goal, this division establishes and carries out policies governing budgeting, human resources, risk management, purchasing and contracting that foster meaningful and substantive inclusion of historically underutilized businesses as well as provides agency-wide computer service support and manages IT projects. The Central Administration division develops and implements plans for increasing staff retention, hiring skilled and diverse staff, is fiscal minded on cost savings to the state and promotes the use of historically underutilized businesses (HUBs) through purchasing contracts and subcontracts. This plan ensures that the agency complies with state law requiring that at least 20 percent of the total value of contracts and subcontracts are awarded to HUBs. To measure this outcome, the Commission tracks the number of HUB contractors and subcontractors contacted for bid proposals, the number of HUB contracts and subcontracts awarded, and the percent of total dollar value of purchasing contracts and subcontracts awarded to HUBs. The Information Resources division provides agency-wide computer service support, manages all IT projects and continues to enhance and improve the agency website and electronic filing systems.

Statewide objectives met: The Commission meets the statewide objective of accountability to Texas citizens by developing and implementing a plan to contract and subcontract with historically underutilized businesses that efficiently and cost-effectively deliver products and services to the public. The Commission complies with state law by attaining or exceeding the statewide HUB procurement goals for FY 2020-2021 and continues to work diligently to attain those goals in the future.

REDUNDANCIES AND IMPEDIMENTS

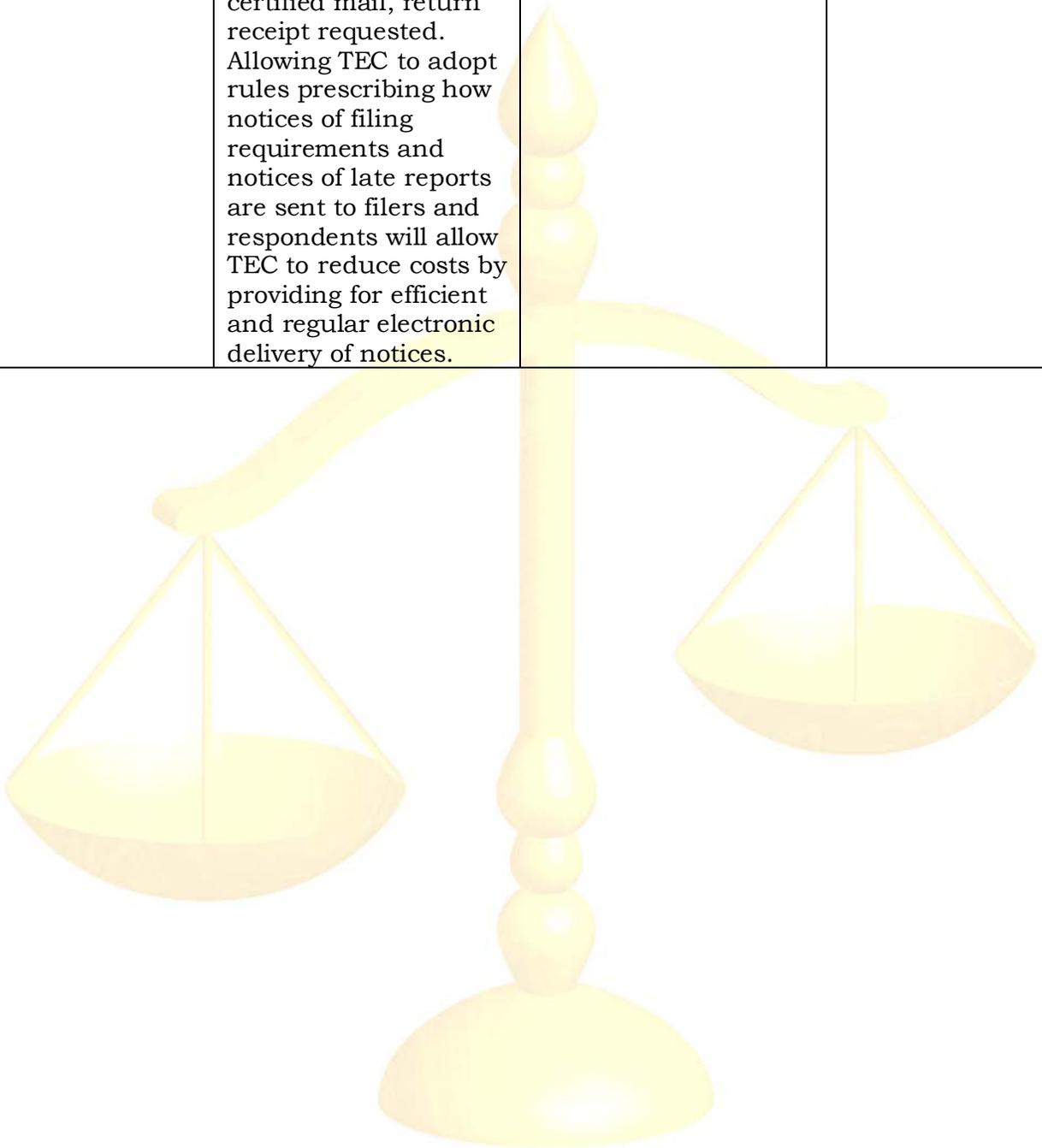
The following chart includes redundancies and impediments identified by the Texas Ethics Commission, as required by the Legislative Budget Board (LBB) and the Office of the Governor.

Service, Statute, Rule or Regulation (Provide Specific Citation if applicable)	Describe why the Service, Statute, Rule or Regulation is Resulting in Inefficient or Ineffective Agency Operations	Provide Agency Recommendation for Modification or Elimination	Describe the Estimated Cost Savings or Other Benefit Associated with Recommended Change
<p>Filing and Retention of Representation before State Agency (RBSA) Reports (Gov't Code, Ch. 2004):</p> <p>Individuals are required to register when making certain contacts with executive branch state agencies or their officials.</p> <p>Agencies are required to prepare reports containing the registrations and file quarterly with TEC, which must retain them for four years.</p>	<p>TEC receives RBSA reports each quarter in a paper format. Space limitations require TEC to store RBSA reports off-site with a third-party vendor, which requires storage and retrieval fees. Processing of paper reports and retrieval of reports in response to open records requests also requires TEC staff time. TEC currently has 78 boxes of RBSA reports in storage, including a total of approximately 140,400 to 175,000 sheets.</p>	<p>Amend the law to require electronic filing of RBSAs using a uniform format across all applicable agencies. Require agencies to send completed RBSAs to TEC electronically.</p> <p>Authorize TEC to adopt rules prescribing the software requirements for RBSAs and prescribing how RBSAs are to be submitted to TEC.</p>	<p>Electronic registration and reporting would minimize agency costs by \$1,200 per fiscal year in processing, storing, retrieving, and disclosing paper records. It would also improve transparency by reducing the time necessary to retrieve and deliver copies of stored records in response to requests.</p>
<p>Notices to Filers and Parties to a Complaint (Elec. Code §§ 251.033, 254.042; Gov't Code, Ch. 571; Gov't Code §§ 305.033, 572.030):</p> <p>State law requires TEC to send to filers notices of certain report deadlines and notices of late filings. State law also requires TEC to send the first notice of any sworn complaint to both a complainant and</p>	<p>TEC mails numerous notices via USPS mail to filers as well as receives a large number of sworn complaints that allege violations of laws outside of TEC's jurisdiction or that otherwise do not comply with certain legal requirements. These complaints are not accepted and are either dismissed for no jurisdiction or returned to the complainant to cure</p>	<p>Authorize TEC to adopt rules prescribing how TEC will notify any person of filing requirements or late reports, and sworn complaints for which jurisdiction is not accepted.</p> <p>This recommendation excludes notice requirements related to sworn complaints for which jurisdiction is accepted and notices regarding the referral of a fine or</p>	<p>The amendment would reduce TEC costs by \$9,928.25 per fiscal year for mailing certain notices by certified mail and regular mail delivery.</p>

respondent by registered or certified mail, restricted delivery, return receipt requested (571.032).

any deficiencies. Current law requires notice of these types of complaints to be sent to both a complainant and respondent by certified mail, return receipt requested. Allowing TEC to adopt rules prescribing how notices of filing requirements and notices of late reports are sent to filers and respondents will allow TEC to reduce costs by providing for efficient and regular electronic delivery of notices.

civil penalty to the Office of the Attorney General.



SCHEDULES

SCHEDULE A: BUDGET STRUCTURE

A. GOAL: ADMINISTER ETHICS LAWS - Provide access to reports. Access required reports; respond to advisory reqs and sworn complaints. To make reports required to be filed with the Commission available to the public within two working days of receipt; to provide responses to advisory opinion requests within 120 days; to respond to sworn complaints within five working days after filing.

A.1.1 Strategy I: DISCLOSURE FILING (Authorized 6 FTEs). Serve as the repository for statutorily required information. Serve as the repository for information required to be filed with the Commission and assist persons in accessing that information.

Performance Measures:

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

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

Number of reports received and processed.

Explanatory: Number of inquiries for information.

Number of lobbyists registered with the Commission.

of public officials required to file reports with the Commission.

Number of reports due filed electronically.

A.1.2. Strategy II: LEGAL GUIDANCE AND OPINIONS (Authorized 7 FTEs). Respond to requests for guidance / advisory opinions. Provide assistance to the public and filers by quickly responding by telephone to their request for guidance and instruction on laws administered by the Commission and by responding quickly, accurately, and impartially to advisory opinion requests.

Performance Measures:

Outcomes: KEY. NEW. Percent of advisory opinion requests answered within 120 days from receipt.

Outputs: Number of advisory opinions adopted by the Commission.

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

Explanatory: Number of information requests regarding Commission administered laws.

Number of advisory opinion requests received.

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

Performance Measures:

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

Outputs: Number of sworn complaints recommended for resolution.

of sworn complaints processed within five working days after filing.

KEY. Number of sworn complaints processed.

Number of late notices sent to filers.

NEW. % sworn complaints w/proposed resolution/dismissal within 120 days.

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

Average time to notify late filer of late report.

Average time to notify complainants and respondents /Commission determination.

Explanatory: Number of sworn complaints received.

Percent of filers filing timely reports.

Number of late penalties received.

Percent of sworn complaints resolved within 180 days.

NEW. % complaints dismissed b/c resolution not proposed within 120 days.

B. GOAL: INDIRECT ADMINISTRATION

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

B.1.1 Central Administration (Authorized 6 FTEs). –Central Administration. Establish and carry out policies governing budgeting, human resources, risk management, purchasing and contracting that foster meaningful and substantive inclusion of historically underutilized businesses.

B.1.2 Information Resources (Authorized 8 FTEs) – Information Resources. Provide agency-wide computer service support and manage IT Projects.

SCHEDULE B: MEASURE DEFINITIONS

A.1.1 STRATEGY I: DISCLOSURE FILING. Serve as the repository for information required to be filed with the Commission and assist persons in accessing that information.

Outcome 1: Percent of reports available for public inspection within two days.

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

Data Limitations: There is no way to “re-create” the calculations for a point in time since the database is continually updated.

Data Source: The data is retrieved from the Commission’s internal database.

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

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

Calculation Type: Non-cumulative

Key Measure: No

New Measure: No

Target Attainment: Higher

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

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

Data Limitations: There is no way to “re-create” the calculations for a point in time since the database is continually updated.

Data Source: The data is collected from the Commission’s internal database.

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

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

Purpose: This measure indicates the raw number of reports logged within 2 working days of receipt, which is necessary to derive the percentage of reports logged within 2 business days of receipt.

Calculation Type: Cumulative

Key Measure: Yes

New Measure: No

Target Attainment: Higher

Output 2: Number of reports received and processed.

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

Data Limitations: There is no way to “re-create” the calculations for a point in time since the database is continually updated.

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

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

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

Calculation Type: Cumulative

Key Measure: No

New Measure: No

Target Attainment: Higher

Explanatory 1: Number of inquiries for information.

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

Data Limitations: At this time it is not possible to determine if a person accessing the Commission’s website is actually doing so to gather information or doing so for some other purpose.

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

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

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

Calculation Type: Non-cumulative

Key Measure: No

New Measure: No

Target Attainment: Higher

Explanatory 2: Number of lobbyists registered with the Commission.

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

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

Data Source: The data is retrieved from the Commission’s internal database.

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

Purpose: The number of lobbyists registered will indicate the number of lobbyists that will be registered for the year.

Calculation Type: Non-cumulative

Key Measure: No

New Measure: No

Target Attainment: Higher

Explanatory 3: # of public officials required to file reports with the Commission.

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

Data Limitations: There is no way to “re-create” the calculations for a point in time since the database is continually updated.

Data Source: The data is retrieved from the Commission’s internal database.

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

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

Calculation Type: Non-cumulative

Key Measure: No

New Measure: No

Target Attainment: Higher

Explanatory 4: Number of reports due filed electronically.

Definition: This is a count of the number of reports filed with the Commission either directly over the Internet or by the submission of a diskette/CD.

Data Limitations: There is no way to “re-create” the calculations for a point in time since the database is continually updated.

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

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

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

Calculation Type: Non-cumulative

Key Measure: No

New Measure: No

Target Attainment: Higher

A.1.2 STRATEGY II: LEGAL GUIDANCE AND OPINIONS. Provide assistance to the public and filers by quickly responding by telephone to their request for guidance and instruction on laws administered by the Commission and by responding quickly, accurately, and impartially to advisory opinion requests.

Outcome 3: KEY. NEW. Percent of advisory opinion requests answered within 120 days from receipt.

Definition: An opinion request is considered received on the business day it is received, or if received during a non-business day or outside of regular business hours, on the next business day. An opinion request is considered answered the date the advisory opinion request file is closed. The closing date is the meeting date the opinion is adopted or, if not adopted, the date the file is closed by the Executive Director. A file may be closed by the Executive Director for the following reasons: 1) the opinion is withdrawn by the requestor; 2) a previously issued opinion resolves the request; 3) the request will be resolved by a rule adopted by the Commission; 4) a staff letter is sufficient in answering the request; 5) there are insufficient votes for the Commission to adopt an opinion.

Data Limitations: This data is very reliable.

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

Methodology: This measure is calculated by dividing the total number of opinion requests answered into the number of opinion requests answered within 120 working days from receipt.

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

Calculation Type: Non-cumulative

Key Measure: Yes

New Measure: Yes

Target Attainment: Higher

Output 1: Number of advisory opinions adopted by the Commission.

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

Data Limitations: This data is very reliable.

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

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

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

Calculation Type: Cumulative

Key Measure: No

New Measure: No

Target Attainment: Higher

Efficiency 1: KEY. Average time (working days) to answer advisory opinion requests.

Definition: An opinion request is considered received when on the business day it is received, or if received during a non-business day or outside of regular business hours, on the next business day. An opinion request is considered answered the date the advisory opinion request file is closed. The closing date is the meeting date the opinion is adopted or, if not adopted, the date the file is closed by the Executive Director. A file may be closed by the director of opinions Executive Director for the following reasons: 1) the opinion is withdrawn by the requestor; 2) a previously issued opinion resolves the request; 3) the request will be resolved by a rule adopted by the Commission; 4) a staff letter is sufficient in answering the request; 5) there are insufficient votes for the Commission to adopt an opinion.

Data Limitations: This data is very reliable.

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

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

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

Calculation Type: Non-cumulative

Key Measure: No

New Measure: No

Target Attainment: Lower

Explanatory 1: Number of information requests regarding Commission administered laws.

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

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

Data Source: This data is calculated using the Cisco VOIP Call Record Details (CDR) gathered from the VOIP telephone system provided to the Commission by the Capitol Complex Telephone system (CCTS) division of the Department of Information Resources (DIR).

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

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

Calculation Type: Non-cumulative

Key Measure: No

New Measure: No

Target Attainment: Higher

Explanatory 2: Number of advisory opinion requests received.

Definition: An opinion request is considered received on the business day it is received, or if received during a non-business day or outside of regular business hours, on the next business day. An opinion request is considered answered the date the advisory opinion request file is closed. The closing date is the meeting date the opinion is adopted or, if not adopted, the date the file is closed by the Executive Director. A file may be closed by the Executive Director for the following reasons: 1) the opinion is withdrawn by the requestor; 2) a previously issued opinion resolves the request; 3) the request will be resolved by a rule adopted by the Commission; 4) a staff letter is sufficient in answering the request; 5) there are insufficient votes for the Commission to adopt an opinion.

Data Limitations: This data is very reliable.

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

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

Purpose: This is one indication of the workload on the Commission's advisory opinion staff.

Calculation Type: Non-cumulative

Key Measure: No

New Measure: No

Target Attainment: Higher

A.1.3. STRATEGY III: ENFORCEMENT. Enforce compliance with laws administered by the Commission by responding quickly and impartially to sworn complaints, by performing investigations where advisable, and by assessing penalties for late reports.

Outcome 2: % of sworn complaints processed within five working days after filing

Definition: A sworn complaint is considered processed the date the notice of compliance or non-compliance is sent. The Commission must determine whether a sworn complaint is in an

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

Data Limitations: This data is very reliable.

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

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

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

Calculation Type: Non-cumulative

Key Measure: No

New Measure: No

Target Attainment: Higher

Output 1: Number of sworn complaints recommended for resolution.

Definition: A sworn complaint is recommended for resolution when it has been sent to the commission for review and placement on the agenda. The date a sworn complaint is sent to the Commission for review and placement on the agenda is recorded in a database.

Data Limitations: This data is very reliable.

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

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

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

Calculation Type: Cumulative

Key Measure: No

New Measure: No

Target Attainment: Higher

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

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

Data Limitations: This data is very reliable.

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

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

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

Calculation Type: Cumulative

Key Measure: No

New Measure: No

Target Attainment: Higher

Output 3: KEY. Number of sworn complaints processed.

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

Data Limitations: This data is very reliable.

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

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

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

Calculation Type: Cumulative

Key Measure: Yes

New Measure: No

Target Attainment: Higher

Output 4: Number of late notices sent to filers.

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

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

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

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

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

Calculation Type: Cumulative

Key Measure: No

New Measure: No.

Target Attainment: Higher

Output 5: NEW. % sworn complaint w/ proposed resolution/dismissal within 120 days.

Definition: A resolution is proposed when an agreement to resolve a complaint is sent by the Commission, or when an agreement to resolve a complaint is sent by Commission staff, subject to the final approval of the Commission. A complaint is dismissed when the Commission votes to dismiss the complaint or the complaint is otherwise dismissed by operation of law. Not later than the 120th day after the later of the date the Commission receives a respondent's response to a notice of complaint or a respondent's response to written questions, the Commission must propose an agreement to the respondent to settle the complaint without holding a preliminary review hearing, or dismiss the complaint. The date the respondent's initial response to a notice of complaint is received and the date the respondent's response to written questions, if any, is received are recorded in a database. The date a proposed resolution is sent and the date a complaint is dismissed are also recorded in a database.

Data Limitations: This data is very reliable.

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

Methodology: This measure is calculated by a computer generated report that divides the number of sworn complaints by the number of sworn complaints where a resolution has been proposed plus the number of sworn complaints dismissed on any grounds within 120 days after the later of the date the Commission receives the respondent's response to the notice of

complaint or the date the Commission receives the respondent's response to written questions, if any.

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

Calculation Type: Non-cumulative

Key Measure: No

New Measure: Yes

Target Attainment: Higher

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

Definition: A sworn complaint is considered processed the date the notice of compliance or non-compliance is sent. For purposes of this measure "processed" is the same as "responded to". The Commission must determine whether a sworn complaint is in an acceptable format according to the guidelines set by law. Once the determination of compliance or non-compliance has been made the Commission is required by law to notify the complainant and respondent of that determination in writing.

Data Limitations: This data is very reliable.

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

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

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

Calculation Type: Non-cumulative

Key Measure: Yes

New Measure: No

Target Attainment: Lower

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

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

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

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

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

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

Calculation Type: Non-cumulative

Key Measure: No

New Measure: No

Target Attainment: Lower

Efficiency 3: Avg. time to notify complainants and respondents/Commission determination.

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

Data Limitations: This data is very reliable.

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

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

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

Calculation Type: Non-cumulative

Key Measure: No

New Measure: No

Target Attainment: Lower

Explanatory 1: Number of sworn complaints received.

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

Data Limitations: This data is very reliable.

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

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

Purpose: This is an indication of the workload handled by the Enforcement division.

Calculation Type: Non-cumulative

Key Measure: No

New Measure: No

Target Attainment: Higher

Explanatory 2: Percent of filers filing timely reports.

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

Data Limitations: This data is very reliable.

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

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

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

Calculation Type: Non-cumulative

Key Measure: No

New Measure: No

Target Attainment: Higher.

Explanatory 3: Number of late penalties received.

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

Data Limitations: This data is very reliable.

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

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

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

Calculation Type: Non-cumulative

Key Measure: No

New Measure: No

Target Attainment: Higher.

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

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

Data Limitations: This data is very reliable.

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

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

Purpose: This measure can only really be used for reference since the Commission has no control over the time frame for the resolution of sworn complaints.

Calculation Type: Non-cumulative

Key Measure: No

New Measure: No

Target Attainment: Higher

Explanatory 5: NEW. % complaints dismissed b/c resolution not proposed within 120 days.

Definition: Not later than the 120th day after the later of the date the Commission receives a respondent's response to a notice of complaint or a response to written questions, the Commission must propose an agreement to the respondent to settle the complaint without holding a preliminary review hearing, or dismiss the complaint. A resolution is proposed when an agreement to resolve is sent by the Commission, or when an agreement to resolve is sent by staff, subject to the final approval of the Commission. For this measure, a complaint is

considered dismissed when dismissed by operation of law on the grounds the Commission failed to propose an agreement to resolve the complaint within 120-days under Section 571.1242(g) of the Gov't Code. The date the respondent's initial response to a notice of complaint is received, the date the response to written questions, if any, is received, the date a proposed resolution is sent and the date a complaint is dismissed are all recorded in a database.

Data Limitations: This data is very reliable.

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

Methodology: This measure is calculated by a computer generated report that divides the number of sworn complaints by the number of sworn complaints dismissed on the ground that the Commission failed to propose an agreement to resolve the complaint within 120 days after the later of the date the Commission receives the respondent's response to the notice of complaint or the date the Commission receives the respondent's response to written questions, if any.

Purpose: This measure directly relates to the Commission's Goal 1 objective by responding to sworn complaints in a timely manner. This measure helps explain Output Measure 5 - PERCENT COMPLAINTS RESOLUTION PROPOSED OR DISMISSED-120 DAYS AFTER RESPONSE, by specifying the percent of complaints that are dismissed by operation of law for failure to send a proposed resolution within the 120-day period under Section 571.1242(g) of the Government Code.

Calculation Type: Cumulative

Key Measure: No

New Measure: Yes

Target Attainment: Higher

SCHEDULE C: HISTORICALLY UNDERUTILIZED BUSINESS PLAN

HUB Reporting

The Texas Ethics Commission is fully committed to executing a fair, open and competitive procurement process. The Commission continues to make good faith efforts to effectively promote and increase contract opportunities with Historically Underutilized Businesses (HUBs) and when possible indirectly through subcontracting opportunities.

Attainment

The agency attained or exceeded all three, or 100%, of the applicable statewide HUB procurement goals for FY 2019. 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.

"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.

The Commission will continue to strengthen its agency's HUB program by working to increase HUB participation opportunities in all categories.

HUB Category	FY 2018-2019 Agency HUB Goal	FY 18 Actual % Spent w/HUB	FY 18 Actual \$ Spent w/HUB	FY 19 Actual % Spent w/HUB	FY 19 Actual \$ Spent w/HUB	FY 2020 Agency Specific HUB Goal
Heavy Construction	11.20%	N/A	\$0	N/A	\$0	11.20%
Building	21.10%	N/A	\$0	N/A	\$0	21.10%
Special Trade	32.90%	N/A	\$0	N/A	\$0	32.90%
Professional	23.70%	100.00%	\$3,536.00	100.00%	\$3,492.00	23.70%
Other Services	26.00%	69.15%	\$545,257.00	63.87%	\$350,118.00	26.00%
Commodity Purchasing	21.10%	6.18%	\$5,146.00	33.27%	\$19,592.00	21.10%
Total			\$553,939.00		\$373,202.00	

SCHEDULE F: WORKFORCE PLAN

I. AGENCY OVERVIEW

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

Working Functions

The Commission has 35.4 authorized FTEs in FY2020 and 34.4 authorized FTEs in FY2021, headed by an Executive Director who oversees five major divisions to accomplish the working functions and duties of the agency. The Commission has both constitutional and statutory duties. Constitutionally, the Commission is authorized to recommend the salary of members of the Legislature and the Lieutenant Governor, subject to approval by the voters; and sets the per diem for members of the Legislature and the Lieutenant Governor. Statutorily, the Commission is responsible for administering and enforcing the laws concerning campaign finance and political advertising, lobby activity, personal financial disclosure by state officers, the standards of conduct and conflicts of interest of state officers and employees, and several other laws regulating the reporting requirements of other state and local officials and entities.

Disclosure Filing. The Disclosure Filing Division (authorized 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, and certain county judicial officers. Since July 2000, campaign finance reports filed with the Commission are required by law to be filed electronically unless the filer qualifies for and claims the exemption from the electronic filing requirement. Since December 2004, lobbyists are required to file lobby reports electronically unless the filer qualifies for and claims an exemption. Since September 2016, holders of and candidates for certain state offices are required to file personal financial statements electronically. Since January 2016, Certificate of Interested Party Forms (Form 1295) are required to be filed electronically. Campaign finance, lobby reports, personal financial statements, and Form 1295 make up the majority of the reports filed electronically with the Commission. Other reports filed with the Commission are filed on paper.

Legal. The Legal Division (authorized 15.4 FTEs) handles all regulatory functions in addition to providing legal counsel to the agency on daily operational matters. The legal staff splits its time between two strategies: Legal Guidance and Opinions (authorized 7 FTEs) and Enforcement (authorized 8.4 FTEs). The legal staff also assists callers and visitors to the agency who have questions about laws under the Commission's jurisdiction.

The Commission has the authority to enforce all laws under its jurisdiction except Chapters 36 and 39 of the Penal Code. Thus, the Commission's enforcement jurisdiction extends to all individuals and entities filing reports with the Commission, as well as to those who file

campaign finance reports with local filing authorities such as the county or city clerk or elections administrator. The Commission is authorized to undertake civil enforcement actions on its own motion or in response to a sworn complaint, hold enforcement hearings, issue and enforce orders, impose civil penalties, refer matters for criminal prosecution, and deny, suspend, or rescind a lobby registration for specified reasons. A sworn complaint sets in motion a process that may include a preliminary review, a preliminary review hearing, and a formal hearing, and which permits resolution of the complaint at several points in the process. Unless an open order is issued, the Commissioners and Commission staff are required to keep the complaint confidential.

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

The Commission has the authority to issue advisory opinions about the laws under its jurisdiction, as well as Chapters 36 and 39 of the Penal Code. The Commission also provides, as resources allow, ethics training to state and local officers and employees on request, and produces educational materials and conducts training programs for other groups affected by laws administered by the Commission. The Commission has also implemented an on-line ethics training program for state officers, members of the legislature, agency employees, and legislative branch employees. This on-line training is undergoing updates and hopes to have the new training system available by FY2021.

Administration. The Administration Division (authorized 6 FTEs, including the Executive Director) handles the working functions of the agency. It provides the primary support for the Commission with respect to accounting and budgeting, purchasing, travel, human resources and payroll, secretarial and reception duties, building and equipment maintenance, risk and safety management, and mail services and inventory control.

Computer Services. The Computer Services Division (authorized 8 FTEs) maintains the Commission's technology infrastructure, the electronic filing system and database, and the agency website. This division also provides technical support to filers who are required to file reports electronically with the Commission, prepares reports in response to open records requests for data from electronically filed reports, and assists staff with computer applications.

Agency Mission

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

Agency Strategic Goals and Objectives

GOAL 1: To promote public confidence in electoral and governmental processes by enforcing and administering applicable laws. To increase the public's ability to access information about public officials, candidates for public office, and persons attempting to influence public

officials, and to assist people in understanding their responsibilities under the laws administered by the Commission, thereby enhancing the potential for individual participation in government.

Objective: To make reports required to be filed with the Commission available to the public within two working days of receipt; to provide responses to advisory opinion requests within 120 days; to respond to sworn complaints within five working days after filing.

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

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

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

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

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

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

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

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

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

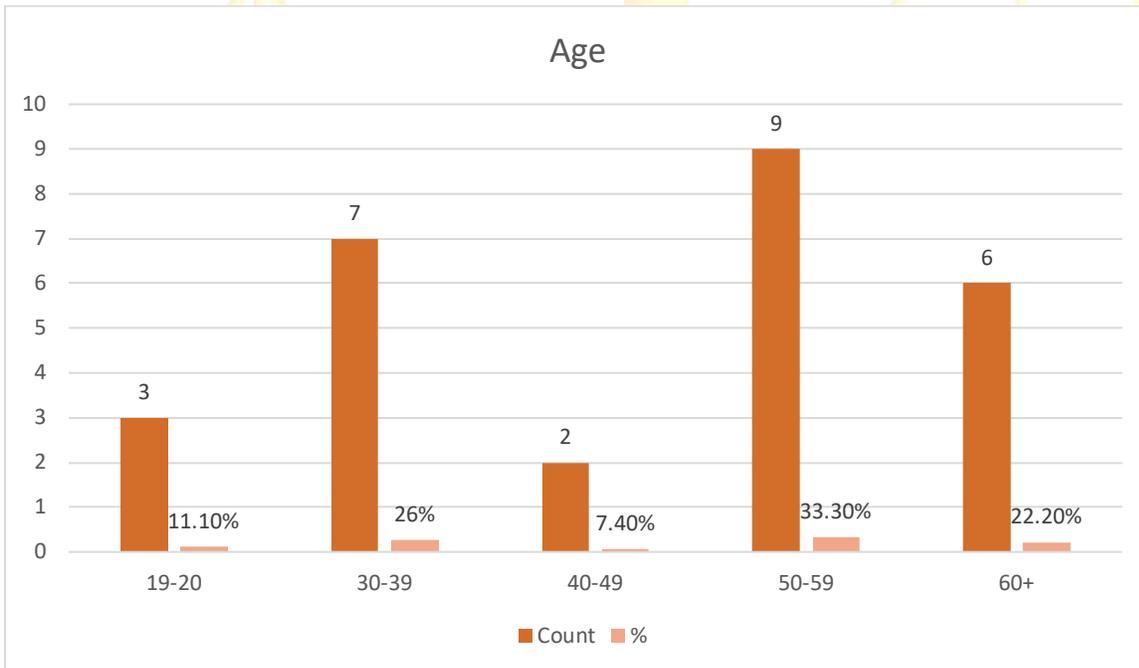
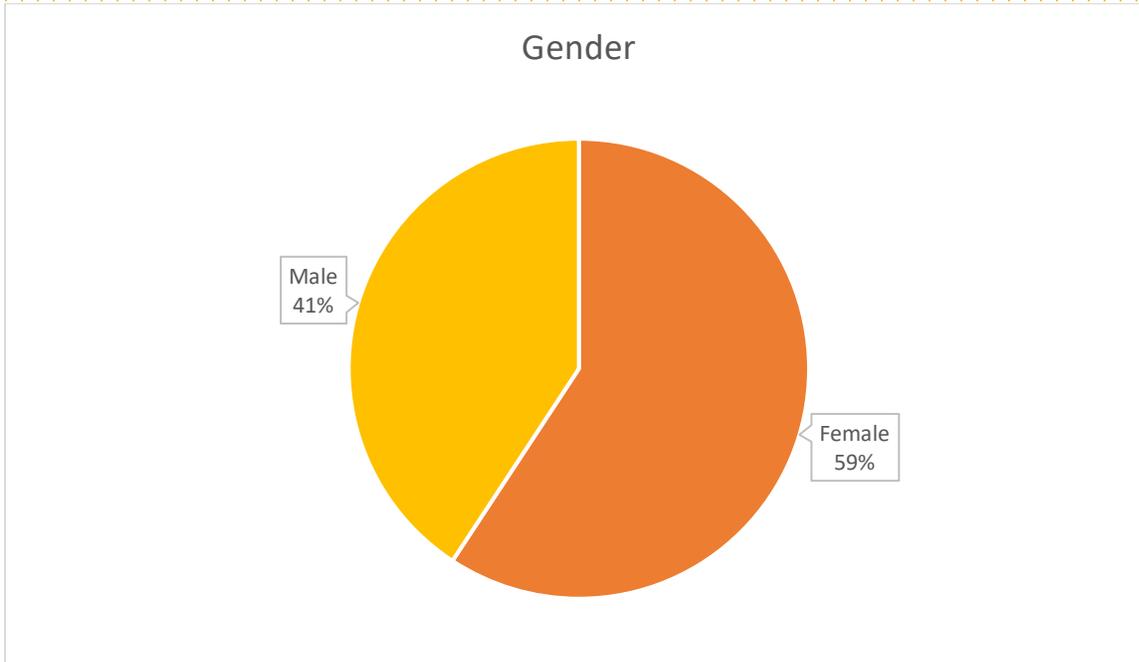
II. CURRENT WORKFORCE PROFILE (SUPPLY ANALYSIS)

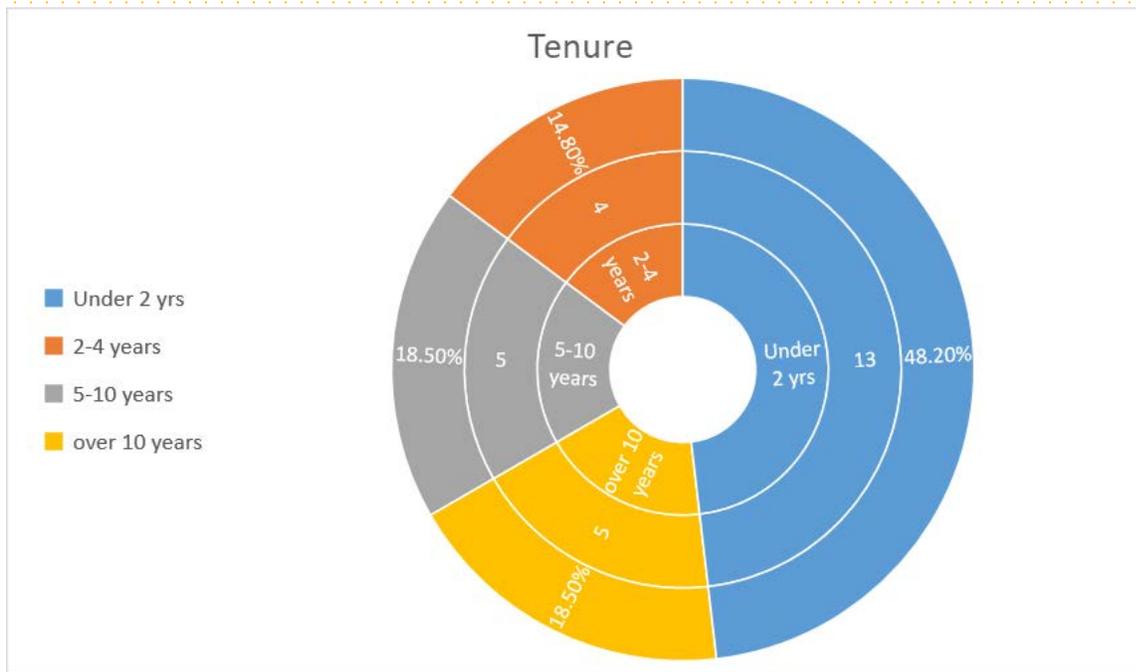
Demographics

The following chart profiles the Commission's total workforce. As of May 1, 2020, the Commission's total headcount is twenty-seven (27) employees. This includes twenty-six full time and one part-time employee. The Commission's workforce is comprised of 59.25% females and 40.74% males. Over 63% of our employees are over the age of 40. Approximately 63% of our employees have less than 5 years of agency service. This

percentage indicates the need for continuing strong training programs to ensure our employees are well-trained to serve the State of Texas.

Workforce Breakdown





The following table compares the percentage of African American, Hispanic, and Female Commission employees as of May 1, 2020 to the State Agencies Workforce Composition (FY 2018 is most current on Workforce Commission website). The Commission has been working to meet various diversity targets, among which are African American, Hispanic, and Female positions. The agency has exceeded the total state agencies workforce statistics in these categories: Hispanic Officials, Female Officials, Hispanic Professionals, Hispanic Para-Professionals, Female Para-Professionals, and Hispanic Technicians

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

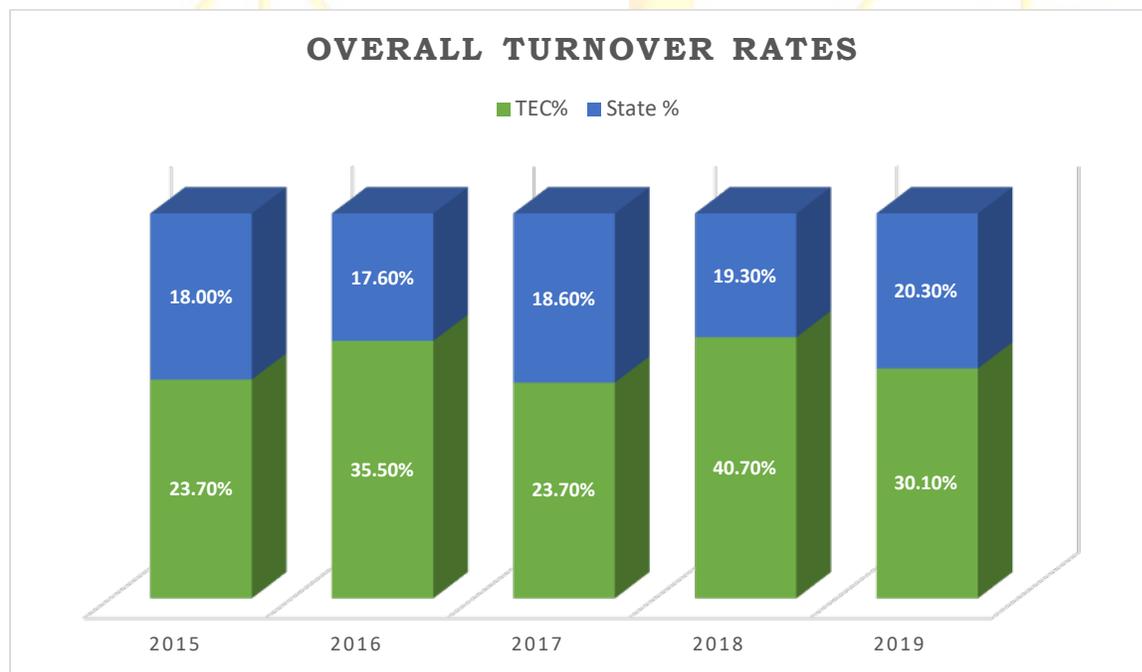
Employee Ethnicity by EEO Job Category

Job Category	African American		Hispanic American		Females	
	TEC %	State %	TEC%	State %	TEC %	State %
Officials, Administration (A)	0%	11.4%	40%	15.2%	60%	54.2%
Administrative Support (C)	0 %	17.7%	16.7%	33.5%	66%	81.8%

Service and Maintenance (M)	0%	24.7%	0%	35.6%	0%	44.5%
Professional (P)	0 %	11.1 %	42.8%	16.4 %	42.8%	56.3 %
Para-Professional(Q)	16.7%	36.2%	33.3%	29.8%	100%	71.4%
Protective Services (R)	0%	34.4%	0%	24.6%	0%	45.7%
Skilled Craft (S)	0%	8.7%	0%	27.6%	0%	8.1%
Technicians (T)	0%	18.4%	33.3%	25.9 %	0%	60.7 %

Agency Turnover

Turnover is an important issue in any organization, and the Commission is no exception. Experienced staff is necessary to meet the Commission’s primary and secondary goals. The following charts show the Commission’s turnover rate compared to the state percentages (employees who transferred to another state agency are not included), as well as a breakdown of the turnover data according to the length of agency service and age of the separating employees. Over the past five years (from September 1, 2014 to August 31, 2019), the Commission’s turnover rate has averaged 30.74%, which is above the statewide five year average of 18.76%.



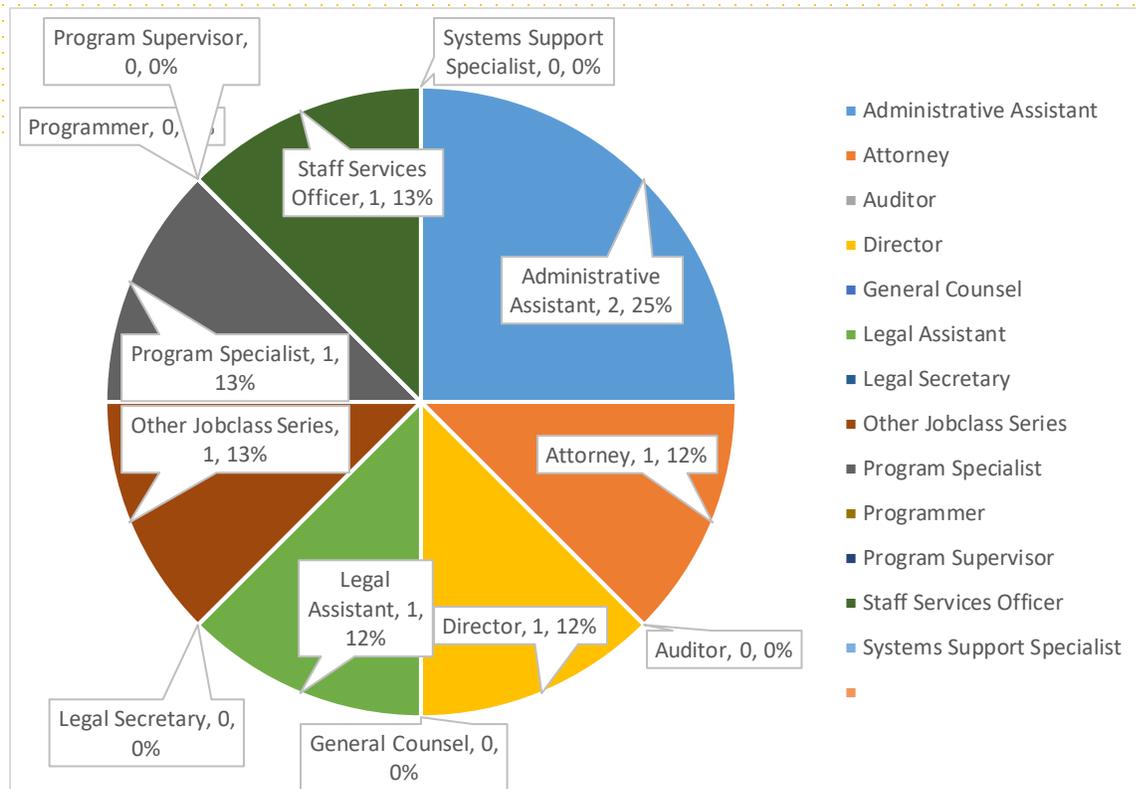
Turnover by Length of Service

The greatest area of overall turnover for the Commission has been with employees who have less than two years of experience. This group accounted for the highest overall turnover rate within a service period resulting in 47.27% over the past five years. The State Auditor's Office calculates the below numbers based on the number of filled employees within that length of service and the number of departures in that same category. According to the State Auditor's Exit Survey, reasons for departure include: low pay, no room for advancement and retirement.

Agency Service Before Separation	FY 2015	FY2016	FY2017	FY2018	FY2019	Overall%
Less than 2 years	5	6	5	6	4	47.27%
2-4 years	0	1	1	4	3	43.37%
5-9 years	2	3	0	0	0	17.7%
10-14 years	0	0	0	0	0	0 %
15-19 years	1	0	1	0	0	22.85%
20 -24 years	1	1	1	1	0	21.9%
25-29 years	0	0	0	0	1	30%

Source: SAO Electronic Classification Analysis System (E-Class) - Includes Interagency transfers

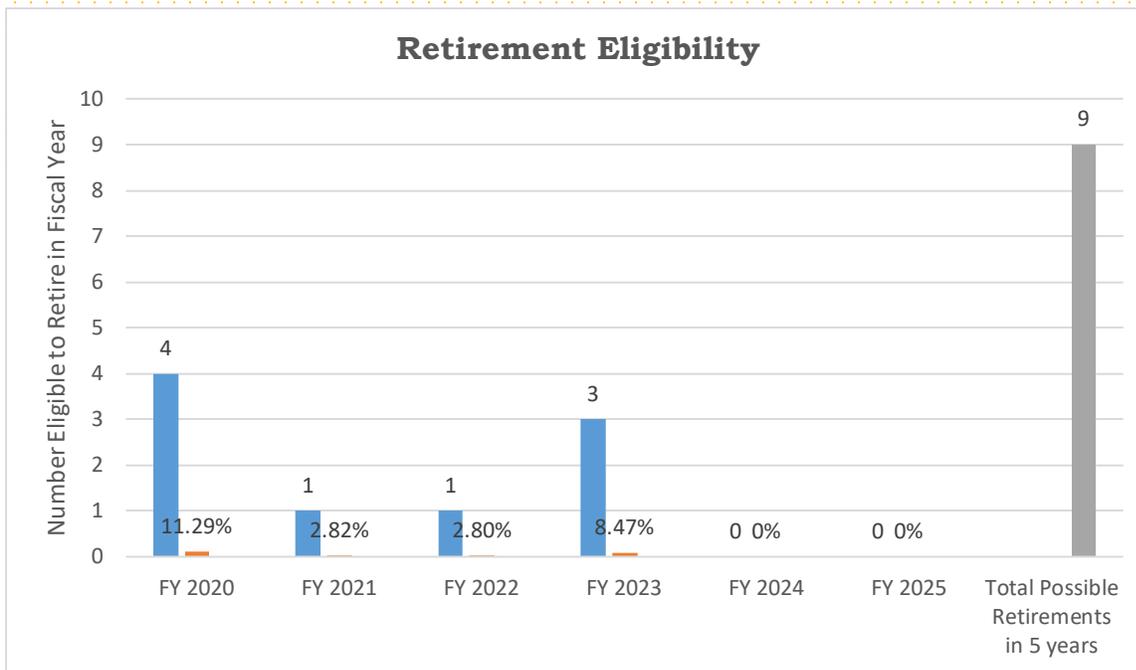
Turnover by Job Classification Series- FY 2019



Source: SAO Electronic Classification Analysis System (E-Class) - Includes Interagency transfers

Retirement Eligibility and Employee Attrition Rate Over the Next Five Years

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, with many of these employees occupying key positions within the agency and possible payments of over \$80,000 in lump sum entitlements. For this reason, it is important for the Commission to ensure that the agency's knowledge and expertise is not lost. Based on past turnover trends, the projected attrition rate will be a loss of six employees per fiscal year, of which at least two will be retirees.



Workforce Skills Critical to Agency Mission and Goals

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

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

III. FUTURE WORKFORCE PROFILE (DEMAND ANALYSIS)

Critical Functions Required to Achieve the Strategic Plan

- Receive and maintain information required to be filed with the Commission, both electronically and in hard copy, and assist persons in accessing that information.
- Respond quickly, accurately, and impartially to advisory opinion requests.
- Enforce compliance with laws enforced by the Commission by responding quickly

and impartially to sworn complaints, performing investigations, and assessing penalties for violations.

- Educate the public, state employees, and those subject to the laws administered and enforced by the Commission.
- Implement a plan for increasing the use of historically underutilized businesses through purchasing contracts and subcontracts.

Expected Workforce Changes

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

The passage of House Bill 1295 during the 84th Legislature negatively impacted the Commission by significantly increasing the number of calls received by the legal, administrative, and technical support divisions, which handled the increased volume of calls without additional FTEs. However, now that these Form 1295 filers are more acquainted with the rules and who is required to file a Form 1295 and are familiar with using the filing application, the number of technical calls for help with Form 1295 has decreased to approximately 351 per month, which totals approximately 4,218 yearly. The agency introduced the Form 1295 electronic filing application on December 31, 2015, to enable government entities and state agencies to comply with HB 1295, which went into effect on January 1, 2016. The agency was not appropriated additional funds to expand its server and network capacity for the Form 1295 application, which negatively impacted the agency's ability to design and build its new electronic filing system that went into production in 2015. Currently, there are 3,385 active government users and 27,190 active business users of the agency's HB 1295 electronic filing application; this number grows daily. Approximately 73,000 Form 1295 certificates are acknowledged and filed yearly. Due to the continual increases in the number of Form 1295 filers and filings, the agency increased the storage capacity of its electronic filing system in December 2019 to accommodate these filers and their filings.

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

Future Workforce Skills Needed

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

Anticipated Increase/Decrease in the Number of Employees Needed

The agency currently is authorized 35.4 FTEs, which is up from the 33.4 authorized FTEs in Fiscal Year 2019. This increase in current staffing levels, should it continue, will have a positive impact on the Commission’s ability to achieve its mission and statutory obligations, including by decreasing response times for filer questions, decreasing the time to resolve sworn complaints, and enhancing the agency’s website and filing application.

IV. GAP ANALYSIS

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

<i>Gap Analysis of Workforce</i>												
Skill	Officials/Admin			Professional			Technical			Ad Sup/Para-prof		
	Current	Desired	Gap	Current	Desired	Gap	Current	Desired	Gap	Current	Desired	Gap
Customer Service	3	3	0	2	3	1	3	3	0	2	3	1
Collaboration	3	3	0	2	3	1	3	3	0	2	3	1
Interpreting Statutes	3	3	0	2	3	1	1	3	2	2	2	0
Conducting Investigations	3	3	0	3	3	0	0	0	0	1	3	2
Processing Data Files	2	3	1	1	3	2	3	3	0	2	2	0
Develop/Maintain Database	1	2	1	0	2	2	2	3	1	1	2	1
Provide Ethics Training	2	3	1	2	3	1	3	3	0	2	2	0

Designing Materials	3	3	0	2	3	1	2	3	1	1	2	1
Interpreting Comp Pgs.	3	3	0	0	0	0	3	3	0	0	0	0
Administer Network Info	2	2	0	0	0	0	2	3	1	0	0	0
Dev & Maintain Website	2	2	0	0	0	0	2	3	1	0	0	0
Dev & Maintain Java Pgs.	0	3	3	0	0	0	1	3	2	0	0	0

Legend

Have = Avg. competency level for current employees in job category

Need = Avg. competency level needed for future employees in job category

0 = No knowledge

1 = Minimal knowledge, familiarity with skill

2 = Working knowledge, proficiency in skill

3 = Professional knowledge, mastery of skill

Gap = Difference in skill level between current and future competency levels

0 = No gap

1 = Minimal gap

2 = Some gap

V. STRATEGY DEVELOPMENT

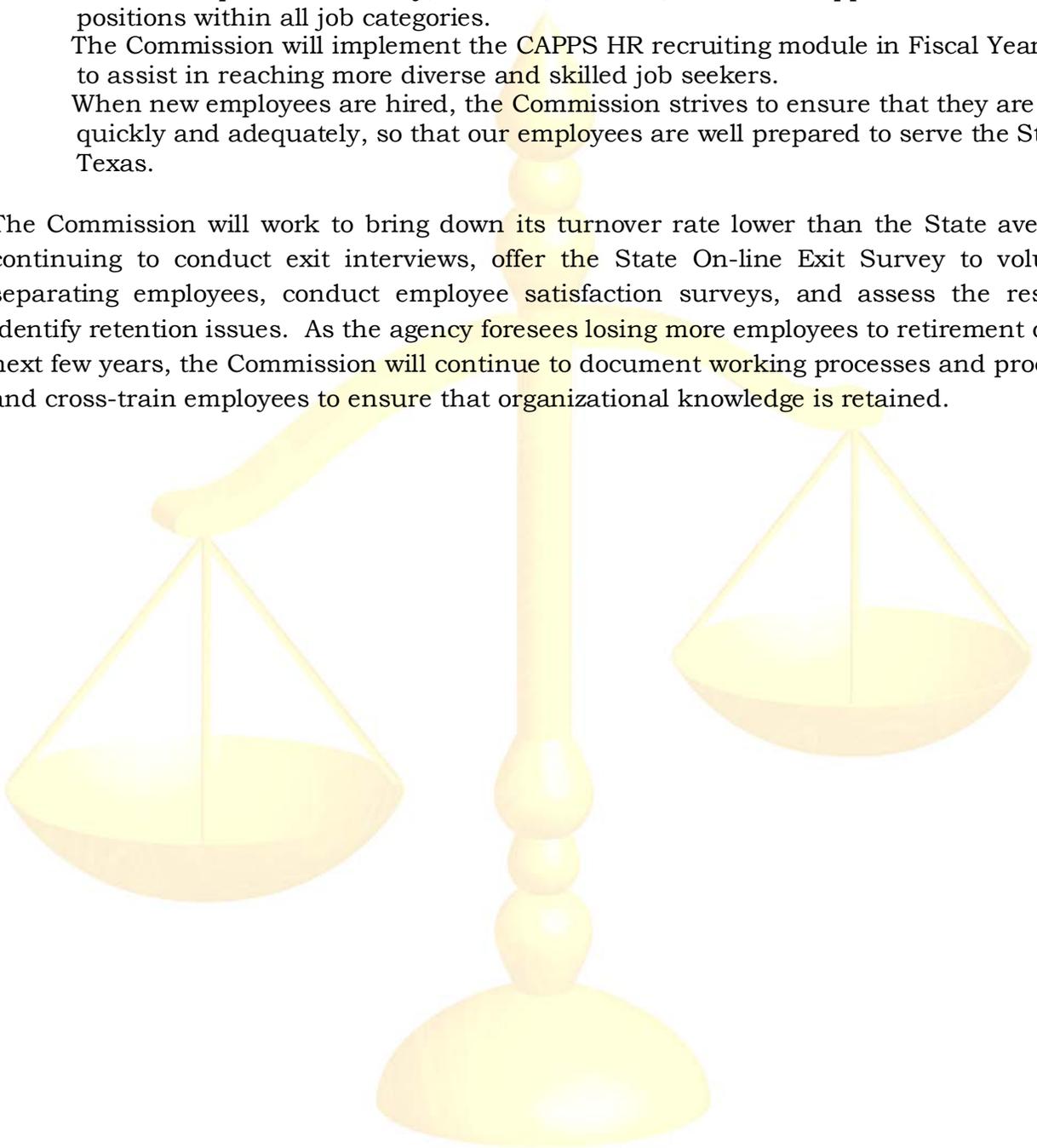
Specific Goals to Address Workforce Competency Gap/Surplus

The Commission has determined that there are twenty-eight anticipated gaps in workforce numbers or skills for the next five years. These gaps are in the following skill sets: (6) officials/admin; (9) professional; (8) technical and (5) ad sup/para-prof. All these arise in large part due to changes in technology and laws. The Commission will continue to train its staff and adapt as needed to handle current needs and any unexpected changes in its mandates.

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

- The Commission will continue to follow the state recruitment plan to maximize the number of qualified minority, disabled, veterans, and female applicants for available positions within all job categories.
- The Commission will implement the CAPPs HR recruiting module in Fiscal Year 2021, to assist in reaching more diverse and skilled job seekers.
- When new employees are hired, the Commission strives to ensure that they are trained quickly and adequately, so that our employees are well prepared to serve the State of Texas.

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



SCHEDULE G: REPORT ON CUSTOMER SERVICE

Introduction:

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

Inventory of External Customers by Strategy

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

STRATEGY A.1.1 DISCLOSURE FILING

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

STRATEGY A.1.2 LEGAL GUIDANCE AND OPINIONS

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

STRATEGY A.1.3. ENFORCEMENT

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

STRATEGY B.1.1 CENTRAL ADMINISTRATION

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

STRATEGY B.1.2 INFORMATION RESOURCES

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

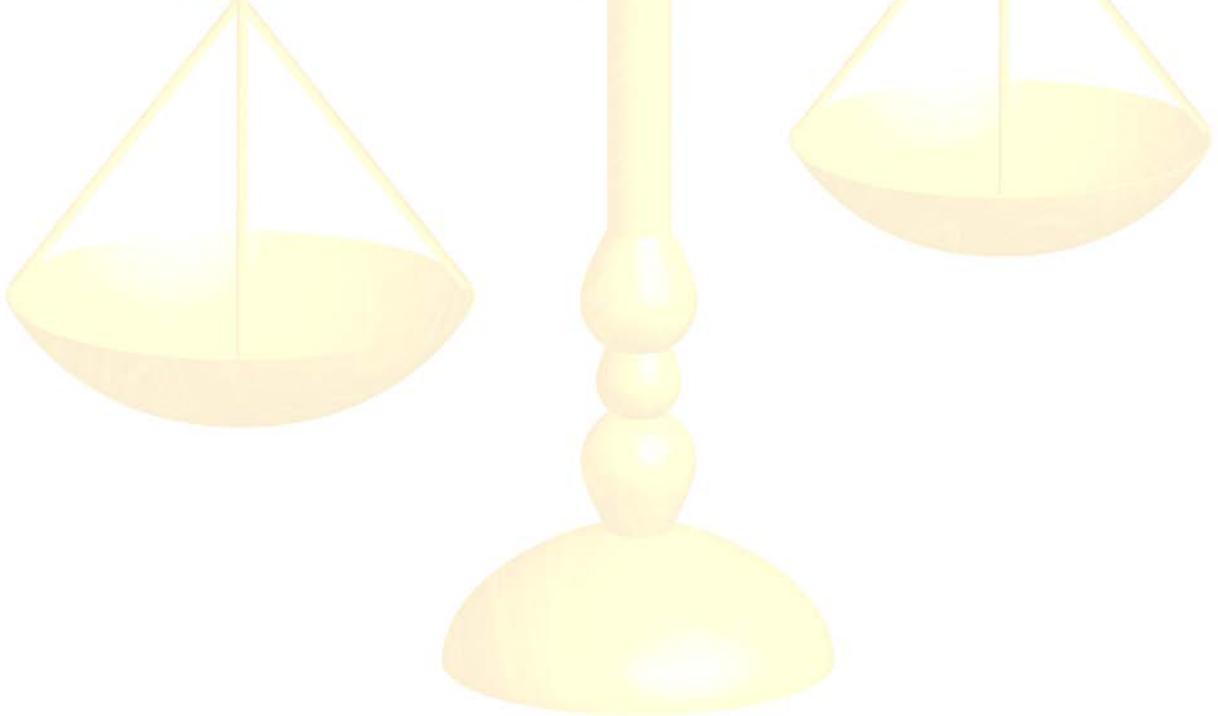
CUSTOMER SERVICE PERFORMANCE MEASURES AND METHODOLOGY

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

The Commission's method for the collection of customer feedback was by use of an on-line customer satisfaction survey located in a clearly identified prominent position on our agency's website homepage. On April 7, 2020, an email requesting participation in the survey that included the link to the survey location was sent to 8,135 of Commission filers and 27,672 Form 1295 filers.¹ Customers were given two weeks to respond to the survey. Of the 35,807 emails sent, a total of 1,749 responses of a completed customer service survey were received, which represents a 4.88% response rate.

The on-line survey identifies nine categories to which the person responding chooses to best describe himself or herself: (1) PFS Filers; (2) Lobby Filers; (3) Campaign Finance Filers; (4) Certificate of Interested Parties (1295) Filers; (5) Received Ethics Training; (6) Copy Orders Customers; (7) General Public; (8) Sworn Complaints and (9) Other.

The survey was designed to gather information concerning the customer's experience with the agency in the eight customer service quality elements specified by statute: facilities, staff, communications, website, complaint, timeliness, printed information and other. It also provides an opportunity to add comments. The Commission currently has 4,510 persons who are required to file campaign finance reports², 1,866 who file lobby activities reports, and 3,308 who file personal financial statements. The following questionnaire was provided online as well as emailed to 35, 807 individuals and organizations that have done business with the Commission, and the charts summarizing the results follow.



¹ Some filers file multiple types of reports (campaign finance, PFS, and/or lobby) with the Commission. These filers received only a single email request to complete the Customer Satisfaction Survey.

² This figure represents the following filers: 777 Non-Judicial Candidates/Officeholders; 933 Judicial Candidates/Officeholders; 1,935 General-Purpose Committees; 184 Specific-Purpose Committees (including Judicial); 59 County Executive Committees; 41 State/County Chair Candidates/Officeholders; 548 Political Party Reports of Corporate/Labor Union Contributions; 33 Legislative Caucuses.

Customer Satisfaction Survey

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

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

FACILITIES

How satisfied are you with the accessibility of the Commission's facilities?

Very Unsatisfied Unsatisfied Neutral Satisfied Very Satisfied Not Applicable

How satisfied are you with the cleanliness of the Commission's facilities?

Very Unsatisfied Unsatisfied Neutral Satisfied Very Satisfied Not Applicable

How satisfied are you with the Commission's facility and how adequately it was equipped for your needs?

Very Unsatisfied Unsatisfied Neutral Satisfied Very Satisfied Not Applicable

How satisfied are you with the way the Commission's location is clearly defined by use of signs and the easiness to locate?

Very Unsatisfied Unsatisfied Neutral Satisfied Very Satisfied Not Applicable

STAFF

How satisfied are you with the helpfulness of the Commission's staff and their willingness to assist you?

Very Unsatisfied Unsatisfied Neutral Satisfied Very Satisfied Not Applicable

How satisfied are you with the friendliness and courteousness of the Commission's staff members?

Very Unsatisfied Unsatisfied Neutral Satisfied Very Satisfied Not Applicable

How satisfied are you with the Commission's staff members' knowledgeability on topics and their ability to answer your questions?

Very Unsatisfied Unsatisfied Neutral Satisfied Very Satisfied Not Applicable

How satisfied are you with the Commission's staff members adequately identifying themselves by name or through the use of name plates/tags?

Very Unsatisfied Unsatisfied Neutral Satisfied Very Satisfied Not Applicable

COMMUNICATIONS

How satisfied are you with the trouble-free process of communication with the Commission?

Very Unsatisfied Unsatisfied Neutral Satisfied Very Satisfied Not Applicable

How satisfied are you with the efficiency of communicating with the Commission?

Very Unsatisfied Unsatisfied Neutral Satisfied Very Satisfied Not Applicable

How satisfied are you with the Commission's ability to route your phone call, email, or letter to the proper person?

Very Unsatisfied Unsatisfied Neutral Satisfied Very Satisfied Not Applicable

How satisfied are you with the Commission's overall communication process in including toll-free telephone access, your average time spent on hold, call transfers, and access to a live person, letters, email, and any applicable text messaging or mobile applications?

Very Unsatisfied Unsatisfied Neutral Satisfied Very Satisfied Not Applicable

WEBSITE

How satisfied are you with the Commission website's display of clear and adequate information as on the services and programs provided?

Very Unsatisfied Unsatisfied Neutral Satisfied Very Satisfied Not Applicable

How satisfied are you with the organization and ease of the Commission's website?

Very Unsatisfied Unsatisfied Neutral Satisfied Very Satisfied Not Applicable

How satisfied are you with the accessibility of the Commission's website through the use of a mobile device?

Very Unsatisfied Unsatisfied Neutral Satisfied Very Satisfied Not Applicable

How satisfied are you with the location of contact and complaint information on the Commission's website?

Very Unsatisfied Unsatisfied Neutral Satisfied Very Satisfied Not Applicable

How satisfied are you with the easiness of finding the Commission's physical location on the website?

Very Unsatisfied Unsatisfied Neutral Satisfied Very Satisfied Not Applicable

COMPLAINTS

How satisfied are you with how the Commission handles customer service complaints including how easy and timely the complaints are addressed?

Very Unsatisfied Unsatisfied Neutral Satisfied Very Satisfied Not Applicable

TIMELINESS

How satisfied are you with the timely manner in which the Commission answered your written and/or verbal questions?

Very Unsatisfied Unsatisfied Neutral Satisfied Very Satisfied Not Applicable

How satisfied are you with the timely manner in which the Commission assisted you when you visited our office in person?

Very Unsatisfied Unsatisfied Neutral Satisfied Very Satisfied Not Applicable

PRINTED INFORMATION

How satisfied are you with the Commission's brochures, forms, and instructions available online, or in print, and how they provide thorough and accurate information?

Very Unsatisfied Unsatisfied Neutral Satisfied Very Satisfied Not Applicable

OVERALL

Please rate your Overall Satisfaction with the Texas Ethics Commission.

Very Unsatisfied Unsatisfied Neutral Satisfied Very Satisfied Not Applicable

COMMENTS

You may add any additional information in the comment box below. Comments should be limited to feedback on your customer service experience only. If you require immediate assistance, you can reach us by phone at 512-463-5800.

ANALYSIS OF RESULTS

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

- 1 – Very Unsatisfied
- 2 – Unsatisfied
- 3 – Neutral
- 4 – Satisfied

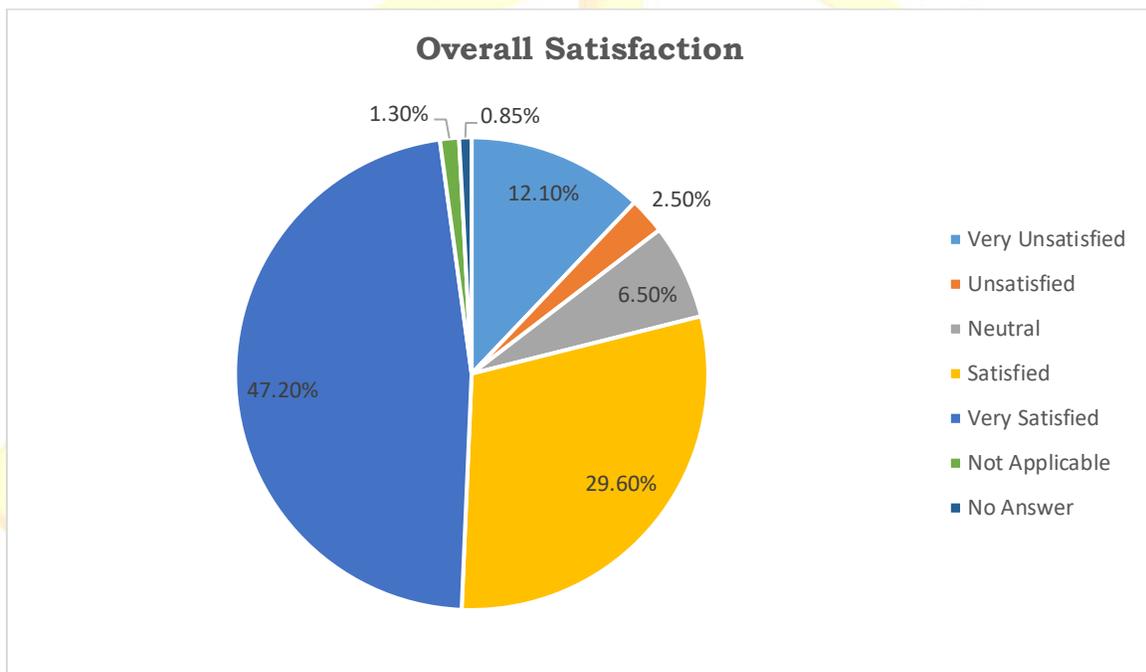
5 – Very Satisfied

N/A – Not Applicable (not included in the Average Score calculation)

No Answer – (not included in the Average Score calculation)

Overall Satisfaction

Of the 1,749 responses received, 47.2% reported to be Very Satisfied, 29.6% Satisfied, 12.10% Very Unsatisfied, 6.5% Neutral, 2.5% Unsatisfied, 1.3% Not applicable and .85% No answer. After reviewing the comments it became clear some of the customers may have selected the incorrect response of Very Unsatisfied as the comments did not reflect that response, possibly because of the way the survey was laid out. The comments were extremely positive with a Very Unsatisfied recorded response. Of the twenty-nine Very Unsatisfied responses with comments, eleven had positive comments which may have resulted from an incorrect selection possibly resulting in a 37.9% error rating on the Very Unsatisfied results.



Campaign Finance Filings (399)

	Staff	Facility	Communicate	Website	Complaint	Timeliness	Printed	Survey Overall
Very Unsatisfied	90	84	76	61	50	57	57	106
Unsatisfied	6	4	12	27	4	10	16	18
Neutral	15	9	28	45	10	17	36	19
Satisfied	48	32	68	125	15	57	97	96
Very Satisfied	148	57	142	105	22	122	107	162
Not Applicable*	92	205	57	10	270	104	52	3
No Answer*	0	0	0	0	0	0	0	3
Avg. Score	3.51	2.74	3.41	3.28	2.00	3.27	3.23	3.54

* not included in average score

Certificate Of Interested Parties (518)

	Staff	Facility	Communicate	Website	Complaint	Timeliness	Printed	Survey Overall
Very Unsatisfied	9	20	16	37	5	9	27	35
Unsatisfied	1	2	4	8	1	0	5	7
Neutral	14	20	22	35	18	16	22	30
Satisfied	16	29	59	168	10	26	101	172
Very Satisfied	49	77	99	262	25	60	158	261
Not Applicable*	429	370	318	8	459	407	205	11
No Answer*	0	0	0	0	0	0	0	2
Avg. Score	4.07	3.95	4.11	4.20	3.83	4.15	4.14	4.22

* not included in average score

Copy Orders (1)

	Staff	Facility	Communicate	Website	Complaint	Timeliness	Printed	Survey Overall
Very Unsatisfied	0	0	0	0	0	0	0	0
Unsatisfied	0	0	0	0	0	0	0	0
Neutral	0	0	0	1	0	0	0	0
Satisfied	0	0	0	0	0	0	1	0
Very Satisfied	1	1	1	0	0	1	0	1
Not Applicable*	0	0	0	0	1	0	0	0
No Answer*	0	0	0	0	0	0	0	0
Avg. Score	5.00	5.00	5.00	3.00		5.00	4.00	5.00

* not included in average score

General Public/Vendor (272)

	Staff	Facility	Communicate	Website	Complaint	Timeliness	Printed	Survey Overall
Very Unsatisfied	8	17	17	27	7	16	21	29
Unsatisfied	1	0	3	13	2	1	6	5
Neutral	7	6	17	21	13	7	21	22
Satisfied	24	30	49	91	9	40	51	87
Very Satisfied	62	46	88	107	25	61	71	121
Not Applicable*	170	173	98	13	216	147	102	4
No Answer*	0	0	0	0	0	0	0	4
Avg. Score	4.28	3.89	4.08	3.92	3.77	4.03	3.85	4.01

* not included in average score

Lobby Filings (95)

	Staff	Facility	Communicate	Website	Complaint	Timeliness	Printed	Survey Overall
Very Unsatisfied	2	2	4	4	1	2	2	4
Unsatisfied	0	1	1	5	0	1	3	0
Neutral	3	5	6	13	6	3	8	10
Satisfied	8	8	19	25	3	15	22	19
Very Satisfied	54	29	51	47	10	42	39	61
Not Applicable*	28	50	14	1	75	32	21	0
No Answer*	0	0	0	0	0	0	0	1
Avg. Score	4.67	4.36	4.38	4.13	4.05	4.49	4.26	4.41

* not included in average score

Other (207)

	Staff	Facility	Communicate	Website	Complaint	Timeliness	Printed	Survey Overall
Very Unsatisfied	5	11	9	14	6	12	5	17
Unsatisfied	5	1	4	7	4	7	7	8
Neutral	11	11	17	14	12	9	12	14
Satisfied	24	30	40	75	13	33	53	70
Very Satisfied	65	30	71	73	11	53	51	89
Not Applicable*	97	124	66	24	161	93	79	5
No Answer*	0	0	0	0	0	0	0	4
Avg. Score	4.26	3.81	4.13	4.02	3.41	3.95	4.08	4.04

* not included in average score

PFS Filings (219)

	Staff	Facility	Communicate	Website	Complaint	Timeliness	Printed	Survey Overall
Very Unsatisfied	7	10	10	18	4	7	11	15
Unsatisfied	0	1	5	9	0	3	11	6
Neutral	5	4	10	12	4	5	12	14
Satisfied	25	18	54	70	2	25	50	65
Very Satisfied	45	36	78	99	6	48	69	118
Not Applicable*	137	150	62	11	203	131	66	0
No Answer*	0	0	0	0	0	0	0	1
Avg. Score	4.23	4.00	4.18	4.07	3.38	4.18	4.01	4.22

* not included in average score

Received Ethics Training (24)

	Staff	Facility	Communicate	Website	Complaint	Timeliness	Printed	Survey Overall
Very Unsatisfied	2	1	2	1	1	2	2	2
Unsatisfied	0	0	0	0	0	0	0	0
Neutral	3	2	4	3	2	2	6	3
Satisfied	3	2	6	8	1	7	5	9
Very Satisfied	7	5	7	11	5	6	9	10
Not Applicable*	9	14	5	1	15	7	2	0
No Answer*	0	0	0	0	0	0	0	0
Avg. Score	3.87	4.00	3.84	4.22	4.00	3.88	3.86	4.04

* not included in average score

Sworn Complaint (6)

	Staff	Facility	Communicate	Website	Complaint	Timeliness	Printed	Survey Overall
Very Unsatisfied	2	1	0	0	1	1	2	3
Unsatisfied	0	0	2	1	0	1	0	0
Neutral	0	0	0	1	2	1	1	1
Satisfied	2	1	1	3	0	0	1	0
Very Satisfied	2	3	2	1	1	2	2	2
Not Applicable*	0	1	1	0	2	1	0	0
No Answer*	0	0	0	0	0	0	0	0
Avg. Score	3.33	4.00	3.60	3.67	3.00	3.20	3.17	2.67

* not included in average score

Summary Analysis of Results

The response rate for the on-line survey was not as high as we would have preferred considering that 35,807 (nearly 80.5%) of our customers were sent a request to complete the on-line survey. A total of 1,749 customer surveys were completed for an overall response rate of 4.88%. Of the total 44,459 filing customers, the 1,749 surveys completed on-line on our website represents an overall response rate of 3.93% of all our filers. Over 36.67% of the 1,749 surveys were submitted within two days following the email notification requesting participation in the survey.

The Commission received very positive scores across all service areas and customer groups with 70.4% of the respondents scoring the Commission as either “satisfied” or “very satisfied”. The element concerning our staff, measuring their level of being helpful, courteous, and knowledgeable, had the highest overall average score of 3.97, on a scale of 1 to 5 with 5 indicating the highest level of satisfaction. Our website received the highest overall satisfaction rating of 75.9% with combined responses of “Satisfied” or “Very Satisfied”. The complaints, excluding sworn complaints, considering whether customer service complaints are easy to address and are resolved in a timely manner, had the lowest overall average score of 3.05 and 46.6% of the respondents rating this category as “Satisfied” or “Very Satisfied”. The overall average score for all eight of the customer service elements was 4.01. Many of the surveys also included feedback and suggestions for improvement. The vast majority of this feedback was

extremely positive, containing many statements praising the knowledge and helpfulness of the Commission staff.

There were also some suggestions on how we can improve our services. The main focus of these comments concerned Form 1295³ and improving the process and efficiency of filing the report. Suggestions included: 1) make the report annual or upon change of information and not with every job; 2) remove the requirement of providing a DOB or address in unsworn declaration or go back to requiring form to be sworn to in front of a notary; 3) submit secure codes via email when resetting passwords versus having to call in to have it reset; 4) allow corrections to Form 1295 rather than having to start all over again; 5) allow making a duplicate copy/ auto-fill of the information versus having to enter it all over again for the same company; and 6) modify the system to allow you to change username and email when employee leaves or has a name change and still retain historical access to prior Form.

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

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

PERFORMANCE MEASURES STANDARDS AND CUSTOMER SATISFACTION

Outcome Measures	FY 2020
Percentage of Surveyed Customer Respondents Expressing Overall Satisfaction with Services Received	70.4%
Percentage of Surveyed Customer Respondents Identifying Ways to Improve Service Delivery	3.1%
Output Measures	
Total Customers Surveyed (total customers responding)	1,749
Total Customers Served	44,459

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

Efficiency Measures	
Cost per Customer Surveyed - Not applicable 100% sent via e-mail	N/A
Explanatory Measures	
Total Customers Identified	4,459
Total Customer Groups Inventoried	8

In the future, the Commission hopes to continue to increase overall customer satisfaction with all our filers. No matter the demand, the Commission is dedicated to improving the reporting process for all our filers.

