

AGENCY STRATEGIC PLAN

FISCAL YEARS 2023 – 2027

BY

TEXAS ETHICS COMMISSION



JUNE 2022

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TEXAS ETHICS COMMISSION

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SUBMITTED JUNE 2022

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AGENCY MISSION

The mission of the Texas Ethics Commission (“TEC”) is to promote public confidence in government and protect the integrity of Texas’s electoral process by shining a light on and curbing undue influence in electoral and political activities. To effectuate this purpose, the TEC has administrative and has enforcement authority over specified chapters of the Government and Election Codes, including the state’s campaign finance, lobby, and government ethics laws.

The laws placed under the TEC’s jurisdiction reflect a belief that democracy works best when voters can make informed decisions in the political process—decisions based in part on knowing the sources of financial support for candidates and political committees, the identity and activities of those who communicate directly with public officials for the purpose of influencing government action, and the financial interests of state officers and candidates. Public confidence in the political process also depends on the knowledge that participants in Texas elections, state officials, and lobbyists follow clear and well-defined rules and face consequences for non-compliance. The TEC strives to foster a culture of high performance to ensure that it accomplishes these objectives efficiently, impartially, and effectively.

AGENCY OVERVIEW

The TEC was created effective January 1, 1992, by a voter-approved constitutional amendment and concurrently-adopted enabling legislation. The constitutional amendment established an eight-member commission with four members appointed by the Governor, and two each by the Lieutenant Governor and the Speaker of the House. To ensure that the TEC would be bipartisan, the constitution requires appointees to be selected in equal numbers from lists, submitted by Republican and Democratic members of the Texas Senate and Texas House of Representatives. The members of the TEC hold staggered four-year terms and annually elect a presiding officer.

The TEC has both constitutional and statutory duties. Constitutionally, the TEC is authorized to recommend the salary of members of the Legislature and the Lieutenant Governor, subject to approval by the voters, and sets the per diem for members of the Legislature and the Lieutenant Governor. The TEC’s statutory duties, which are partially outlined in Chapter 571 of the Government Code, include the enforcement and administration of Texas’s laws regarding campaign finance and political advertising (Title 15 of the Election Code), lobby activity (Chapter 305 of the Government Code), the personal financial disclosure by state officers and candidates, and the standards of conduct and conflicts of interest of public servants (Chapter 572 of the Government Code), and other related laws regulating the reporting requirements of other state and local officials and entities.

The TEC has 24.8 full-time employees, including an Executive Director and a General Counsel that are appointed by its commissioners. The TEC is divided into five divisions, including:

Disclosure Filing. The Disclosure Filing Division handles the processing and maintenance of all reports received by the Commission. In addition, this division provides the public with

information about and copies of disclosure reports filed with the agency, distributes blank disclosure reporting forms upon request, and notifies filers of their obligations and of any late or missing filings. This division administers the Commission's directive to receive and make available for public review and inspection required disclosure reports for state officials, candidates, political committees, lobbyists, political parties, party chairs, legislative caucuses, and judicial officers.

Enforcement. The Enforcement Division investigates alleged violations of the law, recommends to the Commission appropriate action to take with respect to apparent violations, and negotiates agreed resolutions with respondents or their counsel. If an enforcement matter does not resolve through agreement, the complaint proceeds to a formal hearing at which the respondent has the opportunity to present evidence and legal argument. Respondents who wish to challenge the decision of the Commission have the right to file a *de novo* appeal in Travis County District Court. The TEC also automatically assesses statutory penalties to candidates, officials, and lobbyists who fail to file required reports on time. Texas law and the Commission's rules provide a legal process for appealing those penalties, and the Enforcement Division is responsible for processing those appeals. Finally, the Enforcement Division also conducts randomized audits of reports filed with the Commission, as directed by state law. If any issues are discovered during this process, the Enforcement Division provides guidance to filers for corrective actions.

Office of the General Counsel. The Office of the General Counsel ("OGC") performs all other legal and regulatory functions of the agency. The OGC's primary responsibility is to provide legal counsel to the Commission, including advising commissioners on proposed rules and advisory opinions, the resolution of enforcement matters, and the daily operational matters of the agency. The OGC's other functions include promoting voluntary compliance with the law by providing educational resources and outreach to filers and the general public, assisting the Office of the Attorney General or outside legal counsel in civil actions brought by or against the TEC, serving as the agency's liaison to governmental agencies, the media, law enforcement, and the Legislature, and assuring the TEC's compliance with EEO/AA, ADA, and agency safety and ethics requirements.

Administration. The Administration Division handles the working function of the agency. It provides the primary support for the Commission with respect to accounting and budgeting, purchasing, travel, human resources and payroll, secretarial and reception duties, building and equipment maintenance, risk and safety management, and mail services and inventory control. This division has the essential function of working to keep the agency in compliance with the state laws and regulations generally applicable to executive branch agencies.

Computer Services. The Computer Services Division maintains the Commission's technology infrastructure, the electronic filing system and database, and the agency's website. This division also provides technical support to filers who are required to file reports electronically with the Commission, prepares reports in response to open records requests for data from electronically filed reports, and assists staff with computer applications. In addition, the TEC's Computer Services staff is involved with tasks such as systems analysis and design, information security, information resource policy development, and project management.

AGENCY OPERATIONAL GOAL NO. 1: PUBLIC DISCLOSURE OF REPORTS

Inform the public about how political campaigns in Texas are financed, the activities and expenditures of lobbyists, and the financial interests of state officers and candidates.

Specific Action Items for Improving the Public Disclosure of Reports

1. Improve existing procedures for making reports and data available to the public.
2. Improve process for electronically filing campaign finance and lobby reports.

How the Public Disclosure of Reports Supports Statewide Objectives

1. Accountable to tax and fee payers of Texas.

The agency's web-based disclosure system ensures that the vast quantity of data reported to the TEC is available to the public quickly and in a manner that is easy to sort, search, and comprehend.

2. Efficient such that maximum results are produced with a minimum use of taxpayer funds, including through the elimination of redundant and non-core functions.

The TEC seeks to automate more of the steps that must occur before electronically filed reports are available to the public. The agency minimizes the use of taxpayer funds by making campaign finance and lobby reports available on the Commission's website so the public is able to access data without assistance.

3. Effective in successfully fulfilling core functions, measuring success in achieving performance measures, and implementing plans to continuously improve.

In an average year, the TEC receives more than 94,994 campaign finance reports, lobby reports, and other disclosure documents from more than 4,515 filers. The agency successfully makes 99.98 percent of these reports available to the public within two working days, and continuously seeks to improve the user experience for both filers and the public.

4. Attentive to providing excellent customer service.

During each fiscal year the TEC responds to approximately 18,000 requests for technical assistance and 450 requests made under the Public Information Act.

5. Transparent such that agency actions can be understood by any Texan.

The TEC seeks to promote public confidence in government by providing transparency into the political process.

AGENCY OPERATIONAL GOAL NO. 2: PROMOTE COMPLIANCE

Promote voluntary compliance with the law through educational outreach.

Specific Action Items to Promote Compliance

1. Continue to provide on-demand legal assistance to filers.
2. Improve existing plain-language legal guides and hold instructional seminars.
3. Conduct randomized audits and provide guidance to filers when issues are discovered.

How Promoting Compliance Supports Statewide Objectives

1. Accountable to tax and fee payers of Texas.

The TEC will continue to devote significant resources to educating filers and the public by operating a legal help-line, publishing plain-language legal guides, and holding instructional webinars.
2. Efficient such that maximum results are produced with a minimum use of taxpayer funds, including through the elimination of redundant and non-core functions.

Successful voluntary compliance is the most efficient way to deliver on the agency's mission.
3. Effective in successfully fulfilling core functions, measuring success in achieving performance measures, and implementing plans to continuously improve.

Over the past three biennium, the TEC has received and responded to approximately 15,000 requests for legal guidance each year, either by phone or email. During the COVID-19 pandemic, the agency was able to maintain, if not improve, its level of service.
4. Attentive to providing excellent customer service.

Individuals who call or email the agency have access to expert guidance in a complex area of laws not readily available from other sources. The agency responds to virtually all requests within hours, putting filers directly in touch with knowledgeable TEC attorneys and legal staff.

The TEC also publishes many plain-language guides that describe the requirements of the laws it administers and enforces, and posts all advisory opinions and agency regulations on the TEC's public website. The agency holds instructional webinars for filers and potential filers and makes training videos available on its website.
5. Transparent such that agency actions can be understood by any Texan.

The TEC strives to make the legal requirements of the laws it administers and enforces clear and understandable to all Texans. It provides on-demand assistance, plain-language guides, and educational webinars to facilitate that transparency.

AGENCY OPERATIONAL GOAL NO. 3: INTERPRETATION AND RULEMAKING

Issue timely advisory opinions regarding the application of laws administered and enforced by the Commission, and provide clarity, where needed, through rulemaking.

Specific Action Items to Interpret the Law and Exercise Rulemaking Authority

1. Give timely and well-written advice to commissioners on proposed rules and advisory opinions to clarify the requirements of the laws administered and enforced by the TEC.
2. Defend the laws administered and enforced by the Commission against legal challenges.

How Interpretation and Rulemaking Supports Statewide Objectives

1. Accountable to tax and fee payers of Texas.

In administering and interpreting the laws under its jurisdiction, the Commission remains mindful of the First Amendment's guarantees of freedom of speech, association, and to petition the government, and the practical implication of its actions on the political process. TEC legal staff will continue to provide guidance to its commissioners on the application of those laws, and work with outside counsel to defend them.

2. Efficient such that maximum results are produced with a minimum use of taxpayer funds, including through the elimination of redundant and non-core functions.

The TEC will revise its rules for simplicity and clarity, and promptly adopt new rules in response to Legislative action, judicial decisions, or other changes in the law and may adopt rules as necessary in response to public comments. In 2020, the agency prevailed against several challenges to the laws under its jurisdiction, and it will continue to defend those rulings in the appellate courts.

3. Effective in successfully fulfilling core functions, measuring success in achieving performance measures, and implementing plans to continuously improve.

It is essential to have a clear and well-defined set of rules for complying with the laws administered and enforced by the agency. In 2020 and 2021, the TEC adopted three times as many formal advisory opinions than during the previous biennium, providing guidance to those seeking to navigate complex issues.

4. Attentive to providing excellent customer service.

In order to encourage voluntary compliance, State law requires the TEC to issue legally-binding advisory opinions in response to qualified requests that address the application of laws under the agency's jurisdiction.

5. Transparent such that agency actions can be understood by any Texan.

The Commission considers public comments and publicly deliberates the adoption of final regulations and advisory opinions.

AGENCY OPERATIONAL GOAL NO. 4: ENFORCEMENT

Fair, effective, and timely enforcement of the laws administered and enforced by the TEC.

Specific Action Items to Enforce the Law

1. Continue to process sworn complaints efficiently, accurately, and impartially.
2. Improve processes for issuing statutory penalties and adjudicating appeals.
3. Defend the Commission's enforcement determinations in court.

How Enforcement Supports Statewide Objectives

1. Accountable to tax and fee payers of Texas.

The TEC has exclusive jurisdiction over the civil enforcement of the State's campaign finance, lobby, and other related government ethics laws. The TEC is accountable to the taxpayers of Texas by enforcing duly enacted State law.

2. Efficient such that maximum results are produced with a minimum use of taxpayer funds, including through the elimination of redundant and non-core functions.

In fiscal year 2021, the TEC recovered \$257,040.03 in penalties and fees. The TEC plans to improve its collection processes by, for example, enabling online payment and sending immediate electronic notifications to filers of missed deadlines.

3. Effective in successfully fulfilling core functions, measuring success in achieving performance measures, and implementing plans to continuously improve.

Public confidence in the political process depends on the knowledge that those who violate ethics laws will be held accountable. The TEC is finding ways to process complaints more efficiently, even as the volume of new complaints increases. In fiscal year 2017, it took 187 days on average to resolve a complaint; in fiscal year 2021, it took 40 days on average. The TEC received an average of 255 complaints in fiscal years 2017-2021, and has received 321 complaints in fiscal year 2022 as of May 25, 2022.

4. Attentive to providing excellent customer service.

The TEC is committed to resolving matters expeditiously while providing due process to all parties. The agency notifies each filer of upcoming deadlines and late filings, and provides the opportunity for filers to appeal penalties that are assessed for late filings.

5. Transparent such that agency actions can be understood by any Texan.

State law requires the TEC to maintain the confidentiality of the complaint process. However, many complaint decisions are public and are posted online, and the TEC maintains an online list of delinquent filers and unpaid penalties. The decisions provide valuable information to the public about positions taken by the Commission on various issues and are informative not only to filers facing sworn complaint proceedings, but also to filers seeking compliance with the law.

AGENCY OPERATIONAL GOAL NO. 5: FOSTER A CULTURE OF HIGH PERFORMANCE

The TEC’s greatest resource is its employees. Organizational performance is also significantly improved when internal management processes are efficient and effective. The Commission will take steps outlined in this plan to ensure that the agency’s working environment promotes and supports the best efforts of its staff.

Specific Action Items to Achieve a Culture of High Performance

1. Recruit and maintain a diverse and high-performing workforce.
2. Implement strategic goals on time and within budget.
3. Improve the agency’s contracting practices by increasing the use of historically underutilized businesses (“HUBs”).

How a Culture of High performance Supports Statewide Objectives

1. Accountable to tax and fee payers of Texas.

The agency delivers better results to the taxpayers of Texas when it has a high-performing and knowledgeable workforce. Being able to recruit and maintain those employees is essential to accomplishing the agency’s mission.
2. Efficient such that maximum results are produced with a minimum use of taxpayer funds, including through the elimination of redundant and non-core functions.

The TEC currently operates with only 24.8 full-time employees. It has exclusive jurisdiction over the civil enforcement of laws that apply to both state and local candidates, officers, political committees, and lobbyists. It maintains an online filing system with over 22,642 active users, and it notifies each filer of upcoming deadlines and delinquent reports. And it provides on-demand legal assistance in response to tens of thousands of requests every year.
3. Effective in successfully fulfilling core functions, measuring success in achieving performance measures, and implementing plans to continuously improve.

Please see the following below: (1) Schedule A (Performance Measures detailing how agency consistently meets goals); (2) Schedule C (Agency use of Historically Underutilized Businesses exceeds goals); and (3) Schedule F (Workforce Plan demonstrating the understanding of future needs).
4. Attentive to providing excellent customer service.

Customer service is a priority for every division of the TEC. The agency’s report on customer service is attached as Schedule H.
5. Transparent such that agency actions can be understood by any Texan.

The TEC strives to make its hiring and contracting processes transparent. The TEC’s plan for increasing its use of HUBs in purchasing contracts is attached as Schedule C, and its agency workforce plan is attached as Schedule F.

REDUNDANCIES AND IMPEDIMENTS NO. 1: AGING LOCAL SERVERS

<p>Service, statute, rule or regulation</p>	<p>Budget for 2022/2023 biennium (SB 1, 87th Legislature). The TEC’s physical servers are aging and vulnerable to interruptions in service.</p>
<p>Describe why the service, statute, rule, or regulation is resulting in inefficient or ineffective agency operations</p>	<p>The TEC currently manages its own physical servers in the Sam Houston State Building, but the hardware is considered legacy, and the manufacturer has notified the TEC that it will no longer support it in the near future.</p>
<p>Provide agency recommendation for modification or elimination</p>	<p>Provide funding for the TEC to move its filing system to a managed cloud service.</p>
<p>Describe the estimated cost savings or other benefit associated with recommended change</p>	<p>Moving the filing system to the cloud would have a number of advantages. First, it would save the agency money elsewhere, including: (1) eliminating the need to purchase expensive replacement equipment, and (2) reducing the TEC’s need to hire in-house programmers and technicians, which are difficult to secure in Austin’s competitive job market.</p> <p>Second, a managed cloud service would be more reliable than the current servers. For example, cloud services are more resistant to electricity outages or other interruptions in critical infrastructure. It would also benefit from continual cybersecurity enhancements. And finally, it would provide the flexibility of on-demand CPU and storage capacity. Without this funding, the vulnerability of the current servers may cause inconvenience to filers and prevent the public from accessing filings, particularly if the manufacturer stops supporting the hardware.</p>

Redundancies and Impediments No. 2: Unfilled FTEs and Employee Turnover

<p>Service, statute, rule or regulation</p>	<p>Budget for 2022/2023 biennium (SB 1, 87th Legislature). The TEC is unable to fill open positions and retain existing employees.</p>
<p>Describe why the service, statute, rule, or regulation is resulting in inefficient or ineffective agency operations</p>	<p>The TEC is authorized to have 34.4 FTEs, but only 24.8 of those positions are filled. Furthermore, the TEC’s salaries for existing employees are 2% less than the state-agency average for Attorney II, 14.4% less than the state-agency average for Attorney IV; 5.3% less for Auditor III, 8.06% less for a Director II, 12.68% less than a Director III, 13.13% less than a Director IV, 2.5% less than a Legal Asst. II, 13.37% less than Legal Asst. III, 26.10% less than a Legal Asst. V, 14.55% less than a Legal Secretary, 11.25 % less than a Program Specialist II, 10.67% less than a Staff Services Officer II and 11.8% less than a Staff Services Officer III in each classification (<i>e.g.</i> Attorney II, Programmer III).¹</p> <p>An underfunded workforce negatively affects all of the agency’s strategic goals. For example, the TEC’s electronic filing system and databases reside on physical servers in the Sam Houston State Building, but the TEC has been unable to fill critical IT positions responsible for maintaining and improving the functionality and reliability of the agency’s online filing system.</p> <p>As another example, the TEC’s attorneys are paid 14% less than the state-agency average, despite being required to master a unique and complex area of law. This affects the agency’s ability to retain lawyers who are qualified to provide on-demand legal guidance or who are able to resolve complaints efficiently. During 2020 and 2021, nearly half (3 of 8) of the attorneys in the TEC’s legal divisions resigned.</p> <p>It has been suggested that the TEC fill fewer positions and use the funds to pay current employees. Doing so, as TEC has over multiple biennia, is unsustainable and will result in having too few employees to meet the agency’s goals and serve filers and the public, at a time when the agency’s workload is increasing.</p> <p>Furthermore, because contract database programming for certain agency databases and network administration would not be cost effective, any further reduction in Computer Services staff would create severe difficulties in keeping the TEC’s ability to fulfill its missions and would cripple the TEC’s ability to upgrade and maintain its systems.</p>

¹ See Schedule F at page 39.

	<p>Finally, as an agency whose mission is to educate the public with data, the TEC should hire or train an expert in data analysis and visualization that could identify new and helpful ways to communicate campaign finance and lobby data to the general public. However, current funding does not allow for it.</p>
<p>Provide agency recommendation for modification or elimination</p>	<p>Provide additional funding to the TEC for salaries so that it may fill all authorized FTE positions and offer salaries to existing employees that are competitive with state-agency averages.</p>
<p>Describe the estimated cost savings or other benefit associated with recommended change</p>	<p>Hiring a qualified and experienced programmer would allow the TEC to improve its filing system, resulting in a better user experience and more efficient agency operations. Providing competitive compensation for the TEC’s lawyers and staff would ensure that the agency could hire and keep a qualified and knowledgeable workforce, resulting in more efficient processing of reports, complaints, and requests.</p>

Redundancies and Impediments No. 3: Outdated Electronic Filing System	
Service, statute, rule or regulation	Budget for 2022/2023 biennium (SB 1, 87 th Legislature). The TEC is unable to modernize its electronic filing system.
Describe why the service, statute, rule, or regulation is resulting in inefficient or ineffective agency operations	At its core, the TEC is a technology service organization. It seeks to serve filers by offering an easy-to-use online filing system; but its current system was developed from 2013 to 2015 and was put into production in 2015, and is in need of updates. The TEC is appropriated funds for basic maintenance of the existing filing system, but additional funding is required to modernize the user experience and add desired features like campaign finance judicial address redaction, an online penalty payments option, and an accounting system to track civil penalties and payments.
Provide agency recommendation for modification or elimination	The TEC wants to provide filers with a state-of-the-art filing system that adheres to modern design standards and includes industry-standard features. The TEC recommends that the Legislature provide additional funding so that it may contract with a vendor to develop such a filing system.
Describe the estimated cost savings or other benefit associated with recommended change	An easier-to-use filing system will promote compliance and aid public disclosure by decreasing the amount of reports that are incorrectly or untimely filed due to technical errors.

Redundancies and Impediments No. 4: Outdated Notice Requirements

<p>Service, statute, rule or regulation</p>	<p>Notices to Filers and Parties to a Complaint (Tex. Elec. Code § 254.042; Tex. Gov’t Code, Ch. 571; Tex. Gov’t Code §§ 305.033, 572.030)</p> <p>State law requires the TEC to mail notices of certain report deadlines and notices of late filings via USPS. State law also requires the TEC to send the first notice of any sworn complaint to both a complainant and respondent by registered or certified mail, restricted delivery, return receipt requested (Tex. Gov’t Code § 571.032).</p>
<p>Describe why the service, statute, rule, or regulation is resulting in inefficient or ineffective agency operations</p>	<p>The TEC receives a large number of sworn complaints that are either dismissed for no jurisdiction or returned to the complainant to cure any deficiencies. Current law requires notice of these types of complaints to be sent to both a complainant and respondent by certified mail, return receipt requested. Current state law also requires the TEC to mail numerous notices via USPS to filers regarding late-filed reports.</p> <p>Permitting the TEC to use electronic notices of sworn complaints, notices of filing requirements, and notices of late reports will reduce costs and allow for more efficient delivery of notices. All filers are required to provide the TEC with an email address, and nearly all reports are filed electronically.</p>
<p>Provide agency recommendation for modification or elimination</p>	<p>Authorize the TEC to adopt rules prescribing how the TEC will notify any person of filing requirements or late reports, and sworn complaints for which jurisdiction is not accepted.</p> <p>Under this recommendation, the Commission would continue to send critical notices by certified mail, including criminal referrals and the acceptance of sworn complaints.</p>
<p>Describe the estimated cost savings or other benefit associated with recommended change</p>	<p>The amendment would reduce the TEC’s costs for mailing certain notices by certified mail and regular mail delivery. The savings are estimated at \$3,967 for a biennium. The actual savings will likely exceed our estimate because of continual increases in postage costs.</p>

Redundancies and Impediments No. 5: Confusing Annual Threshold Adjustments	
Service, statute, rule or regulation	<p>Tex. Gov’t Code § 571.064(b).</p> <p>The TEC’s enabling legislation requires the agency to annually adjust each reporting threshold “upward to the nearest multiple of \$10” in accordance with inflation as measured by the United States Department of Labor.</p>
Describe why the service, statute, rule, or regulation is resulting in inefficient or ineffective agency operations	<p>The requirement to annually adjust reporting thresholds—and the formula the TEC is required to use—results in a confusing and constantly-changing legal regime that is hard to remember and may lead to unintentional violations from well-intentioned filers.</p> <p>For example, the original statutory thresholds for providing payee information and for reporting proceeds from the sale of a political asset were both \$100. However, because these laws were enacted at different times, the adjusted thresholds in 2021 were \$190 and \$120, respectively. On personal financial statements, filers were originally required to report the identity of the source of any gift over \$250, but the 2021 adjusted threshold is \$470.</p> <p>In order for the TEC to comply with the current law, it must calculate and adopt a long and complicated chart of adjusted thresholds each year. And to comply with the law, filers must constantly consult that chart, knowing that the details of every reporting requirement may change each year.</p>
Provide agency recommendation for modification or elimination	<p>Repeal Tex. Gov’t Code § 571.064(b) and revert all reporting thresholds to their original statutory amounts.</p> <p>Alternatively, repeal Tex. Gov’t Code § 571.064(b) and set new statutory thresholds that provide filers with clarity, consistency, and permanence.</p>
Describe the estimated cost savings or other benefit associated with recommended change	<p>If Tex. Gov’t Code § 571.064(b) is repealed, TEC staff would no longer spend time calculating new thresholds, preparing rule amendments, and updating the filing software. It may also reduce the number of sworn complaints processed by TEC enforcement staff concerning <i>de minimis</i> reporting errors.</p>

Redundancies and Impediments No. 6: Consequences for Non-Compliance	
Service, statute, rule or regulation	The majority of the penalties assessed by the TEC are very small, ranging from \$100 to \$1,000. The minimum threshold for referral of penalties for collection to the Attorney General is \$1,000. <i>See</i> Tex. Gov't Code § 402.021.
Describe why the service, statute, rule, or regulation is resulting in inefficient or ineffective agency operations	The OAG has many weighty issues and important controversies to address. It lacks the time or resources to pursue the collection of TEC penalties, even those above \$1,000.
Provide agency recommendation for modification or elimination	<p>The current amount of uncollected penalties is approximately \$900,000.² The TEC believes that it needs to hold violators accountable to deter future violations of state ethics laws.</p> <p>The TEC seeks the legal authorization to pursue the collection of penalties using its own legal staff or an outside law firm to send collection letters, and, if necessary, to pursue the claims in court.</p> <p>The Legislature should also consider additional legal consequences for nonpayment, including prohibiting individuals with unpaid penalties from receiving licenses from the state, including driver's licenses, hunting licenses, and professional licenses.</p>
Describe the estimated cost savings or other benefit associated with recommended change	Increasing the consequences for failing to pay penalties assessed by the TEC would result in a better collection rate for the taxpayers of Texas. If 90% of the TEC's outstanding penalties were collected, the General Revenue Fund would receive approximately \$2,601,835. ³

² This figure represents the penalties for which there are active collection proceedings, and does not include any amounts deemed uncollectible.

³ This figure represents 90% of the total outstanding penalties by all delinquent filers.

SCHEDULE A: BUDGET STRUCTURE

GOAL: Administer Ethics Laws. Fulfill the agency’s constitutional and statutory directive to administer and enforce the state’s campaign finance, lobby, and other related ethics laws.

A.1.1 Strategy I: Disclosure Filing. Serve as the repository for statutorily required information.

Strategic Planning: Agency Operational Goal No. 1: Public Disclosure of Reports

Performance Measures

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

Outputs: KEY – Number of reports logged within two working days of receipt
Number of reports received and processed

Explanatory: Number of inquiries for information
Number of lobbyists registered with the Commission
Number of public officials required to file reports with the Commission
Number of reports due filed electronically.

A.1.2 Strategy II: Office of the General Counsel. Perform all legal and regulatory functions of the agency.

Strategic Planning: Agency Operational Goal No. 2: Promote Compliance
Agency Operational Goal No. 3: Interpretation and Rulemaking

Performance Measures

Outcomes: KEY – Percent of advisory opinion requests answered within 120 days

Outputs: Number of advisory opinions adopted by the Commission
NEW-Number of Public Information Requests Responded to by the Commission.
New- Number of unpaid fines referred to the Attorney General for collection.

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

Explanatory: Number of information requests regarding Commission administered laws
Number of advisory opinion requests received

NEW- Number of Public Information Requests Received by the Commission.

NEW- Total amount of unpaid fines referred to the Attorney General for collection.

A.1.3 Strategy III: Enforcement. Respond to complaints and enforce applicable statutes.

Strategic Planning: Agency Operational Goal No. 4: Enforcement

Performance Measures

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

Outputs: KEY – Number of sworn complaints processed

Number of late notices sent to filers

NEW- Number of Sworn Complaints Closed

NEW- Number of Attempted Sworn Complaints that are Responded to

Efficiencies: KEY – Average working days to process sworn complaints

Average time to notify late filer of late report

Average time to notify complainants and respondents / Commission determination

NEW- Average Time to Resolve Complainants After Jurisdiction is Accepted

Explanatory: Percent of filers filing timely reports

Number of late penalties received

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

GOAL: Indirect Administration.

B.1.1 Strategy I: Central Administration.

Strategic Planning: Agency Operational Goal No. 5: Foster a Culture of High Performance

B.1.2 Strategy II: Information Resources.

Strategic Planning: Agency Operational Goal No. 1: Public Disclosure
Agency Operational Goal No. 5: Foster a Culture of High Performance.

SCHEDULE B: MEASURE DEFINITIONS

A.1.1 Strategy I: Disclosure Filing. Serve as the repository for information required to be filed with the Commission and assist persons in accessing that information.

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

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

Data Limitations: There is no way to "re-create" the calculations for a point in time because the TEC's database is continuously updated.

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

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

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

Calculation Type: Non-cumulative.

Key Measure: No.

New Measure: No.

Target Attainment: Higher.

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

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

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

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

Methodology: This measure is calculated by a computer-generated report that: 1) subtracts the date the report was logged as received from the date the report was logged into the database; and 2) counts the number of reports logged within two business days or less of receipt.

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

Calculation Type: Cumulative.

Key Measure: Yes.

New Measure: No.

Target Attainment: Higher.

Output 2: Number of reports received and processed.

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

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

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

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

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

Calculation Type: Cumulative.

Key Measure: No.

New Measure: No.

Target Attainment: Higher.

Explanatory 1: Number of inquiries for information.

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

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

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

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

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

Calculation Type: Non-cumulative.

Key Measure: No.

New Measure: No.

Target Attainment: Higher.

Explanatory 2: Number of lobbyists registered with the Commission.

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

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

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

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

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

Calculation Type: Non-cumulative.

Key Measure: No.

New Measure: No.

Target Attainment: Higher.

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

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

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

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

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

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

Calculation Type: Non-cumulative.

Key Measure: No.

New Measure: No.

Target Attainment: Higher.

Explanatory 4: Number of reports due filed electronically.

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

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

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

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

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

Calculation Type: Non-cumulative.

Key Measure: No.

New Measure: No.

Target Attainment: Higher.

A.1.2 Strategy II: Office of the General Counsel. Perform all legal and regulatory functions of the agency.

Outcome 1: KEY. Percent of advisory opinion requests answered with the statutory deadline.

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

Data Limitations: This data is very reliable.

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

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

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

Calculation Type: Cumulative.

Key Measure: Yes.

New Measure: No.

Target Attainment: Higher.

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

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

Data Limitations: This data is very reliable.

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

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

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

Calculation Type: Cumulative.

Key Measure: No.

New Measure: No.

Target Attainment: Higher.

Output 2: NEW-Number of PIA requests responded to.

Definition: The agency is required to respond within certain deadlines to each request for documents made under the Texas Public Information Act (the "PIA"). A request is responded to when the agency: (1) provides all requested documents to the requestor, (2) notifies the requestor that the agency has no responsive documents, or (3) requests an opinion from the Office of Attorney General regarding the applicability of the PIA.

Data Limitations: This data is very reliable.

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

Methodology: This measure is a manual count of the number of requests responded to by the Commission.

Purpose: The Commission is required by law to respond to requests made under the Public Information Act.

Calculation Type: Cumulative.

Key Measure: N

New Measure: Y

Target Attainment: H

Output 3: NEW. Number of filers referred to the Attorney General for the collection of unpaid fines.

Definition: When a filer fails to pay a fine(s) assessed by the Commission in a timely manner, and the amount owed exceeds the Attorney General's referral threshold of \$1000, the Commission refers the matter to the Attorney General for the initiation of a collection lawsuit.

Data Limitations: This data is very reliable

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

Methodology: This measure is a manual count of the number of filers referred to the Attorney General.

Purpose: The Commission does not have the authority to pursue collection matters on its own. This measure tracks the number of filers who owe the State at least \$1,000 for violating a law under the Commission's enforcement jurisdiction.

Calculation Type: Cumulative.

Key Measure: No

New Measure: Yes

Target Attainment: Low

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

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

Data Limitations: This data is very reliable.

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

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

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

Calculation Type: Non-cumulative.

Key Measure: YES.

New Measure: No.

Target Attainment: Lower.

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

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

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

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

Methodology: This measure is a count of the number of incoming and outgoing phone calls and emails of the Office of the General Counsel. The count is generated for a particular date range.

Purpose: This measure is an indication of workload handled by the Office of the General Counsel, which is responsible for providing guidance regarding laws governed by the Commission.

Calculation Type: Non-cumulative.

Key Measure: No.

New Measure: No.

Target Attainment: Higher.

Explanatory 2: Number of advisory opinion requests received.

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

Data Limitations: This data is very reliable.

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

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

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

Calculation Type: Non-cumulative.

Key Measure: No.

New Measure: No.

Target Attainment: Higher.

Explanatory 3: NEW. Number of PIA requests received.

Definition: The agency is required to respond within certain deadlines to each request for documents made under the Texas Public Information Act (the "Act").

Data Limitations: This data is very reliable.

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

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

Purpose: The Commission is required by law to respond to requests made under the Public Information Act.

Calculation Type: Cumulative.

Key Measure: No

New Measure: Yes

Target Attainment: Higher

Explanatory 4. NEW. Total amount of unpaid fines referred to the Attorney General for collection.

Definition: When a filer fails to pay a fine(s) assessed by the Commission in a timely manner, and the amount owed exceeds the Attorney General's referral threshold of \$1000, the Commission refers the matter to the Attorney General for the initiation of a collection lawsuit.

Data Limitation: This data is very reliable.

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

Methodology: This measure is a manual count of the amount of unpaid fines referred to the Attorney General.

Purpose: The Commission does not have the authority to pursue collection matters on its own. This measure tracks the total amount of unpaid fines owed by filers who owe the State at least \$1,000 for violating a law under the Commission's enforcement jurisdiction.

Calculation Type: Cumulative.

Key Measure: No

New Measure: Yes

Target Attainment: Low

A.1.3 Strategy III: Enforcement. Respond to complaints and enforce applicable statutes.

Outcome 1: % of sworn complaints processed within five working days after filing.

Definition: A sworn complaint is considered processed the date the notice of compliance, non-compliance, or no jurisdiction is sent. The Commission must determine whether a sworn complaint is in an acceptable format according to the guidelines set by law. The Commission must also determine whether it has jurisdiction over the allegation made in the complaint. Once the determination of compliance, non-compliance, or no jurisdiction has been made, the Commission is required by law to notify the complainant and respondent of that determination in writing. This notification must be sent no later than 5 business days after the date the complaint is filed. The date the notice is sent and the date a complaint is filed are recorded in a database.

Data Limitations: This data is very reliable.

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

Methodology: This measure is calculated by a computer-generated report which subtracts the date the complaint is filed from the date the notice of compliance, non-compliance, or no jurisdiction is sent. The computer then counts how many complaints were processed within five business days and how many complaints total were processed. Finally, the number of complaints processed within five business days is divided by the total number of complaints processed.

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

Calculation Type: Non-cumulative.

Key Measure: No.

New Measure: No.

Target Attainment: Higher.

Output 1: KEY. Number of sworn complaints processed.

Definition: A sworn complaint is considered processed the date the note of compliance, non-compliance, or no jurisdiction is sent. The Commission must determine whether a sworn complaint is in an acceptable format according to the guidelines set by law. The Commission must also determine whether it has jurisdiction over the allegation made in the complaint. Once the determination of compliance, non-compliance, or no jurisdiction has been made, the Commission is required by law to notify the complainant and respondent of that determination in writing. This notification must be sent no later than five business days after the complaint is filed. The date the notice is sent and the date a sworn complaint is filed are recorded in a database.

Data Limitations: This data is very reliable.

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

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

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

Calculation Type: Cumulative.

Key Measure: Yes.

New Measure: No.

Target Attainment: Higher.

Output 2: Number of late notices sent to filers.

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

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

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

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

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

Calculation Type: Cumulative.

Key Measure: No.

New Measure: No.

Target Attainment: Higher.

Output Measure: NEW-Number of Complaints Closed

Definition: A sworn complaint is closed when it is dismissed, withdrawn, or resolved by a final order issued by the Commission or an order that is agreed to by the respondent. The date a sworn complaint is closed is recorded in a database.

Data Limitations: This data is very reliable.

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

Methodology: This measure is a computer generated count of the number of sworn complaints closed within a specified date range.

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

Calculation: Cumulative

Key: No

New Measure: Yes

Target Attainment: Higher

Output Measure: NEW. Number of Attempted Complaints Responded to

Definition: An attempted complaint is a written allegation of a violation that is submitted to the commission and that is not on the commission's sworn complaint form. An attempted complaint is responded to when the agency: (1) sends a written response by physical mail or email, or (2) responds by telephone. The number of attempted complaints that are responded to is recorded in a database.

Data Limitations: This data is very reliable.

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

Methodology: This measure is a computer generated count of the number of attempted complaints responded to within a specified date range.

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

Calculation: Cumulative

Key: No

New Measure: Yes

Target Attainment: Higher

Efficiency 1: KEY. Average working days to process sworn complaints.

Definition: A sworn complaint is considered processed the date the note of compliance, non-compliance, or no jurisdiction is sent. The Commission must determine whether a sworn complaint is in an acceptable format according to the guidelines set by law. The Commission must also determine whether it has jurisdiction over the allegation made in the complaint. Once the determination of compliance, non-compliance, or no jurisdiction has been made, the Commission is required by law to notify the complainant and respondent of that determination in writing. This notification must be sent no later than 5 business days after the date the complaint is filed.

Data Limitations: This data is very reliable.

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

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

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

Calculation Type: Non-cumulative.

Key Measure: Yes.

New Measure: No.

Target Attainment: Lower.

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

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

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

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

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

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

Calculation Type: Non-cumulative.

Key Measure: No.

New Measure: No.

Target Attainment: Lower.

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

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

Data Limitations: This data is very reliable.

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

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

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

Calculation Type: Non-cumulative.

Key Measure: No.

New Measure: No.

Target Attainment: Lower.

Efficiency Measure: NEW. Average Time to Resolve Complaints After Jurisdiction is Accepted

Definition: Once the commission determines that a sworn complaint complies with the legal and technical requirements and is within the commission's jurisdiction, the commission must notify the complainant and respondent in writing of the decision that jurisdiction has been accepted over the complaint. The date the notification of determination is sent to the respondent is recorded in a database. The date a complaint is resolved (or "closed") is also recorded in a database.

Data Limitations: This data is very reliable.

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

Methodology: This measure is calculated by a computer generated report which: 1) takes the total number of complaints closed in a period and extracts from that total the complaints over which jurisdiction was accepted; 2) for each complaint, subtracts the number of calendar days from the date the notice of jurisdiction was sent from the date of resolution; 3) adds the number of calendar days for each complaint; 4) divides the total number of calendar days by the total number of complaints.

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

Calculation: Non-cumulative

Key: No

New Measure: Yes

Target Attainment: Lower

Explanatory 1: Percent of filers filing timely reports.

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

Data Limitations: This data is very reliable.

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

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

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

Calculation Type: Non-cumulative.

Key Measure: No.

New Measure: No.

Target Attainment: Higher.

Explanatory 2: Number of late penalties received.

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

Data Limitations: This data is very reliable.

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

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

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

Calculation Type: Non-cumulative.

Key Measure: No.

New Measure: No.

Target Attainment: Higher.

Explanatory 3: Percent of complaints dismissed because resolution was not proposed within 120 days.

Definition: Not later than the 120th day after the later of the date the Commission receives a respondent's response to a notice of complaint or a response to written questions, the Commission must propose an agreement to the respondent to settle the complaint without holding a preliminary review hearing, or dismiss the complaint. A resolution is proposed when a proposed agreement is sent by the Commission, or when a proposed agreement is sent by staff, subject to the final approval of the Commission. For this measure, a complaint is considered dismissed when dismissed by operation of law on the grounds the Commission failed to propose an agreement to resolve the complaint within 120 days under Section 571.1242(g) of the Gov't Code. The date the respondent's initial response to a notice of complaint is received, the date the response to written questions, if any, is received, the date a proposed resolution is sent, and the date a complaint is dismissed are all recorded in a database.

Data Limitations: This data is very reliable.

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

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

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

Calculation Type: Cumulative.

Key Measure: No.

New Measure: Yes.

Target Attainment: Lower.

SCHEDULE C: HISTORICALLY UNDERUTILIZED BUSINESS PLAN

HUB Reporting

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

Attainment

The agency attained or exceeded all three, or 100%, of the applicable statewide HUB procurement goals for FY 2020 and 2021. The agency exceeded its performance measure objective in the Strategic Plan of Utilizing HUBs in at least 20% of the total value of contracts awarded.

“Good Faith” Efforts

The agency made and will continue to make the following good-faith efforts to comply with the statewide HUB procurement goals per Article IX of the 2020-2022 General Appropriations Act (GAA) Section 7.06 and 7.07, and Government Code, § 2161.123:

- Ensure that three out of four vendors solicited for bids are HUBs.
- Encourage prospective vendors to register with the Comptroller of Public Accounts in order to obtain HUB status.
- Verify HUB status with both the DIR and Comptroller’s USAS databases before selecting a vendor.

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

HUB Category	FY 2020-2021 Agency HUB Goal	FY 20 Actual % Spent w/HUB	FY 20 Actual \$ Spent w/HUB	FY 21 Actual % Spent w/HUB	FY 21 Actual \$ Spent w/HUB	FY 22 Agency Specific HUB Goal
Heavy Construction	0.00%		\$		\$	%
Building	0.00%		\$		\$	%
Special Trade	0.00%		\$		\$	%
Professional	23.70%	100.00%	\$3,106.50	100.00%	\$3,785.50	23.70%
Other Services	26.00%	72.51%	\$603,652.96	72.79%	\$674,042.70	26.00%
Commodity Purchasing	21.10%	58.75%	\$40,714.66	28.26%	\$24,464.07	21.10%
Total			647,474.12		702,292.27	

SCHEDULE F: WORKFORCE PLAN

I. AGENCY OVERVIEW

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

A. Agency Mission

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

B. Business Functions

TEC has both constitutional and statutory duties. Constitutionally, the Commission is authorized to recommend the salary of members of the Legislature and the Lieutenant Governor, subject to approval by the voters; and sets the per diem for members of the Legislature and the Lieutenant Governor. Statutorily, TEC is responsible for administering and enforcing the laws concerning campaign finance and political advertising, lobby activity, personal financial disclosure by state officers, the standards of conduct and conflicts of interest of state officers and employees, and several other laws regulating the reporting requirements of other state and local officials and entities.

In FY2022, TEC was authorized 34.4 FTEs but only had the budget for 27.8 FTEs. The Commission's mission is carried out through the following five divisions.

- Disclosure Filings (Strategy A.1.1)
- Office of the General Counsel (Strategy A.1.2)
- Enforcement (Strategy A.1.3)
- Central Administration (Strategy B.1.1)
- Computer Services (Strategy B.1.2)

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

The Commission's mission and goals remain steady with no anticipation of changes to its strategies or goals over the next five years. However, TEC continues to implement procedures to go paperless by using available technology and has completed the project of scanning older documents for a quicker search and cross reference of complaints.

D. Additional Considerations

Challenges to Providing Competitive Salaries

The Ethics Commission regards the agency staff as the agency's most valuable resource. We strive to recruit and retain the best employees in the State of Texas. TEC has addressed turnover by awarding one-time merits for performance exceeding standards and offering flexible work schedules. The Commission continues to experience increased competition for all classifications including attorneys, computer programmers, and staff services officers. As with the entire state, employee pay remains the agency's lowest satisfaction category for departing employees. We continue to evaluate its rewards for staff as the commission's salaries continue to lag behind that of other state agencies and the private sector. In a comparison of salaries for all our current staff classifications including: Attorneys, computer programmers, Staff Services Officers, and Directors, we found that the TEC pays its:

- Attorney II \$1,447 less than other state agency averages;
- Attorney IV \$16,819 less than other state agency averages;
- Computer Programmers are in line with other state agency salaries but \$23,623 less than the public sector;
- Staff Services officer \$5,869 less than other state agency averages;
- Director II \$8,509 less than other state agency averages;
- Director III \$15, 254 less than other state agency averages; and
- Director IV \$17,391 less than other state agency averages.

The incentives evaluated include increasing availability of telework and flexible work schedules to allow for work and home life balances.

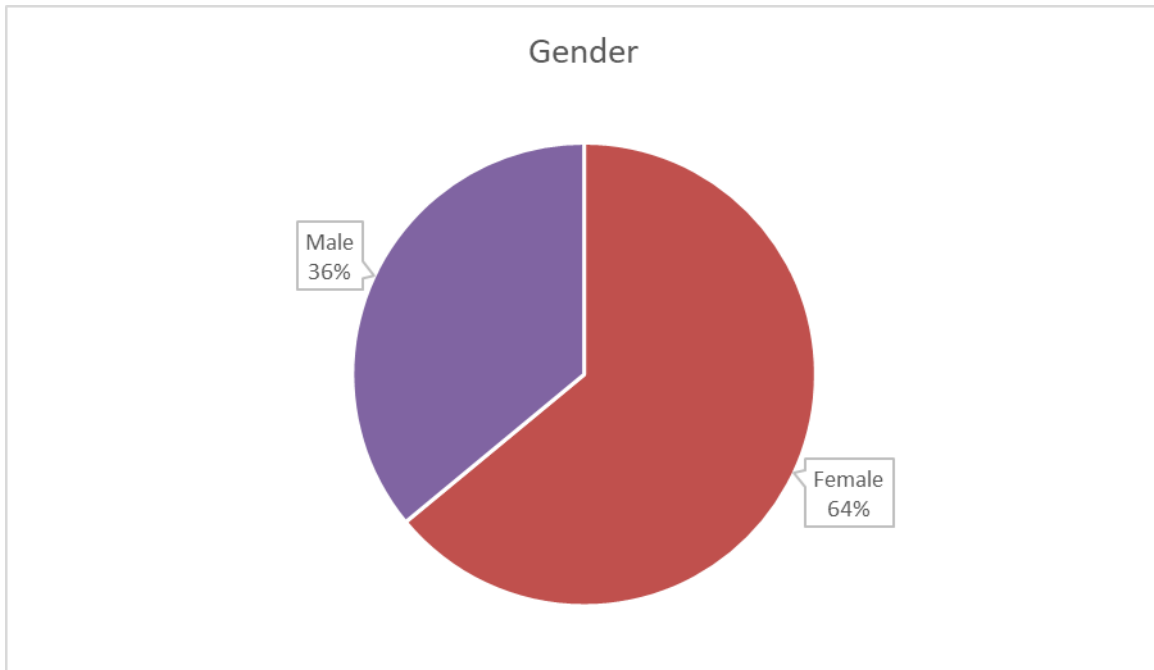
II. CURRENT WORKFORCE PROFILE (SUPPLY ANALYSIS)

Critical Workforce Competencies

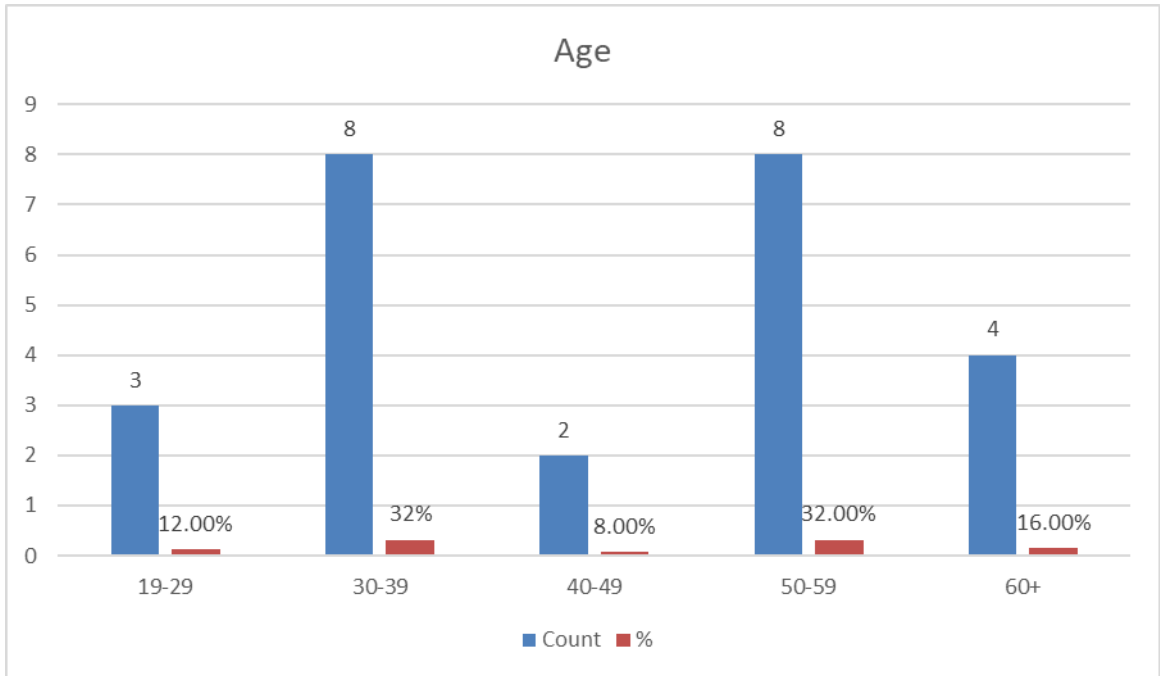
There are several critical skills that are important to TEC's ability to fulfill its constitutional and statutory duties. Without these skills, TEC could not comply with the Commission's goals and mission. The skills needed include: critical thinking, ability to interpret legislation; communication, organization, ability to write guidelines and procedures, legal research, problem solving, ability to develop long-term and short-term goals, strategic planning, risk management, financial management, ability to develop and monitor complex contracts, leadership development, willingness to learn, analyze security of information systems and data, implement security measures for computer or information systems, computer programming, develop diagrams or flow charts of system operations, and quality assurance skills.

Workforce Demographics

The following chart profiles the Commission’s total workforce. As of May 1, 2022, the Commission’s total headcount is 25 employees. This includes 24 full time and one part-time employee. The Commission’s workforce is comprised of 64% females and 36% males. Over 56% of our employees are over the age of 40. Approximately 64% of our employees have less than five years of agency service, indicating the need for continuing strong training programs to ensure our employees are well-trained to serve the State of Texas.



Source: SAO Electronic Classification Analysis System (E-Class)-Fiscal Year 2022 employees by Gender with modifications.



Source: SAO Electronic Classification Analysis System (E-Class)-Fiscal Year 2022 employees by Age with modifications.



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The following table compares the percentage of African American, Hispanic, and female Commission employees as of May 1, 2022, to the State Agencies Workforce Composition (FY 2020) is the most current on the Workforce Commission’s website). The Commission has been working to meet various diversity targets, among which are African American, Hispanic, and female positions. The agency has exceeded the total state agencies workforce statistics in these categories: Hispanic Officials, Female Officials, Female Administrative Support, Hispanic

Professionals, Hispanic Para-Professionals, Female Para-Professionals, and Hispanic Technicians.

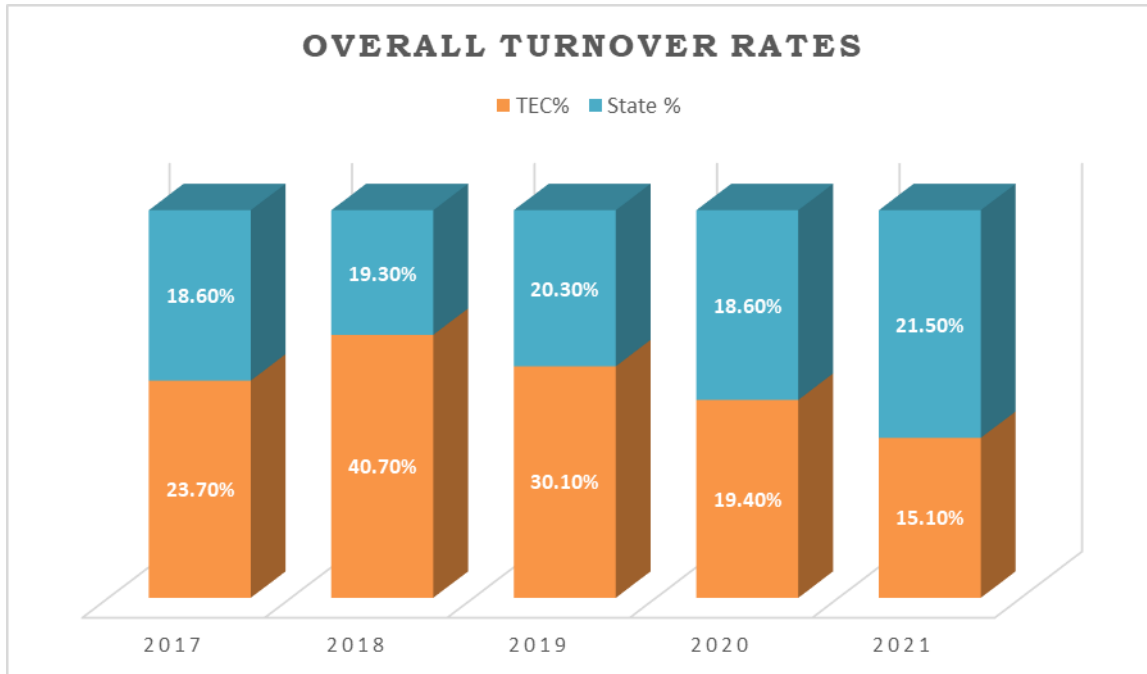
There are several categories of under-represented classes that the Commission should address, particularly African Americans in all job categories, Hispanics in Administrative Support, Female Professionals, and Female Technicians. Through its recruitment plan, the Commission continues to strive to maximize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

Job Category	African American		Hispanic American		Females	
	TEC %	State %	TEC%	State %	TEC %	State %
Officials, Administration (A)	0%	12.03%	40%	15.72%	60%	55.69%
Administrative Support (C)	14%	18.36%	29%	33.74%	86%	81.71%
Service and Maintenance (M)	0%	24.15%	0%	36.16%	0%	44.74%
Professional (P)	0 %	11.31%	34%	17.06%	50%	57.23%
Para-Professional(Q)	0%	37.07%	50%	29.28%	100%	72.18%
Protective Services (R)	0%	35.94%	0%	24.71%	0%	47.9%
Skilled Craft (S)	0%	8.5%	0%	26.85%	0%	8.05%
Technicians (T)	0%	18.54%	33.3%	26.31%	0%	61.10%
total						

Sources for State %: TWC EEO & Minority Hiring Practices Report FY 2019 – 2020 and Source: SAO Electronic Classification Analysis System (E-Class)-Fiscal Year 2022 number of employees by EEO Category, Ethnicity, And Gender

Agency Turnover

Turnover is an important issue in any organization, and the Commission is no exception. The following charts show the Commission’s turnover rate compared to the state percentages (employees who transferred to another state agency are included in the chart below), as well as a breakdown of the turnover data according to the length of agency service and age of the separating employees. Over the past five years (from September 1, 2016 to August 31, 2021), the Commission turnover rate has averaged 25.2 %, which is above the statewide five-year average of 19.7%.



Source: SAO Annual Report on Classified Employee Turnover for Fiscal Year 2017, 2018, 2019, 2020 and 2021.

As of May 1, 2022, the Commission’s overall agency turnover rate is 10.8% of the current fiscal year 2022.

Turnover by Length of Service

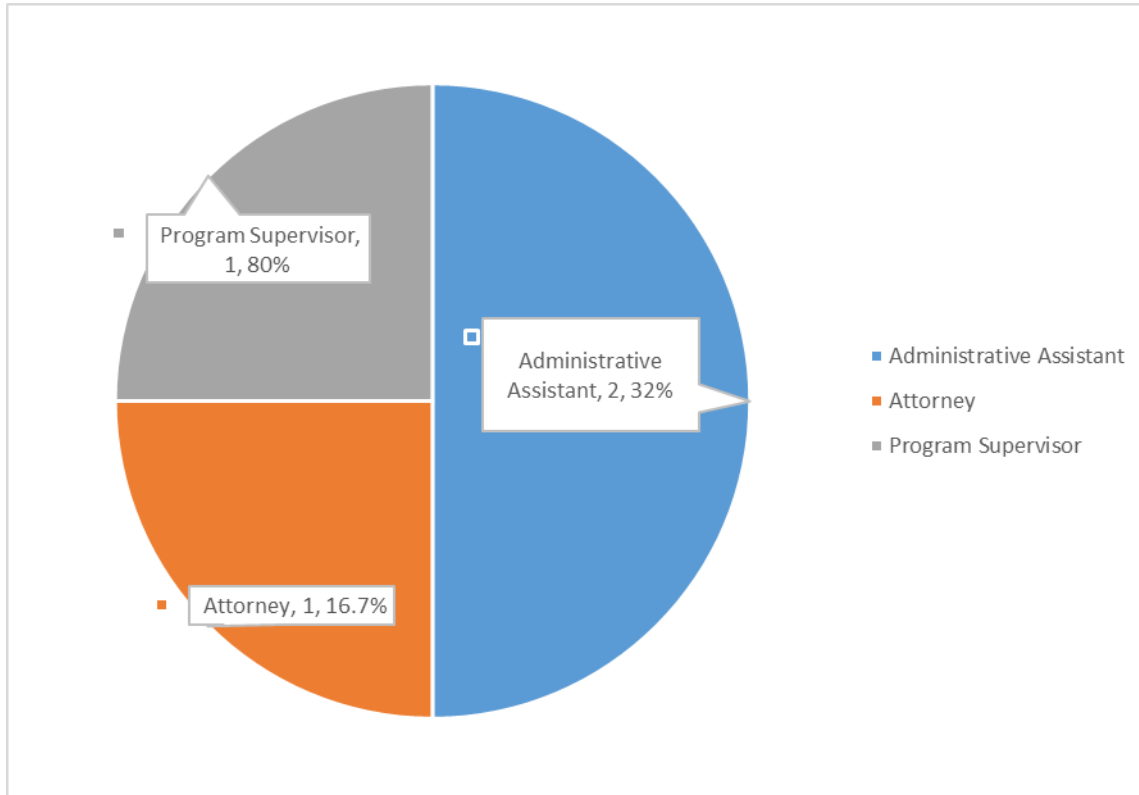
The greatest area of turnover for the Commission has been with employees who have less than 2 years of experience. This group accounted for 37.2% of the turnover over the past five years. Reasons for departure include low pay, no room for advancement, and retirement. The below chart is calculated by identifying the overall number of employees by length of agency service and comparing that to the number who termed, retired or who transferred to another state agency.

Agency Service Before Separation	FY2017 TEC %	2017 State %	FY2018 TEC %	2018 State %	FY2019 TEC %	FY 2019 State %	FY2020 TEC %	FY 2020 State %	FY2021 TEC	2021 State%	5 Yr. TEC%	5 Yr. State%
Less than 2 years	5 40.8%	39.7%	6 60%	41.2 %	4 57.1%	42.4%	3 23.1%	39.4%	1 11.1%	48.4%	37.2%	42.1%
2-4 years	1 19%	18.6%	4 57%	20.3 %	2 41.7%	20.9%	0	17.9%	1 12.5%	21.7%	27.4%	19.9%
5-9 years	0	10.5%	0	11.4 %	0	11.7%	0	9.8%	0	11.9%	0%	11.1%
10-14 years	0	9.5%	0	10 %	0	10.1%	1 50%	9.0%	1 25%	10%	16.7%	9.7%
15-19 years	1 57.1%	8.5%	0	9.3 %	0	9.6%	1 33.3%	8.8%	1 50%	9.6%	30%	9.1%
20-24 years	1 30.8%	12.3%	1 33.3%	12.9 %	1 50%	12.7%	0	12.6%	0	13%	33.3%	12.7%
25-29 years	0	18.6%	0	19.7 %	1 33.3%	20.1%	1 33.3%	17.7%	0	20.5%	14.3%	23.6%

30 to 34.99 years	0	21.0%	0	22.3%	0	21.0%	0	19.4%	0	23.6%	0%	21.4%
35 Years or More	0	18.7%	0	17.5%	0	19.3%	0	17.8%	0	19.4%	0%	21.5%
Total Separation	8	28,218	11	28,684	8	30,565	6	27,882	4	31,665	37	147,014
Total Rate	23.7%	18.6%	40.7%	19.3%	30.10%	20.3%	19.4%	18.6%	15.1%	21.5%	25.2%	19.7%

Source: SAO Electronic Classification Analysis System (E-Class) - Includes interagency transfers and SAO Annual Report of Classified Employee Turnover for Fiscal Year 2017-2021 Turnover rate is not the sum of percentages but based on number of separations and average agency headcount.

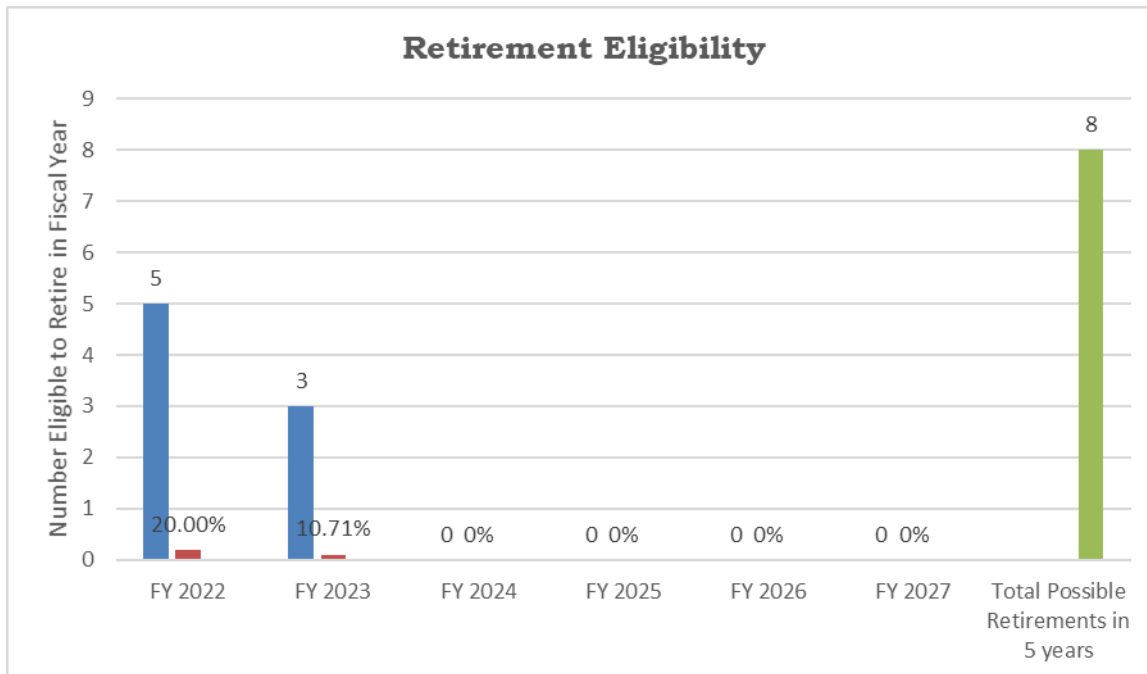
Turnover by Job Classification Series – FY 2021



Source: SAO Electronic Classification Analysis System (E-Class) Turnover Rate by Job Classification Series - Includes Interagency transfers

Retirement Eligibility and Employee Attrition Rate over the Next Five Years

With a maturing and highly experienced workforce, 20% (5) of the Commission’s current employees (24.8) are eligible for retirement at the end of Fiscal Year 2022. Of that group, approximately 20% (1) are management or lead staff. Another 10.71% (3) of the Commission’s employees will be eligible for retirement within the next five years. This represents 28.6% of the filled full-time employee workforce (est. 28 FTE eff 2023), with many of these employees occupying key positions within the agency and possible payments of over \$114,000 in lump sum entitlements. For this reason, it is important for the Commission to ensure that the agency’s knowledge and expertise is not lost. Based on past turnover trends, the projected attrition rate will be a loss of six employees per fiscal year, of which at least two will be retirees.



Workforce Skills Critical to Agency Mission and Goals

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

- Customer service skills, including clear communication and patience;
- Legal research and analysis;
- Litigation skills, including written and oral advocacy and drafting discovery requests;
- Knowledge of the laws administered and enforced by the Commission;
- Reviewing and analyzing campaign finance, lobby, and other reports filed with the TEC;
- Organization skills required to administer and enforce statewide filing requirements;
- Developing and maintaining databases;
- Data-analysis and visualization;
- Administering and maintaining a network infrastructure;
- Developing and maintaining a website; and
- Developing and maintaining Java based computer programs.

III. FUTURE WORKFORCE PROFILE (DEMAND ANALYSIS)

Critical Functions Required to Achieve the Strategic Plan

The following functions are critical to achieving the TEC's strategic plan:

- Receiving and maintaining data required to be filed with the Commission, both electronically and in hard copy, and assist persons in accessing that data;
- Respond quickly, accurately, and impartially to formal requests for advisory opinions and informal requests for legal guidance;
- Enforce the laws administered by the Commission by responding quickly and impartially to sworn complaints, performing random audits; and assessing statutory penalties for late-filed reports and impartially adjudicating their appeals; and
- Educate the public, state employees, and those subject to the laws administered and enforced by the Commission.

Expected Workforce Changes

The Commission must prepare for the departure of at least two of its Directors, who reach retirement eligibility in 2022 and 2023. These individuals are critical employees at the agency, responsible for overseeing the human resources, payroll, finances and operation and maintenance of the TEC's electronic filing system and public website. They have been at the TEC for 27 and 11 years, during which time they have procured, managed and built many of the TEC's computer systems. One has managed the TEC's relationship with its software vendors, and developed many of the TEC's internal protocols for maintaining its databases and notifying filers of pending deadlines and unpaid penalties. Their knowledge and skills will be extremely difficult for the agency to replace. When these employees retire or otherwise leave the TEC, the agency would likely need at least four new employees to cover the wide variety of responsibilities that it has come to rely on these employees to accomplish by themselves.

In addition to these potential key departures, the agency can expect, based on previous averages, to lose at least 5 additional employees during the next five years. Losing attorneys is particularly problematic for the TEC because of the unique and highly-specialized area of law that the agency administers and enforces. However, the TEC often loses attorneys to other state agencies because, on average, it pays its attorneys \$5,945.45 less than the state-agency average.⁴ Absent additional funding, the Commission will continue to look for other ways to bring its salaries closer to the state-agency average.

Future Workforce Skills Needed

Expert in data analysis and visualization

The TEC's mission, at its heart, is to inform the public about how political campaigns in Texas are financed, the activities and expenditures of lobbyists, and the financial interests of state officers and candidates. It receives and makes public large quantities of data about the political

⁴ See Schedule F, Part I., Subpart D at page 40.

contributions and expenditures of candidates and political committees, the activities of lobbyists, and the financial interests of public officials. However, it does not currently employ an expert in data analysis and visualization that could identify new and helpful ways to communicate that data to the general public. As an agency that is fundamentally built around educating the public with data, the TEC believes it should add such a professional to its staff.

Web design and software programming

In addition, some amount of legislative or technological change can be expected to occur over the next five years, requiring an increase in computer skills such as web design and software programming.

Attorney and Legal Staff

As the state population grows, so does the TEC's regulated community of local and state candidates and officials, lobbyists, and government employees. The TEC seeks to add additional attorneys and staff to account for the increased volume of requests, inquiries, and complaints.

Administrative Staff

Finally, as the hiring pool gets competitive, the need to maintain and fill critical administrative roles such as a front desk receptionist and accounts payable personnel, becomes imperative. The commission looks to fill these two critical roles as well as additional vacant and unfunded administrative positions in the commission.

Anticipated Increase/Decrease in the Number of Employees Needed

The agency currently is authorized 34.4 FTEs, but at current funding levels it is only able to afford 27.8 full time employees and has not been able to consistently retain employees at current funding levels. Increasing staffing levels to meet the number of FTEs authorized by the State would have a positive impact on the Commission's ability to achieve its mission and statutory obligations.

IV. STRATEGY DEVELOPMENT

Specific Goals to Address Workforce Competency Gap/Surplus

The Commission has determined that there are gaps in workforce numbers or skills for the next five years. These gaps are in the following skill sets: Para Professionals, and Technical. Many of these gaps are caused by staff turnover or changes in technology or laws. The Commission will continue to train its staff and adapt as needed to handle current needs and any unexpected changes in its mandates.

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

- When new employees are hired, the Commission strives to ensure that they are trained quickly and thoroughly so that our employees are well prepared to serve Texas;
- The Commission will seek appropriate funding to recruit and retain employees to the extent possible;
- The Commission will continue to follow the state recruitment plan to maximize the number of qualified minority, disabled, veteran, and female applicants for available positions within all job categories; and
- The Commission will develop in house procedural manuals to quickly train new hires and allow cross over training within.

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

SCHEDULE H: REPORT ON CUSTOMER SERVICE

Introduction

The Texas Ethics Commission directs significant resources towards providing customer service, and it is proud of the results.

Inventory of External Customers by Strategy

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

Strategy A1.1 Disclosure Filing

External Customers	Services Provided
Registered lobbyists; Elected and appointed public officials; Political committees registered in Texas; State agencies and employees; Candidates for office in all political subdivisions; All state political subdivisions (county, city, school, water districts, etc.); General public	Notify filers of pending deadlines; Provide assistance to filers and other users of the agency’s filing software and databases; Maintain the TEC’s publicly-accessible searchable database of disclosure reports and statements; Process requests for information made under the Public Information Act;

Strategy A1.2 Legal Guidance and Opinions

External Customers	Services Provided
Registered lobbyists; Elected and appointed public officials; Political committees registered in Texas; State agencies and employees; Candidates for office in all political subdivisions; All state political subdivisions (county, city, school, water districts, etc.); General public	Provide on-demand legal assistance for filers and the general public; Conduct educational seminars and publish plain-language legal guides; Research, draft, and publish advisory opinions in response to formal requests for guidance.

Strategy A1.3 Enforcement

External Customers	Services Provided
Registered lobbyists; Elected and appointed public officials; Political committees registered in Texas; State agencies and employees; Candidates for office in all political subdivisions; All state political subdivisions (county, city, school, water districts, etc.); General public	Resolve sworn complaints efficiently and impartially; Notify filers of pending deadlines, issue penalties for late-filed reports, and impartially adjudicate appeals; Recover unpaid penalties and fees for deposit in the Texas General Revenue Fund.

Strategy B.1.1 Central Administration

External Customers	Services Provided
General public; State agencies; Former employees; Vendor community	Respond to general inquiries and redirect calls to other TEC divisions; Verify prior state service and report budget structure and expenditures; Procure and process contracts for goods and services; Encourage HUB participation;

Strategy B.1.2 Information Resources

External Customers	Services Provided
Registered lobbyists; Elected and appointed public officials; Political committees registered in Texas; State agencies and employees; Candidates for office in all political subdivisions; All state political subdivisions (county, city, school, water districts, etc.); General Public	Provide technical assistance to electronic filers; Maintain the TEC’s publicly-accessible searchable database of disclosure reports and statements; Processing requests for special reports made under the Public Information Act; Assisting filers with account setup and password reset

Customer Service Performance Measures and Methodology

The Commission's method for the collection of customer feedback was an online customer satisfaction survey located in a clearly identified prominent position on our agency's website homepage. On April 13, 2022, an email requesting participation in the survey that included the link to the survey location was sent to 8,916 of Commission filers and 25,339 Form 1295 filers.⁵ Customers were given two weeks to respond to the survey. Of the 34,255 emails sent, a total of 1,281 responses of a completed customer service survey were received, which represents a 3.74% response rate.

The online survey identifies nine categories to which the person responding chooses to best describe himself or herself: (1) PFS filers; (2) lobby filers; (3) campaign finance filers; (4) certificate of interested parties (1295) filers; (5) received ethics training; (6) copy orders customers; (7) general public; (8) sworn complaints; and (9) other.

The survey was designed to gather information concerning the customer's experience with the agency in the eight customer service quality elements specified by statute: facilities, staff, communications, website, complaint, timeliness, printed information, and other. It also provides an opportunity to add comments. In FY 2021 the Commission had 4,626 persons required to file campaign finance reports,⁶ 1,803 filing lobby activities reports, and 2,729 filing personal financial statements. The following questionnaire was provided online as well as emailed to 25,339 individuals and organizations that have done business with the Commission, and the charts summarizing the results follow.

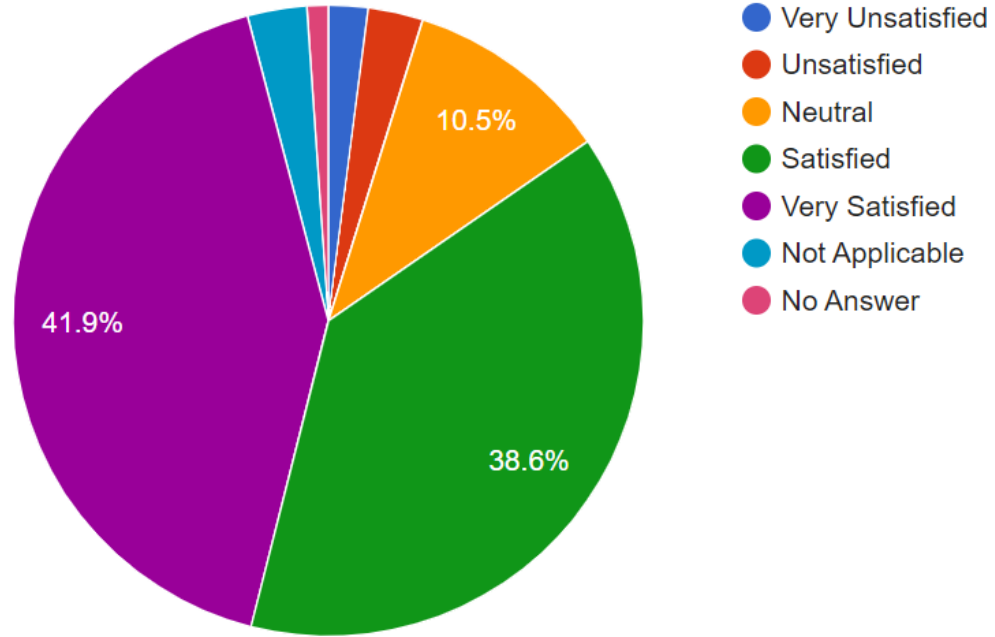
Analysis of Results

The following charts indicate by customer category the total number of responses and the average score, based on the following 1-to-5 scale: (1) Very Unsatisfied; (2) Unsatisfied; (3) Neutral; (4) Satisfied; (5) Very Satisfied; (6) N/A – Not Applicable; and (7) No Answer.

⁵ Some filers file multiple types of reports (campaign finance, PFS, and/or lobby) with the Commission. These filers received only a single email request to complete the Customer Satisfaction Survey.

⁶ This figure represents the following filers for FY 2021: 789 non-judicial candidates/officeholders; 918 judicial candidates/officeholders; 2,042 general-purpose committees; 157 specific-purpose committees (including judicial); 62 county executive committees; 73 State/county chair candidates/officeholders; 549 political party reports of corporate/labor union contributions; and 36 legislative caucuses.

Survey Overall



Totals (1281)

	Staff	Facility	Communicate	Website	Complaint	Timeliness	Printed	Survey Overall
Very Satisfied	336	245	410	505	77	271	314	537
Satisfied	145	187	306	518	79	219	320	494
Neutral	48	50	86	158	57	48	97	135
Unsatisfied	14	9	32	50	14	16	28	36
Very Unsatisfied	7	9	21	14	18	22	20	26
Not Applicable*	731	781	426	36	1036	705	502	39
No Answer*	0	0	0	0	0	0	0	14
Avg. Score	4.43	4.30	4.23	4.16	3.75	4.22	4.13	4.21

* not included in average score

Totals By Percent

	Staff	Facility	Communicate	Website	Complaint	Timeliness	Printed	Survey Overall	Average
Very Satisfied	61.1%	49.0%	48.0%	40.6%	31.4%	47.0%	40.3%	43.7%	45.1%
Satisfied	26.4%	37.4%	35.8%	41.6%	32.2%	38.0%	41.1%	40.2%	36.6%
Neutral	8.7%	10.0%	10.1%	12.7%	23.3%	8.3%	12.5%	11.0%	12.1%
Unsatisfie d	2.5%	1.8%	3.7%	4.0%	5.7%	2.8%	3.6%	2.9%	3.4%
Very Unsatisfie d	1.3%	1.8%	2.5%	1.1%	7.3%	3.8%	2.6%	2.1%	2.8%
Not Applicable *	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
No Answer*	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%
Overall Satisfactio n	87.5%	86.4%	83.7%	82.2%	63.7%	85.1%	81.4%	84.0%	81.7%

* not included in average score

Campaign Finance Filings (246)

	Staff	Facility	Communicate	Website	Complaint	Timeliness	Printed	Survey Overall
Very Satisfied	122	49	109	90	20	91	65	119
Satisfied	45	37	75	93	25	65	70	80
Neutral	15	8	13	37	15	9	23	22
Unsatisfied	5	5	11	18	4	4	10	14
Very Unsatisfied	0	3	6	5	9	10	7	9
Not Applicable*	59	144	32	3	173	67	71	1
No Answer*	0	0	0	0	0	0	0	1
Avg. Score	4.52	4.22	4.26	4.01	3.59	4.25	4.01	4.17

* not included in average score

Certificate Of Interested Parties (388)

	Staff	Facility	Communicate	Website	Complaint	Timeliness	Printed	Survey Overall
Very Satisfied	30	72	77	173	12	32	88	157
Satisfied	17	44	56	159	12	30	88	155
Neutral	9	12	22	41	14	13	27	45
Unsatisfied	0	0	1	6	1	1	1	5
Very Unsatisfied	3	0	6	5	1	3	4	6
Not Applicable*	329	260	226	4	348	309	180	17
No Answer*	0	0	0	0	0	0	0	3
Avg. Score	4.20	4.47	4.22	4.27	3.83	4.10	4.23	4.23

* not included in average score

Copy Orders (1)

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

* not included in average score

General Public/Vendor (203)

	Staff	Facility	Communicate	Website	Complaint	Timeliness	Printed	Survey Overall
Very Satisfied	42	44	60	75	13	38	45	77
Satisfied	24	31	48	91	15	38	47	84
Neutral	6	7	12	24	5	7	10	19
Unsatisfied	0	1	5	5	3	3	2	5
Very Unsatisfied	2	2	4	1	2	2	2	3
Not Applicable*	129	118	74	7	165	115	97	13
No Answer*	0	0	0	0	0	0	0	2
Avg. Score	4.41	4.34	4.20	4.19	3.89	4.22	4.24	4.21

* not included in average score

Lobby Filings (72)

	Staff	Facility	Communicate	Website	Complaint	Timeliness	Printed	Survey Overall
Very Satisfied	39	15	35	27	12	28	16	34
Satisfied	9	11	17	33	5	13	19	26
Neutral	2	5	10	5	2	3	8	7
Unsatisfied	1	0	0	7	0	1	3	4
Very Unsatisfied	0	0	1	0	1	3	1	0
Not Applicable*	21	41	9	0	52	24	25	0
No Answer*	0	0	0	0	0	0	0	1
Avg. Score	4.69	4.32	4.35	4.11	4.35	4.29	3.98	4.27

* not included in average score

Other (167)

	Staff	Facility	Communicate	Website	Complaint	Timeliness	Printed	Survey Overall
Very Satisfied	48	34	57	53	11	37	42	61
Satisfied	24	33	48	73	13	37	47	71
Neutral	8	10	17	26	13	11	13	20
Unsatisfied	4	2	6	3	4	3	6	4
Very Unsatisfied	0	1	2	1	3	2	1	3
Not Applicable*	83	87	37	11	123	77	58	6
No Answer*	0	0	0	0	0	0	0	2
Avg. Score	4.38	4.21	4.17	4.12	3.57	4.16	4.13	4.15

* not included in average score

PFS Filings (182)

	Staff	Facility	Communicate	Website	Complaint	Timeliness	Printed	Survey Overall
Very Satisfied	49	29	66	78	8	40	54	80
Satisfied	22	24	53	60	7	30	44	72
Neutral	7	6	9	23	4	4	14	17
Unsatisfied	2	1	8	9	1	3	6	4
Very Unsatisfied	1	1	1	2	0	0	4	3
Not Applicable*	101	121	45	10	162	105	60	2
No Answer*	0	0	0	0	0	0	0	4
Avg. Score	4.43	4.30	4.28	4.18	4.10	4.39	4.13	4.26

* not included in average score

Received Ethics Training (13)

	Staff	Facility	Communicate	Website	Complaint	Timeliness	Printed	Survey Overall
Very Satisfied	5	1	4	7	0	2	2	7
Satisfied	1	5	4	4	1	4	3	4
Neutral	1	1	2	2	2	1	2	2
Unsatisfied	0	0	0	0	0	0	0	0
Very Unsatisfied	0	0	0	0	0	0	0	0
Not Applicable*	6	6	3	0	10	6	6	0
No Answer*	0	0	0	0	0	0	0	0
Avg. Score	4.57	4.00	4.20	4.38	3.33	4.14	4.00	4.38

* not included in average score

Sworn Complaint (9)

	Staff	Facility	Communicate	Website	Complaint	Timeliness	Printed	Survey Overall
Very Satisfied	1	1	1	1	1	3	1	1
Satisfied	3	2	5	5	1	2	2	2
Neutral	0	1	1	0	2	0	0	3
Unsatisfied	2	0	1	2	1	1	0	0
Very Unsatisfied	1	2	1	0	2	2	1	2
Not Applicable*	2	3	0	1	2	1	5	0
No Answer*	0	0	0	0	0	0	0	1
Avg. Score	3.14	3.00	3.44	3.63	2.71	3.38	3.50	3.00

* not included in average score

Performance Measures Standards and Customer Satisfaction

Outcome Measures:

- 80.5% of surveyed customer respondents expressed overall satisfaction with services received.
- 4.6% of surveyed customer respondents identified ways to improve service delivery.

Output Measures:

- 1,281 total customers surveyed (total customers responding).
- 22,642 total customers served.

Efficiency Measures:

- \$0.00 cost per customer surveyed beyond the costs of staff time because 100% of surveys were sent via email.

Explanatory Measures:

- 22,642 total customers identified.
- 9 customer groups inventoried.