

Smaller Smarter Government, Vol. 2

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Government, Volume 2

TDLR Strategic Plan  
for the Fiscal Years 2015-2019

by the

Texas Commission of  
Licensing and Regulation

and the

Texas Department of  
Licensing and Regulation

Submitted June 23, 2014







# STRATEGIC PLAN

FOR THE FISCAL YEARS 2015 – 2019

BY THE

*Texas Commission of Licensing and Regulation*

*and the*

*Texas Department of Licensing and Regulation*

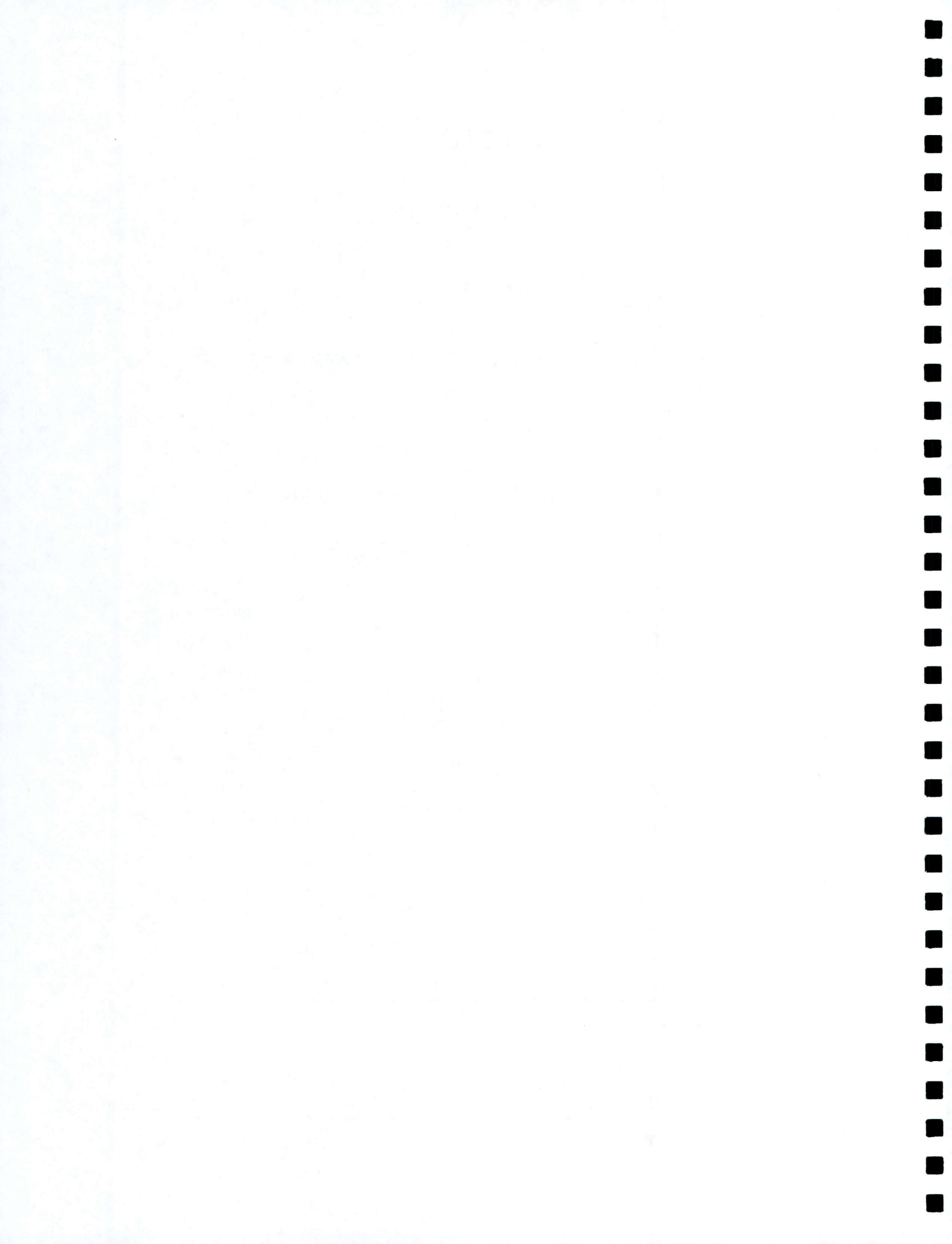
<b>Commission Member</b>	<b>Term</b>	<b>Hometown</b>
Mike Arismendez, Chairman	02/01/15	Littlefield
LuAnn Morgan, Vice-Chair	02/01/15	Midland
Thomas F. Butler	02/01/19	Deer Park
Fred Moses	02/01/15	Plano
Catherine J. Rodewald	02/01/17	Frisco
Ravi Shah	02/01/17	Carrollton
Deborah Yurco	02/01/19	Austin

*Submitted June 23, 2014*

Signed:

  
\_\_\_\_\_  
Executive Director

  
\_\_\_\_\_  
Commission Chair



## EXECUTIVE SUMMARY

### Overview of *Smaller Smarter Government, Vol. 2*

*Smaller Smarter Government, Vol. 2* describes who we are, where we have been, what we believe, where we want to go, and what we want to achieve. Written entirely by TDLR staff, this document is infused with ideas from across our agency, but it also amplifies the voices of the people we serve - our licensees and customers.

Throughout *Smaller Smarter Government, Vol. 2*, you will read about our mission, our vision, and our core values. We come back to these beliefs every day as we do our jobs, because they are the foundation of who we are. They are more than just words on a page. These values guide us as we continue to take on new challenges and maintain our focus on smaller, smarter government.

### TDLR's Philosophy: Achieving *Smaller Smarter Government*

Since 2000, TDLR has been the catalyst for the transformation of occupational and business licensing in Texas. The agency restructured to implement a functionally aligned business model that provides shared services across licensing programs. This dynamic structural change allows TDLR to manage an increasingly diverse mix of programs while maintaining a lean work force.

The TDLR business model focusses on efficiency in licensing and regulation. To ensure we maintain this focus, the following four key questions are asked when the Legislature asks for our input when considering sending additional programs to TDLR:

1. Is there sufficient critical mass of licensees to justify a licensing program?
2. Are there regulatory alternatives to a licensing program? If another entity – federal, state, or local – already effectively regulates in this area, a state licensing program may not be necessary.
3. Can the licensing program fit the functional business model at TDLR, which relies on electronic applications and renewals, online payments, and integration into our licensing software?
4. Does the program fit with the TDLR core competencies?

TDLR's responsibilities have continued to grow as the Legislature has invested more confidence and trust in our ability to successfully transform inefficient existing programs and take on new licensing responsibilities. In FY 2000, TDLR had 116,000 licensees and 17 programs; as of FY 2014 we now have over 650,000 licensees and 25 programs. TDLR has worked closely with the Legislature to abolish, transfer, repeal or privatize programs and licenses that no longer met the criteria for state licensing and regulation.

#### ***Programs Abolished***

- Transportation Service Providers (2003)
- Career Counselors (2005)
- Talent Agents (2011)
- Personnel Employment Services (2011)
- Loss Damage Waivers (2013)

#### ***License Types Repealed***

- Boxing Timekeeper and Ringside Physician (2013)
- Shampoo Apprentice (2013)
- Examination Proctor (2013)
- Freon Product Purchasing (2013)

#### ***Programs Transferred***

- Discount Health Care Card Providers (2010, to Texas Department of Insurance)
- Licensed Court Interpreters (2014, to Office of Court Administration)

#### ***Duties Privatized***

- Architectural Barriers inspections and plan reviews (2009)



## Key Points of *Smaller Smarter Government, Vol. 2*

While the Texas workforce continues to grow, so does the TDLR licensee population. At the same time, we have held agency growth in check and actually reduced the size of our workforce while still delivering outstanding customer service. (see *Who We Serve – TDLR Licensee Population*)

In 2013, TDLR reduced license fees for 11 different programs, affecting more than 360,000 Texans, with an estimated annual savings of \$5.9 million. We are proud to say that we put money back in the pockets of our licensees, something that makes us unique among state government agencies. (see *How We Do It – Budget Revenue and Appropriations*)

Our appropriations-per-licensee is among the lowest in Texas state government. (see *How We Do It – Budget Revenue and Appropriations*)

As TDLR's responsibilities have increased, so has our commitment to structuring our business model along functional lines, by emphasizing cross-training and eliminating redundancies. We reorganized our compliance structure and created a Field Operations division with focused responsibilities, and reorganized our highly trained business and process analysts into their own team to advise Executive leadership on process improvement. (see *What We Have Done – Reorganizations and Personnel Changes*)

Most recently, TDLR worked successfully with the 83<sup>rd</sup> Legislature to modernize our licensing programs and eliminate unnecessary regulation. (see *What We Have Done – Strategic Plan Report Card*)

We stand ready to work closely with the 84<sup>th</sup> Legislature to further streamline state government and deliver cost-effective, high-quality customer service. To this end, we have outlined Smaller Smarter Government Initiatives for the 84<sup>th</sup> Legislative Session. (see *Where We Want to Be – Smaller Smarter Government Initiatives*)

We face critical challenges in the following areas that need to be addressed (see *Where We Want to Be*):

- Employee recruitment and retention, retirements, and knowledge-loss;
  - Salary competition and equity;
  - Software, hardware, and technology upgrades; and
  - Information technology security.
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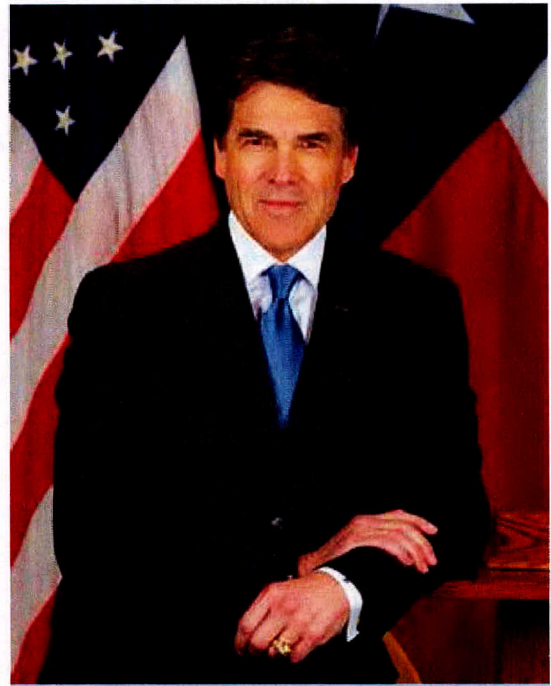


# THE VISION, MISSION AND PHILOSOPHY OF TEXAS STATE GOVERNMENT

## Governor Rick Perry's Vision for Texas

We must continue to critically examine the role of state government by identifying the core programs and activities necessary for the long-term economic health of our state, while eliminating outdated and inefficient functions. We must continue to adhere to the priorities that have made Texas a national economic leader:

- ensuring the economic competitiveness of our state by adhering to principles of fiscal discipline, setting clear budget priorities, living within our means and limiting the growth of government;
- investing in critical water, energy and transportation infrastructure needs to meet the demands of our rapidly growing state;
- ensuring excellence and accountability in public schools and institutions of higher education as we invest in the future of this state and ensure Texans are prepared to compete in the global marketplace;
- defending Texans by safeguarding our neighborhoods and protecting our international border; and
- increasing transparency and efficiency at all levels of government to guard against waste, fraud and abuse, ensuring that Texas taxpayers keep more of their hard-earned money to keep our economy and our families strong.



Texas Governor Rick Perry

## The Mission of Texas State Government

Texas state government must be limited, efficient, and completely accountable. It should foster opportunity and economic prosperity, focus on critical priorities, and support the creation of strong family environments for our children. The stewards of the public trust must be men and women who administer state government in a fair, just, and responsible manner. To honor the public trust, state officials must seek new and innovative ways to meet state government priorities in a fiscally responsible manner.

Aim high . . . we are not here to achieve inconsequential things!

## The Philosophy of Texas State Government

The task before all state public servants is to govern in a manner worthy of this great state. We are a great enterprise, and as an enterprise, we will promote the following core principles:

- First and foremost, Texas matters most. This is the overarching, guiding principle by which we will make decisions. Our state, and its future, is more important than party, politics, or individual recognition.
- Government should be limited in size and mission, but it must be highly effective in performing the tasks it undertakes.
- Decisions affecting individual Texans, in most instances, are best made by those individuals, their families, and the local government closest to their communities.
- Competition is the greatest incentive for achievement and excellence. It inspires ingenuity and requires individuals to set their sights high. Just as competition inspires excellence, a sense of personal responsibility drives individual citizens to do more for their future and the future of those they love.
- Public administration must be open and honest, pursuing the high road rather than the expedient course. We must be accountable to taxpayers for our actions.



- State government has a responsibility to safeguard taxpayer dollars by eliminating waste and abuse and providing efficient and honest government.
- Finally, state government should be humble, recognizing that all its power and authority is granted to it by the people of Texas, and those who make decisions wielding the power of the state should exercise their authority cautiously and fairly.

## STATEWIDE GOALS AND BENCHMARKS

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

### Regulatory

#### *Priority Goal*

To ensure Texans are effectively and efficiently served by high-quality professionals and business by:

- Implementing clear standards;
- Ensuring compliance; and
- Reducing the regulatory burden on people and business.

#### *Benchmarks*

- Percentage of state professional licensee population with no documented violations.
- Percentage of new professional licensees as compared to the existing population.
- Percentage of documented complaints to professional licensing agencies resolved within six months.
- Percentage of individuals given a test for professional licensure who received a passing score.
- Percentage of new and renewed professional licenses issued online.
- Number of new business permits issued online.
- Percentage of new business permits issued online.
- Percentage increase in utilization of the state business portal.

### Economic Development

#### *Priority Goal*

To provide an attractive economic climate for current and emerging industries and market Texas as a premier business expansion and tourist destination that fosters economic opportunity, job creation, and capital investment by:

- Promoting a favorable business climate and a fair system to fund necessary state services; and
- Developing a well trained, educated, and productive workforce.

#### *Benchmarks*

- Number of new small businesses created.
- Number of new non-government, non-farm jobs created.
- Per capita gross state product.
- Texas unemployment rate.

## Natural Resources

### Priority Goal

To conserve and protect our state's natural resources (air, water, land, wildlife, and mineral resources) by:

- Providing leadership and policy guidance for state, federal, and local initiatives.

### Benchmarks

- Percentage of Texas waters that meet or exceed safe water quality standards.
- Average time required in responding to natural disasters such as wildfires and hurricanes.

## WHAT WE BELIEVE

### TDLR's Mission

To honor the trust of all Texans, ensure public safety and customer protection, and provide a fair and efficient licensing and regulatory environment at the lowest possible cost.

### TDLR's Vision

To be the leader in public service by creating innovative, low cost licensing and regulatory best practices, and cultivating employees who provide exceptional customer service.

### TDLR's Philosophy

To achieve smaller, smarter government, we:

- Honor the public by regulating in a fair, open, and consistent manner;
- Provide more opportunities and avenues for our customers and employees to be heard (Your Voice Matters);
- Deliver simple, clear, and courteous service to our customers;
- Maintain a culture of change and innovation by always challenging and re-evaluating the status quo;
- Build efficient and cost-effective public-private partnerships;
- Mentor leaders to exemplify TDLR's Core Values;
- Eliminate waste and maximize our resources to lower the cost for the customers we serve;
- Reward high-performing employees through promotion, raises, and recognition;
- Serve the citizens of Texas responsibly through transparency and efficiency; and
- Value the dignity and worth of our customers and employees.

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“Leadership is more than simply telling people what to do. Leadership requires discipline, integrity and vision. With these qualities woven together, the executive can lay out his plan with confidence, knowing that his team will develop and carry forward this strategy to heights greater than even the leadership imagined for the agency.”

*Deborah Yurco,  
TDLR Commissioner*

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## TDLR's Core Values

### *Accountability*

We are personally responsible to the citizens of Texas. We take pride in our successes and responsibility for our failures – celebrating achievements and using setbacks as opportunities for growth.

### *Customer Service*

We deliver courteous, timely and easily accessible service, getting the job done right the first time. Each person we serve deserves our best.

### *Innovation*

We foster a culture of creativity to generate out of the box thinking and ideas in order to bring about value added change and improvement in the services we deliver.

### *Integrity*

We are trustworthy, responsible and ethical in all we do.

### *Open and Free Communication*

We listen to everybody, honoring the right to be heard and respecting all opinions. We invite participation from all of our customers and employees.

### *Respect*

We value our customers and each other by treating everyone with courtesy and dignity.

### *Teamwork*

Our success is a result of our collective wisdom, dedication and energy, working together towards our shared vision and mission.

## WHO WE ARE

The Texas Department of Licensing and Regulation (TDLR) licenses and regulates businesses, individuals, industries, facilities, equipment, and occupations to ensure that Texans are served by qualified, competent professionals. To achieve this, TDLR applies clear standards that make compliance achievable, avoid unreasonable government involvement, and keep costs low while providing exceptional customer service.

The agency began in 1909 as the Bureau of Labor Statistics. In 1973, the Legislature changed the name to Texas Department of Labor and Standards. The agency was then restructured as the Texas Department of Licensing and Regulation in 1989.

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“The TDLR lives its core values - not by putting words on a plaque, but by respecting and listening to its licensees and the citizens of Texas. This single-minded focus in living these values every day in every decision we make has made every process within TDLR more efficient, most of them in a proactive way by addressing issues before they become problems. TDLR's commitment to these ideals has resulted in a real world savings of \$29 million to the taxpayers of Texas and demonstrates that in the marketplace of governmental services TDLR's core values work!”

**Tom Butler,  
TDLR Commissioner**

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“Since Bill became our leader in 1999, he's led the agency to take on greater responsibility. His guidance has not only improved the agency's reputation but made TDLR a great place to work. I am proud to say that I work for him, and I feel lucky to have had the opportunity to learn from him.”

**George Ferrie, TDLR,  
Director of Compliance**

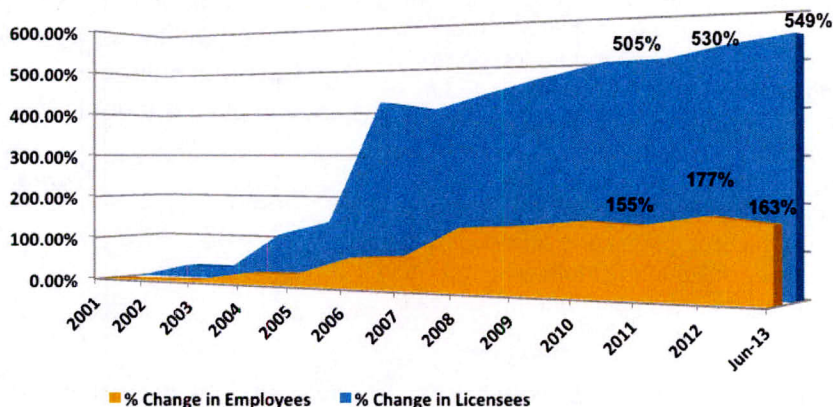
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Beginning in 1999, the agency's responsibilities increased from regulating 17 programs to a total of 28 by 2012. As of 2014, thanks to streamlining efforts led by the agency and enacted by the Legislature, the number of programs TDLR oversees has been reduced to 25. Since 1999 the licensee population has increased from 116,000 to over 650,000. During this same time period, the agency's employee cap grew from 144.5 to 382.2, although TDLR consistently stays below this cap with a current count of 354.7 positions. In 2001, TDLR had one employee for every 732 licensees; by 2013, this ratio increased to one employee for every 1,918 licensees, an increase of 262%.

While the rate of growth in the licensee population continues to increase, our employee growth rate has been steadily shrinking since peaking in 2011:

### Comparison of Percent Change in Employees and Licensees



The agency's success in managing diverse and increasing responsibilities while keeping a lean workforce is due to its culture of innovation that continually improves our processes and the services we deliver. TDLR's functional business model enables the agency to continually scale its operations and retain flexibility, ensuring greater productivity and lower fees as demands on the agency's resources change.

Chapter 51 of the Texas Occupations Code establishes TDLR and its responsibilities. The Texas Commission of Licensing and Regulation (Commission) is TDLR's governing body, with seven public members appointed by the Governor with the consent of the Senate.

The role of the Commission is to:

- select and supervise the executive director;
- set policy for the agency;
- establish and assess fines and sanctions for violations of laws, rules and orders;
- approve TDLR's strategic plan, operating budget, and requests for funding;
- consider input from TDLR's 19 Advisory Boards;
- set fees to cover the cost of programs; and
- adopt and repeal rules.



Members of the Texas Commission of Licensing and Regulation

The Commission guides TDLR's common-sense approach to fair, efficient regulation and low-cost licensing. Before any rules are adopted, the Commission carefully considers any potential impact on businesses, customers, and licensees. The Commission strives to honor the trust of all Texans and ensure that the regulatory process is not heavy-handed or arbitrary. To support this endeavor, Commissioners regularly receive training from TDLR's Office of the General Counsel on the state's open government laws.



The Commission conducts its business in a setting open to the public, and all Commission meetings are streamed live on the internet, then archived and available to view anytime. The Commission promotes transparency and availability in all of its interactions with the public.

There are 19 TDLR programs with Advisory Boards. Input from each Advisory Board is critical in helping the agency effectively carry out its mission and achieve its vision. Advisory Board members provide vital technical knowledge and industry expertise, giving the Commission and staff real-world insight into the occupations and industries regulated by TDLR. In addition, Commission members attend and participate in Advisory Board meetings so the Commission better understands these occupations and industries.

The Executive Office builds trust with others through four key elements: Able, Believable, Connected, and Dependable. Able means having the skills to make things happen, including knowing the organization and equipping people with the resources and information they need to get their job done. Believable means acting with integrity, being honest and treating people equitably. Believability is also about acting in a consistent, values-driven manner that reassures employees that they can rely on their leaders. Connected means focusing on people and identifying their needs and is supported by good communication skills and openly sharing information about the organization. Dependable means following through on what they say they will do and being accountable as well as responsive.

The Executive Office believes that when employees are actively involved in the decision making process, they gain a professional and personal stake in the organization and its overall success. This commitment leads to increased productivity as they participate in various aspects of the organization and wish to see their efforts succeed. It's not only beneficial to the organization's growth, but is also on-the-job training. The increase in responsibility expands employee skill sets, preparing them for additional responsibility in the future.

TDLR's executive director, who reports directly to the Commission, is responsible for:

- administering TDLR's programs;
- recruiting, hiring, and leading agency personnel;
- issuing licenses and certificates;
- approving complaint settlements, fines, and sanctions;
- issuing cease and desist orders and emergency orders; and
- referring cases to the Texas Attorney General.

The Legislature has entrusted TDLR with the important responsibility of licensing individuals and businesses in specific industries and occupations. We believe this responsibility does not allow for complacency or simply doing things the way they have always been done. We believe that every regulatory agency must carefully balance the interests of protecting the public and ensuring a safe work environment while preserving individual liberties and the freedom to pursue prosperity and opportunity. We pride ourselves on striking this balance by avoiding an overly aggressive regulatory environment, and striving to maintain an atmosphere of fair competition, smart regulation and outstanding service for all Texans.

## WHO WE REGULATE

We license individuals and businesses for 25 programs and issue 126 license types. Below is a snapshot of our total licensee population at the end of the third quarter of Fiscal Year 2014.

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“Bill is an honest, resourceful leader when it comes to dealing with ongoing growth and changes within the agency. He always gives us meaningful guidance and encouragement to accomplish our goals.”

*Elizabeth Soliz, TDLR,  
Human Resource Specialist*

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“Bill has taken TDLR to new heights as we have grown tremendously over the years. His employees truly respect and value his leadership as they know he will do what is best for the agency and for his employees.”

*Lisa Houdek, TDLR,  
Licensing Supervisor*

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PROGRAM	LICENSE TYPES	INDIVIDUAL LICENSES	BUSINESS LICENSES	TOTAL LICENSE POPULATION
Cosmetologists	27	237,886	29,721	267,607
Electricians	13	110,830	9,525	120,355
Boilers	2	258	54,916	55,174
Air Conditioning & Refrigeration Contractors	3	38,580	0	38,580
Elevators	3	163	38,281	38,444
Vehicle Towing and Booting	13	12,156	18,948	31,104
Barbers	19	19,241	3,975	23,216
Architectural Barriers	2	496	14,267	14,763
For-Profit Legal Service Contracts	3	9,063	15	9,078
Vehicle Storage Facilities	2	3,494	1,783	5,277
Property Tax Professionals	3	3,434	0	3,434
Combative Sports	9	3,257	69	3,326
Used Automotive Parts Recyclers	2	2,439	827	3,263
Auctioneers	1	2,426	0	2,426
Water Well Drillers and Pump Installers	2	1,711	0	1,711
Property Tax Consultants	3	1,576	0	1,576
Industrialized Housing and Buildings	6	49	570	619
Licensed Court Interpreters	2	537	0	537
Professional Employer Organizations	2	0	364	364
Service Contract Providers	2	0	317	317
Polygraph Examiners	2	262	0	262
Licensed Breeders	1	0	158	158
Temporary Common Worker Employers	1	0	96	96
Vehicle Product Protection Warrantors	1	0	52	52
Weather Modification	2	0	18	18
<b>TOTAL</b>	<b>126</b>	<b>447,858</b>	<b>173,902</b>	<b>621,757</b>

## WHAT WE DO

### Compliance



Texas Water Well

The Compliance division consists of the agency's technical and industry experts for our 25 programs. Staff determines compliance of buildings and equipment through plan reviews and inspections. Additionally, staff provides information through industry conferences and participates in speaking engagements and forums with associations. The division responds to technical questions asked by the public and licensees.

The staff's skills and experience are critical to the agency's mission to ensure public safety and customer protection and assure Texans that the services they receive are from qualified individuals. For example:

- the Electricians program protects consumers by ensuring the safe installation of electrical wiring and equipment;
- the Water Well Driller and Pump Installer program ensures protection of groundwater resources and the safety of the public water supply;

“TDLR's staff responded quickly and professionally to a conflict in the rules that was creating hardship for Texas vehicle storage facilities across the state.”

**Rodney Bryant, Licensee,  
Vehicle Storage Facility Program**



- the Towing, Vehicle Storage and Booting programs ensure that these services are provided to consumers fairly and safely;
- the Air Conditioning and Refrigeration program ensures the safe installation and efficient operation of air conditioning, heating, ventilation and refrigeration systems – essential components of all businesses and homes; and
- the Weather Modification program ensures the safe use of cloud seeding by working with groundwater conservation districts and the public.

### **Customer Service**

The Customer Service division is the agency's primary point of contact, responding to calls, emails, Facebook posts, and tweets. The agency engages with and fosters an interactive community through its social media channels. A typical day for our customer service representatives includes:

- Responding to over 1,500 calls;
- Answering over 160 questions received via email;
- Monitoring and engaging through social media;
- Assisting walk-in customers at TDLR headquarters in downtown Austin; and
- Providing Spanish, Vietnamese and Mandarin language assistance to customers.

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“TDLR does an excellent job on treating the public as customers, thereby providing excellent customer service and working to find solutions. I practice before numerous state agencies, and believe TDLR is one of the most responsive. The agency is willing to work where possible to find creative solutions to issues facing the industries it regulates.”

*Mark Vane, Partner,  
Gardere Wynne Sewell Law Firm*

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Our automated phone system helps non-English speaking customers reach the appropriate customer service representative. It also routes callers making electronic payments and those inquiring about specific programs. We are exploring web chat as another method of communication for licensees and the public.

The Customer Service division is the gateway through which employees begin a career with TDLR. After acquiring a strong base of customer service and program knowledge, many employees transfer to other divisions and become leaders and resources throughout the agency.

### **Education and Examination**

The Education and Examination division develops continuing education and pre-license education requirements for 12 programs. These requirements make sure licensees have the necessary knowledge and skills to practice their chosen profession. Education staff ensure that schools and continuing education providers are in compliance with laws and rules by:

- Evaluating and approving schools, providers and courses;
- Providing technical support and assistance to applicants;
- Conducting periodic best practice audits of schools, providers and courses;
- Managing TDLR's online course completion database; and
- Developing and maintaining education information on TDLR's website.



### Continuing Education and Pre-license Education Population by Program

PROGRAM	HOURS	LICENSEES SUBJECT TO CE (09/01/2013)
Cosmetology	4	180,746
Electricians	4	100,627
Air Conditioning and Refrigeration Contractors	8	14,735
Towing Operators	4	9,954
Property Tax Professionals – Appraisers and Assessor/Collectors	30	3,588
Auctioneers	6	2,534
Water Well Drillers and Pump Installers	4	1,669
Property Tax Consultants	12	1,510
Licensed Court Interpreters	8	544
Registered Accessibility Specialists	8	454
Property Tax Professionals – Collectors	10	383
Polygraph Examiners	2	242
Booting Operators	2	44
Elevator Responsible Party	4	0
<b>TOTAL</b>	<b>106</b>	<b>317,030</b>

The division coordinates examination development and monitors administration of examinations for the 11 programs requiring knowledge and competency tests to obtain a license. The division also:

- Collaborates with its current examination delivery public-private partner, PSI Services, LLC (PSI), industry subject matter experts, and Advisory Board members to review and update examination questions and answers;
- Assesses the effectiveness of examinations in conjunction with PSI on a periodic basis to ensure applicants are tested with the most current information; and
- Informs schools and instructors about the examination process and relevant pass-rate.

### Examination Population by Program

PROGRAM	EXAMINATIONS ADMINISTERED FY 2013
Cosmetologists	41,996
Electricians	6,189
Barbers	3,154
Air Conditioning and Refrigeration Contractors	2,967
Property Tax Professionals	596
Water Well Drillers and Pump Installers	535
Licensed Court Interpreters	190
Property Tax Consultants	180
Auctioneers	168
Registered Accessibility Specialists	77
Polygraph Examiners	29
Boiler Inspectors	17
<b>TOTAL</b>	<b>56,098</b>



## **Enforcement**

The Enforcement division investigates and resolves complaints received from consumers, industry, municipalities, inspections, and TDLR staff for our 25 programs. The division's structure, operations, and processes are aligned to ensure fair and efficient complaint resolution. The Enforcement division consists of three sections:

- The Intake section reviews all complaints received to determine if the agency has jurisdiction and recommends whether an investigation should be opened.
- The Investigation section compiles all the facts related to a complaint, including eyewitness interviews, in-depth research, on-site investigations, and prepares the written report based on these findings. It also coordinates and conducts sting operations to combat unlicensed activity.
- The Prosecution section includes prosecutors, legal assistants, and legal support. The prosecutors and legal assistants ensure the efficient resolution of each case and pursue penalties and sanctions whenever violations are found. The legal support staff track agreed orders, collect penalties, and assure compliance with probation requirements. The Prosecution section also screens applicants' criminal history information from the Department of Public Safety to identify crimes that may necessitate license denials or revocation.

Complainants and licensees have an opportunity to participate in the investigation process and help to ensure that information obtained is accurate. Consistency is maintained throughout the process by the use of the Enforcement procedures manual and Commission-approved penalty matrices and criminal offense evaluation guidelines.

## **Executive Office**

“The Executive Office has the vision, the drive and the commitment to achieve that vision, and the skills to make it happen. “To honor the trust of all Texans, ensure public safety and consumer protection, and provide a fair and efficient regulatory environment.” is what guides the Executive Director and his staff to successfully achieve the strategic goals of TDLR. The Executive Office attributes its successes to the following measures:

- Building trust, communicating and influence with others.
- Effectively defining our employee's purpose and their “job to be done.”
- Creating a strategic link between the work of the employees and the goals of the organization.
- Connecting the work of the team to the organization's economic model.
- Aligning the four essential systems of execution, talent, core work processes, and feedback.”

***LuAnn Morgan,  
TDLR Commissioner***

The Executive Office exemplifies the agency's core values while providing the leadership, motivation, and direction to achieve the agency's vision and mission. Along with managing the daily operations and resources to meet strategic goals, TDLR's leaders are working with each division to implement 14 core priorities for 2014 to keep the agency aligned and focused. The success of the Executive Office is attributed to:

- A respect-based management philosophy
- A firm commitment to open and free communication with all employees and customers
- A recognition of the importance of industry trends and systems thinking to implement process improvements
- Aggressively pursuing government transparency and efficiency

The Executive Office is passionate and sincere about building trust with the TDLR family, public officials, licensees and the citizens of Texas.

The Executive Office:

- Implements Commission policies;
- Recommends agency budgets and license fee changes to the Commission;
- Creates strategic planning initiatives;
- Represents the agency before the Legislature;
- Reviews Advisory Board applications for recommendation to the Chairman of the Commission;
- Assesses administrative sanctions and penalties;
- Reviews and recommends rules;
- Issues subpoenas and cease and desist and emergency orders;
- Monitors Historically Underutilized Business contracts;
- Supports TDLR's 19 Advisory Boards;



- Administers TDLR's websites and social media channels;
- Manages and authorizes payments, grants and expenditures as appropriate from the:
  - Auctioneer Education and Recovery Fund;
  - Licensed Breeder Training and Enforcement Fund; and
  - Private Beauty Culture School Tuition Protection Account;
- Provides policy direction for workforce planning, recruitment, benefits and compensation, and staff development;
- Serves as TDLR's contact with other government agencies and industry organizations;
- Streams and archives agency meetings;
- Solicits ideas and solutions through crowdsourcing platforms, ThinkTDLR (internal) and ImagineTDLR (external);
- Issues press releases and responds to media and legislative inquiries; and
- Encourages and implements employee suggestions and ideas consistent with our core values and strategic plan.

### Field Operations

The newly created Field Operations division performs inspections and educates licensees for the Cosmetology, Barber, Towing, Vehicle Storage Facility, Booting, Used Auto Parts Recycler, and Licensed Breeder programs. Our inspectors are the face of TDLR for many of our licensees, performing scheduled pre-license and unscheduled periodic inspections of licensed facilities. TDLR is moving to an electronic inspection process that will allow field staff to enter inspection results in durable tablet computers, which will upload results to our database as each inspection is completed. This e-inspection process will significantly reduce data entry and other administrative tasks, allowing for increased productivity.



Tow Truck Round-up inspection

“I want to commend TDLR and its inspectors. It is a good idea to do consolidated tow inspections.”

**Jim, Licensee,  
Dodge Country Towing, Killeen,  
at the Killeen Towing Round Up**

The agency is also implementing route-optimization software that will assign daily inspections and map out the most efficient route for inspectors. Inspectors will save administrative time by no longer manually creating a daily itinerary. The route-optimization program considers a variety of business rules including: inspection due dates; location of the facilities and inspectors; duration of inspections; and potential harm to the public. This program increases the productivity and efficiency of inspections and helps ensure public safety.

### Financial Services

The Financial Services division manages TDLR's fiscal resources in compliance with state and federal requirements. Staff operates in a prudent and responsible manner, carrying out all of their duties to get the most value from each appropriated dollar. This division is organized into four cross-trained teams:

- Payroll and Accounting
- Budget and Administrative
- Reporting and Financial Support Services
- Purchasing and Procurement

Financial Services balances the agency's budget and ensures all divisions spend within their means. The division allocates and monitors purchasing and capital asset requirements, develops the Legislative Appropriation Request, manages the annual budget, and prepares all agency fiscal reports.





The division goal is to fiscally serve: applicants and licensees by processing their paperwork and money in a timely manner; TDLR divisions with purchasing, payroll, and travel reimbursements; and, most importantly, the citizens of Texas by performing our duties and responsibilities cost-effectively, with integrity.

The main functions of the division are:

- Accounting;
- Budgeting;
- Cash receipt processing;
- Payroll;
- Expenditure and payment processing;
- Revenue recognition and reconciliation;
- Financial interface for USAS and the [Texas.gov](https://www.texas.gov) portal;
- Fixed asset management;
- Mail processing;
- Purchasing, property management and contract administration;
- Risk management; and
- Vehicle fleet management.

### ***Office of the General Counsel***

The Office of the General Counsel provides critical legal opinions and advice to the agency and the Commission. In this role, General Counsel proactively identifies and addresses issues that may expose the agency or Commissioners to legal liability. Additionally, General Counsel uses common sense in applying legal expertise when working with the legislature to draft legislation, collaborating with agency staff and Advisory Boards to develop administrative rules, reviewing contracts and contested case orders, and helping develop agency policies. General Counsel protects the public, promotes an efficient regulatory environment, and minimizes risk of litigation against the state, TDLR, Commissioners, and employees. General Counsel advises the Commission, the Executive Office and agency staff about pending litigation, bills and laws affecting the agency, ethics questions and sensitive legal matters. The general counsel is also TDLR's Chief Audit Executive and Ethics Officer.

The Office of the General Counsel:

- Advises the Commission and the Executive Office;
- Drafts and reviews rules;
- Drafts and reviews Commission orders;
- Responds to open records requests;
- Supports Advisory Boards and workgroups;
- Drafts and reviews contracts and requests for proposals;
- Provides legal opinions for the agency;
- Oversees the collection of administrative penalties; and
- Works with the Office of the Attorney General in administrative appeals, injunctive relief, collecting delinquent fines and coordinating other legal proceedings.

### ***Human Resources***

The Human Resources division promotes the agency vision and mission by fostering a healthy and respectful work environment. This is accomplished by attracting, developing, and retaining qualified employees who are dedicated to public service and who uphold TDLR's core values. The division staff provides:



- Recruitment and hiring;
- Training and career development;
- Employee benefits, compensation, and related matters;
- Personnel policies and procedures;
- Employee relations;
- Workforce planning;
- Wellness programs;
- Compliance with state and federal employment law;
- Prevention of employee fraud; and
- Legal support on personnel matters.

**Information Systems Development**

The Information Systems Development division creates and supports custom software to help carryout TDLR's regulatory responsibilities. The Texas Umbrella Licensing Information Project (TULIP) software system is scalable and accommodates most of our license types and licensees. The Texas Occupations Online Licensing System (TOOLS) software program, used for Towing, Vehicle Storage Facilities, and Booting programs allows:

- Insurance companies to update coverage information;
- Inspectors to post inspection reports; and
- Applicants to complete and submit applications online.

Many of TDLR's web-based systems connect directly with the TULIP and TOOLS systems, providing immediate access to license applications and renewals. This online accessibility allows for:

- Posting of pre-license and continuing education course completions;
- Reporting of barber and cosmetology student enrollment and classroom hours;
- Payment of administrative penalties; and
- Searches of TDLR licensee, disciplinary and elevator databases.

To keep pace with the ever-expanding licensee base, changes to program requirements, and advancements in technology, the TULIP database software system is now undergoing a comprehensive renovation.

**Licensing**

The Licensing division reviews applications and issues licenses to qualified individuals and businesses. Licensing staff have extensive knowledge of licensing requirements and procedures for processing applications and issuing licenses. The agency's 25 programs include 126 unique license types for over 650,000 licensees. During fiscal year 2014, the average time to issue a license is 5 days, faster than the Legislature established target of 10 days.

The Licensing division evaluates applicants':

- Criminal history;
- Required education and credentials;
- Experience and employment history; and
- Insurance, bonding, and net worth requirements.

Licensing employees are cross-trained to assist with seasonal workload spikes. During peak times, the entire division sets aside a portion of each day to process the extra high volume of applications. The Licensing staff is empowered through teamwork, open and free communication, and innovation to provide the best customer service from start to finish.



## Network Services

The Network Services division supports the agency's vision and strategic focus by planning for growth, installing systems, and supporting and maintaining all information technology, including phone systems and mobile devices. The division also manages the agency's infrastructure by providing maintenance, upgrades, and troubleshooting at each of the Austin offices and at all field locations.

Division staff have diverse skills that provide quick assistance and exceptional support on all hardware and software related requests. Network Services, through a Memorandum of Understanding, also supports the technology needs of other state agencies within our building headquarters as needed, including the Texas Emergency Services Retirement System and the Texas Commission on the Arts. Division staff participate in the mandated Data Center Services consolidation through the Department of Information Resources.

## HOW WE DO IT

### Texas Commission of Licensing and Regulation

The Texas Commission of Licensing and Regulation (Commission) is the governing board and policy-making body of TDLR. The seven public members of the Commission are appointed to staggered six-year terms by the Governor with the consent of the Senate. Commission members by law cannot engage in any of the businesses or trades regulated by TDLR. Commissioners' valuable insight from their professional and business experience enhances and complements TDLR's common-sense approach to fair, efficient regulation and low-cost licensing.

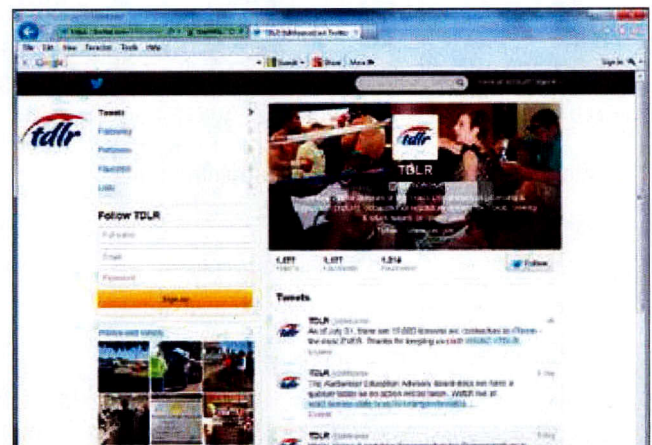
The Commission's duties include:

- approving the agency's budget report, requests for funding, and strategic plan;
- providing policy direction for all agency operations;
- reviewing existing rules to eliminate unnecessary regulatory burdens, and adopting new rules as needed;
- issuing final orders in contested cases;
- approving the penalties that may be assessed in the agency's enforcement plan; and
- recruiting, supervising, evaluating and setting the salary for TDLR's executive director.

As successful business men and women, our Commissioners know that every dollar counts, so they make sure that agency funds are budgeted wisely. While focusing on the safety and protection of the public, the Commission also looks for ways to cut costs and reduce fees wherever possible. The Commission strives to honor the trust of all Texans while ensuring that the regulatory process is not burdensome or arbitrary. Before any rules are adopted, the Commission carefully considers all input and any potential impact on businesses, customers, licensees and the public.

TDLR makes full use of available technology and agency expertise to increase public access to the Commission. TDLR is a leader in using social media to keep the public informed and to increase its participation in the agency's activities, including Commission meetings. TDLR publicizes Commission meetings on the agency website, including live internet video broadcasts of all public meetings. TDLR notifies all email subscribers as soon as Commission meetings are scheduled, with links to download upcoming agenda items and information. TDLR posts status updates to Facebook and Twitter when the Commission is meeting, including direct links to live streaming of Commission meetings.

TDLR and the Commission promote transparency and accountability in all of our activities. All Commissioners regularly receive training and guidance from TDLR's Office of the General Counsel on the state's open government laws.



TDLR Facebook Page



The Chairman of the Commission provides his expertise and support to Advisory Board chairs on how to conduct efficient meetings and communicate effectively with the public, fellow board members, and TDLR staff. This ensures that best practices are modeled, and clear lines of open and free communication are established, among Advisory Boards, Commission members, TDLR staff and the public we serve.

In 2013, TDLR bid farewell to Chairman Frank Denton, who began his service with the Commission in 2002. Vice-Chairman Mike Arismendez Jr. of Littlefield was appointed Chairman by Governor Rick Perry on May 21, 2013. Chairman Arismendez is committed to TDLR's mission to honor the trust of all Texans, ensure public safety and customer protection, and provide a fair and efficient licensing and regulatory environment at the lowest possible cost. Governor Perry also appointed two new Commissioners in 2013, Thomas F. Butler of Deer Park, and Catherine J. Rodewald of Dallas.

## Advisory Boards

Advisory Boards provide crucial guidance to 19 of TDLR's 25 programs. These Boards meet as needed to evaluate, review and make recommendations to the Commission on:

- rules and technical standards;
- examination development;
- continuing education requirements;
- trends affecting their regulated industries; and
- concerns and comments from their communities.

The Advisory Board members are appointed by the Chairman of the Commission with the Commission's approval, representing a wide range of industries, professions, and locations throughout Texas. Board members serve staggered terms of two to six years. The Board members' knowledge and technical expertise in their respective fields are essential in helping the Commissioners make informed choices and decisions. Before adopting or amending agency rules, Commission members carefully consider Advisory Board recommendations.

To promote a better understanding of the industries and occupations regulated by TDLR, the Chairman of the Commission designates Commission members to serve as liaisons to each of the Advisory Boards. These Commission members attend Board meetings and make sure that input provided by each Advisory Board is clearly understood and carefully considered during Commission deliberations. Board members' knowledge and expertise also make TDLR more effective in carrying out its mission and improving service to our licensees and the public. Advisory Board members are an important voice of the programs TDLR regulates, and the Commissioners and TDLR listen when they speak (Your Voice Matters).

Each Advisory Board conducts extensive reviews of its rules with the purpose of eliminating unnecessary, outdated, or burdensome rules. Work groups made up of Board members meet and evaluate TDLR rules, looking for opportunities to improve regulation, and then recommend these changes to the Commission. Additionally, Advisory Boards provide input for the development of the agency's criminal conviction guidelines and enforcement plan – identifying crimes that relate to the licensed professions and recommending appropriate penalties for violations of laws and rules.

## Book Club, Leadership Program, and Workplace Dynamics Initiatives

In 2013, our Executive Office expanded the mentoring and development of directors by initiating a new program called "Conversations in Leadership." This initiative began with the introduction of the book, *"Mistakes Were Made, But Not by Me"* by Carol Tavris and Elliot Aronson. Each director was provided with the book to read, and then they met as a group to share insights and learning about cognitive dissonance and understanding its presence in the workplace. Directors shared personal experiences about mistakes and self-justification and how these experiences influence their leadership and decision-making. The focus was on personal inquiry to apply these new principles when faced with leadership challenges.



The group then read, *“Decisive: How to Make Better Choices in Life and Work”* by Chip Heath and Dan Heath, opening up a new set of processes that TDLR leaders may use to avoid decision-making biases and offered practical tools for making better choices. The tools include “widen your options,” “reality-test your assumptions,” “attain distance before deciding” and “prepare to be wrong”. These topics are already being used to benefit the agency as we move TDLR forward, not only applying these in our daily workload, but also sharing them with the next generation of TDLR leaders.

The **Conversations in Leadership** program extends beyond the book club and is an ongoing dialogue where TDLR leaders share ideas and fears, pose thought provoking questions and seek guidance on difficult issues. The intent of this process is to build upon the existing camaraderie of the directors and move them out of their leadership silos into a shared and cooperative leadership model.

The **Workplace Dynamics** leadership initiative began as a survey offered to each TDLR employee to seek feedback on key areas to help the agency gain a better understanding of its strengths and weaknesses. The survey consisted of six workplace factors, three concerning organization health (direction, execution and connection), and three concerning job factors (my work, my manager, and benefits). The employees were presented with 19 topics and a scoring system of responses from Strongly Agree to Strongly Disagree. Survey topics included:

- confidence in agency leadership;
- whether the agency was going in the right direction;
- how confident they felt about their future at TDLR; and
- whether they felt their job made them feel meaningful.

Out of the 19 topics, TDLR scored higher in all but two when benchmarked against all participating state government agencies, in Texas and other states. Following the release of the survey results, the division directors were then briefed by executive leadership on how to use the information provided with the online tool to assist in improving our organization. This opportunity branched out into several assignments including directors performing self-evaluations on what they did or did not do to contribute to their division scores and what they could do to improve going forward; conduct one-on-one interviews with the other directors to gain insight into their survey scores contributing actions; and most importantly, meet with their staff to hear from them on how we could improve the agency.



TDLR Leadership Meeting

## Our Workforce

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“Bill’s leadership is great. He knows the TDLR way, and goes with it and leads TDLR employees to do it. He always listens to the voices of all TDLR employees and treats TDLR employees equally. He is a perfect leader.”

**Shufang Yu, TDLR,  
Systems Analyst**

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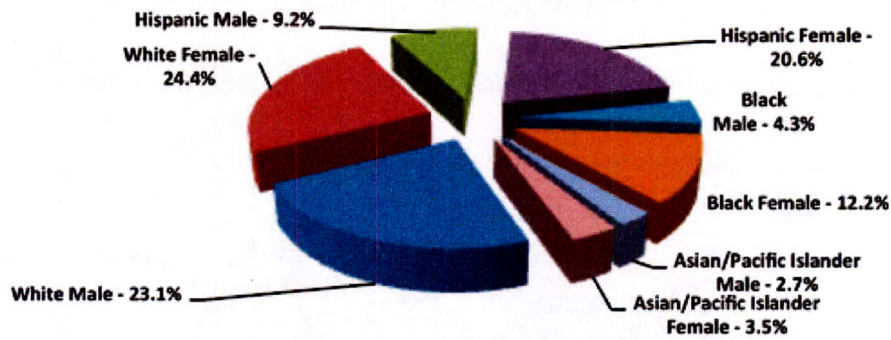
Administering 25 programs that cover a broad array of occupations is only possible because of our talented and committed employees. TDLR maintains an empowered work force consisting of 382.2 full-time equivalent positions (FTEs). This number represents a 2.5 percent decrease over the 2012-2013 biennium. 321.7 of TDLR’s FTEs are located at two Austin locations, while 60.5 FTEs work at other locations throughout Texas.

TDLR is successful in providing challenging and rewarding career opportunities for each of its employees largely because it adheres to the following fundamental core values: Accountability, Customer Service, Innovation, Integrity, Open and Free Communication, Respect, and Teamwork. These values guide the agency in all of its interactions with our staff. TDLR honors its long-standing commitment to provide equal employment opportunities for all of our employees and job applicants.

Our workforce is as diverse as the state we serve. Currently, TDLR’s workforce is 29.8 percent Hispanic-American, 16.5 percent African-American, and 6.2 percent Asian-American. 60.7 percent of our employees are female.



### Fiscal Year 2014 Organization Profile (1st Quarter)



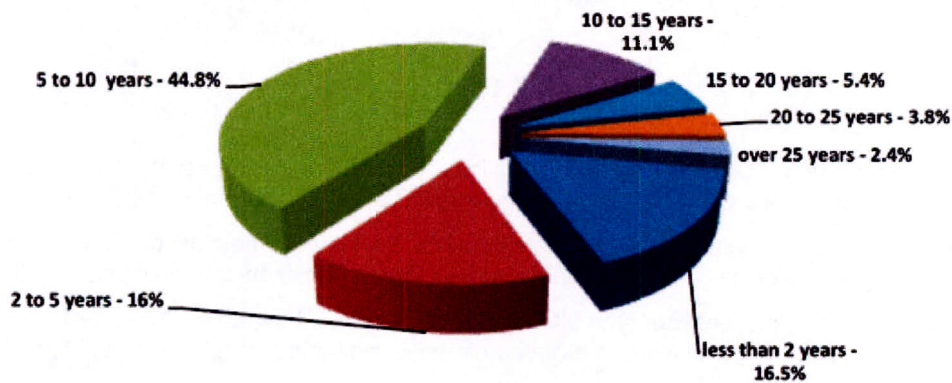
The table below compares our demographic profile with that of the statewide civilian workforce, as of the midway point of Fiscal Year 2014.

### Fiscal Year 2014 Agency Workforce Composition (1<sup>st</sup> quarter)

JOB CATEGORY	BLACK		HISPANIC-AMERICAN		FEMALE	
	TDLR %	STATE %	TDLR %	STATE %	TDLR %	STATE %
Officials/Administrators	12.5	10.7	6.25	16.7	18.8	47.1
Professionals	19.6	14.4	25.0	19.3	58.7	50.4
Paraprofessionals	8.3	32.7	41.7	28.5	87.5	71.3
Technicians	9.7	21.0	28.0	31.6	28.0	59.1
Administrative Support	23.3	19.7	33.3	32.5	82.5	86.7

TDLR's workforce is also highly experienced. Serving a wide variety of industries, TDLR retains employees who demonstrate extensive familiarity with, and technical knowledge of, the complex activities of those industries. This wealth of experience and know-how is reflected in the age distribution of TDLR's workforce compared with the overall state workforce, as shown below.

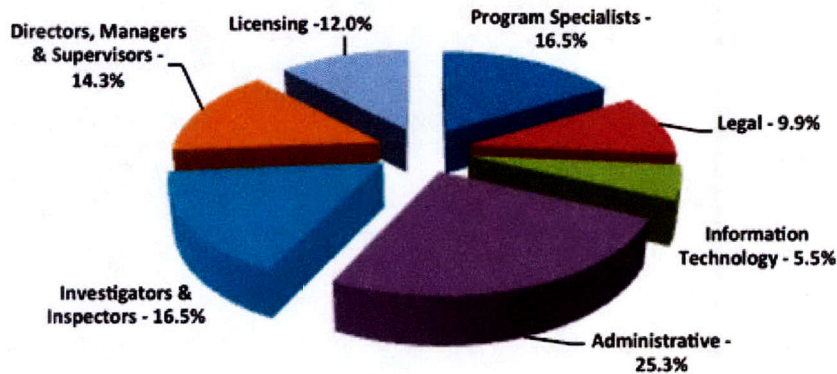
### Fiscal Year 2014 Employee Length of Service with Agency Programs (1st Quarter)





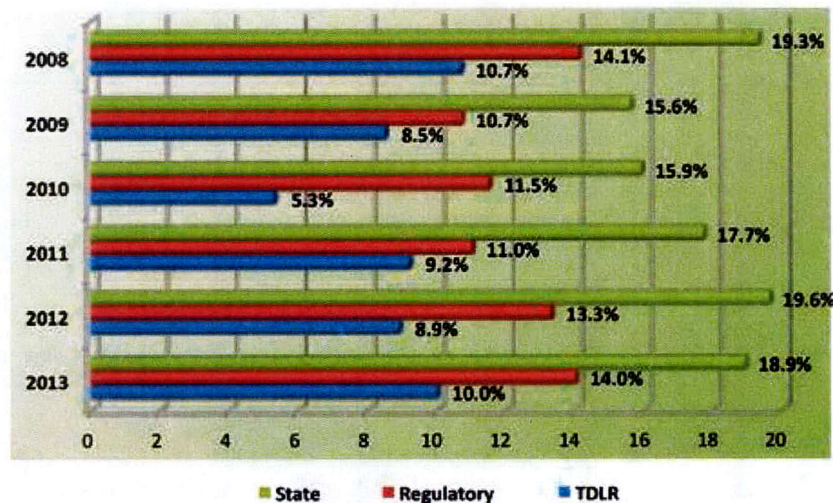
Like any other organization, TDLR must minimize the loss of institutional knowledge as the “Baby Boom” generation retires. To respond to this challenge we mentor new leaders and recruit new talent for highly specialized areas. The percentage of employees eligible for retirement, by job category, is shown in the chart below.

**Retirement Eligibility by Job Category (through Fiscal Year 2019)**



As one of the top-rated workplaces in Austin, TDLR retains employees longer than the statewide average. TDLR cultivates a work environment with opportunities for professional development that provide a real sense of achievement. This atmosphere contributes to TDLR having a comparatively low turnover rate for over a decade, as shown below.

**TDLR, Regulatory Agencies and State Turnover Rates**



Additional factors also contribute to TDLR being an inviting place to work and build a career. Our core values, and the culture they promote, are strong motivation for pursuing a career at TDLR. For example,

- Our emphasis on open and free communication – evidenced by “town hall” meetings, task forces, regular staff meetings, the agency’s intranet and email newsletters – keeps employees informed of events affecting the agency;
- The value we place on our employees’ ability to offer innovative ideas on how work processes can be made more efficient is accentuated by our ongoing effort to gather their unfiltered input through our online forum, “ThinkTDLR;”
- The promotion of employee-friendly work arrangements – flexible, or compressed, work schedules along with opportunities to telecommute – allows employees to strike a healthy balance between work and personal life; and
- Human Resources keeps employees up to date on health insurance, wellness activities, and training opportunities, along with changes in personnel policies, compensation, and employee benefits.



TDLR consistently finds ways to improve the work experience of our employees. Those who pursue job-related professional development may receive partial reimbursement of tuition. Through a survey given to those resigning, or retiring, we learn how best to improve our workplace. The figure below identifies TDLR's rate of turnover by job category, which we also use to improve our work environment.

### Turnover by Classification Fiscal Year 2013

FY2013 TURNOVER BY CLASSIFICATION	PERCENT OF TOTAL FTES	PERCENT OF AGENCY TURNOVER
Legal Assistants	7.3	18.9
Inspectors	7.6	13.5
Attorneys	3.7	10.8

### Technological and Capital Resources

One of the purposes of strategic planning is to analyze the current and future needs of technology and capital resources. This analysis is key to the effective delivery of services to Texans and agency stakeholders and to the efficient expenditure of limited resources. Aligning those resources enables an agency to more effectively address the critical issues facing the state.

Strategically, the agency plans for continued growth even in the current economically stressed environment. TDLR's success with integrating new and transferred programs makes it an ideal candidate for consideration in future consolidations of programs that align with its current responsibilities.

#### *Capital resource improvement considerations include:*

- The agency continues to be a part of the legislatively mandated consolidated data center contract. After the last contractor, IBM left, the contract was re-bid and we are now working with the new contractors, Xerox and CapGemini. This new partnership started in April 2013 and at this time has been a considerable improvement over the previous one. The new contractor has installed the level of architecture and infrastructure that should have been in place all along by providing dedicated networks, faster methods allowing for quicker turnaround times on projects and improved accountability processes.
- Computer replacements occur at the agency based on a four-year refresh schedule, or as project demands dictate. An example of this is our foray into tablet devices for our field inspectors. These new tablets allow for data entry in real time, bypassing paper entry-to-data entry.

#### *Other pertinent organizational issues affecting resources:*

- Commission, Advisory Board, other public meetings and large scale training sessions are all held in the meeting room at the North Campus located in the Twin Towers Building on Clayton Lane in Austin.
- A massive build out of the third floor space at our North Campus is currently underway. Broken into separate phases to allow for staff to continue working as we branch out into our new space.
- A new large training location has also been added to the North Campus 3rd floor, and when finished will offer SmartBoard technology as well the ability to offer training for up to 25 people.
- We continue to provide network scanners and desktop scanners to support the Legal Files system which provides a paperless case management system. Another added benefit is the removal of large filing cabinets, providing much needed space at the North Campus.
- The agency has installed additional SmartBoards devices in our field office in Fort Worth and Houston, providing the agency with the ability to conduct remote training or group meetings for staff. This results in considerable savings in travel costs and a reduction in work hours lost traveling to headquarters.
- The agency took a major leap in the email application utilized by all staff when we migrated from GroupWise to Microsoft Office 365 and Outlook. This change came with many advantages including offering each user a 25gb mailbox with a one-year retention, ability to install the Office suite on up to 5 unique systems giving staff the capability to easily work from home using the same applications and an instant messaging solution offering application and screen sharing functionality.



- The agency completed another substantial project by changing to a new mobile phone carrier offering improved rate plans, shared minutes across all devices and significantly superior coverage.
- In order to simplify the process used to share information with Commissioners for meetings, the agency replaced their bulky laptops for slim, lightweight iPads. Using a cloud service to share documents eases the process and gives the Commissioners a device they can easily transport, with a substantially longer battery life than their previous laptops.
- The customer service contact center also had a major overhaul with much improved call reporting that not only makes it easier to create customized reports, but also offers real-time snapshots on a large screen that are viewed by customer service management. These snapshots change in real-time to show the current call volume based on TDLR program or call group, number of emails and faxes in queue and current call wait time and more.
- TDLR has made great strides with social media applications including Facebook, YouTube and Twitter. These applications are used to further our reach to deliver important information, receive feedback and to offer a familiar location for citizens of Texas to ask questions and get a response from a subject matter expert.
- Another new product for getting information out to both internal and external parties, is GovDelivery. This application is a replacement to the agency's in-house ListServe application. Over half a million subscribers now receive important news and information directly to their email in a much reduced timeframe and a simplified process for the agency to manage.

### Budget Revenue and Appropriations (cost per license)

TDLR's commitment has always been to serve and protect the consumers of Texas and uphold the laws of the state. We believe in working with integrity and expect to be accountable, especially when using taxpayer dollars.

TDLR annually reviews the cost of operating each of its programs and compares that to fees collected for each program. In addition to providing Texans with the highest quality of service, TDLR continues its trend of reducing our licensees' fees to keep the cost of business as low as possible.

On November 21, 2013, the Commission approved rules to lower licensing fees in 11 different programs for more than 361,793 licensees effective January 1, 2014 with an estimated annual savings of \$5,932,249 and an estimated five-year savings of \$29,661,245 for our licensees.

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“Dear Texas Cosmetology Board, I have been licensed in Texas and other states for over 40 years. I have paid out much money to license fees for myself, and my salons. This is the FIRST time I have ever encountered a reduction in fees. So refreshing to see a government agency willing to help the professional, at a great loss to you...”

**Martha Cox, Licensee,  
Cosmetology Program**

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### Estimated Savings to Licensees from TDLR Fee Reductions

TDLR Program	Estimated Annual Savings	ESTIMATED 5-YEAR SAVINGS
Cosmetologists	\$4,722,735	\$23,613,675
Electricians	660,890	3,304,450
Barbers	323,790	1,618,950
Professional Employer Organizations	66,575	332,875
Used Automotive Parts Recyclers	52,364	261,820
Property Tax Professionals	36,333	181,665
Continuing Education	34,450	172,250
Temporary Common Workers	13,080	65,400
Vehicle Protection Product Warrantors	11,250	56,250
Auctioneers	4,301	21,505
Legal Service Contract Providers	3,431	17,155
Property Tax Consultants	3,050	15,250
<b>TOTAL</b>	<b>\$5,932,249</b>	<b>\$29,661,245</b>

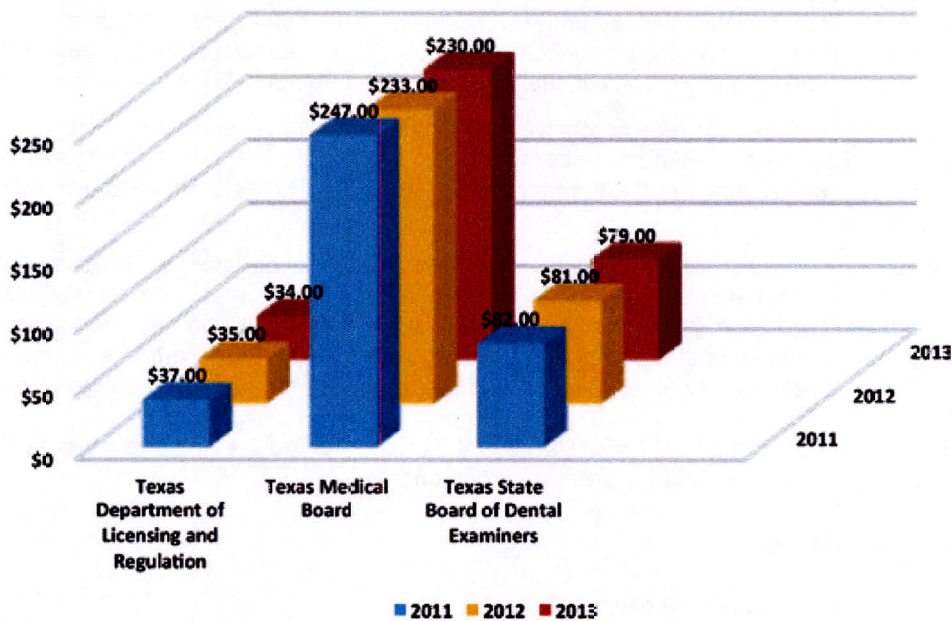
TDLR's fee reductions from FY2004 to FY2014 have resulted in savings of \$28.4 million for licensees.



### Fee Reduction Accumulative Savings



### Appropriations per Licensee



The responsibilities of the agency, licensee population, number of new businesses and required legislative changes have all increased. The resource needs of the agency far outweigh the appropriations available to the agency.

Many agencies are organized into departmental silos which impede efficiency and cost effectiveness. A silo structure has several programs and several employees for each program, duplicating work functions. The silo model creates numerous job redundancies which equals less functionality, lower productivity and growing costs.



TDLR has chosen to structure its business model along functional lines. This business model recognizes the functional areas of the services we deliver and groups its employees by activities. This alignment emphasizes cross-training and eliminates redundancy across divisions. This significantly decreases costs, increases productivity and lowers the number of FTEs needed

Our functional business model and philosophy is unique in state government. It allows TDLR to be the leader in areas such as:

- saving money;
- protecting consumers;
- lowering fees for licensees; and
- creating opportunities for employment in the private sector.

TDLR has mastered the functional business model, which has allowed the reduction of license fees while generating sufficient revenue to cover appropriations. Nevertheless, TDLR faces a challenging fiscal environment that requires additional resources, including the following:

- **Salary Equity Adjustment**

In spite of being recognized as one of the Top Workplaces in Austin, TDLR continues to lose great employees because the salary we can pay them is often less than what other agencies pay for the same position. According to the State Auditor's Electronic Classification System, "the average pay for 55 of TDLR's 66 job classifications is lower than the average pay for those classifications at other agencies," with the average difference being \$16,590 per job classification, for a cumulative of \$730,000. We are unable to offer competitive salaries and therefore are at a huge disadvantage within the public sector.

- **Additional Employees**

Due to the budget reductions of the past biennium, our employee cap was cut from 392.2 to 382.2. TDLR needs to return to the prior employee cap, as well as additional employees for complaint resolution, inspections, industry expertise, customer service, and network and software security. These employees are required to address increases in responsibilities, licensees and consumer protection activities. TDLR also needs the appropriations to pay the competitive salaries for these employees. Additional employees and appropriations are needed because:

- A growing segment of our licensees primarily speak Spanish or Vietnamese. To better serve these Texans, we need additional Spanish and Vietnamese speakers. The Legislature has authorized agencies to use retention bonuses to attract and retain employees with critical skills so TDLR may continue to provide quality service to all of our customers.
- As part of the state-wide Enterprise Security Program, the Texas Department of Licensing and Regulation engaged Gartner to evaluate their IT Security Program, requirements and current capabilities against industry leading practices. The report highlighted the rising threat of cyber-attacks on the private and personal information that Texans have entrusted to the agency. To be able to implement Gartner's roadmap for improved security, TDLR will need additional employees who specialize in information technology security.

Like all business models and structures TDLR recognizes that its functional business model must evolve and adapt to the changing demands of its customers and business environment.

## **Public-Private Partnerships**

Building relationships through public-private partnerships allows TDLR to focus on its core responsibilities and to provide timely and easily accessible services. These partnerships allow TDLR to provide more services by leveraging what our public-private partners do best. TDLR regularly reviews agency processes to create more outsourcing and partnership opportunities to achieve greater efficiency and cost savings.

As part of our strategic planning process, TDLR met with many of its key partners. We asked what services and competencies they can provide and about major changes or trends they forecast over the next five years that may impact TDLR.

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“TDLR continues to focus on quality outcomes utilizing the right quantity of resources. TDLR manages its strategic plan by utilizing its human capital and other resources effectively and efficiently. Faster, smarter and better government exemplifies TDLR.”

*Ravi Shah,  
TDLR Commissioner*

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This innovative approach facilitated a candid dialogue, giving TDLR valuable insight into untapped resources, potential challenges and future opportunities. These partners shared invaluable knowledge of business trends that will affect TDLR's practices. Understanding the core competencies and business impacts of our partners will help TDLR make better decisions about our future.

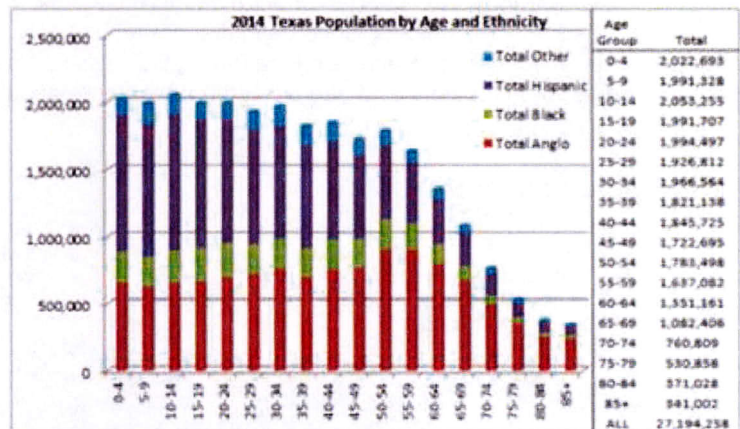
Identifying the resources available to TDLR helps the agency continue to increase efficiencies. For example, Xerox can provide light industrial printing and production. Adding this additional service to what we are already required to use through the Texas Department of Information Resources contract or Data Consolidation Center may provide further economies of scale unattainable using a separate printing firm for specialized forms and publications. Our examination provider, PSI, has the ability to issue licenses with the licensee's photo. Printing licenses with photos taken at the testing site ensures positive identification, eliminates postage and allows licensees to immediately go to work after passing their exam. Zeacom expressed its concerns that TDLR may just be breaking the surface of the capabilities its contact center software provides. With additional integration and automation of contact center processes facilitated by Zeacom, TDLR is on track to experience an even greater increase in customer satisfaction.

TDLR continues to build partnerships through participation in industry conferences, trade shows and other events. Our community presence maintains the agency's connection with and understanding of the trends and business practices of its industries. Working collaboratively with partners to implement best practices both within our agency and within the industries we serve creates "win-win" results. Through open exchanges of ideas and innovative thinking, TDLR creates public-private partnerships that result in positive change and improvement in the services delivered to our customers.

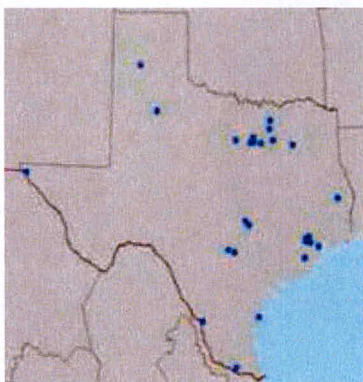
## WHO WE SERVE

### Consumer Protection

TDLR regulates 25 unique programs throughout Texas and has the privilege of protecting more than 27 million Texans. That protection stretches from border to border and includes daily activities like riding in an elevator and drinking clean water, from properly installed water wells to a special event such as an exciting night of watching boxing or mixed martial arts.



### TDLR Service by Region



Understanding the differences in diversity and population density throughout Texas, helps TDLR prepare to serve the public and our licensees. TDLR maintains three regions to manage 27 Field Operations' inspectors who work from their homes or from one of three region offices.

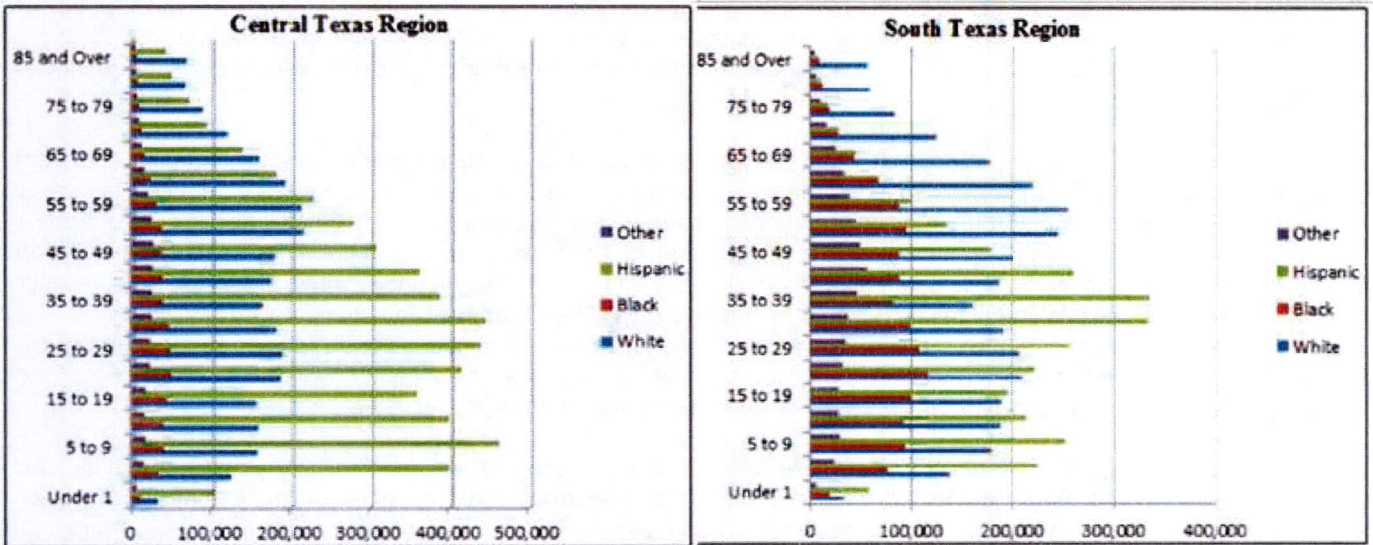
The North region office is located in Fort Worth. It includes the northern most part of Texas and runs along the New Mexico and Oklahoma borders, from Amarillo through the Dallas/Fort Worth metroplex to Waco.

The South region office is located in Austin. The South region includes the boarder of Mexico and runs all the way from El Paso to Brownsville in the Lower Rio Grande area along the Gulf Coast to Corpus Christi and includes Austin and San Antonio.

The East region office is located in Houston. The East region includes Houston and the coastal prairies along the northern gulf and the border we share with Louisiana.

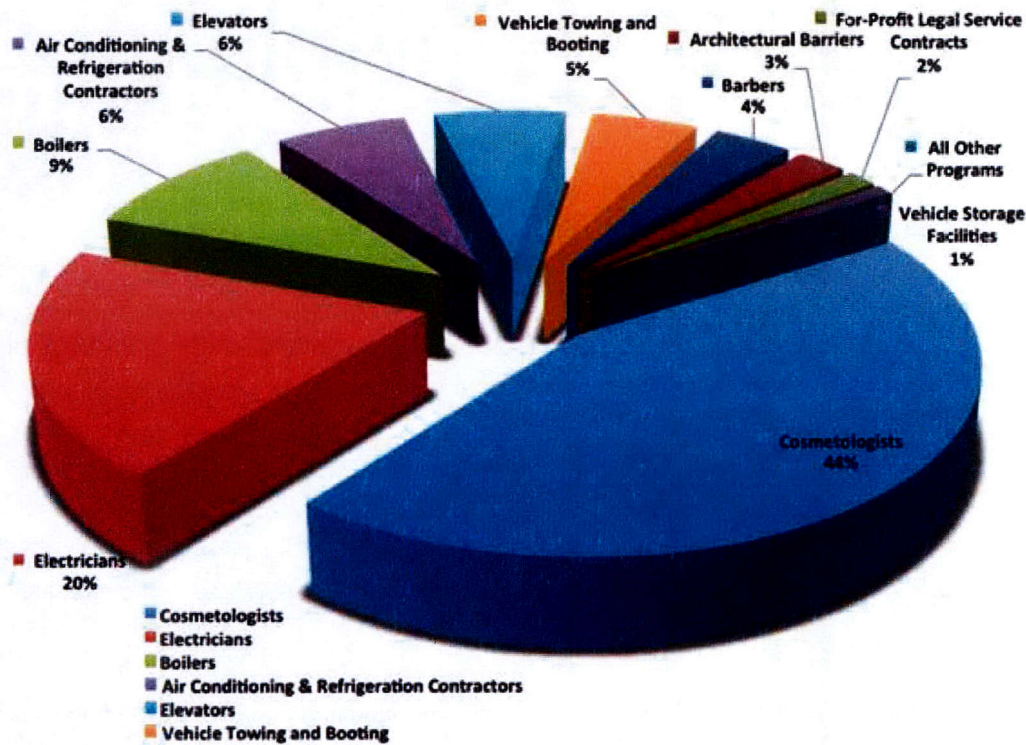
Each region includes both densely and sparsely populated areas and licensees from diverse backgrounds and many different age groups. We attempt to locate more inspectors in areas with higher population density and hire inspectors with Vietnamese and Spanish language skills to serve in areas with more non-English speaking licensees.





By considering the average age of our license population we can anticipate if increased retirements of baby boomers will reduce the need for inspectors in some programs or areas in the state. The oil and gas boom and other growing industries are contributing to sudden population increases that will require more inspections in areas that may have traditionally had fewer licensees such as Midland and Odessa. To be as responsive as possible to frequent changes in the number of licensees in different locations, TDLR will use a route optimization program to identify the most cost efficient routes for inspectors and use a hand held tablet to document and immediately upload inspection results.

### TDLR Licensee Population



In keeping with TDLR's Strategic Plan, *Smaller Smarter Government*, TDLR was successful in working with the 83rd Legislature to eliminate unnecessary regulation and programs. Cosmetology licensees continue to represent over half of TDLR's licensee population, while Electricians represent the second largest population with 17%.



## WHAT WE HAVE DONE

### Overview of Key Events Occurring Since the Last Strategic Plan



Former Commissioner  
Lilian Norman-Keeney

#### Commission changes

2013 brought several new members to the Commission of Licensing and Regulation. Catherine Rodewald of Frisco was appointed by Governor Perry to the Commission to replace Commissioner Lilian Norman-Keeney, who passed away in April 2013. Commissioner Norman-Keeney was a tireless public servant who served with integrity and grace. Her energy and her passion are missed. Chairman Frank Denton resigned from the Commission in May 2013 after ten years of service to accept an appointment to the Board of Medical Examiners. Under Chairman Denton's leadership, the agency lowered license fees, reduced regulation and improved services. Vice-Chairman Mike Arismendez was appointed Chairman on May 21, 2013. On the same day, Tom Butler of Deer Park was appointed to fill the vacancy created by Mr. Denton's resignation.

#### Reorganizations and personnel changes

Since our last strategic plan, TDLR experienced a number of personnel changes and reorganizations. The biggest of these was the creation of a new division, Field Operations, in July 2013. This division is staffed with a training, analytics and support section, three region managers and field inspectors. The inspectors conduct inspections of Vehicle Storage Facilities, Tow Companies, Licensed Breeders, Used Automotive Parts Recyclers, and Cosmetology and Barber establishments. The inspectors and program managers were formerly a part of the Compliance division. We created the Field Operations division to recognize the importance of the field inspector function and the extraordinary challenges involved in managing staff in the field. We believe the new division gives the inspectors a better "brand name" that fosters pride and a stronger sense of identity and purpose.

In another significant reorganization, the Process Improvement and Analytics (PIA) section was created. This section contains highly trained business and process analysts who conduct research and evaluate systems throughout the agency. They focus on objectively gathering and analyzing information to help executive leadership make effective decisions to improve agency operations. Three of the analysts have completed intensive study in the Six Sigma method for process improvement and have attained Black Belt status. All members of the PIA unit were promoted from within the agency.

The agency continues to experience personnel changes as a result of retirements and resignations. Key positions with recent turnover include the director of Education and Examinations; the manager of investigations in the Enforcement division; and the Boiler, Elevator, and Combative Sports program managers in the Compliance division. All of these positions have been filled with leaders mentored within the agency.

In the previous strategic planning process, the agency struggled with heavy turnover among the Enforcement division attorneys. That turnover was largely due to two factors: the availability of higher-paying jobs at other agencies and the extremely high enforcement caseloads at TDLR. We addressed this trend by finding the resources to make equity adjustments to the attorneys' salaries in late 2012. Since then the turnover has slowed significantly, but the average salary for the attorneys remains below the statewide average. We also need more attorneys and legal assistants in Enforcement to address the division's large workloads.



Combative Sports Event



## Leadership Development

In 2013 TDLR's executive leadership continued their commitment to invest in leadership training and development at the executive and director levels. This investment included participation in two high-level programs offered by the Lyndon B. Johnson School of Public Affairs. The director of Customer Service completed the Governor's Executive Development Program, a three-week program for agency leaders that concentrates on four key areas: organizational strategy, infrastructure management, resource management and personal effectiveness. The deputy executive director completed the Transformative Leadership Program, a six-month program focusing on complex thinking abilities such as adaptability, self-awareness, and boundary spanning. The program included public sector leaders from the United States, Australia and Europe. During the program, the Deputy began to acquaint TDLR's division directors with the core messages of transformative leadership through a series of intensive workshops with the directors and email dialogue entitled "Conversations in Leadership." The directors also completed assigned reading of two books starting in late 2013, and met for book club discussions about the applicability of the books' concepts to their own leadership responsibilities. The books were *"Mistakes Were Made, But Not by Me"* by Carol Tavris and Elliot Aronson, and *"Decisive: How to Make Better Choices in Life and Work"* by Chip Heath and Dan Heath.

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"Bill is a man that I look up to and have the highest level of respect for. He has been a positive role model to me and I aspire to reach his level of success in leadership. His leadership and drive brings out the best in everyone and inspires me to be the best I can be."

**Alaric Robertson, TDLR,  
Process Improvement Specialist**

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Another effort to develop leaders involved a survey of employee engagement. The survey measured employees' satisfaction with their workplace and their trust in the agency's leaders. After evaluating the survey results, the division directors and executive collaborated on how to meet with their employees and have open and frank discussions on key topics relating to leadership. To that end, the directors held a series of feedback sessions with their employees in January 2014. The directors also performed personal assessments to identify their own leadership successes and opportunities for improvement. Directors created personal action plans with detailed steps to address the leadership challenges and shortcomings they identified.

In March 2014, the directors assisted executive leadership in crafting core priorities for the agency. The core priorities represent a culmination of the leadership development exercises that started in 2013. Dubbed "14 for 14", the core priorities are action-focused items that will guide the agency's activities for the coming year and leverage our efforts. Some items state specific actions the agency will take, while others describe broader outcomes the agency desires to accomplish.

A central theme in all our leadership discussions has been how to improve internal communication. Directors have been challenged to create opportunities for more open and honest communication between employees and managers, and to break down barriers that inhibit communication across divisions. To that end, in December 2013 the agency introduced ThinkTDLR to provide an environment to promote internal dialogue and collaboration through crowdsourcing.

### "14 for 14" Core Priorities

- 1) All that we do must be guided by TDLR's vision, mission and core values.
- 2) TDLR employees should expect Bill, Brian, directors, managers, supervisors and team leads to model positive, respectful communication in all interactions – listen, learn, and respond.
- 3) Create an environment that makes everyone feel comfortable giving us honest, ongoing input and ideas and give them the feedback they deserve.
- 4) Renovate and expand TULIP.
- 5) Promote a culture of common courtesy and uncommon service.
- 6) Find more ways to improve pay, promote, recognize and reward our employees.
- 7) Break down cross-divisional barriers.
- 8) Create more opportunities for mentoring, knowledge-sharing, training, and self-improvement.
- 9) Always be willing to challenge and re-evaluate the status quo.
- 10) Simple, clean, and easy.
- 11) Explore and develop solutions for TDLR's future, long-term licensing software needs.
- 12) Know that laws and rules are not set in stone.
- 13) Create an Office of Innovation, led by a Chief Innovation Officer that will work in collaboration with the division directors and executive to help transform TDLR for the future.
- 14) \_\_\_\_\_  
Write Your Own Core Priority



ThinkTDLR is an online forum, available to TDLR employees only, where topics are offered and discussion is invited for a specified period of time. Executive leadership, directors and managers participate in and review discussions. Several change initiatives have already resulted from suggestions made on ThinkTDLR.

Also for the purpose of improving communications and fostering consistency across divisions in the interpretation of laws and rules, we created cross-divisional task forces for selected programs, including Tow Trucks and Vehicle Storage Facilities, Cosmetologists and Barbers, Air Conditioning and Electricians, and Licensed Breeders. Task force meetings provide an opportunity for the divisions to discuss and resolve challenging issues of common interest while increasing awareness and respect for the roles of each division.

### ***Advancements in Technology and Communications***

Since the last strategic plan, we have made new and significant advances in technology and communications. These improvements have made us more efficient and brought us closer to achieving our goal of simple and clear interaction with customers.

In 2013, the agency replaced and upgraded the Customer Service division phone system. The new system, Zeacom, provides a multi-channel communications center that allows Customer Service to queue and respond to multiple forms of communication: phone calls, faxes, emails and social media. It also includes callback and interactive voice response (IVR) features. The callback feature allows phone customers waiting on hold to leave a phone number and request a callback rather than continuing to wait. IVR is an automated self-service option that allows callers to obtain answers to the most frequently asked questions, and is available during and after business hours. With Zeacom, TDLR is more responsive and more helpful to its customers.

After the first five months on the Zeacom software platform, TDLR was able to leverage 35% of call volume into the new Zeacom IVR self-help feature. The new callback feature was an immediate success. TDLR's customers lodged 20,000 callback requests which helped address peak call volumes in the contact center.

Enhancements to our online systems have also improved our responsiveness to customers. Licensees are now able to update their addresses and contact information and order duplicate licenses online. The consumer complaint system was updated to make it easier for the public to file complaints online against unlicensed violators. Licensees are now able to pay administrative penalties online or by phone with a credit card.

TDLR's email communications have also been upgraded. In late 2012, we migrated our email system from Groupwise to Outlook, part of the Microsoft Office 365 suite of services. This change has given us greater flexibility and enabled us to more easily manage retention and recovery of emails for purposes of open records requests. In 2013, TDLR's listserv system, which sends important agency information to a large number of email subscribers, was discontinued in favor of the GovDelivery system. GovDelivery gives the consumers greater control of the topics they subscribe to and the frequency they receive the emails, as well as reducing the number of emails caught in spam filters, and is less labor-intensive for agency staff. GovDelivery will also be used for license renewal reminders.

TDLR's software development team continues working toward the goal of removing its Architectural Barriers and Combative Sports databases left on the legacy HP3000 system. A major accomplishment completed in late 2013 was the conversion of the Boiler database to the Jurisdiction Online (JO) system offered by Praeses. This change is an example of TDLR identifying and implementing a best practice used by many other states that administer boiler inspection programs. JO makes reporting easier for private-sector boiler inspectors who operate in multiple states.

### ***Space Planning and Cost Savings***

Our Austin employees are located in two buildings: the E.O. Thompson building located at 920 Colorado Street, and the Twin Towers Office Complex (known as North Campus) located at 1106 Clayton Lane. In late 2013, we embarked on a project of reconfiguring almost all of our office space at both buildings. This complicated process was successfully managed by our Architectural Barriers program manager. The majority of Austin employees were displaced for some period of time during construction. We undertook this project to make more efficient use of space, to bring together division employees who had previously been separated, and to shift more employees to the North Campus due to limited space and parking availability at the Thompson building. Despite the inconvenience, we are pleased to have improved work areas for our employees.



Another project in 2013 involved space of a different kind. Due to concerns for the rising cost of archive storage space at the Texas State Library and Archives Commission (TSLAC), the agency's Process Improvement and Analytics section completed a comprehensive review and revision of our records retention policy. Changes included clarifying the descriptions of records and reducing the retention period of many documents. TDLR projects a storage cost savings of \$80,000 - \$90,000 over the next five years as a result of these changes.

TSLAC approved our revised retention policy in January 2014. We then provided training to all divisions on the proper application of the retention policy, including appropriate methods for the storage and destruction of records. At this time we are exploring options for an electronic system that will help us monitor the storage and destruction of records for the agency.

### **Strategic Plan Report Card**

TDLR was very successful in implementing initiatives identified in our last strategic plan.

### **Staffing Initiatives**

#### *SUCCESS*

TDLR remains committed to attracting and retaining highly qualified employees. The Executive Office recognizes that our employees are our greatest asset and that promoting from within our organization produces effective leaders. The Executive Office continues to improve internal communications, systems, strategies and infrastructure to build a robust team of employees capable of carrying out the TDLR mission. To retain quality employees, TDLR provides one-time merit pay and bonuses and soft-dollar incentives such as flexible work hours, wellness activities, employee recognition awards, online training, and telecommuting.

TDLR worked with the 83rd Texas Legislature to add two full-time positions for the Water Well Driller and Pump Installer Program, including a hydrologist to assist with water quality oversight for the state. TDLR also worked to train our agency's current and future leaders by sending them to the LBJ School of Public Affairs Governor's Center for Management Development programs: Governor's Executive Development Program, Management Development Program, Excellence in Leadership Series, Executive Leadership for Information Technology Excellence, and the Transformative Leadership Program with the University of Texas at Austin and Adelaide University.

#### *ONGOING EFFORT*

TDLR will continue to send more of its managers and future leaders to the Governor's Center for Management Development at the LBJ School to prepare them for greater roles in state government.

Employees in 55 of TDLR's 66 job classifications are paid less than employees in similar positions in other Article VIII regulatory agencies. We will continue to seek additional appropriations for salary adjustments in order to properly compensate employees for the work they do to serve our agency and the state.

### **Streamlining Regulation Initiatives**

#### *SUCCESS*

TDLR recommended statutory changes to the 83rd Texas Legislature to streamline regulations, make the licensing process easier, and strengthen consumer protection. This chart describes TDLR's recommendations:



RECOMMENDATION	OUTCOME
Repeal the Loss Damage Waiver program to end regulation of rental-purchase agreements with a loss-damage waiver clause	SB 289 was enacted, effective 9/1/2013
Transfer the Licensed Court Interpreters program to the Office of Court Administration to improve functional alignment	SB 966 was enacted, effective 9/1/2014
Repeal the Barbers program licenses for Barber Shampoo Apprentice and Registered Exam Proctor	HB 2095 was enacted, effective 9/1/2013
Repeal the Cosmetology program licenses for Shampoo Specialist, Shampoo Apprentice, and Registered Exam Proctor	HB 2095 was enacted, effective 9/1/2013
Eliminate the separate Barber Booth Rental License and related fee by combining this License with the Class A Barber Certificate	HB 2095 was enacted, effective 9/1/2013
Eliminate the separate Cosmetology Booth Rental License and related fee by combining this License with the Operator Certificate	HB 2095 was enacted, effective 9/1/2013
Repeal the unnecessary and confusing refrigerant purchasing registration in the Air Conditioning and Refrigeration Contractors program	SB 383 was enacted, effective 6/14/2013
Clarify and remove outdated and inconsistent Polygraph Examiner program statutory education provisions	SB 562 was enacted, effective 9/1/2013
Repeal the requirement that food steamers be regulated as part of the Boiler program	SB 506 was enacted, effective 5/18/2013
Allow Barber program services to be performed at a location other than a barber shop to serve the elderly, sick, and homebound	HB 2095 was enacted, effective 9/1/2013
Allow Cosmetology program services to be performed at a location other than a salon to serve the elderly, sick, and homebound	HB 2095 was enacted, effective 9/1/2013
Update the Elevator program statute to allow qualified elevator inspector accreditation by any organization approved by TDLR	SB 540 and SB 673 was enacted, effective 9/1/2013
Repeal the timekeeper and ringside physician license requirements in the Combative Sports program	SB 618 was enacted, effective 9/1/2013
Create the Best of Texas Awards for businesses licensed by TDLR who have achieved a certain level of performance excellence.	No action taken by the Texas Legislature
Remove unnecessary statutory language regarding telemarketing activities for the Service Contract Providers program	No action taken by the Texas Legislature
Repeal the Temporary Common Worker Employer program to end regulation of temporary common worker employers	SB 473 was not enacted
Redefine the meaning of a completed water well for the Water Well Driller program to better protect Texas underground water resources	SB 1249 was not enacted

## Communication Initiatives

### SUCCESS

TDLR updated its website to make it easier to use by licensees, consumers, our employees, and the public. We also added video FAQs to our website that were uploaded on YouTube to offer a new way to provide responses to our most FAQs. The website content has been reviewed as part of the plain language initiative to ensure that our rules, procedures, forms and FAQs can be easily understood. Our website also includes more information in both Spanish and Vietnamese languages to improve TDLR's outreach to our licensees, consumers and the public.

TDLR also continued to communicate what we are doing and to receive feedback and inquiries using Facebook and Twitter. Over 19,200 people "like" the agency's Facebook page and over 1,600 people follow our Twitter account. We created the first-ever state boxing commission Twitter account, @TexasFights, to showcase Texas' nationally recognized combative sports scene.

In October 2013, TDLR began using GovDelivery to email notices to subscribers, improving the agency's efforts to provide important news and information. This new system allows users to easily control and customize the email updates they receive. GovDelivery sends our email updates more quickly than our previous system while reducing the workload of our staff and email servers. Approximately 520,000 people are subscribed to receive email updates through GovDelivery.



During the 2014 strategic planning process, TDLR for the first time used a crowdsourcing site, ImagineTDLR, to receive feedback about how our agency is doing and what we need to change. We had 333 participants submit ideas on ImagineTDLR.

## Office of Best Practices Initiative

### ONGOING EFFORT

TDLR continues to explore creating an Office of Regulatory Best Practices that can identify, develop, and assist all Article VIII regulatory agencies to implement cost-saving and innovative ideas. This Office would be modeled after TDLR's successful Process Improvement and Analytics section, which employs widely-accepted techniques for leveraging innovation, streamlining business processes, and employing Six Sigma analysis of agency methods and operations.

## Self-Directed Semi-Independent Initiative

### WILL NOT PURSUE FURTHER

TDLR determined it should not pursue Self-Directed Semi-Independent status similar to that of other state regulatory agencies, including the Real Estate Commission, Board of Architectural Examiners, and the Board of Public Accountancy.

## Cyber Investigation Initiative

### ONGOING EFFORT

TDLR will continue to seek use of a specialized online enforcement unit to combat violations of state laws and the agency's rules. More and more unlicensed persons use the internet to illegally advertise services which TDLR regulates, so we will pursue additional resources and employees to support this important initiative.

## Relevant Military Experience Initiative

### SUCCESS

TDLR worked with the 83<sup>rd</sup> Texas Legislature to seek implementation of several bills relating to expanding and improving occupational licensing opportunities for military service members, spouses, and veterans. The following bills that the Legislature enacted into law have been fully implemented by TDLR:

- **Senate Bill 162** requires expedited licensing for the spouse of military service members who hold an equivalent license from another jurisdiction; and requires any licensing agency to credit military service, training, or education when determining any occupational license requirements for military service members and veterans.
- **Senate Bill 242** permits TDLR to give an applicant credit for their military experience when determining any occupational license requirements for military service members and veterans.
- **House Bill 2029** permits TDLR to give an applicant credit for their military service, training, or education when determining electrician program occupational license requirements for military service members and veterans; and requires TDLR to expedite issuance of a temporary license or license by endorsement or reciprocity in the electrician program for an applicant with military experience who holds a current license issued by another jurisdiction that is substantially equivalent to the Texas license requirements.

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“I am proud of what TDLR is doing, I am proud of what the Legislature is doing, and I am proud to have played a small role in promoting a faster route to get (military service members, spouses and veterans) to work with their licensing procedures.”

**Rep. Jose Mendendez, Chair,  
House Defense and Veterans Affairs  
Committee**

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- **House Bill 2254** permits all occupational licensing agencies to credit military service, training, or education for any apprenticeship requirement for military service members and veterans.
- **Senate Bill 1892** added TDLR as one of 22 state agencies on the Texas Coordinating Council for Veterans Services which is dedicated to eliminating barriers to and improving state services for veterans, including employment opportunities and housing, education and health services.

A team of TDLR employees oversaw implementation of these bills and created a guide, "TDLR Lessons Learned: A Primer for Developing Military Service Credit for Occupational Licensing." The guide, along with other military occupational licensing information, is on our website and was shared with state lawmakers, state agencies, the Texas Coordinating Council for Veterans Services, and the U.S. Department of Defense.

## Technology Initiatives

### SUCCESS

TDLR's effective use of technology allows our employees to work smarter, quicker, and more efficiently. We equipped our field personnel with smartphones and tablet computers so our inspectors and investigators can schedule, conduct, and record their activities electronically. We also partnered with Mobi Wireless Management to provide efficient route optimization for inspections and consumer complaint investigations.

TDLR began using Quick Response (QR) codes, two-dimensional barcodes that contain web address, text, or other information that can be read by a QR code scanner. We use QR codes on licensing renewal postcard notices, complaint forms and in cosmetology magazines to link to the TDLR website. We are working to imprint a QR code on each license issued by our agency that contains the licensee's basic biographical information, so that inspectors and investigators can read them on their tablet computers and automatically populate any inspection or investigation form.

## Anticipated Growth

### SUCCESS

During the 83rd Legislative Session, TDLR provided its expertise in evaluating and crafting legislative proposals that would have moved programs from other agencies to TDLR or create new programs for TDLR. Although none of these proposals resulted in programs coming to TDLR, we anticipate that our responsibilities will increase and we will receive additional programs from the 84th Legislature.

## Successes and Accomplishments

### Compliance Division

- Enhanced online registration system for the Architectural Barriers program allows for immediate collection of project registration fees, providing our customers the convenience of online payment with a credit card and reducing paperwork and delays.
- With significant public involvement, the Architectural Barriers program took new federal accessibility standards and rules and created one complete, user-friendly document: the *2012 Texas Accessibility Standards (TAS)*. We were one of the first two states to submit standards to the U.S. Department of Justice for equivalency certification.
- The Boiler Safety program is now using Jurisdiction Online (JO), a real-time web-based boiler inspection software platform, and tablet computers, which allows inspectors to submit reports as soon as inspections are completed. These technology solutions improve the accuracy and efficiency of the inspection process and ensure that safety information about Texas boilers is up-to-date.
- At the invitation of local building officials, we conducted job site license sweeps to curb unlicensed activity and help licensed electrical contractors get in compliance with state law and rules.
- Improved the division's effectiveness and public safety by hiring a Deputy Chief Elevator Inspector responsible for performing plan reviews, providing technical support, and assisting the Chief Elevator Inspector with accident investigations and monitoring inspector, contractor and owner compliance.



- *Elevator program staff* performed 700 plan reviews in the first seven months of Fiscal Year 2014, ensuring that new and altered elevators and escalators in Texas are designed in compliance with the Elevator Safety Code.
- *Continued our initiative, Late = Unsafe*, by developing improved courtesy notices for building owners to remind them to meet the annual inspection requirement for their elevator and escalator equipment.
- TDLR entered into the Texas Well Report Submission and Retrieval System more than 5,000 backlogged well reports transferred from the Texas Water Development Board. This effort gives the public access to additional information about the location of wells, soil conditions and water tables that will assist in the safe drilling and construction of water wells throughout Texas.

### Customer Service Division

- Replaced and upgraded the Customer Service division phone system with a new multi-channel communications center that allows staff to respond to phone calls, faxes, emails and social media. It also includes callback and interactive voice response (IVR) features.
- Refined our resolution process to allow Customer Service Ombudsmen to provide customers with faster and more accurate information for escalated calls.
- Created a social media queue in our contact center software which notifies agents when customers post on TDLR social media pages.

After only five months on the Zeacom software platform, TDLR saw a decrease in 'bad' abandoned calls from customers who simply hung up without getting the assistance they needed. At the same time TDLR saw an increase in 'good' abandoned calls due to customers getting the answers they needed from the IVR self-help feature during business hours. These new efficiencies led to a decrease in average wait times of over six minutes.

### Education and Examination Division

- Continued to support and grow Student Hour and Enrollment Automatic Reporting System (SHEARS) online reporting system as a vital tool for the Cosmetology and Barber education industries and TDLR.
- Partnered with PSI, our examination vendor, to maintain the integrity of TDLR's 76 licensing examinations and develop and launch the new Journeyman Lineman electrician examination.
- Collaborated with the new Judicial Branch Certification Commission, formerly the Office of Court Administration (OCA) to successfully transfer TDLR's regulation of the Licensed Court Interpreters to OCA.
- Launched the process for enabling distance education for cosmetology and barbering schools.

### Enforcement Division

- Issued and updated 15 penalty matrices in the Enforcement Plan, realigning violations by class and severity, lowering penalty amounts, and establishing uniformity of penalty amounts for first-time violators.
- Improved the online complaint system to make it easier for the public to file complaints against unlicensed violators.
- Conducted 12 stings across the state to improve consumer protection by identifying and prosecuting unlicensed air conditioning and electrical contractors.
- Issued 57 orders sanctioning or penalizing individuals who obtained, or attempted to obtain, cosmetology licenses through fraudulent means.
- In response to feedback from the Advisory Boards, we adjusted penalty amounts to more accurately reflect the concerns of the industry by lowering administrative-related penalties while maintaining a firm stance on consumer protection and unlicensed activity violations. In FY2012, the average penalty across the larger programs was \$1,475 per order. In FY2013, that amount dropped to \$1,245, demonstrating our commitment to regulate without imposing an unnecessary burden on our licensees.



## Key Enforcement Statistics and Improvements from FY2012 to FY2013

STATISTIC	FY 2012	FY 2013
Cases resolved with a disciplinary action	29.72%	34.51%
Agreed Orders issued	2,197	2,393
Default Orders issued	788	904
Cease & Desist Orders issued	544	697

### Field Operations Division

- Refined our functional alignment by creating the new Field Operations division made up of inspectors from the Compliance division. This reorganization flattened the organizational structure, provided more management resources, and created a closer relationship between the director and the inspectors. As a result, the new division is capable of providing targeted and timely information to field personnel and improving the efficiency of the inspection process.
- Created a Training, Support and Analytics section within the Field Operations division to provide standardized training to inspectors across regions, facilitate smooth workflow from Field Operations to other divisions, and monitor inspection statistics.
- Implemented an electronic inspection process that allows uploading of inspections as they are completed, and a route optimization software that maps the most efficient and cost effective routes for every inspector each day. These improvements will reduce administrative tasks, increase productivity and ensure efficient, well-documented inspections.

### Financial Services Division

- Financial Services started verifying contract billing to ensure accurate billing and rates from the Data Center Services vendor. This resulted in a cost savings of \$83,600 in FY2014 with an additional \$31,790 in pending and approved disputes expected.
- Financial Services worked with the Network Services division in reviewing billing, phone usage and mobile device deployment in our field offices to identify cost savings of \$14,000 in FY2013 and \$20,600 in FY2014.
- Financial Services implemented the Accounting module of Jurisdiction Online (JO) to coincide with the Boiler program's transition to JO's Inspection module. Financial Services is now able to apply fees directly to invoices and promptly deposit funds without the use of a suspense account.
- The outsourcing of both printing and distribution of cosmetology and barber books has resulted in an estimated savings of \$20,000 per year.

### Office of the General Counsel

The attorneys, legal assistants, and administrative staff in the Office of the General Counsel accomplished the following:

- Drafted and filed 17 rulemakings to implement legislation passed by the 83rd Legislature.
- Gave legal advice and guidance for 15 public meetings of our Commission and 52 public meetings of Advisory Boards in Fiscal Years 2013 and 2014.
- Analyzed proposals for decision and drafted final orders in 147 contested cases decided by our Commission in Fiscal Years 2013 and 2014.
- Responded quickly to enforce elevator safety requirements by preparing executive director orders to stop the operation of unsafe elevators.
- Worked closely with the Office of the Attorney General to obtain favorable rulings in federal and state court legal challenges.
- Collected over \$210,000 in administrative penalties owed to the state for Fiscal Year 2013.
- Met our commitment to provide greater transparency by responding to 1,193 open records requests in Fiscal Year 2013, a 17% increase over the prior year.
- Drafted and filed rulemakings to reduce fees in 12 TDLR programs, saving licensees an estimated total of \$5.9 million annually.



- Reviewed, edited, and corrected 2,244 default orders in Fiscal Years 2013 and 2014 to ensure that TDLR complies with notice requirements of the Administrative Procedure Act.
- Streamlined the procurement process by standardizing contract documents.

### **Office of Human Resources**

- Continues to provide excellent customer service to agency staff by providing timely assistance, support, administration and oversight regarding a number of issues involving time, benefits, leave, pay, workplace accommodations, wellness, and training.
- Maintained Personnel Policies and Procedural Systems deemed to be in compliance with the Texas Commission of Human Rights Act after undergoing an audit conducted by the Texas Workforce Commission Civil Rights Division.
- Instituted new and innovative avenues to increase pool of applicants in high-turnover and specialized positions.
- Provided support to the Commission on agency operations, including the development of the appraisal process and appraisal of the executive director.
- Developed TDLR's Workforce Plan, reviewing and analyzing agency data to craft a plan ensuring TDLR's dedicated and qualified workforce will be available to provide quality and efficient services to the citizens of Texas.

### **Information Systems Development Division**

- Successfully updated agency software to implement statutory changes for 9 programs resulting from legislation affecting TDLR passed by the 83rd Legislature.
- Created a new system for ordering duplicate licenses online, adding convenience and prompt service for our customers.
- Continued to upgrade our systems to make them more smartphone compatible.
- Added new features and smartphone compatibility to our popular TULIP Dashboard system, an in-house feature created to help staff better navigate our extensive licensing database.
- Completing conversion of Boiler program from outdated legacy system to TULIP.
- At the request of our customers, added the ability for them to change their address and update their contact information online.

### **Licensing Division**

- Completed implementation of the Licensed Breeder program. The first license was issued on August 16, 2012.
- The Texas Department of Public Safety performed an audit on TDLR's process of using and storing criminal history information for original and renewal license applications. The audit reported no adverse findings.
- Created a new Program Specialist III position responsible for updating all licensing forms, writing and updating division procedures, verifying and updating website content, and verifying licensing performance measures data.
- Entered into a public-private partnership with Praeses for the use of the Jurisdiction Online boiler licensing system. This new system will allow inspectors to enter their inspection results online and upload them to our database.
- Began issuing immediate duplicate and temporary licenses to Cosmetology licensees who visit the E.O. Thompson building to pay for or renew their license.
- Absorbed the responsibilities of the Water Well section of the Compliance division for entering Water Well reports into the Water Development Board website.
- Added a new electrician Journeyman Lineman license type.

### **Network Services Division**

- Partnered with telecommunications vendors to implement contact center software for the Customer Service division using IVR, web chat, fax and email handling, onsite-to-cloud servers, and a real-time statistics system showing queue volumes.
- Transferred our email system to Microsoft Office 365, a cloud-based solution giving us greatly improved email, IM, voice/video, remote tools, and screen sharing capabilities.



- Coordinated with a local vendor to install and set up SmartBoards in each of the field offices, reducing travel costs and giving field staff increased contact with TDLR's home office.
- Fulfilled over 3,000 help desk requests annually, including password resets, new hardware and software installation, setting up SharePoint sites, and much more.
- Worked with the Process Improvement and Analytics section and division directors to update records retention policies, resulting in a cost-savings of nearly \$8,500 per year.

## HOW WE SEE OURSELVES

TDLR employees see themselves as a vital part of a successful organization, doing important and meaningful work. In the most recent Workplace Dynamics survey of employees, TDLR was recognized as one of the top 25 best work places, either private or public, in Austin. Executive management highlights employees' contributions to the agency's success and their role in creating and maintaining TDLR's reputation as the premier state agency. We are determined, nimble and capable. We are ready to meet the many new challenges that confront us in today's fast-paced business environment of constant change and growth.

Our leaders continually seek feedback from employees on how to improve our processes, customer service, culture and atmosphere of the agency. All employees are asked to provide their direct and first-hand feedback to leaders of the organization through such channels as the Top Workplace survey, our online discussion forum ThinkTDLR, and numerous face-to-face meetings with all employees, including our popular Town Hall Meetings. We have a team dedicated to processing and analyzing this input to develop and implement innovative solutions within the agency.

From recent surveys, meetings and discussions, several themes emerged for areas in which the organization could leverage improvements:

- Personnel – pay, job security, and privileges like flexible work schedules and the ability to work from home.
- Quality – job performance and effectiveness of processes.
- Technology – our licensing systems and online services.
- Agency Culture – the “feel” of the agency, fostering relationships between employees, managers, and divisions, and the extent to which core values permeate and shape the culture; and
- Communication – within divisions, between divisions, and with our customers.

### Personnel

The employees are happy with our leaders' commitment to provide benefits such as flexible work schedules, telecommuting, and other creative and meaningful policies that help us achieve a healthy work-life balance.

However, we need an increase in our pay to keep pace with similar jobs in other agencies or in the private sector. Too many talented and valuable co-workers are leaving TDLR to accept higher pay elsewhere. Our salaries have also not kept up with our increasing workloads which result from the large number and variety of regulatory programs we are responsible for, as well as the associated increase in workloads and knowledge-base. For example, our Enforcement prosecutors carry multi-program caseloads much higher than the average for other regulatory agencies.

### Quality

We are smart, talented, resourceful and motivated, and we complete a large volume of high quality work. The organization of our work groups ensures we fulfill our mission efficiently and effectively.

The quality of our work is challenged by its high volume, fast pace, and wide range of responsibilities. We continue to analyze processes and look for better ways to streamline and leverage technology to our advantage. We would like to see even greater emphasis on training and communication to ensure consistency in processes across the agency.



## Technology

Our current licensing systems are able to support our business functions, and we benefit from the ongoing enhancements to our systems. We recently moved our Boiler Program to a third-party web based system that streamlined operation of that program. Still, our licensing systems could be more user-friendly by making upgrades and other improvements. However, this will place increasing demands on our software developers and their responsiveness to support employee needs.

## Agency Culture

Our core values guide us daily in our work and in our interactions with each other and the public. Respect is at the heart of our agency culture and shapes and informs everything we do. We respect and support one another, recognizing that we are all on the same team and share one mission. Integrity is a fundamental element of our culture, and we hold ourselves to high performance standards and accountability. Our leaders are accessible and genuinely appreciate our contributions, acknowledging that our employees are the reason TDLR is successful.

In an agency as diverse as TDLR, we need to nurture and maintain good relationships among divisions. We engage in frequent dialogue through such methods as multi-divisional work-teams and cross-divisional training, to increase understanding of each other's roles and perspectives. This open, constructive communication, focused on our agency's vision and mission, helps us work together in a more collaborative and respectful way. Based on the input from TDLR's employees, the agency developed 14 core priorities for 2014, "14 for 14". These priorities will guide us this year, and beyond, in making TDLR an even better place to work, and in pursuing excellence in all we do.

## Communication

We do a great job communicating with our customers, the legislature and other key stakeholders. Our proven track record of cost-effective, efficient and fair regulation is an easy story to tell – it is communicated with every interaction we have with our customers. We are successful because we invite feedback, listen to it – and we act on it. We are responsive to the industries we regulate, and collaborate successfully with Advisory Boards and industry associations. We pride ourselves on outstanding customer service, and constantly seek ways to make TDLR more accessible, such as our very successful social media outreach.

## HOW OTHERS SEE US

While staying true to our core value of innovation, we improved our strategic planning process by creating more ways for the public to provide their highly-valued feedback. TDLR continued to seek information from customers via email, Facebook, and Twitter and expanded its outreach through:

- A crowdsourcing website for interacting with customers – "ImagineTDLR"; and
- Face-to-face sessions in Lubbock, McAllen, Dallas, Houston and Austin.

### Number of Comments Received

Face-to-Face Sessions	ImagineTDLR	Facebook and Twitter	Email
1,050	321	113	131



**During our strategic planning process, we asked our customers and partners the following questions:**

- What are we doing well?
- What can we do better?
- What changes would you make to TDLR if you were king or queen for a day?
- Over the next five years, what major changes will affect the way you do business and the services we provide?

“Your Voice Matters” was the theme we communicated throughout the process. TDLR obtained internal, external and online feedback. Of TDLR’s 25 programs, the following programs had the highest number of comments:

- Barber and Cosmetology – 355
- Electricians and Air Conditioning & Refrigeration Contractors– 146
- Industrialized Housing and Buildings – 113
- Combative Sports – 103

Customers’ interaction with TDLR’s executive leadership was so positive they asked for more frequent regional meetings. There were many comments from participants concerning unlicensed activity, inspections and enforcement.

One participant at an external face-to-face regional meeting made the following comment, “*The response time has been very timely from licensing people. Customer service has been good about getting back in a good amount of time. Customer service is very friendly which is not common in other states. I was able to talk to a person in a timely manner.*” One attendee described TDLR as “*the hardest working agency.*”

We went through each online comment and grouped the comments into common themes. We then determined the three top themes for each question.

When asked what TDLR does well, the following three themes ranked highest:

- TDLR is superb at listening to its stakeholders, licensees, consumers, citizens and law makers. In addition to listening, TDLR provides helpful and relevant feedback.
- TDLR is highly effective when communicating new rules and laws, policy and procedure changes, and upcoming events to the public.
- TDLR does an excellent job of protecting consumers and industry professionals in Texas from individuals or companies that violate laws and threaten public safety.

Many comments expressed an appreciation for TDLR’s Facebook presence. One person said, “TDLR’s Facebook has been an excellent source for providing us with answers quickly. Thanks!”

These themes are in line with TDLR’s mission and vision. We strive to be a leader in public service by protecting consumers, being innovative, encouraging open communication, providing exceptional customer service, and promoting fairness.

When asked what TDLR could do better, the following three themes ranked highest:

- Concern about unlicensed activity. Licensees and consumers believe there may be a significant increase in unlicensed activity and that TDLR needs to increase its efforts to address it.
- The need for more locations for continuing education and examinations, and a change to testing requirements. Many people are inconvenienced by having to drive long distances to take continuing education courses or examinations.
- Inconsistencies in enforcement of laws and rules. As a result, some licensees feel they are being treated unfairly or singled out.

One of our cosmetology licensees stated, “Unlicensed salons are everywhere and they are hurting customers and law-abiding licensed individuals.”



When asked, what changes would you make to TDLR if you were king or queen for a day, the following three themes ranked highest:

- TDLR should increase enforcement efforts against people who engage in unlicensed activity. This could include higher penalties, more investigations and cases, license sweeps, and stings.
- TDLR should re-evaluate the number of required hours for continuing education. Licensees want more relevant courses. Some courses need to be removed that are not applicable to the licensees' industry. Also, they desire alternative ways to complete continuing education requirements.
- TDLR should offer national examinations because they are more accessible and widely available. Licensees also believe these examinations are more standardized, efficient and relevant.

One of our cosmetology licensees said, *"If the TDLR wants to put a stop to dirty salons and unlicensed workers, start doing public service announcements about what the rules are. It's the PUBLIC who needs to be educated, not us!"*

The *Austin American-Statesman/Workplace Dynamics* survey of TDLR employees identified the agency as a Top Workplace in Austin. The results were distributed to all division directors who then met with their employees to explore ways to improve communication, processes and teamwork. 2,392 comments were received from employees during these meetings. The questions asked covered the following 20 areas:

Confidence	Grow	Meaningful	Balance
Appreciation	Execution	Manager	Values
Ideas	My Work	Future	Informed
Training	Understand	Pay	Connection
Frustration	Direction	Manager Helps	Customer Service

These responses were grouped with all external feedback and reviewed by four teams to evaluate and provide recommendations concerning these areas; Rules and Legislative, IT and Process Improvement Projects, Communications and Customer Service, and Core Values and Human Resources. The evaluation criteria used to review and rank feedback was our:

- Vision
- Mission
- Core values, and
- Common sense.

Evaluation team members also made clear recommendations to the Executive Office.

The dominant themes that emerged during the internal face-to-face meetings with employees were:

- **Ideas/Feedback** – Employees expressed their appreciation for TDLR's efforts to improve communication and innovation by soliciting ideas and providing prompt feedback.
- **Task/Project Procedures** – Employees expressed their support for teamwork and integrity by voicing a desire for formalized organization and prioritization of tasks, and enough time to complete them.
- **Training** – Employees expressed their commitment to expanding open and free communication and improving customer service by asking for more and new training.



## WHAT CHALLENGES ARE WE FACING AND EXPECT TO FACE

TDLR increased agency efforts in gathering input from licensees, industry associations and the public on how we are doing. In addition to emails, public meetings in Austin, Facebook and Twitter, TDLR added a crowdsourcing online forum called ImagineTDLR and held regional face-to-face meetings in Lubbock, McAllen, Dallas, and Houston.

When we asked what major changes are expected over the next five years, participants identified the following challenges:

- an expectation that technology will be changing;
- a loss of experience and knowledge with the retirement of licensees and inspectors;
- concern that education requirements will be reduced;
- concern that the shortage in qualified licensees will lead to more unlicensed/unskilled workers;
- a need for more inspectors to conduct inspections throughout the state; and
- a concern that federal laws will either overlap, force change or completely pre-empt state laws.

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“I am very pleased to be a part of a state agency where the Executive Leadership Team strategically goes the “Extra Mile” to get relevant input from its constituents that it serves, which includes the licensees, advisory board members and employees. That input is invaluable in fulfilling the ongoing mission of the agency to be successful.”

**Fred Moses,**  
**TDLR Commissioner**

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### Changes in State and Federal Laws

One of TDLR's current challenges relates to implementing House Bill 3038, from the 83rd legislative session. House Bill 3038 amended Chapter 1802, the Auctioneer Law, to expand the definition of auctioneer. The new wording removed the live bid framework within the definition of auctioneer, and could potentially be interpreted to say that a person selling property using online portals would require licensure. On January 14, 2014, Texas House of Representatives Speaker Joe Strauss charged the House Licensing and Administrative Procedures Committee to study the implementation and possible impacts of House Bill 3038 including the effect it would have on multi-state auction companies, as well as business to business auctions. In response to this interim charge, TDLR communicated with stakeholders, industry leaders and licensees to solicit their input on how the bill should be implemented and to help TDLR determine what clarifications to propose during the 84th Legislative Session.

State law requires adoption of the new National Electric Code (NEC) every three years. Adoption of the most recent version of the NEC, effective in Texas on September 1, 2014, will require education of the licensees, inspectors and industries on the new standards.

Recent changes in federal law could impact industries regulated by TDLR. A change in federal law that increases health insurance requirements for small businesses could reduce the number of licensees in some programs. Additionally, there are over 100 new federal regulations related to commercial driver license (CDL) holders that will go into effect in July 2015. These changes related to CDL holders could significantly affect the licensee population and regulations within the towing industry.

### Budget

State agencies will likely be asked to continue to do more with less in upcoming state budgets. The state's fiscal health is improving with increases in sales, business, and petroleum tax revenues fueled by new businesses moving to Texas and by increased petroleum exploration and production; however, new funds will be needed to replace cuts in federal funding and to address demands for funding of public and higher education, transportation, health care, and water infrastructure.

TDLR has taken the direction of the lawmakers and focused on smaller and smarter government in the licensing and regulation of our programs. We stand ready to absorb other programs that may be effectively consolidated into our functional business model. TDLR's process improvement and analytics activities will bring additional efficiencies to state government when programs are transferred to us.



## Economic Environment

The Texas economy, which continues to outpace that of the nation, will present both challenges and opportunities for TDLR in the next five years. The nearly 5% growth rate of Texas' real Gross Domestic Product (GDP) has nearly doubled that of the national rate in the past several years. Within the last year, total nonfarm employment in Texas increased by 310,000 jobs, or 2.8%—compared to a national increase of only 1.7%. Continued expansion of the state's GDP and its workforce in the years ahead translates into more services provided by businesses regulated by TDLR.

Texas' unemployment rate dropped almost one percent in the last year, to 5.5%, staying at, or below, the national jobless rate for 87 consecutive months. With continued employment growth predicted, more employed workers means an increase in licensees and possibly an increase in programs TDLR regulates — and the associated licensing, inspection, customer contacts, and complaint-resolution demands the agency must address.

Continued strong economic growth will trigger an accelerated pace for construction of housing and business structures, which will place increasing demands on many of TDLR's programs, including Air Conditioning and Refrigeration, Architectural Barriers, Boilers, Electricians, Elevators, Industrialized Housing and Buildings, Professional Employer Organizations, Property Tax Professionals, Property Tax Consultants, Temporary Common Worker Employers, Water Well Drillers, and Water Well Pump Installers.

With the state's population expected to increase by nearly 3 million in the next five years, more people will be impacted by weather-related events, including natural disasters. TDLR will need to help people displaced by these disasters, as we did when Hurricane Rita struck Texas in 2005, with offers of temporary and emergency licenses to aid their recovery. Additionally, the increase in population will impact all of our programs, but most directly the services provided by Barbers, Cosmetologists, Service Contract Providers, Towing Companies, Vehicle Storage Facilities, and Used Automotive Parts Recyclers.

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“Thank you for helping our city after the fertilizer explosion here. Your agency's (West Disaster Response) web page is very informative.”

**Brian Muska, Building Official,  
Alderman, City of West, Texas**

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In addition to the demands that population and economic growth place on TDLR's programs and staff, the agency anticipates a rise in the number of applications from military personnel, veterans, and military spouses. This gives TDLR another opportunity to honor its commitments to reach out and to provide expedited services to this important population. Although TDLR has successfully implemented the military-related bills from the 83rd Legislative session, the agency will continue to leverage its services and resources to expedite the return of military personnel to the Texas workforce. TDLR will use its position and voice on the Texas Coordinating Council for Veteran Services to ensure that the licensing systems and statutes meet the employment needs of military personnel, veterans, and military spouses.

## Regulatory Responsibilities

Over the last 10 years, the Legislature has demonstrated its confidence in TDLR by consistently increasing our responsibilities and sending us new and existing programs. Our regulatory obligations will continue to increase as we are entrusted with more programs. By meeting these challenging responsibilities, TDLR established and continues to solidify its reputation as the premier state licensing and regulatory agency. To ensure Texans are efficiently, effectively and safely served by high quality professionals and businesses, TDLR uses regulatory tools such as enforcement, inspections, plan reviews and technical guidance. TDLR needs additional appropriations to hire inspectors, investigators and subject-matter-experts to cover the state.

The Sunset Advisory Commission released a staff report in May 2014 which outlined a plan to transfer 12 programs from the Department of State Health Services (DSHS) to TDLR. TDLR staff worked with the Sunset Commission to align the plan with the agency's functional business model and efficient processes to ensure a smooth transition. The plan would transfer the 12 programs in two phases beginning in September 2015. This plan will happen if a bill is passed in the next legislative session.



The twelve programs to be transferred are:

- Athletic Trainers
- Chemical Dependency Counselors
- Fitters and Dispensers of Hearing Instruments
- Laser Hair Removal
- Marriage and Family Therapists
- Massage Therapists
- Midwives
- Orthotists and Prosthetists
- Professional Counselors
- Sanitarians
- Social Workers
- Speech-Language Pathologists and Audiologists

The Sunset Advisory Commission's May report highlighted our strengths and performance as clear reasons to transfer the programs to TDLR:

- "TDLR has developed a strong record of administrative efficiency and effective regulation."
- "TDLR...provides a secure and knowledgeable agency structure to efficiently administer regulation..."

These are only a few of the positive comments about TDLR being the appropriate home for these programs. Once both phases are complete, these programs will add an additional 100,000 licensees to TDLR's more than 650,000 licensees.

With approximately 1,000 people moving to Texas each day, this rapidly increasing population will require additional housing, water resources, and consumer goods and services. TDLR's increased regulatory and enforcement efforts must address the areas of air conditioning, electrical, towing and service contracts to ensure that Texans receive the safety and consumer protection they deserve. Due to greater demand on available water supplies, TDLR's Water Well Driller, Water Well Pump Installer and Weather Modification programs will continue to work closely with the Legislature, property owners, water conservation districts, and other state agencies with water related programs. These partnerships will become even more critical as prolonged drought worsens. Partnering and working in collaboration with individuals, industries and other government agencies makes TDLR more effective and demonstrates to the public, our licensees and state leaders our commitment to serve them.

## **Description of Future Technological Needs**

- The need for internal and external customers to stay current with ever-changing and evolving technologies presents a challenge to the Information Technology staff. Leadership continues to make the hard decisions necessary to balance our customers' need for speed, efficiency, and effectiveness against our budgetary limits. Mobile devices and the impact of a growing demand for mobile computing will further drive our software developers to create applications that will allow our customers to perform all needed services from their mobile devices.
- The use of Virtual Desktops allows us to move away from the conventional desktop to a computer with nominal functions. Additional functionality is available when connected to a larger shared system that provides the full range of networking, storage space and other computing functions.
- Web-based cloud services will continue to benefit the agency by offering a rapidly deployed, flexible environment at an affordable cost.
- Virtual servers provide the ability to request and deploy new servers for development, testing, or production in a secure, virtual environment that is much quicker than providing the same in a physical form factor.
- Switching from mailing to emailing notifications such as license renewals and enforcement case status updates using the GovDelivery service.

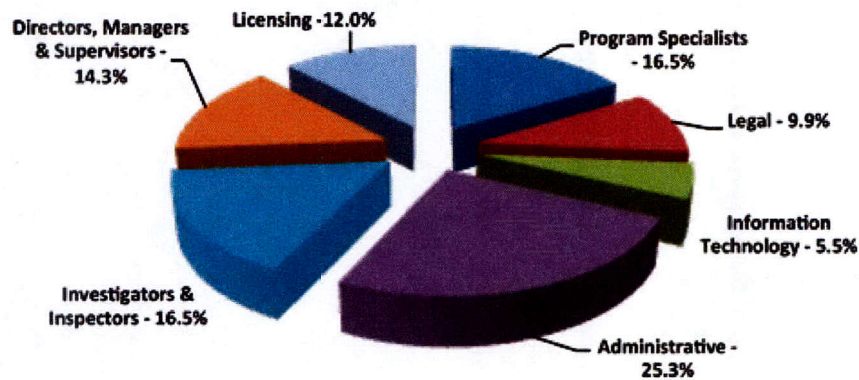


## Workforce

### Retirements

One out of four of TDLR's current employees will be eligible for retirement within the next five years. The chart below shows the distribution of these eligible employees across the agency's major job categories.

**Retirement Eligibility by Job Category (through Fiscal 2019)**



TDLR's employees who are near retirement possess valuable knowledge of the agency and its regulated industries. That knowledge is critical to the agency's success in carrying out its mission, and must be transferred to less experienced employees to avoid a drop in the level of service our customers and stakeholders have come to expect. To facilitate that transfer of knowledge we will continue to emphasize succession planning, training and the documentation of procedures, with the most senior employees playing a large role in these efforts. Because 46% of our executive leadership team will be eligible for retirement in the next five years, we will also continue to emphasize leadership training and development.

### Turnover

TDLR experienced 10% employee turnover in 2013. While our turnover rate remains lower than the statewide average, it is increasing. To stem this increase, we need additional resources to provide more competitive compensation for employees. Employee Exit Surveys for voluntary separations in FY2013 showed that 41% of departing employees left the agency for better pay. Of that group, 45% left for increases of \$10,000 or more in annual salary. Employees leaving for higher pay will likely increase because the average salaries for 55 of the 66 job classifications used by TDLR are below the statewide averages for salaries in those classifications.

### Gap Analysis

We have identified several challenges to attracting and retaining the talented employees we will need over the next five years:

- 1) Budget constraints have limited our ability to offer competitive salaries for staff, and have negatively impacted our recruiting and retention efforts.
- 2) We continue to see a decline in the number of qualified applicants for our technical programs such as the Air Conditioning, Architectural Barriers, Boilers, Elevators, and Industrialized Housing and Buildings programs. These positions require specialized technical knowledge and industry experience.
- 3) Employees need continued training in critical skills, including the use of new technologies – mobile devices, software and routing applications.
- 4) 25% of our entire workforce will be eligible for retirement. Many of these employees are in key positions and possess vital agency-specific knowledge and skills.
- 5) 46% of our executive leadership team will be eligible for retirement. These leaders possess critical leadership skills and institutional knowledge.



## WHERE WE WANT TO BE

Listening to the voice of the customer is the most important thing an organization can do to make positive and sustainable changes. To ensure every voice is heard – Commissioners, employees, licensees, Advisory Board members, the public and our public-private partners – TDLR expanded the avenues and opportunities for them to participate in the strategic planning process. After careful review and evaluation of thousands of recommendations, TDLR developed its “14 for 14” core priorities and the following strategic planning initiatives.

### Our “Employees First” Initiatives

TDLR’s employees are our greatest asset. It is only with motivated, trained, and skilled employees that we will continue to succeed. TDLR remains committed to developing leaders by assigning employees challenging tasks and responsibilities, expanding our book clubs to mentor leaders, and providing them with management and leadership training. We know that, with the proper support and motivation, today’s administrative assistant can become tomorrow’s division director. We do everything possible to create a culture that fosters opportunities for advancement.

Additionally, the agency must continue to attract and retain highly qualified employees. Consistent with TDLR’s “14 for 14” core priority six, we must find more ways to improve pay, promote, recognize and reward our employees. To achieve this core priority, TDLR needs additional appropriations to offer competitive salaries, and fund more professional development and training. TDLR will also seek funding for much needed positions in our Enforcement, Information Technology, Customer Service, and Compliance divisions.

TDLR will increase its extensive use of soft-dollar incentives such as flexible work hours, wellness activities, employee recognition awards, online training, and telecommuting. Finally, we will also work with the LBJ School of Public Affairs to increase the number of managers participating in the Governor’s Executive Development Program (GEDP) and other training they offer.

### Smaller Smarter Government Initiatives

The following recommended statutory changes will reduce the size of government, strengthen consumer protection, streamline regulation, and better align our resources.

#### *Smaller Government*

- Consolidate the Vehicle Product Protection Warrantor program into the Service Contract Providers program.
- Clarify that the Vehicle Storage Facilities Act and the Booting Act do not apply to municipalities, educational institutions and other governmental entities that store or boot vehicles.
- Clarify that a license holder may perform cosmetology or barbering in conjunction with a wedding ceremony, provided that the service is scheduled through a licensed facility.
- Align the services that may be performed by Manicurist/Esthetician dual license holders with those performed by individual Manicurist license holders and Esthetician license holders.
- Amend the Vehicle Towing, Booting and Storage Facilities Acts to remove duplicative provisions already regulated by federal and state laws – OSHA, federal and state transportation codes.
- Remove the unnecessary 90-day Texas residency requirement for applicants seeking a water well driller license.



Employee Recognition Team Luncheon



## Smarter Government

- Change the four-year mandatory readmission requirement on Cosmetology Schools to a more reasonable 24 months or less for students who have withdrawn or were terminated.
- Amend 1603.351 to permit the Commission to explore the creation of a pilot program allowing students to earn a portion of their practical hours under the Barber or Cosmetology curriculum through an agency-approved internship program.
- Ensure that the unique needs and voice of the nail services industry are represented on the Cosmetology Advisory Board by adding a member who holds a manicurist specialty license.
- Study the possibility of streamlining and refocusing the Vehicle Towing, Booting and Storage Facilities Acts to increase consumer protection elements and eliminate unnecessary business practice provisions. Ensure the laws include the same consumer protections, such as collection of unpaid civil judgments, notice requirements and licensed service fee provisions.
- Evaluate the benefits of amending Chapter 51, Occupations Code, to allow the agency to develop alternative methods to document and verify applicants' experience requirements, as well as permit the agency to provide notice to our licensees by alternative methods such as email.
- Enhance the safety of elevators and escalators by providing the agency with quick response, or "Out of Public Use," authority for equipment that is not in compliance with key safety code provisions. This authority could eliminate the timely and costly process of assessing fines and penalties to the business owner and provide a quicker path to remove dangerous elevators, escalators and other equipment from operation
- Consistent with the interim charge of the House Licensing and Administrative Procedures Committee to "Study the implementation and possible impacts of House Bill 3038, including the effect it would have on multi-state auction companies, as well as business-to-business auctions," consider modernizing the auctioneer statute, to remove any unnecessary burdens and restrictions, and consider licensing of auction companies.
- Clarify provisions of the legal service contract provider statute to remove outdated and unnecessary language and improve protection for consumers.
- Put money back in the pockets of consumers and not the coffers of the State, by amending Chapter 51, Occupations Code, to allow the agency to use a wider range of enforcement tools, including restitution and performance of corrective services in addition to assessing administrative penalties against a licensee.
- Study the pros and cons of modeling the Air Conditioning and Refrigeration program after the tiered licensing structure for the Electricians program, including the licensing of companies to promote better consumer protection.
- Provide greater boiler safety in Texas by clarifying the responsibility of boiler owners to have their boilers installed, operated and inspected in compliance with the boiler law.
- Enhance consumer protection by strengthening the financial security requirements for service contract providers.
- TDLR will review the statutes we administer to identify changes that will eliminate unnecessary and burdensome provisions, leverage economies of scale, and create greater efficiencies.

## Communication Initiatives

TDLR is committed to applying its "14 for 14" core priority ten – Simple, Clean and Easy – to all of its communications with our customers. We will redesign our website to further meet the navigational, informational and service needs of our customers. We will expand the use of our website and social media for providing information to and gathering input from our more than 162,900 monthly visitors. We will continue to improve and increase the online services we offer, including license applications and renewals, database searches, change of address, and other services identified by our licensees. TDLR will use online chat sessions with customers to improve communication and lower the number of phone contacts.

The agency will seek more ways of leveraging the services provided by GovDelivery. TDLR will continue to be recognized as a leader in the use of plain talk principles in our correspondence, rules, forms and FAQs. Finally, TDLR will use internal task forces, FAQs and its very successful internal communication strategies (In the Loop and Under the Umbrella) to facilitate better communication across divisions, so the agency provides more consistent interpretation and application of processes, rules and laws.



## Information Security and Cyber Enforcement Initiatives

Additional funding and personnel are needed to improve the agency's information technology security profile. The agency is working closely with the Department of Information Resources to develop a cost-effective roadmap to implement improvements recommended in the Gartner report for improving the security for information infrastructure, operations, applications and business operations.

TDLR also needs additional personnel to create and staff a specialized unit within our Enforcement division to combat the rise in fraudulent online advertisements by unlicensed people and companies preying on consumers. This unit would consist of employees who possess both traditional investigative skills and web expertise.

## Streamlining Military Experience Evaluation Initiative

During the 83rd Legislative Session, TDLR worked hand-in-hand with the Legislature to implement TDLR's recommendations to increase the tools available to occupational licensing agencies for expediting licensing for military personnel, veterans and their spouses. While these successes of the 83rd Session are applauded, opportunities remain for fine-tuning and improving the process for licensing this important population. TDLR will lead the discussion to streamline the provisions of Chapter 55, Occupations Code, regarding occupational licensing of members of the military and their spouses, to be more clear and consistent and to afford the greatest benefit to service personnel and their spouses.

## Technology Initiatives

TDLR developed two "14 for 14" core priorities to guide improvement in information technology. TDLR relies more and more on technology to help leverage its resources, meet customer demands, increase efficiency and fulfill its mission. In addition to our "14 for 14" core priority four to renovate and expand the services offered through our primary licensing system, TDLR will explore the development and greater use of technology in the following areas:

- User demand for mobile applications will further drive TDLR's application developers to look at in-house developed software and make the necessary improvements to allow them to work effectively on mobile devices. TDLR's own mobile applications will effectively expand the agency's reach to mobile device users and enable TDLR's staff to access licensing and inspection data during field operations.
- Moving away from the physical desktop to a virtual desktop, that is a small footprint computer with nominal functions until plugged into a shared large system that provides their desktop, networking, storage space etc.
- Cloud Services are services provided over the internet and can benefit the agency by offering a rapidly deployed, flexible environment at an affordable cost.
- Virtual Servers give us the ability to request and deploy new servers for development, testing, or production and a virtual environment is much quicker than providing the same in a physical form factor.
- Switching from paper based to electronic notifications, such as license renewals and enforcement case status updates using the GovDelivery service.
- As outlined in "14 for 14" core priority eleven, TDLR will explore and develop solutions for our long-term licensing software needs. Depending on the outcome of this analysis, TDLR may seek funding for a comprehensive licensing software solution.



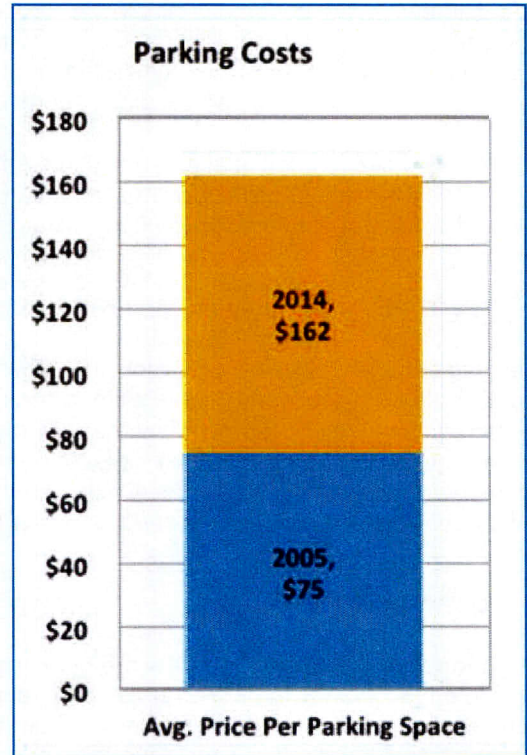
## Market-Based Parking Initiative

The parking situation for our downtown Austin headquarters is rapidly approaching a crisis point. Thanks to Texas' booming economy, Austin is experiencing record growth, and downtown is in a constant state of development. Many parking lots and garages in the area are now or will soon become hotels, condo towers, and new offices. At the same time this influx of new residents and businesses is happening, city government has eliminated over 200 downtown municipal parking spaces (both paid and free) within a few city blocks of our headquarters. This was done in the past year to make room for additional public transportation high-occupancy lanes. During the same time period, Travis County chose not to renew our contract for their county-owned garage, which we relied on for 61 parking spaces. These twin pressures of increased demand and disappearing parking options are placing greater strain on our resources and our employees' job satisfaction.

TDLR's surface lot, adjacent to the E. O. Thompson Building, is sorely inadequate for our current needs, with only 55 parking spaces for 189 downtown employees. Due to the lack of space on the surface lot and the shrinking pool of surrounding meter and street parking, we have been forced to spend money leasing nearby parking space, at ever-increasing costs due to the premium now placed on parking in downtown Austin. For example, in 2005, TDLR paid an average of \$75 per leased parking space; in 2014, the average cost has soared to \$162 per leased parking space (see chart). In all, we have spent over \$1.2 million purchasing additional parking spaces since November 2005.

TDLR's executive leadership believes it is imperative that we pursue a market-based solution to this problem. The solution could include working closely with the Texas Facilities Commission to explore a public-private partnership for the development of a multi-level parking garage on the site of our current surface lot. This process would include coordinating with the budget oversight committees in the House and the Senate to explore the advantages that could be gained by eliminating the appropriations drain due to parking costs, and identifying the cost-savings that could result from this initiative.

By seeking a private partner to build and develop the site, TDLR would gain additional parking spaces, eliminate our monthly parking expenditures, and have the added benefit of being able to charge for sub-leasing spaces when not in use by our employees. This new multi-story parking garage could potentially have additional office space equivalent in size to our current space and could also include ground-floor retail space. This concept would generate revenue for the state at a time when state agency budgets will continue to shrink. TDLR believes this approach makes sense given our current and future needs, and could serve as model for other agencies to follow who are experiencing similar space and fiscal limitations.





# APPENDICES



## APPENDIX A – DESCRIPTION OF AGENCY’S PLANNING PROCESS

As a reflection of our commitment to develop leaders, we always include a cross-section of TDLR employees in the strategic planning process. Employees are included at every phase and empowered to add their voice to shaping the vision of the agency and the direction of the strategic plan, including the resulting initiatives. Our strategic planning journey began in February 2013 when TDLR’s executive director and deputy executive director met to review the previous strategic planning instructions, key strategic plan elements, and TDLR’s proposed strategic planning timeline (see below).

We made key process changes in this strategic planning cycle by:

- Refining even further the easy-to-read format and applying plain language principles;
- Broadcasting the kickoff meeting from the Austin North Campus meeting room allowing all employees to participate;
- Streamlining the drafting and editing process;
- Increasing the involvement of the Commission throughout the strategic planning process, including the creation of the agency’s vision;
- Creating four cross-divisional evaluation teams to review the increased number of comments and recommendations:
  - IT and Process Improvement Projects
  - Rules and Legislative
  - Communication and Customer Service
  - Core Values and Human Resources
- Adding internal and external crowdsourcing websites for soliciting ideas and facilitating collaboration within TDLR and with the public.
- Involving separate final editing teams in the Workforce Plan and the Customer Service Plan.
- Engaging our public-private partners and industry policymakers to gather ideas for improving agency operations, shaping the way we deliver services, and forecasting issues that may be on the horizon.
- Conducting five regional face-to-face meetings across the state.



## STRATEGIC PLAN INVITATION TO PARTICIPATE

### YOUR VOICE MATTERS

The Texas Department of Licensing and Regulation (TDLR) will hold face-to-face strategic planning sessions around the state throughout March 2014. These open, interactive sessions will help shape our vision and chart the course for TDLR's future. This is your opportunity to let us hear your ideas with no filters. **Your voice matters**, and TDLR wants your input:

- *What are we doing well?*
- *What can we do better?*
- *What changes would you make to TDLR if you were king or queen for a day?*
- *Over the next five years, what major changes will affect the way you do business and the services we provide?*

Please consider this your invitation to join us in person to discuss the issues most important to you. Regional meetings will take place on the following dates:

#### March 17, 2014

- **West Texas Region:** Holiday Inn, Redwood & Aspen Rooms – 3201 South Loop 289, Lubbock TX
- **South Texas Region:** McAllen Convention Center – 700 Convention Center Blvd., Room 103, McAllen TX

#### March 24, 2014

- **North Texas Region:** Holiday Inn – 6070 N. Central Expressway, Dallas TX
- **East Texas Region:** Holiday Inn – 8111 Kirby Drive, Houston TX

#### March 31, 2014

- **Central Texas Region:** Wyndham Garden Hotel, Executive Learning Center & Guadalupe/Barton Creek Rooms – 3401 South IH-35, Austin TX

#### Program Session Times

- **8:30 am – 11:00 am** – Cosmetology and Barbers
- **12:30 pm – 3:00 pm** – Air Conditioning and Refrigeration, Architectural Barriers, Boiler, Booting, Electricians, Elevators, Towing, Used Automotive Parts Recyclers, and Vehicle Storage Facilities
- **3:30 pm – 6:00 pm** – Auctioneers, Combative Sports, Legal Service Contracts, Licensed Breeders, Polygraph Examiners, Professional Employer Organizations, Property Tax Consultants, Property Tax Professionals, Service Contract Providers, Vehicle Protection Product Warrantors, Water Well Drillers and Pump Installers, and Weather Modification

#### Here are some other ways you can make your voice heard:

- On March 17th, we'll introduce **ImagineTDLR**, a website where anyone can give us their feedback, post ideas, ask questions, and interact with other participants. Look for an email soon with more information about ImagineTDLR.
- Email us your ideas and comments now at [imagine@tdlr.texas.gov](mailto:imagine@tdlr.texas.gov) and we'll include them in the discussion.
- Jump into the conversation taking place at the [TDLR Facebook page](#). We'll be posting specific questions each week from our strategic planning sessions and including your responses in our research.

Ideas, comments, and suggestions from strategic planning sessions have real-world impact – in recent years, we've made policy and rule changes based on feedback from strategic planning sessions, and we share this feedback with lawmakers each legislative session. One good idea can create real change for Texans.

Help TDLR prepare for the future – let us hear your voice!

Questions? Email [imagine@tdlr.texas.gov](mailto:imagine@tdlr.texas.gov)

Visit our website: [www.tdlr.texas.gov](http://www.tdlr.texas.gov)

Follow us on [Facebook](#) and [Twitter](#)



## TDLR Strategic Plan 2015-2019 Teams

Teams – TDLR Strategic Plan 2015-2019		
Writers (12)	Group Editors (13)	Final Editors (6)
Bill Kuntz Brian Francis George Bomar Jeff Copas Juliane Crocker George Ferrie Christina Kaiser Michael Kelley Charlotte Melder Randy Nesbitt Alaric Robertson Simon Skedd	Bill Kuntz Brian Francis George Bomar (Grammar Czar) Tony Couvillon Randy Nesbitt (PTI Coord.) Jeff Copas George Ferrie Ron Foster Tanya Gauthreaux David Gonzales Christina Guzman Della Lindquist Terry Westrum	Debbie Jahns Donna Lipke Kay Mahan Monica McKenzie Jennifer Harless Pamela Legate  *Includes Strategic Plan, Workforce Plan and Customer Service Report

Workforce Plan Team (11)	Customer Service Report Team (13)	IR Plan Team (8)	PM and Budget Team (10)
Sharon Homoya (Chair) Sharesa Alexander Tony Couvillon Don Dudley David Gonzales Pamela Legate Misty Maldonado Tarsha Redd Amy Johnson Elizabeth Soliz Russ Tauli	Gene Mays (Chair) Patricia Alcantar Nancy Behn Jeff Copas Gregg Dodson Jennifer Harless Albert Orona Michael Shirk Camtu Tran Don Vara Andreea Vasile Terry Westrum Kim Whitt	Simon Skedd (Chair) Glen Bridge Clarence Campbell James Coffman Lisa Mendoza Eddie Morrison ZJ Tao Shufang Yu	Jerry Daniels (Chair) Danny Magness Tony Couvillon Debra Jackson Kay Mahan Dede McEachern Christine Orozco Tomas Spradlin Mary Alice Teal Lori Walker

Each group is responsible for placing the information in the following categories – rule and legislative changes, IT and process improvement projects, communication and customer service initiatives, and core value improvements and human resource initiatives.

External Face-to-Face Team (3)	ImagineTDLR/Online/Facebook Survey Team (3)	Internal Face-to-Face Team (3)
Randy Nesbitt (Chair) Melissa Rinard Willie Sczech	Alaric Robertson (Chair) Willie Sczech Terry Westrum	George Bomar (Chair) Melissa Rinard Willie Sczech



Rules and Legislative Evaluation Team (16)	IT and Process Improvement Projects Evaluation Team (12)	Communication and Customer Service Evaluation Team (8)	Core Values and Human Resources Evaluation Team (9)
Brad Bowman (Chair) Rebecca Armas Laura Hernandez Charles Johnson Christina Kaiser Michael Kelley Lynn Latombe Pamela Legate Della Lindquist Dede McEachern Wendy Pellow Ray Pizarro Tomas Spradlin Trevor Theilen Don Vara Mary Winston	Randy Nesbitt (Chair) George Bomar James Coffman Juliane Crocker George Ferrie Eloy Gonzalez Lisa Houdek Lori Magness Alaric Robertson Dawn Robinson Simon Skedd Bruce Tran	Jeff Copas (Chair) Tanya Gauthreaux Joyce Hennington Olisa Hunt Gene Mays Ruby Ockletree Trey Seals Susan Stanford Soyica White	Don Dudley (Chair) Gabby Berger Jerry Daniels Todd Forrester Ron Foster Mitzy Jimenez Sharon Homoya John Lain Savannah Slayton



## TDLR Strategic Plan 2015-2019 Timeline

### Timeline – TDLR Strategic Plan 2015-2019

October 2013 – January 2014	Review and Evaluate Workplace Dynamics Survey Results; Develop Director Personal Assessments; and Conduct Divisional Internal Face to Face Sessions
January 29 – February 10, 2014	Development of TDLR's 2015-2019 Strategic Planning Timeline, Teams and Assignments
February 4-5, 2014	Executive Lead Internal Face to Face Sessions
February 6, 2014	Strategic Planning Presentation to Directors at Staff Meeting
February 7, 2014	Chairman Arismendez Appoint Strategic Planning Oversight Workgroup
February 7, 2014	Present Strategic Planning Documents to the Commission
February 13, 2014	Presentation of Divisional Internal Face to Face Session Recommendations to Executive
February 17, 2014	Post Strategic Planning Documents on Lrnet
February 18, 2014	Town Meeting – Strategic Planning Presentation
February 18, 2014	Kick-off Strategic Plan Meeting to Announce Team Writing and Editing Assignments
February 18, 2014	Training for Strategic Plan Writers
February 19, 2014	Presentation of Executive Internal Face to Face Recommendations to Executive
February 25-27, 2014	Executive Lead Strategic Planning Visioning Session with the Commission Strategic Plan Oversight Workgroup and TDLR Employees
March 2014	Estimated Release of Instructions for Preparing and Submitting Agency Strategic Plan for 2015-2019
March 3 – March 17, 2014	Tentative Launch of TDLR's Crowdsourcing Platform – ImagineTDLR
March 6, 2014	Town Meeting to Announce TDLR's 2015-2019 Vision
March 6, 2014	Training for Evaluation Team Chairs
March 7, 2014	Post Internal Face to Face Summaries to Lrnet
March 14, 2014	Launch an Online Survey to TDLR's State Agency Partners
March 17, 2014	TDLR Leads External Face to Face Sessions in the South (Harlingen)/West (Lubbock) Regions
March 18-24, 2014	Post Facebook Survey Question One
March 19, 2014	Executive Lead Public/Private Partnership Roundtable
March 21, 2014	Executive Lead Policy Expert Roundtable
March 24, 2014	TDLR Leads External Face to Face Sessions in the North (Dallas)/East (Houston) Regions
March 25-31, 2014	Post Facebook Survey Question Two
March 26, 2014	Executive Leads Commission Strategic Plan Workgroup Huddle
March 28, 2014	Presentation of ImagineTDLR Recommendations to Executive

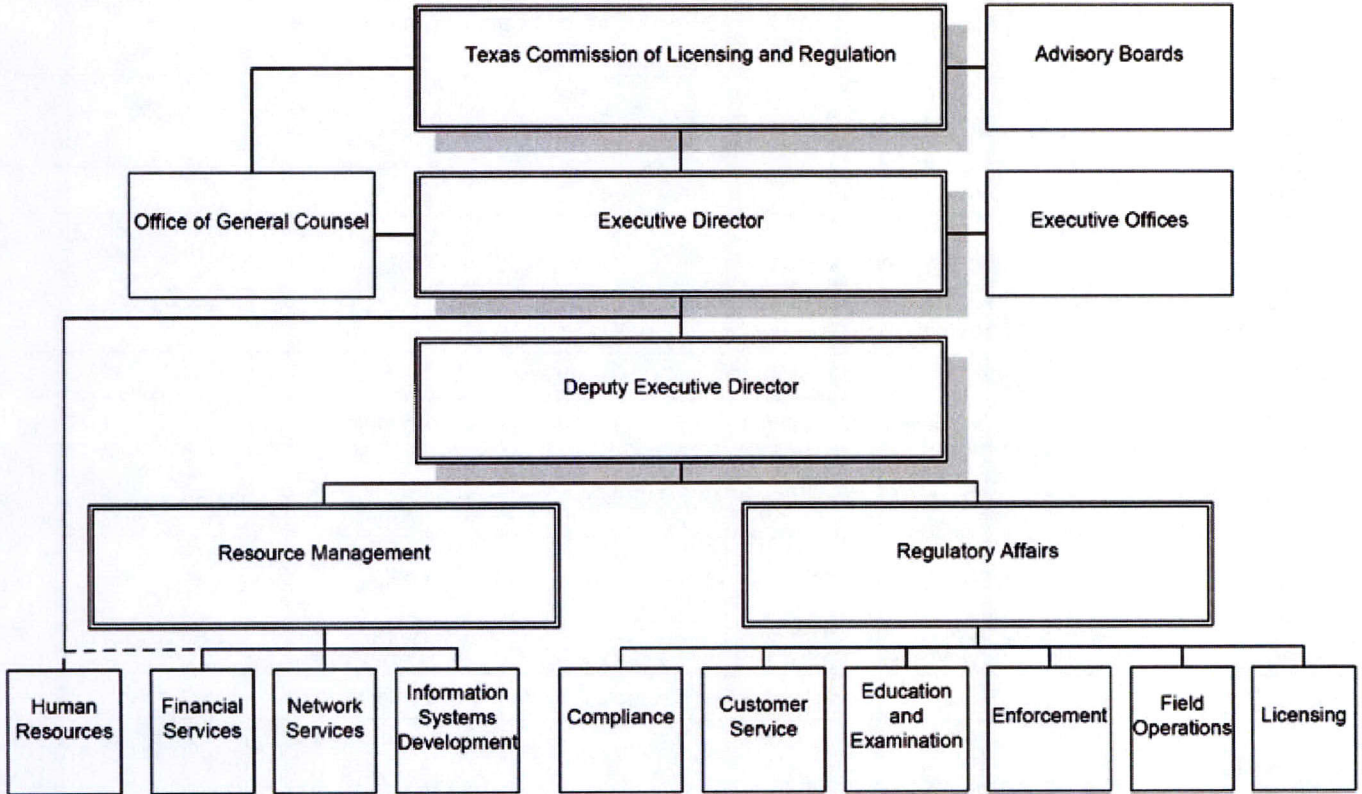


March 31, 2014	TDLR Leads External Face to Face Session in the Central (Austin) Region
April 2014	Estimated Release of Instructions for Preparing and Submitting Agency Requests for Legislative Appropriations for 2016 – 2017 to be Issued by the Governor's Office
April 2014	Estimated Due Date for Revisions to Performance Measure and Budget Structures
April 1-7, 2014	Post Facebook Survey Question Three
April 4, 2014	Presentation of Revisions to Performance Measures and Budget Structure to Executive
April 14-May 5, 2014	Strategic Plan Development and Editing Process
April 15, 2014	Presentation of External Face to Face Sessions
April 15, 2014	Executive Leads Commission Strategic Plan Workgroup Huddle
April 21, 2014	Post Survey Results and External Face to Face Session Summaries on Web
May 12, 2014	Forward Draft of Strategic Plan to Commissioners, Final Editors and for Formatting
May 22, 2014	Commission Member and Final Editor Comments Due
May 23, 2014	Executive Leads Commission Strategic Plan Workgroup Huddle
May 28-30, 2014	Commission Meeting to Present Revised Strategic Plan to Commission Members for Final Approval
June 1, 2014	Strategic Plan Customer Service Report Estimated Due Date
June 6, 2014	Final Version of Strategic Plan Complete
June 10, 2014	Town Meeting – Overview of TDLR's Key Strategic Initiatives
June 11, 2014	Provide Final Version of Strategic Plan to Commission Members
June 18, 2014	Estimated Target Submission of Strategic Plan to Governor's Office, LBB, etc.
June 18, 2014	Estimated Due Date for Completion of ABEST Entry of Performance Measure Definitions
June 23, 2014	Post Strategic Plan on Web
August 2014	Agencies Submit Legislative Appropriations Requests for the 2016 – 2017 Biennium
August 2014	Joint Governor's Office of Budget and Planning and Legislative Budget Board Budget Hearings Begin on Agency Legislative Appropriations Requests for the 2016 – 2017 Biennium



# APPENDIX B – ORGANIZATION CHART

## Texas Department of Licensing and Regulation





**APPENDIX C – FIVE-YEAR PROJECTIONS FOR OUTCOME MEASURES FISCAL YEARS 2015-2019**

<b>OUTCOME MEASURES</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>	<b>2019</b>
Percent of Licensees With No Recent Violations	97.0%	97.0%	97.0%	97.0%	97.0%
Percent of Licensees Who Renew Online	95.0%	95.0%	95.0%	95.0%	95.0%
Percent of New Individual Licenses Issued Online	89.0%	89.0%	90.0%	90.0%	90.0%
Percent of Calls Answered by Staff at TDLR	72.0%	73.0%	73.0%	73.0%	73.0%
Percent of Complaints Resulting in Disciplinary Action	29.0%	31.0%	30.0%	32.0%	33.0%
Percent of Documented Complaints Resolved within Six Months	60.0%	59.0%	58.0%	58.0%	59.0%
Recidivism Rate of Those Receiving Disciplinary Action	9.0%	10.0%	8.0%	8.0%	7.0%
Inspection Coverage Rate	74.0%	75.0%	76.0%	76.0%	76.0%
Percent of Boilers Inspected for Certification within Appropriate Timelines	70.0%	70.0%	70.0%	70.0%	70.0%



## **APPENDIX D – PERFORMANCE MEASURE DEFINITIONS**

### **A. GOAL: LICENSING. License, certify and register qualified individuals and businesses.**

#### **OUTCOME MEASURES**

##### **01-01-01 PERCENT OF LICENSES WITH NO RECENT DISCIPLINARY ACTIONS - KEY**

###### **DEFINITION**

The percent of the total number of licenses held by individuals at the end of the reporting period who have not had a disciplinary action within the last thirty-six months. Disciplinary action includes written reprimands, denials, suspensions, probations, revocations, restitutions ordered, and/or penalties assessed on which the Commission or the Executive Director has acted. For purposes of this measure, the term "licenses" includes licenses, certificates, permits and registrations.

###### **PURPOSE**

This measure provides an indication of licensees' compliance with the agency's statutes and rules.

###### **DATA SOURCE**

Total number of licenses held: IHB – SQL Server database maintained by IHB section; Licensing - "LICENSECNT" report from TULIP; "WMAApplicationsDays" from HP3000, JO database, Excel spreadsheet maintained in Licensing for Combative Sports Event Coordinators. Licensees with Disciplinary Actions report from Legal Files.

###### **METHODOLOGY**

The numerator for this measure is calculated by subtracting the total number of licenses held by individuals that have had disciplinary actions during the last thirty-six months from the total number of licenses held by individuals at the end of the reporting period. The denominator is the total number of licenses held by individuals. The result is multiplied by 100 to achieve a percentage.

###### **DATA LIMITATIONS**

External Factors: General market and economic conditions, statutory changes, addition or elimination of programs or license types, and changes in the number of licensees are factors beyond TDLR's control.

**CALCULATION METHOD:** Non-cumulative

**NEW MEASURE:** No

**TARGET ATTAINMENT:** Higher than target

##### **01-01-02 PERCENT OF LICENSES WHO RENEW ONLINE - KEY**

###### **DEFINITION**

The percent of the total number of licenses issued to individuals for whom online renewal was available that did renew online during the reporting period. For purposes of this measure, the term "licenses" includes licenses, certificates, permits and registrations.

###### **PURPOSE**

This measure tracks the use of self-service online license renewal technology by the licensee population.



## **DATA SOURCE**

The number of licenses issued to individuals who renewed online from the report "PERFRENLIC" from TULIP, and the total number of licenses issued to individuals for whom online renewal was available during the reporting period.

## **METHODOLOGY**

The numerator for this measure is the total number of licenses issued to individuals who renewed online. The denominator is the total number of licenses issued to individuals for whom online renewal was available. The result is multiplied by 100 to achieve a percentage.

## **DATA LIMITATIONS**

External Factors: General market and economic conditions, statutory changes, addition or elimination of programs or license types, and changes in the number of individuals who choose to remain in the occupation, and the number of those licensees with access to both the internet and credit cards are factors beyond TDLR's control.

**CALCULATION METHOD:** Non-cumulative

**NEW MEASURE:** No

**TARGET ATTAINMENT:** Higher than target

## **01-01-03 PERCENT OF NEW INDIVIDUAL LICENSES ISSUED ONLINE - KEY**

### **DEFINITION**

The percent of all new licenses issued online to individuals for whom online application was available during the reporting period. For purposes of this measure, the term "licenses" includes licenses, certificates, permits and registrations.

### **PURPOSE**

This measure tracks the use of self-service online licensing technology by the applicant population.

## **DATA SOURCE**

The number of new licenses issued online to individuals from the report "PERFORGLIC" from TULIP, and the total number of new licenses issued to individuals for whom online application was available during the reporting period.

## **METHODOLOGY**

The numerator for this measure is the total number of new licenses issued to individuals online during the reporting period. The denominator is the total number of new licenses issued to individuals for whom online application was available during the reporting period. The result is multiplied by 100 to achieve a percentage.

## **DATA LIMITATIONS**

External Factors: General market and economic conditions, statutory changes, addition or elimination of programs or license types, and changes in the number of individuals who choose to enter the occupation, and the number of those applicants with access to both the internet and credit cards are factors beyond TDLR's control.

**CALCULATION METHOD:** Non-cumulative

**NEW MEASURE:** No

**TARGET ATTAINMENT:** Higher than target



## 01-01-04 PERCENT OF CONTACTS RESPONDED TO

### DEFINITION

The percent of contacts responded to by the TDLR Contact Center. This does not include external phone calls received after business hours, on weekends, or on holidays when TDLR offices are closed. For the purpose of this measure, the term "contacts" include external phone calls, faxes, emails, Facebook, Twitter, and web chats.

### PURPOSE

This measure provides an indication of the service level provided by the TDLR Contact Center in providing information to the licensees and the public.

### DATA SOURCE

A subset of the Contact Center software database extracted to an Excel spreadsheet for further calculations.

### METHODOLOGY

The numerator for this measure is the total number of "Contacts Responded To" comprised of external phone calls, faxes, emails, Facebook, Twitter, and web chats as reported by the Contact Center software database, including the following resolution types: Callback Lodged, Direct Call, IVR, Queue Call, Recalled, and Transferred. The denominator is the "Number of Contacts Received" comprised of external phone calls, faxes, emails, Facebook, Twitter, and web chats as reported by the Contact Center software database, including the following resolution types: Abandoned, Callback Lodged, Direct Call, Hangup, IVR, Queue Call, Recalled, Transferred, and Unanswered. External phone calls received do not include calls after business hours, state holidays, and weekends. The result is multiplied by 100 and expressed as a percentage.

### DATA LIMITATIONS

External Factors: General market and economic conditions, statutory changes, addition or elimination of programs or license types, and changes in the number of licensees are factors beyond TDLR's control.

Internal Factors: Rule changes and turnover in Contact Center staff may also impact the measure.

**CALCULATION METHOD:** Non-cumulative

**NEW MEASURE:** No

**TARGET ATTAINMENT:** Higher than target

**A.1.1. Strategy: License, register and certify. Issue licenses, registrations & certificates to qualified individuals.**

### OUTPUT MEASURE

#### 01-01-01-01 NUMBER OF NEW LICENSES ISSUED TO INDIVIDUALS - KEY DEFINITION

The number of new licenses issued to individuals during the reporting period. For purposes of this measure, the term "licenses" includes licenses, certificates, permits and registrations.

### PURPOSE

This measure provides data relating to new businesses and job generation created under the statutes regulated by TDLR.

### DATA SOURCE

BLR – JO database; IHB – SQL Server database maintained by IHB program; Licensing - "PERFORGLIC" from TULIP; BOX – "WMAApplicationDays" and Excel spreadsheet for Event Coordinators.



## **METHODOLOGY**

Total the number of new licenses issued to individuals for all TDLR programs during the reporting period.

## **DATA LIMITATIONS**

External Factors: General market and economic conditions, statutory changes, addition or elimination of programs or license types, and the number of persons desiring to enter occupations regulated by TDLR are factors beyond TDLR's control.

**CALCULATION METHOD:** Non-cumulative

**NEW MEASURE:** No

**TARGET ATTAINMENT:** Higher than target

## **01-01-01-02 NUMBER OF LICENSES RENEWED FOR INDIVIDUALS - KEY**

### **DEFINITION**

The number of renewed licenses issued to individuals during the current reporting period. For purposes of this measure, the term "licenses" includes licenses, certificates, permits and registrations.

### **PURPOSE**

This measure provides data relating to the number of individuals desiring to remain licensed under the statutes regulated by TDLR.

### **DATA SOURCE**

BLR – JO database; IHB – SQL Server database maintained by IHB program; Licensing - "PERFRENLIC" from TULIP; BOX – "WMApplicationDays" and Excel spreadsheet for Event Coordinators.

## **METHODOLOGY**

Total the number of renewed licenses issued to individuals for all TDLR programs during the reporting period.

## **DATA LIMITATIONS**

External Factors: General market and economic conditions, statutory changes in the criteria for renewing, addition or elimination of programs or license types, and the number of persons desiring to renew are factors beyond TDLR's control.

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

**CALCULATION METHOD:** Non-cumulative

**NEW MEASURE:** No

**TARGET ATTAINMENT:** Higher than target

## ***EFFICIENCY MEASURES***

## **01-01-01-01 PERCENTAGE OF NEW INDIVIDUAL LICENSES ISSUED WITHIN 10 DAYS**

### **DEFINITION**

The percentage of new licenses issued to individuals within 10 days during the reporting period. This is measured from the time in days elapsed from receipt of the completed application until the license is issued. For purposes of this measure, the term "licenses" includes licenses, certificates, permits and registrations.



## **PURPOSE**

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

## **DATA SOURCE**

BLR – JO database; IHB – SQL Server database maintained by IHB; Licensing – “PERFORGLIC” from TULIP; BOX – “WMApplicationDays”, and Excel spreadsheets for Event Coordinators and VPP.

## **METHODOLOGY**

The numerator for this measure is the number of new licenses issued to individuals within 10 days during the reporting period. The denominator is the total number of new licenses issued to individuals during the reporting period. The result is multiplied by 100 to achieve a percentage.

## **DATA LIMITATIONS**

External Factors: General market and economic conditions, statutory changes, addition or elimination of programs or license types, and the number of persons desiring to become licensed are factors beyond TDLR’s control.

Internal Factors: Turnover in TDLR staff may also impact the measure.

**CALCULATION METHOD:** Non-cumulative

**NEW MEASURE:** No

**TARGET ATTAINMENT:** Higher than target

## **01-01-01-02 PERCENT OF INDIVIDUAL LICENSE RENEWALS ISSUED WITHIN 7 DAYS**

### **DEFINITION**

The percentage of renewed licenses issued to individuals within 7 days during the reporting period. This is measured from the time in days elapsed from receipt of the completed renewal application until the date the renewal license is issued. For purposes of this measure, the term “licenses” includes licenses, certificates, permits and registrations.

### **PURPOSE**

This is a measure of TDLR’s ability to process renewal applications in a timely and efficient manner.

### **DATA SOURCE**

BLR – JO database; IHB – SQL Server database maintained by IHB program; Licensing – “PERFRENLIC” from TULIP; BOX – “WMApplicationDays” and Excel spreadsheet for Combative Sports Event Coordinators and VPP.

### **METHODOLOGY**

The numerator for this measure is the number of renewal licenses issued to individuals within 7 days during the reporting period. The denominator is the total number of renewed licenses issued to individuals during the reporting period. The result is multiplied by 100 to achieve a percentage.

### **DATA LIMITATIONS**

External Factors: General market and economic conditions, statutory changes, addition or elimination of programs or license types, and the number of persons desiring to renew licenses are factors beyond TDLR’s control.

Internal Factors: Turnover in licensing TDLR staff may also impact the measure.

**CALCULATION METHOD:** Non-cumulative

**NEW MEASURE:** No

**TARGET ATTAINMENT:** Higher than target



**EXPLANATORY MEASURE**

**01-01-01-01 TOTAL NUMBER OF LICENSES HELD BY INDIVIDUALS - KEY**

**DEFINITION**

Total number of licenses held by individuals at the end of the reporting period. For purposes of this measure, the term "licenses" includes licenses, certificates, permits and registrations.

**PURPOSE**

This measure indicates the total population of licenses held by individuals regulated by TDLR.

**DATA SOURCE**

BLR – JO Report; IHB – SQL Server database maintained by IHB program; Licensing- "LICENSECNT" report from TULIP; "WMApplicationDays" from HP3000, Excel spreadsheet maintained in Licensing for Combative Sports Event Coordinators and VPP.

**METHODOLOGY**

Total the number of licenses held by individuals at the end of the reporting period.

**DATA LIMITATIONS**

External Factors: General market and economic conditions, statutory changes, addition or elimination of programs or license types, and the number of persons who renew or become licensed are factors beyond TDLR's control.  
Internal Factors: Fee and rule changes are variables that impact the measure.

**CALCULATION METHOD:** Non-cumulative

**NEW MEASURE:** No

**TARGET ATTAINMENT:** Higher than target

**A.1.2. STRATEGY: LICENSE BUSINESSES AND FACILITIES.**

**EXPLANATORY MEASURE**

**01-01-02-01 TOTAL NUMBER OF BUSINESSES LICENSED - KEY**

**DEFINITION**

The number of licenses issued to businesses at the end of the reporting period. For purposes of this measure, the term "licenses" includes licenses, registrations, permits and certificates; and the term "businesses" includes businesses, facilities, construction projects and pieces of equipment.

**PURPOSE**

This measure indicates the total population of businesses regulated by TDLR.

**DATA SOURCE**

AB – "AB" database; BLR – JO database; ELE – "Active Certificates"; IHB – SQL Server database maintained by the IHB program; Licensing - "LICENSECNT" report from TULIP; TOOLS program for TOW and VSF; BOX and TCW – "WMApplicationDays" from HP3000; Excel spreadsheets maintained in Licensing for VPP, Amateur Combative Sports Associations; and Word database maintained by PIA staff for WXM.

**METHODOLOGY**

Total the number of businesses licensed at the end of the reporting period.



## **DATA LIMITATIONS**

External Factors: General market and economic conditions, statutory changes, addition or elimination of programs or license types, and the number of businesses that renew or become licensed are factors beyond TDLR's control.  
Internal Factors: Fee and rule changes are variables that may also impact the measure.

**CALCULATION METHOD:** Non-cumulative

**NEW MEASURE:** No

**TARGET ATTAINMENT:** Higher than target

## **A.1.3. STRATEGY: EXAMINATIONS/CONTINUING EDUCATION. ADMINISTER EXAMS TO APPLICANTS.**

### ***OUTPUT MEASURE***

#### **01-01-03-01 NUMBER OF CONTINUING EDUCATION COURSES APPROVED**

### **DEFINITION**

The total number of Continuing Education courses approved by TDLR during the reporting period.

### **PURPOSE**

This measure provides data relating to the number of new Continuing Education courses reviewed and approved by TDLR by Education and Examination personnel for licensee use in meeting various continuing education requirements.

### **DATA SOURCE**

"PERFORGEDU" from TULIP.

### **METHODOLOGY**

Total the number of new Continuing Education courses approved with event code of "Requirements Met" in TULIP for the reporting period.

## **DATA LIMITATIONS**

External Factors: General market and economic conditions, statutory changes, addition or elimination of programs or license types, and changes in continuing education requirements are factors beyond TDLR's control.

**CALCULATION METHOD:** Non-cumulative

**NEW MEASURE:** No

**TARGET ATTAINMENT:** Higher than target

## **A.1.4. STRATEGY: CUSTOMER SERVICE. PROVIDE CUSTOMER SERVICE.**

### ***EXPLANATORY MEASURE***

#### **01-01-04-01 NUMBER OF CONTACTS RECEIVED**

### **DEFINITION**

The total number of contacts offered to the TDLR Contact Center from the general public and the licensee population during the reporting period. This does not include external phone calls received after business hours, on weekends, or on holidays when TDLR offices are closed. For purposes of this measure the term "contacts" include external phone calls, faxes, emails, Facebook, Twitter, and web chats.



## **PURPOSE**

This measure provides the number of contacts received by TDLR.

## **DATA SOURCE**

A subset of the Contact Center software database extracted to an Excel spreadsheet for further calculations.

## **METHODOLOGY**

The "Number of Contacts Received" from the general public and the licensee population during the reporting period. Contacts are comprised of external phone calls, faxes, emails, Facebook, Twitter and web chats as reported by the Contact Center software database, including the following resolution types: Abandoned, Callback Lodged, Direct Call, Hangup, IVR, Queue Call, Recalled, Transferred, and Unanswered.

## **DATA LIMITATIONS**

External Factors: General market and economic conditions, statutory and rule changes in professions or programs regulated, addition and elimination of programs or license types, and changes in the number of persons licensed are factors beyond TDLR's control.

**CALCULATION METHOD:** Non-cumulative

**NEW MEASURE:** No

**TARGET ATTAINMENT:** Lower than target

## **B. GOAL: ENFORCEMENT. Protect the public by enforcing laws administered by the agency.**

### ***OUTCOME MEASURES***

#### **02-01-01 PERCENT OF COMPLAINTS RESULTING IN DISCIPLINARY ACTION**

### **DEFINITION**

Percent of complaints that were closed during the reporting period that resulted in disciplinary action. A complaint is any case in the Legal Files system involving a potential violation of TDLR's statutes or rules, generated from any source internal or external to the agency, which could result in disciplinary action. Disciplinary action includes written reprimands, denials, suspensions, probations, revocations, restitutions ordered, and/or penalties assessed on which the Commission or the Executive Director has acted. A complaint is closed when the agency's action to resolve the case is concluded for any reason, including but not limited to insufficient evidence, informal resolution, issuance of a warning letter, or entry of a final order for disciplinary action, and a "date closed" is entered on the "Case File Setup" screen for the case in the Legal Files system.

### **PURPOSE**

This measure indicates the effectiveness of complaint processing by TDLR.

### **DATA SOURCE**

"Percent Resulting in Disciplinary Action" from the Performance Measures Report extracted from the Legal Files system.

### **METHODOLOGY**

The numerator for this measure is the number of complaints closed with disciplinary actions during the reporting period. The denominator is the total number of complaints closed during the reporting period. The result is multiplied by 100 to achieve a percentage.



## **DATA LIMITATIONS**

External Factors: General market and economic conditions and the complexity and severity of the complaints filed are factors beyond TDLR's control.

Internal Factors: Turnover in enforcement staff may also impact the measure.

**CALCULATION METHOD:** Non-cumulative

**NEW MEASURE:** No

**TARGET ATTAINMENT:** Higher than target

## **02-01-02 PERCENT OF COMPLAINTS CLOSED WITHIN SIX MONTHS - KEY**

### **DEFINITION**

The percent of complaints closed during the reporting period, that were closed within a six month period from the time they were opened by the agency. A complaint is any case in the Legal Files system involving a potential violation of TDLR's statutes or rules, generated from any source internal or external to the agency, which could result in assessment of administrative penalties or license revocation, suspension or denial. A complaint is closed when the agency's action to resolve the case is concluded for any reason, including but not limited to insufficient evidence, informal resolution, issuance of a warning letter, or entry of a final order for disciplinary action, and a "date closed" is entered on the "Case File Setup" screen for the case in the Legal Files system.

### **PURPOSE**

This measure indicates the effectiveness of complaint processing by TDLR.

### **DATA SOURCE**

"Percent Closed within Six Months" from the Performance Measures Report extracted from the Legal Files system.

### **METHODOLOGY**

The numerator for this measure is the number of complaints during the reporting period closed within six months from the date opened. The denominator is the number of complaints closed during the reporting period. The result is multiplied by 100 to achieve a percentage.

## **DATA LIMITATIONS**

External Factors: General market and economic conditions and the complexity and severity of the complaints filed are factors beyond TDLR's control.

Internal Factors: Turnover in enforcement staff may also impact the measure.

**CALCULATION METHOD:** Non-cumulative

**NEW MEASURE:** No

**TARGET ATTAINMENT:** Higher than target

## **02-01-03 PERCENT OF ARCHITECTURAL BARRIERS BUILDING PLAN REVIEWS COMPLETED WITHIN 30 DAYS - KEY**

### **DEFINITION**

The percent of construction/engineering plans reviewed by agency plan reviewers for compliance with Architectural Barriers standards during the current reporting period that were reviewed within 30 days of receipt of complete submittal.



## **PURPOSE**

This measure indicates the effectiveness of TDLR's internal Architectural Barriers plan review process.

## **DATA SOURCE**

AB database.

## **METHODOLOGY**

The numerator for this measure is the total number of AB plan reviews completed within thirty days by agency plan reviewers during the reporting period. The denominator is the total number of AB plan reviews completed during the reporting period by agency plan reviewers. The result is multiplied by 100 to achieve a percentage.

## **DATA LIMITATIONS**

External Factors: General market and economic conditions, construction trends, statutory changes and the number of registered accessibility specialists are factors beyond TDLR's control.

Internal Factors: Rule changes, enforcement actions, and changes to the plan review process, including outsourcing the plan reviews to third party reviewers, may also impact the measure.

**CALCULATION METHOD:** Non-cumulative

**NEW MEASURE:** No

**TARGET ATTAINMENT:** Higher than target

## **02-01-04 RECIDIVISM RATE OF THOSE RECEIVING DISCIPLINARY ACTION**

### **DEFINITION**

The number of repeat offenders at the end of the reporting period as a percentage of all disciplinary actions during the reporting period. Disciplinary action includes written reprimands, denials, suspensions, probations, revocations, restitution orders, and/or penalties assessed on which the Commission or the Executive Director has acted.

### **PURPOSE**

This measure shows how effectively the agency deters future violations by enforcing its regulatory requirements and educating its regulated industries.

### **DATA SOURCE**

The report generated from the Legal Files system which includes disciplinary actions.

### **METHODOLOGY**

The numerator for this measure is the total number of individuals with a disciplinary action for the reporting fiscal year, as well as at least one additional disciplinary action in the reporting fiscal year or the two preceding fiscal years. The denominator is the total number of individuals receiving disciplinary actions in the reporting fiscal year. The result is multiplied by 100 to achieve a percentage.

### **DATA LIMITATIONS**

External Factors: General market and economic conditions and the complexity and severity of the complaints filed are factors beyond TDLR's control.



**CALCULATION METHOD:** Non-cumulative

**NEW MEASURE:** No

**TARGET ATTAINMENT:** Lower than target

## **02-01-05 INSPECTION COVERAGE RATE - KEY**

### **DEFINITION**

The total number of inspections completed by agency and third-party inspectors divided by the total number of inspections required by statutes. Inspections for this measure include those required in BLR, BOX, IHB, ELE, BAR, COS, APR, TOW, VSF, and BRE regulated industries, but do not include non-certificate boiler inspections or Architectural Barriers inspections.

### **PURPOSE**

This measure indicates the effectiveness of TDLR's inspection process.

### **DATA SOURCE**

BLR – JO database; BOX – List of inspection events provided by the Combative Sports program; IHB – SQL Server database maintained by IHB program; ELE, BAR, COS, APR, and BRE inspections recorded in TULIP; and TOW/VSF inspections recorded in TOOLS.

### **METHODOLOGY**

The numerator for this measure is the total number of inspections completed during the reporting period. The denominator is the total number of inspections completed during the reporting period, plus inspections still due at the end of the reporting period. The result is multiplied by 100 to achieve a percentage.

### **DATA LIMITATIONS**

External Factors: IHB inspections lag by one month and Boiler inspections lag by one quarter, to account for delayed third-party reporting deadlines. General market and economic conditions, construction trends, statutory changes, addition or elimination of programs or license types, and the number of third-party inspectors are factors beyond TDLR's control.

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

**CALCULATION METHOD:** Non-cumulative

**NEW MEASURE:** No

**TARGET ATTAINMENT:** Higher than target

## **02-01-06 PERCENT OF BOILER CERTIFICATION INSPECTIONS WITHIN TIMELINES - KEY**

### **DEFINITION**

The percent of Boiler certificate inspections performed by agency and third-party inspectors during the reporting period that were completed no later than thirty days after the certificate expiration date.

### **PURPOSE**

This measure indicates the effectiveness of TDLR's Boiler inspection process.



## **DATA SOURCE**

JO database.

## **METHODOLOGY**

The numerator for this measure is the total number of certificate inspections completed no later than 30 days after the certificate expiration date. The denominator is the total number of certificate inspections done. The result is multiplied by 100 to achieve a percentage.

## **DATA LIMITATIONS**

External Factors: Boiler certificate inspections included for this measure are for the quarter preceding the reporting period, to account for delayed third-party reporting deadlines. The number of boilers due for inspection, the number of third-party inspectors, the number of boilers manufactured, and general market and economic conditions are factors beyond TDLR's control.

Internal Factors: Turnover in inspectors also impacts the measure.

**CALCULATION METHOD:** Non-cumulative

**NEW MEASURE:** No

**TARGET ATTAINMENT:** Higher than target

**B.1.1. Strategy: Conduct Inspections. Enforce laws by conducting routine, complex and special inspections.**

## ***OUTPUT MEASURE***

### **02-01-01-01 TOTAL NUMBER OF ARCHITECTURAL BARRIERS INSPECTIONS COMPLETED BY AGENCY AND THIRD-PARTY INSPECTORS - KEY**

#### **DEFINITION**

The total number of Architectural Barriers inspections completed by agency and third-party inspectors during the reporting period.

#### **PURPOSE**

This performance measure shows the number of Architectural Barriers inspections completed.

## **DATA SOURCE**

AB database.

## **METHODOLOGY**

Total the number of Architectural Barriers inspections completed during the reporting period.

## **DATA LIMITATIONS**

External Factors: General market and economic conditions, construction trends, statutory changes, and the number of registered accessibility specialists are factors beyond TDLR's control.

Internal Factors: Rule changes, enforcement actions and changes to the inspection process may also impact the measure.

**CALCULATION METHOD:** Non-cumulative

**NEW MEASURE:** No

**TARGET ATTAINMENT:** Higher than target

### ***EXPLANATORY MEASURES***

## **02-01-01-01 NUMBER OF BUILDINGS OR FACILITIES TO BE INSPECTED FOR ARCHITECTURAL BARRIERS**

### **DEFINITION**

The total number of subject buildings or facilities for which inspection requests and fees have been received by TDLR but inspections have not yet been performed by agency staff at the end of the reporting period; plus the total number of buildings or facilities leased or occupied by the state, under any lease or rental agreement, that are ready for occupancy and fees have been received, but inspections have not yet been performed by agency staff at the end of the reporting period.

### **PURPOSE**

This measure shows the effectiveness of TDLR's AB inspection program.

### **DATA SOURCE**

AB database.

### **METHODOLOGY**

Total the Architectural Barriers inspections due based on complete requests received for inspections that have not yet been performed by agency staff at the end of the reporting period.

### **DATA LIMITATIONS**

External Factors: General market and economic conditions, construction trends, statutory changes, and the number of state leases registered each year are factors beyond TDLR's control.

Internal Factors: Outsourcing of AB inspections to third party inspectors impacts the measure.

**CALCULATION METHOD:** Non-cumulative

**NEW MEASURE:** No

**TARGET ATTAINMENT:** Lower than target

## **02-01-01-02 TOTAL NUMBER OF INSPECTIONS COMPLETED - KEY**

### **DEFINITION**

The total number of inspections for AB, BLR, BOX, IHB, ELE, BAR, COS, APR, TOW, VSF and BRE programs completed by agency and third-party inspectors.

### **PURPOSE**

This measure indicates TDLR's efforts to assure compliance with statutes and rules via inspections.



## **DATA SOURCE**

AB – AB Database; BLR - JO Reports; BOX - List of inspection events provided by the Combative Sports program; IHB – SQL Server database maintained by IHB program; ELE, BAR, COS, APR and BRE inspections recorded in TULIP; and TOW/VSF inspections recorded in TOOLS.

## **METHODOLOGY**

Total the number of inspections from all sources.

## **DATA LIMITATIONS**

External Factors: IHB inspections lag by one month and BLR inspections lag by one quarter, to account for delayed third-party reporting deadlines. General market and economic conditions, construction trends, statutory changes, addition or elimination of programs or license types, and the number of third-party inspectors are factors beyond TDLR's control.

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

**CALCULATION METHOD:** Non-cumulative

**NEW MEASURE:** No

**TARGET ATTAINMENT:** Higher than target

## **B.1.2. Strategy: Building Plan Reviews. Perform building plan reviews.**

### ***OUTPUT MEASURE***

#### **02-01-02-01 NUMBER OF PLAN REVIEWS COMPLETED**

### **DEFINITION**

The total number of construction/engineering plans reviewed by agency and third-party plan reviewers for compliance with applicable building and safety standards. Architectural Barriers, Elevators (only by agency staff) and Industrialized Housing and Building plan reviews are included in this calculation.

### **PURPOSE**

This measure indicates the number of plan reviews completed by agency and third-party reviewers to ensure that building designs comply with applicable building and safety standards.

### **DATA SOURCE**

AB – AB database; ELE - Excel spreadsheet maintained by Elevator Program; and IHB – SQL Server database maintained by IHB program.

### **METHODOLOGY**

Total the number of plan reviews from the reports for the current reporting period.

### **DATA LIMITATIONS**

External Factors: General market and economic conditions, construction trends, statutory changes, and the number of third-party reviewers are factors beyond TDLR's control.

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

**CALCULATION METHOD:** Non-cumulative

**NEW MEASURE:** No

**TARGET ATTAINMENT:** Higher than target

**B.1.3. Strategy: Resolve Complaints. Enforce compliance by settlement, prosecution, penalty and sanction.**

**OUTPUT MEASURE**

**02-01-03-01 NUMBER OF COMPLAINTS CLOSED - KEY**

**DEFINITION**

The total number of complaints closed during the reporting period. A complaint is any case in the Legal Files system involving a potential violation of TDLR's statutes or rules, generated from any source internal or external to the agency, which could result in assessment of administrative penalties or license revocation, suspension or denial. A complaint is closed when the agency's action to resolve the case is concluded for any reason, including but not limited to insufficient evidence, informal resolution, issuance of a warning letter, or entry of a final order for disciplinary action, and a "date closed" is entered on the "Case File Setup" screen for the case in the Legal Files system.

**PURPOSE**

This measure indicates the effectiveness of complaint processing by TDLR.

**DATA SOURCE**

"Cases Closed" from the Performance Measures Report extracted from the Legal Files system.

**METHODOLOGY**

The sum of the number of complaints closed during the reporting period minus any complaints that were opened in error and subsequently closed during the same reporting period.

**DATA LIMITATIONS**

External Factors: General market and economic conditions and the complexity and severity of the complaints filed are factors beyond TDLR's control.

Internal Factors: Turnover in enforcement staff may also impact the measure.

**CALCULATION METHOD:** Non-cumulative

**NEW MEASURE:** No

**TARGET ATTAINMENT:** Higher than target



## **EFFICIENCY MEASURE**

### **02-01-03-01 AVERAGE TIME FOR CLOSING COMPLAINTS (DAYS)**

#### **DEFINITION**

The average length of time to resolve a complaint, for all complaints closed during the reporting period. A complaint is any case in the Legal Files system involving a potential violation of TDLR's statutes or rules, generated from any source internal or external to the agency, which could result in assessment of administrative penalties or license revocation, suspension or denial. A complaint is closed when the agency's action to resolve the case is concluded for any reason, including but not limited to insufficient evidence, informal resolution, issuance of a warning letter, or entry of a final order for disciplinary action, and a "date closed" is entered on the "Case File Setup" screen for the case in the Legal Files system.

#### **PURPOSE**

This measure indicates the effectiveness of complaint processing by TDLR.

#### **DATA SOURCE**

"Average Days to Close" from the Performance Measures Report extracted from the Legal Files system.

#### **METHODOLOGY**

The numerator for this measure is the cumulative sum of the number of days it took to close each complaint in the reporting period. The denominator is the total number of complaints closed in the reporting period. The result is multiplied by 100 to achieve a percentage.

#### **DATA LIMITATIONS**

External Factors: General market and economic conditions and the complexity and severity of the complaints filed are factors beyond TDLR's control.

Internal Factors: Turnover in enforcement staff may also impact the measure.

**CALCULATION METHOD:** Non-cumulative

**NEW MEASURE:** No

**TARGET ATTAINMENT:** Lower than target

### **B.1.4. Strategy: Investigation. Investigate complaints.**

## **EFFICIENCY MEASURE**

### **02-01-04-01 NUMBER OF COMPLAINTS OPENED - KEY**

#### **DEFINITION**

The total number of complaints opened during the reporting period. A complaint is any case in the Legal Files system involving a potential violation of TDLR's statutes or rules, generated from any source internal or external to the agency, which could result in assessment of administrative penalties or license revocation, suspension or denial.

#### **PURPOSE**

This measure indicates the case workload of TDLR.

**DATA SOURCE**

“Cases Opened” from the Performance Measures Report extracted from the Legal Files system.

**METHODOLOGY**

The sum of the number of complaints opened minus any complaints that were opened in error and subsequently closed during the same reporting period.

**DATA LIMITATIONS**

External Factors: General market and economic conditions, the number of transactions or business activities involving an industry or business regulated by TDLR are factors beyond TDLR’s control.

**CALCULATION METHOD:** Non-cumulative

**NEW MEASURE:** No

**TARGET ATTAINMENT:** Lower than target



<b>PURCHASE REQUISITION</b>					Doc. Agency	Current Document Number		
					<b>452</b>			
Payee Name and Address  Judy Graven 162 Irmas Dr, Lockhart, TX 78644					Date Ordered by Division			
					Requested by and phone number  <b>Brad Bowman 512-463-0859</b>			
Payee Identification Number			451-29-1786		Date Needed		6/16/2014	
PCC		Agency Name and Address						
Comodity Code		Texas Department of Licensing & Regulation						
		920 Colorado Street						
		Austin, Texas 78701						
ITEM No.	DESCRIPTION AND SPECIFICATIONS	QUANTITY	UNIT	PRICE	AMOUNT			
1	CLE Seminar Registration for Judy Graven	1	each	\$ 310.00	\$ 310.00			
					\$ -			
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					Total	\$	310.00	
Director's Approval  sign here			Date  6-12-14		Financial Services (Funds are Available)  sign here			Date
<b>FOR ADMINISTRATION USE ONLY</b>								
ORDER DATE		ITEMS			P.O. NUMBER		AMOUNT	
Purchaser's Initials				Requisition Total				
Effective Date		Document Amount			Description			
SFX	T-CODE	PCA	AY	COBJ	AMOUNT	R	AGENCY USE	
Encumbrance Entered By Sign here			Date		Executive Director's Approval (if > \$5,000) Sign here		Date	







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# THE BEAT GOES ON TAPS 2014

## Texas Advanced Paralegal Seminar

October 1-3, 2014  
DoubleTree Hotel  
6505 N Interstate Highway 35  
Austin, TX

A Three Day Multi-Track CLE Seminar sponsored by  
the Paralegal Division, State Bar of Texas

### TAPS 2014 Prices

#### Registration Fees

Three (3) Day - Member of Paralegal Division	\$310.00*
Three (3) Day - Non-Member of Paralegal Division	\$410.00*
(*Fee inclusive of all social and luncheon tickets)	
One (1) Day - Member of Paralegal Division	\$165.00
One (1) Day - Non-Member of Paralegal Division	\$265.00
(Social and luncheon tickets sold at additional fee)	
Late registration fee applies <i>after August 29, 2014</i>	\$35.00

#### One Day Registrants and Guest Tickets

##### Wednesday Welcome Social, "With a Little Help From My Friends"

One-Day Attendee	\$15.00
Guest of registered attendee	\$25.00

##### Thursday Networking Social, "The Music of the Night"

One-Day Attendee	\$45.00
Guest of registered attendee	\$60.00

##### Friday Attendee Luncheon, "Respect"

One-Day Attendee	\$30.00
Guest of registered attendee	\$30.00

TAPS T-Shirt: "Complimentary" with registration

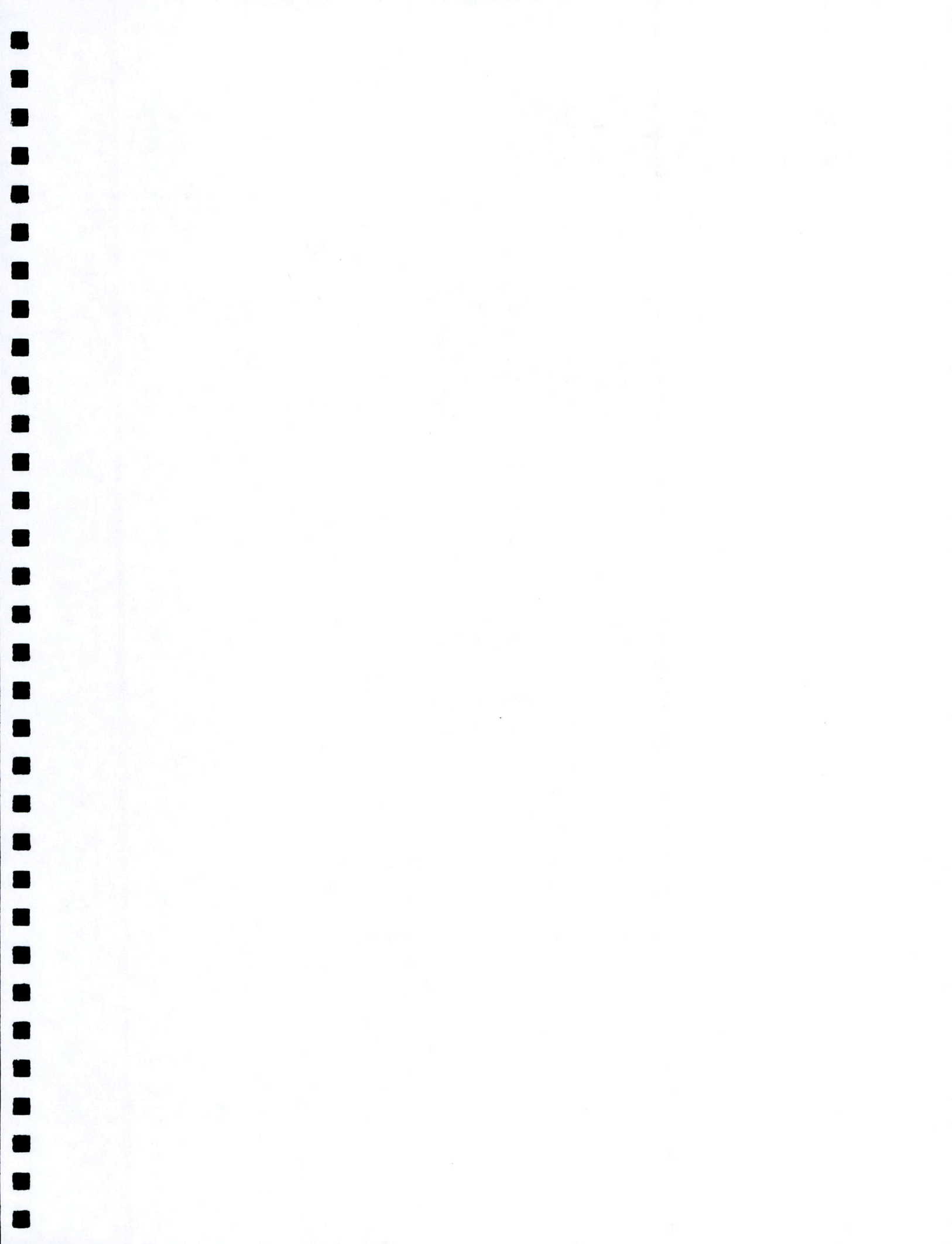
Polo shirts and hooded fleece jackets: Available for purchase during [online registration](#).



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The Paralegal Division of the State Bar of Texas  
P.O. Box 1375 Manchaca, Texas 78652  
Telephone: (512) 280-1776 - Fax: (512) 291-1170

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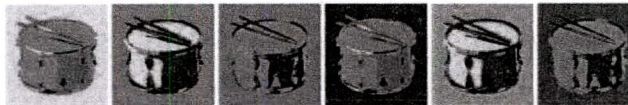


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THE PARALEGAL DIVISION OF THE STATE BAR OF TEXAS PRESENTS



# THE BEAT GOES ON TAPS 2014

TEXAS ADVANCED PARALEGAL SEMINAR  
*THE BEAT GOES ON!*

(THREE-DAY MULTI TRACK CLE)

OCTOBER 1-3, 2014

DOUBLETREE HOTEL, 6505 N INTERSTATE HIGHWAY 35, AUSTIN, TX, (512) 454-3737

## TAPS LINKS

[TAPS PRICES](#)

[ONLINE REGISTRATION](#)  
(OPENS JUNE, 2014)

[TAPS SPEAKERS](#)  
(COMING SOON)

### JOIN US FOR THREE DAYS OF CLE, NETWORKING AND ENTERTAINMENT!

- NETWORK WITH PARALEGALS ACROSS THE STATE
- EARN UP TO 14 CLE HOURS
- CAREER ADVANCEMENT THROUGH EDUCATION
- PROFESSIONAL DEVELOPMENT OPPORTUNITIES
- VISIT THE EXHIBIT HALL
- WEDNESDAY WELCOME SOCIAL, THURSDAY NETWORKING SOCIAL, AND FRIDAY LUNCHEON. DON'T MISS OUR THURSDAY NIGHT SOCIAL AT [THE BAR & GRILL SINGERS](#)

### HOTEL RESERVATIONS

DOUBLETREE BY HILTON (NORTH) LOCATED AT 6505 NORTH IH-35, AUSTIN, TX. THE RESERVATION DEADLINE IS SEPTEMBER 9, 2014. HOTEL RESERVATIONS MUST BE BOOKED AND CANCELLED THROUGH THE DOUBLETREE HOTEL. GUEST ROOM RATE IS \$119.00 FOR SINGLE AND \$129.00 FOR DOUBLE. ALL GUEST ROOMS ARE LISTED UNDER TEXAS ADVANCED PARALEGAL SEMINAR. TO RESERVE A GUEST ROOM, EITHER [REGISTER ONLINE](#), OR CALL 512-454-3737 OR 1-800-347-0330; GROUP CODE IS TXA.

### REGISTRATION OPTIONS

FULL REGISTRATION PRICE INCLUDES THREE DAYS OF CLE, SPEAKER MATERIALS, SOCIALS, AND THE FRIDAY ATTENDEES' LUNCHEON. AS AN ATTENDEE YOU CAN ATTEND ANY SESSION DURING THE THREE DAYS OF THE SEMINAR. PICK AND CHOOSE THE CLASSES YOU WANT TO ATTEND.

ONE-DAY REGISTRATION PRICE INCLUDES ONE DAY OF CLE AND SEMINAR MATERIALS (SOCIALS AND LUNCHEON AT ADDITIONAL PRICE). AS A ONE-DAY ATTENDEE, YOU CAN ATTEND ANY SESSION DURING THE DAY YOU REGISTER TO ATTEND TAPS. PICK AND CHOOSE THE CLASSES YOU WANT TO ATTEND.

### REGISTER EARLY AND SAVE!

EARLY REGISTRATION DEADLINE IS FRIDAY, AUGUST 29, 2014. REGISTRATION BEGINS JUNE 16. THERE IS A \$35 LATE FEE ADDED AFTER AUGUST 29, 2014.

REGISTRATION OPENS JUNE 2014

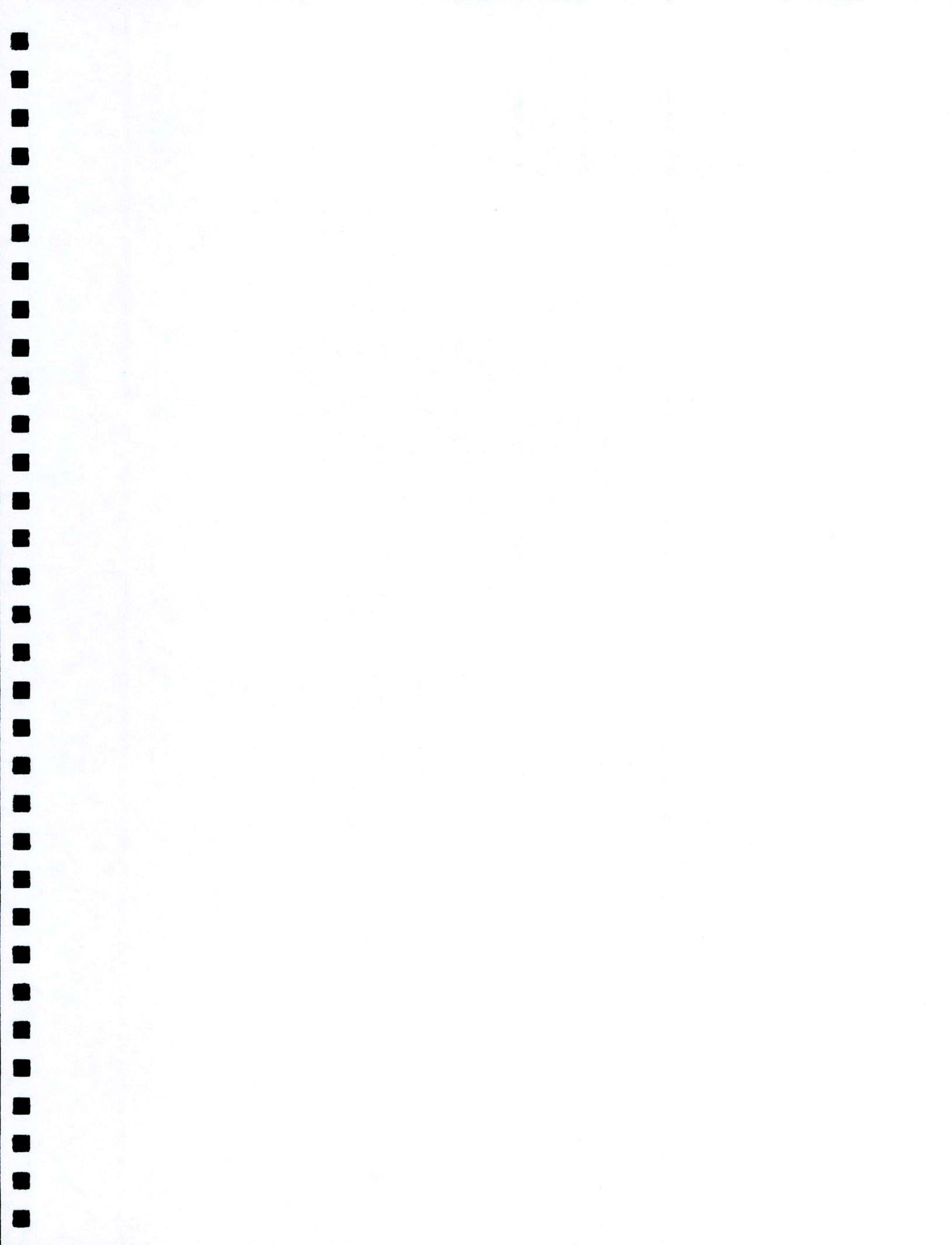
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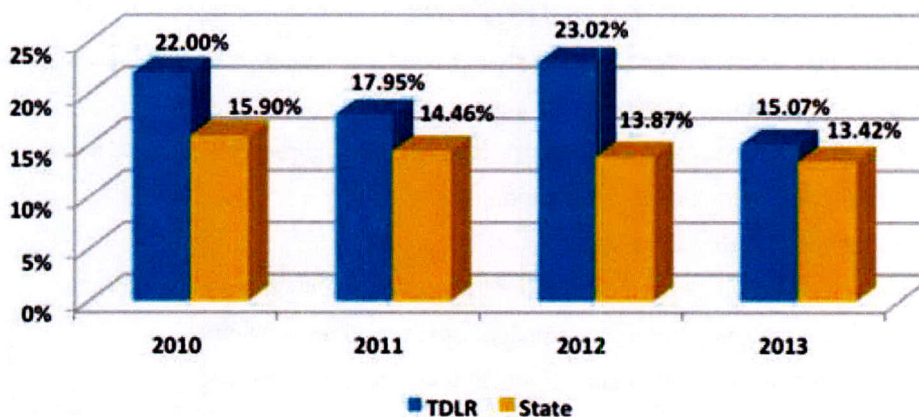


## APPENDIX E – HISTORICALLY UNDERUTILIZED BUSINESS (HUB) PLAN

The Texas Department of Licensing and Regulation (TDLR) offers contracting opportunities to all Texans. The agency's goal is to award at least 28 percent of the total value of contracts and subcontracts to HUBs each fiscal year. Below is TDLR's plan for maintaining the agency's strong purchasing record with HUBs and increasing their use in agency contracts:

1. TDLR has made a significant commitment to HUB contracting and subcontracting and assigned oversight to its deputy executive director, Brian Francis. The agency's HUB coordinator is responsible for:
  - a. organizing training programs for recruiting and retaining HUBs;
  - b. preparing reports on HUB activity for the Texas Comptroller of Public Accounts (CPA);
  - c. providing leadership and critical information to Financial Services staff about HUBs;
  - d. exploring new opportunities to increase HUB contract awards; and
  - e. directing and supporting TDLR's goal to include HUBs in at least 28 percent of the total value of contracts and subcontracts awarded annually.
2. TDLR complies with CPA's HUB program rules and purchasing procedures.
3. TDLR uses the CPA Certified Master Bidders List (CMBL) to identify certified HUB vendors.
4. TDLR requires that purchases from HUB vendors are made throughout all categories, ensuring that wherever possible, all underutilized groups are represented in our purchasing practices.
5. TDLR attends forums presented by the CPA HUB program.
6. TDLR works with interested public-private partners who may be eligible for HUB certification and implements the mentor-protégé program designed by CPA.
7. The Senior Purchaser monitors purchasing to ensure that agency goals for HUB vendors are met.
8. TDLR's total spending with HUBs for Fiscal Year 2013 was 1.65 % higher than the overall average for all State of Texas agencies.
9. During the first six months of Fiscal Year 2014, the total spent with HUBs reached 28.26%.

Comparison of HUB Purchases





## APPENDIX F – STAFFING STRATEGIC PLAN

### WORKFORCE PLAN

#### *Agency Overview*

The agency was established in 1909 as the Bureau of Labor Statistics to enforce labor laws, inspect factories and encourage the growth of Texas industry. During the 1930's, authority began shifting from labor issues to include industry regulation. The agency's name was changed to the Texas Department of Labor and Standards in 1973, to better reflect its dual responsibilities.

In 1989, the agency was reorganized as the Texas Department of Licensing and Regulation (TDLR) with responsibility for regulating individuals, businesses and equipment in a broad spectrum of industries. TDLR uses functional alignment to apply uniform processes to issue licenses, conduct inspections, monitor third-party inspectors, investigate complaints, prosecute violators and educate licensees and the public about programs the agency administers.

Recognizing the efficiencies of our functional business model, the legislature has entrusted TDLR with additional regulatory responsibilities in every legislative session since 1999. TDLR was also recognized as the "Model Regulatory Agency" for Texas in its last Sunset Commission review and ranked one of "Austin's Top 25 Mid-sized Employers" by the Austin American-Statesman in three of the last four years. Additionally, the Texas Quality Foundation recognized TDLR with the Foundation's Progress Level Award for outstanding organizational management and performance in 2011.

#### A. AGENCY VISION, MISSION AND PHILOSOPHY

TDLR's vision, mission and philosophy define the direction of the agency.

##### **Vision**

To be the leader in public service by creating innovative, low cost licensing and regulatory best practices, and cultivating employees who provide exceptional customer service.

##### **Mission**

To honor the trust of all Texans, ensure public safety and customer protection, and provide a fair and efficient licensing and regulatory environment at the lowest possible cost.

##### **TDLR's Philosophy**

To achieve smaller smarter government, we:

- Honor the public by regulating in a fair, open, and consistent manner;
- Provide more opportunities and avenues for our customers and employees to be heard (Your Voice Matters);
- Deliver simple, clear, and courteous service to our customers;
- Maintain a culture of change and innovation by always challenging and re-evaluating the status quo;
- Build efficient and cost-effective public-private partnerships;
- Mentor leaders to exemplify TDLR's Core Values;
- Eliminate waste and maximize our resources to lower the cost for the customers we serve;
- Reward high-performing employees through promotion, raises, and recognition;
- Serve the citizens of Texas responsibly through transparency and efficiency; and
- Value the dignity and worth of our customers and employees.



## **TDLR's Core Values**

### ***Accountability***

We are personally responsible to the citizens of Texas. We take pride in our successes and responsibility for our failures – celebrating achievements and using setbacks as opportunities for growth.

### ***Customer Service***

We deliver courteous, timely and easily accessible service, getting the job done right the first time. Each person we serve deserves our best.

### ***Innovation***

We foster a culture of creativity to generate out of the box thinking and ideas in order to bring about value added change and improvement in the services we deliver.

### ***Integrity***

We are trustworthy, responsible and ethical in all we do.

### ***Open and Free Communication***

We listen to everybody, honoring the right to be heard and respecting all opinions. We invite participation from all of our customers and employees.

### ***Respect***

We value our customers and each other by treating everyone with courtesy and dignity.

### ***Teamwork***

Our success is a result of our collective wisdom, dedication and energy, working together towards our shared vision and mission.

## **B. STRATEGIC GOALS AND OBJECTIVES**

### **Goal: LICENSING**

#### **Objective: To effectively license businesses, equipment and individuals.**

We will streamline the process of issuing licenses while ensuring licensees are competent and qualified.

### **Goal: REGULATION**

#### **Objective: To protect the public by enforcing laws administered by the agency.**

We will employ knowledgeable staff and provide them with the training and technology needed to ensure licensees comply with the required regulations.

### **Goal: CUSTOMER SERVICE**

#### **Objective: To promptly respond to and address customer inquiries.**

We will increase our knowledge of TDLR programs and respond accurately, courteously and timely to inquiries received by phone, fax, email, social media, and in person.

## **Goal: SKILLS**

### **Objective: To attract and retain employees who are committed to outstanding service and performance.**

We will provide essential training to staff and use retention bonuses, merit pay, and soft-dollar incentives to acknowledge employees that exemplify TDLR's Core Values.

## **Goal: LEADERS**

### **Objective: To develop staff to meet current and future leadership needs.**

We will evaluate competencies, provide developmental opportunities, offer cross-training and mentoring, and foster leadership skills.

## **C. CORE BUSINESS FUNCTIONS**

TDLR's regulatory responsibilities cover a wide variety of businesses, equipment, and individuals. The agency is functionally aligned into seven areas to maximize effectiveness overseeing 25 diverse programs, including 126 license types and a licensee population that exceeds 650,000.

### **Administration**

Leads TDLR through expertise in executive management, legal counsel, human resources, information technology, financial services, project management, process improvement, analytics, government affairs, communication, public relations, and support for the Commission and Advisory Boards.

### **Compliance**

Provides program management, research, technical expertise, industry outreach, inspections; and monitors third-party reviewers and inspectors.

### **Customer Service**

Assists the public and licensees through phone, email, social media, and personal contact.

### **Education and Examination**

Reviews and approves pre-licensure and continuing education providers and courses; manages licensing examination development and delivery through a public-private partner.

### **Enforcement**

Evaluates, investigates and resolves complaints; prosecutes violations.

### **Field Operations**

Interacts with regulated industries throughout the state by performing inspections and providing industry outreach to ensure public safety and consumer protection.

### **Licensing**

Processes applications; reviews qualifications and issues licenses or certificates of operation to qualified businesses, buildings, equipment, and individuals.

## **D. ANTICIPATED CHANGES TO MISSION, STRATEGIES AND GOALS**

TDLR's mission statement, strategies and goals have been refined to more accurately reflect who we serve, what we do and how we do it.

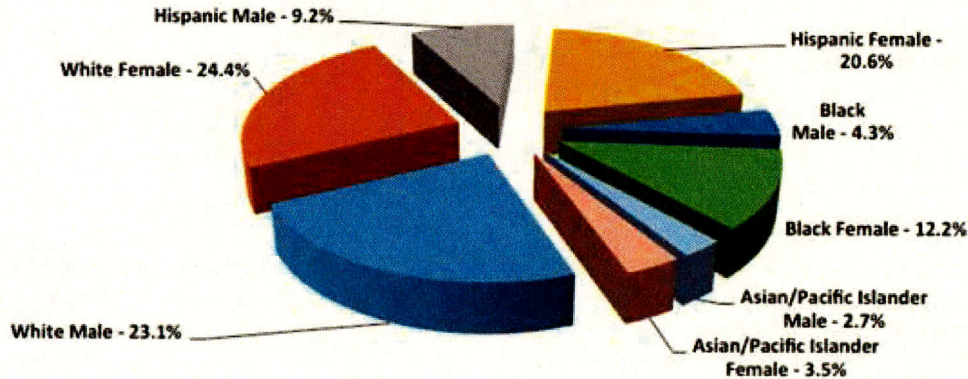


## TDLR's Current Workforce Profile

### A. WORKFORCE DEMOGRAPHICS

The agency has an authorized workforce of 382.2 full-time equivalent positions for the 2014-2015 biennium, a 2.5 percent reduction from the previous biennium. Of these positions, 321.7 are located in Austin and 60.5 are in other locations around the state.

**Fiscal Year 2014 Organization Profile (1st Quarter)**



#### Commitment to Employing a Qualified and Diverse Workforce

TDLR employs a highly qualified workforce that reflects the diversity of Texas and provides equal opportunities to all employees and applicants.

In the first quarter of Fiscal Year 2014, over 60 percent of TDLR employees were female. The agency's workforce consisted of 29.8 percent Hispanic-Americans, compared to 23.8 of the State's workforce; 16.5 percent Black, and 6.2 percent Asian/Pacific Islander-Americans during this same period.

While the overall composition of the agency's workforce is diverse, TDLR continues to strive for diversity in all job categories.

**Fiscal Year 2014 Agency Workforce Composition (1st quarter)**

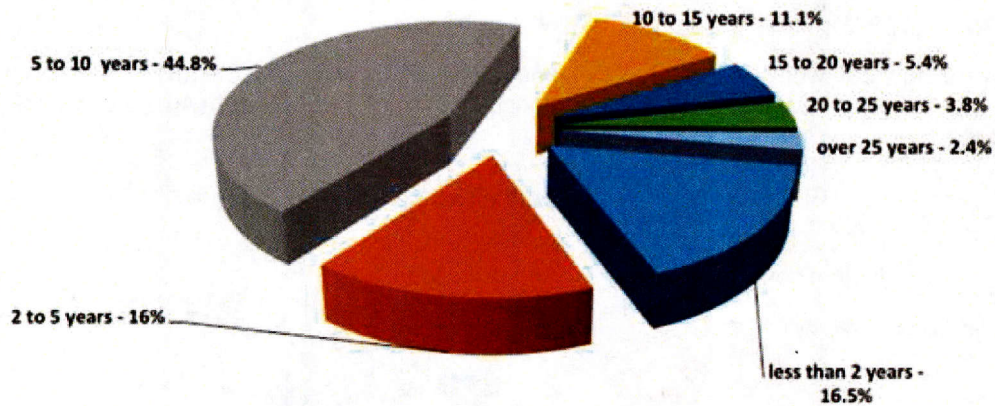
JOB CATEGORY	BLACK		HISPANIC-AMERICAN		FEMALE	
	TDLR %	STATE %	TDLR %	STATE %	TDLR %	STATE %
Officials/Administrators	12.5	10.7	6.25	16.7	18.8	47.1
Professionals	19.6	14.4	25.0	19.3	58.7	50.4
Paraprofessionals	8.3	32.7	41.7	28.5	87.5	71.3
Technicians	9.7	21.0	28.0	31.6	28.0	59.1
Administrative Support	23.3	19.7	33.3	32.5	82.5	86.7

#### Experienced Workforce

Approximately 68 percent of our employees have five or more years of experience with agency programs and provide critical industry knowledge. Newer employees contribute new perspectives and challenge the status quo, improving our planning, processes, and services. This important mix of experienced and newer staff provides the formula from which TDLR is able to create innovative services to meet the needs of our customers, now and in the future.



## Fiscal Year 2014 Employee Length of Service with Agency Programs (1st Quarter)



### B. EMPLOYEE TURNOVER

TDLR strives to maintain a diverse, skilled workforce by offering a positive work environment, opportunities for growth and a culture of respect. However, employee turnover challenges the agency's ability to address its current critical business and regulatory oversight needs. TDLR uses employee feedback from workplace surveys to further our practice of empowering our people and to identify ways to retain employees.

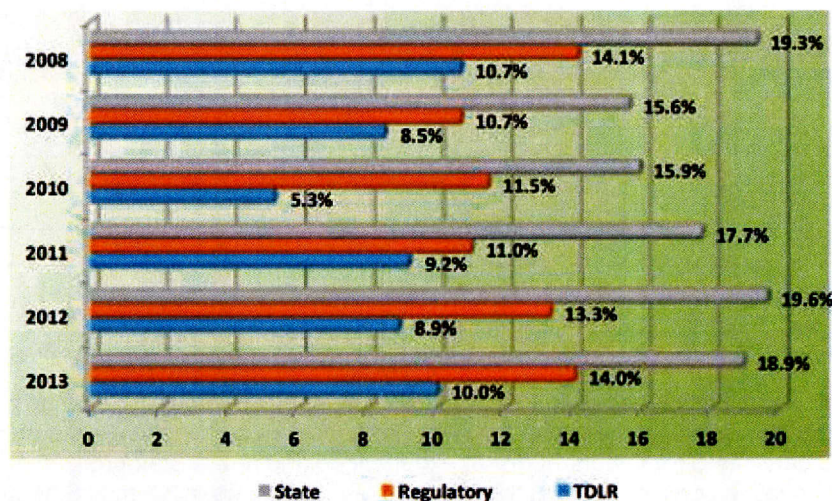
TDLR experienced approximately 10% employee turnover in 2013. Despite TDLR's efforts to promote a positive, empowering workplace, we found that 41% of departing employees left the agency for better pay and benefits. Most notably, 45% of those employees left for increases in annual salary of \$10,000 or more. Employees leaving for better pay will likely increase as the average salaries for 55 of the 66 job classifications used by TDLR are below the state average salaries for those same classifications. Retirement was the number two reason for separations, accounting for 27% of the turnover.

#### Projected Turnover

While TDLR's projected turnover rate for 2014 will continue to be below the state average, turnover is in danger of increasing if the agency is unable to offer competitive salaries.

#### TDLR, Regulatory Agencies and State Turnover Rates

TDLR, Regulatory Agencies and State Turnover Rates





## Turnover Rates by Selected Positions

In Fiscal Year 2013, legal assistants, inspectors and attorneys comprised 18.6% of TDLR's employees yet accounted for 43 percent of the agency's turnover. Much of this turnover is due to TDLR's inability to pay competitive salaries.

### Turnover by Classification Fiscal Year 2013

FY 2013 TURNOVER BY CLASSIFICATION	PERCENT OF TOTAL FTES	PERCENT OF AGENCY TURNOVER
Legal Assistants	7.3	18.9
Inspectors	7.6	13.5
Attorneys	3.7	10.8

## Length of Service and Turnover

FTEs with 10 or fewer years of experience comprised 82% of employees. This group accounted for 78.4% of turnover. FTEs with more than 10 years of experience make up 18% of employees and this group accounted for 22% of turnover.

### Length of Service with Turnover Rate

FY2013 LENGTH OF SERVICE	PERCENT OF TOTAL FTES	PERCENT OF AGENCY TURNOVER
Less than 2 years	15.9	16.2
2-5 years	22.6	24.3
5-10 years	43.4	37.9
10-15 years	8.5	13.5
15-20 years	5.3	8.1
20-25 years	2.1	0.0
Over 25 years	2.2	0.0

## Age and Turnover

As a result of our aging workforce, we will inevitably see increases in the number of employees retiring. Over 15 percent of the agency's employees over the age of 60 retired from the agency in Fiscal Year 2013.

### Age Distribution with Turnover

FY2013 AGE GROUPS	TOTAL FTES	PERCENT OF TOTAL FTES	TOTAL SEPARATIONS	PERCENT OF AGENCY TURNOVER
Under 30 years	6.25	1.7	0	0.0
30-39 years	69	18.7	8	21.6
40-49 years	131.25	35.5	6	16.2
50-59 years	108.25	29.3	9	24.3
60-69 years	49.25	13.3	12	32.4
70 years and over	5.50	1.5	2	5.4



### C. INCREASED RETENTION

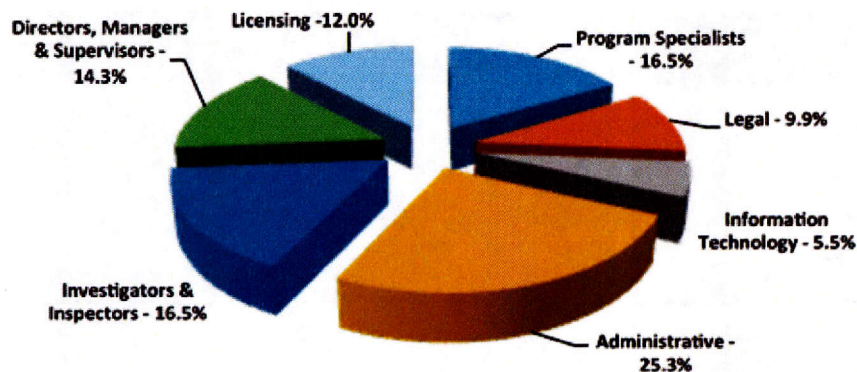
TDLR's turnover rate has remained significantly lower than the statewide rate for the past nine years as a direct result of leadership's commitment to maintaining a positive work environment. TDLR's recognition as one of "Austin's Top 25 Mid-sized Employers" by the Austin American Statesman in 2010, 2011 and 2013, demonstrates our level of success in providing a satisfying work environment. Our retention strategies include:

- career paths that ensure professional growth and advancement within the agency;
- on-the-job and cross-training to develop job-related skills and enrich professional and personal growth;
- flexible work hours, compressed work weeks and telecommuting opportunities;
- **open communication** between all staff, including opportunities for staff to give feedback through surveys regarding vital issues, offer suggestions, voice concerns, pose questions to the executive team, and recognize fellow employees through the agency's online forum "ThinkTDLR", employee brainstorming sessions, and staff meetings;
- empowerment of staff by supervisors to perform their duties efficiently;
- transparency by executive team who keeps employees informed regularly about issues affecting the agency through town hall meetings, and via internal "In the Loop" and "Under the Umbrella" emails;
- opportunities for employees to participate in activities instrumental to the agency's growth, such as program and bill implementation teams, bill and cost analysis teams, and strategic planning teams;
- the "You Can Count On Me" program to allow employees to recognize and reward their coworker's contributions to the agency's success by recommending four hours of administrative leave;
- length-of state service awards, including experience with TDLR and other state agencies;
- an on-site wellness program, to address nutrition, stress-relief, and fitness;
- a dynamic employee recognition team that regularly schedules activities to honor and recognize TDLR employees;
- special programs throughout the year to celebrate cultural diversity;
- retention bonuses for key staff, including technical and bilingual employees; and
- merit pay, one-time bonuses and equity adjustments.

### D. RETIREMENT ELIGIBILITY

In 2013, 27 percent of the employees left the agency due to retirement. This rate is likely to increase as a quarter of TDLR's workforce will be eligible to retire within the next five years.

Retirement Eligibility by Job Category (through Fiscal Year 2019)





## **E. CRITICAL WORKFORCE SKILLS**

Each employee's knowledge and skills contribute to TDLR achieving its vision, mission and goals. Our employees possess the following critical skills:

- creative leadership and change management;
- mentoring, coaching and project management;
- legislative analysis and stakeholder outreach;
- complex analytics, innovative problem-solving, and trend analysis;
- knowledge of and ability to implement statutes, rules and policies;
- technical knowledge of regulated industries;
- crisis management and media relations;
- providing quality customer service;
- expert inspection and investigation techniques;
- effective communication, including bilingual and plain language skills;
- sound legal and financial analysis;
- strategic recruiting and hiring of dedicated employees;
- astute fiscal and accounting services;
- expertise in information technology, telecommunications and social media; and
- forging professional partnerships with private sector vendors, municipalities and other state agencies

### ***TDLR's Future Workforce Profile***

TDLR's vision is to be the leader in public service by creating innovative, low cost licensing and regulatory best practices, and cultivating employees who provide exceptional customer service. We have a proven track record of success in streamlining processes, consolidating transferred agencies and implementing new programs. Our successes demonstrate to the Legislature that they, with confidence, can continue to assign and transfer licensing programs to TDLR, coupled with the necessary employees, appropriations and resources.

TDLR's regulatory responsibilities and licensee population have dramatically increased over the past ten years. The 2.5% reduction of FTEs made during the last legislative session needs to be restored, along with the corresponding legislative appropriations, for TDLR to effectively ensure the quality of service that the citizens of Texas deserve. TDLR needs additional appropriations to properly compensate current staff, attract qualified prospects and maintain current services.

## **A. FUTURE WORKFORCE NEEDS**

### **Compliance**

Technical experts whose unique skills and industry knowledge are critical to ensure understanding of and compliance with state regulatory requirements, specifically for the Air Conditioning and Refrigeration Contractors; Boilers; Cosmetology; Electricians; Elevators, Escalators and Related Equipment; Industrialized Housing and Buildings; and Towing and Vehicle Storage programs.

### **Customer Service**

Trained and knowledgeable staff with strong written and oral communication, technological, bilingual and multi-tasking skills to meet the ongoing increase in volume and complexity of inquiries, including social media outreach.

## **Enforcement**

Investigators, prosecutors, and legal assistants to resolve the increasing number of complaints in a timely and efficient manner.

## **Field Operations**

Knowledgeable inspectors with strong written and oral communication, technological, bilingual and multi-tasking skills to meet the increased volume and complexity of performing inspections in multiple industries, and ability to educate licensees.

## **Licensing**

Employees with the knowledge and analytical skills to process and review license applications for a growing number of businesses, facilities, equipment, and individuals.

## **Information Technology**

Software developers, network specialists and cyber security personnel to develop, implement, support, maintain, and protect systems and innovative technologies.

## **B. EXPECTED WORKFORCE CHANGES**

### **Expanding Responsibilities**

With continued economic growth, the agency expects the number of licensees, inspections, and complaints to increase, resulting in a greater demand on our Compliance, Customer Service, Enforcement, Field Operations, and Licensing divisions and the Office of General Counsel. Identifying efficiencies and training personnel across functional areas and programs will continue to be of primary importance in order to handle the increased activity.

TDLR's workload will increase with the assignment of new or transferred programs to the agency as the legislature seeks efficiencies and cost-savings through consolidation of programs and licensing activities.

### **Information Technology**

Each year our agency relies more and more on technology to increase operational efficiencies and to improve customer service. It is crucial to have employees proficient in developing and maintaining network and information systems as well as individuals able to adapt to and utilize new technology and associated changes to work processes.

### **Pending Retirements**

The number of retiring employees who possess essential program knowledge demands improvements to the agency's salary resources and constant refinement of the agency's succession planning to attract qualified employees.

## **C. INCREASE IN NUMBER OF EMPLOYEES NEEDED**

Staffing needs are determined by the complexity, size and number of programs regulated by TDLR. Our employee-to-licensee ratio remains the lowest among all Texas regulatory agencies. However, TDLR needs additional employees to continue delivering premier service in a cost-effective and prudent manner. Future efficiencies will depend upon receiving the necessary appropriations and staff.



## **Gap Analysis**

### **A. ANTICIPATED SHORTAGE IN KEY STAFF**

The agency has identified the following gaps between anticipated needs and current workforce:

- The number of applicants qualified and interested in administering technical programs continues to decline due to the higher salaries offered in the private sector. Currently, TDLR is unable to attract technical experts that possess the required skills for the Air Conditioning and Refrigeration Contractors; Architectural Barriers; Boilers; Elevators, Escalators and Related Equipment; and Industrialized Housing and Buildings programs.
- Within the next five years, 25% of our entire workforce will be eligible for retirement. Forty-six percent of TDLR's executive leadership team, who possess highly specialized skills, leadership ability, and technical knowledge, will be eligible for retirement in the next five years.
- Budget constraints have limited TDLR's ability to offer and maintain competitive salaries for staff; these constraints have adversely impacted TDLR's ability to recruit and retain qualified employees.

### **B. ANTICIPATED SHORTAGE OF SKILLS**

TDLR aggressively recruits, employs and trains a diversely skilled staff, but we project a shortage of skills in the following areas:

#### **Key Positions**

A significant number of employees identified as eligible for retirement are in leadership and other key positions requiring critical program knowledge. We continue to focus on these key positions in our succession planning to assure successful administration of programs without interruption, including hiring and developing additional employees for "bench strength", training and mentoring critical staff, and providing leadership development opportunities.

#### **Training**

As the agency's responsibilities have grown, so has the need for training. Competent, cross-trained and technology-proficient employees are vital for the continuity of services and successful program implementation. Additionally, the agency's continued investment and participation in the Governor's Executive Development Program (GEDP) is essential to developing innovative solutions for smaller smarter state government.

#### **Communication Skills**

TDLR foresees difficulties maintaining its diversely skilled staff in positions requiring customer interaction including those with bilingual, plain language and social media skills. Retention bonuses are a tool TDLR uses to retain skilled bilingual staff, but the number awarded is limited by budget.

#### **Information Technology**

TDLR continues to increase its reliance on information technology and improve our efforts to increase information systems security, leading to additional staffing needs in this area. However, it is difficult to attract and retain qualified personnel to fill these positions due to higher salaries offered in the private sector.

## Strategy Development

The following goals outline how TDLR will address our anticipated workforce gaps:

**Issue:** Retirements create a significant loss of valuable experience and technical knowledge.

**Goal:** Continue developing leaders to maintain successful administration of programs.

**Rationale:** Directors, managers, and staff who possess vital technical knowledge are eligible for retirement.

**Action:** Agency leaders continue to provide opportunities for leadership training, including book clubs, conversations in leadership, as well as formal leadership programs (such as GEDP). Additionally, special assignments such as legislative analysis, program implementation, and strategic planning provide opportunities for employees to develop core leadership competencies.

**Issue:** Budget constraints limit our ability to attract and retain the best employees for each job.

**Goal:** Attract and retain highly qualified employees.

**Rationale:** TDLR is hindered in its ability to hire and retain qualified employees who contribute to our continued success, especially those with technical or specialized expertise.

**Action:** Agency leaders will seek appropriations to fund competitive salaries, merit increases, training, license reimbursements, and retention bonus contracts. In the meantime, we will continue to enhance TDLR's work environment by offering flexible work schedules, telecommuting opportunities, employee recognition, and promoting the tuition reimbursement and wellness programs to hire and retain qualified employees.

**Issue:** Improve critical and future workforce skills.

**Goal:** Enhance the skills of our workforce.

**Rationale:** A capable, competent, and qualified workforce is critical to the agency achieving its mission.

**Action:** Agency leaders will provide coaching, mentoring, cross-training and learning opportunities on new technologies, industry practices, and agency laws and rules. TDLR will also offer online training resources and educational tools as appropriate.



## **ADDITIONAL PLANS**

## INFORMATION RESOURCES STRATEGIC PLAN

### I. Impact of Technology on Current Agency Operations

Technology plays a vital role in TDLR's success. The agency's innovative use of technology can be seen throughout TDLR.

- The Texas Umbrella Licensing Information Project (TULIP) is the backbone of TDLR's licensing environment:
  - **Elevator Inspection Reporting System** – Using this online system, elevator inspectors submit elevator inspection reports. Additionally, inspectors can add information about new buildings and new elevators.
  - **Architectural Barriers Project Registration** – There were 39,371 projects registered and fees paid from September 1, 2011 to August 31, 2013.
  - **Student Hour and Enrollment Automated Reporting System (SHEARS)** – From this online system, cosmetology and barber schools can enroll and drop students, pay enrollment fees, update student profiles, and post student pre-license education hours. Recent enhancements include the ability for multiple students to register in a single data entry session. 76,461 students were enrolled, 81,505 students dropped, and 747,245 records for student hours were posted between September 1, 2011 and August 1, 2013.
  - **Continuing Education (CE) Posting System** – Through this online system, CE providers post licensees' CE course completion hours. When the system was released, only two license types were supported and today there are 45.
  - **Online License Renewal System** – 481,104 licenses were renewed online between September 1, 2011 and August 31, 2013.
  - **New License Application System** – 116,622 applications were submitted online between September 1, 2011 and August 31, 2013.
  - **Cosmetology and Barber Book Order System** – 19,106 book orders were submitted online between September 1, 2011 and August 31, 2013.
  - **Apprentice Management Program System (AMPS)** – This online system tracks enrollments in electrical apprenticeship programs. From September 1, 2011 to August 31, 2013 there were 6,301 enrollments processed through this system.
  - **Administrative Penalty Payment System** – This online system allows licensees to pay administrative penalties. From September 1, 2011 to August 31, 2013, 4,294 penalty payments have been made using this system.
  - **TULIP Dashboard** – The Dashboard integrates a multitude of common tasks and data sources into one user interface. It is an easy to learn and use search engine for accessing licensing information in TULIP, combining results for an entity's identification, licensing, education and other related information in just a few linked windows. Other features include a payments search feature, ability to automatically open a search results window with input from the IVR system, links to TDLR's address validation and TULIP code and status pages, and imaged documentation related to the licensee.
- A document imaging system developed in-house provides simultaneous multiple-user access to documents as well as eliminating the need for paper file storage. As documents are generated by the TULIP licensing system, electronic image versions are automatically added to the document imaging system, rather than being printed. This saves considerable time and expense, eliminating manual scanning and indexing. There are currently 13,406,561 images accessible in this system.
- The agency-developed **Purchase Order (PO) tracking system** is a tracking and report-generating system for expenditure and purchasing needs, with the groundwork to expand and interface with other existing systems to create a more efficient approach to fiscal management. PO's tracked in Fiscal Year 2012 and 2013 were 1,463 and 1,539, respectively.
- The **Legal Files** case management system has efficiently integrated event and document information, workflow, security, and report tools. This contributed to the Enforcement division's average case resolution dropping from 209 days to 185.



- TDLR's **data storage warehouse** reduced internal information requests from days to hours. Over 300 different queries have been used to analyze TDLR data in new ways, enabling data driven decisions. Customer Service analytic personnel can query the entire Zeacom database in less than ten minutes, creating custom reports via Excel pivot tables. Financial Services staff query Uniform Statewide Accounting System (USAS) data (modified to include text descriptions of numerous coded fields) via customizable pivot tables. SQL queries are used to analyze inspection locations to decide where new inspectors need to be located. Queries of both licensing data and USAS data are used to match revenue with program costs creating more accurate fee analysis and adjustments, assuring that each program pays its way.
- **Jurisdiction Online (JO)** is a real time boiler web-based inspection platform offered for free by its developer, Praeses. JO replaced the aging mainframe application used in all aspects of boiler inspection reports (data retention, invoicing, issuance of Certificates of Operation and Repair Requirement tracking).
- The Information Systems Development staff developed an online **Advisory Board application system** for people interested in serving on an Advisory Board. The system allows:
  - Applicants to draft and store their applications.
  - Applicants to apply for multiple Advisory Boards with a single application
  - Staff to review with the chairman of the Commission for selection
  - For an electronic copy of the information which reduces the confusion of hand written applications
  - Review of application against the agency's database when an Advisory Board position requires an applicant to meet specific licensing requirements.
- In October 2013, TDLR began using **GovDelivery** to email TDLR notices about rule changes, fee reductions and other information important to our licensees and the public. This newly implemented service allows subscribers to easily control and customize the information they receive from TDLR through email. GovDelivery sends our email updates faster and reduces the workload for staff and our email servers. Approximately 520,000 people currently subscribe to receive email updates using this new system.
- Ordering a **duplicate license** can now be completed online. This has reduced the number of phone calls made to TDLR and the amount of time it takes TDLR staff to process the duplicate license orders.
- The **Breeder Donation** application allows anyone to make a tax-deductible donation with a credit card to the Dog and Cat Breeder Training and Enforcement Account online. This frees TDLR staff from having to manually process these donations.
- TDLR manages its own online **help desk** system, accessible by all staff and used to record incidents, requests for services, and notification of new hires or separations. Approximately 6,000 requests are generated and resolved each year.
- **Mobile** devices are an important resource for our field staff. In the past 12 months, TDLR changed phone carriers, negotiated a new single vendor contract, and eliminated the need for landline phones. This single-carrier approach will save the agency almost \$30,000 per year and cut down on the amount of work required to manage mobile devices.
- **Electronic inspection** is a recent project undertaken with our Field Operations division. A public-private partner, Brazos, developed the e-inspection application. Inspectors will enter inspection results in a durable notebook computer, which uploads results to our in-house database as each inspection is completed. The e-inspection process will significantly reduce data entry and other administrative tasks, allowing for increased productivity.
- The agency purchased a **route optimization** program to map the most efficient and cost effective daily route for inspectors thus eliminating the need for inspectors to manually create a daily itinerary, saving significant administrative time. The route optimization program considers a variety of business rules including: inspection due dates, location of the facilities and inspectors; time to perform inspections; and public safety concerns, among others.
- **Video Streaming** services are provided for all public meetings and made available to staff during internal Town Hall meetings. Recorded public meetings are archived and published online for viewing at a later date.
- **Secure wireless networking** is used by agency staff for collaboration during meetings and while working in the field. Staff attending trade events also use wireless network devices (MiFi cards) allowing up to five users access to the internet and TDLR systems.

- Consistent with its computer refresh plan, the agency replaces all workstations that are over four years old or can no longer perform their needed functions.
- TDLR has implemented Windows 7 as its primary operating system; however, we are in the process of rolling out tablets to our field staff with Windows 8 due to the inherent benefits of touch screen devices.
- In September of 2012 the agency moved from the GroupWise email system to **Microsoft Office 365**. This is a cloud-based solution which enabled us to standardize on the latest version of Microsoft Office, move to Outlook for email and Lync for Instant messaging (including voice/video and screen sharing), implement a single retention policy for all mailboxes (1yr and a 25gb mailbox per user) and give our staff the ability to install and use the same MS Office at home as they use at work. One further benefit of this application change is the ability to conduct agency-wide email discovery. This is especially useful for Open Records requests where we can search across all mailboxes and place the contents in a single mailbox for General Counsel's staff access, or write out to a DVD.
- As part of our move to Office 365, TDLR installed three physical servers on-site through the Data Center Services contract, which are used to synchronize accounts locally to the cloud, offer single login; and web accessibility to users away from the office. This project was completed in Q1 2012 calendar year.
- TDLR is a member of the state's **Data Center Services** program, required by Government Code 2054, Subchapter L, and currently administered by Xerox and CapGemini. This contract is intended to provide the following:
  - 24 x 7 support of agency servers and system software
  - Disaster recovery services
  - Server consolidation of legacy hardware to modern virtual systems
  - Storage Management of disk and tape functions
  - Facility and environmental support
  - Hardware and software procurement for in-scope services.
- The Network Services division continues to improve our security posture by investing in new technologies to enhance our efforts to prevent malicious code or threats to our systems. Our security services include 24 x 7 scanning of all incoming email and a web security appliance that identifies and blocks access to sites that might cause harm to our systems.
- As our systems become more complex so does the need for training. TDLR has multiple **training facilities** equipped with dedicated workstations, projectors or Smartboards. The Smartboard devices allow for a more dynamic experience between the presenter and the training participants, where they can interact through the Smartboard. The Smartboards are also equipped with front-facing cameras for video conferencing or remote training sessions.

## II. Impact of Anticipated Technological Advances

- The need for internal and external customers to stay current with ever-changing and evolving technologies presents a challenge to the Information Technology staff. Leadership continues to make the hard decisions necessary to balance our customers' need for speed, efficiency, and effectiveness against our budgetary limits. **Mobile devices** and the impact of a growing demand for mobile computing will further drive our software developers to create applications that will allow our customers to perform all needed services from their mobile devices.
- **The use of Virtual Desktops allows us to** move away from the conventional desktop to a computer with nominal functions. Additional functionality is available when connected to a larger shared system that provides the full range of networking, storage space and other computing functions.
- **Web-based cloud services** will continue to benefit the agency by offering a rapidly deployed, flexible environment at an affordable cost.
- **Virtual servers provide** the ability to request and deploy new servers for development, testing, or production in a secure, virtual environment that is much quicker than providing the same in a physical form factor.
- Switching from mailing to **emailing notifications** such as license renewals and enforcement case status updates using the GovDelivery service.



### III. Agency Automation

TDLR continues to develop innovative, customized software solutions to benefit the citizens of Texas and our employees:

- Education providers enroll students and pay fees online, and post instruction hours to the TDLR database in real-time, by the Cosmetology, Barber, and Property Tax Professionals, allowing TDLR personnel to concentrate on other mission-critical agency activities.
- The tracking of Continuing Education course completion is accomplished through a web-based system where the education providers post the completions directly into the TULIP database. This eliminates duplicative record keeping and data entry.
- TDLR inspectors have a central location on the agency intranet to view their schedule of facilities to be inspected. Since TDLR inspectors are cross-trained to inspect a variety of facility types, this system combines all types of inspections by geographic area to maximize the inspectors' productivity. This system will be replaced when the agency moves to the route-optimization software.
- Licensees who have been assessed administrative penalties can now make payments with a credit card online.
- Licensees can change their mailing address, phone number and email address online.
- TDLR was one of the first to implement the online payment services of [Texas.gov](http://Texas.gov). The agency continues to expand the use of this service for our customers whenever possible. Between April 1, 2013 and March 31, 2014, 95% of license renewals were completed online and 90% of original applications were filed online. Additionally, customers may purchase law and rule books online.
- TDLR outsources the printing of license cards for many of its license types. The process is entirely automated and requires minimal staff time. This service provides a durable identification card and eliminates the need for TDLR staff to print and mail the licenses. Beginning May 1, 2012 distinctive color-coded cards were introduced to address the unique needs of certain license holders.
- The agency's transition from separate printers, scanners and fax machines to all-in-one multi-function devices has afforded not only more space and fewer devices to support, but has also given the agency new abilities such as scanning documents straight to workstations, and sending or receiving faxes at workstations. In 2013, we negotiated a new contract with Xerox to not only replace copiers that lowered our costs from the previous vendor, but also added all our non-copier devices to the contract. The devices are monitored remotely by our public-private partner, who sends replacement cartridges before the ones in use are empty. This new contract is saving us an estimated \$18,000 per year.
- TDLR uses Microsoft SharePoint, a browser-based collaboration and document management application that allows creation of centralized, password-protected folders for project management and document sharing. Documents can be stored, downloaded and edited, then uploaded for continued sharing.
- Network Services recently began using an online security awareness training course which all employees must complete annually. This course teaches and reminds staff of the importance of conducting online business in a safe and secure manner.

### IV. Future Automation Needs

As technology changes and advances, TDLR must prepare our internal systems and users to meet these challenges. We must continue to upgrade current systems and design new systems. Some of these are listed below:

- TDLR will increase the availability of training materials via the internet, intranet, podcasting and video conferencing.
- We will continue to develop software that can be used on mobile devices.
- TDLR continues exploring the use of video conferencing for Advisory Board meetings, Commission meetings, and brainstorming meetings with our stakeholders.
- We continue to work towards aligning our imaging system with our document retention efforts.
- We will increase the use of on-demand report delivery to allow users to create electronic reports, reducing paper costs and increasing the timeliness of delivery.
- TDLR is exploring the use of web chat with external customers to improve communication effectiveness. Customer service representatives can respond to multiple customers simultaneously, often answering technical questions by providing links to detailed answers found online.



## REPORT ON CUSTOMER SERVICE

The Texas Department of Licensing and Regulation (TDLR) focuses on customer service as one of the seven core values that defines our culture. We believe each person we serve deserves our best. We pride ourselves on providing courteous and timely services, getting the job done right and making information easily accessible.

The Customer Service division personnel serve as the primary point of contact for the agency. Thirty-six customer service representatives are busy answering phone calls, replying to emails, responding to social media inquiries, and assisting customers face-to-face at our downtown offices. Customers can contact us from 7 a.m. until 6 p.m. Monday through Friday and visit our headquarters at 920 Colorado Street in Austin from 8 am until 5 pm. Email and social media inquiries can be received at any time.

One-call resolution – to answer all questions and customer inquiries in a single contact – is our goal. We aim for minimal hold-times when customers call. We receive approximately 7,000 calls and 800 emails from our customers each week.

### What's New?

TDLR now serves a record number of customers, including our over 650,000 licensees. Since our last strategic plan, we have continued to improve the customer experience:

- Added an interactive-voice-response (IVR) feature that allows customers to gather information on renewals, payments, and continuing education at their convenience.
- Implemented the Customer Call-back feature in the contact center software. Customers have the option to set the time they want TDLR to call them back instead of waiting on hold.
- Continued to enhance the way we interact with customers through our growing social media presence.
- Enabled customers to serve themselves through our website, including applications and renewals for Air Conditioning, Auctioneers, Electricians, For-Profit Legal Service Contracts, Licensed Breeders, Property Tax Professionals, Tow Operators, Used Auto Parts Recyclers, Vehicle Storage Facility Employees, Cosmetologist and Barber licenses.
- Offered more services over the phone, including accepting payment by credit card for license renewals, penalty payments, duplicate license orders, and book orders.
- Added the ability for licensees to update their contact information online.
- Improved complaint resolution processing time by 9%.
- Continued to review and update information on our website, forms and other documents to make them easier to read and understand.
- Used peak load theory to match customer service representatives' availability with high call-volume times.
- Increased the number of Tow Truck Roundups so licensees can complete their inspections at convenient times and locations. The Roundups also provide an opportunity for companies to interact with TDLR inspectors to ask questions.
- Changed our internet domain to [tdlr.texas.gov](http://tdlr.texas.gov), consistent with other state agencies.
- Consolidated the issuance of law and rule books with the license and renewal processes, eliminating the need for a separate payment for law and rule books for Cosmetology and Barbering programs. Current additions of the law and rule books are sent to the licensees at the time of initial application and renewal.

### Compact with Texans

TDLR assures that our customers have a positive experience with us by training our staff and following through on our commitment to provide exceptional customer service. We prudently invest our resources in training employees to anticipate and exceed the needs of our customers.

We are committed to providing courteous, respectful and accurate responses to every person we serve; responding to phone and social media inquiries within one working day; responding to email inquiries within two working days; and responding to mail inquiries within one week.



Licensed Breeder Inspection



- Created the Process Improvement and Analytics section that specializes in finding new ways to leverage efficiencies, allowing the agency to improve output while keeping costs down.
- Conducted periodic and initial inspections for the Licensed Breeders and Vehicle Booting programs.
- Continued to update and simplify all FAQs to ensure accuracy and consistency of information.
- Led and participated in informational meetings and trade shows throughout the state for the Air Conditioning and Refrigeration, Architectural Barriers, Barber, Cosmetology, Electricians, Licensed Breeders, Property Tax Professionals, Towing and Used Automotive Parts Recyclers industries, among others.

## **Customer Service Related Performance Measures**

### ***Method of Survey***

TDLR received feedback from its customers through regional face-to-face meetings, social media, emails, and an online forum, *ImagineTDLR*. Face-to-face sessions are open discussions that encourage customers and the public to explore a full range of issues, providing detailed and immediate responses. Listening to the voices of our customers ensures that we are receiving unfiltered views, allowing us to more fully address their concerns.

We invited licensees, the public and key stakeholders around the state to attend and participate in face-to-face sessions at five locations in Texas – Lubbock, McAllen, Dallas, Houston and Austin. We asked everyone the following questions:

- What are we doing well?
- What can we do better?
- What changes would you make to TDLR if you were king or queen for a day?
- Over the next five years, what major changes will affect the way you do business and the services we provide?

Working with the community crowdsourcing software MindMixer, we created *ImagineTDLR*, an online forum for sharing and discussing ideas to improve TDLR. We asked *ImagineTDLR* participants the same four questions as in the regional face-to-face sessions, and posted the same questions on TDLR's Facebook page and Twitter accounts.

Our approximately 520,000 email subscribers received invitations to participate in the face-to-face sessions, as well as online at *ImagineTDLR*. In addition, a designated email address was created for people to give us their feedback.

## **Output Measures**

### ***Total Customers Surveyed***

Invitations to participate in the regional face-to-face sessions and to use the *ImagineTDLR* web page were posted on TDLR's website and social media outlets and sent to TDLR's 520,000 email notification subscribers. Over 1,600 comments were gathered from the face-to-face sessions, *ImagineTDLR* participants, and social media. 450 individuals participated online through *ImagineTDLR* and social media. 298 attendees participated in the regional face-to-face meetings.

### ***Total Customers Served***

TDLR's total license population is over 650,000, including individuals, businesses, equipment and facilities. We also serve those who receive services from our licensees.

## **Outcome Measures**

### ***Satisfaction with Customer Services Received***

All participants were asked "What are we doing well?" Their answers indicate that they are very pleased with TDLR's communication efforts.



Participants expressed high levels of satisfaction with both the quality and the frequency of communication offered by TDLR, including emails, social media interactions, and face-to-face customer service. Participants especially appreciate the email updates TDLR sends to its subscribers informing them of law and rule changes, program updates, and public meetings.

Many participants expressed appreciation for the renewal notices they receive from TDLR prior to their license expiration.

*"You've done an excellent job of notifying me when I have a renewal coming up. Good Work!"*

– Online participant

*"TDLR Facebook has been an excellent source in providing us with answers quickly. Thanks!"*

– Social media participant

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*"You've done an excellent job of notifying me when I have a renewal coming up. Good Work!"*

**Online participant**

*"TDLR Facebook has been an excellent source in providing us with answers quickly. Thanks!"*

**Social media participant**

Participants also expressed high levels of satisfaction with TDLR's increasing number of online services offered, particularly online renewals. The convenience of online applications and renewals remains extremely popular with our licensees. Participants also noted they appreciate being able to view Commission and Advisory Board meetings online, watch archived meetings, and view minutes and agendas.

Participants expressed satisfaction with TDLR's flexibility and noted that we are good at anticipating change and adapting our services, operations and programs, including adding and removing rules in response to industry changes and feedback.

*"My license had expired and I did not have the money to renew before the expiration, and TDLR's rules allowed me to renew past the time of expiration. And for that, I AM VERY thankful!"*

– Online participant

Finally, participants said we effectively engage with our customers by asking for their input and listening to their responses. We share our customers' belief that we can provide the best service by working together and listening to their feedback.

*"I admire the fact that my opinions are being heard by TDLR. That reassures that my profession is just that – professional."*

– Online participant

*"I appreciate the transparency that TDLR has and the open door allowing anyone to come in and talk."*

– Regional meeting participant

All participants were asked "What can we do better?" and "What changes would you make to TDLR if you were king or queen for a day?"

Many participants asked for clearer communication from TDLR. Participants expressed frustration with inconsistencies in law and rule interpretations from division to division, and asked for better, clearer explanations of law and rule changes.

Some participants expressed disappointment with the customer service they receive, citing inconsistent responses to questions, lack of information and training, and inability to get through to someone who can provide answers. Overall, they would like our customer service staff to have better program knowledge.

*"I would improve the level of communication provided between program-specific TDLR representatives and the professionals being regulated by the organization."*

– Online participant

*"The rules are ambiguous and interpreted differently at different times against different people."*

– Regional meeting participant



Many participants requested improved navigation for the TDLR website, including additional information, better layout, and more frequent updates.

Participants indicated a need for more frequent and thorough monitoring by TDLR of unlicensed activity, particularly in the air conditioning, electrical, and towing fields. More frequent license stings and sweeps were requested in all regions across the state, especially in South Texas and rural areas.

Participants requested that TDLR work more closely with local and state law enforcement to educate them about TDLR's role and responsibilities and to communicate law changes. Participants also requested that TDLR work closer with other state agencies whose responsibilities intersect with TDLR's, such as Texas Department of Insurance, Texas Department of Motor Vehicles, Texas Department of Transportation, Texas Department of Public Safety, Texas Commission on Environmental Quality, and Texas Water Development Board.

Finally, participants asked TDLR to do more to educate the public about licensed professionals and TDLR's licensing and enforcement responsibilities. Participants suggested using public service announcements and directing monies toward an advertising budget to promote awareness of the importance of using licensed professionals and reporting unlicensed activity.

*"It would be great if we could educate the general public more on how to recognize licensed breeders." – Regional meeting participant*

## **Efficiency Measures**

### ***Cost per Customer Surveyed***

TDLR's regional face-to-face sessions were attended by 298 participants which is 287% greater than the participation for the prior strategic plan. There were 450 participants through ImagineTDLR and social media. Additionally, 520,000 TDLR email subscribers were asked to participate. TDLR's cost for meeting rooms and travel for the five regional face-to-face sessions was \$12,791. TDLR did not incur any additional costs for implementing the ImagineTDLR website, which was folded into the annual cost of our service contract with MindMixer, our crowdsourcing software partner.



## **Explanatory Measures**

### ***Total Customers Identified***

TDLR has over 650,000 licensees as its primary customer base. Our customers also include Texans who rely on the services of the individuals, businesses, equipment and facilities that are licensed, who contact TDLR to inquire about programs and who file complaints.

### ***Total Customer Groups Inventoried***

This inventory includes individuals, businesses, equipment and facilities licensed in TDLR's 25 programs. It also includes all Texans who rely on the services of the individuals, businesses, equipment and facilities that are licensed, who contact TDLR to inquire about programs and who file complaints.

## **Strategic Priorities Requiring Additional Appropriations**

### ***More Compliance Inspectors and Enforcement Investigators in the Field***

As in previous years, we received many comments stating that TDLR needs more inspectors and investigators to serve the entire state. We also received feedback that we should increase the frequency of inspections, license sweeps, and sting operations. While we believe these comments have merit, we are presently unable to increase field staff due to TDLR's current FTE cap and limited appropriations.



## Customer Service Contact

Customers may contact us by phone, fax, email, Facebook, Twitter, in person, and by mail.

**Telephone:** 512-463-6599 / **Toll-Free (in Texas):** 800-803-9202 / **Fax:** 512-463-9468

**Relay Texas-TDD:** 800-735-2989

**Air Conditioning and Refrigeration Contractors:** [CS.Air.Conditioning@tdlr.texas.gov](mailto:CS.Air.Conditioning@tdlr.texas.gov)

**Architectural Barriers:** [TechInfo@tdlr.texas.gov](mailto:TechInfo@tdlr.texas.gov)

**Auctioneers:** [CS.Auctioneers@tdlr.texas.gov](mailto:CS.Auctioneers@tdlr.texas.gov)

**Barbers:** [CS.Barbers@tdlr.texas.gov](mailto:CS.Barbers@tdlr.texas.gov)

**Boilers:** [CS.Boilers@tdlr.texas.gov](mailto:CS.Boilers@tdlr.texas.gov)

**Combative Sports:** [Combative.Sports@tdlr.texas.gov](mailto:Combative.Sports@tdlr.texas.gov)

**Cosmetologists:** [CS.Cosmetologists@tdlr.texas.gov](mailto:CS.Cosmetologists@tdlr.texas.gov)

**Electricians:** [CS.Electricians@tdlr.texas.gov](mailto:CS.Electricians@tdlr.texas.gov)

**Elevators, Escalators and Related Equipment:** [CS.Elevators.Escalators@tdlr.texas.gov](mailto:CS.Elevators.Escalators@tdlr.texas.gov)

**Industrialized Housing and Buildings:** [CSIndustrialized.Buildings.Escalators@tdlr.texas.gov](mailto:CSIndustrialized.Buildings.Escalators@tdlr.texas.gov)

**Legal Service Contracts:** [CS.Legal.Service.Contracts@tdlr.texas.gov](mailto:CS.Legal.Service.Contracts@tdlr.texas.gov)

**Licensed Breeders:** [CS.Breeders@tdlr.texas.gov](mailto:CS.Breeders@tdlr.texas.gov)

**Polygraph Examiners:** [CS.Polygraph.Examiners@tdlr.texas.gov](mailto:CS.Polygraph.Examiners@tdlr.texas.gov)

**Property Tax Consultants:** [CS.Property.Tax.Consultants@tdlr.texas.gov](mailto:CS.Property.Tax.Consultants@tdlr.texas.gov)

**Property Tax Professionals:** [CS.Tax.Professionals@tdlr.texas.gov](mailto:CS.Tax.Professionals@tdlr.texas.gov)

**Service Contract Providers:** [CS.Service.Contract.Providers@tdlr.texas.gov](mailto:CS.Service.Contract.Providers@tdlr.texas.gov)

**Professional Employer Organizations:** [CS.PEO@tdlr.texas.gov](mailto:CS.PEO@tdlr.texas.gov)

**Temporary Common Worker Employers:** [CS.Common.Workers@tdlr.texas.gov](mailto:CS.Common.Workers@tdlr.texas.gov)

**Tow Trucks, Vehicle Storage Facilities and Booting:** [CStowing@tdlr.texas.gov](mailto:CStowing@tdlr.texas.gov)

**Used Automotive Parts Recyclers:** [CS.Parts.Recycling@tdlr.texas.gov](mailto:CS.Parts.Recycling@tdlr.texas.gov)

**Vehicle Protection Product Warrantors:** [CS.Vehicle.Protection@tdlr.texas.gov](mailto:CS.Vehicle.Protection@tdlr.texas.gov)

**Water Well Drillers and Pump Installers:** [CS.Water.Well@tdlr.texas.gov](mailto:CS.Water.Well@tdlr.texas.gov)

**Weather Modification:** [Weather.Modification@tdlr.texas.gov](mailto:Weather.Modification@tdlr.texas.gov)

**Facebook:** [www.facebook.com/tdlrlicense](http://www.facebook.com/tdlrlicense)

**Twitter:** [www.twitter.com/tdlrlicense](http://www.twitter.com/tdlrlicense)

**TDLR Headquarters:** 920 Colorado Street, Austin, Texas 78701

**Mailing Address:** P.O. Box 12157, Austin, Texas 78711

To ensure customers are satisfied, we have designated Customer Service director Gene Mays as the customer service contact. We invite the public to contact him regarding complaints or comments at:

P.O. Box 12157  
Austin, TX 78711  
512-463-7736  
[gene.mays@tdlr.texas.gov](mailto:gene.mays@tdlr.texas.gov)

We promise to respond to concerns within two working days and resolve them within 10 working days of receipt.



## **Customer Service Related to Strategies in General Appropriations Act**

### *Strategy - License, Register and Certify*

TDLR's primary customers are individuals who are or desire to be licensed, registered or certified in one or more of the agency's 25 programs. Key services provided under this strategy are initial application processing; renewal processing; criminal background checks; online application processing; online renewal; military experience, service, training, or education verification; and expediting applications from military spouses.

### *Strategy - License Businesses and Facilities*

TDLR's primary customers are businesses and facilities that are required to be licensed, registered or certified in one or more of the agency's 25 programs. Key services provided under this strategy are initial application processing, renewal processing, online application processing, and online renewal.

### *Strategy – Examinations*

TDLR's primary customers are people who are required to take an examination to receive an occupational license. Key services provided under this strategy are electronic delivery of examinations throughout the state of Texas, availability of special accommodations for taking examinations, including those offered in other languages, and online posting of student hours into the Student Hour and Enrollment Automatic Reporting Systems (SHEARS).

### *Strategy – Continuing Education*

TDLR's primary customers for continuing education include course providers and individuals required to complete continuing education hours to maintain their licenses. 12 of TDLR's programs require continuing education. Key services provided under this strategy are approval of providers and courses for licensees, and online posting of licensees' completion of continuing education hours.

### *Strategy – Customer Service*

TDLR's consumers for customer service are any members of the public who contact us. Key services provided under this strategy include responding in a courteous, accurate and timely manner to phone calls, emails, social media posts, and walk-in visits.

### *Strategy – [Texas.gov](http://Texas.gov)*

TDLR's primary customers are applicants for licenses and registrations, persons renewing licenses and individuals paying administrative penalties. Key services provided under this strategy allow electronic payments for license applications, renewals, registrations and administrative penalties.

### *Strategy – Conduct Inspections*

TDLR's primary customers include building and business owners, municipalities, barber shops and schools, cosmetology salons and schools, vehicle booting companies, towing companies, vehicle storage facilities, used automotive parts recyclers, industrialized builders and manufacturers, licensed breeders, and their customers and the public who benefit from elevator, boiler and accessibility inspections.

Key services provided under this strategy are the inspections performed by our field personnel of barber establishments, cosmetology establishments, boilers, vehicle booting companies, dog and cat breeding facilities, combative sports events, industrialized housing and building manufacturers, towing companies, tow trucks, vehicle storage facilities, and used auto parts recyclers. Other key services include the online availability of architectural barriers, boiler and elevator inspection results, online availability of imaged boiler and elevator reports, and the Texas Occupations Online Licensing System (TOOLS) for towing companies and vehicle storage facilities. Knowledgeable field staff and technical memoranda are available to assist third-party inspectors, building owners and local law enforcement in understanding laws and rules.



In addition, TDLR program staff oversee and support third-party inspectors who conduct inspections for the Architectural Barriers, Boiler Safety, Elevator Safety, and Industrialized Housing and Buildings programs. Architectural Barriers program staff conduct training academies for interested members of the public and persons desiring to become third-party accessibility inspectors.

#### *Strategy – Resolve Complaints*

TDLR's primary customers include members of the general public and our licensees. Key services provided under this strategy include the processing, evaluation, and resolution of complaints through negotiation and formal prosecution; providing information about the complaint investigation and resolution process; developing and applying criminal offense guidelines for the issuance and renewal of licenses; developing and implementing penalty matrices for uniform assessment of sanctions and penalties; and publishing enforcement actions arising from Final Orders of the Commission and the executive director.

#### *Strategy – Investigation*

TDLR's primary customers include members of the general public and our licensees. Key services provided under this strategy are: intake and investigation of complaints related to TDLR's 25 programs; investigation of an applicant's criminal history; the ability to file complaints online; published penalty matrices; publication of enforcement actions; law and rule presentations regarding TDLR's programs; and distribution of consumer and safety alerts and sting operation results through news media, TDLR's email notification service, and social media.

#### *Strategy – Central Administration*

TDLR's primary customers are the Office of the Governor, the Texas Senate and House of Representatives, the Legislative Budget Board, the Comptroller of Public Accounts, our Commissioners, Advisory Board and Council members, licensees, public-private partners, the public, individuals and businesses who pay a fee or penalty, people who contact us, and other state agencies. Key services provided are: liaison activities with executive, legislative and governmental entities; communicating with industry and trade groups; disseminating information regarding the agency's programs; providing legal counsel support to the agency and Commission; responding to open record requests; administering the agency's websites; evaluating and analyzing data and input to identify process improvements; responding to media inquiries; issuing press releases; managing the agency's day-to-day operations and fiscal resources; and workforce planning.

#### *Strategy – Information Resources*

TDLR's primary customers include licensees, third-party inspectors, registrants, applicants, continuing education providers, building and business owners, executive, legislative and governmental agencies and the public. Our online services have been expanded so that customers are able to order a duplicate license, update contact information and order law and rule books. Customers may also watch tutorials for additional instructions and information on TDLR activities and requirements. Our new contact center software application provided by Zeacom includes a detailed interactive voice response (IVR) and the option for callback requests. The software also routes e-mails and faxes and will soon include an online customer chat feature.

#### *Strategy – Other Support Services*

TDLR's primary customers include vendors and private sector partners used for agency purchases, including Historically Underutilized Businesses and state agencies such as the Texas Facilities Commission, the State Office of Risk Management, and the Comptroller of Public Accounts. Key services provided under this strategy include state property accounting and management, facilities and vehicle management, and inventory controls.

## **STATEWIDE CAPITAL PLANNING**

Capital planning information relating to projects for the upcoming 2016-2017 biennium that equal or exceed \$1 million are required to be reported to the Bond Review Board. TDLR did not have capital projects for the 2014-2015 biennium and does not anticipate any projects for the 2016-2017 biennium that will meet this threshold.



