

Texas

Department of

Licensing &

Regulation



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## **STRATEGIC PLAN**

**FOR THE FISCAL YEARS 2001-2005**

**TEXAS COMMISSION OF  
LICENSING AND REGULATION**

**AND**

**TEXAS DEPARTMENT OF  
LICENSING AND REGULATION**



# AGENCY STRATEGIC PLAN

FOR THE FISCAL YEARS 2001 – 2005

BY THE

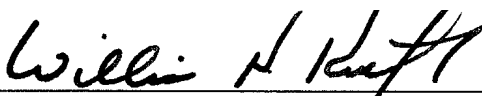
*Texas Commission of Licensing and Regulation*

*and the*

*Texas Department of Licensing and Regulation*

Commission Member	Term	Hometown
William Fowler, <i>Chairman</i>	02/01/01	Llano
Mickey Christakos, <i>Vice Chairman</i>	02/01/03	Allen
Elliott B. McConnell	02/01/03	Rockport
Gina Parker	02/01/01	Waco
Patricia P. Stout	02/01/05	San Antonio
Leo R. Vasquez, III	02/01/05	Houston

*Submitted June 1, 2000*

Signed:   
Executive Director

Approved:   
Commission Chairman

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# THE VISION, MISSION AND PHILOSOPHY OF TEXAS STATE GOVERNMENT

## GOVERNOR GEORGE W. BUSH'S VISION FOR TEXAS:

*Together, we can make Texas a beacon state:*

- ◆ *a state where our children receive an excellent education so they have the knowledge and skills for the 21<sup>st</sup> century;*
- ◆ *a state where people feel safe in their communities, have access to equal justice, and all people know the consequences of committing a crime are swift and sure;*
- ◆ *a state where our institutions encourage jobs and economic opportunity;*
- ◆ *a state where each resident accepts responsibility for his or her behavior; and*
- ◆ *a state where our people – our greatest resource – are free to achieve their highest potential.*

*As I have said before, I envision a state where it continues to be true that what Texans can dream, Texans can do.*

## TEXAS STATE GOVERNMENT MISSION:

State government should concentrate its energies on a few priority areas where it can make a difference, clearly define its functions within those areas, and perform those functions well. State government must look for innovative ways to accomplish its ends, including privatization and incentive-based approaches. Our imperative should be: "Government if necessary, but not necessarily government."

The mission of Texas state government is to support and promote individual and community efforts to achieve and sustain social and economic prosperity for its citizens.

## **TEXAS STATE GOVERNMENT PHILOSOPHY:**

State government will be ethical, accountable, and dedicated to serving the citizens of Texas well. State government will operate efficiently and spend the public's money wisely.

State government will be based on four core principles that will guide decision-making processes.

**LIMITED AND EFFICIENT GOVERNMENT**      *Government cannot solve every problem or meet every need. State government should do a few things and do them well.*

**LOCAL CONTROL**      *The best form of government is one that is closest to the people. State government should respect the right and ability of local communities to resolve issues that affect them. The state must avoid imposing unfunded mandates.*

**PERSONAL RESPONSIBILITY**      *It is up to each individual, not government, to make responsible decisions about his or her life. Personal responsibility is the key to a more decent and just society. State employees, too, must be accountable for their actions.*

**SUPPORT FOR STRONG FAMILIES**      *The family is the backbone of society and, accordingly, state government must pursue policies that nurture and strengthen Texas families.*

Texas state government should serve the needs of our state but also be mindful of those who pay the bills. By providing the best service at the lowest cost and working in concert with other partners, state government can effectively direct the public's resources to create a positive impact on the lives of individual Texans. The people of Texas expect the best, and state government must give it to them.

# STATEWIDE GOALS AND BENCHMARKS

TDLR has identified and defined its relationships to the relevant statewide priority goals and benchmarks.

## REGULATORY

**GOAL** *To ensure that Texas consumers are effectively and efficiently served by high-quality professionals and businesses by setting clear standards, maintaining compliance, and seeking market-based solutions.*

**BENCHMARK** *Percent of state professional licensee population without documented violations.*

**TDLR's Relationship to the Goal and Benchmark:** *TDLR impacts this Goal and Benchmark through its Complaint Resolution Strategy and a performance measure:*

- ◆ *Percent of Licensees with No Recent Violations*

## GENERAL GOVERNMENT

**GOAL** *To support effective, efficient, and accountable state government operations.*

**BENCHMARKS** *Total state spending per capita.*

*Percentage change in state spending, adjusted for population and inflation.*

*Number of state employees per 10,000 population.*

**TDLR's Relationship to the Goal and Benchmarks:** *TDLR's connection to this Goal and Benchmarks is through the Agency philosophy of effective and economic use of public resources. It is further illustrated through the Agency's effort of utilizing technology to leverage limited resources thereby lowering unit cost.*

## HEALTH AND HUMAN SERVICES

**GOAL** *To reduce dependence on public assistance through an efficient and effective system that promotes the health, responsibility, and self-sufficiency of individuals and families.*

**BENCHMARK** *Percent of people with disabilities living independently.*

***TDLR's Relationship to the Goal and Benchmark:*** TDLR is linked to this Goal and Benchmark through its Architectural Barriers program whose purpose is to ensure accessibility of buildings and facilities in Texas. The Agency has eight performance measures that are directly related to the Architectural Barriers program:

- ◆ *percent of architectural barrier inspections completed within statutory time limits;*
- ◆ *percent of plan reviews completed within thirty days;*
- ◆ *number of plans reviewed by agency staff;*
- ◆ *average cost per plan reviewed by agency staff;*
- ◆ *average number of months to complete an inspection by agency staff;*
- ◆ *average number of days to complete plan reviews by agency staff;*
- ◆ *number of plans to be reviewed for architectural barriers; and*
- ◆ *number of buildings due for architectural barrier inspection.*

## **NATURAL RESOURCES**

**GOAL**                      *To conserve and protect the state's natural resources through prudent stewardship.*

**BENCHMARK**         *Percent of Texans with drinking water meeting or exceeding safe drinking water standards.*

***TDLR's Relationship to the Goal and Benchmark:*** TDLR is connected to this Goal and Benchmark through the activities of its Water Well Driller and Pump Installer programs.

## **ECONOMIC DEVELOPMENT**

**GOAL**                      *To foster economic opportunity, job generation, and capital investment by promoting a favorable business climate, preparing the workforce for productive employment, and supporting infrastructure development.*

**BENCHMARKS**         *Texas employment rate.*

*Net number of new non-government, non-farm jobs created.*

*Number of new small businesses created.*

***TDLR's Relationship to the Goal and Benchmarks:*** TDLR is linked to this Goal and Benchmarks through its Career Counselor, Personnel Employment Services, Temporary Common Workers and Staff Leasing Services programs that assist both business owners and employees.



# THE VISION, MISSION AND PHILOSOPHY OF THE TEXAS DEPARTMENT OF LICENSING AND REGULATION

## TDLR'S VISION

Our vision is to be recognized as the best state agency in terms of staff efficiencies, cost effectiveness and public trust.

## TDLR'S MISSION

The mission of the Texas Department of Licensing and Regulation is to maintain public trust while promoting the public's safety and ensuring a fair and competitive business environment for our regulated industries.

## TDLR'S PHILOSOPHY

We affirm that governmental regulation is a **public trust**. We believe that our mission is accomplished when we seek a **balanced** and **sensible** approach to regulation; **actively educate** consumers; regulate in a **firm, fair** and **consistent** manner; ensure **effective** and **economical** use of public resources; and recognize the **dignity** and **worth** of our employees and the citizens of Texas.

# INTERNAL/EXTERNAL ASSESSMENT

## OVERVIEW OF AGENCY SCOPE AND FUNCTIONS

### STATUTORY BASIS

The Department's enabling legislation is the Texas Department of Licensing and Regulation, Chapter 51 of the Occupations Code (Chapter 51) which states that the Texas Department of Licensing and Regulation (TDLR) is "the primary state agency responsible for the oversight of businesses, industries, general trades, and occupations that are regulated by the state" (*umbrella licensing agency*). Chapter 51 also created the Texas Commission of Licensing and Regulation (the Commission) consisting of six public members appointed by the Governor for six-year terms. The Commission and the Executive Director provide leadership and direction for the Agency.

The primary duties of the Commission are to:

- ◆ formulate policy objectives;
- ◆ approve the operating budget;
- ◆ approve legislative appropriations requests;
- ◆ set fees;
- ◆ adopt rules;
- ◆ assess monetary penalties;
- ◆ adopt personnel policies; and
- ◆ supervise the Executive Director's administration of the Department.

The primary duties of the Executive Director are to:

- ◆ administer and enforce agency programs;
- ◆ provide vision, support and motivation for staff;
- ◆ manage the day-to-day operation of the agency;
- ◆ perform duties assigned by the Commission;
- ◆ issue licenses, registrations, certificates and permits;
- ◆ develop and adopt rules; and
- ◆ assess administrative sanctions (revocation, suspension, denial, reprimand, or probation).

## HISTORICAL PERSPECTIVE

TDLR's predecessor, the Bureau of Labor Statistics, was formed in 1909. Its primary functions were enforcement of labor laws, inspection of factories, collection and dissemination of Texas labor data, and encouragement of economic growth. Over the years, the Bureau's role expanded to include regulating industries and the name changed to the Texas Department of Labor and Standards. In 1989, the Legislature created the Texas Department of Licensing and Regulation as an *umbrella licensing agency* to oversee trades, businesses, industries, and occupations. Today the Department oversees seventeen regulatory and licensing programs.

- ◆ Air Conditioning and Refrigeration Contractor License Law (Article 8861)
- ◆ Architectural Barriers Law (Article 9102)
- ◆ Auctioneer Law (Chapter 1802, Occupations Code)
- ◆ Boiler Law (Chapter 755, Health & Safety Code)
- ◆ Career Counseling Services Act (Article 5221a-8)
- ◆ Combative Sports (Boxing) Law (Chapter 2052, Occupations Code)
- ◆ Elevators, Escalators and Related Equipment Law (Chapter 754, Health & Safety Code)
- ◆ Industrialized Housing and Buildings Law (Article 5221f-1)
- ◆ Personnel Employment Services Act (Article 5221a-7)
- ◆ Property Tax Consultants Act (Article 8886)
- ◆ Service Contract Provider Act (Article 9034)
- ◆ Staff Leasing Services Law (Chapter 91, Labor Code)
- ◆ Talent Agencies Act (Chapter 2105, Occupations Code)
- ◆ Temporary Common Worker Employers Law (Chapter 92, Labor Code)
- ◆ Transportation Service Providers (Article 6675 (e))
- ◆ Water Well Drillers Law (Chapter 32, Water Code)
- ◆ Water Well Pump Installers Law (Chapter 33, Water Code)

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**TDLR is the state's primary umbrella licensing agency.**

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## AFFECTED POPULATIONS

All Texans benefit from TDLR's services. For example, you are a beneficiary of TDLR's services if you enter a building (architectural barriers and industrialized buildings), use an elevator or an escalator, drink a cold beverage (refrigeration), use hot water (boilers), enjoy air conditioning or heating, or drink well water. Texans also benefit from TDLR's services when they:

- ◆ utilize the assistance of a career counselor, personnel employment service or a talent agency;
- ◆ attend or participate in an auction or boxing event;
- ◆ hire a property tax consultant;
- ◆ purchase an extended warranty (service contract providers); or

- ◆ work for a staff leasing service company or temporary common workers employer (day laborers).

In addition to serving consumers, we coalesce with and serve those whom we regulate. TDLR continues to cultivate positive and effective working relationships with associations, trade groups, local political subdivisions, consumer advocacy groups and individual license holders in order to achieve our mission.

**UNIQUE CHARGE AND MAIN FUNCTIONS**

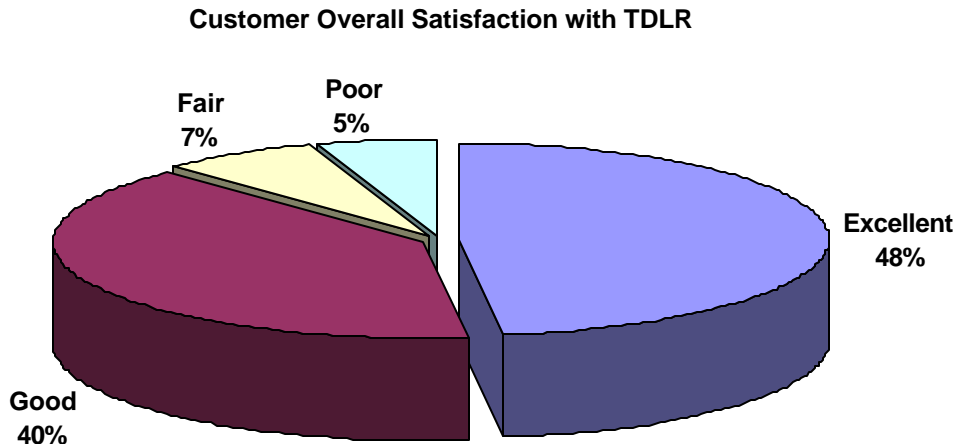
TDLR’s charge is unique in that we oversee a variety of regulatory programs. Although these programs are dissimilar in some respects, TDLR has identified the common elements (licensing, inspections, complaint resolution and enforcement) of each program to achieve the greatest level of efficiency and effectiveness.

TDLR's main functions are to:

- ◆ issue licenses, registrations, certificates, and permits;
- ◆ conduct inspections and monitor third-party inspectors;
- ◆ investigate and resolve consumer and industry complaints; and
- ◆ educate consumers and industry.

**PUBLIC PERCEPTION**

Focus groups, customer satisfaction surveys, the Survey of Organizational Excellence and interaction with advisory boards provide TDLR feedback about agency services and programs. TDLR’s constituents are pleased with the Agency, according to a recent survey. Eighty-eight percent of the customer satisfaction survey respondents rated their overall satisfaction with the Agency as either "excellent" or "good." They perceive agency staff as courteous and professional, consistent and fair in resolving complaints, and efficient and responsive in processing license applications. However, the respondents expressed a need for additional investigators, a more efficient inspection process, and better notification of program changes.



## ORGANIZATIONAL ASPECTS

The Commission has developed and adopted policy objectives that chart the course for the Executive Director and staff to “well serve the citizens of the State of Texas by fully meeting the Governor’s objectives, the Legislature’s strategic and budgetary guidelines, and the charges and objectives of assigned statutes.” The Commission objectives direct the Department to:

- ◆ manage with the highest ethical standards;
- ◆ perform licensing, inspection and investigation functions expeditiously and consistently;
- ◆ apply consistent penalties and sanctions;
- ◆ educate the public and industries about TDLR and its responsibilities;
- ◆ initiate and maintain a working relationship and offer distinctive expertise to the Governor’s Office, the Legislature, and other regulatory agencies;
- ◆ hire, train and retain the highest qualified individuals and compensate employees competitively;
- ◆ employ objective, fair and common sense standards and procedures; and
- ◆ encourage and reward innovation.

TDLR employees are empowered to contribute innovative solutions to the every day challenges facing state government. This environment of empowerment is fostered by the Executive Director’s management style that emphasizes team and consensus building and respect based supervision. The Executive Director, through the use of *Who Moved My Cheese?*, (a national best-seller by Spencer Johnson, M.D.), has also developed a culture of change in the Agency that encourages employees to challenge the status quo. Current and new employees are given a copy of the book to read or may view the videotape to ensure that everybody has the same understanding of the importance of change in the workplace.

The Executive Director’s adage to “get the right information to the right people at the right time” embodies a simple streamlined approach for achieving the Agency’s overall goals. Impromptu town meetings and a meaningful open door policy enhance communication between the Agency’s executive officers and TDLR employees.

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**To achieve maximum efficiency, TDLR is organized along functional lines.**

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TDLR has seven divisions organized along functional lines: Administration, Code Review and Inspections, Enforcement, Executive, Information Services, Legal Services, and Licensing and e-Commerce (See Appendix C).

## ADMINISTRATION

The Administration Division is comprised of the Accounting and Mail Services, Purchasing, and Human Resources sections. The Division manages the Agency's fiscal resources, complies with state and federal laws regulating these three areas and provides outstanding customer service to our internal and external customers. The Administration Division prepares and monitors TDLR's \$6.7 million budget, emphasizing compliance with the various caps (travel, salary and FTE) placed on the Agency. The Division also distributes information packets to customers lacking access to TDLR's web site. Staff mailed over 13,700 packets in FY 99.

In December 1999, the State Auditor's Office (SAO) completed a management audit of TDLR and certified all audited performance measures. The only finding was in the area of fixed assets management. TDLR developed, gained SAO's approval and implemented new procedures to address this finding.

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**The State Auditor's Office certified all audited performance measures.**

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TDLR processes approximately 60,000 pieces of mail each year, half of which are accompanied by payments, which total between \$7 and \$8 million annually. TDLR is implementing several new electronic programs to reduce time spent on data entry duties that will enable us to devote additional staff to more critical areas. Technologies enhancing the Administration Division include:

- ◆ participating in a project with the Comptroller's Office to implement an electronic application and credit card payment system;
- ◆ incorporating an imaging strategy that includes an optical character recognition system to streamline mail distribution and the cash receipts process; and
- ◆ providing information packets on our web site.

The Purchasing section is responsible for supplies and equipment procurement, contract administration, HUB program management, and fixed asset management. The section oversees \$1.1 million in property.

The Human Resources (HR) section recruits qualified employees, administers employee benefits, performs payroll functions, and aids supervisors with the employee assistance programs and training. In addition, this section advises managers and supervisors on counseling employees and the performance evaluation and employee recognition programs. HR also assists management in processing personnel actions involving employee performance issues, from initial problem identification to final appeal. HR also answers questions regarding general personnel policies and administration regulations and provides assistance to employees with complaints.

## CODE REVIEW AND INSPECTIONS

The primary goals of the Code Review and Inspections Division are to ensure accessibility of buildings and facilities and the safe operation of boilers, elevators and escalators.

Architectural Barriers plan review and inspection functions are coordinated through the Austin office. The Plan Review section processes variances, performs plan reviews, and furnishes technical support for third-party Contract Provider plan reviewers, design professionals and building owners. The Administration and Inspections section coordinates and provides technical support for Agency and Contract Provider inspectors and building owners. Over the next few years, the focus of the operations of these sections will shift to oversight/management of Contract Provider plan reviews and inspections. However, agency staff will continue to coordinate technical and administrative assistance, process variances, and assist in enforcement of the law and standards.

The Boiler staff provides technical and administrative support to the Agency's field inspectors, third-party inspectors, industry members, and the public. The program promotes safe use and operation of boilers through regularly scheduled inspections of boilers, including those located at nuclear plants. Each boiler is inspected annually, biennially or triennially depending on the type. Third-party inspectors inspect insured boilers and agency staff inspects uninsured boilers.

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**TDLR ensures the safe operation of boilers, elevators and escalators.**

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The Elevator staff coordinates inspection activities of third-party elevator inspectors and administers the certification, technical, and administrative aspects of the program. Elevators, escalators and related equipment are inspected annually to ensure rider safety. The program strives to identify unregistered equipment and investigates reported accidents. Consistent with TDLR's mission of promoting safety, the Elevator program has set an objective of registering more elevators, escalators and related equipment.

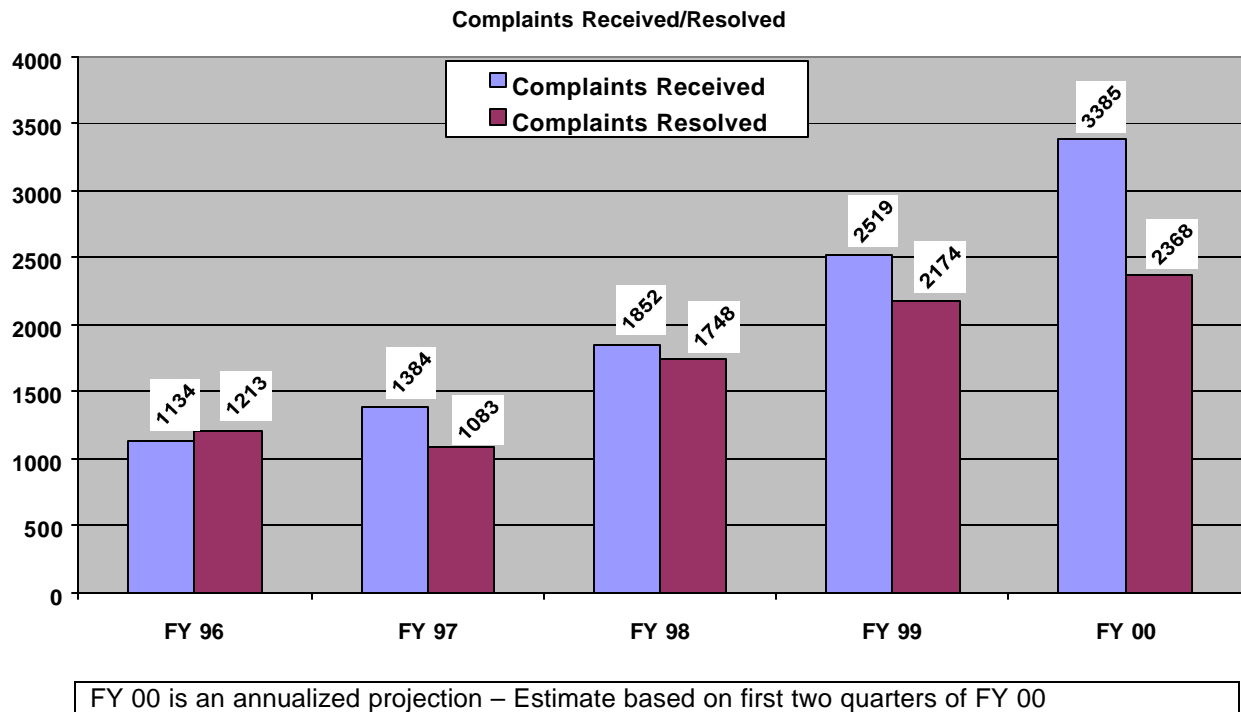
Architectural Barrier and Boiler inspectors and support staff are strategically located throughout the state. Field staff also assist in inspection and investigation functions for other Agency programs.

## ENFORCEMENT

The Enforcement Division provides firm, fair and consistent complaint resolution in addition to:

- ◆ administering policy and procedures of fourteen programs;
- ◆ acting as a primary contact for regulated industry;
- ◆ reviewing and drafting rules;
- ◆ fostering mutual understanding and cooperation with advisory boards, local, state and federal agencies, consumers trade associations and industries; and
- ◆ speaking to various organizations, as resources permit.

As can be seen by the following graph, the number of complaints against licensees resolved by TDLR has increased dramatically. However, the number of complaints filed with the Agency has increased at an even greater rate.



This trend is expected to continue into the next biennium. The Division will continue its process review to standardize and streamline procedures, citations and penalties. The net effect is more complaints resolved in less time with fewer keystrokes. These continuing efficiencies will allow the Division to proactively address additional compliance issues, thereby enhancing its ability to protect the safety and welfare of all Texans. However, to address this increasing trend, the Division will need to employ additional legal assistant (paralegal) positions to assist the investigators with complaint resolution.



The Enforcement Division is increasing efficiency through the use of the Internet and automation. The Division answers a high volume of consumer and licensee inquiries concerning complaint procedure, penalties, licensing requirements and interpretations of the statutes and rules. Requested information is mailed or faxed to those unable to obtain it from the web. To educate callers about the numerous resources available, Division personnel refer callers to the Department's web site to access statutes, rules, administrative orders, complaint forms, licensing forms, and other information. Complaints may also be filed by telephone or electronically.

## **EXECUTIVE**

The Office of the Executive Director manages the day-to-day operations of the Agency, implements Commission objectives and insures agency compliance with statewide goals and initiatives. Strengthening communication is the dominant plank in the Executive Director's platform to safeguard the health and safety of Texans, and to do so in a fair and consistent manner.

The Executive Director and his staff perform the following key functions:

- ◆ implement staff development programs;
- ◆ provide support functions for the Commission and its meetings;
- ◆ recommend board appointments, fee changes, and budgetary matters to the Commission;
- ◆ represent the agency and provide testimony before the Legislature;
- ◆ conduct administrative hearings under the Administrative Procedure Act;
- ◆ assess sanctions (denial, suspension, revocation, and probation of a license) when necessary;
- ◆ issue Cease and Desist orders to persons operating without a license;
- ◆ uphold open government tenets through the Public Information Officer;
- ◆ appoint members to advisory bodies;
- ◆ review, draft, propose and adopt administrative rules; and
- ◆ authorize grants from the Auctioneer Education and Recovery Fund.

Communication initiatives include:

- ◆ reformatting the Agency's web site at [www.license.state.tx.us](http://www.license.state.tx.us) for 24/7 access to agency information: licensing database, disciplinary actions taken against license holders, e-mail addresses, forms, statutes and rules, links to state government web sites, examination information, e-mail notification to subscribers, and job postings;
- ◆ conducting periodic internal and external focus groups to obtain feedback on the Agency's performance and suggestions to enhance services;
- ◆ holding town meetings so TDLR employees, its most valued assets, can offer advice and impart ideas for greater efficiencies;

- ◆ prioritizing the acquisition of electronic resources for receiving and conveying information such as automated correspondence, imaging document filings, and optical character recognition technology; and
- ◆ notifying Commission members, advisory boards, industry leaders, associations, consumer advocacy groups, and TDLR employees of pending actions in their areas of interest through e-mail, correspondence, web site postings, press releases, telephone calls, and meetings.

## **INFORMATION SERVICES**

The primary goal of the Information Services Division is to provide TDLR with a progressive and dynamic technology platform. The Division also provides programming support for TDLR's license and registration, inspections, enforcement and cash receipt administration functions.

Information Services developed the TDLR web site ([www.license.state.tx.us](http://www.license.state.tx.us)) as the primary communication tool for the Department. The web site is the focus of TDLR's e-Commerce initiatives.

The Division manages and supports TDLR's computer hardware environment that includes a local area network of over 150 computers. The Department entered into an interagency agreement with the Department of Human Services to use its wide area network for field office data communications.

Information Services also provides technology support for the Texas Veterans' Commission, the Texas Commission on the Arts, the Fire Fighters' Pension Commission, and the Texas Incentive and Productivity Commission.

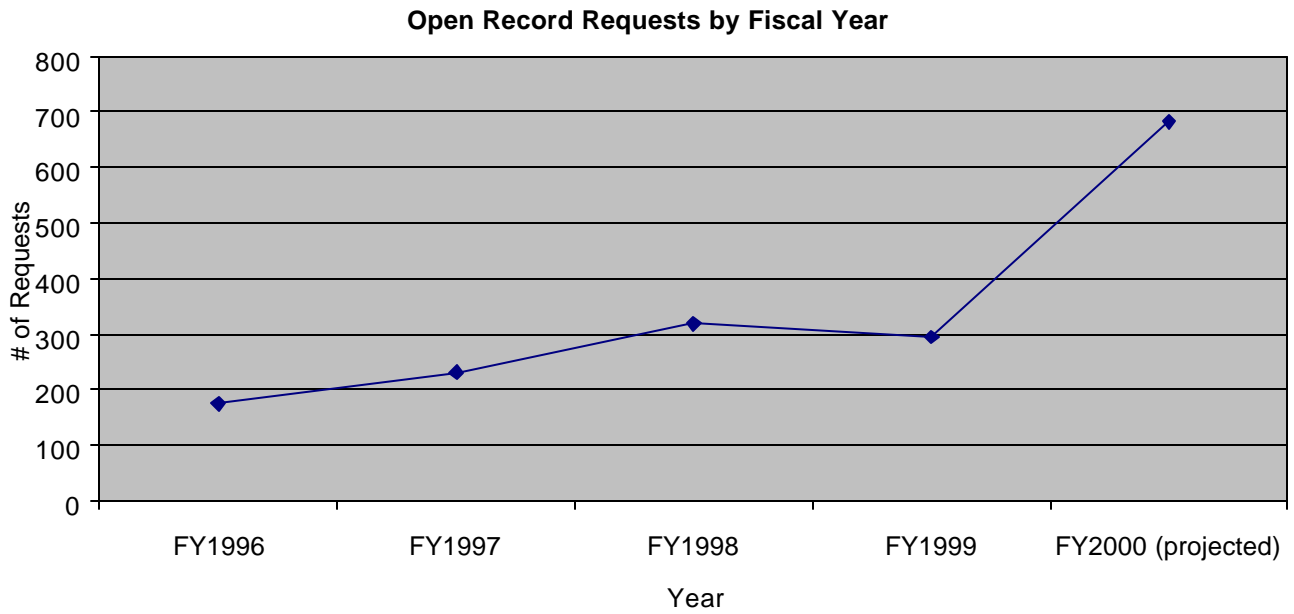
## **LEGAL SERVICES**

"Services" is not only part of the Division's name, it is the core principal that drives every interaction between the Division's employees and its internal and external customers. The Legal Services Division is comprised of two sections - the Office of the General Counsel and the Prosecutor's Office. Both sections work closely with the Enforcement Division to resolve complaints filed by industry members, consumers, the Department and governmental entities.

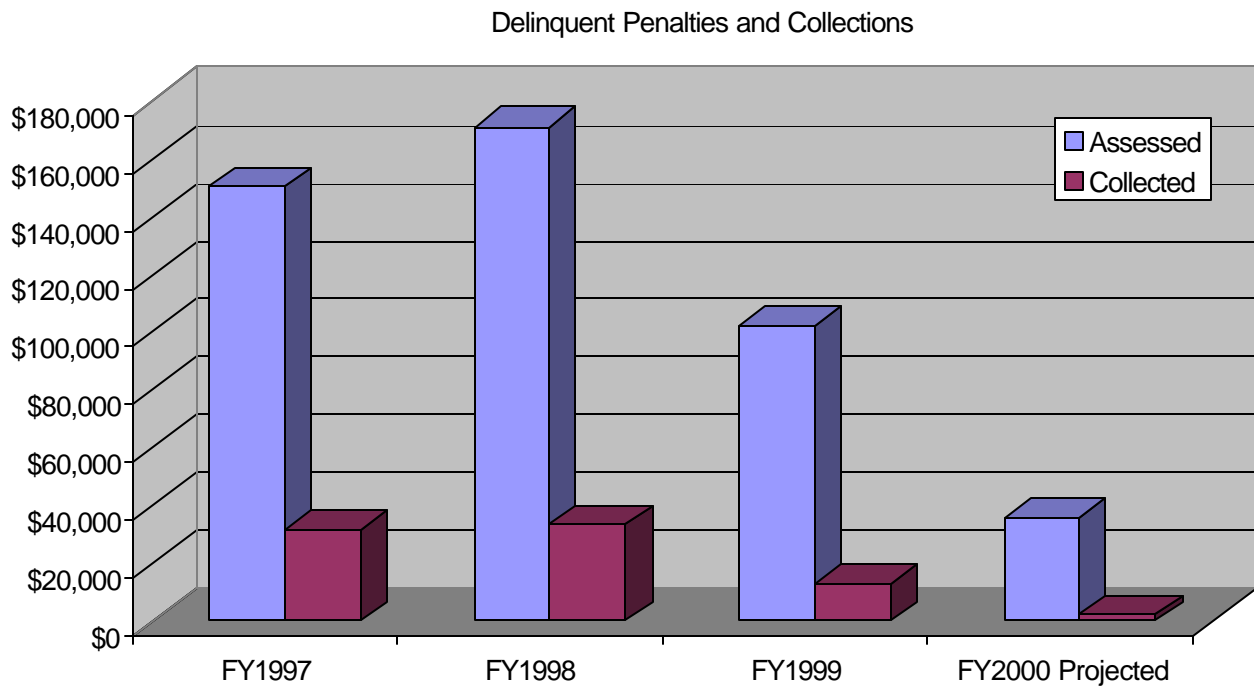
The Office of the General Counsel:

- ◆ provides legal counsel to the Commission, Executive Director, agency staff and advisory boards;
- ◆ proposes and processes administrative rules;
- ◆ processes public information requests;
- ◆ provides administrative support for the Agency's advisory boards;
- ◆ acts as liaison between the Department and the Office of the Attorney General; and
- ◆ collects penalties due to the Agency.

The following graph illustrates the increased demand for public information requests processed by the Division from 1996 to present.



The Office of General Counsel is charged with collecting delinquent penalties.



In FY 99, the Office of the General Counsel collected 34.8% or \$33,795, of the \$97,000 in penalties due the Agency. The remaining cases were transferred to the Attorney General's Office for collection activity. As the Agency seeks legislative assistance to increase the administrative penalty cap from \$1,000 to \$5,000 to enhance its enforcement efforts, collection rates will become even more critical. The Division will further evaluate its collection procedures as well as other collection systems to ensure that it improves the collection rate.

The Prosecutor's Office:

- ◆ prosecutes, through the administrative process, violators of the rules and statutes administered by the Department;
- ◆ works with the Enforcement Division to produce Agreed Final Orders;
- ◆ provides support for complaint resolution processes and procedures;
- ◆ settles administrative cases; and
- ◆ assists the General Counsel.

Forty-seven administrative hearings were held and 400 administrative cases settled in FY 99. From FY 96 to FY 00 (projected), the number of hearings held will have increased by 44.2% and cases settled by 7.4%. The rising trend in hearings held and cases settled can be attributed to consumer education efforts, streamlining processes, and the addition of programs assigned by the Legislature. As of the date of this report, 1,788 complaints are pending investigation and 192 cases await a hearing date. The backlog of cases and the rising number of hearings and complaints indicate a need to increase FTE levels in the Legal, Executive (hearings), Administration, and Information Services Divisions.

Although the Division's challenge is complex, our customers can say they have been treated fairly and their health and safety have been protected through the efforts of the Legal Services Division.

#### **LICENSING AND e-COMMERCE**

The core responsibility of the Licensing and e-Commerce Division is to screen applicants for licensure so that only qualified persons obtain entry into the regulated industry. This screening process may include one or more of the following:

- ◆ examination;
- ◆ background check;
- ◆ education/credential verification;
- ◆ financial requirements; and
- ◆ experience assessment.

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**TDLR has 115,704 licensees, certificate holders and registrants.**

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As part of the screening process, the Division administers the examinations for Air Conditioning Contractors, Auctioneers, Boiler, Property Tax Consultants, Water Well Drillers and Water Well Pump Installers. The division administered 2,277 examinations in FY 99. TDLR has enhanced its examination program by offering computerized examinations at approximately twenty locations. Previously, TDLR offered examinations only in Austin. By September 1, 2001, we anticipate 75% of examinations will be administered electronically. TDLR is seeking additional opportunities to offer examinations electronically.

The Division approves continuing education providers, courses and materials for the Property Tax Consultant and Water Well Driller and Pump Installer programs. Staff reviews course content and consults with advisory boards and industry experts for technical advice.

In a collaborative effort, the Licensing and e-Commerce Division is working with the Information Services Division to develop the agency's e-Commerce initiatives. Current projects include:

- ◆ Developing a form for certification of air conditioning insurance coverage that can be read by a scanner attached to a PC. This will eliminate approximately 75% of the data entry effort for the agency and decrease the amount of time to issue a license. The next step of this project will be an online version of the same form that will be accepted electronically, further decreasing processing time.
- ◆ By July 1, 2000 the agency will be accepting air conditioning renewals (including payment by credit card) via the Internet, which many of our licensees have requested. Since the largest licensing base is air conditioning, TDLR will first offer this new service to those license renewals. Online license renewal will eliminate much of the agency's data entry and decrease processing and printing time by at least 2 days (75%). In the future, the agency will extend this online renewal to other programs.
- ◆ We are in the process of providing online registration of architectural barrier plan review projects. This initiative will benefit design professionals, Contract Providers and building owners.

The Licensing and e-Commerce Division is the agency's primary point of contact for the public and its staff is trained in a customer service excellence.

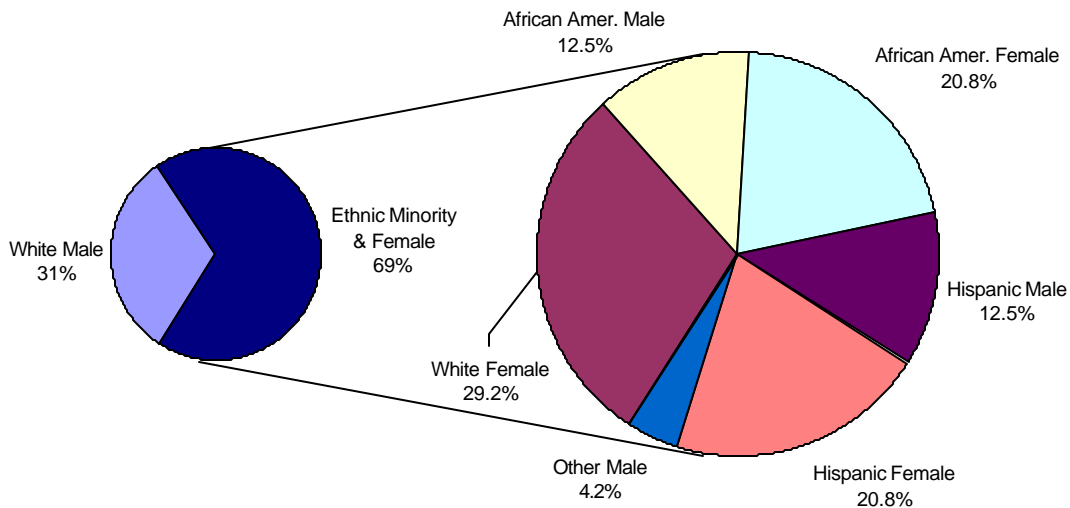
## **AGENCY MAKE-UP**

TDLR is authorized 144.5 full-time equivalent (FTE) positions. Of that number, 113.5 are located in Austin and 31 are assigned to locations throughout the state.

To administer effectively and efficiently the variety of industries, trades and occupations under our jurisdiction, TDLR relies on a competent and knowledgeable staff. Professional, paraprofessional and technical positions comprise over 71 percent of TDLR's workforce. TDLR anticipates that a greater demand in the services it provides will warrant an increase in FTEs.

## COMMITMENT TO A DIVERSE AND QUALIFIED WORKFORCE

TDLR provides equal employment opportunities to all employees and is committed to recruiting, selecting, and retaining a diverse workforce that is representative of the state's labor force. The graphic below shows the Agency's hiring profile for FY 00, through April 1, 2000.

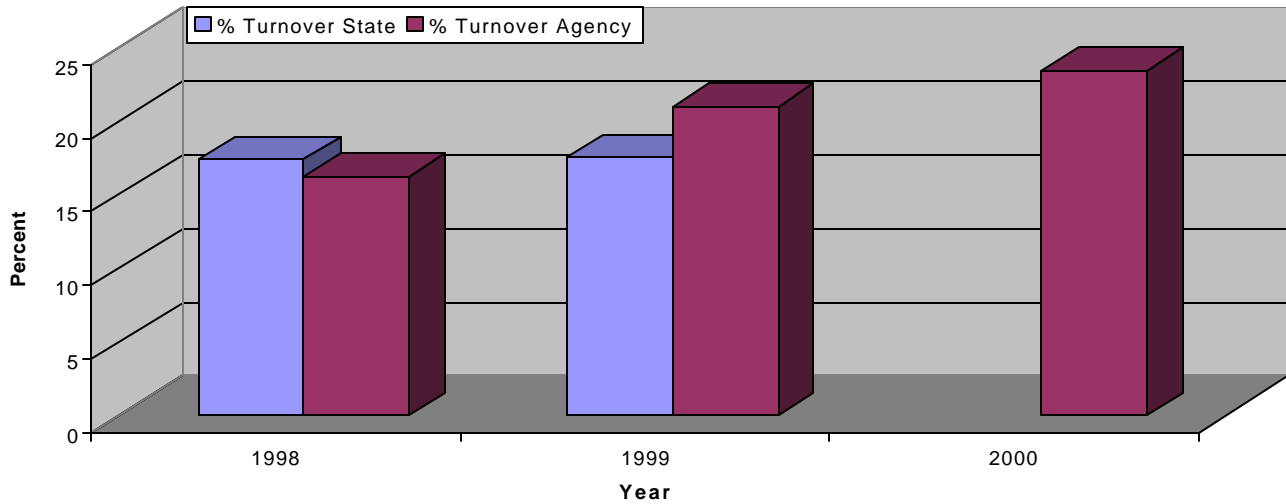


The following table compares the percentage of African American, Hispanic American and female TDLR employees (as of April 1, 2000) to the statewide civilian workforce, as reported by the Texas Commission on Human Rights.

Job Category	African American		Hispanic American		Female	
	TDLR %	State %	TDLR %	State %	TDLR %	State %
Officials/Administrators	29	6	14	9	29	29
Professionals	8	8	16	9	28	47
Paraprofessionals	19	23	23	34	96	56
Technicians	6	13	14	16	25	41
Administrative Support	41	16	21	21	86	71
<b>Total</b>	<b>17</b>	<b>14</b>	<b>17</b>	<b>20</b>	<b>51</b>	<b>43</b>

## EMPLOYEE TURNOVER

A high employee turnover rate for TDLR and state government continues to be a major problem. The following graph illustrates the Agency's turnover compared to statewide turnover for FY 98, FY 99, and FY 00.



	FY 1998	FY 1999	FY 2000*
% Turnover State	17.37	17.58	Not Available
% Turnover Agency	16.24	20.97	23.40

\*projected

The table below depicts the disproportionate turnover rate by position. For example, Architectural Barriers Inspectors constituted 7.20 percent of the Agency's workforce yet accounted for 15.00 percent of the Agency's turnover rate. The primary reason for this high turnover is that third-party Contract Providers perform the same functions. These positions generally provide greater income, self-employment opportunity and telecommuting advantages. Similarly, the disproportionate turnover rate for Boiler Inspectors can be attributed to higher paying inspector positions with insurance companies. This trend will continue as the pool of these skilled individuals decreases. To attract and retain the qualified technical staff necessary to perform these jobs, TDLR must be able to offer competitive salary packages.

### Turnover Rates by Selected Positions FY 00 as of April 1, 2000

Selected Positions	% of Actual FTEs	% of Total Turnover
Architectural Barriers Inspector	7.20	15.00
Boiler Inspector	9.10	15.00
Architectural Barriers Plan Reviewers	7.70	10.00
Administrative Technician	32.30	30.00

If salaries and benefits do not keep pace with the growing private sector, TDLR will continue to have difficulty maintaining a well-trained and competent staff. Keeping turnover rates low not only ensures an experienced workforce, but also reduces the costs associated with turnover, which include recruiting, training, and lost productivity. During the first eight months of FY 00, TDLR spent \$19,422 on 20 job vacancy announcements in newspapers. TDLR is committed to providing employees with both monetary and non-monetary rewards and benefits.

## **STAFF EXPERIENCE**

TDLR recognizes the dual value of employees that have experience with the Agency and those that bring new experience from outside the Agency. Currently, more than 22% of TDLR employees have at least 10 years of experience with the Agency, ensuring a solid base of experience upon which to operate. These valued employees provide historical and institutional knowledge, which contributes to the Agency's positive industry relationships and strategic planning process. They are also instrumental in providing guidance and training to the 54% of our employees who have 3 years or less experience with the Agency. Conversely, TDLR acknowledges the critical role that these newer employees play in bringing new and fresh perspectives to the Agency.

TDLR will continue to expand the breadth of experience and knowledge through its recruitment and hiring efforts. It will also improve the performance of its employees by providing targeted training and development programs.

## **KEY ORGANIZATIONAL EVENTS AND AREAS OF CHANGE**

Fiscal Year 2000 has embodied the traditional maxim that “the only constant is change.” During this period, dramatic changes have occurred in TDLR’s executive leadership, organizational structure, communication style and technological services.

### **UNDER NEW LEADERSHIP**

September 14, 1999 marked the beginning of a new era in leadership for TDLR. After the retirement of the former executive director, the Commission faced the task of selecting a new executive director capable of leading the Agency into the year 2000 and beyond. After an extensive search for a person with a proven track record of leadership, innovation, legislative experience, and a common sense approach to regulation, the Commission selected William H. Kuntz, Jr. Upon taking the reins of the Agency, former Commission Chairman, Elliott McConnell, gave Mr. Kuntz a clear and simple charge – make TDLR the best agency in state government.

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**TDLR’s goal is to  
be the best  
agency in state  
government.**

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Through Mr. Kuntz's vision and leadership TDLR is on its journey toward licensing excellence. In a very short time he has created an environment of empowerment and a culture of change. He is working to expand the Agency's positive visibility through its own e-Commerce initiatives and those sponsored by the Lieutenant Governor's Office and the Comptroller of Public Accounts.

## **ORGANIZING FOR CHANGE**

TDLR believes that organizing along functional lines is the most effective way of achieving its mission, delivering services, and adapting to change. During the first six months of FY 00 TDLR transferred its Architectural Barriers project registration and Elevator certification functions from the Code Review and Inspections Division to the Licensing and e-Commerce Division. Through this major reorganization, TDLR will achieve the inherent economies-of-scale of organizing functionally.

TDLR has incorporated an e-Commerce and process review component in its organizational structure. By leveraging the Agency's limited resources, this e-Commerce component will reduce the time and per unit cost of issuing a license.

Process review provides TDLR a structure through which it can continuously evaluate the viability of existing processes and systems and seamlessly merge new programs and responsibilities into the Agency. It is key to the Agency's ability to quickly adapt to meet the changing needs of its service populations.

## **COMMUNICATION INFRASTRUCTURE**

TDLR has overhauled its communication infrastructure to allow for a more open and dynamic system for receiving and sending information. The Agency holds focus group sessions with consumer groups, trade associations, industry representatives, and employees. Additionally, TDLR regularly conducts town hall meetings to apprise employees of changes and listen to their concerns. These changes represent a fundamental shift in the way the Agency includes internal and external customers in the decision making process.

## **TECHNOLOGICAL SERVICES**

TDLR has wholeheartedly embraced the philosophy of technology as an enabler. We are swiftly automating manual processes and increasing the interactivity and accessibility of our systems. For example, TDLR is implementing a system for third-party inspectors to file reports via the Internet. Building owners, inspectors and the Agency will benefit from a reduction in processing time and an increase in accuracy. Another example of TDLR's technological advances is utilizing Optical Character Recognition (OCR) to accept, process and electronically store applications. This new technology eliminates keystrokes, while significantly increasing application processing efficiency. In addition

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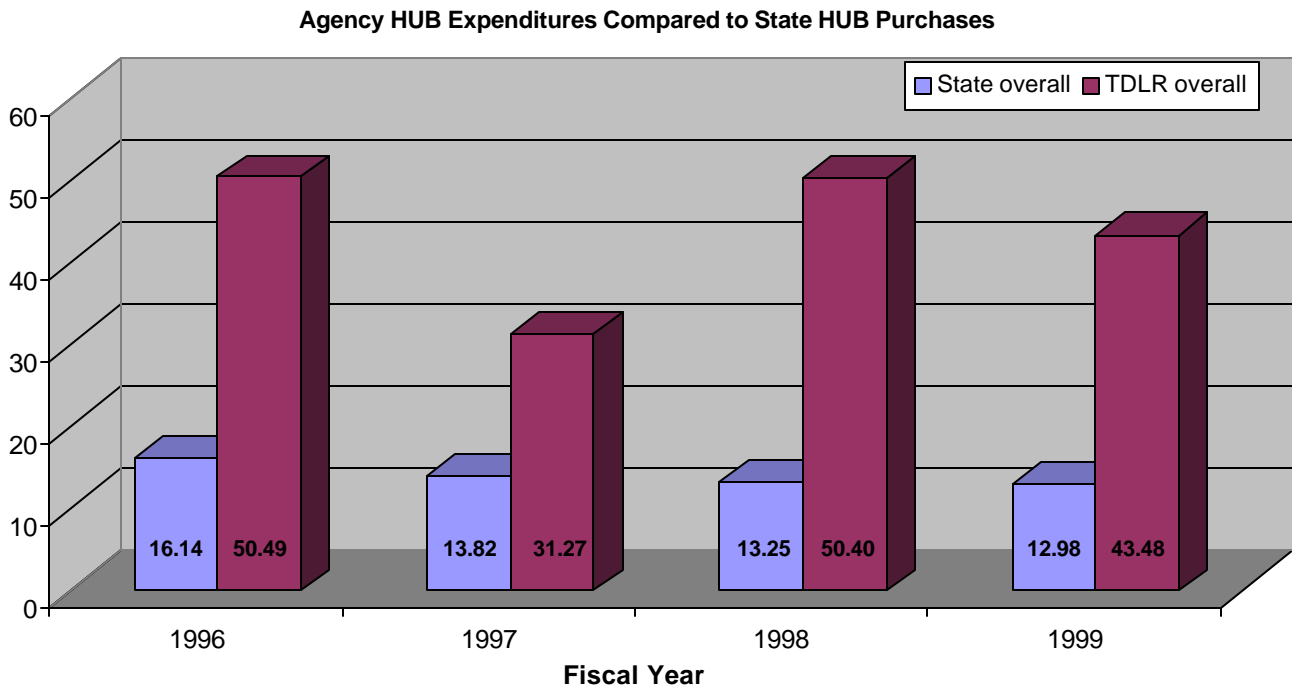
**TDLR will be one of the first agencies in Texas to offer online license renewal with payment by credit card.**

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to these technological initiatives, a more comprehensive list is in the Technological Developments Section.

## HISTORICALLY UNDERUTILIZED BUSINESSES

TDLR remains committed to increasing contracting opportunities with all Texans. We are proud of our recent Historically Underutilized Business (HUB) contracting success. In FY 99, HUB transactions accounted for 43.5% of TDLR's total expenditures. We expect to meet our established (Appendix H) goals of 35% for FY 00. The following graph compares TDLR's performance with state's overall performance.



Through our HUB purchasing program, we have consistently exceeded the relevant state goals as shown in the following table.

### Comparison of TDLR HUB Category Expenditures to statewide HUB Category Expenditures

Category	1996		1997		1998		1999	
	TDLR %	State %	TDLR %	State %	TDLR %	State %	TDLR %	State %
Special Trade Construction	N/A	14.67	N/A	13.67	0.00	20.06	100.00	19.44
Professional Services	0.00	16.85	0.00	18.45	0.00	19.30	0.00	15.81
Other Services	32.90	13.20	12.60	11.60	29.10	11.20	44.20	12.90
Commodity Contracts	61.70	14.08	66.20	11.31	74.00	13.96	39.57	13.94

## Fiscal Aspects

### SIZE OF BUDGET

TDLR's 2000-2001 biennial budget is \$13,253,333. House Bill 1, 76<sup>th</sup> Legislature, R.S., Page VIII-41, Riders 2, 4, and 6 appropriate additional funds if revenues are collected in excess of the amounts listed.

### Revenue Collection by Statute

Statute	FY 96	FY 97	FY 98	FY 99	FY 00*
Air Conditioning	\$ 792,200	\$ 712,327	\$1,125,273	\$803,674	608,536
Architectural Barriers	1,224,002	2,006,123	2,212,150	2,219,572	833,052
Auctioneers	362,955	320,590	344,264	342,122	187,200
Boiler	1,492,862	1,711,608	1,900,122	1,704,270	943,803
Combative Sports	211,038	134,809	245,866	145,818	112,598
Career Counseling	32,750	30,450	13,700	22,975	5,150
Elevators	287,897	356,267	776,542	665,060	406,539
Temporary Common Workers	31,825	36,950	49,650	50,495	44,000
Industrialized Housing and Buildings	247,064	284,899	323,539	371,660	205,952
Personnel Employment Services	58,500	51,025	55,729	48,102	17,975
Property Tax Consultants	182,982	102,195	104,873	98,677	45,125
Service Contract Providers	N/A	N/A	N/A	N/A	92,850
Staff Leasing	387,302	398,771	623,606	594,033	125,250
Talent Agents	14,575	33,200	39,900	40,700	30,675
Transportation Service Providers	N/A	N/A	43,000	2,725	20,350
Water Well Drillers and Pump Installers	N/A	N/A	206,232	518,832	273,902
<b>Total</b>	<b>5,325,952</b>	<b>6,179,214</b>	<b>8,064,446</b>	<b>7,628,715</b>	<b>3,952,957</b>

\*reflects revenue collected through March 31, 2000

### METHOD OF FINANCE

TDLR collects and adjusts fees to meet its requirement of covering direct and indirect costs. This revenue is deposited into the General Revenue Fund from which TDLR receives approximately 97.7% of its budget. Appropriated receipts, interagency contracts and interest earned from the Auctioneer Education and Recovery Fund comprise the remaining 2.3%. TDLR does not receive federal funds.

## **CAPITAL ASSETS**

The majority of TDLR internal applications reside on an HP3000 minicomputer maintained by TDLR staff. To supplement this platform TDLR relies on a PC-based platform for its web site, list server, TELEform® OCR processing, e-mail, and database server. Some advantages of this PC-based platform are:

- ◆ increased availability of off-the-shelf software;
- ◆ easier implementation of e-Commerce initiatives; and
- ◆ fewer obstacles in finding qualified IT professionals to develop and support software applications.

A primary objective of TDLR is to move all legacy HP3000 applications to a less proprietary, more widely used PC-based platform.

TDLR will utilize the Internet to provide greater service and convenience to customers seeking a license or registration. However, some Texans may not have access to these e-Commerce solutions. Therefore, TDLR will continue to accept paper forms. To expedite the processing of paper forms, TDLR will use electronic document imaging and optical character recognition technologies (TELEform®).

## **BUDGETARY LIMITATIONS AND IMPROVEMENTS**

In October 1999, TDLR projected a \$1.4 million revenue shortfall for FY 00. The projected shortfall was due to:

- ◆ a statutory shift in inspection and plan review functions from agency staff to third-party contractors, resulting in a decrease in revenues to the Agency;
- ◆ a delay in implementing fee increases; and
- ◆ the practice of recognizing fee revenue in the Architectural Barriers program on a cash basis rather than an accrual basis.

TDLR took immediate steps to overcome the shortfall by implementing the following interventions:

- ◆ instituted temporary budget reductions;
- ◆ developed models to better project expenditures and revenues;
- ◆ increased fees;
- ◆ moved to an accrual basis accounting system for the Architectural Barriers program; and
- ◆ automated processes to assure timely collection of fees due.

By mid-March 2000, TDLR had reduced the projected shortfall to \$128,000. We are continuously monitoring the revenue and expenditure models to assure that cash flow is sufficient to cover Agency appropriations.

## **COMPLIANCE WITH CAPS AND WAIVER REQUESTS**

TDLR is diligent in our efforts to comply with all caps set by the Legislature; however, we exceeded our travel cap for FY 99 by 1.5%. The reason for exceeding the travel cap in FY 99 was due to only a partial transfer of travel budget funds for the Water Well Drillers and Pump Installers programs.

TDLR notified the Governor's office and the LBB that the Agency needs an increase in the FY 00-01 travel cap in order to meet the needs of our inspection and investigative functions. TDLR is requesting an annual increase of approximately \$65,000 for the following:

- ◆ \$5,000 to conduct investigations in the Air Conditioning program, for which TDLR was authorized two additional Investigators by H.B. 1, 76<sup>th</sup> Legis., R.S.; and
- ◆ \$60,000 to conduct inspections in the Architectural Barriers and Boiler programs

## **SERVICE POPULATION DEMOGRAPHICS**

### **HISTORICAL CHARACTERISTICS**

From its inception as the Bureau of Labor Statistics to its current form as the Texas Department of Licensing and Regulation, this organization has seen considerable change in its service population's demographics. From the original focus on labor and industry, the Legislature shifted the emphasis to the professional, business and consumer communities. The size and mix of its service population continues to change as it takes on more programs and moves toward a comprehensive licensing and regulation function.

### **CURRENT CHARACTERISTICS**

TDLR's service population continues to grow and encompass almost every demographic category. Our constituents are located throughout the state, in both metropolitan and rural areas. They are ethnically diverse, span every age group, have special needs and encompass several professions.

Programs such as Air Conditioning, Architectural Barriers, Auctioneers, Boilers, Elevators, Industrialized Housing and Building, and Property Tax Consultants can directly affect a large spectrum of the population. Others, such as Career Counselors, Combative Sports, Personnel Employment Services, Service Contract Providers, Staff Leasing Services, Talent Agencies, Temporary Common Workers, Transportation Service Providers, Water Well Drillers and Pump Installers, serve a smaller, more specialized group but can indirectly affect large portions of the population.

## FUTURE TRENDS AND THEIR IMPACTS

As the population of Texas continues to grow, age and become more ethnically diverse, so too will the number of people demanding the services of TDLR. Additionally, the rapid population growth along the Texas-Mexico border may require TDLR to examine how our resources are allocated in the future.

The baby boom generation reaching retirement age could increase the need for the services of such programs as Air Conditioning and Architectural Barriers.

Based on the State Comptroller's population forecast by Race/Ethnicity, shown in the table below, "Hispanic" and "Non-Hispanic Other" will be the groups experiencing the largest increase in growth rate. This may increase the Department's need for bilingual staff and the development of forms, tests and web site materials in other languages.

**Population Forecast for Texas by Race/Ethnicity: 1999-2005**

Year	Total	Non-Hispanic White	Hispanic	Non-Hispanic Black	Non-Hispanic Other
1999	20,139,105	11,310,991	5,954,931	2,329,679	543,504
2005	22,262,873	11,804,456	7,217,716	2,545,058	695,643
<b>Increase from 1999 to 2005</b>	<b>11%</b>	<b>4%</b>	<b>21%</b>	<b>9%</b>	<b>28%</b>

## TECHNOLOGICAL DEVELOPMENTS

Technology is the cornerstone of TDLR's business model. Our focus is on **high-tech and high-touch** - using technological efficiencies to facilitate the re-deployment of personnel to reach all citizens of Texas. The high-tech and high-touch philosophy will result in a reduction in per unit cost.

TDLR is leading the way to increased utilization of technology in state government. TDLR is participating in the e-government demonstration project established by Senate Bill 974 and is one of six agencies that helped select the vendor for the Texas Electronic Framework. This initiative will position TDLR to provide a higher level of customer service by processing licenses, registering projects, filing reports, and accepting payments via the Internet. TDLR will continue to use technological advances to:

- ◆ increase the availability of services to any location;
- ◆ offer the convenience of around-the-clock information and services;
- ◆ increase efficiency by providing a means for consumers to enter their own data;
- ◆ improve accuracy of information; and
- ◆ reduce turnaround time by eliminating steps in the licensing process.

TDLR has a comprehensive web site that is quickly becoming its primary point of contact. TDLR is expanding services on the web site by:

- ◆ offering a free electronic message service (list server) that provides instantaneous information to subscribers;
- ◆ providing TDLR forms, rules, and laws on the Internet;
- ◆ implementing a license database searchable by name, license number, license type, expiration date, city, county and/or zip code on the Internet;
- ◆ accepting boiler inspection reports electronically from third party boiler inspectors;
- ◆ posting disciplinary actions on the Internet;
- ◆ registering architectural barrier projects via the Internet;
- ◆ providing an agency directory of e-mail addresses;
- ◆ accepting consumer complaints by e-mail;
- ◆ advertising employment opportunities; and
- ◆ publishing frequently asked questions.

#### **FUTURE TECHNOLOGICAL INITIATIVES**

TDLR continuously evaluates processes, improves organizational structure, and provides optimum services to clients across the digital divide. Future technological initiatives include:

- ◆ a new licensing system;
- ◆ Fax-on-Demand service for routinely requested information (applications and information packets);
- ◆ license renewals by telephone;
- ◆ Personal Digital Assistant (PDA) reporting devices;
- ◆ wireless database access via the Internet;
- ◆ Global Information Systems (GIS) technology to normalize databases;
- ◆ Computer-Aided Design (CAD) readers for construction document reviews;
- ◆ online meetings (audio);
- ◆ acceptance of electronic signatures;
- ◆ development of electronic forum;
- ◆ processing of documents via facsimile transmission;
- ◆ e-mail notification of renewals;
- ◆ examinations online;
- ◆ links with additional databases for cyber enforcement; and
- ◆ utilizing document imaging to capture data and store documents electronically.

TDLR is committed to converting manual systems and re-engineering automated systems to take advantage of newer technologies. Better technologies will lower per unit costs and free resources for other services, including investigations and inspections. Although TDLR is increasing its reliance on newer technologies, we will continue to provide high-touch services to those who can not take advantage of e-Commerce.

## **ECONOMIC VARIABLES**

Economic variables having the greatest impact on the Texas Department of Licensing and Regulation and its regulated entities are the unemployment rate, construction trends, and the Gross State Product (GSP).

Throughout the 1990s, employment growth in Texas consistently exceeded that of the nation. Texas' unemployment rate of 4.5% is a 20-year low and ranks tenth nationally. While the unemployment rate indirectly affects all programs administered by TDLR, this economic variable has a correlation to the demand for services in the following areas:

- ◆ Career Counseling Services
- ◆ Personnel Employment Services
- ◆ Staff Leasing Services
- ◆ Employers of Temporary Common Workers

The Architectural Barriers, Boiler, Elevator and Escalator, Industrialized Housing and Buildings, and Air Conditioning and Refrigeration Contractor programs are significantly impacted by trends in the construction industry. As a result of Texas' robust economy, residential building starts are projected to stay near the 10- year high of approximately 170,000 per year. Commercial building is also expected to be strong, with projected construction in the range of 150 to 200 million square feet per year. Construction of other facilities is projected to gain strength, as more federal funding becomes available for highways and airport activities. The Texas Department of Transportation projects that non-building construction activity will remain constant at approximately \$3 billion per year over the next 3-5 years.

Texas continues to have a vibrant and healthy economy. Texas ranks third among states in GSP and has a projected annual growth rate of nearly 1.5 times that of the Gross National Product (GNP). Over the next five years, Texas' GSP is expected to grow at an average rate of 3.9% as compared to 2.7% for the GNP. The benefits of continuous and strong growth in the GSP will increase the demand for the Agency's services.

## **IMPACT OF FEDERAL STATUTES/REGULATIONS**

Federal legislation impacts our regulatory activities in the following areas:

- ◆ The Professional Boxing Safety Act of 1996, U.S.C. Title 15, requires state boxing commissions to utilize the Association of Boxing Commissions' recommended regulatory guidelines. Pursuant to the Act, the Department issues federal identification cards to boxers.
- ◆ Title 42 Public Health, directly conflicts with and preempts the Industrialized Housing and Buildings adopted model codes in that any facility receiving Medicare or Medicaid reimbursement must be constructed to the National Fire Protection Association (NFPA) Life Safety Code 101, 1997 edition.



- ◆ Auctions conducted under 7 U.S.C. Section 181, Federal Packers and Stockyards Act are exempt from the Occupations Code, Chapter 1802, Auctioneers.
- ◆ Customs brokers as defined by 19 U.S.C. Section 1641 and Ocean Freight Forwarders defined by 46 U.S.C. Section 1702 are exempt under the Regulation of Certain Transportation Service Providers, Article 6675(e).
- ◆ In order to obtain a certificate of registration under Article 8861, Air Conditioning and Refrigeration Contract License Law, the registrant must have an Environmental Protection Agency certificate under the Federal Clean Air Act of 1990.
- ◆ The American with Disabilities Act of 1990 (ADA), while not enforced by TDLR, greatly influences the Texas Architectural Barriers Act Technical Standards. The primary difference between the federal and state laws is that the state law is a construction code and the federal law is a civil rights law.

## **COOPERATION WITH LOCAL, STATE, AND FEDERAL ENTITIES**

It is imperative that TDLR cooperate with local, state, and federal entities to achieve success. On the local level, the Agency works with city and county licensing authorities, and groups such as the Texas Association of Counties and the Texas Municipal League.

On the state level, TDLR works directly with the Governor's Office, the Office of the Lieutenant Governor, the Legislature, Legislative Budget Board, Sunset Advisory Commission, and other state agencies to accomplish our assigned tasks. We cooperate with the following state agencies on a regular basis:

- ◆ Comptroller of Public Accounts
- ◆ Office of the Attorney General
- ◆ State Auditor's Office
- ◆ State Office of Administrative Hearings
- ◆ Texas Department of Insurance
- ◆ Texas Department of Public Safety
- ◆ Texas Department of Transportation
- ◆ Texas Guaranteed Student Loan Corporation
- ◆ Texas Natural Resource Conservation Commission
- ◆ Texas Real Estate Commission
- ◆ Texas Water Development Board
- ◆ Texas Workers' Compensation Commission
- ◆ Texas Workforce Commission

The Department also works with the Federal Bureau of Investigation to perform required background checks on Staff Leasing Services applicants.

## **EXTERNAL FOCUS GROUP PARTICIPANT RECOMMENDATIONS**

TDLR held five Strategic Planning External Focus Groups during February and March of 2000, that were attended by 180 persons. Participants included advisory board members, consumer advocacy groups, contract providers, industry associations, licensees, state agencies, legislative staffers, LBB and Governor's Budget Office analysts, Commissioners and TDLR staff. These focus groups provided a unique opportunity for the Agency and interested parties to exchange ideas and suggest future changes and improvements. TDLR also received input via letters and e-mail. The following information represents an overview of the comments and ideas generated in these focus groups.

### **HUMAN RESOURCES**

#### MORE STAFF AND IMPROVED RETENTION

Many participants expressed the need for more employees in the Architectural Barriers, Boiler and Elevator programs. More specifically they wanted these employees to answer technical questions (phone and e-mail) and process elevator certifications and Architectural Barrier project registration files. A number of the participants also discussed the need for TDLR to improve the retention of Boiler and Architectural Barriers inspectors by paying higher salaries. The participants remarked that the constant turnover in these highly technical positions has adversely impacted the level of service that the Agency provides.

### **ENFORCEMENT**

#### INCREASED AUTHORITY

Several participants thought that TDLR should have the authority to shut down unsafe elevators, require municipalities to notify TDLR of requests for building permits, and require proof of submittal of a plan review prior to receiving a Certificate of Occupancy from a municipality. Other participants expressed a need to regulate online auctions.

#### STRONGER ENFORCEMENT

Many participants discussed the need for TDLR to focus enforcement resources on identifying and penalizing persons who operate without a license or fail to comply with the regulatory requirements. Other participants recommended that TDLR improve its enforcement of state leases by assessing appropriate fines against existing non-compliant state leases. Some participants expressed a desire for TDLR to audit city right-of-ways for compliance with the Texas Accessibility Standards. TDLR was also encouraged to either increase Auctioneer fees to hire additional enforcement support or to use any excess Auctioneer-related revenue to contract for investigative services.

#### INCREASED FINES AND IMPROVE COLLECTIONS

Participants expressed a desire for an increase in the maximum administrative penalties assessed (from \$1,000 to \$5,000). There was also discussion about the need to improve the penalty collection process.

## **LICENSING**

### NEW LICENSING/REGISTRATION PROGRAMS AND CONTINUING EDUCATION REQUIREMENTS

There was discussion regarding the need for registering Contract Providers (CP) of the Architectural Barriers program and developing continuing education requirements. Other participants wanted to see a multi-tiered CP program that would allow for a CP apprentice. Some participants expressed a need for separate licenses for air conditioning contractors, technicians and persons performing refrigeration work. There was also discussion regarding the need for continuing education requirements for Qualified Elevator Inspectors and Auctioneers.

### ELEVATOR INSPECTOR REQUIREMENTS

There was some discussion regarding the need for elevator inspection companies to provide proof of insurance.

## **TECHNOLOGY**

### ONLINE SERVICES AND INFORMATION

Many participants discussed the need for more online services such as:

- ◆ electronic payment transactions;
- ◆ licensing;
- ◆ registration of projects;
- ◆ forums for discussion groups;
- ◆ notification of pending legislation;
- ◆ examples of buildings or facilities that comply with the architectural barrier standards; and
- ◆ searchable licensee and project databases.

Participants also expressed a need for more information online such as technical memorandums, frequently asked questions, links to other regulatory agencies, and industry association web sites, and continuing education courses and providers.

## **OTHER ARCHITECTURAL BARRIERS' RELATED ISSUES**

### CONTRACT PROVIDERS (CPS) AND STATE PROJECTS

A few of the participants expressed a need to prohibit a CP from reviewing and inspecting the same project. Other participants recommended that TDLR create a review committee for CPs. There was also discussion regarding the need to exempt state projects from the 5-day submittal requirement.

### DESIGN PROFESSIONALS

There was discussion to allow only design professionals (including but not limited to professional architects and engineers) to perform Architectural Barrier plan reviews and inspections. Participants further commented that those projects reviewed by a design professional should be automatically approved and exempt from inspection requirements.

## PROCESS IMPROVEMENTS

Participants discussed the need for TDLR to improve the project registration processes, retrieval of inspection files, and notification of inspections, to reduce inspection backlog, and to clarify the Texas Accessibility Standards.

## **PRIORITIZATION OF STRATEGIC PLANNING INITIATIVES**

TDLR continues to review and evaluate ways to improve its responsiveness and effectiveness. Through the collaborative efforts of the Commissioners, Agency personnel, advisory boards and external focus groups, TDLR has prioritized initiatives in the following areas: staffing and personnel, technology, licensing, communication, and complaint resolution.

### **STAFFING AND PERSONNEL INITIATIVES**

The amazingly low unemployment rate in Texas, particularly in Austin (1.9% April 2000), has depleted the supply of qualified workers. TDLR competes with the private sector for the limited number of applicants and is losing the contest. Even when the agency hires an applicant, that worker often leaves for the private sector after receiving training. The primary reason for departure is simple: the private sector offers higher salaries. TDLR must increase its salaries to be competitive. This increased pay would result in a higher quality of applicants and a lower turnover rate. By retaining more staff, the agency will decrease its training costs. This need is most evident in the high turnover rate among Boiler and Architectural Barriers inspectors. Unfortunately, these two positions require some of the most technical training of all positions in the agency.

### **TECHNOLOGY INITIATIVES**

The agency's primary technological objective is to transfer its HP 3000 applications to a new platform. The current HP 3000 limits TDLR's ability to adapt to the changing technological environment and to share information with other entities. The conversion will require additional computer hardware and software. When the conversion is completed, TDLR will better be able to make our databases and applications accessible to interested parties.

In addition to this transfer, TDLR plans to use new technology to perform more efficiently. For example, use of Personal Digital Assistant (PDA) reporting devices will decrease the administrative time spent per inspection, resulting in an increase in the number of inspections conducted. Similarly, utilizing document imaging to capture data and store documents electronically will significantly reduce the time spent processing applications, freeing personnel for other tasks.

These technological innovations require more programmers and operations staff. As we switch to a new applications platform, TLDR will need additional programmers to create and develop these new systems. Presently, our programmers spend valuable time doing non-programming activities. The addition of operations staff to perform these non-programming activities will free more time for the programmers to write code.

### **LICENSING INITIATIVES**

TDLR's licensing function is under continual process review to ensure appropriate screening of applicants for licensure, thereby ensuring the protection of end consumers. TDLR is seeking to shift the focus from conducting plan reviews and inspections to a management oversight structure. This structure would require the registration of Contract Providers. Requiring continuing education for licensees is one way in which consumers' interests are protected. Future initiatives in this area include continuing education requirements for Contract Providers. Another licensing initiative of TDLR is to increase its offering of electronic examinations to 75%.

### **COMMUNICATION INITIATIVES**

Our primary means of communication with industry and consumers is now the TDLR web site. Here, the public can access information on licenses through a searchable database; access TDLR forms, rules and laws; subscribe to a free electronic message service that provides instantaneous information regarding TDLR activities; register architectural barriers projects; file complaints; and explore job opportunities within the agency. As our technology initiatives develop, our ability to provide additional services and information through the web site will develop as well. Additionally, TDLR plans to implement an agency-wide intranet to improve the communication within the agency and to increase worker efficiencies.

As more services are offered on the Internet and intranet, TDLR must have an employee whose sole responsibility is maintaining those sites. Currently, a full-time programmer has assumed the additional responsibilities of web development. Other TDLR employees assist with content and publishing. TDLR will continue to rely on employees from various sections to assist in web development, but must have a Webmaster whose sole duty ensure content and quality.

### **COMPLAINT RESOLUTION INITIATIVES**

TDLR is committed to the resolution of complaints in a firm, fair and consistent manner and will continue to give priority to improving the timeliness and impartiality of the complaint resolution process. The increase in the number of complaints received and resolved has, however, resulted in the need for additional personnel. Specifically, TDLR will need additional legal assistant personnel, whose primary duties will be assisting our investigators and prosecutors. Likewise, the number of hearings and agreed orders are increasing, requiring extra administrative support staff to expedite the complaint resolution process.

TDLR has set an objective to register more elevators, escalators and related equipment. To accomplish this, TDLR will need to hire two deputy elevator investigators. These employees will also investigate reported accidents.

Increasing Enforcement staffing levels will also require an increase in TDLR's travel budget. Without these additional funds our ability to ensure public safety is compromised.

TDLR seeks funding to implement these initiatives. The degree to which TDLR will succeed in accomplishing its goals and addressing the demands of consumers and regulated entities ultimately depends upon the resources available to it.

# **AGENCY GOALS OBJECTIVES AND OUTCOME MEASURES**

## **GOAL 1**

To effectively serve the public by licensing, certifying, and registering qualified individuals and businesses, and provide information concerning the regulated industries.

### **OBJECTIVE 01-01:**

To effectively regulate all applicable individuals and businesses in accordance with the laws administered by the agency.

### **OUTCOME MEASURES:**

- ◆ Percent of licensees with no recent violations
- ◆ Percent of applications processed within established time frames
- ◆ Percent of applications returned to applicants for correction

## **GOAL 2**

To protect the public by enforcing laws administered by the agency.

### **OBJECTIVE 02-01:**

To enforce provisions of laws and occupations administered by the agency to achieve full compliance by the regulated industries.

### **OUTCOME MEASURES:**

- ◆ Percent of complaints resulting in disciplinary action
- ◆ Percent of documented complaints resolved in six months
- ◆ Percent of architectural barrier inspections completed within statutory time limits
- ◆ Percent of building plan reviews completed within thirty days
- ◆ Recidivism rate for those receiving disciplinary action
- ◆ Inspection coverage rate
- ◆ Percent of boilers inspected for certification within appropriate time frames

## **GOAL 3**

To effectively include historically underutilized businesses in agency purchasing and contracting transactions.

# STRATEGIES AND OUTPUT, EFFICIENCY AND EXPLANATORY MEASURES

## STRATEGIES / OUTPUT MEASURES

**STRATEGY 01-01-01 Issue licenses, registrations, and certifications to qualified applicants**

### OUTPUT MEASURES:

- ◆ Number of new licenses issued
- ◆ Number of licenses renewed

### EFFICIENCY MEASURES:

- ◆ Average cost per license issued
- ◆ Average cost per facility license issued

### EXPLANATORY MEASURES:

- ◆ Number of certificates of insurance processed
- ◆ Total number of individuals licensed
- ◆ Total number of facilities licensed

**STRATEGY 01-01-02 Administer exams to applicants**

### OUTPUT MEASURES:

- ◆ Number of individuals examined

### EFFICIENCY MEASURES:

- ◆ Average cost per examination administered

### EXPLANATORY MEASURES:

- ◆ Pass rate

**STRATEGY 01-01-03 Develop and distribute information about regulated industries**

### OUTPUT MEASURES:

- ◆ Number of information packets distributed
- ◆ Number of training/education sessions conducted



#### **EFFICIENCY MEASURES:**

- ◆ Average cost per training/education session
- ◆ Average cost per information packet distributed

#### **EXPLANATORY MEASURES:**

- ◆ Number of individuals receiving training/education

### **STRATEGIES / OUTPUT MEASURES**

#### **STRATEGY 02-01-01 To enforce laws by conducting routine, complex, and special inspections**

##### **OUTPUT MEASURES:**

- ◆ Number of inspections completed by agency staff
- ◆ Number of building plans reviewed for architectural barriers by agency staff
- ◆ Number of industrialized housing and building construction/engineering plans reviewed
- ◆ Number of variances/waivers processed by agency staff

##### **EFFICIENCY MEASURES:**

- ◆ Average cost per inspection by agency staff
- ◆ Average cost per building plan reviewed for architectural barriers by agency staff
- ◆ Average number of months to complete architectural barriers inspections by agency staff
- ◆ Average number of days to complete building plan reviews for architectural barriers by agency staff

##### **EXPLANATORY MEASURES:**

- ◆ Number of boilers due for certification inspection
- ◆ Number of building plans to be reviewed for architectural barriers
- ◆ Number of buildings due for architectural barrier inspection
- ◆ Total number of inspections completed
- ◆ Total number of plan reviews completed

#### **STRATEGY 02-01-02 To enforce compliance through timely case settlements and prosecutions, administrative penalties, and sanctions**

##### **OUTPUT MEASURES:**

- ◆ Number of advisory board meetings
- ◆ Number of administrative hearings held
- ◆ Number of complaints resolved
- ◆ Number of docketed cases settled without administrative hearings

**EFFICIENCY MEASURES:**

- ◆ Average cost per administrative hearing
- ◆ Average cost per complaint resolved
- ◆ Average time for consumer complaint resolution

**EXPLANATORY MEASURES:**

- ◆ Number of jurisdictional complaints received

**STRATEGIES / OUTPUT MEASURES**

**STRATEGY 03-01-01      Develop and implement a plan for increasing the use of Historically Underutilized Businesses through purchasing contracts and subcontracts**

**OUTPUT MEASURES:**

- ◆ Number of HUB contractors and subcontractors contacted for bid proposals
- ◆ Number of HUB contracts and subcontracts awarded
- ◆ Dollars of HUB contract and subcontracts awarded

## **APPENDICES**

## APPENDIX A

### DESCRIPTION OF AGENCY'S PLANNING PROCESS

The Texas Department of Licensing and Regulation (TDLR) has undertaken the most comprehensive strategic planning effort in its history. Through the unprecedented participation of the businesses, industries and trades it regulates, as well as its employees in the strategic planning process, TDLR has gained a clearer perspective on where it should go and how it should get there.

TDLR recognizes that there is just as much value in the strategic planning process as there is in the final product. This is because the process allows for an ongoing exchange of ideas and information between TDLR and its strategic planning partners. This strategic planning cycle is just an iteration in this long-term process of updating and adjustment.

#### **TDLR'S STRATEGIC PLANNING TIMELINE 2000**

##### **DECEMBER, 1999 AND JANUARY, 2000**

The 2000 planning cycle commenced in early December when TDLR's Executive Director William Kuntz Jr. and Deputy Executive Director Brian Francis met with Barry Bales and Joyce Sparks of the Governor's Center for Management and Development to discuss ways of conducting the strategic planning process. This meeting provided insight into ways of getting the most out of the focus groups. During this time period TDLR also met with its employees to discuss the results of the Survey of Organizational Excellence.

##### **FEBRUARY, 2000 AND MARCH, 2000**

The Executive Director appointed the members of the Agency Strategic Planning Drafting Team: William Kuntz Jr., Executive Director, Brian Francis, Deputy Executive Director, Theda Lambert, General Counsel, Patrice Nance, Director of Administration, Jimmy Martin, Director of Enforcement, Pat Causey, Director of Licensing, George Ferrie, Director of Code Review and Inspection, Steve Wilkins, Director of Information Resources, Kevin Ketchum, Intergovernmental Affairs Coordinator, Jenny Cordell, Human Resource Manager, Kay Mahan, Executive Assistant, and Christina Guzman, Executive Assistant. The Commission, at its February 7, 2000 meeting was given a workshop on the strategic planning and budget process. More specifically the Commission reviewed TDLR's strategic planning timeline (see timeline) that included all the external focus group dates.

Invitations (see invitation) to participate in the external focus groups were mailed to over 1,000 interested parties. This invitation was also included on the Agency's web page that allowed for participation via e-mail.

The Agency conducted five external strategic planning focus groups:

**Group One:** Staff Leasing; Personnel Employment Services; Temporary Common Workers; Talent Agencies; Service Contract Providers; Transportation Service Providers

**Group Two:** Air Conditioning and Refrigeration Contractors; Career Counselors; Property Tax Consultants; Auctioneers; Combative Sports; Water Well Drillers/Pump Installers

**Group Three:** Boiler; Elevators, Escalators and Related Equipment; Industrialized Housing and Buildings

**Group Four:** Architectural Barriers

**Group Five:** Comptroller of Public Accounts; Attorney General; Texas Guaranteed Student Loan Insurance Corporation; Texas Workforce Commission; Texas Department of Insurance; Texas Board of Professional Engineers; Texas Board of Architects; Department of Public Safety; General Services Commission; Texas Department of Transportation

These focus groups provided a unique opportunity for the participants and the Agency to dialogue about the current level services provided by the Agency and ways to improve the current services. It also allowed for the participants to give the Agency information on what changes they believe will occur over the next five years. A cross-section of the Agency's service populations was reflected in each of the focus groups. The information gathered during the focus groups was outstanding and invaluable to the strategic planning process.

The overwhelming feedback from the participants was positive. Several of the participants commented on how excited they were just to be asked for their opinions. Information gathered from the focus groups is included in the strategic plan. Commissioners Gina Parker, Mickey Christakos and Patricia Stout attended and participated in several of the focus groups. Their involvement in the strategic planning process is demonstrative of the Commission's commitment to TDLR and the citizens of Texas. Many attendees expressed their appreciation for the Commissioners taking the time to listen to their concerns.

The Agency developed a Strategic Planning page on its web site. The page includes the invitation to participate in the planning process, the dates of the external focus groups as well as the summaries and thumbnail pictures from each of the sessions. Once complete, the Strategic Plan will be included on this page.

Simultaneous with the external focus group sessions, the Agency conducted internal focus group meetings. In these internal groups, employees were asked the same questions that were asked of the external participants. Information gathered from the employees in the internal focus groups was included in the plan.

Initial drafting assignments for the Strategic Plan were given to the strategic planning drafting team members. Assignments were completed according to the established schedule and were then reviewed and edited by the entire drafting team. This was a very time intensive process that required the highest level of patience and commitment from each of the members.

#### **APRIL, 2000 AND MAY, 2000**

Two new members were added to the strategic planning drafting team: Dede McEachern, Licensing Manager and Don Dudley, Director of Licensing and e-Commerce. These two along with the other members of the team must be commended for successfully bringing to life all the ideas and suggestions from various sources.

The Executive Director and Deputy Executive Director met with Chairman Elliott McConnell and Commissioner Gina Parker for over five hours to discuss, review and edit the draft version of the strategic plan. This unprecedented involvement of the Commissioners in the development of the Agency's Strategic Plan is just another example of the Commission's commitment to strategic planning.

The final version of the Strategic Plan, subsequent to input from the Commission, was approved by the Commission at its May 22, 2000 meeting.



# Strategic Plan Time Line

(REVISED)

<p><b>January 3, 2000 – January 14, 2000</b> Development of Strategic Planning Tool and Focus Groups</p>		
<p><b>February 1, 2000</b> Appoint Strategic Planning Drafting Team</p> <ul style="list-style-type: none"> <li>◆ William Kuntz, Jr.</li> <li>◆ Brian Francis</li> <li>◆ Division Directors</li> <li>◆ Kevin Ketchum</li> <li>◆ Kay Mahan</li> <li>◆ Christina Guzman</li> </ul>		
<p><b>January 31, 2000 – February 4, 2000</b> Disseminate Invitations to Participate in the External assessment</p>		
<p><b>February 7, 2000</b> Commission Meeting Strategic Plan Time Line Overview</p>		
<p><b>February 8, 2000 – February 10, 2000</b> Conduct Internal Focus Groups 1-5</p>		
<p><b><u>Primary Facilitators</u></b> Bill Kuntz Brian Francis Pat Causey</p>	<p><b>February 11, 2000</b> External Focus Group One 9:00 a.m. – 11:30 a.m. 4<sup>th</sup> Floor Conference Room</p>	<p><b><u>Primary Scribes</u></b> Pat Causey Dede McEachern Joyce Hennington</p>
<p><b>February 16, 2000</b> Received Agency Strategic Plan and Information Resources Strategic Plan Instructions</p>		
<p><b>February 17, 2000</b> Summaries of Internal Focus Groups 1-5 Due by Respective Division Directors</p>		

<b>February 17, 2000</b> External Focus Group One Summary Due by Kevin Ketchum		
<b>February 21, 2000 – February 25, 2000</b> Conduct Internal Focus Groups 6-10		
<u><b>Primary Facilitators</b></u> Bill Kuntz Brian Francis Pat Causey	<b>February 25, 2000</b> External Focus Group Two 9:00 a.m. – 11:30 a.m. 4 <sup>th</sup> Floor Conference Room	<u><b>Primary Scribes</b></u> Pat Causey Dede McEachern Jimmy Martin
<u><b>Primary Facilitators</b></u> Bill Kuntz Brian Francis Pat Causey	<b>February 25, 2000</b> External Focus Group Three 1:30 p.m. – 4:00 p.m. 4 <sup>th</sup> Floor Conference Room	<u><b>Primary Scribes</b></u> George Bynog Bob Kugel Jimmy Martin
<b>February 29, 2000 – March 3, 2000</b> Core Members will Receive Strategic Planning Drafting Assignments		
<b>March 3, 2000</b> External Focus Groups Two and Three Summaries Due by Kevin Ketchum		
<u><b>Primary Facilitators</b></u> Bill Kuntz Brian Francis Bryan Haecker	<b>March 6, 2000</b> External Focus Group Four 9:00 a.m. – 11:30 a.m. 4 <sup>th</sup> Floor Conference Room	<u><b>Primary Scribes</b></u> Rick Baudoin George Ferrie David Gonzales
<b>March 10, 2000</b> Summaries of Internal Focus Groups 6-10 Due by Respective Division Directors		
<u><b>Primary Facilitators</b></u> Bill Kuntz Brian Francis Pat Causey	<b>March 14, 2000</b> External Focus Group Five 9:00 a.m. – 11:30 a.m. 4 <sup>th</sup> Floor Conference Room	<u><b>Primary Scribes</b></u> Patrice Nance Dede McEachern Valerie Wilmoth
<b>March 16, 2000</b> External Focus Groups Four and Five Summaries Due by Kevin Ketchum		



<p style="text-align: center;"><b>March 17, 2000</b> Revisions to Strategic Planning and Budget Structures Due</p>
<p style="text-align: center;"><b>March 20, 2000</b> Summary of Public Testimony Mailed to Commission Members for Comment</p>
<p style="text-align: center;"><b>April 2000</b> Instructions for Preparing and Submitting Agency Requests for Legislative Appropriations for 2002-2003 will be Issued by Governor's Office</p>
<p style="text-align: center;"><b>April 20, 2000</b> Draft of Strategic Plan Mailed to Commission Members</p>
<p style="text-align: center;"><b>April 30, 2000</b> Incorporate Recommendations Received From Commission Members</p>
<p style="text-align: center;"><b>May 22, 2000</b> Present Revised Strategic Plan to Commission Members for Final Approval</p>
<p style="text-align: center;"><b>May 25, 2000</b> Mail Final Version of Strategic Plan to Commission Members</p>
<p style="text-align: center;"><b>May 30, 2000</b> <b>Submit Strategic Plan to Governor's Office, LBB, etc.</b></p>
<p style="text-align: center;"><b>June 1, 2000</b> Due Date for Submissions of Agency Strategic Plans and Information Resources Strategic Plans for Fiscal Years 2001-2005.</p>



# Invitation to Participate in TDLR's Strategic Planning Process

The Texas Department of Licensing and Regulation (TDLR) is embarking on the most ambitious and comprehensive strategic planning effort in its history. You are **cordially invited** to be a participant in this historic endeavor. In fact it is your participation and input that will make this strategic planning process a success.

## What is Strategic Planning?

Strategic planning is a long-term iterative and future-oriented process of assessment, goal setting, and decision-making that maps out a path between the present and a vision of the future. It is a vehicle through which key stakeholders, such as you, can communicate with TDLR and contribute to the clarification of its purpose and direction.

## How can I participate in TDLR's strategic planning process?

You can participate in the strategic planning process by attending one or more of the **Strategic Planning Focus Group Sessions** (listed below) at TDLR's Austin Headquarters (directions). Please RSVP Christina Guzman at [christina.guzman@license.state.tx.us](mailto:christina.guzman@license.state.tx.us) two to three days prior to the session you wish to attend. If you are unable to attend one of the focus group sessions, you may respond to the four questions below and submit them to us via **e-mail** at [www.strategicplan@license.state.tx.us](mailto:www.strategicplan@license.state.tx.us) or **regular mail** at TDLR Strategic Plan, P. O. Box 12157, Austin, Texas 78711 no later than March 1, 2000.

## TDLR's Strategic Planning Process

The primary tool for gathering information in the strategic planning process will be the use of the following questions. The responses to these questions will provide the foundation upon which TDLR will build its strategic plan.

1. What are we doing well in the following service areas?
  - Examination
  - Licensing/Registration/Certification
  - Complaint Resolution
  - Communication
  - Inspection
  - Review

2. What can we do better in the following service areas?
  - Examination
  - Licensing/Registration/Certification
  - Complaint Resolution
  - Communication
  - Inspection
  - Review
3. If you could change one service that we provide, what would it be and how would you change it?
4. What major changes will occur over the next five years that will impact the way you do business and the services we provide?

This is an exciting time in TDLR's history. We have a Commission that is actively supporting the Department in its efforts to become the model for licensing excellence in the State of Texas. We have a creative and dedicated staff that is committed to providing the highest level of customer service. All that remains is your participation in the strategic planning process. So again, I encourage you to attend one of the focus group sessions or respond to the aforementioned questions by e-mail or regular mail. If you have any questions, please contact William Kuntz, Jr. at [william.kuntz@license.state.tx.us](mailto:william.kuntz@license.state.tx.us) or Brian Francis at [brian.francis@license.state.tx.us](mailto:brian.francis@license.state.tx.us).

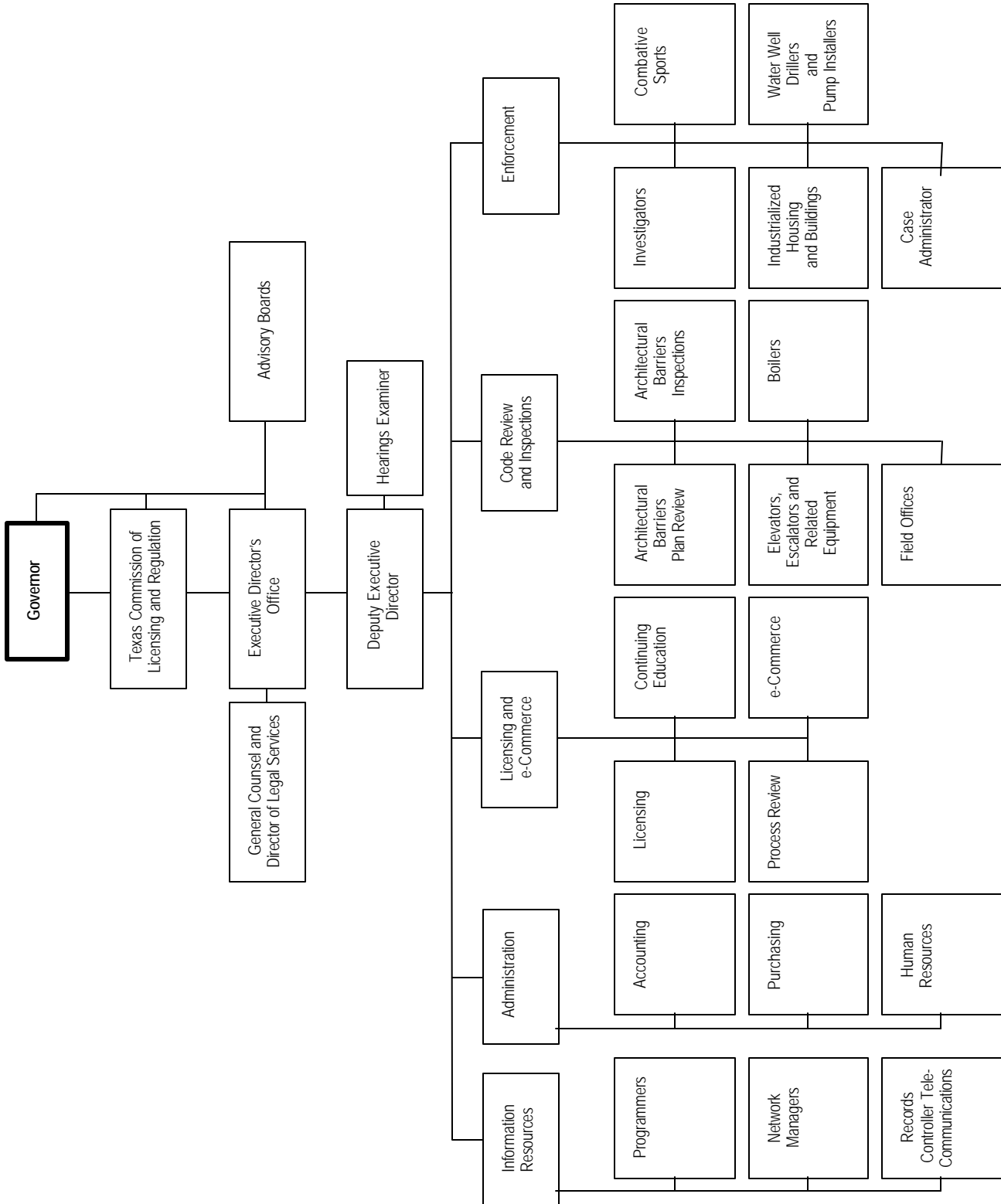
**If you require auxiliary aids, services or materials in an alternate format contact the TDLR at least 5 working days prior to the meeting date. Phone: (512) 463-3173, FAX: (512) 475-2874, E-MAIL: [kay.mahan@license.state.tx.us](mailto:kay.mahan@license.state.tx.us), TDD/RELAY TEXAS: 1-800-relay-VV (for voice), 1-800-relay-TX (for TDD).**

**APPENDIX B**  
**FIVE-YEAR PROJECTIONS FOR OUTCOME MEASURES**

<b>Outcome</b>	<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>
Percent of Applications Processed Within Established Time Frames	75	80	85	85	85
Percent of Licensees With No Recent Violations	96	96	97	97	97
Percent of Complaints Resulting in Disciplinary Action	15	15	17	18	18
Percent of Documented Complaints Resolved Within Six Months	81	82	82	83	83
Percent of building Architectural Barrier Inspections Completed Within Statutory Time Limits	72	85	85	90	95
Percent of Building Plan Reviews Completed Within Thirty Days	93	95	95	96	97
Recidivism Rates for Those Receiving Disciplinary Action	4	4	4	4	4
Inspection Coverage Rate	91	93	95	95	95
Percentage of Boilers Inspected for Certification Within Appropriate Timelines	65	65	70	70	75

## APPENDIX C

### ORGANIZATIONAL CHART



## APPENDIX D

### LIST OF MEASURE DEFINITIONS

#### **Goal: A.1.1. Strategy: Licensing**

##### **Outcome Measures:**

##### **01-01-01 DELETED: Percent of Applications Processed within Established Time Frames**

**Short Definition:** *The total number of licenses, registrations and certificates issued by the agency within the established time frame during the reporting period, expressed as a percentage. To calculate this measure, the numerator, which is the number of licenses issued during the reporting period within the established time frame is divided by the total number of licenses issued during the reporting period.*

Purpose/Importance: This measure indicates the efficiency of TDLR in processing applications within the required time frame. This measure is not a standard licensing agency measure.

Source/Collection of Data: Boiler – Excel spreadsheet; Elevator – Auditor Certificate report from the Elevator Certification subsystem; IHB – Excel spreadsheet; Licensing - Auditor 2 and Auditor 4 reports from the HP3000 L&R system.

Data Limitations: **External Factors:** The number of persons filing applications is a key variable beyond the control of TDLR.

**Internal Factors:** Turnover in staff that process licenses registrations and certificates may affect the established time frames for processing.

Method of Calculation: This measure is calculated by dividing the number of licenses, registrations and certificates issued during the reporting period within the established time frame by the total number of licenses, registrations and certificates issued during the reporting period. The result is then multiplied by 100 to achieve a percentage.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Higher than target

## **01-01-02 DELETED: Percent of Applications Returned to Applicants for Corrections**

**Short Definition:** *The total number of total number of letters sent during the reporting period requesting additional or corrected information needed to complete the application, expressed as a percentage of the total number of applications received during the reporting period.*

Purpose/Importance: This measure indicates the percent of applications returned due to inaccurate or insufficient information. This measure is not a standard licensing agency measure.

Source/Collection of Data: Boiler –Excel spreadsheet; Elevator – Cash Receipts Journal (direct returns) and monthly Elevator area statistic sheets; IHB – Excel spreadsheet; Licensing – BCRP07G report and Auditor2 report from the HP3000 L&R system.

Data Limitations: **External Factors:** The number of persons that file incomplete or incorrect applications is a key variable that is beyond the control of TDLR.

Method of Calculation: This measure is calculated by dividing the number of because letters sent to different applicants during the reporting period by the total number of applications received during the reporting period. The result is then multiplied by 100 to achieve a percentage.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Lower than target

## **01-01-03 Percent of Licensees with No Recent Violations**

**Short Definition:** *The percent of the total number of licensed, registered, or certified individuals at the end of the reporting period who have not incurred a violation within the current and preceding two years (three years total).*

Purpose/Importance: This measure provides an indication of the job TDLR is doing to educate licensees, registrants and certificants about the agency's statutes and rules and of the necessity for enforcement activities resulting from violations.

Source/Collection of Data: Number of individuals licensed/registered/certified – performance measure EX 01-01-01-02; number of facilities licensed/registered/certified – performance measure EX 01-01-01-03; licensees with violations during the 36 month period – Complaint Intake Monitoring System (CIMS).

Data Limitations: **External Factors:** General market and economic conditions, statutory changes, and changes in the number of persons licensed are key variables that impact the measure that are beyond the control of TDLR.

Method of Calculation: This measure is calculated by subtracting the total number of licensees, registrants and certificants with violations during the three-year period from the total number of licensees, registrants and certificants at the end of the reporting period. The result is divided by the total number of licensees, registrants and certificants and multiplied by 100 to achieve a percentage.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Lower than target

### **A.1.1. Strategy: License/Register/Certify**

#### **Output Measures:**

##### **01-01-01-01 Number of New Licenses Issued to Individuals**

**Short Definition:** *The number of licenses, registrations and certificates issued to previously unlicensed, unregistered or uncertified individuals during the reporting period.*

Purpose/Importance: This measure provides data relating to the number of individuals desiring to be initially licensed, registered or certified under the statutes regulated by TDLR.

Source/Collection of Data: Boiler – Excel spreadsheet and Boiler Certification Report from the HP3000; Elevator – Auditor Certificate Report from the Elevator Certification Subsystem; IHB – Excel spreadsheet; Licensing – Auditor 4 report from the L&R system.

Data Limitations: **External Factors:** General market and economic conditions, statutory changes, the addition or removal of programs and the number of persons desiring to enter industries regulated by TDLR are key variables that impact the measure that are beyond the control of TDLR.

Method of Calculation: Add the number of new licenses, registrations and certifications issued during the reporting period.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Target



## 01-01-01-02 Number of Licenses Renewed (Individuals)

**Short Definition:** *The number of licensed, registered or certified individuals who held licenses, registrations or certificates previously and renewed their license, registration or certificate during the current reporting period.*

Purpose/Importance: This measure provides data relating to the number of individuals desiring to remain licensed, registered or certified under the statutes regulated by TDLR.

Source/Collection of Data: Boiler – Excel spreadsheet and Boiler Certification Report from the HP3000; Elevator – Auditor Certificate Report from the Elevator Certification Subsystem; IHB – Excel spreadsheet; Licensing – Auditor 4 report from the L&R system.

Data Limitations: **External Factors:** General market and economic conditions, statutory changes in the criteria for renewing, and the number of persons desiring to renew are key variables that impact the measure that are beyond the control of TDLR.

**Internal Factors:** Rule changes and fee changes may also impact the measure.

Method of Calculation: Add the number of licenses, registrations and certifications renewed during the reporting period.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Target

### Efficiency Measures:

## 01-01-01-01 Average Licensing Cost per Individual License Issued

**Short Definition:** *Total expenditures (including encumbrances) for direct licensing, registration and certification activities during the reporting period divided by the total number of individuals licensed, registered or certified during the period.*

Purpose/Importance: This measure shows how cost-effective the agency is in processing new and renewed license, registration and certificate applications.

Source/Collection of Data: Number of new licenses issued– performance measure OP 01-01-01-01; number of licenses renewed – performance measure OP 01-01-01-02; funds expended and encumbered – USAS DAFR7410 reports.

Data Limitations: **External Factors:** General market and economic conditions, statutory changes and the number of persons desiring to renew or become licensed, registered or certified are key variables that impact the measure that are beyond TDLR's control.

**Internal Factors:** Fee changes, rule changes and staff turnover are variables that may also impact the measure.

Method of Calculation: Add the applicable cash expenditures, accruals and encumbrances during the reporting period for the processing of initial and renewed licenses, registrations and certificates. Divide by the total number of initial and renewed licenses, registrations and certificates issued during the reporting period. Costs include the following items: salaries; supplies; travel; postage and delivery charges; printing and reproduction charges; and temporary services *directly* related to licensing, registration, and certification.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Lower than target

### **01-01-01-02 Average Licensing Cost per Facility License Issued**

**Short Definition:** *Total expenditures (including encumbrances) for direct business, facility and equipment licensing, registration and certification activities during the reporting period divided by the total number of businesses, facilities and pieces of equipment licensed, registered or certified during the reporting period.*

Purpose/Importance: This measure shows how cost-effective the agency is in processing new and renewed business, facility and equipment license, registration and certificate applications.

Source/Collection of Data: Number of new business, facility and equipment licenses issued and renewed – Input for Efficiency Measures Report from the Executive Offices; funds expended and encumbered – USAS DAFR7410 reports.

Data Limitations: **External Factors:** General market and economic conditions, statutory changes and the number of facilities that renew or become licensed, registered or certified are key variables that impact the measure that are beyond TDLR's control.

**Internal Factors:** Fee changes, rule changes and staff turnover are variables that may also impact the measure.

Method of Calculation: Add the applicable cash expenditures, accruals and encumbrances during the reporting period for the processing of initial and renewed business, facility or equipment licenses, registrations and certificates and divide by the total number of initial and renewed businesses, facilities or pieces of equipment licensed, registered or certified issued during the reporting period. Costs include the following items: salaries; supplies; travel; postage and delivery charges; printing and reproduction charges; and temporary services *directly* related to licensing, registration, and certification.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Lower than target

### **01-01-01-03 Percentage of New Individual Licenses Issued within 10 Days**

**Short Definition:** *The percentage of initial individual license, registration and certification applications that were processed during the reporting period within 10 days measured from the time in days elapsed from receipt of the initial completed application until the license, registration or certificate is mailed.*

Purpose/Importance: This measure indicates the ability of TDLR to process new applications in a timely and efficient manner.

Source/Collection of Data: Boiler – Excel spreadsheet; Elevator – Auditor Certificate report from the Elevator Certification subsystem; IHB – Excel spreadsheet; Licensing - Auditor 2 and Auditor 4 reports from the HP3000 L&R system.

Data Limitations: **External Factors:** General market and economic conditions, statutory changes and the number of persons desiring to become licensed, registered or certified are key variables that impact the measure that are beyond TDLR's control.

**Internal Factors:** Turnover in the staff that process licenses, registrations, and certifications may also impact the measure.

Method of Calculation: This measure is calculated by dividing the number of individual licenses, registrations and certificates issued within 10 days during the reporting period by the total number of individual licenses, registrations and certificates issued during the reporting period. The result is multiplied by 100 to achieve a percentage.

Calculation Type: Non-cumulative

New Measure: Yes

Desired Performance: Higher than target

### **01-01-01-04 Percentage of Individual License Renewals Issued within 7 Days**

**Short Definition:** *The percentage of individual license, registration or certification renewal applications that were processed during the reporting period within 7 days of receipt, measured from the time (in calendar days) elapsed from receipt of the renewal application until the date the renewal license, registration or certificate is mailed.*

Purpose/Importance: This is a measure of TDLR's ability to process renewal applications in a timely and efficient manner.

Source/Collection of Data: Boiler – Excel spreadsheet; Elevator – Auditor Certificate report from the Elevator Certification subsystem; IHB – Excel spreadsheet; Licensing - Auditor 2 and Auditor 4 reports from the HP3000 L&R system.

Data Limitations: **External Factors:** General market and economic conditions, statutory changes and the number of persons desiring to renew licenses, registrations or certifications are key variables that impact the measure that are beyond TDLR's control. **Internal Factors:** Turnover in the staff that process renewals of licenses, registrations, and certifications may also impact the measure.

Method of Calculation: This measure is calculated by dividing the number of individual licenses, registrations and certificates renewed within 7 days during the reporting period by the total number of individual licenses, registrations and certificates renewed during the reporting period. The result is multiplied by 100 to achieve a percentage.

Calculation Type: Non-cumulative

New Measure: Yes

Desired Performance: Higher than target

#### **Explanatory Measures:**

#### **01-01-01-01 DELETED: Number of Certificates of Insurance Processed**

**Short Definition:** *The number of certificates of insurance processed for initial filing, cancellation, reinstatement and re-submittal.*

Purpose/Importance: This measure indicates the workload associated with processing certificates of insurance. This is not a standard licensing agency measure.

Source/Collection of Data: Manual count of certificates processed each day and logged into an Excel spreadsheet (Insurance Log and Insurance Cancellation Log) in the Licensing Division.

Data Limitations: **External Factors:** General market and economic conditions and the number of certificates filed that are incomplete or incorrect are key variables that impact the measure that are beyond the control of TDLR.

**Internal Factors:** Changes in the form and the system for processing certificates may also impact the measure.

Method of Calculation: Add the number of certificates processed from the Insurance Log and the Insurance Cancellation Log.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Lower than target

### **01-01-01-02 Total Number of Individuals Licensed**

**Short Definition:** *Total number of individuals licensed, registered or certified at the end of the reporting period.*

Purpose/Importance: This measure indicates the total licensee, certificate holder and registrant population.

Source/Collection of Data: Boiler - Paradox report maintained in the Boiler section; IHB – Excel spreadsheet in the IHB section; Licensing – L&R System.

Data Limitations: **External Factors:** General market and economic conditions, statutory changes and the number of persons desiring to renew or become licensed, registered or certified are key variables that impact the measure that are beyond TDLR's control.

**Internal Factors:** Fee changes, rule changes and staff turnover are variables that may also impact the measure.

Method of Calculation: Add the number of individuals holding licenses, registrations or certificates.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Target

### **01-01-01-03 Total Number of Business Facilities Licensed**

**Short Definition:** *The unduplicated number of businesses, facilities, or pieces of equipment licensed, registered or certified by the agency at the end of the reporting period.*

Purpose/Importance: This measure indicates the total business, facility and equipment population.

Source/Collection of Data: AB - HP3000 LCEABLOGD report from the AB program; Boiler - Excel spreadsheet in the Boiler area and HP3000 report from the Boiler Certification System; Elevator - certification report Database Statistics to Date, maintained in the Elevators section; IHB - Excel spreadsheet maintained in the IHB section; Licensing - HP3000 report in the L&R system.

Data Limitations: **External Factors:** General market and economic conditions, statutory changes and the number of facilities that renew or become licensed, registered or certified are key variables that impact the measure that are beyond TDLR's control.

**Internal Factors:** Fee changes, rule changes and staff turnover are variables that may also impact the measure.

Method of Calculation: Add the total number of businesses, facilities and equipment licensed, registered or certified.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Target

## **A.1.2. Strategy: Examinations**

### **Output Measures:**

#### **01-01-02-01 Number of Individuals Examined**

**Short Definition:** *The number of individuals to whom examinations were administered in whole or in part during the reporting period.*

Purpose/Importance: This measure provides data relating to the number of individuals desiring to enter the industries regulated by the agency and the corresponding number of examinations administered.

Source/Collection of Data: Auctioneer exam – Word roster maintained in Licensing Division; Boiler – manual count of “pending application” file maintained in the Boiler section; Property Tax Consultants – Word roster maintained in the Licensing Division; Water Well – manual count of “Addendum to Item D” of the Water Well Drillers Advisory Board meeting.

Data Limitations: **External Factors:** General market and economic conditions, number of persons eligible to take an examination are key variables that impact the measure that are beyond the control of TDLR.

Method of Calculation: Add the number of individuals examined during the reporting period.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Target

## Efficiency Measures:

### 01-01-02-01 Average Cost per Exam Administered

**Short Definition:** *Total costs expended (including encumbrances) for examination activities (excluding exam purchase costs) during the reporting period divided by the total number of exams administered during the reporting period.*

Purpose/Importance: This measure indicates cost-effectiveness of TDLR in administering examinations.

Source/Collection of Data: Number of examinations administered – performance measure OP 01-01-02-01; funds expended and encumbered – USAS DAFR7410 reports.

Data Limitations: **External Factors:** General market and economic conditions, number of persons eligible to take an examination are key variables that impact the measure that are beyond the control of TDLR.

Method of Calculation: Add the applicable cash expenditures, accruals and encumbrances during the reporting period for the administration of examinations and divide by the total number of examinations administered during the reporting period. Costs include the following items: salaries; supplies; travel; postage and delivery charges; printing and reproduction charges; and temporary services; exam room rental; exam proctoring; grading costs and other costs *directly* related to administering examinations.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Lower than target

## Explanatory Measures:

### 01-01-02-01 Pass Rate

**Short Definition:** *The percent of individuals to whom a whole examination, or segments of a multi-part examination were administered during the reporting period who received a passing score.*

Purpose/Importance: This measure shows the rate at which those examined passed.

Source/Collection of Data: Number of individuals examined – performance measure OP 01-01-02-01; number of individuals passing: A/C – “EXAMSTAT” HP3000 report; Auctioneer – “Grade Distribution” HP3000 report; Boiler – manual count from “Pending Application” file maintained in the Boiler section; Property Tax Consultant – “Grade Distribution” HP3000 report; Water Well Driller – manual count of “Addendum to Item D” of the Water Well Drillers Advisory Board meeting.

Data Limitations: **External Factors:** Preparation of examinees is a key variable impacts the measure that is beyond the control of TDLR.

**Internal Factors:** Review and revision of exam content, consistent with psychometric principles and industry competency standards may also impact the measure.

Method of Calculation: Add the number of individuals passing examinations and divide by the number of individuals examined. Multiply by 100 to express as a percentage.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Target

### **A.1.3. Strategy: Distribute Information and Educate**

#### **Output Measures:**

##### **01-01-03-01 Number of Electronic and Written Contacts Filled**

**Short Definition:** *This figure reflects requests received through TDLR’s fax-on-demand system, downloading of information from TDLR’s web site, written open records requests, and written requests for information packets.*

Purpose/Importance: This measure indicates the number of electronic and written requests for information regarding the statutes regulated by TDLR. This is not a standard licensing agency measure.

Source/Collection of Data: Data is derived from traffic log analysis tools utilized by TDLR’s fax-on-demand system and web site, Access database for Open Records Request and from the manual packet mail-out log maintained by Administrative Assistant in the Administration Division.

Data Limitations: **External Factors:** Requests for information packets, and the use of electronic dissemination of information are key variables that impact the measure that are beyond the control of TDLR.

Method of Calculation: Add the number of requests received through TDLR’s fax-on-demand system, downloading of information from TDLR’s web site, written open records requests, and written requests for information packets.



Calculation Type: Cumulative

New Measure: Yes

Desired Performance: Higher than target

**01-01-03-02 Change to Explanatory Measure: Number of Training/Education Sessions Conducted**

**Efficiency Measures:**

**01-01-03-01 DELETE: Average Cost per Training/Education Session**

**Short Definition:** *Total funds expended and encumbered during the reporting period for developing and conducting training/education sessions divided by the number of training/education sessions during the reporting period.*

Purpose/Importance: This measure indicates TDLR's cost effectiveness in training/educating its public. This measure is not a standard licensing agency measure.

Source/Collection of Data: Funds expended and encumbered – TDLR form 013ALL; Number of training sessions – performance measure OP 01-01-03-02.

Data Limitations: **External Factors:** The number of persons requesting or needing training, and the use of electronic resources to access information are key variables that impact the measure that are beyond the control of TDLR.

Method of Calculation: Add the total expenditures from all TDLR013 forms submitted and divide by the total number of sessions held.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Lower than target

**01-01-03-02 Average Cost per Electronic and Written Contact Filled**

**Short Definition:** *Total expenditures (including encumbrances) during the reporting period for direct information distribution through TDLR's fax-on-demand system, web site, open records processing system and information packets request system divided by the number of electronic and written contacts received.*

Purpose/Importance: This measure indicates the approximate cost of distributing information. This measure is not a standard licensing agency measure.

Source/Collection of Data: Expense figures will be derived from the agency's USAS data. Data are derived from traffic log analysis tools utilized by TDLR's fax-on-demand system and web site, Access database for Open Records Request and from the manual packet mail-out log maintained by Administrative Assistant in the Administration Division.

Data Limitations: External Factors: Request for information packets and the use of electronic dissemination of information are key variables that impact the measure that are beyond the control of TDLR.

Method of Calculation: Costs include the following items: salaries; supplies; and other costs related to the agency's distribution of information activities. Indirect costs are not included within this calculation.

Calculation Type: Non-cumulative

New Measure: Yes

Desired Performance: Lower than target

#### **Explanatory Measures:**

#### **01-01-03-01 DELETE: Number of Individuals Receiving Training/Education**

**Short Definition:** *The total number of non-agency individuals receiving training/education provided by the agency to impart knowledge of laws, rules and/or standards of regulated industries.*

Purpose/Importance: This measure indicates the number of individuals benefiting from TDLR's training/education efforts. This measure is not a standard measure for licensing agencies.

Source/Collection of Data: TDLR form 013 ALL

Data Limitations: External Factors: The number of persons requesting or needing training and the use of electronic resources to access information are key variables that impact the measure that are beyond the control of TDLR.

Method of Calculation: Count the number of attendees for training/education sessions provided by TDLR.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Target

## 01-01-03-02 Number of Training/Education Sessions Conducted

**Short Definition:** *Number of sessions conducted by agency staff to non-agency staff to impart knowledge of laws, rules and/or standards for regulated industries.*

Purpose/Importance: This measure indicates TDLR's efforts at training/educating its public. This measure is not a standard licensing agency measure.

Source/Collection of Data: TDLR form 013ALL.

Data Limitations: **External Factors:** The number of persons requesting or needing training, and the use of electronic resources to access information are key variables that impact the measure that are beyond the control of TDLR.

Method of Calculation: Add the number of training/education sessions held.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Target

### Goal: B. Enforcement

#### Outcome Measures:

## 02-01-01- Percent of Complaints Resulting in Disciplinary Action

**Short Definition:** *Percent of complaints that were resolved during the reporting period that resulted in disciplinary action.*

Purpose/Importance: This measure indicates the effectiveness of complaint resolution processes by TDLR.

Source/Collection of Data: Final order Excel spreadsheet log and Letters of Reprimand notebook maintained by the Legal Assistant to the Prosecutor; Docket Database Access file maintained by the Legal Assistant to the Hearings Officer.

Data Limitations: **External Factors:** General market and economic conditions and the complexity and severity of the complaint filed are key variables that impact the measure that are beyond the control of TDLR.

**Internal Factors:** Turnover in staff that are associated with the complaint resolution process may also impact the measure.

Method of Calculation: The number of disciplinary actions divided by the total number of complaints resolved during the reporting period. The result is multiplied by 100 to achieve a percentage. Disciplinary action includes agreed orders, written reprimands, suspensions, probations, revocations, restitutions ordered, and/or fines assessed on which the commission or commissioner has acted.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Target

## **02-01-02- Percent of Documented Complaints Resolved within Six Months**

**Short Definition:** *The percent of complaints resolved during the reporting period, that were resolved within a six month period from the time they were initially received by the agency.*

Purpose/Importance: This measure indicates the effectiveness of complaint resolution processes by TDLR.

Source/Collection of Data: Complaint Intake Monitoring System (CIMS).

Data Limitations: **External Factors:** General market and economic conditions and the complexity and severity of the complaint filed are key variables that impact the measure that are beyond the control of TDLR.

**Internal Factors:** Turnover in staff that are associated with the complaint resolution process may also impact the measure.

Method of Calculation: The total number of complaints resolved within six months from the date of receipt divided by the number of complaints resolved during the reporting period. The result is multiplied by 100 to achieve a percentage.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Higher than target

## **02-01-03- Percent of Architectural Barrier Inspections Completed within Statutory Time Limits**

**Short Definition:** *The percent of Architectural Barrier inspections completed during the reporting period that were inspected within statutory time limits by agency and third party inspectors.*

Purpose/Importance: This measure indicates the effectiveness of TDLR's and third party Architectural Barrier inspection process.

Source/Collection of Data: AB Master XREF Detail report and ABXREF report generated by the HP3000.

Data Limitations: **External Factors:** General market and economic conditions, construction trends, statutory changes and the number of independent contract providers are key variables that impact the measure that are beyond the control of TDLR.

**Internal Factors:** Turnover in inspectors, inspection backlog, rule changes, enforcement action and changes to the inspection process may also impact the measure.

Method of Calculation: The numerator for this measure is calculated by subtracting the total number of AB inspections not completed within statutory time limits from the total number of AB inspections completed, during the reporting period. The denominator is the total number of AB inspections completed during the reporting period. The result is multiplied by 100 to achieve a percentage. The statutory time limit is within twelve months of completion of construction, by agency or third party inspectors; and within one month of occupation for state leases by agency inspectors.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Higher than target

## **02-01-04- Percent of Architectural Barrier Building Plan Reviews Completed within Thirty Days**

**Short Definition:** *The percent of construction/engineering documents reviewed for compliance with Architectural Barrier standards during the current reporting period that were reviewed within 30 days of receipt of complete submittal by agency or third party plan reviewers.*

Purpose/Importance: This measure indicates the effectiveness of TDLR's and third party Architectural Barrier plan review process.

Source/Collection of Data: Manual count of ICP contracts and state leases; weekly turn-around report maintained by Sr. Accessibility Specialist.

Data Limitations: **External Factors:** General market and economic conditions, construction trends, statutory changes and the number of independent contract providers are key variables that impact the measure that are beyond the control of TDLR.

**Internal Factors:** Turnover in plan reviewers and other AB personnel, rule changes, enforcement action and changes to the plan review process may also impact the measure.

Method of Calculation: The numerator for this measure is calculated by subtracting the total number of AB plan reviews not completed within thirty days from the total number of AB plan reviews completed, during the reporting period. The denominator is the total number of AB plan reviews completed during the reporting period.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Higher than target

## **02-01-05 Recidivism Rates for Those Receiving Disciplinary Action**

**Short Definition:** *The number of repeat offenders at the end of the reporting period as a percentage of all offenders during the most recent three-year period.*

Purpose/Importance: This measure shows how effectively the agency educates its regulated industries and enforces its regulatory requirements.

Source/Collection of Data: Final Order Log (an Excel file) maintained by the Legal Assistant to the Prosecutor.

Data Limitations: **External Factors:** General market and economic conditions and the complexity and severity of the complaint filed are key variables that impact the measure that are beyond the control of TDLR.

Method of Calculation: The total number of individuals against whom two or more disciplinary actions were taken by the commission or commissioner within the current and preceding two fiscal years divided by the total number of individuals receiving disciplinary actions within the current and preceding two fiscal years. The result is multiplied by 100 to achieve a percentage.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Lower than target

## **02-01-06 Inspection Coverage Rate**

**Short Definition:** *The total number of inspections completed by agency and third party inspectors divided by the total number of inspections required.*

Purpose/Importance: This measure indicates the effectiveness of TDLR's inspection process.

Source/Collection of Data: Performance measure OP 02-01-01-01 and EX 02-01-01-04.

Data Limitations: **External Factors:** General market and economic conditions, construction trends, statutory changes and the number of independent contract providers are key variables that impact the measure that are beyond the control of TDLR.

**Internal Factors:** Turnover in inspectors, inspection backlog, rule changes, enforcement action and changes to the inspection process may also impact the measure.

Method of Calculation: Inspections required is defined as the number of inspections projected, in all regulated industries, forwarded (carried over) from previous period, plus the number of new inspections coming due during the current reporting period. The numerator for this measure is the total number of required inspections completed, during the reporting period. The denominator is the total number of inspections required, during the reporting period. The result is multiplied by 100 to achieve a percentage.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Higher than target

## **02-01-07 Percent of Boilers Inspected for Certification within Appropriate Time Lines**

**Short Definition:** *The percent of Boiler certificate inspections performed by agency and third party inspectors during the reporting period that were inspected within thirty days after the certificate expiration date.*

Purpose/Importance: This measure indicates the effectiveness of TDLR's Boiler inspection process. This is not a standard licensing performance measure.

Source/Collection of Data: HP3000 BSAUDIT3 report.

Data Limitations: **External Factors:** The number of boilers due for inspection, the number of boilers manufactured and general market and economic conditions are key variables that impact the measure that are beyond the control of TDLR.

**Internal Factors:** Turnover in inspectors also impacts the measure.

Method of Calculation: The HP3000 program takes the total inspections due, calculates the number of inspections completed within 30 days after the certificate expiration date and calculates a percentage. This measure is totally computer-generated.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Higher than target

## **B.1.1. Strategy: Conduct Inspections and Reviews**

### **Output Measures:**

#### **02-01-01-01 Total Number of Architectural Barrier Inspections Completed by Agency and Third Party Inspectors**

**Short Definition:** *The total number of Architectural Barrier inspections completed by agency and third party inspectors during the reporting period.*

Purpose/Importance: This performance measure shows the number of Architectural Barrier inspections completed.

Source/Collection of Data: HP3000 Detail Inquiry Report and AB Activity Report.

Data Limitations: **External Factors:** General market and economic conditions, construction trends, statutory changes and the number of independent contract providers are key variables that impact the measure that are beyond the control of TDLR.

**Internal Factors:** Turnover in inspectors, inspection backlog, rule changes, enforcement action and changes to the inspection process may also impact the measure.

Method of Calculation: Add the total number of inspections completed.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Higher than target

#### **02-01-01-02 Total Number of Architectural Barrier Building Plans Reviewed by Agency and Third Party Plan Reviewers**

**Short Definition:** *The total number of construction/engineering documents reviewed for compliance with Architectural Barriers standards by agency and third party plan reviewers during the reporting period.*

Purpose/Importance: This performance measure shows the total number of plan reviews completed for the Architectural Barriers program.

Source/Collection of Data: Time Reporting System (TRS) quarterly report on "PLAN" activity by employee number.



Data Limitations: **External Factors:** General market and economic conditions, construction trends, statutory changes and the number of independent contract providers are key variables that impact the measure that are beyond the control of TDLR.

**Internal Factors:** Turnover in plan reviewers, rule changes, enforcement action and changes to the plan review process may also impact the measure.

Method of Calculation: Add the number of plan reviews from the TRS reports for the current reporting period.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Higher than target

### **02-01-01-03 Total Number of Industrialized Housing and Building Plans Reviewed by Agency and Third Party Plan Reviewers**

**Short Definition:** *The total number of Industrialized Housing and Building construction/engineering documents reviewed for conformance to the mandatory state code by agency staff and third parties during the reporting period.*

Purpose/Importance: This measure indicates the total IHB plans reviewed.

Source/Collection of Data: Excel spreadsheet created in the IHB section from the IHB Engineer's TRS data.

Data Limitations: **External Factors:** General market and economic conditions, construction trends, statutory changes and the number of independent contract providers are key variables that impact the measure that are beyond the control of TDLR.

**Internal Factors:** Turnover in plan reviewers, rule changes, enforcement action and changes to the plan review process may also impact the measure.

Method of Calculation: Add the number of construction/engineering documents completed by the IHB Engineer and third parties.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Higher than target

## **02-01-01-04 DELETED: Number of Variances/Waivers Processed by Agency Staff**

**Short Definition:** *The total number of waivers, variances, delays and appeals processed by agency staff during the reporting period.*

Purpose/Importance: This performance measure documents the workload in processing variance/waivers. This is not a standard licensing performance measure.

Source/Collection of Data: Manual logs kept in the Architectural Barriers, Boiler, Elevator and IHB sections.

Data Limitations: **External Factors:** The number of variances and waivers requested, the number of construction documents submitted for review and general market and economic conditions are key variables that impact the measure that are beyond the control of TDLR.

**Internal Factors:** Turnover in plan reviewers may also impact the measure.

Method of Calculation: Add the number of variances, waivers, delays and appeals from the manual logs for all employees processing these documents.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Target

### **Efficiency Measures:**

## **02-01-01-01 Average Cost per Inspection by Agency Staff**

**Short Definition:** *Total expenditures (including encumbrances) for direct inspection activities for all regulated industries during the reporting period by agency staff divided by the total number of inspections performed by agency staff during the reporting period.*

Purpose/Importance: This measure indicates how cost-effective the agency is in performing required inspections.

Source/Collection of Data: Expenditures – USAS DAFR7410 reports; Number of inspections by agency staff – Input for Efficiency Measure report from the Executive Assistant to the Executive Director.

Data Limitations: **External Factors:** General market and economic conditions, construction trends, statutory changes and the number of independent contract providers are key variables that impact the measure that are beyond the control of TDLR.

**Internal Factors:** Turnover in inspectors, inspection backlog, rule changes, fee changes, enforcement action and changes to the inspection process may also impact the measure.

Method of Calculation: Add applicable cash expenditures, accruals and encumbrances for all field offices. Add applicable cash expenditures, accruals and encumbrances for Conduct Inspections – Austin and multiply by 90%. Add these totals together and divide by the total number of inspections by agency staff. Costs include the following items: salaries; supplies; travel; postage and delivery charges; printing and reproduction charges and temporary services *directly* related to conducting inspections.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Lower than target

## **02-01-01-02 Average Cost per Architectural Barrier Building Plan Reviewed by Agency Staff**

**Short Definition:** *Total expenditures (including encumbrances) for direct plan review activities for Architectural Barriers by agency staff during the reporting period divided by the number of construction/engineering documents reviewed by agency staff during the reporting period.*

Purpose/Importance: This measure indicates how cost-effective the agency is in performing required plan reviews.

Source/Collection of Data: Expenditures – USAS DAFR7410 reports; Number of plan reviews by agency staff – Input for Efficiency Measure report from the Executive Assistant to the Executive Director.

Data Limitations: **External Factors:** General market and economic conditions, construction trends, statutory changes and the number of independent contract providers are key variables that impact the measure that are beyond the control of TDLR.

**Internal Factors:** Turnover in plan reviewers, fee changes, rule changes, enforcement action and changes to the plan review process may also impact the measure.

Method of Calculation: Add applicable cash expenditures, accruals and encumbrances for Conduct Plan Reviews– Austin and multiply by 10% and divide by the total number of reviews completed by agency staff. Costs include the following items: salaries; supplies; postage and delivery charges; printing and reproduction charges; and temporary services *directly* related to processing plan reviews.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Lower than target

**02-01-01-03 Average Number of Months to Complete Architectural Barrier Inspections by Agency Staff**

**Short Definition:** *The average number of months to complete an Architectural Barrier inspection by agency staff during the reporting period.*

Purpose/Importance: This measure shows how efficient TDLR is in performing Architectural Barrier inspections.

Source/Collection of Data: HP3000 AB Master XREF Detail Report

Data Limitations: **External Factors:** General market and economic conditions, construction trends, statutory changes and the number of independent contract providers are key variables that impact the measure that are beyond the control of TDLR.

**Internal Factors:** Turnover in inspectors, inspection backlog, rule changes, enforcement action and changes to the inspection process may also impact the measure.

Method of Calculation: The HP3000 adds the number of days it takes to complete each inspection and divides this total by the number of inspections completed.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Lower than target

**02-01-01-04 Average Number of Days to Complete Architectural Barrier Building Plan Reviews by Agency Staff**

**Short Definition:** *The average number of days to complete an Architectural Barrier building plan review by agency staff during the reporting period.*

Purpose/Importance: This measure shows how efficient TDLR is in reviewing construction/engineering documents.

Source/Collection of Data: Time Reporting System (TRS) quarterly report on "PLAN" activity by employee number.

Data Limitations: **External Factors:** General market and economic conditions, construction trends, statutory changes and the number of independent contract providers are key variables that impact the measure that are beyond the control of TDLR.

**Internal Factors:** Turnover in plan reviewers, rule changes, enforcement action and changes to the plan review process may also impact the measure.

Method of Calculation: Add the number of days it takes to complete each plan review and divide by the total number of plan reviews completed.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Lower than target

### **Explanatory Measures:**

#### **02-01-01-01 Number of Boilers Due for Certification Inspection**

**Short Definition:** *The total number of boilers due a certification inspection based on type of boiler and the date of the last inspection.*

Purpose/Importance: This shows the workload in Boiler inspections due. This is not a standard measure for licensing agencies.

Source/Collection of Data: HP3000 report – BSRP0190.

Data Limitations: **External Factors:** **External Factors:** General market and economic conditions, boiler manufacturing trends, the number of boilers due inspection and statutory changes are key variables that impact the measure that are beyond the control of TDLR.

Method of Calculation: The HP3000 totals boilers with an expiration date within the parameters.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Target

## **02-01-01-02 Number of Architectural Barrier Building Plans to be Reviewed by Agency Staff**

**Short Definition:** *The total number of construction/engineering documents received by TDLR that have not been reviewed for compliance with Architectural Barrier standards by agency staff.*

Purpose/Importance: This measure is intended to indicate the work in process in Architectural Barrier plan reviews.

Source/Collection of Data: HP3000

Data Limitations: **External Factors:** General market and economic conditions, construction trends, and statutory changes are key variables that impact the measure that are beyond the control of TDLR.

Method of Calculation: Project the number of Architectural Barrier plan reviews to be completed using existing workloads as a basis.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Lower than target

## **02-01-01-03 Number of Buildings or Facilities to be Inspected for Architectural Barriers by Agency Staff**

**Short Definition:** *The total number of subject buildings or facilities for which an inspection request has been received by TDLR and inspection has not yet been done, and the total number of buildings or facilities leased or occupied by the state, under any lease or rental agreement, that is ready for occupancy, and inspection has not yet been done.*

Purpose/Importance: This shows the work in process in Architectural Barrier inspections.

Source/Collection of Data: HP3000 Workload/Requested Report.

Data Limitations: **External Factors:** General market and economic conditions, construction trends, and statutory changes are key variables that impact the measure that are beyond the control of TDLR.

Method of Calculation: The HP3000 totals Architectural Barrier inspections due based on the estimated date of completion entered during the project registration process.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Lower than target

#### **02-01-01-04 Total Number of Inspections Completed**

**Short Definition:** *The total number of inspections, for all regulated industries, completed by agency and third party inspectors.*

Purpose/Importance: This measure indicates the number of inspections completed by agency and third parties.

Source/Collection of Data: AB – HP3000 Detail Inquire Report; Boiler – HP3000 reports BLRRPT2 (third Party Inspections) and BSRP0185 from the TRS (TDLR inspectors); Boxing – List of inspection events provided by the Boxing Manager; IHB – Paradox database maintained in IHB section; Elevators – individual inspectors records; WWD – Word database maintained by Senior Investigator.

Data Limitations: **External Factors:** General market and economic conditions, construction trends, statutory changes and the number of independent contract providers are key variables that impact the measure that are beyond the control of TDLR.

**Internal Factors:** Turnover in inspectors, inspection backlog, rule changes, enforcement action and changes to the inspection process may also impact the measure.

Method of Calculation: Add the number of inspections from all sources.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Higher than target

#### **02-01-01-05 DELETED: Total Number of Plan Reviews Completed**

**Short Definition:** *The total number of construction/engineering documents, for all regulated industries, reviewed by agency and third party reviewers, for compliance with applicable standards.*

Purpose/Importance: This measure indicates the number of plan reviews completed by agency and third parties.

Source/Collection of Data: Architectural Barriers – HP3000 Quarterly Summaries; Industrialized Housing & Buildings – Excel spreadsheet maintained in the Industrialized Housing and Buildings section.

Data Limitations: **External Factors:** General market and economic conditions, construction trends, statutory changes and the number of independent contract providers are key variables that impact the measure that are beyond the control of TDLR.

**Internal Factors:** Turnover in plan reviewers, rule changes, enforcement action and changes to the plan review process may also impact the measure.

Method of Calculation: Add the number of plan reviews completed from all sources.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Higher than target

## **B.1.2. Strategy: Resolve Complaints**

**Output Measures:**

### **02-01-02-01 DELETED: Number of Advisory Board Meetings**

**Short Definition:** *The total number of advisory board meetings.*

Purpose/Importance: This measure shows the number of board meetings held by all programs regulated by TDLR. This is not a standard measure for licensing agencies.

Source/Collection of Data: An Excel spreadsheet - Advisory Board Report - maintained in the Legal Services section.

Data Limitations: **External Factors:** The ability of an advisory board to get a quorum of members for scheduled meetings is a key variable that impacts the measure that is beyond the control of TDLR.

Method of Calculation: Count the number of advisory board meetings held during the reporting period.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Target



## 02-01-02-02 Number of Administrative Hearings Held

**Short Definition:** *The total number of formal disciplinary hearings conducted in accordance with the Administrative Procedures Act.*

Purpose/Importance: This measure indicates the number of complaints that require an administrative hearing.

Source/Collection of Data: Docket database maintained by the Legal Assistant to the Hearings Examiner.

Data Limitations: **External Factors:** The number of complaints filed, the severity and complexity of complaints filed and the number of respondents that are willing to enter into agreed orders with TDLR are key variables that impact the measure that are beyond the control of TDLR.

Method of Calculation: Count the total number of hearings held during the reporting period.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Target

## 02-01-02-03 Number of Complaints Resolved

**Short Definition:** *The total number of complaints resolved during the reporting period.*

Purpose/Importance: This measure reflects the efforts of TDLR's enforcement activities to resolve complaints.

Source/Collection of Data: Complaint Intake Monitoring System (CIMS) – complaints resolved and complaints closed for lack of jurisdiction.

Data Limitations: **External Factors:** General market and economic conditions and the complexity and severity of the complaint filed are key variables that impact the measure that are beyond the control of TDLR.

**Internal Factors:** Turnover in staff that are associated with the complaint resolution process may also impact the measure.

Method of Calculation: The sum of complaints closed in CIMS during the reporting period minus cases closed for lack of jurisdiction during the same reporting period.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Higher than target

**02-01-02-04 DELETED: Number of Docketed Cases Settled without Administrative Hearing**

**Short Definition:** *The number of cases settled under Government Code Sec. 2001.054 and Article 9100 docketed through CIMS for the reporting period.*

Purpose/Importance: This measure shows the efficiency of staff in resolving complaints without going to administrative hearing. This is not a standard measure for licensing agencies.

Source/Collection of Data: Final Order Log (an Excel file) maintained by the Legal Assistant to the Prosecutor.

Data Limitations: External Factors: The number of complaints filed, the severity and complexity of complaints filed and the number of respondents that are willing to enter into agreed orders with TDLR are key variables that impact the measure that are beyond the control of TDLR.

Method of Calculation: Count the number of cases settled during the reporting period.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Target

**Efficiency Measures:**

**02-01-02-01 DELETED: Average Cost per Administrative Hearing**

**Short Definition:** *Total funds expended and encumbered during the current reporting period for administrative hearing activities divided by the total number of hearings held during the reporting period.*

Purpose/Importance: This measure indicates how cost-effective the agency is in conducting administrative hearings. This is not a standard licensing performance measure.

Source/Collection of Data: Expenditures – USAS DAFR7410 reports; Number of administrative hearings – Input for Efficiency Measure report from the Executive Assistant to the Executive Director.

Data Limitations: External Factors: The number of complaints filed, the severity and complexity of complaints filed and the number of respondents that are willing to enter into agreed orders with TDLR are key variables that impact the measure that are beyond the control of TDLR.

Method of Calculation: Add the total cash expenditures, accruals and encumbrances in the applicable expenditure categories for administrative hearings for the current reporting period and divide by the total number of administrative hearings held during the current reporting period. Costs include the following items: salaries; supplies; travel; postage and delivery charges; printing and reproduction charges, temporary services; subpoena expenses; and charges of the State Office of Administrative Hearings or other Hearings Examiners if applicable *directly* related to administrative hearings.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Lower than target

### **02-01-02-02 Average Cost per Complaint Resolved**

**Short Definition:** *Total costs expended (including encumbrances) for the resolution of complaints during the reporting period divided by the total number of complaints resolved during the reporting period.*

Purpose/Importance: This measure indicates how cost-effective the agency is in resolving complaints.

Source/Collection of Data: Expenditures – USAS DAFR7410 reports; Number of complaints resolved – Input for Efficiency Measure report from the Executive Assistant to the Executive Director.

Data Limitations: **External Factors:** General market and economic conditions and the complexity and severity of the complaint filed are key variables that impact the measure that are beyond the control of TDLR.

**Internal Factors:** Turnover in staff that are associated with the complaint resolution process may also impact the measure.

Method of Calculation: Add the total cash expenditures, accruals and encumbrances in the applicable expenditure categories for complaint resolution for the current reporting period and divide by the total number of complaints resolved during the current reporting period. Costs include the following items: salaries; supplies; travel; postage and delivery charges; printing and reproduction charges, temporary services; subpoena expenses; and charges of the State Office of Administrative Hearings or other Hearings Examiners if applicable *directly* related to complaint resolution.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Lower than target

## 02-01-02-03 Average Time for Complaint Resolution

**Short Definition:** *The average length of time to resolve a complaint, for all complaints resolved during the reporting period.*

Purpose/Importance: This measure indicates the effectiveness of investigative and complaint resolution processes by TDLR.

Source/Collection of Data: Automatically calculated by the Complaint Intake Monitoring System (Statistical Analysis Report).

Data Limitations: **External Factors:** General market and economic conditions and the complexity and severity of the complaint filed are key variables that impact the measure that are beyond the control of TDLR. **Internal Factors:** Turnover in staff that are associated with the complaint resolution process may also impact the measure.

Method of Calculation: The calculation excludes the complaints determined to be non-jurisdictional of the agency's statutory responsibilities.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Lower than target

### Explanatory Measures:

## 02-01-02-01 Number of Jurisdictional Complaints Received

**Short Definition:** *The total number of complaints received during the reporting period that are within the agency's jurisdiction of statutory responsibility.*

Purpose/Importance: This measure indicates the case workload of TDLR

Source/Collection of Data: CIMS reports.

Data Limitations: **External Factors:** General market and economic conditions, the number of transactions or business activities involving an industry or business regulated by TDLR are key variables that impact the measure that are beyond the control of TDLR.

Method of Calculation: The sum of all closed complaints minus those complaints closed for lack of jurisdiction during the reporting period.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Target

## APPENDIX E

### REPORT ON CUSTOMER SERVICE, COMPACT WITH TEXANS, AND CUSTOMER-RELATED PERFORMANCE MEASURES

#### **1999 CUSTOMER SERVICE SURVEY METHODOLOGY**

TDLR's customer service survey was conducted throughout most of 1999. The format was a single response card requesting the constituent to rate TDLR's service in the following areas:

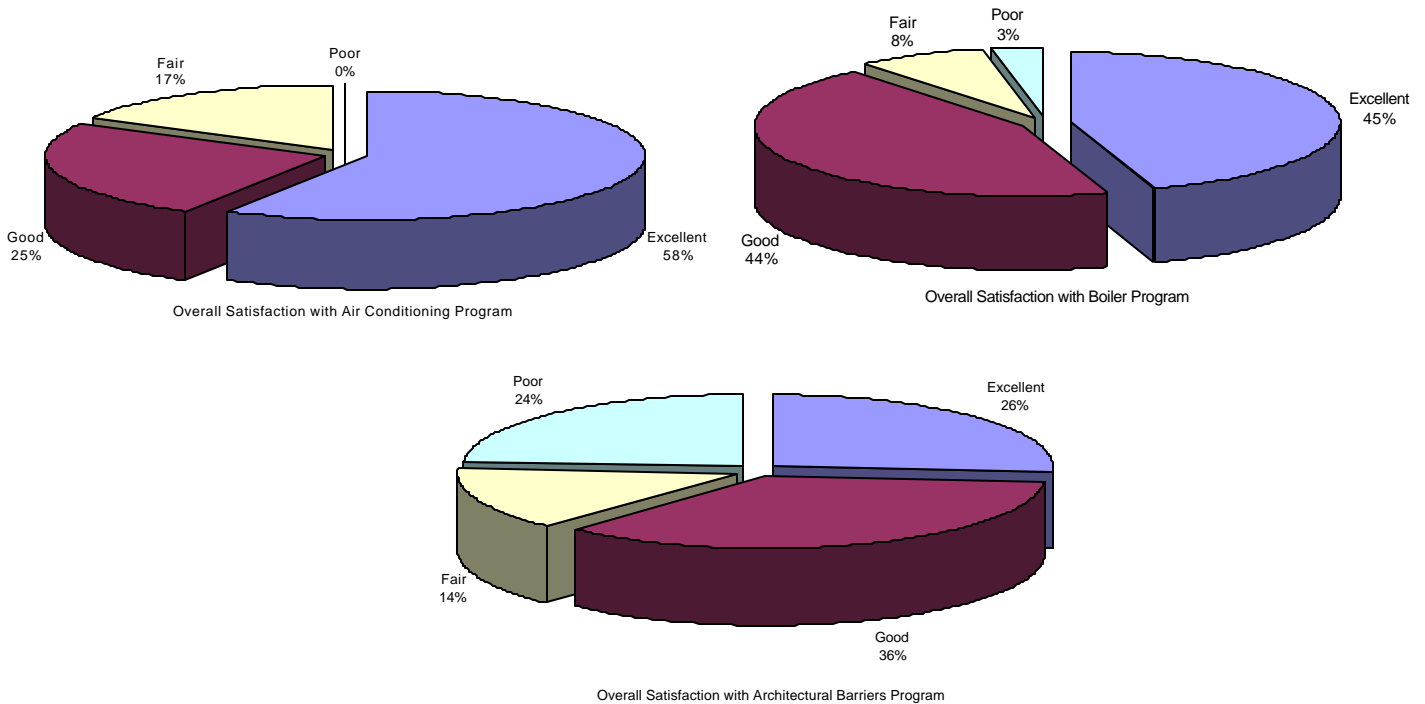
- ◆ Overall Satisfaction
- ◆ Courtesy
- ◆ Professionalism
- ◆ Timeliness
- ◆ Clarity of Information
- ◆ Understands Your Needs
- ◆ Meets Your Needs
- ◆ Keeps You Informed
- ◆ Provides Efficient Service

The card allowed four rankings:

- ◆ Excellent
- ◆ Good
- ◆ Fair
- ◆ Poor

Additionally, the card provided sections for the user to indicate the preferred method for license renewal, to identify what their business with TDLR was (license holder, consumer, etc), to add any comments, and to indicate a method of contact.

Over 9,000 of these cards were distributed. We included them in most TDLR mailings and made them openly available in our public offices. The cards were guaranteed business reply mail to encourage participation. Almost 600 were returned, from which TDLR was able to measure the perception of the Agency. The following charts illustrate the results.



In addition to this quantitative measurement, the Agency also conducted five external focus group meetings. Invited participants included licensees, industry associations, state agencies, and other constituents. All aspects of TDLR were discussed and many of the recommendations are included in this Strategic Plan.

# Texas Department of Licensing and Regulation's Compact With Texans

The Texas Department of Licensing and Regulation (TDLR) is **proud** to enter into this Compact. As fellow Texans, we recognize that serving this great state and its citizens is a privilege- one which we do not take lightly. We are committed to conducting our affairs with the highest level of integrity and efficiency, ensuring that we are deserving of the public trust that has been given to us.

## Our Mission

Our mission is to promote a fair business environment for our regulated community while protecting public safety and welfare. We seek to accomplish our mission by:

- actively **educating** consumers about the industries, trades and occupations we regulate,
- ensuring **effective** and **economical** use of public resources,
- regulating industries in a **firm, fair and consistent** manner, and
- recognizing the **dignity** and **worth** of our employees and the citizens of Texas.

## Our Goal

Just as Governor George W. Bush wants Texas to be a “beacon” state, our goal is to be the model agency for “licensing excellence in the Nation.” TDLR strives to achieve this goal by relying on our greatest asset- our employees, and by applying five customer service principles to all aspects of our organization: **Accuracy, Accountability, Consistency, Responsiveness, and Timeliness.**

## What We Do

TDLR issues **licenses, certificates and registrations** for the seventeen statutes assigned to our agency by the Legislature. These statutes are:

- Air Conditioning and Refrigeration Contractor License Law (Article 8861)
- Architectural Barriers Law (Article 9102)
- Auctioneer Law (Chapter 1802, Occupational Code)
- Boiler Law (Chapter 755, Health & Safety Code)
- Career Counseling Services Act (Article 5221a-8)
- Combative Sports (Boxing) Law (Chapter 2052, Occupational Code)
- Elevators & Escalators Law (Chapter 754, Health & Safety Code)
- Industrialized Housing and Buildings Law (Article 5221f-1)
- Personnel Employment Services Act (Article 5221a-7)

- Property Tax Consultants Act (Article 8886)
- Service Contract Provider Act (Article 9034)
- Staff Leasing Services Law (Chapter 91, Labor Code)
- Talent Agencies Law (Chapter 2105, Occupation Code)
- Temporary Common Worker Employers Law (Chapter 92, Labor Code)
- Transportation Service Providers (Article 6675 (e))
- Water Well Drillers Law (Chapter 32, Water Code)
- Water Well Pump Installers Law (Chapter 33, Water Code)

TDLR has a comprehensive **complaint resolution** program that includes the investigation of consumer complaints and the assessment of penalties and sanctions against those entities or individuals found to be in violation of the rules/laws.

TDLR also administers a code **review and inspection** program to determine compliance with standards for accessibility, elevator safety, boiler safety and building codes for industrialized housing and buildings.

### **How to Contact Us**

TDLR provides information to consumers, industry members and other interested persons in a number of ways. For example, a consumer that is interested in determining if an individual is licensed to install air conditioners can find out by simply searching our licensing database on our web site: <http://www.license.state.tx.us>. In addition to our web site, TDLR can be contacted at:

<b>Main Office Street Address:</b>	<b>Telephone:</b>
920 Colorado	1-(800) 803-9202
<b>Austin, Texas 78701</b>	<b>(512) 463-6599</b>
<b>Main Office Mailing Address:</b>	<b>Fax:</b>
P. O. Box 12157	(512) 475-2874
Austin, Texas 78711	

TDLR has initiated a list server that will notify parties automatically via e-mail about changes of importance that have occurred in programs of interest to them. This is a free service offered by TDLR. To subscribe, simply follow these five easy steps.

1. Log on to our web site.
2. Select "E-mail Subscriber Lists"
3. Select "To be included on our E-mail subscriber lists"
4. Select "Subscribe to the TDLR E-mail List"
5. Select the programs you wish to subscribe to and then press submit.

Once you have subscribed, just sit back and we will notify you of proposed rule changes, rule adoptions, commission meeting dates and any other important changes that occur.



## **How to File a Complaint**

As previously stated, TDLR has a comprehensive enforcement program that investigates and resolves complaints against individuals and entities under our jurisdiction. Anyone may file a complaint by simply contacting TDLR by phone at 1-800-803-9202 or (512) 463-2906, by fax at (512) 475-2872 by mail at Enforcement Division, P. O. Box 12157 Austin, Texas 78711, or e-mail at [complaints@license.state.tx.us](mailto:complaints@license.state.tx.us). Complaint forms can be downloaded from our web site.

Once a complaint is received, we will evaluate it to determine whether or not the complaint is within our jurisdiction. Within two working days of receiving a complaint, a confirmation letter will be sent to the complainant (the person filing the complaint). While the complaint is under investigation the complainant will be apprised of our progress at least quarterly.

## **How We Measure Customer Service**

TDLR employs three primary methods of measuring customer service- customer service surveys, focus groups and performance measures. **Customer service surveys** are used periodically to assess how well the agency is meeting the needs of its various constituent groups. **Focus groups** are also used to gather in-depth information about TDLR's programs and operations. TDLR has 46 **performance measures** that are directly tied to the agency's strategic plan and budget structure. The primary purpose of performance measures is to determine how well TDLR expends the money it receives from licensing and code review and inspection related fees.

Performance measure results are reported quarterly to TDLR's regulatory oversight agency, the Legislative Budget Board, for evaluation. These measures also provide information used in the day-to-day management of the Agency's operations.

Some of the performance measures serve the dual purpose of measuring the Agency's performance for budgeting purposes and assessing the customer service that TDLR provides. These performance/customer service related measures are:

- TDLR's commitment to resolve 70% of documented complaints in six months.
- TDLR's commitment to resolve complaints on average in 120 days.

In addition to the aforementioned performance/customer service related measures, TDLR has also established the following customer service goals:

- TDLR is committed to providing **courteous, respectful** and **accurate** service to **every person** that we serve.
- TDLR is committed to **responding** to your telephone and e-mail inquiries within **one working day**.
- TDLR is committed to **responding** to your mail inquiries within **one week**.
- TDLR is committed to **acknowledging receipt** of your complaint against an individual or entity regulated by us within **two working days**.

Texans expect the best from their state government. At TDLR we are dedicated to meeting and exceeding their expectations. If for some reason we do not provide the level of service expected, you may contact our Customer Relations Representative, Kay Mahan, by phone at (512) 463-3173 or e-mail at [Kay.Mahan@license.state.tx.us](mailto:Kay.Mahan@license.state.tx.us).

## APPENDIX F

### SURVEY OF ORGANIZATIONAL EXCELLENCE RESULTS AND UTILIZATION PLANS

The fall of 1999 marked the beginning of the Texas Department of Licensing and Regulation's journey toward excellence. The key event was TDLR's participation in the Survey of Organizational Excellence, a survey conducted every two years by the School of Social Work at the University of Texas at Austin. TDLR participated in the Survey for the expressed purpose of assessing employees' perceptions about internal communication, strategic orientation, supervisor effectiveness, job satisfaction and other key areas.

Once the decision was made to participate in the Survey, management focused its efforts on getting the employees to complete the Survey. New management recognized that this Survey provided the perfect vehicle for employees to share their concerns and bring about positive change in the workplace. The key however, was to get the employees to recognize that this was an opportunity and not just another exercise in futility. The employees' reservations were justified considering that TDLR had conducted an extensive employee survey in the past and failed to act on a number of ideas generated or to provide adequate feedback regarding the reasons that some of the ideas could not be implemented. Plain and simple the employees felt their opinions were not valued by management. To address this legitimate concern, the new Executive Director and Deputy Executive Director set out to change their perception by communicating to the employees that "We are the new guys, give us a chance to succeed or fail and we cannot fix any problems that we do not know about".

The employees responded favorably to the message. TDLR increased the participation of its employees in the survey by 12% from a 57% response rate in 1996 to 64% in 2000.

The following information reflects the comparative results of the 2000 Survey and the targeted improvements:

#### Dimension 1: Team Perceptions

Constructs	2000 Score	Statewide Average	Variance	2001 Target
Supervisor Effectiveness	250	293	(43)	300
Fairness	268	289	(21)	300
Team Effectiveness	269	319	(50)	320
Job Satisfaction	285	338	(53)	340
Diversity	296	322	(26)	325
Average	274	312	(39)	317

## **Dimension 2: Physical Work Setting/Accommodations**

<b>Constructs</b>	<b>2000 Score</b>	<b>Statewide Average</b>	<b>Variance</b>	<b>2001 Target</b>
Fair Pay	257	302	(45)	300
Adequacy of Physical Environment	301	358	(57)	375
Benefits	341	366	(25)	375
Employment Development	298	331	(33)	350
Average	299	339	(40)	350

## **Dimension 3: General Organizational Features**

<b>Constructs</b>	<b>2000 Score</b>	<b>Statewide Average</b>	<b>Variance</b>	<b>2001 Target</b>
Change Oriented	274	323	(49)	350
Goal Oriented	287	338	(51)	350
Holographic (Consistency)	273	317	(44)	325
Strategic Orientation	349	392	(43)	400
Quality	323	360	(37)	400
Average	301	346	(45)	365

## **Dimension 4: Communication Patterns**

<b>Constructs</b>	<b>2000 Score</b>	<b>Statewide Average</b>	<b>Variance</b>	<b>2001 Target</b>
Internal Communication	262	316	(54)	350
Availability of Information	270	323	(53)	350
External Communication	310	362	(52)	400
Average	281	334	(53)	367

## **Dimension 5: Personal Demands**

<b>Constructs</b>	<b>2000 Score</b>	<b>Statewide Average</b>	<b>Variance</b>	<b>2001 Target</b>
Time and Stress Management	293	336	(43)	350
Burnout	284	325	(41)	350
Empowerment	255	304	(49)	325
Average	277	322	(44)	342

## **How the Results Were Used**

First and foremost, management was extremely grateful to the employees for providing valuable information regarding their perceptions of the organization. A cursory review of the data indicated that all twenty of TDLR's constructs scored below the statewide average. This was a clear message that TDLR had some organizational problems that needed to be addressed.

The next step in the process was to share the results with the employees. In a town-hall meeting management reiterated to the employees that this is their information, discussed the results with the employees and outlined how the information would be

used to bring about improvements in the workplace. At this meeting each employee received a copy of the construct scores and the comparative information.

TDLR subsequently undertook an extensive analysis of all the primary questions. During the course of this analysis TDLR identified 16 of the primary questions which it deemed to be either a momentum or a leverage question. Momentum questions are low performing questions that are cross-dimensional in nature. For example, Question 17, *The work atmosphere encourages open and honest communication*, is one that impacts Dimensions 3 and 4. A leverage question is one that management believes reflects a core organizational value which if improved will act as a catalyst or lever to raise other scores in a particular construct. For example, Question 9, *Every employee is valued*, is one that embodies the Executive Director's commitment to a respect-based philosophy of management. The following are the 16 momentum and leverage questions identified by TDLR:

Question #	Question Text	TDLR Avg.	2000 Statewide Avg.
9	Every employee is valued.	2.85	3.13
14	The right information gets to the right people at the right time.	2.45	2.96
15	Information and knowledge are shared openly in this organization.	2.31	2.99
17	The work atmosphere encourages open and honest communication.	2.58	3.11
18	Employees feel that they must always go through channels to get their work done. (Negatively phrased question. Response scores were reversed so that a higher average score for the question is desired.)	2.27	2.64
21	Work groups receive adequate feedback that helps improve their performances.	2.67	3.20
26	Employees have an opportunity to participate in the process of strategic planning and goal setting.	2.53	3.03
29	Employees seem to be working toward the same goals.	2.68	3.28
30	There is a basic trust among employees and management.	2.33	2.90
38	"The buck stops here" describes how employees accept personal accountability.	2.84	3.09
52	Employees balance their focus on both the long range and short term.	2.88	3.31
53	Creativity and innovation in work are encouraged.	2.99	3.39
54	People who challenge the status quo are valued.	2.40	2.76
55	Promotion recommendations are made by a team of evaluators.	2.01	2.57
56	Raises and promotions are designed to ensure that workers are rewarded solely for their performance.	2.64	2.67
57	Salaries are competitive with similar jobs in the community.	1.76	2.34

Subsequent to identifying the 16 momentum/leverage questions the Executive Director and Deputy Executive Director conducted 8 Survey of Organizational Excellence Breakout Sessions. These sessions were conducted in groups of no more than 15 employees to allow maximum participation. The employees were also given the option of providing input (anonymously) in writing.

The following is a brief list of some of the interventions that have been implemented to address concerns identified in the Survey and breakout sessions:

- ◆ provided immediate feedback regarding Survey of Organizational Excellence results;
- ◆ development and Approval of comprehensive Employee Handbook;
- ◆ supervisory Effectiveness training (two days);
- ◆ regular town-hall meetings;
- ◆ internal Strategic Planning Focus Groups;
- ◆ electronic agency highlights;
- ◆ reclassification audits;
- ◆ change management training (*Who Moved My Cheese?*);
- ◆ renewal of Employee Assistance Program with increased number of visits;
- ◆ technological improvements;
- ◆ risk management related purchases;
- ◆ participation in strategic planning process;
- ◆ legislative updates to employees from Executive Director;
- ◆ executive level involvement in agency wide activities;
- ◆ enhanced customer service in Human Resource section;
- ◆ reorganizations along functional lines; and
- ◆ scheduled training:
  - ◆ stress management
  - ◆ listening skills
  - ◆ supervisor EAP referral training
  - ◆ EAP orientation training

## APPENDIX G

### INFORMATION RESOURCES STRATEGIC PLAN

**Table 1: Goals, Objectives and Strategies**

<b>Item</b>	<b>Description</b>
Goal 01	To provide TDLR with a cost effective, state of the art platform for licensing and certification. This goal supports Agency Goal 01 and DIR Goals 1 and 3.
Objective 01	Upgrade current licensing and certification software to take advantage of new technologies. The percent of applications processed within established time frames will increase to 85% in FY 03.
Strategy	Develop a new licensing system database structure and improved user interface.
Strategy	Implement electronic signature for licensing and registrations.
Strategy	Develop Internet application submissions for all licenses.
Strategy	Develop online exams for all licenses requiring examination.
Strategy	Notify licensees via e-mail.
<b>Item</b>	<b>Description</b>
Goal 02	To provide inspection and enforcement staff with the tools and information needed to perform prompt, accurate inspections, investigations, and reviews. This goal supports Agency Goal 2 and DIR goal 4.
Objective 02	Improve turn-around times and coverage rates of inspectors, investigators and reviewers by providing them with state-of- the-art technology. Inspection coverage will increase to 95% and boilers inspected for certification within appropriate timelines will increase by 10% by 2005.
Strategy	Issue and receive inspections electronically.
Strategy	Develop hand held devices for inspections.
Strategy	Provide wireless access to inspection databases.
Strategy	Utilize of GIS technology to normalize inspection databases.
Strategy	Provide reviewers with the ability to review plans electronically.
<b>Item</b>	<b>Description</b>
Goal 03	Provide additional user interfaces for renewing licenses and paying fees. This goal support Agency Goal 01 and DIR Goals 1 and 4. Reduce time needed to process renewals by two days (75%).
Objective 03	Provide licensees with an alternative to renewing licenses by mail.
Strategy	Utilize OCR technology in forms where appropriate.
Strategy	Develop Internet renewals for all licenses.
Strategy	Offer license renewals by telephone.
<b>Item</b>	<b>Description</b>
Goal 04	Ensure electronic availability for all agency documents, data, and services. This goal supports Agency Goals 1 and 2 and DIR Goal 4. The number of information packets distributed will increase by 90%.
Objective 04	Enhance the TDLR Web site to provide users with a clearinghouse of agency information.
Strategy	Develop inspection inquiry database on Web site
Strategy	Develop Fax-on-Demand service for distributing applications and information packets.
Strategy	Provide audio access over the Internet to agency meetings.

**Table 2: Information Resources Policies and Practices**

Category	Brief Summary/Overview
IR Priorities	TDLR management uses data developed by process review teams, advisory boards, and internal and external focus groups to develop its strategic plan. Information resource objectives are developed to support the strategic plan goals. TDLR management prioritizes the objectives and the Information Resources Manager develops strategies to accomplish the objectives. The Executive Director has final approval of IR strategies.
IR Planning Methodology	The TDLR Information Resource Manager (IRM) determines the resources required to accomplish IR Strategies. The IRM reports to the Deputy Executive Director and attends weekly staff meetings with executive management to report the status of IR projects.
Operating System	Operating system standards: Desktop - Windows 95 and 98 Local Area Network – NetWare 5.0 Database server – Microsoft NT 4.0 Minicomputer - MPE ix 5.5
Development Methodology	Information Services is moving older 4th generation programming language applications to object oriented client server applications. Future applications will use more intelligent database backend technology with “thinner” client user interfaces.
Software Audit and Management	The TDLR IRM has attended DIR sponsored training regarding compliance with House Bill 1895 and will attend additional training as it is offered. TDLR will reconcile its software inventory with software procurements. Once reconciled, the software inventory will be reconciled against actual computer software installation. The results will be reported in the TDLR Biennial Operating Plan for Information Resources. If available, TDLR software is purchased through DIR's cooperative contracts program.
Quality-Assurance Practices	<p>TDLR will utilize the Quality Assurance Guidelines developed by the DIR for all projects that exceed the Department's Biennial Operating Plan project threshold. Features of TDLR quality assurance for large projects include:</p> <ol style="list-style-type: none"> <li>1) The planning of large and high-risk TDLR projects will include an estimate of total work effort, a work allocation plan, task scheduling, development of the proper technical approach, identification of work measures needed, and development of the proper risk management approach</li> <li>2) In order to determine the projected benefits of a project, TDLR will define the project objectives, identify alternate solutions, estimate the benefits and costs of each solution, compare the alternatives and review results, and select the appropriate course of action.</li> <li>3) Management-control procedures will be in place to track major project variables such as cost, time, scope, and the quality of deliverables.</li> <li>4) In order to project the budget of a project, initial budget estimates will consider equipment and other purchased components, development effort, facilities, supporting organizations, deployment effort and equipment, lifetime operations and maintenance costs, and any other tangible costs. Budget estimates will be updated as a project progresses.</li> </ol>



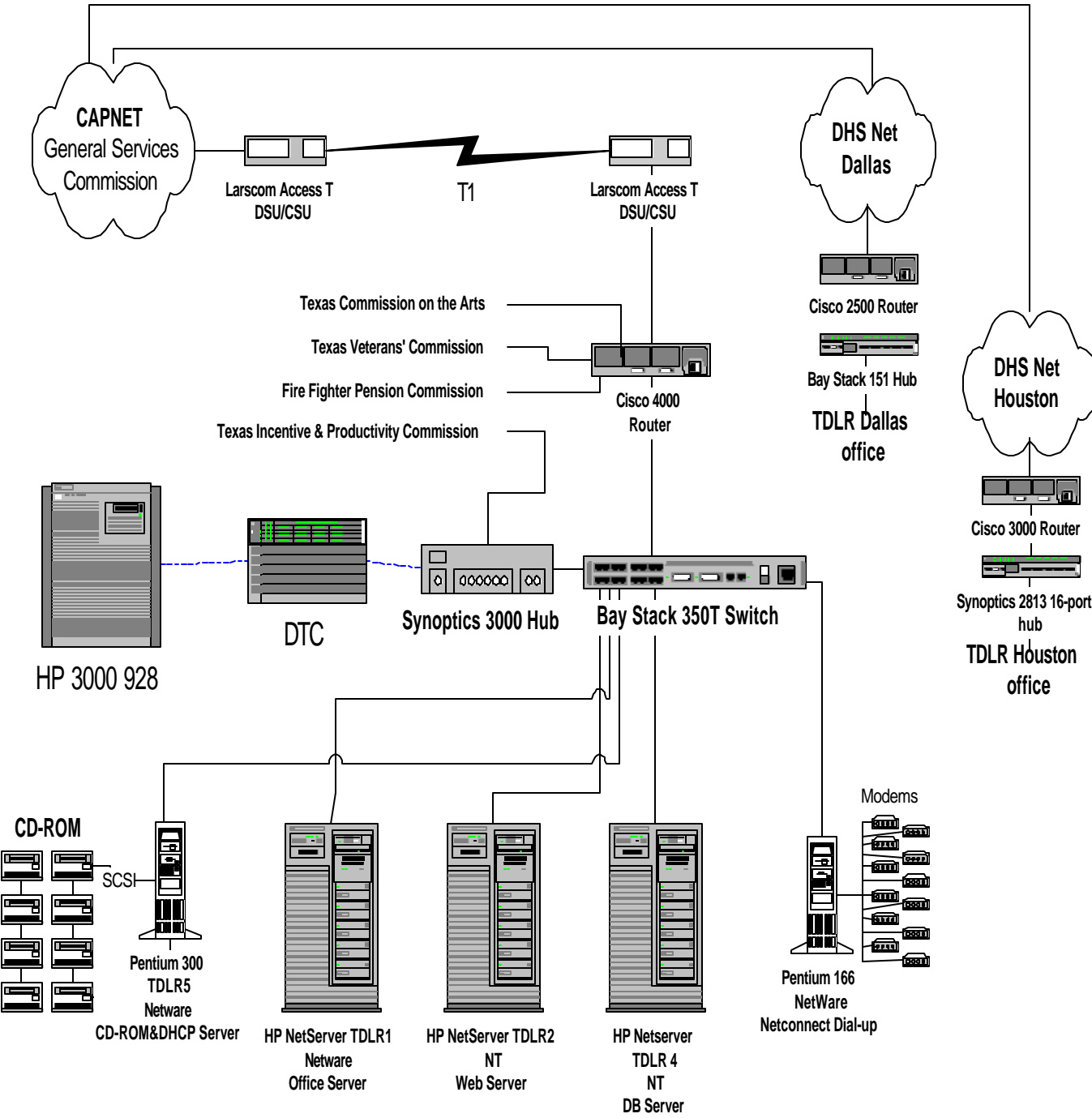
	<p>5) In order to analyze the risk of a project, risks will be identified and analyzed, risk-handling actions will be planned, and risks will be tracked and controlled.</p> <p>6) The standards by which the effectiveness and efficiency of a project will be evaluated are determined during the planning phase of a project. Identifying and prioritizing project issues, selecting and identifying appropriate measures, and integrating them into the project plan are performed during the planning phase. These standards will facilitate evaluation of project status and provide the basis for proactive project control.</p> <p>7) Post project evaluation and reporting will be performed by building data gathering instruments during project planning, gathering the data, conducting post project reviews, and reporting the actual results versus anticipated results.</p>
E-Government	TDLR forms and rules are available on the TDLR Web site. The Department is one of six pilot agencies in the Electronic Framework Project established by SB 974. Air Conditioning Contractor licenses will be renewed online by July 1, 2000 as part of this project. Other online registrations will follow. TDLR will implement DIR guidelines for security prior to implementing the online renewals.
Change Control	The TDLR Information Resource Manager develops IT standards, approves IT procurements, and implements configuration changes.
Security	TDLR completed a Physical Security Management Review in July 1996. Additional security risk analysis will be performed prior to implementing e-Commerce in July 2000.
Geographic Information Systems	TDLR does not currently utilize Geographic Information Systems, however, the Department envisions utilizing GIS/GPS to normalize databases. Any GIS initiative undertaken by TDLR will support the Geographic Information Framework for Texas.
Disaster Recovery/Business Continuity Planning	<p>An Information Systems Disaster Recovery and Departmental Business Resumption Plan was developed for TDLR by Data Lock Inc. Data Lock's services were contracted through the Department of Information Resources. TDLR plans to use the Austin Disaster Recovery Operations Center as a cold site for business resumption.</p> <p>In the next TDLR Legislative Appropriations Request, TDLR will seek funding to use the West Texas Disaster Recovery Operations Center to test disaster recovery plans and for disaster recovery services.</p>
Resource Use	<p>The Department utilizes Texan 2000 services for voice and data resources. TDLR contracts with the Department of Human Services to support its regional office data communications needs.</p> <p>TDLR envisions using Texas A&amp;M University's Trans Texas Videoconference Network (TTVN) or another state video network (as network time permits) for video conferencing needs.</p>
Contract/Consultant	The TDLR has used consultant services on a limited basis to provide the agency with additional expertise in some technologies. Consultant services may be utilized in future projects if their services are more cost effective than internal staff, if they have expertise not available at TDLR, or to overcome staff shortages.

Information Sharing	TDLR shares data with the Texas Workforce Commission, Texas Department of Insurance, Texas Worker's Compensation Commission, Texas Department of Public Safety, Texas Guaranteed Student Loan Corporation, Office of the Attorney General, and the Comptroller of Public Account. TDLR views its Web site as a primary distribution point for sharing information. TDLR views data as a public resource and shares all data not restricted by confidentiality laws.
Training and Continuing Education	Information Services determines the skill sets needed to undertake IR strategies. If a new skill is needed and it is cost effective to train and utilize internal staff, the TDLR employee is trained for the skill. If it is not feasible to train and use internal staff, contract help is used. Whenever possible, training is acquired through the DIR's Business Operations Division.
Data Center Operations	TDLR does not have a computer operations staff. Network specialists perform computer backups and occasional operating system upgrades, but are primarily involved in local area network and desktop administration. The Department has not requested any waivers for WTDROC services.

**Table 3: Agency Platforms, Systems, and Telecommunications**

Category	Type	Operating System	Database Management System	Capacity/Size/Count	Comments/Descriptive Information
Mainframe	n/a				
Minicomputer	HP3000	MPEix 5.5	Allbase/Imag e	100 user	
LAN Servers (Central)	PC	NetWare 4.11	n/a	500 user	Office and e-mail server
	PC	NT 4.0	SQL Server	per user	Web site
	PC	NT 4.0	SQL Server	per user	Database Server
	PC	NetWare 4.10	n/a	52 user	Communications server
	PC	Unix	n/a	Unlimited	DNS server
	PC	NetWare 5.0	n/a	500 user	CD-ROM and DHCP server
LAN Servers (Remote)	n/a				
LAN Client/Workstations (Central)	PC	Windows 95 & 98	MS Access	140	
LAN Client/Workstations (Remote)	PC	Windows 95 & 98	SQL Anywhere and Access	40	
WAN Servers	n/a				
Standalone PC Workstations	n/a				
ISP	<b>GSC</b>		n/a	<b>GSC</b>	
Shared Network	DHS		n/a	Contract with DHS for Dallas and Houston	

# TDLR Network Topology Map



**Table 4: Agency Databases**

<b>Name</b>	<b>Licensing and Registration - L&amp;R</b>
Database Description	Umbrella licensing database for several licenses.
Database system	HP Image/3000 DBMS
Estimated physical storage requirements	650 Mb, 50Mb per year growth
GIS data classification	This database does not contain latitude-longitude, State Plan, or UTM coordinates.
Sharing	Used by General Services Commission for Architectural Barrier inquiries.
Future	This database will be converted to MS SQL server.
<b>Name</b>	<b>Boiler Certification and Inspection</b>
Database Description	Database for monitoring boiler safety inspections and issuing boiler certificates.
Database system	HP Image/3000 DBMS for host processing and SQL Anywhere for client processing.
Estimated physical storage requirements	920Mb, 40Mb per year growth.
GIS data classification	This database does not contain latitude-longitude, State Plan, or UTM coordinates.
Sharing	N/A
Future	This database will be converted to MS SQL server. It may be a candidate for GIS.
<b>Name</b>	<b>Tracking (includes Complaint Intake and Monitoring System - CIMS)</b>
Database Description	Event tracking and correspondence generation database shared by several applications.
Database system	HP Image/3000 DBMS
Estimated physical storage requirements	1,500Mb, 150Mb per year growth
GIS data classification	This database does not contain latitude-longitude, State Plan, or UTM coordinates.
Sharing	N/A
Future	This database will be converted to MS SQL server.
<b>Name</b>	<b>Cash Receipts</b>
Database Description	Database for processing and archiving cash receipts.
Database system	HP Image/3000 DBMS
Estimated physical storage requirements	1,800Mb, 180 Mb per year growth
GIS data classification	This database does not contain latitude-longitude, State Plan, or UTM coordinates.
Sharing	N/A
Future	This database will be converted to MS SQL server.

<b>Name</b>	<b>Elevator</b>
Database Description	Database for elevator inspections.
Database system	MS SQL Server
Estimated physical storage requirements	468 Mb, this database should double or triple in size within the next two years.
GIS data classification	This database does not contain latitude-longitude, State Plan, or UTM coordinates.
Sharing	N/A
Future	This database may be a candidate for GIS.
<b>Database name</b>	<b>Time Reporting System (TRS)</b>
Database Description	Database for tracking employee time and travel.
Database system	HP Image/3000 DBMS
Estimated physical storage requirements	250 Mb, 20Mb per year growth.
GIS data classification	This database does not contain latitude-longitude, State Plan, or UTM coordinates.
Sharing	N/A
Future	This database will be converted to MS SQL server.

**Table 5: Agency Applications**

<b>Name</b>	<b>Architectural Barrier - AB</b>
Application Type	Licensing (Registration), Client Server
Application Description	Tracking of architectural barrier review and inspections
Database System	Image/SQL
Development Language	Speedware
Sharing	The General Services Commission inquires into this database.
Future	Internet registrations and fee payment. Web inquiry.
<b>Name</b>	<b>Boiler Certification - BCS</b>
Application Type	Licensing (Registration), Client Server
Application Description	Inspection and certification of boilers
Database System	Image/SQL, SQLAnywhere
Development Language	PowerBuilder and Speedware
Sharing	Inspecting organizations (insurance companies) receive and submit hard copy and electronic inspection reports.
Future	Internet fee payment. Web inquiry.
<b>Name</b>	<b>Cash Receipts</b>
Application Type	Financial System
Application Description	Depositing, clearing and refunding cash receipts.
Database System	Image/SQL
Development Language	Speedware

Sharing	Deposits and other transactions generated by this application are entered into USAS.
Future	This program will facilitate electronic payment by credit card.
<b>Name</b>	<b>Complaint Intake and Monitoring - CIMS</b>
Application Type	Licensing (complaints)
Application Description	System for monitoring complaints
Database System	Image/SQL
Development Language	Speedware
Sharing	N/A
Future	This program will be converted to a client/server-based application.
<b>Name</b>	<b>Licensing - L&amp;R</b>
Application Type	Licensing
Application Description	Issues licenses and tracks correspondence for licensing.
Database System	Image/SQL
Development Language	Speedware
Sharing	N/A
Future	Internet registrations and fee payment.
<b>Name</b>	<b>Time Reporting</b>
Application Type	Human Resources
Application Description	Tracks employee time by functional area and activity. Produces travel vouchers.
Database System	Image/SQL
Development Language	Speedware
Sharing	N/A
Future	This program will be converted to a client/server-based application.
<b>Name</b>	<b>Elevator Inspections</b>
Application Type	Licensing (certifications)
Application Description	Issues certificates for elevator inspections.
Database System	MS SQL Server
Development Language	PowerBuilder
Sharing	N/A
Future	Internet fee payment. Web Inquiry.

**Table 6: Interagency Data Needs**

List	New building permits from cities would allow us to check for elevators and boilers.
Obstacles	Building permits are issued municipalities and each city has its own computer system.
Strategy	A centralized database is needed.
List	County tax records containing GIS information for buildings.
Obstacles	TDLR databases do not contain GIS information.
Strategy	Collect GIS information for buildings, elevators and boilers.

## APPENDIX H

### HISTORICALLY UNDERUTILIZED BUSINESSES (HUB) PLAN

The Texas Department of Licensing and Regulation (TDLR) is committed to offering contracting opportunities to all Texans. TDLR will comply with all requirements of S.B. 178, 76<sup>th</sup> Legislature, Regular Session, regarding the HUB program.

TDLR's goal is to award HUBs with at least 35% of the total value of contracts and subcontracts awarded annually by the Agency in purchasing/contracting by FY 2001. To increase the use of HUBs and accomplish this goal, the Department has developed the following plan:

1. TDLR will appoint a HUB Coordinator, who will be the Agency's Purchaser.
2. When applicable, the HUB Coordinator will:
  - ◆ coordinate training programs to recruit HUBs;
  - ◆ report required information to GSC;
  - ◆ match HUBs with key staff within TDLR;
  - ◆ ensure that a good faith effort is made to increase the award of goods and services contracts to HUBs;
  - ◆ meet the Agency goal to include HUBs in at least 35% of the total value of contracts and subcontracts awarded annually;
  - ◆ conduct forums at TDLR with HUB vendors;
  - ◆ design a HUB model after the GSC program; and
  - ◆ sponsor presentations by HUBs.
3. By August 31, 2000, the Texas Commission of Licensing and Regulation will adopt the General Services Commission's (GSC) HUB rules as required by S.B. 178.
4. TDLR will adhere to GSC purchasing procedures and the requirements of the HUB program.
5. TDLR will require all agency offices with purchasing authority to purchase from local HUB vendors when possible.
6. TDLR will require that purchases from HUB vendors be made throughout the ethnic categories, ensuring that all underutilized groups are, if possible, represented in our purchasing practices.
7. TDLR will utilize the GSC HUB directory of approved vendors. All offices will have access to information contained in the current HUB directory.
8. TDLR will participate in minority business fairs and other functions aimed at giving HUB vendors and their goods or services exposure to state agencies.
9. The Director of Administration will continuously monitor purchasing to ensure that Agency goals are met.