

Schedule F

Agency Workforce Plan

I. Overview

The Executive Council of Physical Therapy and Occupational Therapy Examiners (Executive Council or ECPTOTE) is an independent state health regulatory agency, operating under the authority of its enabling legislation, Article 4512e-1, V.T.C.S. The 73rd Legislature, Regular Session, created the Executive Council in 1993 to administer and enforce the Physical Therapy Practice Act and the Occupational Therapy Practice Act. This legislation merged the *administrative functions* of the Texas Board of Physical Therapy Examiners and the Texas Advisory Board of Occupational Therapy under the Executive Council, while keeping the rule and decision-making authority of the two boards intact.

The Executive Council staff employees directly support or carry out the functions of one or both boards. The Executive Council staff is organized into three functional areas - administrative support, licensing, and investigations. The administrative staff supports the activities of the board members and other two staff groups in financial administration, information services, personnel administration, and general administration. The licensing staff responds to the unique needs of the physical therapy and occupational therapy licensee population they support. They are responsible for ensuring quality services for the consumers of Texas by licensing only qualified physical and occupational therapists. While the process of issuing licenses is the predominate activity, approximately 40% of staff time is spent responding to inquiries about the professions through different communications means available in the agency. The three-person investigation staff receives and investigates all complaints against the boards' licensees and works closely with the investigation committees of the two boards.

The ECPTOTE has had 18 authorized full time positions since it became operational in 1993. In 2014 it increased to 19, and is currently 21 (only 20 are funded). It maintained this zero increase staffing usually through reorganizations and leveraging of technology. However, the agency was authorized an additional investigator by the 83rd legislature due to the sharply increasing investigative workload. Up until recently, the agency has always received sufficient funding from the legislature to be fully staffed. ECPTOTE required, requested, and received an additional two positions in the licensing area to manage the ever increasing workload in that area from the 84th legislature.

The agency underwent a Sunset Review in 2016-17, the first since 1993. The outcome was codified in Senate Bill 317, 85th Regular Session. The agency workforce plan was not impacted by changes resulting from the Sunset Review.

A. Agency Mission

The mission of the Executive Council of Physical Therapy and Occupational Therapy Examiners is to protect the health, safety, and welfare of the people of Texas through the regulation and enforcement of the practice of physical therapy and of occupational therapy. All funding for support of the Executive Council comes from fees paid by the licensees.

B. Strategic Goals and Objectives

The ECPTOTE has two main operational goals.

Goal 1	<i>To license Physical and Occupational Therapists</i>
Objective	Ensure license and registration standards for PTs and OTs
Strategies	Issue and renew licenses
	Texas Online. Estimated and Non-transferable
Goal 2	<i>To promote compliance and enforce PT and OT Practice Acts and rules</i>
Objective	Enforce and adjudicate PT and OT Practice Acts
Strategy	Enforce the Physical Therapy and Occupational Therapy Practice Acts

C. Anticipated Changes in Strategies

The Executive Council anticipates four changes that will have an impact on the agency's business processes and indirectly on its workforce. These changes are technology driven which will require a need for employees, especially the administrative support staff, to be trained in areas with which they are now unfamiliar.

Business Trends:

- The supported population, i.e., number of licensees, will continue to annually show a steady, albeit moderate, increase of between 4% and 6%.
- The agency has recently replaced its licensee database program, which is more robust and sufficient to its needs for an extended period of time, based on its capabilities and future estimated database size increase.
- The steady increase in the number of on hand paper files and documents is slowly driving the agency to a completely paperless, imaging system of file storage. While the agency is now storing records both physically and digitally, the complete conversions to digital only file storage is still several years away.
- An increasing dependence on the agencies web site for interactive transactions with customers will require greater technology funding, a more frequently modified and more sophisticated website, and increased knowledge in web design and maintenance skills.

The Executive Council is focusing on workforce planning issues that will address the most critical areas in the agency. They include a greater emphasis on training of employees in technology-related skills, and an effort to hire and retain highly skilled (and motivated)

personnel. Lack of funding for training and adequate salaries for employee retention is the greatest challenge to accomplishing this.

II. Current Workforce Profile (Supply Analysis)

A. Critical Workforce Skills

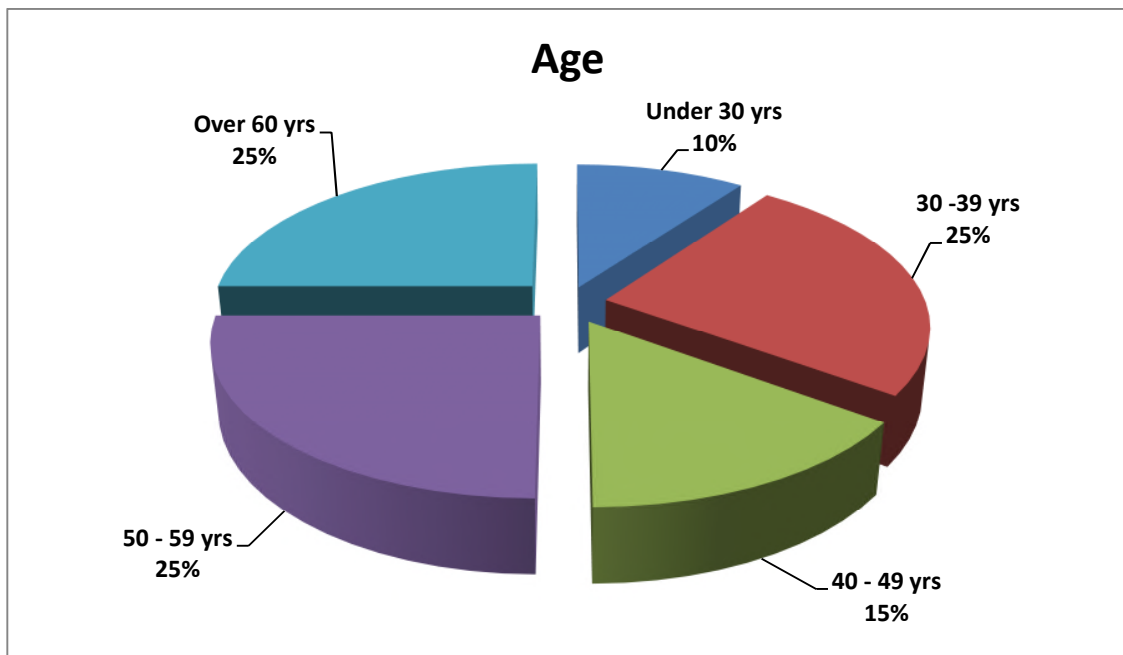
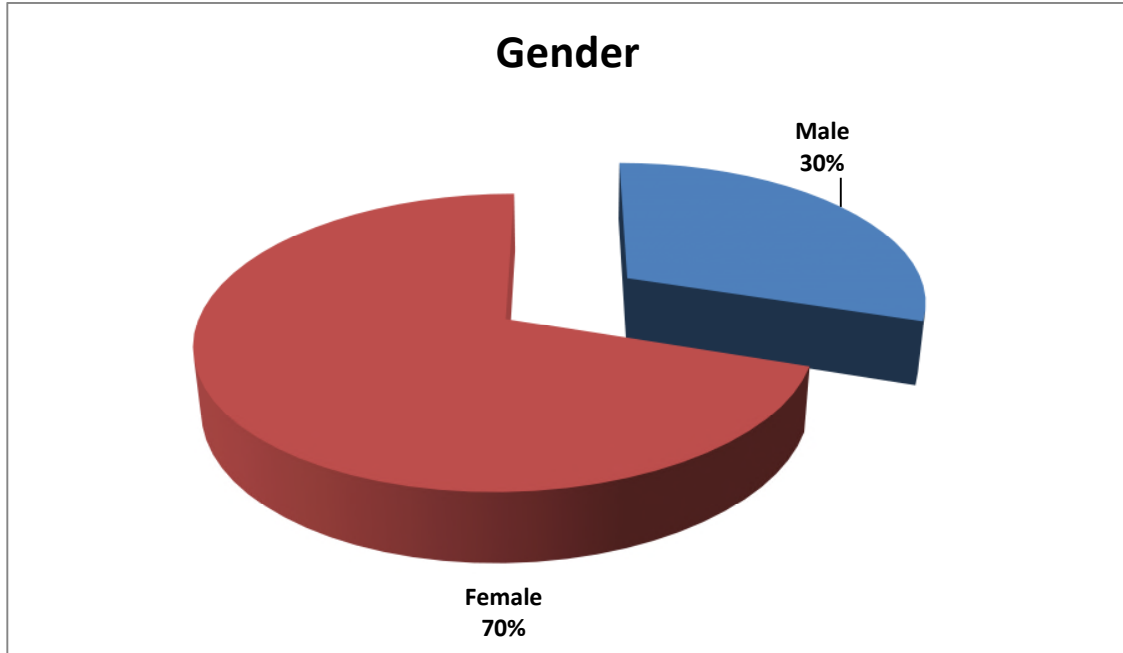
Although the agency has many strong, qualified employees, there are several critical skills that are critical to the agency's ability to operate. Without these skills, the Executive Council could not perform basic business functions or support the two licensing boards. The skills are listed below:

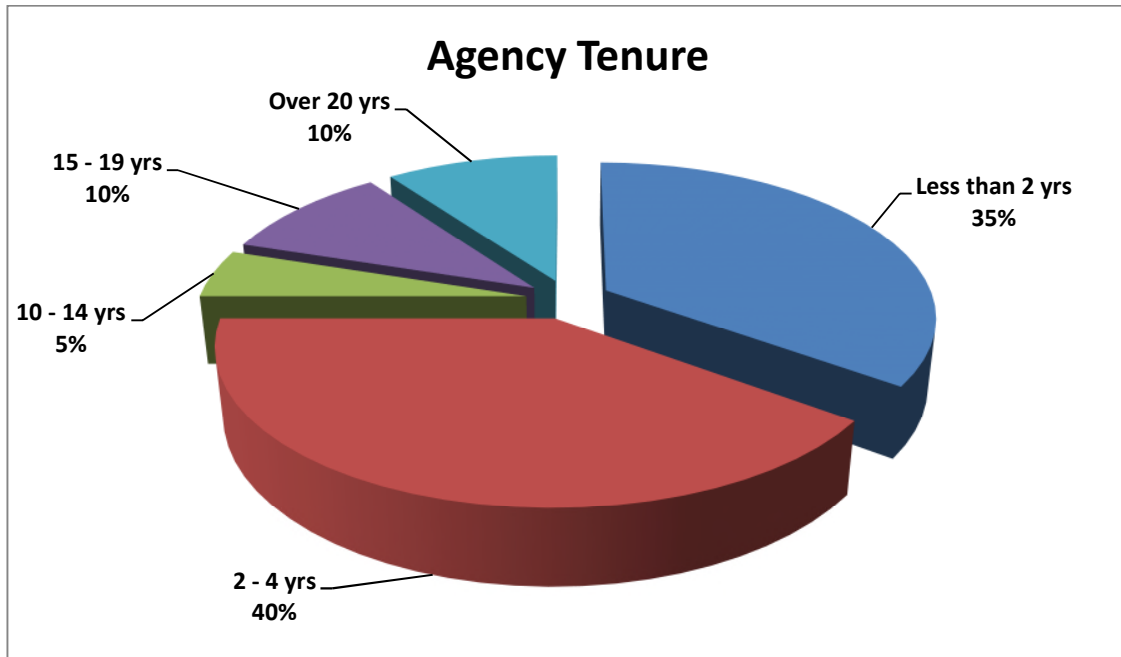
- Conducting Investigations
- Interpreting Rules/Regulations
- Effective Communications
- Customer Service
- Project Management
- Licensing Functions

B. Workforce Demographics

The following charts profile the agency's workforce as of 5/31/18. The Executive Council's workforce is comprised of 6 males and 14 females. 75 percent of the employees are greater than 40 years old, indicating a mature workforce. 75 percent of agency employees have less than five years agency service, and most employees also have prior service at other state agencies. The average state service for agency employees is over 9 years. This statistic is expected to increase in the short term (5-10 years).

Workforce Breakouts





The following tables compare the percentage of African American, Hispanic and Female ECPTOTE employees (as of 5/31/18) to the statewide civilian workforce as reported by the Texas Workforce Commission. The Executive Council generally is comparable to or better than the statewide workforce statistics, considering the small population size of the agency.

Equal Employment Opportunity Statistics

1. Officials / Administration

Year	Total Number of Positions	Percent African-American	Statewide Civilian Workforce Percent	Percent Hispanic	Statewide Civilian Workforce Percent	Percent Female	Statewide Civilian Workforce Percent
2018	6	16.67%	7.12%	0%	20.90%	33.33%	37.48%

Table 1 Exhibit 18 EEO Statistics for Officials/Administration

2. Professional / Para-Professional

Year	Total Number of Positions	Percent African-American	Statewide Civilian Workforce Percent	Percent Hispanic	Statewide Civilian Workforce Percent	Percent Female	Statewide Civilian Workforce Percent
2018	1	100%	10.96%	0%	18.55%	0%	54.88%

Table 2 Exhibit 18 EEO Statistics for Professionals

3. Technical

Year	Total Number of Positions	Percent African-American	Statewide Civilian Workforce Percent	Percent Hispanic	Statewide Civilian Workforce Percent	Percent Female	Statewide Civilian Workforce Percent
2018	0	0%	13.75%	0%	28.82%	0%	51.31%

Table 3 Exhibit 18 EEO Statistics for Technical

4. Administrative Support

Year	Total Number of Positions	Percent African-American	Statewide Civilian Workforce Percent	Percent Hispanic	Statewide Civilian Workforce Percent	Percent Female	Statewide Civilian Workforce Percent
2018	13	15.38%	13.58%	53.85%	33%	92.31%	72.80%

Table 4 Exhibit 18 EEO Statistics for Administrative Support

5. Service / Maintenance Non Applicable

Year	Total Number of Positions	Percent African-American	Statewide Civilian Workforce Percent	Percent Hispanic	Statewide Civilian Workforce Percent	Percent Female	Statewide Civilian Workforce Percent
2018	0	0%	12.22%	0%	53.71%	0%	51.35%

Table 5 Exhibit 18 EEO Statistics for Service and Maintenance

6. Skilled Craft Non Applicable

Year	Total Number of Positions	Percent African-American	Statewide Civilian Workforce Percent	Percent Hispanic	Statewide Civilian Workforce Percent	Percent Female	Statewide Civilian Workforce Percent
2018	0	0%	9.52%	0%	49.26%	0%	11.13%

C. Employee Turnover

Turnover is an important issue in any organization, and the Executive Council is no exception. During the last ten years the agency has seen a gradual decrease in its turnover rate from a high of 27.8% (6 employees) in FY2001 to one or two each year over the past ten years. The overall average in the past ten fiscal years has been significantly less than the State average. However, to date in the current FY, there has been 1 departure for a higher paying state agency position. Two employees are also expected to retire in FY2019. One other employee is eligible, but is not expected to retire until beyond 2020. Obviously, the longevity of some employees, a lack of funds to provide merit raises and lack of promotion potential in a small organization such as the ECPTOTE are the primary reasons for departure.

D. Retirement Eligibility

The Executive Council anticipates a potential two retirements during the upcoming biennium. Four employees are eligible for normal retirement now, and 6 employees are vested (10 years or more of service). Two employees are expected to leave the agency through retirement in 2019. Knowing about these vacancies so far in advance allows the agency to plan for a changeover with a minimum of disruption to agency operations.

III. Future Workforce Profile (Demand Analysis)

The increasing dependency on technology and the increased expectations of the public on the level of services the agency should provide have forced the ECPTOTE to constantly revise and update its business processes, with frequent injections of information technology. This is expected to continue, and will have an impact on the skill levels required of all occupational groups.

A. Critical Functions

- Increased Information Technology training

B. Expected Workforce Changes

- Increased abilities to use technology to assist in revising and streamlining work processes
- Employees increase cross-training in functional areas

C. Anticipated Increase/Decrease in Number of Employees Needed to Do the Work

- There are no additional positions anticipated in at least the next biennium as the current and expected workload will be within the capabilities of the current staff. However, a continued shifting of FTE positions within the agency might be necessary to meet changing demands.

D. Future Workforce Skills Needed

For the Executive Council to keep pace with tomorrow's requirements for service, its professional employees will have to master to different degrees the following critical IT competencies and not continue to depend on outside contractor support without understanding what is being performed:

- Information Systems
- 3rd Level Database System Programming
- Hardware Maintenance
- Network Administration
- Web Page Development & Maintenance
- Purchase of IT equipment and user software
- Technology Strategic Planning
- Project Management

Administration employees will need to improve their skills in the following areas:

- 2nd and 3rd Level software courses, possibly at the university level
- Business Systems analysis and design

IV. Gap Analysis

A. Anticipated Surplus or Shortage of Workers or Skills

After analyzing the workforce situation, The Executive Council has determined that there is one gap between the agency's workforce supply and demand that must be addressed.

Current employees lack critical skills

- Leadership positions are not trained in Business Process re-engineering.
- Lack of information technology workers with strong computer skills has slowed the process of automating licensing and investigation processes, and resulted in greater dependency on support from outside the agency for direct support, database maintenance, and web page design and maintenance.

Internal candidates are having difficulty competing for higher positions at the Officials/Admin level because of limited job experience and education. These positions must be primarily hired from outside the organization.

An analysis of the Executive Council's employee skill level and expectations of which skills would become greater priorities over the next five years is below. These skills were rated on a scale from 1-4 to determine the current proficiency level and the desired proficiency levels. Areas shaded the darkest show the greatest gap for a particular skill and occupational group, the lighter shaded Gap areas indicate potential problem areas, and the non-shaded areas indicate little or no existing gaps expected.

Skill	Officials/Admin			Professional			Admin Support		
	Have	Need	Gap	Have	Need	Gap	Have	Need	Gap
Communication	3	4	1	2	3	1	2	3	1
Database & Technology Areas	2	3	1	2	3	1	2	3	1
Problem Solving	3	3	0	3	3	0	2	2	0
Computer Skills	2	3	1	2	4	2	1	3	2
Project Management	3	4	1	1	2	1	0	0	0
Business Process Re-engineering	2	4	2	1	2	1	0	0	0
Technical Expertise	3	4	1	4	4	0	2	2	0
Decision Making	3	3	0	2	3	1	2	2	0
Customer Service	3	3	0	3	3	0	4	3	0

Legend

Have = Average competency level for incumbents of targeted job categories

Need = Average competency levels needed for future employees in targeted categories

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

0 = No knowledge

1 = Minimal knowledge; familiarity with skill

2 = Working knowledge, proficiency in skill

3 = Professional level, mastery of skill,

4 = Acknowledged expert in skill, able to mentors and trains other employees

V. Strategy Development

To address the deficits between the current workforce and future requirements, the Executive Council has developed goals for the current workforce plan. These are based on a range of factors identified through analyzing the agency and its workforce. The Executive Council's future workforce requirements can be grouped into two key areas.

Gap	<ul style="list-style-type: none"> <i>Current employees lack critical skills.</i>
Goal	Develop a competent, well-trained workforce skilled in technology.
Rationale	The training and development of current employees is critical to the success of the agency. The Executive Council must analyze existing staff to determine which employees demonstrate the potential or interest to develop new competencies and assume higher level positions. In addition, the Executive Council needs to prioritize critical competencies and decide if there is enough time to develop staff internally for potential vacancies, or if targeted recruiting is adequate.
Action Steps	<ul style="list-style-type: none"> Identify new skill sets required as a result of program changes or technological advancements by September 2019. Actively pursue external training opportunities and programs to include those addressing technology changes. (dependent upon available funds) Implement mentoring programs matching seasoned employees with new employees. Whenever possible, try to develop management internally by always trying to place lower level staff on development paths to prepare them to move into jobs with higher level skill requirements. Conduct an assessment of the level of risk facing the agency regarding the potential loss of knowledge at each position. Develop strategies to ensure that knowledge is retained by promoting the transfer of knowledge as a corporate value.

Gap	<ul style="list-style-type: none"> • <i>ECPTOTE cannot attract and retain the right employees for the job.</i>
Goal	Become an employer of choice.
Rationale	Finding and developing a workforce is a major challenge, and should be recognized as a major priority of the agency. If the agency is to recruit and retain the right workers in the right jobs at the right time, the ECPTOTE must recognize there is a competitive market for good workers and take the appropriate actions to obtain them and retain them. The agency will focus on rewarding exceptional performance, providing a structured approach to staff development, and creating a culture that supports innovation and excellence.
Action Steps	<p>Develop and implement pay for performance plan (merits when, and only when deserved and funds available).</p> <p>Utilize pay incentives, where appropriate, to attract and retain staff.</p> <p>Adjust salaries within assigned pay ranges for employees in positions that are critical functions. Accept higher turnover rates in less skilled positions.</p> <p>Create programs that allow employees who are seeking new challenges to work on special projects, rotations, and/or developmental assignments; e.g. cross-training in other areas through reassignment.</p> <p>Remove employees who cannot or will not meet the standards of their jobs.</p>

Attachment 1: Workforce Summary Document Prepared by State Auditor's Office**533 - Executive Council Physical Therapy and Occupational Therapy Examiners**

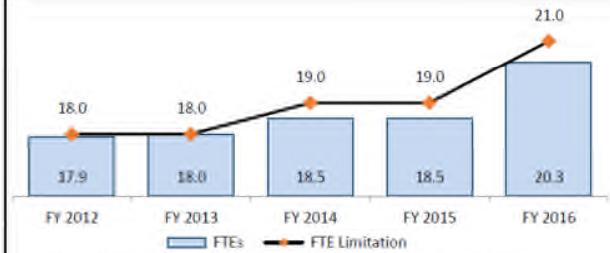
Workforce Summary Document prepared by the State Auditor's Office.
Based on information self-reported by the agency, the following items are worth noting.

Full-Time Equivalent (FTE) Employees

The agency's full-time equivalent (FTE) employee limitation increased by 10.5 percent to 21.0 FTEs in fiscal year 2016 compared to fiscal year 2015. Compared to fiscal year 2012, the agency saw an increase of 2.4 (13.4 percent) in the total number of FTEs.

FTEs Below/Above FTE Limitation

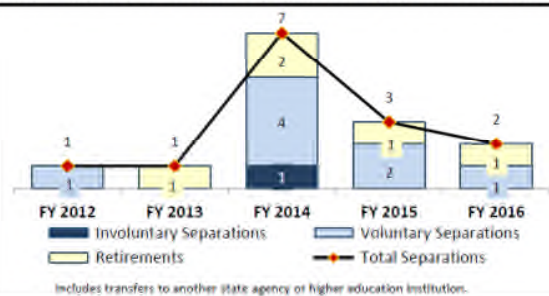
	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
FTE Limitation	18.0	18.0	19.0	19.0	21.0
Number Below or Above Limitation	-0.1	0.0	-0.5	-0.5	-0.7
Percent Above or Below Limitation	-0.6%	0.0%	-2.6%	-2.6%	-3.3%



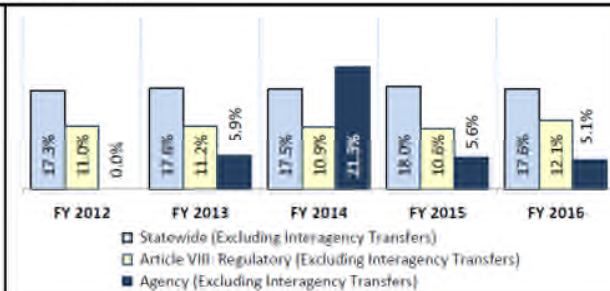
Source: State Auditor's Office Full-time Equivalent State Employee System.

Employee Turnover *

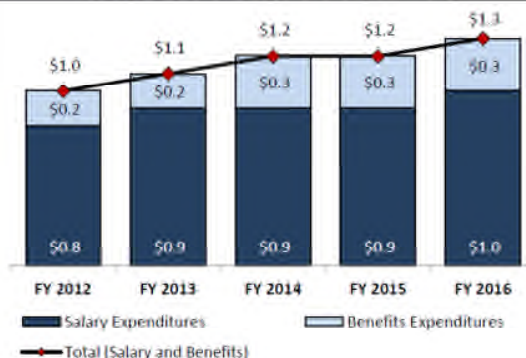
Excluding interagency transfers, the turnover rate within the agency (5.1 percent) was lower than the statewide turnover rate (17.6 percent) and lower than the turnover rate of Article VIII agencies (12.1 percent) during fiscal year 2016. The fiscal year 2016 agency turnover rate including employees who transferred to another state agency or higher education institution was 10.1 percent.



Includes transfers to another state agency or higher education institution.

**Compensation Information ***

The average agency salary in fiscal year 2016 of \$47,271 represented an increase of 9.5 percent compared to the average agency salary in fiscal year 2012. In fiscal year 2016, 50.6 percent of employees were paid below the midpoint of the salary range in which they were assigned; and total agency expenditures for salary and benefits were higher compared to fiscal year 2012.

Salary and Benefits Expenditures (in Millions)**Average Salary Trends**

	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
Executive Director	\$ 70,000	\$ 70,000	\$ 70,000	\$ 70,000	\$ 93,524
Agency Average	\$ 43,188	\$ 43,483	\$ 42,827	\$ 44,000	\$ 47,271
Article Average	\$ 51,717	\$ 52,093	\$ 53,839	\$ 55,826	\$ 58,297
Statewide Average	\$ 40,160	\$ 40,398	\$ 42,116	\$ 43,255	\$ 45,365

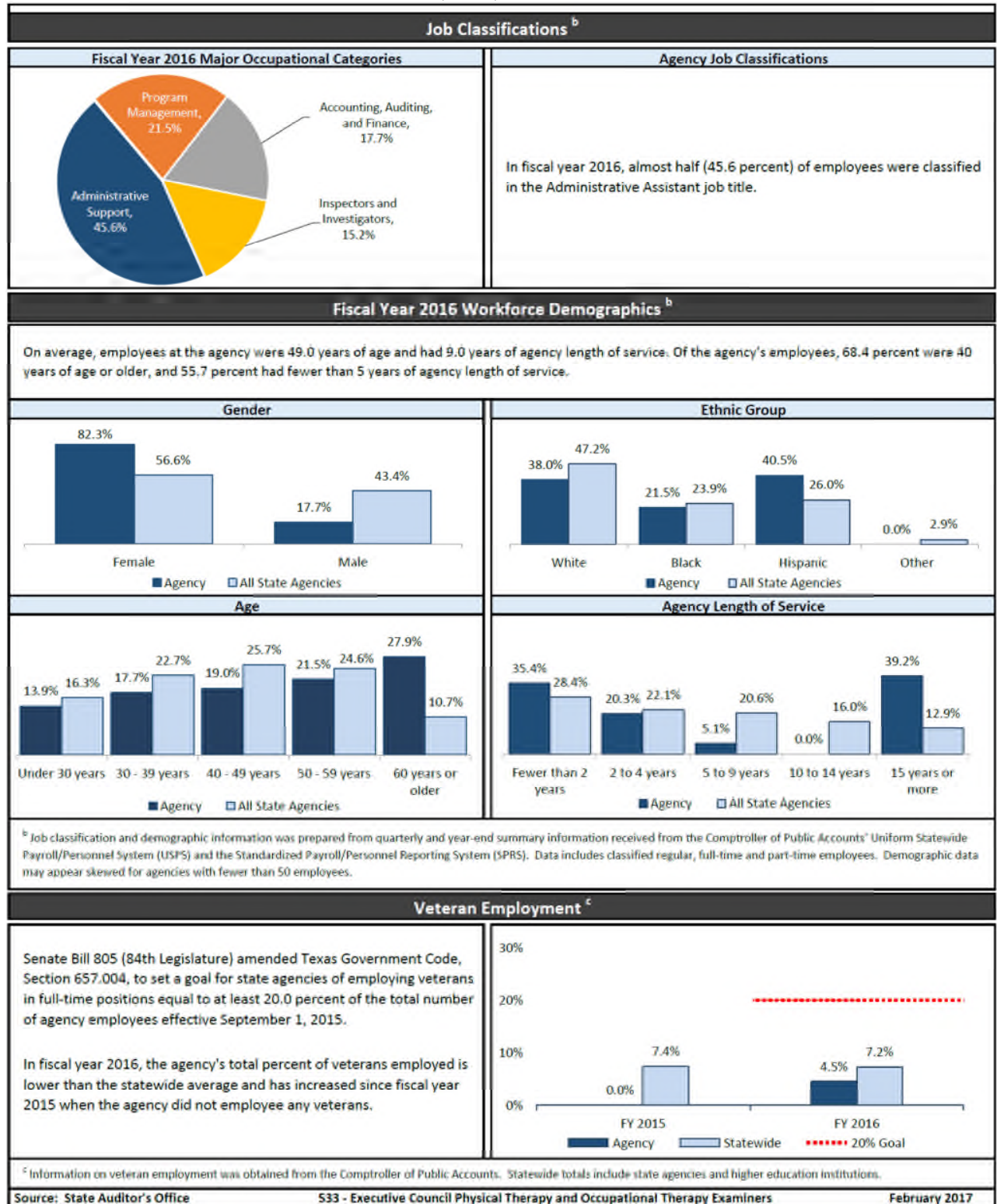
Note: With the exception of the executive director, the average salary is for classified regular, full-time employees only.

Number of and Total Dollars Spent on Salary Actions

	Fiscal Year 2015		Fiscal Year 2016	
	Actions	Dollars Spent	Actions	Dollars Spent
Promotions	3	\$ 35,975	4	\$ 10,495
Merits	4	\$ 4,022	14	\$ 41,574
One-Time Merits	0	\$ 0	0	\$ 0
Equity Adjustments	0	\$ 0	0	\$ 0
Reclassifications	3	\$ 2,334	1	\$ 0
Totals	10	\$ 42,331	19	\$ 52,069

* Turnover, salary trends, and salary action information was prepared from quarterly and year-end summary information received from the Comptroller of Public Accounts' Uniform Statewide Payroll/Personnel System (USPS) and the Standardized Payroll/Personnel Reporting System (SPRS). Unless otherwise indicated, these data are reported for classified regular, full-time and part-time employees. Salary and benefit information was taken from the Uniform Statewide Accounting System of Texas.

**Attachment 1: Workforce Summary Document Prepared by State Auditor's Office
(cont.)**



Appendix 1 to Schedule F - Survey of Employee Engagement

85%



Down 5%

Response Rate

The response rate to the survey is your first indication of the level of employee engagement in your organization. Of the 20 employees invited to take the survey, 17 responded for a response rate of 85%. As a general rule, rates higher than 50% suggest soundness, while rates lower than 30% may indicate problems. At 85%, your response rate is considered high. High rates mean that employees have an investment in the organization and are willing to contribute towards making improvements within the workplace. With this level of engagement, employees have high expectations from leadership to act upon the survey results.

Overall Score

The overall score is a broad indicator for comparison purposes with other entities. Scores above 350 are desirable, and when scores dip below 300, there should be cause for concern. Scores above 400 are the product of a highly engaged workforce. **Your Overall Score from last time was 379.**



Overall Score: 434



*Combined for groups with less than 20 respondents.

Levels of Employee Engagement

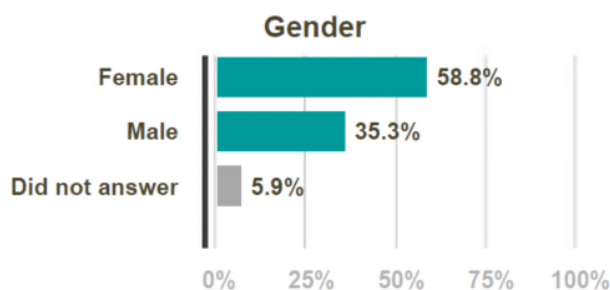
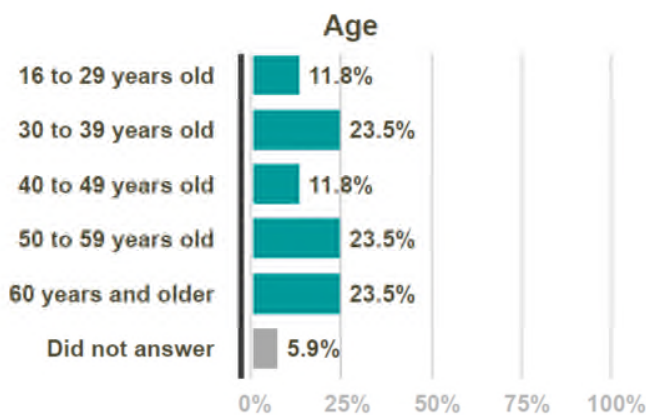
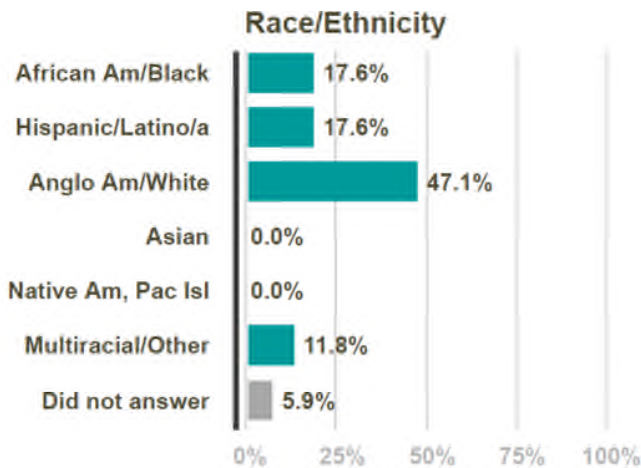
Twelve items crossing several survey constructs have been selected to assess the level of engagement among individual employees. For this organization, 47% of employees are Highly Engaged and 35% are Engaged. Moderately Engaged and Disengaged combine for 18%.

Highly Engaged employees are willing to go above and beyond in their employment. Engaged employees are more present in the workplace and show an effort to help out. Moderately Engaged employees are physically present, but put minimal effort towards accomplishing the job. Disengaged employees are disinterested in their jobs and may be actively working against their coworkers.

For comparison purposes, according to nationwide polling data, about 30% of employees are Highly Engaged or Engaged, 50% are Moderately Engaged, and 20% are Disengaged. While these numbers may seem intimidating, they offer a starting point for discussions on how to further engage employees. Focus on building trust, encouraging the expression of ideas, and providing employees with the resources, guidance, and training they need to do their best work.

People

Examining demographic data is an important aspect of determining the level of consensus and shared viewpoints across the organization. A diverse workforce helps ensure that different ideas are understood, and that those served see the organization as representative of the community. Gender, race/ethnicity, and age are just a few ways to measure diversity. While percentages can vary among different organizations, extreme imbalances should be a cause for concern.



YEARS OF SERVICE With this Organization



35% New Hires (0-2 years)
29% Experienced (3-10 years)
35% Very Experienced (11+ years)
0% Did Not Answer

Each figure represents 1 employee.

FOCUS FORWARD >>>

29% CAN RETIRE

This percentage of respondents indicated that they are eligible for retirement, or will be within the next two years.

Constructs

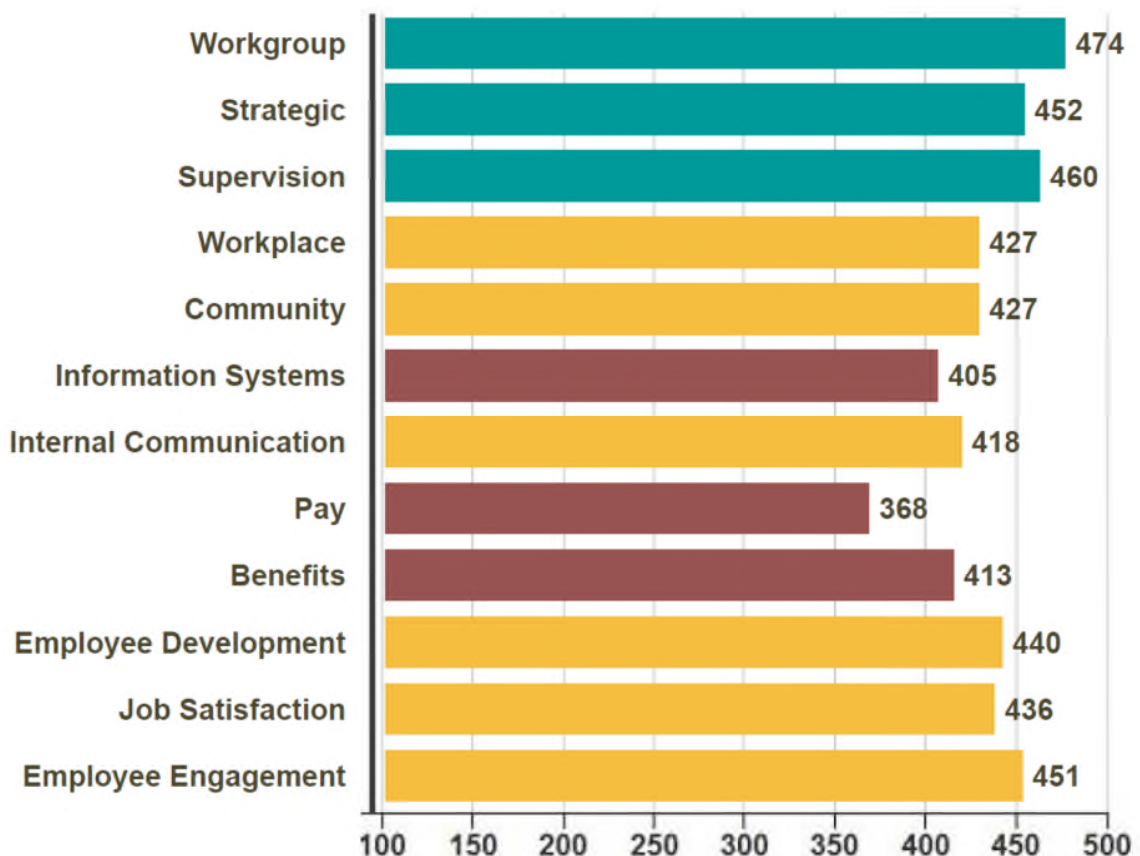
Similar items are grouped together and their scores are averaged and multiplied by 100 to produce 12 construct measures. These constructs capture the concepts most utilized by leadership and drive organizational performance and engagement.

Each construct is displayed below with its corresponding score. Constructs have been coded below to highlight the organization's areas of strength and concern. The three highest are green, the three lowest are red, and all others are yellow. Scores typically range from 300 to 400, and 350 is a tipping point between positive and negative perceptions. The lowest score for a construct is 100, while the highest is 500.

FOCUS FORWARD >>>


Every organization faces different challenges depending on working conditions, resources, and job characteristics. On the next page, we highlight the constructs that are relative strengths and concerns for your organization. While it is important to examine areas of concern, this is also an opportunity to recognize and celebrate areas that employees have judged to be strengths. All organizations start in a different place, and there is always room for improvement within each area.

Constructs




Areas of Strength and Concern


Areas of Strength

**Workgroup****Score: 474**

The workgroup construct captures employees' perceptions of the people they work with on a daily basis and their effectiveness. Higher scores suggest that employees view their workgroup as effective, cohesive and open to the opinions of all members.


**Supervision****Score: 460**

The supervision construct captures employees' perceptions of the nature of supervisory relationships within the organization. Higher scores suggest that employees view their supervisors as fair, helpful and critical to the flow of work.


**Strategic****Score: 452**

The strategic construct captures employees' perceptions of their role in the organization and the organization's mission, vision, and strategic plan. Higher scores suggest that employees understand their role in the organization and consider the organization's reputation to be positive.


Areas of Concern

**Pay****Score: 368**

The pay construct captures employees' perceptions about how well the compensation package offered by the organization holds up when compared to similar jobs in other organizations. Lower scores suggest that pay is a central concern or reason for discontent and is not comparable to similar organizations.



**Information Systems****Score: 405**

The information systems construct captures employees' perceptions of whether computer and communication systems provide accessible, accurate, and clear information. The lower the score, the more likely employees are frustrated with their ability to secure needed information through current systems.

**Benefits****Score: 413**

The benefits construct captures employees' perceptions about how the benefits package compares to packages at similar organizations and how flexible it is. Lower scores suggest that employees perceive benefits as less than needed or unfair in comparison to similar jobs in the community.

Climate

<p>0.0%</p> <p>feel they are not treated fairly in the workplace.</p> <p>Favoritism can negatively affect morale and cause resentment among employees. When possible, ensure responsibilities and opportunities are being shared evenly and appropriately.</p>	<p>0.0%</p> <p>feel that upper management should communicate better.</p> <p>Upper management should make efforts to be visible and accessible, as well as utilize intranet/internet sites, email, and social media as appropriate to keep employees informed.</p>	<p>Highest Level of Disagreement</p> 
<p>0.0%</p> <p>feel there aren't enough opportunities to give supervisor feedback.</p> <p>Leadership skills should be evaluated and sharpened on a regular basis. Consider implementing 360 Degree Leadership Evaluations so supervisors can get feedback from their boss, peers, and direct reports.</p>	<p>0.0%</p> <p>believe the information from this survey will go unused.</p> <p>Conducting the survey creates momentum and interest in organizational improvement, so it's critical that leadership acts upon the data and keeps employees informed of changes as they occur.</p>	
<p>0.0%</p> <p>feel there are issues with ethics in the workplace.</p> <p>An ethical climate is the foundation of building trust within an organization. Reinforce the importance of ethical behavior to employees, and ensure there are appropriate channels to handle ethical violations.</p>	<p>0.0%</p> <p>feel workplace harassment is not adequately addressed.</p> <p>While no amount of harassment is desirable within an organization, percentages above 5% would benefit from a serious look at workplace culture and the policies for dealing with harassment.</p>	<p>Lowest Level of Disagreement</p> 