

Strategic Plan for the 2017-2021 Period



TEXAS STATE BOARD OF PLUMBING EXAMINERS



Lisa G Hill
Executive Director

Julio Cerda
Board Chair

AGENCY STRATEGIC PLAN

Texas State Board of Plumbing Examiners

For the Fiscal Years 2017 - 2021 Period

<u>BOARD MEMBERS</u>	<u>DATES OF TERM</u>	<u>HOMETOWN</u>
Julio Cerda Public Member Chair	9/05/2019	Mission
Ricardo J. Guerra, P.E. Licensed Engineer Position Secretary	9/05/2017	Austin
Enrique Castro Master Plumber Position	9/05/2017	El Paso
Tom Freeman Public Position	9/05/2021	Huntsville
Ben Friedman Journeyman Plumber Position	9/05/2021	Dallas
Janet L. Gallagher Plumbing Inspector Position	9/05/2017	Pflugerville
David Anthony Garza Commercial Builder Position	9/05/2019	San Benito
Robert Jalnos Plumbing Contractor Position	9/05/2021	San Antonio
Edward Thompson Home Builder Position	9/05/2019	Tyler

Submitted June 24, 2016

Signed: _____

Julio Cerda, Board Chair

Signed: _____

Lisa G. Hill, Executive Director

TABLE OF CONTENTS

Agency Mission	Page 1
Agency Philosophy	Page 1
Agency Planning Process	Page 1
Agency Statutory Basis	Page 1
Agency Goals	Page 2
Agency Action Plan	Page 3
Organizational Structure and Process	Page 6
Map of Service Regions	Page 9
Geographic Location of the Agency	Page 10
Human Resources - Strengths and Weaknesses	Page 10
Redundancies and Impediments	Page 11
Capital Assets and Strengths	Page 11
Expectations for Fiscal Years 2017-2021	Page 13
Effectiveness and Efficiency of the Agency	Page 15
Process for Determining Effectiveness and Efficiency	Page 17
How TSBPE Compares to other States	Page 18

APPENDICES

Budget Structure – Objectives and Strategies	Appendix A
List of Measure Definitions	Appendix B
Five-Year Projections for Outcome Measures	Appendix C
Historically Underutilized Business Plan	Appendix D
Workforce Planning and Organizational Chart	Appendix E
Survey of Employee Engagement	Appendix F
Customer Service Survey	Appendix G
Technology Resource Planning	Appendix H

AGENCY MISSION

The mission of the Texas State Board of Plumbing Examiners is to help protect the health and safety of the citizens of the State of Texas by ensuring that our drinking water, air, and medical gases are free from contaminants so that we may live and work in the safe conditions that properly installed plumbing systems are designed to provide. By offering public and industry awareness programs, we educate those that utilize plumbing systems as well as those that do or will provide plumbing systems now and in the future. Awareness and education programs are also utilized to reach those considering the plumbing profession as a career. Through fair and consistent regulation of the plumbing industry, and by examining, licensing and registering plumbing professionals, the Board ensures that qualified individuals following clear standards protect the health and safety of the citizens of the State of Texas.

AGENCY PHILOSOPHY

The Texas State Board of Plumbing Examiners affects every citizen who utilizes plumbing in the State of Texas; relies on uncontaminated drinking water, air, and medical gases; and desires to live and work in the safe conditions that properly installed plumbing systems provide.

The Texas State Board of Plumbing Examiners will fulfill the expectations of the citizens by acting in an ethical manner that is accountable, responsible, efficient and open. The Board recognizes that protection of the health and safety of the citizens is foremost in its decision making process. The Board performs its responsibilities with – honesty, integrity, diligence and respectful courtesy. Adherence to these standards continually brings the Board ever closer to its goal of achieving excellence in both organization and customer service.

AGENCY PLANNING PROCESS

The members of the Texas State Board of Plumbing Examiners view strategic planning as an ongoing process, and provide input to staff as necessary throughout the year. Agency staff provides valuable input in the strategic planning process. Several staff suggestions have been included in this published plan. Strategic plans are posted on the Agency website for the public's benefit and any comments received by the public are considered during the preparation of the current Strategic Plan. Agency management staff participates extensively in the preparation of the plan, considering input provided by all Agency staff.

AGENCY STATUTORY BASIS

The Board's enabling statute is Section 1301.251 of the Texas Occupations Code. In 1897 the legislature passed the first state plumbing license law requiring cities to adopt their own plumbing installation regulations and establish local examining boards for the purpose of examining and licensing Master Plumbers, Journeyman Plumbers and Plumbing Inspectors.

Prior to that a license was valid only within the city that issued it and reciprocity between cities was rare. Examination requirements also varied widely from city to city.

In 1947, the legislature passed the Plumbing License Law of 1947, which created the Texas State Board of Plumbing Examiners to provide for uniform statewide examining and licensing of Master Plumbers, Journeyman Plumbers and Plumbing Inspectors.

The Texas State Board of Plumbing Examiners is subject to Chapter 325, of the Government Code, the Texas Sunset Act. Under the Texas Sunset Act, the Texas State Board of Plumbing Examiners (TSBPE) will be abolished effective September 1, 2019, unless continued in existence by the Legislature as provided by the Act. If abolished, TSBPE may continue until September 1, 2020, to close out its operations.

The Texas State Board of Plumbing Examiners has consistently generated sufficient revenues to carry out its statutory duties, in that it has not received funds from any other state or federal source other than the fees collected from its licensees and registrants. All fees for examinations; initial and renewal of licenses, duplicate licenses, endorsements, and registrations; and administrative penalties collected are deposited into General Revenue Fund 0001. The Board is required to collect fees at least equal to the Agency's appropriations and other un-appropriated indirect costs.

In addition, the Board collects other revenues as appropriated receipts, such as sales of Plumbing License Law and Board Rule publications and Open Records requests.

PRIMARY AGENCY GOALS

A. Goal

ENSURE PUBLIC HEALTH THROUGH SAFE PLUMBING BY LICENSING AND REGULATION OF PLUMBERS - To protect the health and safety of Texas citizens by ensuring that each person has access to uncontaminated drinking water, air and medical gases through quality plumbing systems installed and maintained by competent Master Plumbers, Journeyman Plumbers, Tradesman Plumber-Limited Licensees, Plumber's Apprentices, Residential Utility Installers, Drain Cleaners, Drain Cleaner-Restricted Registrants and that the systems are inspected by competent Plumbing Inspectors; to ensure that all individuals involved in the installation, maintenance and inspection of plumbing systems in each city and public water system in the state are regulated by fair and responsive enforcement of clear standards, in order that the public may live and work in the safe environment that properly installed plumbing systems provide.

B. Goal

INCREASE USE OF HISTORICALLY UNDERUTILIZED BUSINESSES (HUBs) - Establish and implement policies governing purchasing and public works contracting that will foster meaningful and substantive inclusion of HUBs. (Government Code, Chapter 2161)

AGENCY ACTION PLAN

The Texas State Board of Plumbing Examiners affects every citizen who utilizes plumbing in the State of Texas; relies on uncontaminated drinking water, air, and medical gases; and desires to live and work in the safe conditions that properly installed plumbing systems provide.

The main functions of the Board include:

- administering written and hands-on practical examinations for Tradesman Plumber-Limited Licensees, Journeyman Plumbers, Master Plumbers, Plumbing Inspectors, Water Supply Protection Specialists, Medical Gas Piping Installers and Multipurpose Residential Fire Protection Sprinkler Specialists
- reviewing criminal histories of applicants
- issuing registrations for Plumber's Apprentices, Drain Cleaners, Drain Cleaner-Restricted, and Residential Utilities Installers
- suspending and revoking licenses and registrations; denying when necessary
- renewing licenses, registrations and endorsements
- investigation of consumer complaints
- monitoring of plumbing job-sites for compliance with the Plumbing License Law and Board Rules
- imposing administrative penalties
- issuing citations to alleged violators
- approving Providers and Instructors of Continuing Professional Education classes
- monitoring the material presented in Continuing Professional Education classes and other board required training classes
- assisting local authorities with enforcement of the Plumbing License Law

The Board believes that to properly carry out its mission, it must endeavor to educate the industry and consumers in the requirements of the Plumbing License Law and the hazards of improperly installed plumbing. In this public awareness effort, the Board utilizes its website and also conducts awareness seminars for plumbing trade schools, high schools, universities, municipal inspection departments and associations, plumbing companies and plumbing trade associations.

Included in many of the seminars is the Board's unique cross-connection prevention demonstration unit that houses a display of see-through fixtures and piping which demonstrate how easily our drinking water can be contaminated by improperly installed plumbing systems.

These seminars additionally serve to provide information to individuals who are making career decisions and may be encouraged to consider the plumbing industry as a career path.

Section 1301.202 of the Plumbing License Law states, in part, that it is one of the Board's duties to employ one or more examiners to ". . . examine the fitness and qualifications of a person applying to the Board for a license . . ." The Board takes this charge seriously.

This process begins with the review of applications, including applicants with criminal histories.

The Board's examinations and Examination Center are recognized across the United States as setting a high standard in the plumbing industry.

Currently, separate examinations are given for Journeyman Plumber, Master Plumber, Tradesman Plumber-Limited, Medical Gas Piping Installation, Water Supply Protection Specialist, Multipurpose Residential Fire Protection Sprinkler Specialist and Plumbing Inspector.

All of these examinations, with the exception of the Water Supply Protection Specialist examination, consist of thorough written and hands-on-practical sessions that ensure that licensed plumbers and plumbing inspectors who work with public water supplies, sewage disposal, natural gases and medical gases have the qualifications, knowledge, skills, and competencies to do their jobs properly. The Board's examination center allows the Board to conduct the practical examinations.

The life of any plumbing system, large or small, is directly related to the preparation and assembly of the materials that go into the making of the plumbing system. It is difficult to detect improper preparation of materials once the materials are assembled and installed in the plumbing system, until the system fails. The failure of a plumbing system can result in considerable expense to the consumer, fires, explosions, serious health problems and even death. For this reason, the practical portion of a plumbing examination is critical to ensure the applicant can demonstrate their ability to properly prepare and assemble plumbing materials used in plumbing systems. After an applicant assembles materials during the examination, the materials are disassembled and the applicant is graded on how well the materials were prepared prior to assembly.

Examinations are provided in English and Spanish languages. The written portions of the Tradesman Plumber-Limited and Journeyman examinations are provided in three areas of the state: Austin, the Rio Grande Valley and El Paso. In addition the specialty endorsements for Plumbing Inspectors are also offered for groups of 10 or more in Houston and the Dallas/ Fort Worth areas.

Once a person successfully receives a registration or license, it must be renewed annually by meeting all renewal requirements, including continuing professional education. Licensees and registrants who have received criminal convictions since their last renewal are reviewed for eligibility prior to renewal. Reviews are performed on a case by case basis. Informal face to face conferences are offered as necessary to determine the fitness of the applicant.

Rigorous and pro-active enforcement of the plumbing regulations is critical to the health and safety of the citizens of Texas. Unlicensed plumbing contractors are of particular concern to the Board. Due to the importance of the examination process, the Board strives to identify unlicensed activity, taking action against unlicensed individuals practicing plumbing in violation of the Plumbing License Law.

Enforcement and regulation occurs through the receiving and investigation of

complaints, checking compliance of plumbing practices and plumber and plumbing inspector licenses at job sites, issuance of reprimands, revocation or suspension of licenses, and issuance of citations, administrative penalties, and cease and desist orders to individuals who violate the Plumbing License Law, or rules and regulations of the Board.

The Board seeks voluntary compliance and informal resolutions to all complaints and violations whenever possible. The Board utilizes an informal conference setting to achieve settlement and compliance. Whenever settlement is not possible, the Board pursues complaint cases through the administrative hearing process at the State Office of Administrative Hearings (SOAH).

Additionally, the Board monitors the Continuing Professional Education courses that are required for license renewal, on a random basis, to ensure all courses meet the minimum requirements of the Plumbing License Law and Board Rules. Without the objective enforcement administered by the Board, industry compliance with the Plumbing License Law could be expected to be minimal, putting health and safety at risk.

The Board has found that most licensed plumbers desire to do the right thing, by complying with the laws and rules that regulate their industry. However, without the Board's efforts to reach out to the industry to inform it of what is expected in the way of compliance, many individuals would find themselves unintentionally violating the regulations. An educated consumer is able to make better decisions when choosing a plumber when the consumer knows what is expected of the plumber and understands the health and safety hazards associated with improperly installed plumbing. Additionally, when the plumber knows that the consumer possesses such knowledge, the plumber is more likely to deliver better service. The Board's website includes a feature that allows citizens to search license and registration status, scope of work permitted for each type of license and registration and to verify a responsible master plumber's association with a particular plumbing company and has a certificate of insurance on file. For these reasons, the Board's awareness seminars and internet website are important to both the plumbing industry and the consumer.

The regulation of plumbing system installations by qualified plumbers and inspecting of those plumbing systems by qualified plumbing inspectors are critical to the health and safety of the citizens of Texas. Improperly installed plumbing systems can cause and actually have caused injury and death through explosions, fires, hospital medical gas contamination, and noxious fumes. Improperly installed plumbing systems can transmit diseases that include typhoid fever, diarrhea, cholera, and amoebic and bacterial dysentery. Sickness or death can occur when noxious fumes such as carbon monoxide, methane gas, and fuel gas are not properly ventilated by our plumbing systems. Improperly installed medical gas systems can deliver contaminated or cross-connected medical gases to hospital patients causing sickness and death.

The public looks to the Texas State Board of Plumbing Examiners to ensure, to the best of its ability, the quality of plumbing work that it receives. The public also expects the Board to respond to complaints regarding the plumbing industry in a timely and responsible manner.

Positive feedback from the public is a key indicator of the satisfaction of Board customers. Continued industry support and participation in public meetings related to the plumbing industry is another key indicator of customer satisfaction.

ORGANIZATIONAL STRUCTURE AND PROCESSES

The Board is composed of nine members, who serve six-year staggered terms. All Board members are appointed by the Governor and confirmed by the Senate. One member of the Board shall have had at least ten years practical experience and be licensed as a Master Plumber, one member shall have had at least five years practical experience and be licensed as a Journeyman Plumber, one member shall be a plumbing contractor with five years experience, one member shall be a licensed professional engineer, two members shall be building contractors with five years contracting experience (one of whom shall be principally engaged in home building and one of whom shall be principally engaged in commercial building), and one member shall have had at least five years practical experience and be licensed as a plumbing inspector. Two members must be representatives of the general public. The Governor appoints the presiding officer of the Board. The Board considers public and industry input.

The Board proposes and adopts rules and sets policy as necessary to carry out the enabling statute. The Board employs an Executive Director to carry out the policies and rules adopted by the Board.

The Board's Executive Director directly supervises one Staff Attorney and the Director of Financial Operations & Human Resources; the Accountant; the Director of Enforcement; the Director of Examination and the Executive Assistant to the Director and Board. The Director of Enforcement supervises the Chief Investigator and three Administrative Assistants. The Staff Attorney leads one Paralegal and an Intern/Law Clerk. The Chief Investigator, under the supervision of the Director of Enforcement, supervises twelve Investigators, who are located around the state. The Director of Examination supervises three Examiners and one Administrative Examination Assistant, who enters new and returning exam applicant information and maintains applicant qualification history. The Executive Assistant to the Director and Board supervises one Licensing Coordinator who processes renewals and initial licenses, Customer Service Representatives who assist licensees and registrants with the renewal process, one Customer Service Representative who serves as the Agency's Receptionist and enters and maintains certificates of insurance and proof of education required for Responsible Master Plumbers, and one Customer Service Representative who processes Plumber's Apprentice applications and assists licensees and registrants with the online renewal process. The Agency's Purchaser, supervised primarily by the Executive Director, also assists with the processing of initial registration applications and renewal calls. Management has adopted policies and procedures to place customer service first and to cross train as a necessity to maintain a prompt level of service.

The Examination and Licensing program provides examinations for Master Plumber, Journeyman Plumber, Tradesman Plumber-Limited Licensee, Plumbing Inspector, Medical Gas Endorsements, Multipurpose Residential Fire Protection Sprinkler Specialist Endorsements and Water Supply Protections Specialist Endorsements and

issues and renews licenses for successful applicants. The Board also administers the registration of Plumber's Apprentices, Residential Utilities Installers, Drain Cleaners and Drain Cleaner-Restricted Registrants.

The Master Plumber, Journeyman Plumber, Tradesman Plumber-Limited Licensee and Medical Gas Piping Installation endorsement examinations include a "hands on" practical portion, as well as a written portion. The Plumbing Inspector examination is a written examination with a "hands on" mock inspection of model plumbing systems. The Water Supply Protection Specialist examination is a written examination.

All of the examinations are given at the Board's examination center located in Austin. In addition, the Board offers the written portion of many of the examinations in both El Paso and the Valley area monthly or as needed. The Agency also works with political subdivisions to offer specialty endorsement examinations in the more heavily populated areas on an as needed basis. This ensures the political subdivisions have the ability to provide the required plumbing inspections and can more quickly gain specialized endorsements for their qualified inspectors.

All licenses and registrations renew annually; license endorsements renew every three years. All licensees and registrants are required to obtain six hours of Continuing Professional Education for renewal of the license or registration. All licenses, registrations and endorsements may be renewed online as well as all initial applications for registrations, licenses, endorsements and examinations.

The Enforcement Program provides for enforcement of the Board's enabling statute, including:

- the intake and investigation of consumer complaints
- perform compliance checks and monitoring of plumbing jobs
- monitoring of Continuing Professional Education programs
- cooperative enforcement with local municipalities and municipal Plumbing Inspectors
- proactive enforcement through public and industry awareness
- imposition of administrative penalties
- issuing and filing of citations in local Justice Courts
- monitoring of repeat or serious violators of the Plumbing License Law and Board Rules; and subsequent referral to the Enforcement Committee for review
- implementation of administrative penalty program by pursuing cases through the State Office of Administrative Hearings (SOAH), including suspension and revocation of licenses and administrative penalties.

The Indirect Administration function provides for supervision of all Agency staff. Indirect Administration performs all accounting, payroll, performance, purchasing, reporting, human resource, information resource and other administrative tasks required by the state to operate properly and efficiently.

The Board utilizes two of its twelve Investigator positions primarily for the investigation of cyber complaints, advertisement violations and internally generated complaints, in addition to tracking and monitoring of Board approved professional education Instructors and Providers while headquartered in the Austin office. These investigators also assist in the Examination Center and perform other duties as needed.

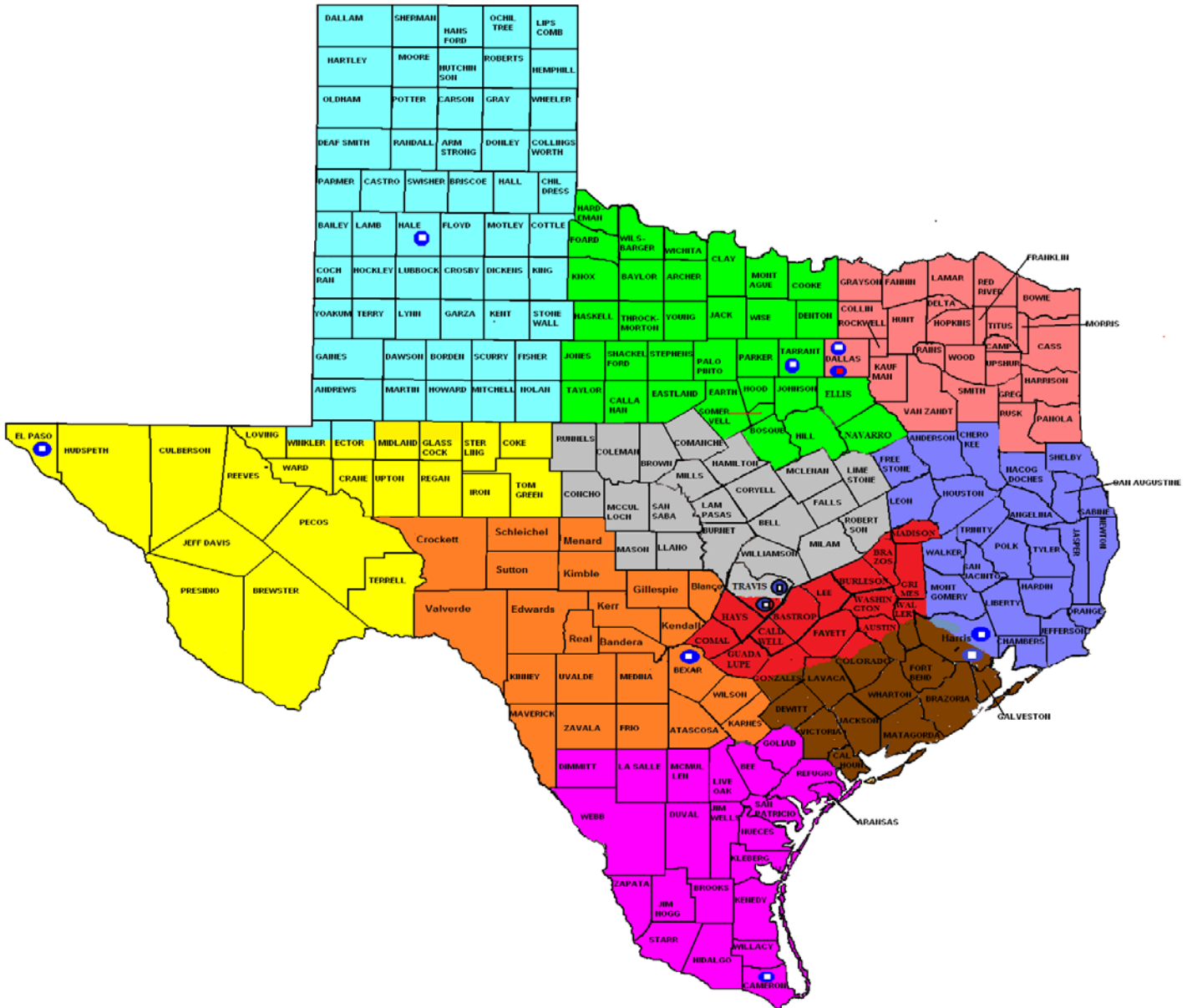
The other ten Investigators work from their homes, located in the following areas:

- San Antonio
- Dallas
- Fort Worth
- Harlingen
- El Paso
- Austin
- Houston
- Lubbock/Panhandle/West Texas

TEXAS STATE BOARD of PLUMBING EXAMINERS

Field Investigator Districts

Investigators may be contacted through the Enforcement Department at 512-936-5249



Chief Field Investigator/Statewide

Dallas/NE - Fort Worth/North Central - Austin/Central

San Antonio/Southwest - Harlingen/South - Houston/NW

Houston/Northeast - Houston/Southwest - Lubbock/Panhandle - El Paso/West

Revised 6/21/2016

GEOGRAPHIC LOCATION OF THE AGENCY

Since 1981 the Board's administrative office and examination center have been centrally located at 929 East 41st Street, Austin, Texas, 78751. The office is easily accessible and centrally located for both consumers and examinees. The building is leased under a contract negotiated and administered by the Texas Facilities Commission.

LOCATION OF SERVICE POPULATION

The Texas State Board of Plumbing Examiners serves the entire population of the state in all regions of the state. Consumers located in or near the Austin area find the Board's physical location convenient and easily accessible.

HUMAN RESOURCES AND STRENGTHS AND WEAKNESSES

The greatest strength of the Board's human resources are the number of employees who possess experience and expertise in the plumbing industry. Sixteen (16) of the Board's employees, including the Executive Director, Director of Enforcement, Director of Examination, Chief Investigator, Investigators and Examiners, are licensed plumbers. Another strength is the cross training between the Examination and Enforcement departments. The Executive Director, Director of Enforcement, Chief Investigator, and all Investigators obtain certification by the Council on Licensure, Enforcement, and Regulation (CLEAR) as Investigators. As of the submission date of this report, 12 employees (FTEs), or 42.9% have been with the Agency more than 10 years. Additionally, 15 employees (FTEs), or 53.6% have been with the Agency for more than five years. Through Fiscal Year 2015 the Agency's turnover rate has continued to remain relatively low.

Agency Turnover Rates

FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016 (to date)
13.0%	20.8%	8.7%	11.1%	3.7%	15%
3 FTEs	5 FTEs	2 FTEs	3 FTEs	1 FTE	5 FTE
					(Includes 2 retirees and 2 relocations)

The Board's turnover rate has remained relatively low due to quality leadership and the dedication employees have towards the Agency's mission to protect the health and safety of Texas citizens.

Employee performance is achieved by assuring that each employee is made aware of the important role they have in the function of the Agency. Each employee carries a sense of pride knowing that he or she plays an important role in the protection of the public's health, safety and welfare.

*The Agency's turnover rate was 3.7% compared to the State average of 18.0% for FY2015.

REDUNDANCIES AND IMPEDIMENTS

The Agency has determined that the following redundancies and impediments should be addressed within its planning process.

1. The review and possible elimination of the Annual Report of Non – Financial Data required by TEX. GOV'T CODE ANN §2101.0155

The Agency works to meet all financial reporting requirements in a timely manner, however, the elimination of this annual requirement to prepare this report would free staff to service its growing customer population. Information contained in this annual report can easily found in other financial reports.

2. Streamlining CHAPTER 1301 and Board Rules (22 TEX.ADMIN CODE) relating to individuals licensed in other states wishing to enter the plumbing trade in Texas.

An increase in the construction industry has compounded the need for more qualified licensed plumbers. The industry as a whole appears understaffed. While there is no substitute for proof through examination, Agency staff believes it can develop ways to expedite licensing individuals who are already licensed in another state with similar licensing requirements.

CAPITAL ASSETS AND STRENGTHS

One of the Board's greatest assets is its examination center. The Board's examinations and Examination Center are recognized across the United States as setting a high standard in the plumbing industry. Currently, separate examinations are given for Journeyman Plumber, Master Plumber, Tradesman Plumber - Limited, and Medical Gas Piping Installation, Water Supply Protection Specialist, Multipurpose Residential Fire Protection Sprinkler Specialist and Plumbing Inspector. All of these examinations, with the exception of the Water Supply Protection Specialist examination, consist of thorough written and hands-on-practical sessions that ensure that licensed plumbers and plumbing inspectors who work with public water supplies, sewage disposal, natural gases and medical gases have the qualifications, knowledge, skills, and competencies to do their jobs properly. The Board's examination center allows the Board to conduct the practical examinations.

The Agency's unique cross-connection prevention demonstration unit is another noteworthy asset of the Agency. It houses a display of see-through fixtures and piping that demonstrates how easily our drinking water can be contaminated by improperly installed plumbing systems.

FISCAL ASPECTS OF THE AGENCY

The Texas State Board of Plumbing Examiners has consistently generated sufficient revenues to support its operations, in that it has not received funds from any other state or federal source other than the fees collected from plumbers. All fees for examination,

initial and renewal of licenses, duplicate licenses, endorsements, and registrations; and administrative penalties collected are deposited into General Revenue Fund 0001.

The Board is required to collect fees at least equal to the Agency's appropriations and other un-appropriated indirect costs.

In addition, the Board collects other revenues as appropriated receipts, such as sales of Plumbing License Law and Board Rule publications and open records requests.

BUDGETARY LIMITATIONS

The Texas State Board of Plumbing Examiners' budget is limited by the General Appropriations Act, Article VIII, which limited the Texas State Board of Plumbing Examiners to a maximum of 33.0 FTEs for fiscal years 2016 and 2017. This included appropriations for three additional FTE positions for the Examination, Licensing and Enforcement Departments.

DEGREE CURRENT BUDGET MEETS AGENCY NEEDS

The *Texas Economic and Population Forecast*, prepared by the Texas Comptroller of Public Accounts and the Texas State Data Center, has determined that the much of the state's population growth is projected to come from the large urban counties of Harris, Dallas, Tarrant, Bexar and Travis. These counties alone were projected to increase by 5.6 million people between 2010 and 2050.

This will in turn increase the demand for licensed plumbers, plumbing inspectors and plumber's apprentices. Industry growth will continue to increase the demands on the Agency, especially in the area of issuance and renewal of licenses and registrations, examinations, enforcement, complaint investigation and compliance checks.

As of June 1, 2016, the Agency had a total of 30 Full Time Employees (FTE). The Agency will be hiring and or replacing 3 additional person including the replacement of two retirees in 2016 to reach its limit of 33 FTEs. The Agency currently has only 18 FTEs to perform the Agency's functions of issuing and renewing licenses, reviewing criminal backgrounds of applicants with criminal convictions, scheduling, administering and grading examinations, assisting consumers with complaints, accounting and human resources. As with most small agencies, many of these employees are assigned to multiple responsibilities, which cross strategies. Apart from these 18 FTEs, the Agency has 12 Investigators assigned to the enforcement strategy to investigate complaints, monitor job sites, and identify violations located across the state.

In addition, the Agency now has one staff attorney and one paralegal to investigate and prepare contested cases involving violations of the plumbing license law and denials of applications of individuals that have past criminal convictions.

In the Legislative Appropriation Request (LAR) process for the 2018 -19 biennium, the Board most likely will be required to submit a supplemental schedule detailing how they would reduce their budget by an additional 10 percent (in 5% increments).

Looking forward, the Agency will seek every possible efficiency to reduce the effects on customer service and performance measures in the event a budget reduction is implemented. In order to meet a 5% or 10% budget reduction, however the Agency would be forced to reduce its current number of FTEs. The Agency must continue providing its basic functions, regardless of possible budget reductions.

In the event of budget reductions, the Agency must look to eliminating positions which would allow the Agency to continue issuing and renewing licenses, reviewing criminal backgrounds of applicants with criminal convictions, scheduling, administering and grading examinations, processing consumer complaints, as well as accounting and human resource functions.

Only by reducing the number of Investigators and Examiners could the Agency continue to provide each of these functions. However, complaint investigation, compliance checks, and identification of violations would be provided at a reduced level.

The Agency would lose approximately five Investigators if the full 10% reduction was implemented.

EXPECTATIONS FOR FISCAL YEARS 2017- 2021

We expect the demands on the Agency to issue and renew licenses and registrations; review criminal backgrounds of applicants with criminal convictions; impose administrative penalties on violators; schedule, administer and grade a variety of types of examinations; process consumer and industry complaints; provide public awareness demonstrations; monitor required educational courses; and perform accounting and human resource functions will increase.

The Board considers that it has two basic groups of service populations, one being the general public or citizens of the state, and the other the individuals who are regulated by the Agency.

The Board continues to serve the general public and the citizens of the state and the individuals who are regulated by the agency. These categories include complainants, respondents, licensees, registrants, examination applicants, political subdivisions, persons requesting public information, and persons attending public meetings of the Board.

Education Level and Age Demographics: All licensees, except for the Tradesman Plumber-Limited Licensee, must meet the minimum education requirement of obtaining a high school diploma or general equivalency diploma (GED). There is no minimum education requirement for the Tradesman Plumber-Limited Licensee or any Registrant.

The current average and median age of the Agency's licensees and registrants is:

<u>Type of licensee/registrant</u>	<u>Median age</u>	<u>Average age</u>
Master Plumber (Contractor)	54	54
Journeyman Plumber	45	46
Tradesman Plumber-Limited	35	37
Plumbing Inspector	55	55
Plumber's Apprentice	33	35

FUTURE TRENDS

Changes in the demographics of the Board's citizen service population will not affect the need for the regulation of the plumbing industry and the need for the Board to service its customers. Regardless of demographic changes, the public will continue to need uncontaminated drinking water, air and medical gases. However, as the citizen service population grows, so will the demands on Agency personnel and the need for knowledgeable and licensed plumbers.

The *Texas Economic and Population Forecast*, prepared by the Texas Comptroller of Public Accounts and the Texas State Data Center, predicts a 1.6% annual increase in the Texas resident population through fiscal year 2019.

Because of the national, state, local and family focus on our children's completion of at least basic education levels, it is expected that the education level of individuals who become licensed by the Agency will increase over the next five years. Changes in the demographics of the Board's regulated service population will require the Board to provide additional services through increased availability of information technology.

The need for regulation of the plumbing industry will continue to exist in the future. The protection of the health and safety of the citizens who utilize plumbing in the State of Texas and rely on uncontaminated drinking water, air, and medical gases will be as important in the future, as it is today. In fact, this will be even more important as the concern for adequate supplies of drinking water sources increases. For this reason, the Agency, through its educational seminars, and the industry are continually working to encourage young adults to enter the industry, so the aging population of the licensees and registrants will be reinforced with a younger population of qualified licensed plumbers.

ECONOMIC VARIABLES

Customer demand on the Agency is very closely related to economic conditions, especially in the construction industry. Increases in new construction mean an increase in demand for licensees and registrants, as well as an increase in citizens who require the services of the industry and the Agency. An increased number of licenses and registrations are expected to be issued and renewed, as well as an increase in the complaints that will be filed by Texas citizens. It is expected that the licensee population will also increase. The *Texas Economic and Population Forecast*, prepared by the Texas Comptroller of Public Accounts and the Texas State Data Center, predicts a 1.6% annual increase in the Texas resident population through fiscal year 2019.

The Board continues to receive inquiries from individuals planning to relocate to Texas to work in the plumbing industry. The Agency will respond to this expected increase and demand on Agency personnel by continuing to monitor economic conditions and trends in the industry, striving to maintain its low FTE turnover rate, increasing efficiency, further utilizing technology, and requesting additional FTEs as necessary.

IMPACT OF LOCAL GOVERNMENTAL REQUIREMENTS

The Board's Investigators work with local municipal and other political subdivision authorities in cooperative enforcement of the Plumbing License Law and Board Rules.

Most often, the Board works closely with the licensed Plumbing Inspectors in those jurisdictions. Licensed Plumbing Inspectors are employed by political subdivisions for the purpose of inspecting plumbing work to ensure compliance with local ordinances regulating plumbing. Plumbing Inspectors are authorized by the Plumbing License Law to enforce the Plumbing License Law within the jurisdiction of which they are employed. Local government regulations have not impacted the Agency and none are anticipated.

EFFECTIVENESS AND EFFICIENCY OF THE AGENCY

Since its creation in 1947, the Texas State Board of Plumbing Examiners has been continually challenged to meet the needs of the constantly evolving and modernizing industry that it serves. The most significant accomplishment of the Board is that it has been able to meet these changing needs while maintaining focus on its mission to protect the health and safety of the citizens of the state.

The Board believes this is evident when considering that the Board's regulation of the plumbing industry has helped to keep plumbing related accidents to a minimum.

Some additional examples of the Board's significant accomplishments and evolution are:

- As materials and methods for the installation of plumbing have become more sophisticated, the Board has accepted and fulfilled its responsibility to continually review the examination process and qualifications of applicants ensuring that only qualified applicants receive and maintain a license. The Board continually evaluates and revises all examinations to ensure they meet current codes and standards.
- Changes in the Board's enforcement program since 1993 have been significant. The implementation of the issuance of citations and placement of Investigators around the state had a remarkable effect on enforcement and compliance with not only the Plumbing License Law and Board Rules, but local ordinances regulating plumbing as well.
- The authority to impose administrative penalties granted to the Agency by the 78th Legislature has further increased compliance with the Plumbing License Law and Board Rules.

- The efforts of the Board's Enforcement Committee in reviewing the criminal histories of applicants and the effects of administrative actions taken against licensees and registrants who violate the Plumbing License Law and Board Rules are far reaching.
- The law-abiding plumbing community and consumers who have had their complaints thoroughly investigated and fairly resolved appreciate the Board's current reputation for its enforcement practices.
- The implementation of the Continuing Professional Education (CPE) requirement for licensed Plumbers, Plumbing Inspectors and Plumbers Apprentice registrants is one of the more significant accomplishments of the Agency. CPE has proven to be an extremely beneficial program to the licensees, as well as the consumers of the licensee's services. The increase in the licensee's awareness of current issues, changes in plumbing codes, and the laws and rules that regulate the plumbing industry, have been immeasurable.
- While maintaining the high standards of the Board's examination, the Board has been responsive to the plumbing industry by providing the written portion of its Tradesman Plumber-Limited, Journeyman and Master Plumber examinations in both English and Spanish. Applicants whose preferred language is Spanish believe this to be a major accomplishment.
- To further accommodate applicants, the Board provides the written portion of the Journeyman and Tradesman Plumber-Limited examination in El Paso and the Rio Grande Valley area. Inspector specialty endorsement examinations are now offered in the Houston and Dallas/Fort Worth areas to assist political subdivisions in meeting an increased need for qualified plumbing Inspectors.
- The implementation of the Multipurpose Residential Fire Protection Sprinkler Specialist, Water Supply Protection Specialist and Medical Gas Piping Installation Endorsement training and examinations for Master and Journeyman Plumbers is another example of changes in the plumbing industry that have addressed a vital health and safety need.
- The Board has increased public and industry awareness significantly with the implementation of the Agency website and public awareness seminars conducted by the Board around the state. The Board understands the importance of industry and public outreach, in order to seek input regarding Agency functions.
- The Board strives to go beyond meeting only the minimum requirements of law to inform the industry and public of important matters of the Board.

The Agency continues to see an increase in the demand for public awareness and consumer education programs. In addition to presenting education seminars to individuals who are making career decisions, the Agency also encourages individuals to consider the plumbing industry as a career path.

The fact that the Board has been able to achieve so many milestones, remain current with the progression of the plumbing industry and maintain its focus on its mission, while carrying out its day-to-day activities with only (33) full time employees, that renew and issue licenses and registrations, examine, and monitor individuals within the plumbing industry is remarkable. The plumbing industry, collectively hold over 73,000 licenses and registrations and approximately 14,279 current and renewable endorsements.

PROCESS FOR DETERMINING EFFECTIVENESS AND EFFICIENCY

Department managers review performance measures of their respective departments on an ongoing basis. Department meetings are held as needed by the department managers and respective staff to discuss performance issues. Performance measures are discussed and evaluated during meetings of the department managers and the Executive Director. The Executive Director reviews and analyzes the information provided and adjusts priorities and activities accordingly. Department performance reports are compiled by department managers and provided to the Executive Director for review.

Prior to each Board Meeting, the statistical data provided regarding each Investigator's activities include the number of notices of non-compliance issued, compliance checks performed, complaints investigated, classes monitored, and seminars conducted. Information regarding Enforcement Committee activities includes the number of applicants for examination and license renewal whose criminal histories were reviewed, the number of complaint cases reviewed and the number of administrative penalties imposed.

The examination and licensing information statistics reviewed by the Board include the number of each type of examination given, pass rates for each type of examination and number of licenses issued and renewed.

A complete report of the Board's financial status is also provided at each Board meeting. The Executive Director reports on all activities and significant matters of the Agency. The Board formally reviews and analyzes the information provided and adjusts priorities and activities accordingly. The Board uses the information provided as a basis for policymaking. Managers meet after each of the Board meetings.

Providers of Continuing Professional Education distribute information on Agency performance to licensees during the Continuing Professional Education courses.

In turn, the industry utilizes the information when determining whether or not to support the Board's legislative budget requests, and in deciding what other legislation to support. The information is also used to make recommendations to the Board for rule and policy amendments.

In furthering its efforts to enhance the effectiveness, efficiency and accountability of the Agency, the Board has implemented a plan to conduct at random audits. These audits will assist the Board in maintaining and updating its performance and procedures to ensure best practices in all areas are maintained.

HOW TSBPE COMPARES TO OTHER STATES

Of the states researched, most license Journeyman and Master Plumbers. However, many require an additional license or certification for fuel gas piping. In most of the states that do not regulate plumbers on the state level, plumbers are licensed and regulated by the individual cities or counties where the work is performed.

Of those states that license Journeyman plumbers, some conduct a “hands on” practical examination for the Journeyman license.

Some states that do not currently offer a “hands on” practical examination have indicated they realize the need for it, and are progressing towards the use of a practical examination. Most states base their examinations on a single plumbing code adopted by that state.

Some of the states researched require that the Master Plumber or Plumbing Contractor carry liability insurance. A few of the states researched require Continuing Professional Education in order to renew a license. Most of the states researched do not truly practice reciprocity. Most accept a license from another state to satisfy experience requirements, but require the individual to undergo examination.

Most of the states researched generally have enforcement programs similar to Texas. Some of the other states utilize state Agency employed Investigators, while others rely on local Plumbing Inspectors to provide enforcement.

Throughout the years, the Board and the Board’s staff have had opportunities to network with individuals representing other states and countries on issues relating to the development of enforcement and examination strategies. The Texas State Board of Plumbing Examiners is recognized by some states as setting standards that plumbing regulatory boards in other states desire to follow.

Texas was one of the first states to administer such a comprehensive practical examination for licensing plumbers and to implement a medical gas piping installation endorsement for licenses. Effective September 1, 2009, Texas became one of the first states to authorize plumbers who meet training and examination requirements to install multipurpose residential fire protection sprinkler systems in one and two family dwellings. On several occasions, representatives from plumbing regulatory boards of other states and one country requested a tour of the Board’s facilities and to review of the Board’s programs in an effort to pattern their programs after Texas. This Agency sets an example to the industry across the nation and in the world.

OPPORTUNITIES FOR IMPROVEMENT

Customer service is an area that always provides opportunity for improvement. During fiscal year 2016, the Agency conducted its bi-annual customer service survey. The Agency relies heavily on the information obtained from this survey to gauge how we are serving the population. In addition, the Agency plans to implement a continuous survey process for its customers through a web service.

The Agency has developed its “Compact with Texans” and appointed a customer service representative in compliance with Sec. 2114 of the Government Code. Upon completion of all examinations, applicants are requested to anonymously complete a questionnaire regarding their opinion of the examination and the service they received during the examination. Based on comments received from the plumbing industry and the public, the Agency plans to provide improved availability of electronic data related to licensee and registrant inquiries.

The Agency also has a Veteran’s Liaison that is both a licensee and Veteran ready to assist Veterans and service member spouses wishing to return to the plumbing industry or enter it as a new career path.

Continuing education, trade association meetings and telephone comments received by Agency staff are brought to the attention of department managers. Comments made to Investigators are also a great source of feedback.

The Board seriously considers the comments received, and often makes changes to Agency policy based on customer recommendations. The ability to be heard and the responsiveness of the Board are key factors in the widespread support from the industry.

The Board has made a commitment to pursue the highest level of customer satisfaction in the delivery of each and every service we provide. By promoting accountability, teamwork, honesty, integrity and ethical behavior within the Agency, we have developed a positive atmosphere that is conducive to successful interaction with the people we serve. Through careful research and review, we continually work to identify our complete customer base and to provide services needed. In addition, we continue to strive for excellence in all areas and to improve our performance whenever possible.

The Agency’s resolution time for complaints is a measure that is continuously monitored. The Agency strives to maintain or exceed performance expectations for complaint resolution time. However, the loss of even one FTE due to a budget reduction will slow complaint resolution time. The Agency strives to efficiently assist those that file complaints, whether or not budget reductions are implemented.

APPENDIX A

TEXAS STATE BOARD OF PLUMBING EXAMINERS

BUDGET STRUCTURE - OBJECTIVES - STRATEGIES

Size of Budget and Method of Finance

The appropriations for the current biennium as provided in the General Appropriations Act are set forth below:

A. Goal: ENSURE PUBLIC HEALTH THROUGH SAFE PLUMBING	<u>FY 2016</u>	<u>FY 2017</u>
A.1.1. Strategy: Examine and License Plumbers	\$ 904,500	\$ 906,000
A.1.2. Strategy: Texas.Gov	155,000	155,000
A.1.3. Strategy: Inspections and Enforcement	1,297,250	1,272,400
B. Goal: INDIRECT ADMINISTRATION		
B.1.1. Strategy: Indirect Admin - Exam & Licensing	131,068	137,600
B.1.2. Strategy: Indirect Admin - Inspections & Enforcement	<u>177,684</u>	<u>181,200</u>
Grand Totals	<u>\$ 2,665,502</u>	<u>\$ 2,652,200</u>

The Methods of Financing for the above appropriations are the General Revenue Fund, Regular Appropriations, and Article IX, Appropriated Receipts.

A. Goal

ENSURE PUBLIC HEALTH THROUGH SAFE PLUMBING BY LICENSING AND REGULATION OF PLUMBERS - To protect the health and safety of Texas citizens by ensuring that each person has access to uncontaminated drinking water, air and medical gases through quality plumbing systems installed and maintained by competent Master Plumbers, Journeyman Plumbers, Tradesman Plumber-Limited Licensees, Plumber's Apprentices, Residential Utility Installers, Drain Cleaners, Drain Cleaner-Restricted Registrants and that the systems are inspected by competent Plumbing Inspectors; to ensure that all individuals involved in the installation, maintenance and inspection of plumbing systems in each city and public water system in the state are regulated by fair and responsive enforcement of clear standards, in order that the public may live and work in the safe environment that properly installed plumbing systems are designed to provide.

B. Goal

INCREASE USE OF HISTORICALLY UNDERUTILIZED BUSINESSES (HUBs) - Establish and implement policies governing purchasing and public works contracting that will foster meaningful and substantive inclusion of HUBs. (Government Code, Chapter 2161)

OBJECTIVES AND OUTCOME MEASURES

A.1. Objective:

Evaluate, license and register applicants and enforce the Plumbing License Law and the Texas State Board of Plumbing Examiners Rules.

Outcome Measures:

- average time to issue examination results (in working days)
- percentage of complaints resolved resulting in disciplinary action
- ratio of complaints filed per 100 licensee/registrant population
- recidivism rate for those receiving disciplinary action
- percent of licensees and registrants with no recent violations
- percent of documented complaints resolved within six months
- percent of licensees and registrants who renew online
- percent of new individual licenses, registrations and endorsements issued online.

B.1. Objective:

The Board's objective is to include historically underutilized businesses (HUB) in 100% of Professional Services contracts, at least 50% of Other Services contracts and at least 55% of Commodities contracts for fiscal years 2017 and 2018.

Outcome Measure:

Percent of total dollar value of purchasing and public works contracts and subcontracts awarded to HUBs.

STRATEGIES AND OUTPUT, EFFICIENCY AND EXPLANATORY MEASURES

A.1.1 Strategy:

EXAMINE AND LICENSE PLUMBERS

Administer competency examinations and issue and renew licenses for Master Plumbers, Journeyman Plumbers, Tradesman Plumber-Limited Licensees, Plumbing Inspectors, medical gas endorsements, multi-purpose residential fire protection sprinkler specialist endorsements, and water supply protection endorsements; issue and renew registrations for Plumber's Apprentices, Residential Utilities Installers, Drain Cleaners and Drain Cleaner-Restricted Registrants.

Output Measures:

- Number of new licenses and registrations issued to individuals
- Number of licenses, registrations and endorsements renewed (to individuals)
- Number of individuals examined
- Number of licenses, endorsements, and registrations issued
- Number of new registrations issued to individuals
- Number of registrations renewed (to individuals)

Efficiency Measures:

- Percent of new individual licenses and registrations issued within 10 days
- Percent of individual license and registration renewals issued within 7 days

Explanatory Measures:

- Examination pass rate
- Total number of individuals licensed and registered (unduplicated)

A.1.2 Strategy:**INSPECTIONS AND ENFORCEMENT**

Inspect and monitor job sites; conduct continuing education seminars and training sessions; respond to inquiries; investigate and resolve complaints; issue reprimands and revoke or suspend licenses and registrations; impose administrative penalties, issue citations and issue cease and desist orders; monitor providers of instruction in medical gas piping programs, water supply protection specialist programs, and continuing professional education programs; inspect plumbing for compliance with state plumbing codes; and maintain contacts with municipal authorities that comply with the Act through local ordinances.

Output Measures:

- Total number of compliance checks performed
- Number of individuals contacted during compliance checks for licenses and registrations
- Number of continuing education seminars and training sessions conducted
- Number of investigations conducted
- Number of complaints resolved
- Number of reprimands issued and licenses or registrations revoked, suspended or denied
- Number of hearings held by the State Office of Administrative Hearings (SOAH)

Efficiency Measures:

- Average time for complaint resolution

Explanatory Measures:

- Percentage of unlicensed plumbers and unregistered individuals monitored during compliance checks
- Percentage of compliance checks found with violations
- Number of individuals attending education seminars and training sessions
- Number of complaints received
- Percentage of complaints received against licensees and registrants
- Number of jurisdictional complaints received
- Percentage of disciplinary actions taken against unlicensed and unregistered individuals

B.1.1. Strategy

HUB POLICIES

Develop and implement a plan for increasing the use of historically underutilized businesses through purchasing and public works contracts and subcontracts.

Output Measure:

- Number of HUB Contracts and Subcontracts Awarded
- Number of HUB Contractors and Subcontractors Contacted for Bid Proposals
- Dollar Value of HUB Contracts and Subcontracts Awarded

APPENDIX B

TEXAS STATE BOARD OF PLUMBING EXAMINERS List of Measure Definitions

Goal A: Ensure Public Health through Safe Plumbing by Licensing and Regulation of Plumbers

OUTCOME MEASURES:

Percentage of Complaints Resolved Resulting in Disciplinary Action (KEY)

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

Purpose/Importance: The measure is intended to show the extent to which the Board exercises its disciplinary authority in proportion to the number of complaints received. It is important that both the public and licensees/registrants have an expectation that the Board will work to ensure fair and effective enforcement of the law and this measure seeks to indicate Board responsiveness to this expectation.

Source/Collection of Data: The VERSA Regulatory Database system is used to track complaints received by the Board. At the end of each reporting period the Director of Enforcement generates reports of complaint data and calculates the measure. The Director of Financial Operations verifies the calculations and the reports are maintained by the Director of Financial Operations as part of the backup for the specific performance measure. Disciplinary action includes agreed orders, reprimands, warnings, suspensions, administrative penalties issued, citations issued, probations, revocations, denials and restitutions.

Method of Calculation: The total number of complaints resolved during the reporting period that resulted in disciplinary action is divided by the total number of complaints resolved during the reporting period. The result is multiplied by 100 to achieve a percentage. Disciplinary action includes agreed orders, reprimands, warnings, administrative penalties issued, citations issued, suspensions, probations, revocations, denials and restitutions on which the Board has acted.

Data Limitations: Complaints filed where the Agency is unable to obtain sufficient evidence or no violation occurred, may affect this measure and is not within the control of the Agency. Additionally, some cases are resolved by voluntary compliance on the part of the respondent, and therefore no disciplinary action is required.

Calculation Type: Non-Cumulative

New Measure: No

Desired Performance: The desire is that fewer individuals will choose to violate the Plumbing License Law or Board Rules, resulting in a lower than target measure. However, a higher than target measure indicates the Board is dispensing fair and appropriate disciplinary actions for violations.

Recidivism Rate for Those Receiving Disciplinary Action (NON-KEY)

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

Purpose/Importance: The measure is intended to show how effectively the Agency enforces its regulatory requirements and prohibitions. It is important that the Agency enforce its act and rules strictly enough to ensure consumers are protected from unsafe, incompetent and unethical practice by the registered or licensed professional.

Source/Collection of Data: The Director of Enforcement generates a report from the VERSA Regulatory Database system for the number of repeat offenders and the number of individuals receiving disciplinary action. The reports are verified and maintained by the Director of Financial Operations as part of the backup for the specific performance measure.

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

Data Limitations: The Board dispenses fair and appropriate disciplinary action for violations of the Plumbing License Law and Board Rules. However, the Board has no control over how many individuals choose to violate the Plumbing License Law and Board Rules.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Lower than Target

Percent of Licensees and Registrants with No Recent Violations (KEY)

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

Purpose/Importance: Licensing and registering individuals helps ensure that practitioners meet legal standards for professional education and practice which is a primary Agency goal. This measure is important because it indicates how effectively the Agency's activities deter violations of professional standards established by statute and rule.

Source/Collection of Data: The Director of Enforcement generates a report for the number of individuals receiving disciplinary action during the reporting period. The Licensing Supervisor generates a report of the number of individuals currently licensed and registered by the Agency. The Director of Enforcement calculates the measure and the reports are verified and maintained by the Director of Financial Operations as part of the backup for the specific performance measure.

Method of Calculation: The total number of individuals currently licensed and registered by the Agency that have *not* incurred a violation within the current and preceding two years, divided by the total number of individuals currently licensed and registered by the Agency, multiplied by 100 to achieve a percentage. The numerator for this measure is calculated by subtracting the total number of licensees with violations during the three-year period from the total number of licensees at the end of the reporting period. The denominator is the total number of licensees at the end of the reporting period.

Data Limitations: The Board dispenses fair and appropriate disciplinary action for violations of the Plumbing License Law and Board Rules. However, the Board has no control over how many individuals choose to violate the Plumbing License Law and Board Rules.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Higher than Target

Percent of Documented Complaints Resolved Within Six Months (NON-KEY)

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

Purpose/Importance: The measure is intended to show the percentage of complaints that are resolved within a reasonable period of time. It is important to ensure the swift enforcement of the Plumbing License Law and Board Rules, which is an Agency goal.

Source/Collection of Data: The Director of Enforcement generates a report of the complaints closed within the reporting period and the length of time between when the complaint was received by the Agency and when it was resolved and calculates the percentage. The report is verified and maintained by the Director of Financial Operations as part of the backup for the specific performance measure.

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

Data Limitations: Unanticipated increase in volume of complaints received or an unexpected lengthy absence (such as a catastrophic illness) of the Director of Enforcement or Complaint Department Assistants.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Higher than Target

Percent of Licensees and Registrants Who Renew Online (KEY)

Short Definition: The percent of the total number of licenses, registrations and endorsements renewed online during the reporting period.

Purpose/Importance: To track the use of online renewal technology by the licensee and registrant population.

Source/Collection of Data: The Licensing Supervisor generates a report using the VERSA Regulatory Database system to determine the number of licensees and registrants who have renewed (by all methods) during the reporting period and the number of licensees and registrants who have renewed online during the reporting period. The Licensing Supervisor calculates the measure. The report is verified and maintained by the Director of Financial Operations as part of the backup for the specific performance measure.

Method of Calculation: The total number of individual licenses, registrations, and endorsements renewed online is divided by the total number of individual licenses, registrations, and endorsements renewed during the reporting period. The result is multiplied by 100 to achieve a percentage.

Data Limitations: Licensee and registrant's access to the internet and opinions regarding security of internet processes could affect the number who will utilize this service.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Higher than Target

Percent of New Individual Licenses, Registrations and Endorsements Issued Online (KEY)

Short Definition: The percent of all new licenses, registrations, and endorsements issued online to individuals during the reporting period.

Purpose/Importance: To track the use of online issuance technology by the licensee and registrant population.

Source/Collection of Data: The Licensing Supervisor generates a report using the VERSA Regulatory Database system to determine the number of licensees and registrants who applied for a license or registration (by all methods) during the reporting period and the number of licensees and registrants who applied for a license or registration online during the reporting period. The Licensing Supervisor calculates the measure. The report is verified and maintained by the Director of Financial Operations as part of the backup for the specific performance measure.

Method of Calculation: The total number of new licenses, registrations, and endorsements issued to individuals online is divided by the total number of new licenses, registrations, and endorsements issued to individuals (by all methods) during the reporting period. The result is multiplied by 100 to achieve a percentage.

Data Limitations: Licensee and registrant's access to the internet and opinions regarding security of internet processes could affect the number who will utilize this service. Additionally, supporting documentation required for initial applications may affect the number who will utilize this service.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Higher than Target

STRATEGY A.1.1. – EXAMINE AND LICENSE PLUMBERS

OUTPUT MEASURES

Number of New Licenses and Registrations Issued to Individuals (KEY)

Short Definition: The number of new licenses and registrations issued to individuals during the reporting period.

Purpose/Importance: A successful licensing structure must ensure that legal standards for professional education and practice are met prior to issuance of a license or registration. This measure is a primary workload indicator which is intended to show the number of individuals who have successfully met all licensure or registration criteria established by statute and rule as verified by the Agency during the reporting period.

Source/Collection of Data: The Licensing Supervisor generates a report at the end of each reporting period that lists the number of new licenses and registrations issued for that period. The list is verified and maintained by the Director of Financial Operations as part of the backup for the specific performance measure.

Method of Calculation: This measure counts the total number of new licenses and registrations issued to individuals during the reporting period, regardless of when the application was originally received. Only new licenses and registrations issued during the reporting period are counted.

Data Limitations: The number of new licenses and registrations issued is directly related to the number of individuals who apply for and meet all requirements for a registration and/or successfully pass an examination and make payment for the initial license and/or registration. This number is also directly related to the economy and demand for licensed and registered individuals and plumbing inspectors.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Higher than Target

Number of Licenses, Registrations and Endorsements Renewed (to individuals) **(KEY)**

Short Definition: The number of licensed, registered and endorsed individuals who previously held a license, registration, or endorsement and renewed during the current reporting period.

Purpose/Importance: License, registration and endorsement renewal is intended to ensure that persons who want to continue to practice in their respective profession satisfy current legal standards established by statute and rule for professional education and practice. This measure is intended to show the number of licenses, registrations, and endorsements that were renewed during the reporting period to individuals who previously and/or currently hold a valid license, registration, or endorsement.

Source/Collection of Data: The Licensing Supervisor generates a report at the end of each reporting period that lists the number of licenses, registrations and endorsements renewed during the reporting period. The list is verified and maintained by the Director of Financial Operations as part of the backup for the specific performance measure.

Method of Calculation: The measure is calculated by querying the VERSA Regulatory Database system to produce the total number of licenses, registrations and endorsements renewed to individuals during the reporting period.

Data Limitations: This measure is directly related to the economy and demand for licensees and registrants. The Board has no control over individuals who choose to change professions and not renew their license, registration or endorsement.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Higher than Target

Number of Individuals Examined (NON-KEY)

Short Definition: The number of individuals to whom an examination was administered in whole or in part during the reporting period.

Purpose/Importance: The measure shows the number of individuals examined which is a primary step in licensing the individual and represents a major cost element for the Agency. Examination supplies, grading costs, and notification costs are directly related to this measure.

Source/Collection of Data: At the end of each reporting period the Chief Examiner generates a report in the VERSA Regulatory Database system that lists the types of examinations given and the number of individuals examined, passed, and failed for each type of examination. The list is verified and maintained by the Director of Financial Operations as part of the backup for the specific performance measure.

Method of Calculation: This measure counts the total number of examinations given for each type of license and endorsement. For an examination administered in one session, even if comprised of periods or breaks or on more than one day, the individuals attending the session are counted only once. An individual who attends two sessions for two examinations or parts of examinations should be counted twice.

Data Limitations: The number of individuals examined is directly related to the number of individuals who apply for an examination. This number is also directly related to the economy and demand for licensed plumbers and plumbing inspectors.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Higher than Target

Total Number of Licenses, Endorsements, and Registrations Issued (KEY)

Short Definition: The total number of licenses, endorsements and registrations issued and renewed by the Board to inspect or perform plumbing work during the reporting period.

Purpose/Importance: The intent of this measure is to have an overall summary of the licenses, endorsements and registrations issued and renewed during the reporting period.

Source/Collection of Data: The Licensing Supervisor generates a report from the VERSA Regulatory Database system at the end of each reporting period that lists the number of licenses, endorsements and registrations issued and renewed during the reporting period. The list is verified and maintained by the Director of Financial Operations as part of the backup for the specific performance measure.

Method of Calculation: The measure is calculated by querying the VERSA Regulatory Database system to produce the total number of licenses, endorsements and registrations issued and renewed during the reporting period.

Data Limitations: This measure is directly related to the economy and demand for licensed plumbers, endorsees, registrants and plumbing inspectors. The Board has no control over individuals who choose to change professions and not renew their license or registration.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Higher than Target

Number of New Registrations Issued (to individuals) (NON-KEY)

Short Definition: The number of registrations issued to previously unregistered persons during the reporting period.

Purpose/Importance: This measure is a primary workload indicator which is intended to show the number of registrants who were documented to have successfully met all registration criteria established by statute and rule, as verified by the Agency during the reporting period.

Source/Collection of Data: The Licensing Supervisor generates a report at the end of each reporting period that lists the number of new registrations issued for that period. The list is verified and maintained by the Director of Financial Operations as part of the backup for the specific performance measure.

Method of Calculation: This measure counts the total number of registrations issued to previously unregistered individuals during the reporting period, regardless of when the application was originally received. Those individuals who were registered in the previous reporting period are not counted. Only new registrations are counted.

Data Limitations: The number of new registrations issued is directly related to the number of individuals who apply for and are issued a registration during the reporting period. This number is also directly related to the economy and demand for registrants.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Higher than Target

Number of Registrations Renewed (to individuals) (NON-KEY)

Short Definition: The number of registered individuals who held registrations previously and renewed their registration during the current reporting period.

Purpose/Importance: Registration renewal is intended to ensure that persons who want to continue to practice in their respective profession satisfy current legal standards established by statute and rule for practice. This measure is intended to show the number of registrations that were issued during the reporting period to individuals who currently held a valid registration.

Source/Collection of Data: The Licensing Supervisor generates a report at the end of each reporting period that lists the number of registrations renewed for that period. The list is verified and maintained by the Director of Financial Operations as part of the backup for the specific performance measure.

Method of Calculation: This measure counts the total number of registrations renewed during the reporting period.

Data Limitations: This measure is directly related to the economy and demand for registrants. The Board has no control over individuals who choose to change professions and not renew their registration.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Higher than Target

EFFICIENCY MEASURES

Percentage of New Individual Licenses and Registrations Issued Within 10 Days (NON-KEY)

Short Definition: The percentage of initial individual license, registration and endorsement applications processed during the reporting period within ten working days measured from the time in days elapsed from approval of the initial completed application until the date the license or registration card is mailed.

Purpose/Importance: This measures the ability of the Agency to process new applications in a timely manner and its responsiveness to its licensees and registrants.

Source/Collection of Data: A manual report is kept for each reporting period by the Licensing Coordinator of the number of working days elapsed since the date of approval and the date the license or registration card is produced and mailed. The report and any exceptions to the ten-day issuance are forwarded to the Licensing Supervisor who verifies the information and reports the measure to the Director of Financial Operations. The report is verified and maintained by the Director of Financial Operations as part of the backup for the specific performance measure.

Method of Calculation: The number of new licenses and registrations that were mailed within ten working days from application approval is divided by the total number issued in the reporting period and multiplied by 100 to determine the percentage of new license and registration cards issued within ten working days.

Data Limitations: Unanticipated computer or card printer downtime or unexpected lengthy absence (catastrophic illness) of the Licensing Technician.

Calculation Type: Non-Cumulative

New Measure: No

Desired Performance: Higher than target

Percentage of Individual License and Registration Renewals Issued Within 7 Days (NON-KEY)

Short Definition: The percentage of individual license and registration renewal applications that were processed during the reporting period within seven working days, measured from the time elapsed from approval of the renewal application until the date the renewal license or registration is mailed.

Purpose/Importance: This measures the ability of the Board to process renewal applications in a timely manner and its responsiveness to its primary constituent group.

Source/Collection of Data: A report is kept for each reporting period of the number of working days elapsed since the date of approval and date the renewed license or registration card is produced and mailed.

The report and any exceptions to the seven working day processing are forwarded to the Licensing Supervisor who verifies the information. The report and calculations are then verified and maintained by the Director of Financial Operations as part of the backup for the specific performance measure.

Method of Calculation: The number of license and registration renewals that were mailed within seven working days from approval of the renewal is divided by the total number of license and registration renewals issued during the reporting period is multiplied by 100 to determine the percentage of renewal license and registration cards issued within seven working days.

Data Limitations: Unanticipated computer or card printer downtime or unexpected lengthy absence (catastrophic illness) of the Licensing Technician.

Calculation Type: Non-Cumulative

New Measure: No

Desired Performance: Higher than Target

Average Time to Issue Examination Results (in Working Days) (NON-KEY)

Short Definition: The average time, in working days, from examination administration to the issuance of the examination score by the Board to the examinee.

Purpose/Importance: The measure is intended to provide applicants timely notification of examination results. It is important that examination applicants receive timely notification of examination results in order that they may either proceed with an initial license or make application for re-examination.

Source/Collection of Data: The VERSA Regulatory Database system is used to track when examination results are recorded and subsequently mailed to the applicant. The Chief Examiner prepares this report. The Director of Financial Operations verifies and maintains backup documentation for this measure.

Method of Calculation: The number of working days from when the applicant takes the examination and when the examination results are mailed to the applicant.

Data Limitations: Unanticipated increase in volume of examination applications received or an unexpected lengthy absence (such as catastrophic illness) of an Examiner or the Examination Department Assistant.

Calculation Type: Non-Cumulative

New Measure: No

Desired Performance: Lower than Target

EXPLANATORY MEASURES

Examination Pass Rate (NON-KEY)

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

Purpose/Importance: The measure shows the rate at which those examined passed. This is an important step in the licensing process and a low pass rate may represent unnecessarily restrictive licensure requirements or inadequate preparation by licensure applicants.

Source/Collection of Data: At the end of each reporting period the Chief Examiner generates a report in the VERSA Regulatory Database system that lists the types of examinations given and the number of individuals examined, passed, and failed for each type of examination. The list is verified and maintained by the Director of Financial Operations as part of the backup for the specific performance measure.

Method of Calculation: The total number of individuals who passed the examination is divided by the total number of individuals examined. The result is multiplied by 100 to achieve a percentage. If two exams were given in the same reporting period, the total number of individuals passing the exam during the reporting period is divided by the total number of persons taking the exam during the reporting period. Persons taking the exam multiple times are counted each time they take the exam.

Data Limitations: Inadequate preparation by licensure applicants.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Higher than Target

Total Number of Individuals Licensed and Registered (unduplicated) (NON-KEY)

Short Definition: Total unduplicated number of individuals licensed and registered on the last day of the reporting period.

Purpose/Importance: The measure shows the total number of individual licenses and registrations currently issued which indicates the size of the Agency's primary constituency.

Source/Collection of Data: The Licensing Supervisor generates a report at the end of each reporting period that lists the unduplicated number of individuals licensed and registered on the last working day of the reporting period. The list is verified and maintained by the Director of Financial Operations as part of the backup for the specific performance measure.

Method of Calculation: The total unduplicated number of individuals licensed and registered according to the VERSA computer application/Regulatory Database system at the end of the reporting period. An individual who holds more than one license or registration is counted only once and only those with current status are counted.

Data Limitations: This measure is directly affected by the economy and demand for registrants and licensees in the plumbing industry.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Higher than Target

STRATEGY A.1.2. – INSPECTIONS AND ENFORCEMENT

OUTPUT MEASURES

Total Number of Compliance Checks Performed (KEY)

Short Definition: The total number of compliance checks performed by staff within the jurisdiction of the Plumbing License Law to determine whether or not plumbing work that was previously performed, is currently being performed, or will be performed: was, is, or will be in compliance with the Plumbing License Law and Board Rules.

Purpose/Importance: This measure is compared with the number of complaints investigated to determine the workload and output of Investigators.

Source/Collection of Data: Each Investigator maintains data on the number of compliance checks performed in an automated format and submits the data to the Director of Enforcement. The Director of Enforcement compiles and verifies the data and forwards the report to the Director of Financial Operations. The report is maintained by the Director of Financial Operations as part of the backup for the specific performance measure.

Method of Calculation: The total number of compliance checks performed is provided in the generated report.

Data Limitations: Complaints requiring extensive investigation by Investigators may decrease the amount of time available and therefore decrease the number of compliance checks performed.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Higher than Target

Number of Individuals Contacted During Compliance Checks for Licenses and Registrations (NON-KEY)

Short Definition: The total number of individuals verbally contacted by staff during compliance checks to determine whether or not individuals are licensed or registered and working in compliance with the Plumbing License Law and Board Rules.

Purpose/Importance: The measure is reflective of the number of individuals engaged in actually performing and inspecting plumbing work during the reporting period and is used to determine the work output of Investigators.

Source/Collection of Data: Each Investigator maintains data on the number of individuals contacted during compliance checks in an automated format and submits the data to the Director of Enforcement. The Director of Enforcement generates a report, verifies the data and forwards the report to the Director of Financial Operations. The report is verified and maintained by the Director of Financial Operations as part of the backup for the specific performance measure.

Method of Calculation: The total number of individuals contacted by staff during compliance checks is provided in the generated report.

Data Limitations: Whenever the number of complaints requiring investigation by Investigators substantially increases, the amount of time available for compliance checks is reduced.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Higher than Target

Number of Continuing Education Seminars and Training Sessions Conducted (NON-KEY)

Short Definition: The total number of separate seminars and workshops conducted by Board personnel within Texas.

Purpose/Importance: This measure is used to document the educational and public awareness seminars conducted by Board personnel. The Board uses this number to determine how well it is conducting its public awareness programs, as well as monitoring of continuing professional education programs.

Source/Collection of Data: Each Investigator submits data on the number of seminars and workshops conducted in an automated format to the Director of Enforcement. The Director of Enforcement generates the report, verifies the data and forwards the report to the Director of Financial Operations. The report is verified and maintained by the Director of Financial Operations as part of the backup for the specific performance measure.

Method of Calculation: The total number of seminars and workshops conducted is provided in the generated report.

Data Limitations: The workload of the Agency in other areas may take priority and not allow for some of the seminars to be conducted or as many continuing professional education classes to be monitored. Note: The Agency typically receives more requests for seminars than it is able to provide.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Higher than Target

Number of Investigations Conducted (KEY)

Short Definition: The total number of investigations conducted by Enforcement staff.

Purpose/Importance: This measure is a workload and work output measure to document the number of complaints requiring investigations. It is important to note that all complaints received are investigated by staff. Complaints may be investigated and resolved without an investigation conducted in the field.

Source/Collection of Data: The Director of Enforcement generates a report from the VERSA Regulatory Database system of the number of investigations completed during the reporting period. The Director of Enforcement verifies the data, prepares the report and forwards it to the Director of Financial Operations. The report is verified and maintained by the Director of Financial Operations as part of the backup for the specific performance measure.

Method of Calculation: The total number of investigations conducted is provided in the generated report.

Data Limitations: The number of investigations conducted is directly related to the number of complaints received. If the number of complaints received significantly decreases, the number of investigations conducted would also decrease.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Higher than Target

Number of Complaints Resolved (KEY)

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

Purpose/Importance: The measure shows the workload associated with resolving complaints.

Source/Collection of Data: The Director of Enforcement generates a report from the VERSA Regulatory Database system for the number of complaints resolved within the reporting period. The Director of Enforcement verifies the data and prepares the report, then forwards it to the Director of Financial Operations. The report is verified and maintained by the Director of Financial Operations as part of the backup for the specific performance measure.

Method of Calculation: The total number of complaints during the reporting period which the Enforcement Committee has reviewed and determined that a violation has occurred and appropriate sanctions have been recommended or the Enforcement Committee has determined the complaint is without merit. All complaints require investigation, some more extensive than others.

Data Limitations: Complexity of the complaints may decrease the number of complaints resolved during the reporting period. When the Agency utilizes staff from the Enforcement department to assist with increased workloads in the examination, licensing and registration processes, the number of complaints resolved may decrease because of the reallocation of Enforcement staff.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Higher than Target

Number of Reprimands Issued and Licenses or Registrations Revoked, Suspended or Denied (NON-KEY)

Short Definition: The total number of individuals who were issued reprimands, citations, or administrative penalties, or had their license or registration revoked, suspended or denied.

Purpose/Importance: This measure indicates how effectively and fairly the Board enforces the Plumbing License Law and Board Rules.

Source/Collection of Data: The Director of Enforcement generates a report from the VERSA Regulatory Database system that includes the number of complaints that had final action resulting in a reprimand, citation or administrative penalty, or where a license or registration was revoked, suspended, or denied. The Director of Enforcement generates the report and verifies the data. The report is verified and maintained by the Director of Financial Operations as part of the backup for the specific performance measure.

Method of Calculation: The total number of complaints resulting in disciplinary action is provided in the generated report.

Data Limitations: The Board dispenses fair and appropriate disciplinary action for violations of the Plumbing License Law and Board Rules. However, the Board has no control over how many individuals choose to violate the Plumbing License Law and Board Rules.

Calculation Type: Cumulative

New Measure: No

Desired Performance: The desire is that fewer individuals will choose to violate the Plumbing License Law or Board Rules, resulting in a lower than target measure. However, a higher than target measure indicates that the Board is dispensing fair and appropriate disciplinary actions for violations.

Number of Hearings Held by the State Office of Administrative Hearings (NON-KEY)

Short Definition: The total number of hearings held by the State Office of Administrative Hearings (SOAH) to resolve alleged violations of the Plumbing License Law.

Purpose/Importance: The purpose of the measure is to determine the number of complaints that are unable to be resolved with administrative penalties issued or through Agreed Final Orders and how many are required to be forwarded to the SOAH. This is important for strategic planning purposes.

Source/Collection of Data: The Director of Enforcement gathers the data which includes data from a report issued by the State Office of Administrative Hearings (SOAH) that includes the number of complaints heard at the SOAH during the reporting period. The Director of Enforcement verifies the report and forwards it to the Director of Financial Operations. The report is verified and maintained by the Director of Financial Operations as part of the backup for the specific performance measure.

Method of Calculation: The total number of hearings before the State Office of Administrative Hearings (SOAH) is provided in the generated report.

Data Limitations: The Board has no control over the number of respondents who refuse to agree to the terms of an Agreed Final Order or Board decision and subsequently choose to request a hearing before the State Office of Administrative Hearings (SOAH).

Calculation Type: Cumulative

New Measure: No

Desired Performance: Lower than Target

EFFICIENCY MEASURES

Average Time for Complaint Resolution (NON-KEY)

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

Purpose/Importance: The measure shows the Board's efficiency in resolving complaints.

Source/Collection of Data: The Director of Enforcement generates a report from the VERSA Regulatory Database system that calculates the average time from the date the complaint is received to the date the complaint is resolved for complaints resolved during the reporting period. The report is verified and forwarded to the Director of Financial Operations who maintains the report as part of the backup for the specific performance measure.

Method of Calculation: The VERSA Regulatory Database system calculates the average time from the date the complaint is received to the date the complaint is resolved for complaints resolved during the reporting period. All complaints require some degree of investigation.

Data Limitations: Complexity of the complaint may increase the average time for complaint resolution.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Lower than Target

EXPLANATORY MEASURES

Percentage of Unlicensed Plumbers and Unregistered Individuals Monitored During Compliance Checks (NON-KEY)

Short Definition: The percentage of individuals who were unlicensed plumbers and/or unregistered individuals divided by the total number of contacts made by Enforcement Department staff during compliance checks.

Purpose/Importance: The measure is useful in determining the level of compliance with the Plumbing License Law and the effectiveness of compliance checks. The total number of licensed plumbers and unregistered individuals monitored during compliance checks is compared to the total number of individuals checked to estimate industry trends that may be used in strategic planning.

Source/Collection of Data: Each Investigator gathers and submits data on the number of violations found during compliance checks. The data is maintained in the VERSA Regulatory Database system. The Director of Enforcement verifies and compiles the data, generates the report, and calculates the percentage. The Director of Enforcement forwards the report to the Director of Financial Operations. The report is verified and maintained by the Director of Financial Operations as part of the backup for the specific performance measure.

Method of Calculation: The total number of individuals who were unlicensed plumbers and/or unregistered individuals, divided by the total number of contacts made by Enforcement staff with licensed and unlicensed plumbers and registered and unregistered individuals during compliance checks.

Data Limitations: This measure is directly affected by the economy and demand for licensed plumbers working in the plumbing industry.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Lower than Target

Percentage of Compliance Checks Found With Violations (NON-KEY)

Short Definition: The percentage of compliance checks found with violations, divided by the total number of compliance checks performed.

Purpose/Importance: The measure is useful in determining the level of compliance with the Plumbing License Law and the effectiveness of compliance checks. This measure is used to estimate industry trends that may be used in strategic planning.

Source/Collection of Data: Each Investigator gathers and submits the number of violations found during compliance checks. The data is maintained in the VERSA Regulatory Database system. The Director of Enforcement verifies and compiles the data, generates the report, and calculates the percentage.

The Director of Enforcement forwards the report to the Director of Financial Operations. The report is verified and maintained by the Director of Financial Operations as part of the backup for the specific performance measure.

Method of Calculation: The total number of compliance checks with violations is divided by the total number of compliance checks performed.

Data Limitations: This measure is directly affected by the economy and demand for plumbers and apprentices working in the plumbing industry.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Lower than Target

Number of Individuals Attending Education Seminars and Training Sessions (NON-KEY)

Short Definition: The total number of individuals who attended education seminars and training sessions during the reporting period.

Purpose/Importance: This measure is useful in determining participation and level of interest in education seminars and training sessions, which are utilized by the Agency to keep the industry informed about current requirements and changes in the Plumbing License Law and Board Rules. Seminars and training sessions help educate the industry and public of the hazards of cross connections, improperly installed devices, and other dangers to the public's health and safety.

Source/Collection of Data: Each Investigator gathers and submits data on the number of individuals attending education seminars and training sessions. The data is maintained in the VERSA Regulatory Database system. The Director of Enforcement generates the report, verifies the data and forwards the report to the Director of Financial Operations. The report is verified and maintained by the Director of Financial Operations as part of the backup for the specific performance measure.

Method of Calculation: The total number of individuals who attended education seminars and training sessions is provided in the generated report.

Data Limitations: The workload of the Agency in other areas may take priority and not allow for some of the seminars to be conducted or as many professional education classes to be monitored. Note: The Agency typically receives more requests for seminars than it is able to provide. The number of individuals who attended education seminars and training sessions is directly related to the number of education seminars and training sessions that staff participated in.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Higher than Target

Number of Complaints Received (NON-KEY)

Short Definition: The number of complaints received during the reporting period.

Purpose/Importance: The intent of this measure is to determine the effectiveness of the Board's enforcement, public awareness and continuing professional education programs.

Source/Collection of Data: The Director of Enforcement generates and verifies a report from the VERSA Regulatory Database system for the number of complaints received during the reporting period. The report is verified and maintained by the Director of Financial Operations as part of the backup for the specific performance measure.

Method of Calculation: The total number of complaints received is provided in the generated report.

Data Limitations: The Board has no control over factors that influence the number of complaints filed.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Lower than target

Percentage of Complaints Received Against Licensees and Registrants (NON-KEY)

Short Definition: The percentage of complaints received against licensees and registrants is divided by the total number of complaints received.

Purpose/Importance: The intent of this measure is to determine the effectiveness of the Board's enforcement, public awareness and professional education programs.

Source/Collection of Data: The Director of Enforcement generates a report from the VERSA Regulatory Database system for the number of complaints received during the reporting period. The report indicates the number of complaints against licensees/registrants vs. non-licensees/non-registered individuals. The report is verified and maintained by the Director of Financial Operations as part of the backup for the specific performance measure.

Method of Calculation: The number of complaints against licensees and registrants is divided by the total number of complaints received during the reporting period. The result is multiplied by 100 to achieve a percentage.

Data Limitations: The Board has no control over factors that influence the number of complaints filed.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Lower than Target

Number of Jurisdictional Complaints Received (NON-KEY)

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

Purpose/Importance: The measure shows the number of jurisdictional complaints, which helps determine Agency workload.

Source/Collection of Data: The Director of Enforcement generates a report from the VERSA Regulatory Database system for the number of complaints received during the reporting period that were not within the Agency's jurisdiction. The report is verified and maintained by the Director of Financial Operations as part of the backup for the specific performance measure.

Method of Calculation: The number of non-jurisdictional complaints received is subtracted from the total number of complaints to determine the number of jurisdictional complaints received.

Data Limitations: The Board has no control over factors that influence the number of complaints filed.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Lower than Target.

Percentage of Disciplinary Actions Taken Against Unlicensed and Unregistered Individuals (NON-KEY)

Short Definition: The percentage of disciplinary actions taken against unlicensed and unregistered individuals during the reporting period.

Purpose/Importance: This measure indicates how effectively and fairly the Board enforces the Plumbing License Law and Board Rules.

Source/Collection of Data: The Director of Enforcement generates a report from the VERSA Regulatory Database system for the number of disciplinary actions taken during the reporting period. The report shows the number of disciplinary actions taken against both licensees/registrants and non-licensees/non-registered individuals. The report is verified and maintained by the Director of Financial Operations as part of the backup for the specific performance measure.

Method of Calculation: The number of disciplinary actions taken against unlicensed and unregistered individuals is divided by the total number of disciplinary actions taken during the reporting period. The result is multiplied by 100 to achieve a percentage.

Data Limitations: The Board dispenses fair and appropriate disciplinary action for violations of the Plumbing License Law and Board rules. However, the Board has no control over how many individuals, licensees/registrants and non-licensees/non-registered individuals choose to violate the Plumbing License Law and Board Rules.

Calculation Type: Non-Cumulative

New Measure: No

Desired Performance: The desire is that fewer individuals will choose to violate the Plumbing License Law or Board Rules, resulting in a lower than target measure. However, a higher than target measure indicates that the Board is dispensing fair and appropriate disciplinary actions for violations.

APPENDIX C

TEXAS STATE BOARD OF PLUMBING EXAMINERS

Five-Year Projections for Outcome Measures

	2017	2018	2019	2020	2021
Average time to issue examination results (in working days)	5.0	5.0	5.0	5.0	5.0
Percentage of complaints resolved resulting in disciplinary action (KEY)	48.0	47.0	47.0	46.0	46.0
Recidivism rate for those receiving disciplinary action	7.3	7.2	7.2	7.1	6.8
Percent of licensees and registrants with no recent violations (KEY)	98.5	98.5	98.5	98.5	98.5
Percent of documented complaints resolved within six months	60.0	60.0	60.0	60.0	60.0
Percent of licensees and registrants who renew online (KEY)	49.0	51.0	53.0	55.0	55.0
Percent of new individual licenses, registrations and endorsements issued online (KEY)	34.0	35.0	36.0	45.0	45.0

APPENDIX D

TEXAS STATE BOARD OF PLUMBING EXAMINERS

Agency Historically Underutilized Business (HUB) Plan

TSBPE makes a good faith effort to utilize HUBs through the use of a strong procurement plan. TSBPE's procurement plan requires a regular search of the Centralized Master Bidders List (CMBL) when planning to buy goods and services that cost more than \$5,000. The Agency will purchase from a HUB vendor to the fullest extent possible. The Agency's purchases above \$5,000 are few.

The Board is committed to the goal of awarding contracts and purchases whenever possible to HUB vendors. The Agency uses the Centralized Master Bidders List (CMBL) as provided by Texas Procurement and Support Services (TPASS), which maintains the most updated list of HUB vendors. In its procurement plan, the Agency has the following procedures on purchasing:

(1) Purchases under \$5,000 – The Board will purchase from a HUB vendor to the fullest extent possible.

(2) Purchases of \$5,000.01 - \$25,000 – Requires the Agency solicit at least three informal bids, two of which must be obtained from CPA certified HUBs. The ethnicity/gender is indicated on the bid tabulation sheet. Note: For purchases \$5,000 or less, the Agency may supplement the list of bidders obtained from the Centralized Master Bidders List (CMBL) with additional non-CMBL bidders.

(3) Purchases over \$25,000 – Requires the Agency solicit formal bids or proposals from all CMBL and HUB Directory vendors who provide the goods or services to the Agency's geographic region.

NOTE: The Agency may supplement the CMBL with CPA certified HUBs at any time if it determines that supplementing the CMBL will increase the number of HUBs that submit bids.

The Texas State Board of Plumbing Examiners (TSBPE) is dedicated to supporting the intent of the Historically Underutilized Business (HUB) program.

Agency HUB purchases in fiscal years 2014 and 2015 indicate both success and commitment to continued compliance with the program. For FY 2016-2017, the agency plans the same positive strategy.

APPENDIX E

TEXAS STATE BOARD OF PLUMBING EXAMINERS

Workforce Plan

CURRENT WORKFORCE PROFILE

General Information

The Texas State Board of Plumbing Examiners (TSBPE) believes that an employee's performance at work has a direct influence on the agency's overall performance, and can have an effect on the Board's budget. As the State of Texas population increases, demands for state services has also increased. Continued budget restrictions, employee caps, and a possible shortage of trained state workers in future years can lead to an inadequate workforce, causing agencies to take longer to meet public service demands. As agencies struggle to fill positions, current employees are required to take on additional responsibilities. When agencies are not adequately staffed, existing state employees may have to work longer hours that can lead to fatigue and increased error rates, loss of productivity, and possibly low morale.

Workforce Skills Critical to the Mission and Goals of TSBPE: Eighteen (18) of the Board's employees, including the Executive Director, Director of Enforcement, Chief Investigator, Investigators and Examiners, are licensed plumbers. The licensing requirement is critical, in addition to computer and public speaking skills, for these positions. Other administrative skills, common to other agencies, such as state accounting, purchasing, information technology skills, and administrative technical skills, are critical to the support of the agency's mission, goals and strategies.

FUTURE TSBPE WORKFORCE PROFILE (DEMAND ANALYSIS)

Expected Workforce Changes Driven by Factors Such as Changing Mission, Technology, Work, Workloads, and/or Work Processes: The Agency does not expect any change in its mission. However, due to the anticipated growth in the economy and the plumbing industry, the Board expects its workload will increase. Therefore, the Agency will need additional FTEs.

Future Workforce Skills Needed: Future workforce skills critical to the mission and goals of the Agency are expected to remain the same. However, in order to develop new skills related to future needs, additional training is made available as funding allows.

Anticipated Increase or Decrease in the Number of Employees Needed: Because the population of the state is expected to increase and the economy to continue to improve, and based on the current mission of the Agency, additional personnel as described in the agency planned request will be needed.

Critical Functions That Must Be Performed to Achieve the Strategic Plan: Performance of all Agency functions, including issuing and renewing licenses, reviewing criminal backgrounds of applicants with criminal convictions, scheduling, administering and grading a variety of examinations, processing consumer complaints, as well as accounting and human resource functions, is critical to achieving the Agency's strategic plan goals.

Anticipated Surplus or Shortage of Skills: The Agency is concerned that its ability to attract future employees that possess the needed skills may be impaired by the disparity of salaries between state employees and private industry employees.

STRATEGY FOR WORKFORCE DEVELOPMENT

Changes in Organizational Structure: Under the current mission, the Agency does not anticipate any changes in its organizational structure.

Retention Programs: The Agency supports its employees by rewarding merit increases to employees who perform above satisfactory levels, subject to budgetary constraints. Additionally, the Agency continually strives to maintain a work environment that allows for flexibility, without compromising productivity or customer service.

Recruitment Plans: To the fullest extent possible, the Agency will strive to recruit the number of qualified individuals required to carry out the Agency's mission, including qualified veterans and persons of minority, disability and female gender. The Board will utilize a wide range of recruitment sources, including but not limited to statewide minority, disability and female organizations, educational institutions and the Texas Workforce Commission.

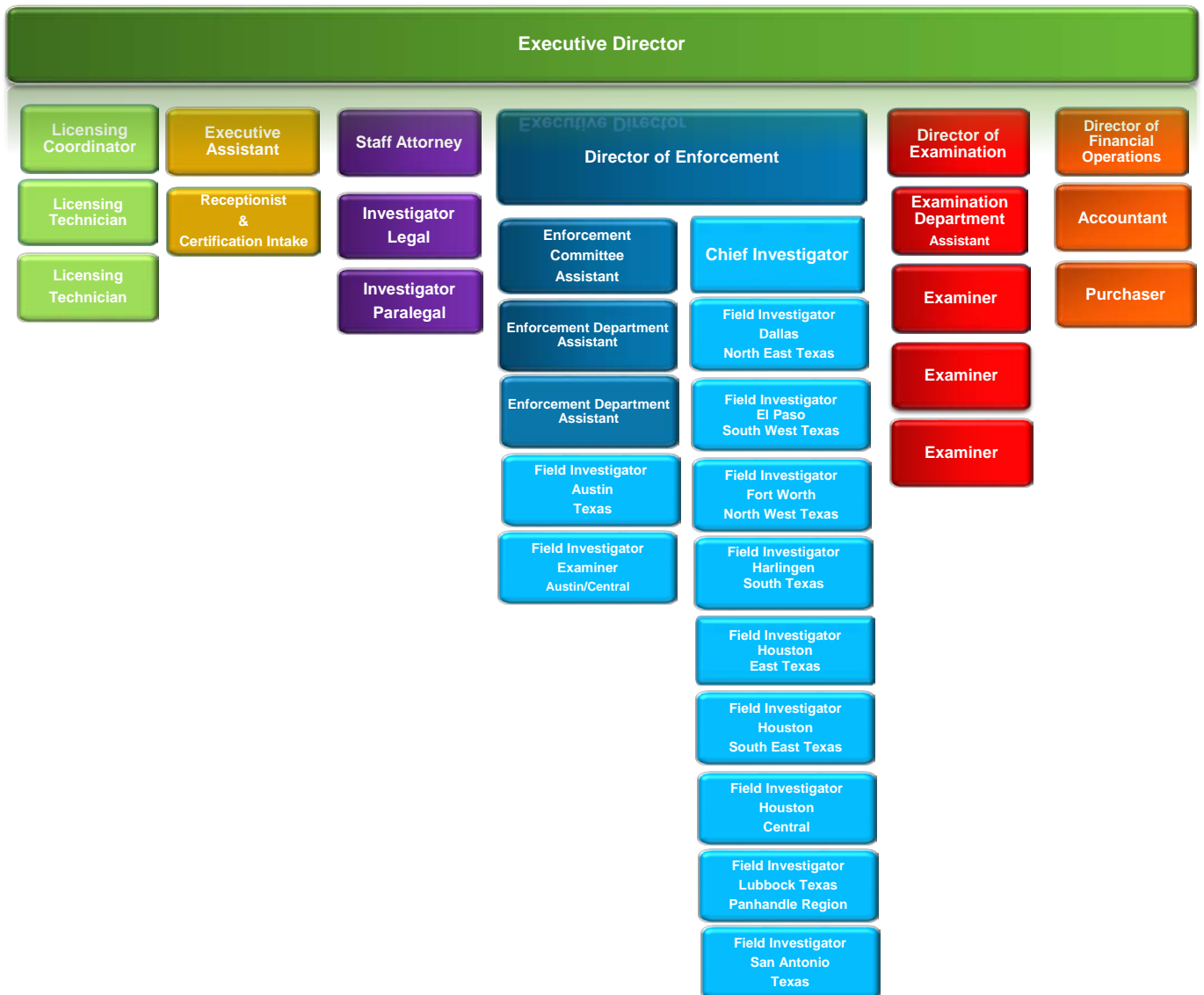
Organizational Training, Employee and Career Development: The Agency provides organizational training, including equal employment opportunity, sexual harassment and procedural training. The Agency utilizes cross training between departments, to enhance the knowledge and skill levels of all employees. The Agency provides for the cost or reimbursement of training for its employees, when the training is in the best interest of the Agency. The Agency provides for training and certification of its employees in the areas of investigation, purchaser certification, information resource training, financial operations and supplemental plumbing training and certification.

Leadership Development: Cross training is essential in leadership development for a small Agency. Department managers share their experience and knowledge with staff. The Agency provides leadership training for its department managers, subject to budgetary constraints. The agency encourages team building.

Succession Planning: All of the factors indicated for organizational training: employee, leadership and career development are essential in planning for succession. The ability to properly compensate the most well trained individuals is of the utmost importance when developing those employees that show an interest in succession. Additionally, the Agency also looks for qualified individuals and resources outside of the agency.

TEXAS STATE BOARD OF PLUMBING EXAMINERS

Organizational Chart - Fiscal Year 2016



APPENDIX F

Supplemental Information

TEXAS STATE BOARD OF PLUMBING EXAMINERS

Survey of Employee Engagement Results

The Texas State Board of Plumbing Examiners participated in the 2016 Survey of Employee Engagement. The survey was conducted during May 2016. Of the 30 employees who were invited to participate in the survey, 28 employees responded, or 93.3%. As a general rule, rates higher than fifty percent (50%) generally indicate soundness of the Agency's health, according to the University of Texas at Austin School of Social Work. A high rate means that employees have an investment in the organization.

Overall, it appears the attitudes of most employees are generally good. The agency continues to maintain a very experienced workforce with 38% of its employees having tenure of 3 - 10 years.

Employees overall feel the work atmosphere is a safe one where workers are ethical and treat each other with respect. Scoring also indicated that employees understand their roles and consider the organization's reputation to be positive.

The main Agency weakness, as identified in this and previous surveys, is employee attitude regarding pay. The general consensus of employees is that their pay is not comparable to positions in other organizations or in relation to their job duties. Merit increases have been very limited, particularly for those in Investigator and Examiner positions.

Employee development, which was a weakness in prior surveys, continues to show marked improvement. Most employees used the available resources to obtain training and increase their skills and value.

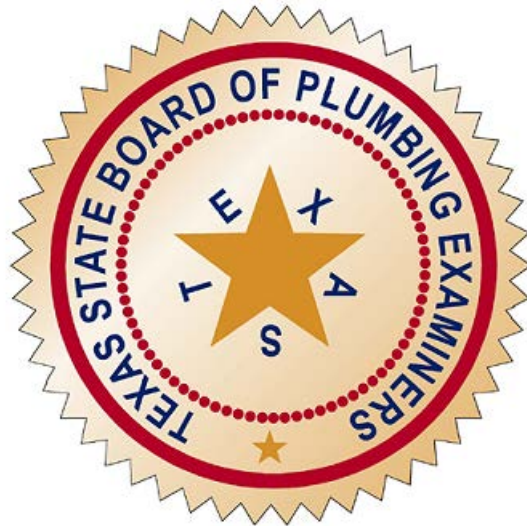
The Agency has examined the findings of the survey and discussed them with the employees for more specific input and prioritized areas for improvement. The Agency has also utilized the results of the survey to recognize those areas identified as substantial and relative strengths.

APPENDIX G

TEXAS STATE BOARD OF PLUMBING EXAMINERS

REPORT ON CUSTOMER SERVICE

SUBMITTED June 1, 2016



TEXAS STATE BOARD OF PLUMBING EXAMINERS

REPORT ON CUSTOMER SERVICE

2016

Inventory of external customers served by the agency and description of services rendered

The agency's external customers include the licensees and registrants that it regulates, as well as the general public. Although customers of primary services were selected from each strategy, it is important to note that the majority of the agency's customers utilize services from more than one, and sometimes all strategies. The agency considered that most of the individuals completing the survey were responding to their experiences with the agency for services provided in more than one strategy.

Strategy A.1.1. Examine and License Plumbers

The external customers under this strategy are primarily applicants for examination and registration; and the licensees and registrants who renew their licenses, registrations and endorsements. The agency serves these customers by administering examinations, issuing and renewing licenses, registrations and endorsements.

Strategy A.1.2. Inspections and Enforcement

The external customers under this strategy are primarily individuals who file complaints with the agency and those who had complaints filed against them. Additionally, external customers of this strategy would be those individuals, regulated or unregulated, who are visited during compliance checks. The agency serves these customers by receiving and investigating consumer complaints, monitoring plumbing job-sites to ensure compliance, issuing administrative penalties to alleged violators, suspending and revoking licenses, reviewing criminal histories of applicants, assisting local authorities with the enforcement of the Plumbing License Law, and by monitoring required education classes. In addition, the Enforcement Department presents public education seminars and provides information to licensees and registrants regarding career advances within the plumbing industry.

Strategy B.1.1. Indirect Administration

The external customers under this strategy are primarily individuals who request open records or attend open meetings of the Board; and Continuing Professional Education Providers and Instructors that are approved by the Board. The agency serves these customers by providing open government and performing the administrative functions of the agency.

Description of information-gathering methods utilized in obtaining input from customers

Strategy A.1.1. Examine and License Plumbers

During the months of March and April, 2016 the Examination Department randomly surveyed examination applicants testing for all types of examinations given by the agency. Dates for the distribution of surveys were randomly selected and all applicants testing on those days were surveyed. The surveys were given to the applicants upon completion of their examination, to be completed and returned to examination department staff. The survey was given to 70 examination applicants, including 8 Master Plumber applicants, 19 Journeyman Plumber applicants, 12 Tradesman Plumber-Limited Licensee applicants, 5 Plumbing Inspector applicants, 19 Medical Gas Endorsement applicants, 4 Water Supply Protection Specialist Endorsement applicant, and 3 Multipurpose Residential Fire Protection Sprinkler Specialist Endorsement applicants. Of the 70 surveys distributed, 36 responses were received.

During the month of April, 2016 the License and Renewal Department randomly surveyed licensees and registrants who renewed their license or registration. During five separate renewal processes in April, a random selection of each category of licensee and registrant who renewed, were sent surveys. The surveys were mailed to the licensees and registrants along with their renewed license or registration, and included a postage-paid self-addressed envelope for returning the survey. A portion of the surveys were also handed out to our walk up customers. The survey was provided to 100 renewal applicants, including 25 Master Plumbers, 25 Journeyman Plumbers, 25 Tradesman Plumber-Limited Licensees, and 25 Plumber's Apprentices. Of the 100 surveys distributed, 19 responses were received.

Strategy A.1.2. Inspections and Enforcement

During the month of April, 2016, the Enforcement Department randomly surveyed individuals who had filed complaints and who had complaints filed against them; and individuals who were monitored for compliance checks with the Plumbing License Law and Board Rules. A report of complaints closed within the previous ninety-day period was generated and complainants and respondents were randomly selected and mailed a survey that included a postage-paid self-addressed envelope for returning the survey. The survey was mailed to 30 individuals who had filed a complaint that had been resolved in the previous 180-day period and 30 individuals who had complaints filed against them that had been resolved in the previous 180-day period. Of the 60 surveys distributed, 16 responses were received.

Additionally, during one week in April, 2016, Field Representatives handed out surveys at random to individuals who were monitored during job site compliance checks. The survey was handed out to 100 individuals who were monitored during compliance checks. Of the 100 surveys distributed, 22 responses were received.

Strategy B.1.1. Indirect Administration

During the month of April, 2016, the Administration Department randomly surveyed individuals who had requested open records, attended open meetings and Continuing Professional Education Providers approved by the Board. A random selection of individuals, who requested open records via email during April, 2016 were e-mailed surveys. During the April, 2016 Board meeting, surveys were also distributed to individuals who were not already provided a survey as part of the above described group. The survey was distributed to 20 individuals who had requested open records and 20 individuals who had attended an open meeting including all Continuing Professional Education Providers approved at the meeting. Of the 40 surveys distributed, 13 responses were received.

Survey Results

Number of surveys distributed:

Examination	70
Renewals	100
Enforcement	160
Administration	<u>40</u>
Total	370

Number of responses received:

Examination	36
Renewals	19
Enforcement	38
Administration	<u>13</u>
Total	106

Overall response rate: 28.6%

Customer Category

Responses received from licensees or registrants of the Board: 74

Responses received from non-licensees or registrants of the Board: 20

Responses from individuals who had experiences with Examination: 36

Responses from individuals who had experiences with Renewal/Registration: 19

Responses from individuals who had experiences with Enforcement: 26

Responses from individuals who had experiences with Administration: 13

Note: Many of the individuals responding to the survey had experiences with more than one category of service.

Levels of customer-determined service quality

The agency's survey consisted of statements that respond to the seven customer service quality elements required by statute. Data from the surveys of each customer category was compiled. An answer of "not applicable" was counted when the respondent overlooked or did not answer a specific question.

The chart below shows a brief description of the responses that the agency's customers were asked to rate, and the general overall results of each response.

	Strongly Agree	Agree	Disagree	Strongly Disagree	Not applicable
General/Overall Satisfaction	81	25	3	1	2
Communication:					
Proper routing of call, e-mail or letter	65	21	5	1	19
Clear explanations regarding services or procedures	74	23	3	2	8
Received necessary information to obtain services	76	22	6	1	5
Complaint Process:					
Knowledge of procedure for filing complaint	59	30	6	1	15
Believe that complaint would be handled in a reasonable manner	59	29	7	2	14
Timeliness of Service:					
Telephone call, letter or email answered in reasonable time	64	25	6	1	15
Time waited to receive services was reasonable	65	27	9	3	7
Time waited for concern to be addressed was reasonable	65	28	7	2	9
Website:					
Access to Internet	73	25	1	0	11

Ease of use/organized	63	22	11	1	14
Current and accurate information	63	28	5	0	15
Ability to find contact information	61	29	4	1	16
General/Overall Satisfaction	Strongly Agree	Agree	Disagree	Strongly Disagree	Not applicable
Staff:					
Staff answered questions	79	23	5	1	5
Staff was courteous, knowledgeable and willing to assist	85	21	3	0	2
Staff identified themselves	80	28	1	0	1
Facility:					
Board office is conveniently located	60	27	4	2	18
Facility is clean and orderly	70	18	0	0	22
Facility is open during reasonable hours	66	25	0	0	19
Printed Information:					
Received printed information explaining services available	56	26	3	6	20
Printed information was clear and understandable	56	29	2	5	19
Printed materials provided thorough and accurate information	56	29	2	5	19

Analysis of findings identified by the customer satisfaction assessment

The results of the survey show that 99.6 % of those who responded strongly agree or agree they are satisfied with the services received and their experience with the agency. This is an increase in overall satisfaction. The responses and comments received indicate that 10.6 % of those responding do not have access to the internet at work or home. This response indicates that the number of customers without internet use has increased along with the volume of the licensee and registrant population. Additional results of the survey indicate that 8.5 % of those who responded are not satisfied with the amount of time required to receive services from the agency.

Even though this represents a small percentage, the agency will continue to maintain a desire to provide a prompt level of service. Of those responding to the survey, 6.3% indicated they do not know the procedure for filing a complaint. An increase in the construction industry has resulted in a higher volume of license and registrant applications to process along with many complaints.

The agency continues to place an emphasis on efforts to educate the public and licensees/registrants regarding the complaint process and the agency's enforcement authority. Improved methods for filing complaints are being developed. The agency also notes that Staff received a high rating based on their knowledge and willingness to assist the customers. The Executive Director and department managers have reviewed the results of the surveys received and continually monitor for improvement in all service areas.

Performance measures related to customer service standards and customer satisfaction (FY 2016)

Outcome Measures:

Percentage of Surveyed Customer Respondents Expressing Overall Satisfaction with Services Received 99.6%

Percentage of Surveyed Customer Respondents Identifying Ways to Improve Service Delivery 3%

Output Measures:

Number of Customers Surveyed	370
Number of Customers Served	70,667*

Efficiency Measures:

Cost Per Customer Surveyed	\$3.02
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Explanatory Measures:

Number of Customers Identified	88,941**
Number of Customer Groups Inventoried	4

* The estimated unduplicated number of individuals who are current and/or renewable licensees and registrants, examination applicants, complainants, complaint respondents, requestors of open records, Continuing Education Providers and attendees of open meetings.

** The estimated duplicated number of individuals who are current and/or renewable licensees and registrants, approved examination applicants, unapproved examination registrant applicants, complainants, complaint respondents, education providers and instructors, requestors of open records, and attendees of open meetings.

APPENDIX H

TEXAS STATE BOARD OF PLUMBING EXAMINERS

TECHNOLOGY RESOURCE PLANNING

The Agency continues to research technology solutions that will result in more efficient expenditure of limited resources and more effective delivery of services to Texas citizens and Agency constituents. Below are the current and planned technology initiatives that support Agency objectives.

Technology Initiative Assessment and Alignment

Initiative: Expand and update the public access portion of the TSBPE website.

Initiative Description: The Agency will continue to expand services offered and update the TSBPE website to give staff the ability to implement features for users and to more quickly update information. The TSBPE will directly update information and services that will eliminate time constraints associated with 3rd party efforts. In addition, to meet these goals, there is a plan to develop a staff position to directly assist renewal and applicant customers who utilize the TSBPE website.

Agency Objectives: Implementation of an expanded and updated website will support many of the Agency's objectives.

Anticipated Benefits: The expanded and updated website will allow the Agency to create better direct contact with the customer base and to support all of the Agency's objectives through technology by providing more information, ease of use, and deliver quicker results for licensees, registrants, and the general public as a whole.

Capabilities or Barriers: The Agency's limited staff has been a barrier to the full implementation of an updated website and customer help programs, due to the amount of staff time needed for development. The addition of staff within the TSBPE Licensing Department and dedication of certain staff to information technology (IT) duties will help expedite this project.

Initiative: Implement an integrated licensing, examination and enforcement database application

Initiative Description: The Agency implemented Versa Regulation, an integrated licensing, examination, and enforcement computer application and regulatory database system on May 30, 2011 as part of a shared software solution with Health Professions Council (HPC) and five other Article VIII agencies. The new shared software solution allows for a more efficient, and reliable platform to store and use data, and keeps Agency software from becoming obsolete while providing flexibility for future needs.

Major enhancements to Versa Regulation will be available by September 1, 2016. Some of the enhancements include a more user friendly online service.

Agency Objectives: Implementation and continued improvements of Versa Regulation supports all of the Agency objectives.

Statewide Technology Priorities: The implementation of Versa Regulation aligns with statewide technology priorities P2 – Data Management, P3 – Data Sharing, P4- Infrastructure, P5 – Legacy Applications, P7 – Network, P8 – Open Data, and P9 – Security and Privacy.

Guiding Principles: Implementation of Versa Regulation addresses the following statewide guiding principles: Connect, Trust, and Innovate. The public facing component of Versa Regulation allows citizens to access real-time information from the Agency database and to apply for registration, examination or licensure in real-time. For fiscal year 2016 to date, the percentage of licenses and registrations renewed online is approximately 43.5% and the percentage of new licenses and registrations issued online is 35.9%. Coming enhancements in the online user system should increase these numbers.

As Versa Regulation is a shared software solution with HPC and other Article VIII agencies, the Board's data is stored in a DIR data center and on an Oracle database supported by HPC, allowing for easier sharing and translating of data by other agencies, should that need arise. In addition, when HPC staff discovers an opportunity to optimize the database application for one of the seven agencies, HPC staff is able to present the solution to other agencies sharing Versa Regulation, giving the opportunity for the Board to receive a benefit to the database application that may not have been discovered otherwise.

Anticipated Benefits: The implementation of Versa Regulation has resulted in quicker turn-around times and more efficient operations, which in turn, increases customer satisfaction. Versa Regulation serves as the primary application for handling secure database information and allows for continued identity management. Security rules for different users of the application in various departments are maintained by the system administrator, requiring each authorized individual to use one set of identification information for access to the Agency database. In addition, the database application keeps a record of changes to data with timestamp and user information and requires secure access to the system's online component to ensure licensees' and registrants' information remains secure.

Capabilities or Barriers: The Agency's limited staff continues to be a barrier to the full implementation of Versa Regulation, due to the amount of staff time required to test changes and corrections to the database application. Budgetary constraints also play a role in further customizations.

Initiative: Contract with Vintage through DIR contract to manage Agency IT services.

Initiative Description: The Board's contract with Vintage IT Services for managed services provides dependable maintenance of the Agency's IT equipment, including its server,

firewall, and office desktop computers, and monitoring of Agency's software and IT security, allowing Agency staff to focus more on other business needs.

Agency Objectives: Contracting with Vintage IT Services supports all Agency objectives.

Statewide Technology Priorities: Contracting with Vintage IT Services aligns with Statewide Technology Priorities P2 – Data Management, P4 – Infrastructure, P7 – Network, and P9 – Security and Privacy.

Guiding Principles: Contracting with Vintage IT Services addresses the statewide guiding principle of delivery by managing the Agency's secure network and shared drives and its common e-mail software application, enhancing information asset management.

Anticipated Benefits: The Agency has already seen benefits of contracting with Vintage IT Services. Allowing information to be shared on secure network drives has increased staff efficiency by allowing file documentation to be viewed electronically. Security of Agency data has improved by requiring secure sign on to Agency desktop computers and by the continual monitoring of users and individual access permissions.

Capabilities or Barriers: As Agency staff becomes more familiar with accessing file information through the use of newer electronic programs, the Board will continue to evaluate electronic maintenance of files. Maintaining files in electronic format has provided easier access to file data and greatly reduced physical storage space requirements. Easier access also allows the agency to produce information requested by the public more quickly.

Initiative: Provide Board meeting documentation electronically

Initiative Description: The Agency has begun providing Board members and staff with electronic documentation for each Board and Committee meeting to eliminate the need for making paper Board books. Each Board member and Agency staff member attending a Board or Committee meeting is provided with a laptop computer for viewing documents for consideration and review during each meeting.

Agency Objectives: Providing Board meeting documentation electronically supports all of the Agency objectives.

Statewide Technology Priorities: Providing Board and Committee meeting documentation electronically aligns with Statewide Technology Priority P6 - Mobility

Guiding Principles: Providing Board and Committee meeting documentation electronically addresses the statewide guiding principles of Deliver and Trust, by allowing meeting documents to be provided to Board members and staff outside of the office prior to the meeting via electronic mail, as well as maintaining Board meeting documentation in an electronic format for any requests from the public for that documentation.

Anticipated Benefits: The Agency has seen an increase in efficiency in fulfilling public information requests for Board meeting documentation by storing the information electronically.

The Agency has also been able to accommodate off-site Board members and other Agency staff by sending electronic Board meeting documentation to those off-site Board and staff members via electronic email for review prior to the meeting.

Capabilities or Barriers: As more information for review and consideration during Board and Committee meetings is submitted to the Agency electronically, the process for providing meeting documentation to Board members and Agency staff in an electronic format will become more streamlined.

Initiative: Mobile Broadband Internet Connection for Off-Site Staff

Initiative Description: The Agency has secured services for high speed mobile broadband internet for its Investigators who work from remote offices.

Agency Objectives: Securing mobile broadband internet for off-site staff supports all of the Agency objectives.

Statewide Technology Priorities: Contracting through DIR to obtain mobile broadband internet connections for Agency off-site staff aligns with Statewide Technology Priorities P6 – Mobility and P7 – Network.

Guiding Principles: Contracting through DIR to obtain mobile broadband internet connections for Agency staff who office from remote locations across the state, by allowing Investigators to remotely access the Agency database via laptop computers or cellular telephones. External staff can quickly verify licensing and application information while conducting compliance checks.

Anticipated Benefits: Allowing Investigators remote access to the Agency database via laptop computers or cellular telephones will benefit the Agency and increase its efficiency and accuracy by eliminating the need for the Investigator to contact the Enforcement Department staff by telephone in order to verify information while the Investigator is working off-site.

Capabilities or Barriers: Some limited availability of mobile broadband internet services from DIR approved vendors in certain remote areas where Investigator's office has been a barrier to obtaining high quality mobile broadband internet connections for all of the Agency's off-site staff.

Initiative: Contract with DIR for Security Event and Threat Analysis network security platform services

Initiative Description: The Board has begun the process to contract with DIR to participate in their Security Event and Threat Analysis (SETA) network security platform in order to increase security of Agency data and its critical infrastructure, to alert the Agency of and prevent any cyber security threats, and to identify any potential IT vulnerabilities and weaknesses.

Agency Objectives: Contracting with DIR for SETA services supports all of the Agency objectives.

Statewide Technology Priorities: Contracting with DIR for SETA services aligns with Statewide Technology Priorities P2 – Data Management, P4 – Infrastructure, and P9 – Security and Privacy.

Guiding Principles: Contracting with DIR for SETA services will address the statewide guiding principles of Deliver by ensuring that Agency workforce can safely continue to access Agency email remotely when needed, increasing productivity and efficiency, and ensuring safety of the Agency’s network and data.

Anticipated Benefits: The Agency anticipates increased security and efficiency in contracting with DIR for SETA services by ensuring Agency network and data are secure from cyber-attacks. This will decrease the risk of Agency downtime to recover data or repair damaged equipment due to attempted cyber-attacks.

Capabilities or Barriers: The Agency has easily maintained its efforts with DIR’s SETA services platform due to contractual support from Vintage IT Services, as well as the Health Professions Council staff.



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