

Strategy 03-01-01: Historically Underutilized Businesses

Implement procedures for increasing the use of HUBs for contracts and purchases.

Output Measures:

- Number of HUB purchases and contracts awarded.
- Dollar value of HUB purchases and awarded contracts.

Schedule D

Statewide Capital Plan (not applicable)

Schedule E

Health and Human Services Strategic Plan (not applicable)

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 20. The agency maintained its staffing levels usually through reorganizations and leveraging of technology.

The agency's last Sunset Review was in 2016-17, the first since 1993. The outcome was codified in Senate Bill 317, 85th Regular Session.

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 two 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 to be cross-trained and receive technology training.

Business Trends:

- The supported population, i.e., number of licensees, will continue to annually show a steady, but moderate, increase of between 4% and 6%.
- 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.

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.

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:

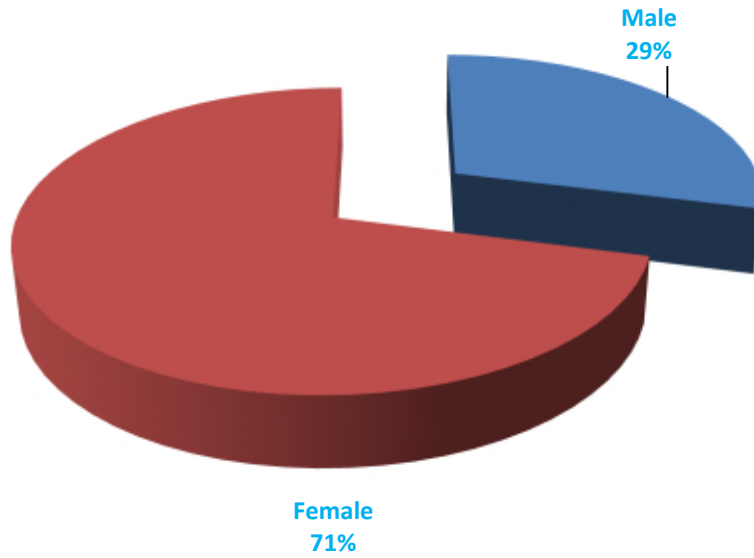
- Conducting Investigations
- Interpreting Rules/Regulations
- Effective Communications
- Customer Service
- Project Management
- Licensing Functions

B. Workforce Demographics

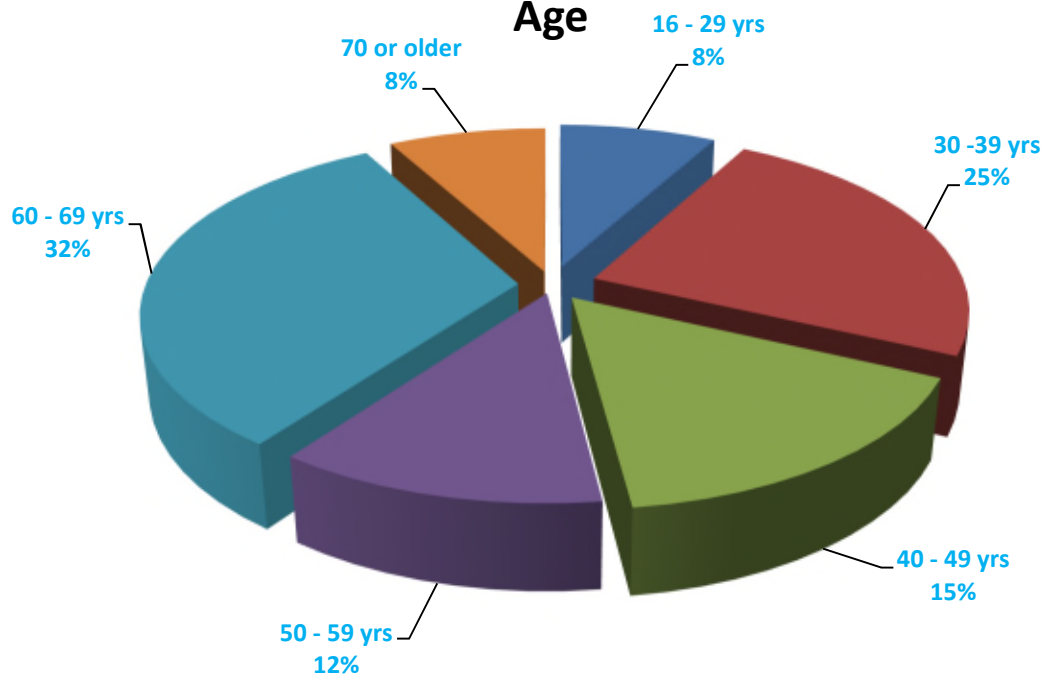
The following charts profile the agency's workforce as of 8/31/19. The Executive Council's workforce is comprised of 6 males and 15 females. 57 percent of the employees are greater than 40 years old. 42 percent of agency employees have less than five years agency service, and most employees have prior service at other state agencies. The average state service for agency employees is 10 years.

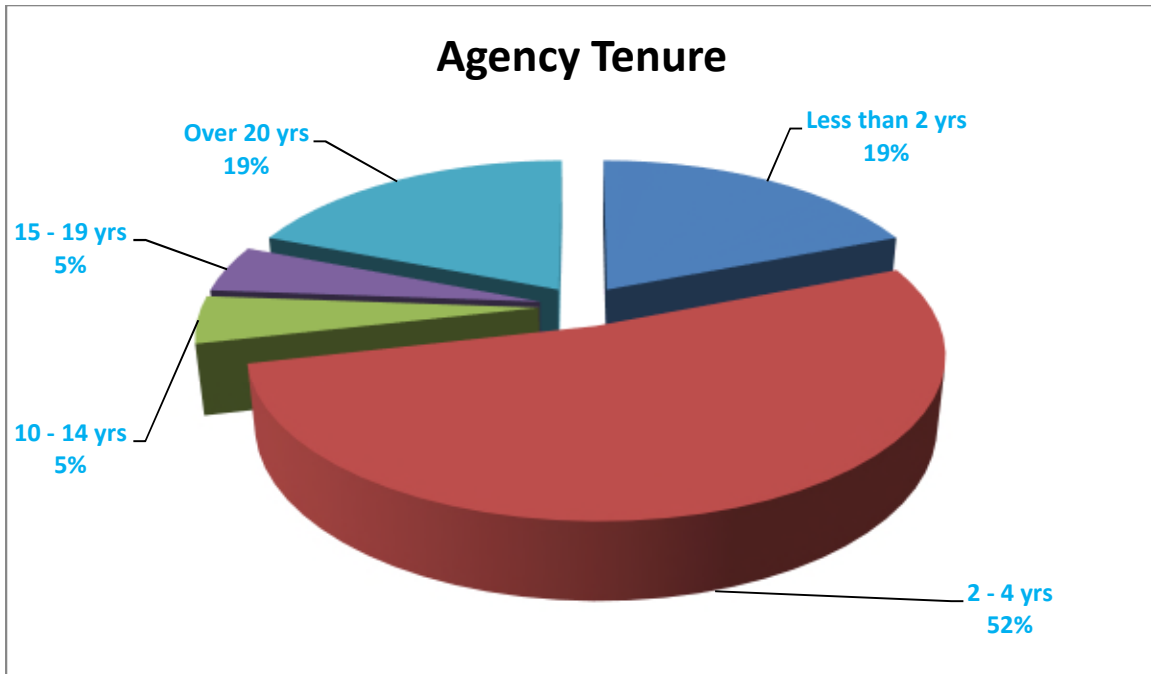
Workforce Breakouts

Gender



Age





C. Employee Turnover

Turnover is an important issue in any organization, and the Executive Council is no exception. During the last 6 years, the agency has seen a gradual decrease in its turnover rate from a high of 21.3% (7 employees) in FY2014. The overall average in the past 5 fiscal years has been significantly less than the State average. However, to date in the current fiscal year (FY20), there has been one departure for a higher paying state agency position. Two employees also retire in FY2019. 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

Two employees are eligible for normal retirement now, and 5 employees are vested (10 years or more of service).

III. Future Workforce Profile (Demand Analysis)

To continue to meet the agencies workload, the agency must prepare and plan for changes in staff and management, and increase the use of technology throughout the agency. This will be accomplished with training and documented procedures. The most significant challenge is to build and retain capable staff who can move into senior level and management positions within the agency. This effort will require the agency to attract and retain technically proficient staff; provide ongoing training, and the current staff to adapt to a more technical environment. It will also be important that current and future workforce additions possess the ability to set goals, be self-directed, and the ability to take ownership of responsibilities within agency guidelines.

A. Critical Functions

- Implementation of CAPPs Financials will change the way the ECPTOTE perform and manage the organizations in accounts payable, asset management, general ledger/commitment control, and purchasing.

B. Expected Workforce Changes

- Ongoing and progressive technological advancements to modernize to and streamline work processes will change the way many job functions are performed.
- Employees cross-trained in functional areas

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

- Budget reductions due to Covid-19 will cause the agency to reduce its FTE's during the 2020 – 2021 biennium and possibly future biennium. The budget cuts will require the agency to create vacancies or not fill vacancies that develop. Reductions could jeopardize the agency's ability to continue to meet its objectives and responsibilities. Currently, all staff work directly on critical functions.
- A continued shifting of FTE positions within the agency will be necessary to meet changing demands.

D. Future Workforce Skills Needed

ECPTOTE relies on a competent and knowledgeable staff. In addition to the critical competencies listed before, these are additional ones essential for the ECPTOTE to maintain in its staff in the future:

- Ability to set goals,
- Self-directed
- Ability to take ownership of responsibilities within agency guidelines

IV. Gap Analysis

Similar to many other small state agencies, recruitment and retention of staff is frequently a challenge primarily due to uncompetitive salary levels. The high cost of living in the Austin metro often results in current and future hiring of individuals that reside in excess of 30 miles from our headquarters in downtown Austin. This in turn results in excessive commutes that affect employee morale, do to construction and congested roadways that exemplify Austin. The telecommuting ramification of Covid-19 on ECPTOTE has created a new normal. Currently all critical job duties cannot be completed remotely.

V. Strategy Development

To address the deficits between the current workforce and future requirements, the agency has developed goals for the current workforce plan. These are based on a range of factors identified through analyzing the agency and its workforce.

Gap

- Recruitment and retention of staff who possess the needed skills that are critical to the agency's ability to operate.

Goal

- Develop a competent, well-trained workforce.

Rationale

The training and development of current employees is critical to the success of the agency. The agency 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 agency 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

- Identify training opportunities that reinforce the critical workforce skills critical to the agency.
- 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.
- Implement the education and training policy to promote employee education and self-improvement.

Gap

- Cannot attract and retain the right employees for the job.

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 agency 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

- Develop and implement pay for performance plan (merits when, and only when deserved and funds available).
- 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.
- Develop succession plans for all positions to ensure that knowledge is retained.

Gap

- Cannot telecommute from all critical job position.

Goal

- Effectively utilize telecommuting

Rationale

Telecommuting is an important component of the agency's continuity of operations plan. To efficiently deliver service to Texans during the current pandemic and future emergencies, effectively utilizing telecommuting will be necessary. The agency needs to prioritize cybersecurity while utilizing telecommuting.

Action Steps

- Identify position capable of tele commuting now and in the future and update the telecommuting policies and procedures
- Continue to move toward a paperless environment
- Utilization of video conferencing to conduct agency business

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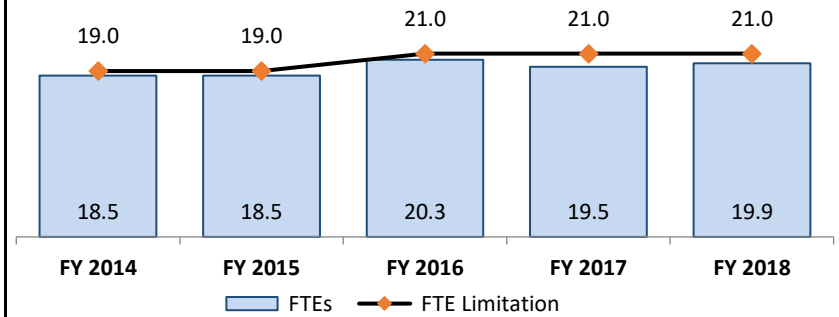
Workforce Summary Document prepared by the State Auditor's Office.
Based on information **self-reported** by the agency, the following items are noteworthy.

Full-Time Equivalent (FTE) Employees

The agency's full-time equivalent (FTE) employee limitation remained the same in fiscal year 2018 compared to fiscal year 2017. Compared to fiscal year 2014, the agency had an increase of 1.4 (7.6 percent) in the total number of FTEs.

FTEs Below/Above FTE Limitation

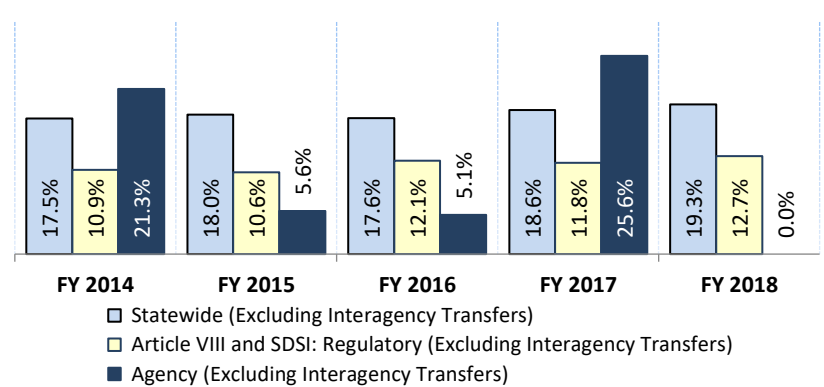
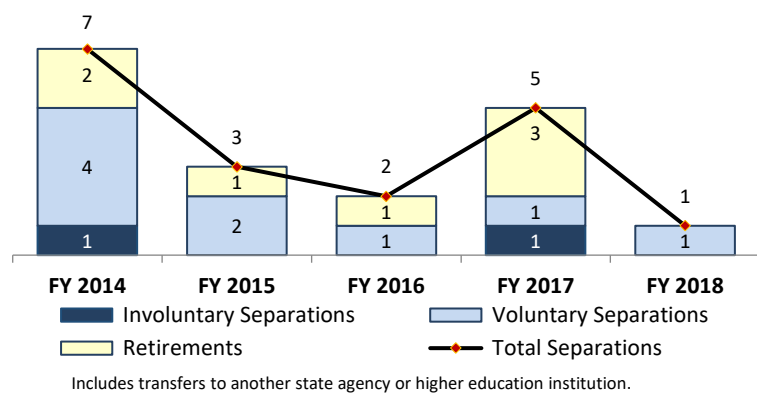
	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
FTE Limitation	19.0	19.0	21.0	21.0	21.0
Number Below or Above Limitation	-0.5	-0.5	-0.7	-1.5	-1.1
Percent Above or Below Limitation	-2.6%	-2.6%	-3.3%	-7.1%	-5.2%



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

Employee Turnover ^a

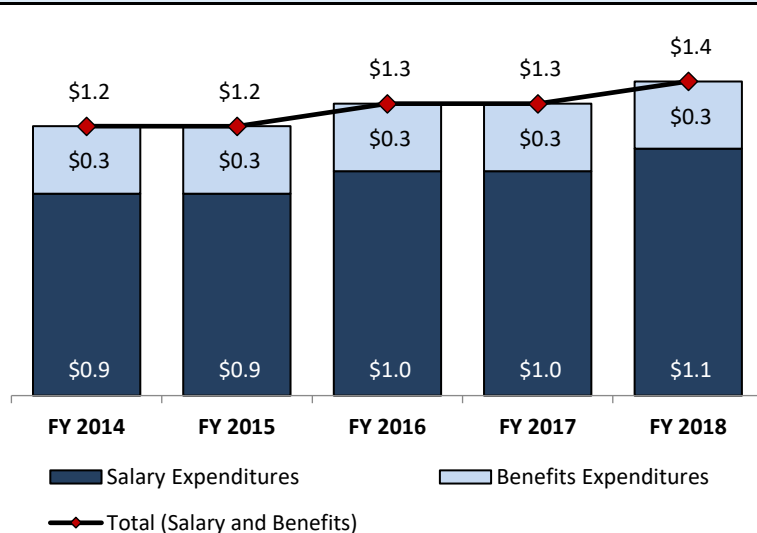
Excluding interagency transfers, the turnover rate within the agency (0.0 percent) was lower than the statewide turnover rate (19.3 percent) and lower than the turnover rate of Article VIII and Self-Directed, Semi-Independent (SDSI) agencies (12.7 percent) during fiscal year 2018. The fiscal year 2018 agency turnover rate including employees who transferred to another state agency or higher education institution was 5.3 percent.



Compensation Information ^a

The average agency salary of \$48,105 in fiscal year 2018 represented an increase of 12.3 percent compared to the average agency salary in fiscal year 2014. In fiscal year 2018, 68.4 percent of employees were paid below the midpoint of the salary range in which they were assigned. Total agency expenditures for salary and benefits were higher compared to fiscal year 2014.

Salary and Benefits Expenditures (in Millions)



Average Salary Trends

	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018
Executive Director	\$ 70,000	\$ 70,000	\$ 93,524	\$ 93,524	\$ 104,990
Agency Average	\$ 42,827	\$ 44,000	\$ 47,271	\$ 48,524	\$ 48,105
Article Average	\$ 53,839	\$ 55,826	\$ 58,297	\$ 59,285	\$ 60,376
Statewide Average	\$ 42,116	\$ 43,255	\$ 45,365	\$ 46,475	\$ 47,506

Note: With the exception of the executive director, the average salary is for classified regular, full-time employees only. Article salary average includes Article VIII and SDSI agencies.

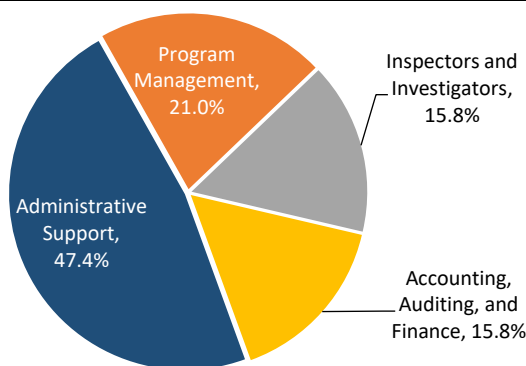
Number of and Total Dollars Spent on Salary Actions

	Fiscal Year 2017		Fiscal Year 2018	
	Actions	Dollars Spent	Actions	Dollars Spent
Promotions	4	\$ 31,159	1	\$ 153
Merits	11	\$ 21,622	0	\$ 0
One-Time Merits	13	\$ 20,400	17	\$ 28,500
Equity Adjustments	0	\$ 0	0	\$ 0
Reclassifications	0	\$ 0	0	\$ 0
Totals	28	\$ 73,181	18	\$ 28,653

^a Turnover, salary trends, and salary action information was prepared from quarterly and year-end summary information received from the Office of the Comptroller of Public Accounts' Uniform Statewide Payroll/Personnel System (USPS) and 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 Office of the Comptroller of Public Accounts' Uniform Statewide Accounting System (USAS).

Job Classifications^b

Fiscal Year 2018 Major Occupational Categories



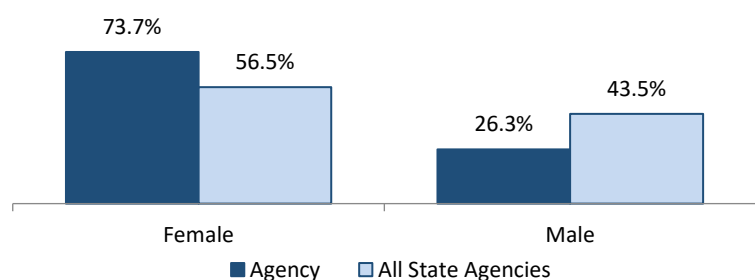
Agency Job Classifications

In fiscal year 2018, employees were classified in the following job titles: Administrative Assistant, Investigator, Accountant, Program Supervisor, Staff Services Officer, License and Permit Specialist, Manager, and Accounting Technician.

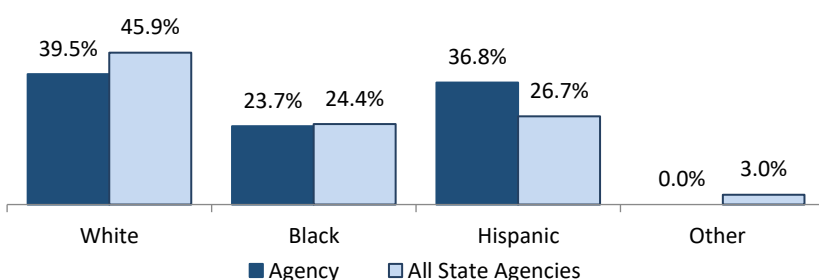
Fiscal Year 2018 Workforce Demographics^b

On average, employees at the agency were 47.0 years of age and had 6.0 years of agency length of service. Of the agency's employees, 60.6 percent were 40 years of age or older, and 76.3 percent had fewer than 5 years of agency length of service.

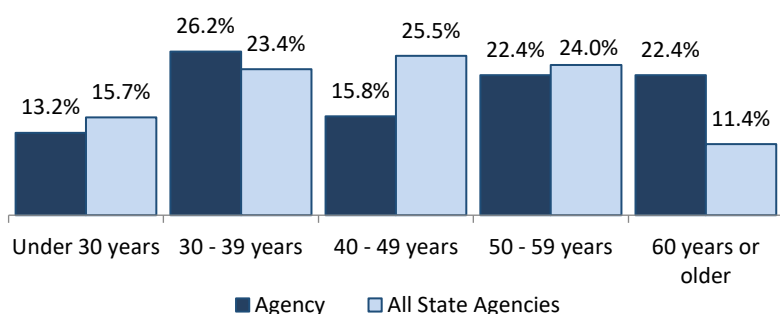
Gender



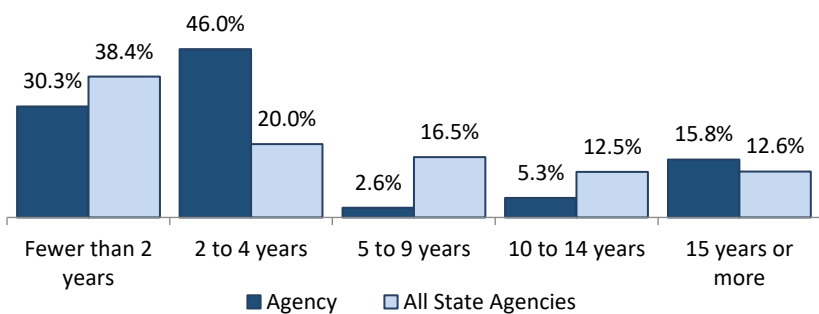
Ethnic Group



Age



Agency Length of Service

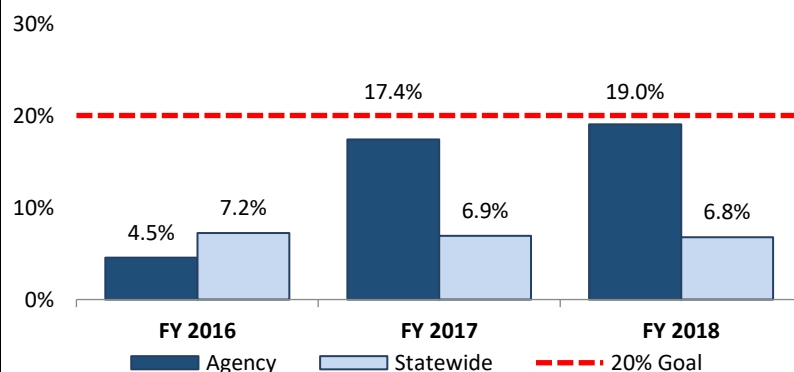


^b Job classification and demographic information was prepared from quarterly and year-end summary information received from the Office of the Comptroller of Public Accounts' Uniform Statewide Payroll/Personnel System (USPS) and Standardized Payroll/Personnel Reporting System (SPRS). Data includes classified regular, full-time and part-time employees. Demographic data may appear skewed for agencies with fewer than 50 employees.

Veteran Employment^c

Effective fiscal year 2016, Texas Government Code, Section 657.004, sets for state agencies a goal of employing veterans in full-time positions equal to at least 20.0 percent of the total number of agency employees.

In fiscal year 2018, the agency's total percent of veterans employed was higher than the statewide average and had increased since fiscal year 2017.



^c Information on veteran employment was obtained from the Office of the Comptroller of Public Accounts. Statewide totals include state agencies and higher education institutions.

Employee Engagement

84.2%

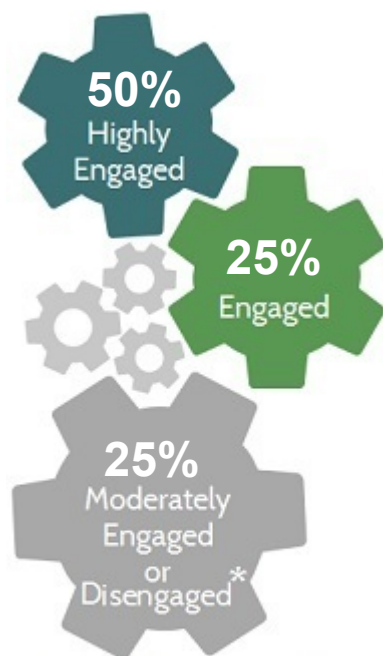
About the
same as
last time

Response Rate

The response rate to the survey is your first indication of the level of employee engagement in your organization. Of the 19 employees invited to take the survey, 16 responded for a response rate of 84.2%. As a general rule, rates higher than 50% suggest soundness, while rates lower than 30% may indicate problems. At 84.2%, 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 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, 50% of employees are Highly Engaged and 25% are Engaged. Moderately Engaged and Disengaged combine for 25%.

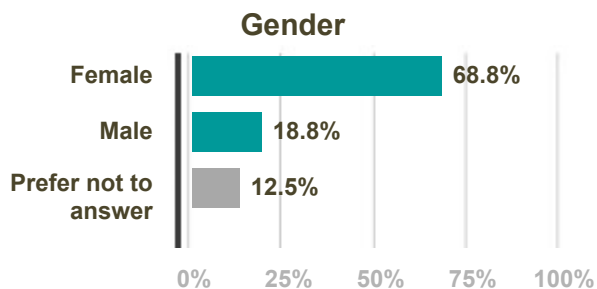
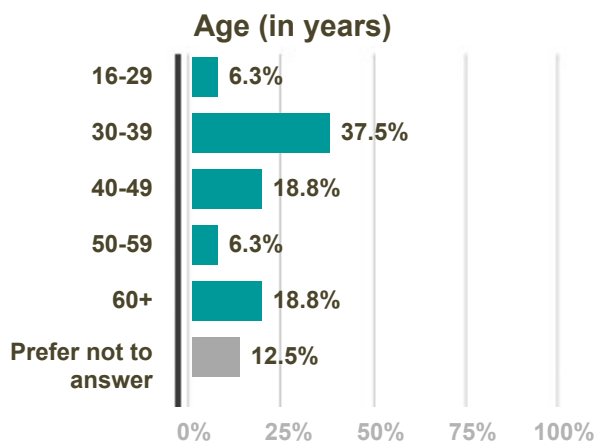
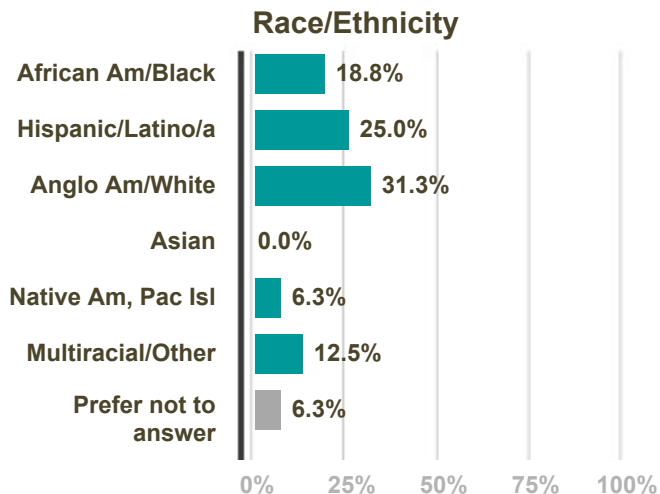
Highly Engaged employees are willing to go above and beyond in their employment. Engaged employees are more present in the workplace and show an effort to help out. Moderately Engaged employees are physically present, but put minimal effort towards accomplishing the job. Disengaged employees are disinterested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



25% New Hires (0-2 years)
50% Experienced (3-10 years)
19% Very Experienced (11+ years)
6% Did Not Answer

Each figure represents 1 employee.

FOCUS FORWARD >>>

13% CAN RETIRE

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



EMPLOYEE ENGAGEMENT

INSTITUTE FOR ORGANIZATIONAL EXCELLENCE

Constructs

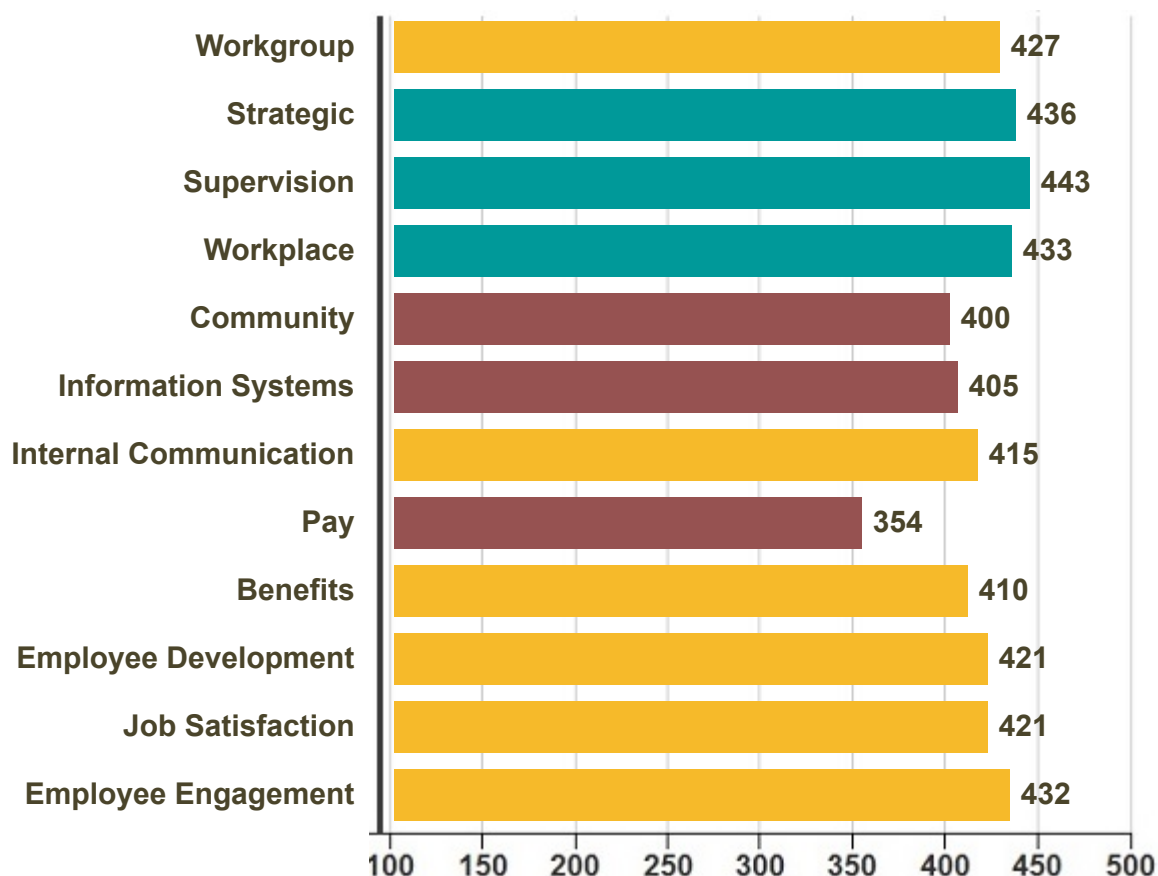
Similar items are grouped together and their scores are averaged and multiplied by 100 to produce 12 construct measures. These constructs capture the concepts most utilized by leadership and drive organizational performance and engagement.

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.

Construct Scores



Constructs Over Time

One of the benefits of continuing to participate in the survey is that over time data shows how employees' views have changed as a result of implementing efforts suggested by previous survey results.

Positive changes indicate that employees perceive the issue as having improved since the previous survey.

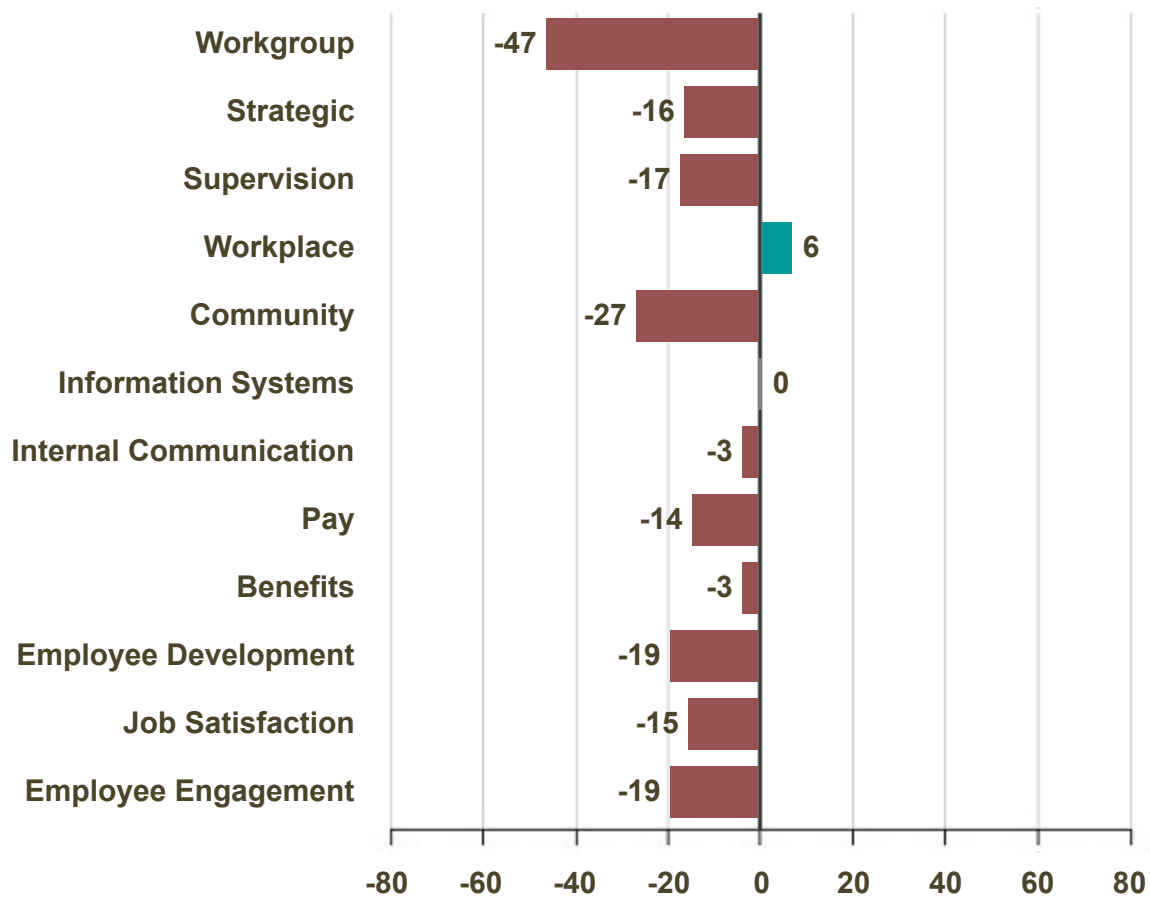
Negative changes indicate that the employees perceive that the issue has worsened since the previous survey. Negative changes of greater than 40 points and having 8 or more negative construct changes should be a source of concern for the organization and should be discussed with employees and organizational leadership.

Has Change Occured?

Variation in scores from year to year is normal, even when nothing has changed. Analyzing trend data requires a bringing patterns into focus, digging deeper into data, and asking questions about issues surrounding the workplace.

Pay close attention to changes of more than 15 points in either direction. Were there any new policies or organizational changes that might have affected the scores? Were these areas a point of focus for your change initiatives?

Constructs Scores Over Time



Areas of Strength and Concern

Areas of Strength



Supervision

Score: 443

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: 436

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.



Workplace

Score: 433

The workplace construct captures employees' perceptions of the total work atmosphere, the degree to which they consider it safe, and the overall feel. Higher scores suggest that employees see the setting as satisfactory, safe and that adequate tools and resources are available.

Areas of Concern



Pay

Score: 354

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.



Community

Score: 400

The community construct captures employees' perceptions of the relationships between employees in the workplace, including trust, respect, care, and diversity among colleagues. Lower scores suggest that employees feel a lack of trust and reciprocity from their colleagues.





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.

Climate

The climate in which employees work does, to a large extent, determine the efficiency and effectiveness of an organization. The appropriate climate is a combination of a safe, non-harassing environment with ethical abiding employees who treat each other with fairness and respect. Moreover, it is an organization with proactive management that communicates and has the capability to make thoughtful decisions. Below are the percentages of employees who marked disagree or strongly disagree for each of the 6 climate items.

<p>6.3%</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 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>Highest Level of Disagreement</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>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>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> 