

**Executive Committee Members**

Alfred Vidaurri, Jr., Chair  
Chase Bearden  
Charles "Chuck" Anastos  
Bert Mijares

**TEXAS BOARD OF ARCHITECTURAL EXAMINERS (TBAE)  
EXECUTIVE COMMITTEE MEETING AGENDA  
William P. Hobby, Jr. State Office Building  
333 Guadalupe Street  
Tower II, Room 350-L (TBAE Large Conference Room)  
Austin, Texas  
Monday, July 30, 2012  
9:00 a.m.**

1. Call to Order
2. Roll Call
3. Public Comment
4. Approval of minutes of the August 1, 2011 meeting of the Executive Committee (*Action*)
5. Review Fiscal Year 2012 Operating Budget, proposed budget for Fiscal Year 2013, and develop Fiscal Year 2013 budget recommendation to the full Board (*Action*)
6. Review of the agency's Draft FY 2013-2017 Strategic Plan (*Action*)
7. Executive Director's presentation of data regarding performance (*Action*)
  - a. Executive Director's self assessment of Fiscal Year 2012 goals and accomplishments
  - b. Recommended performance goals for Fiscal Year 2013 for:
    - i. Agency
    - ii. Executive Director
8. Performance Evaluation of the Executive Director from August 1, 2011 through July 31, 2012 (*Action*)
  - a. Assessment of Executive Director's performance by numerical scoring
  - b. Adopt Fiscal Year 2013 performance goals for:
    - i. Agency
    - ii. Executive Director
9. Preparation of Executive Committee's conclusions to be presented to the Board: (*Action*)
  - a. Recommended evaluation of Executive Director
  - b. Salary consideration for Executive Director

***The Committee reserves the right to conduct business in closed session as allowed by §551, Texas Gov't Code, the Texas Open Meetings Act***

10. Adjourn

**TEXAS BOARD OF ARCHITECTURAL EXAMINERS**  
**Minutes of the Executive Committee Meeting**

**August 1, 2011**

William P. Hobby Jr. Building, 333 Guadalupe Street  
Tower II, Conference Room II-350L

Austin, TX 78701

9:00 a.m. until 1:00 p.m.

**1. Call to Order**

Chair Alfred Vidaurri called the meeting of the Executive Committee for the Texas Board of Architectural Examiners to order at 9:00 a.m.

**2. Roll Call**

Chase Bearden, Secretary/Treasurer, called the roll.

**Present**

Alfred Vidaurri, Jr.	Chair
Charles H. (Chuck) Anastos	Vice-Chair
Chase Bearden	Secretary/Treasurer
Bert Mijares	Member

**TBAE Staff Present**

Cathy L. Hendricks	Executive Director
Michael Shirk	Managing Litigator
Glenda Best	Executive Administrative Manager
Christine Brister	Human Resources/Staff Services Officer
Glenn Garry	Communications Manager
Katherine Crain	Legal Assistant

**Determination of a quorum**

A quorum was present.

**3. Chair's Opening Remarks**

Chair Alfred Vidaurri thanked everyone for their attendance. He expressed his intent on completing the meeting by 1:00 p.m., if not sooner.

**4. Approval of minutes of the April 15, 2011 meeting of the Executive Committee and the August 19, 2010 Executive Director's Review Committee.**

A MOTION WAS MADE AND SECONDED (Anastos/Mijares) TO APPROVE THE MINUTES OF THE APRIL 15, 2011 MEETING OF THE EXECUTIVE COMMITTEE AND THE MINUTES OF THE AUGUST 19, 2010 EXECUTIVE DIRECTOR'S REVIEW COMMITTEE. THE MOTION PASSED UNANIMOUSLY.

**5. Review proposed budget for Fiscal Year 2012, actual expenditures for Fiscal Year 2011, and develop Fiscal Year 2012 budget recommendation to the full Board.**

Ken Liles, the Accounting Manager, addressed the Board and presented an overview of expenditures for FY 2011, and the proposed budget for FY 2012. He stated that the actual expenditures on the proposed budget were through June only and that the agency was currently waiting on figures for July and August. He explained that June, July and August were on tract for numbers similar to last year. Furthermore, he explained that the highest yielding months of revenue for the agency was in the summer due to the high volume of birthdays. He stated that the agency had to borrow \$192,000 out of the reserve in order to balance the budget for FY 2011. Other line items such as travel and office expenses were discussed in more detail. The Executive Director pointed out to the Board that the agency is proposing an exceptional item purchase of \$50,000.00 in FY 2012 to purchase a finance software program. The Accounting Manager explained that he thought it was important to have an automated accounting system rather than keep all the information on Excel spreadsheets. He stated that this was a one-time investment for the agency, but was worthwhile for accuracy of the budget. Bert Mijares suggested that the Accounting Manager go over the budget line by line indicating the difference between FY 2011 and FY 2012 with the full Board in August.

A MOTION WAS MADE (Anastos/Mijares) AND SECONDED TO APPROVE THE RECOMMENDED BUDGET FOR 2012. THE MOTION PASSED UNANIMOUSLY.

## **6. Audit Findings of the Accounting Management Review**

The Accounting Manager introduced the two auditors from Monday Rufus CPA's and stated that they were here to answer any questions regarding the audit.

Mr. Rufus directed the committee to the audit report set out in the notebook. He stated that the audit was divided into four sections. Each section focused on a specific area of accounting and was reviewed by the auditors. The auditors, in turn, made a recommendation to the Board based upon the section audited.

Board member, Bert Mijares, raised the question as to whether the auditors were provided with the letter addressed to the Board by the former Accounting Manager highlighting her allegations against the agency. The Executive Director stated that she did not provide the auditors with this letter insomuch as it could have tainted their opinions and recommendations. Mr. Mijares was adamant that the agency provide the letter to the auditors and have the auditors comment on the letter prior to taking a vote on the audit in August. Board member Chase Bearden defended the actions of the Executive Director and stated to the committee members that this audit gave the Board an overall snapshot of accounting procedures at the agency and he felt that it was adequate. Mr. Mijares stated that he believed by serving as a Board member, it was his fiduciary duty to make sure the letter would be provided in order to close the matter.

A MOTION WAS MADE AND SECONDED (Anastos/Mijares) TO APPROVE THE AUDIT AS SUBMITTED AND PROVIDE THE AUDITORS WITH THE LETTER FROM

THE FORMER EMPLOYEE AND CHANGE THE WORD FROM “BOARD” TO “TBAE” WITH A COVER LETTER AND THE AUDITORS’ COMMENTS THAT THIS AUDIT COVERED WHAT WAS BROUGHT UP BY THE FORMER EMPLOYEE. THE MOTION PASSED UNANIMOUSLY.

**The Board recessed at 10:10 a.m. and reconvened at 10:21 a.m.**

**7. Development of a Board Communications Plan**

The Chair gave background on the development for a Board Communications Plan. He stated that he felt that it would be beneficial to the Board to have an understanding on a communication policy for a legislative year versus a non-legislative year.

The Executive Director said that the legislative team for this past legislative session consisted of the following persons: Cathy Hendricks, Glenda Best, Glenn Garry and Scott Gibson. Board members Chuck Anastos and Bert Mijares expressed their displeasure with the lack of communication from the agency legislative team, and the Texas Society of Architects on legislative issues that were critical during this past session and that they felt as if they were “left out of the process.” The Executive Director defended the team by stating that during the session, changes occurred hourly and it is difficult to communicate with all parties on all changes. Furthermore, she stated that the agency kept up with legislative changes on TBAE’s website. In addition, she stated that the professional societies took “the horns” on the legislative issues pending and that the agency had no influence in the matters.

The Chair suggested that the agency present the following topics of yearly updates for Board members:

1. Board Travel
2. Open Meetings/Open Records
3. Yearly Board member contact updates
4. Yearly Staff organizational chart
5. Reminder of State Ethics filing due in May
6. Yearly conferences and dates and planned outreach to schools
7. TBAE Events calendar

**8. Executive Director’s presentation of data regarding performance**

**a. Executive Director’s self assessment of Fiscal Year 2011 goals and accomplishments**

**b. Recommended performance goals for Fiscal Year 2012 for**

- i. Agency**
- ii. Executive Director**

The Chair explained the format for the performance evaluation. He stated that the core competency consisted of 11 areas which are to be graded by the committee members.

He stated that the core competency section represents 60% of the evaluation. Part II is related to goals and Part III is related to training goals of the Executive Director.

The Executive Director directed the committee members to her employee self-assessment that she had completed and stated that she believed that she had achieved her four main goals. Specifically, she had developed a better relationship with TSA. In addition, she had developed a free continuing education program that she would be implementing next year and will anticipate holding these sessions on a Saturday. She had increased communications to the Board members, but conceded that there was room for improvement in this section. Lastly, she suggested that the agency implement a business registration fee as a new stream of revenue for the agency.

Next, the Executive Director explained that under her training goals she was unable to attend the first two seminars due to legislative session, but did attend the third seminar. The Board members discussed the following regarding 2012 reasonable performance goals:

1. Implementation of an Agency Communications Plan to incorporate a more detailed method of communicating with Board members and stakeholders.
2. Sustain a sound Financial Management Program
3. Effective representation of the agency and the State of Texas at national conferences and meetings to attain the ability to effectively speak in public and the ability to utilize critical thinking skill.
4. From August 1, 2011 through January 2013, to successfully lead the agency through the 2013 Sunset cycle.
5. Successful implementation of HB2284

**The Board recessed at 12:04 p.m. and reconvened at 12:09 p.m.**

9. **Performance Evaluation of the Executive Director  
(August 19, 2010 through August 1, 2011)**
  - a. **Assessment of Executive Director's performance by numerical scoring**
  - b. **Adopt Fiscal Year 2012 performance goals for**
    - i. **Agency**
    - ii. **Executive Director**

The Chair opened up the session by stating that the evaluations completed by the Board members on the Executive Director's performance were as follows: 805, 538 and 432. The average of the three numbers is a cumulative average of 669.85. The average of Section I is 558; the average for Section II is 78.1 and the average for Section III is 33.75. This score represents the high side of "meets expectations, yet slightly under superior." The members opined that they chose not to give her a raise last year even though she had a comparable score. The Chair asked whether the members had any thoughts on a salary adjustment. Board member Chuck Anastos suggested a three percent (3%) salary increase. The Chair asked the Executive Director her thoughts and she stated that she would like them to consider a six percent

(6%) raise in salary; three percent for 2010 and three percent for 2011. Board member Chase Bearden stated that he thought a six percent (6%) salary increase was fair.

10. **Preparation of Executive Committee's conclusions to be presented to the Board:**
  - a. **Recommended evaluation of Executive Director**
  - b. **Salary consideration for Executive Director**

A MOTION WAS MADE AND SECONDED (Mijares/Anastos) TO RECOMMEND TO THE BOARD THAT THE EXECUTIVE DIRECTOR RECEIVE A SIX PERCENT (6%) SALARY INCREASE EFFECTIVE SEPTEMBER 1, 2011. THE MOTION PASSED UNANIMOUSLY.

11. **Adjourn**

A MOTION WAS MADE AND SECONDED (Mijares/Anastos) TO ADJOURN THE MEETING AT 12:30 P.M. THE MOTION PASSED UNANIMOUSLY.

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ALFRED VIDAURRI, JR., AIA, AICP, LEED  
Chair

Texas Board of Architectural Examiners Fiscal Year 2012 Budget	FY 2012 Approved Budget	FY 2012 Projected Rev. and Exp. Sept 1, 2011--Aug. 31, 2012	FY 2012 Actual Rev. Earned & Exp. as a Percentage	FY 2013 Proposed Budget
<b>Total Beginning Reserve Fund Balance</b>	<b>1,929,213.90</b>			<b>1,938,817.82</b>
<b>Revenues:</b>				
Licenses & Fees	2,499,707.00	2,512,235.00	100.50%	2,510,000.00
Enforcement Penalties	92,153.00	74,885.95	81.26%	75,000.00
Late Fee Payments	229,816.00	215,519.21	93.78%	215,000.00
Other	2,000.00	9,035.09	451.75%	5,000.00
Interest	12,000.00	7,548.11	62.90%	7,500.00
<b>Draw on Reserve Fund</b>	<b>50,000.00</b>		<b>0.00%</b>	<b>45,635.00</b>
<b>Total Revenues</b>	<b>2,885,676.00</b>	<b>2,819,223.36</b>	<b>97.70%</b>	<b>2,858,135.00</b>
<b>Expenditures:</b>				
Salaries and Wages	1,432,654.93	1,390,837.80	97.08%	1,443,700.00
Payroll Related costs	361,768.08	364,916.59	100.87%	372,220.00
Professional Fees & Services	52,486.20	44,523.01	84.83%	35,060.00
Travel				
Board Travel	40,008.11	32,098.33	80.23%	37,000.00
Staff Travel	31,980.22	23,628.19	73.88%	25,000.00
Office Supplies	19,355.49	14,020.85	72.44%	15,000.00
Postage	23,217.66	15,244.59	65.66%	15,000.00
Communication and Utilities	19,907.00	16,508.53	82.93%	17,500.00
Repairs and Maintenance	4,545.00	1,479.29	32.55%	1,500.00
Office Rental and Equipment Leases	60,907.50	60,907.50	100.00%	60,910.00
Printing	15,676.00	7,136.50	45.53%	7,000.00
Operating Expenditures	54,200.16	54,200.16	100.00%	55,000.00
Conference Registration Fees	8,561.35	5,599.16	65.40%	7,000.00
Membership Dues	20,069.30	20,145.00	100.38%	21,000.00
Fees for Receiving Electronic Payments	98,000.00	108,000.00	110.20%	108,000.00
Staff Training	27,000.00	22,449.92	83.15%	5,000.00
SWCAP Payment	55,339.00	76,609.00	138.44%	76,610.00
Payment to GR	510,000.00	510,000.00	100.00%	510,000.00
<b>Exceptional Items: IT Upgrades in 2013</b>	<b>50,000.00</b>	<b>45,680.02</b>	<b>91.36%</b>	<b>45,635.00</b>
<b>Total Expenditures</b>	<b>2,885,676.00</b>	<b>2,813,984.44</b>	<b>97.52%</b>	<b>2,858,135.00</b>
<b>Excess/(Deficiency) of Rev over Exp.</b>	<b>0.00</b>	<b>5,238.92</b>		<b>-</b>
<b>Potential Draws on Reserve Fund:</b>				
* <b>Funding for 6 months</b>	<b>1,442,838.00</b>			<b>1,429,067.50</b>
<b>Ending Reserve Fund Balance</b>	<b>486,375.90</b>			<b>509,750.32</b>

**Texas Board of Architectural Examiners  
Fiscal Year 2012 Budget  
Scholarship Fund**

	FY 2012 Budget	FY 2012 Actual Expenditures Sept 1, 2011---August 31, 2012	FY 2012 Remaining Budget
<b>Total Beginning Scholarship Fund Balance</b>	191,681.00	191,681.00	164,181.00
<b>Expenditures:</b>			
Operating Expenditures-Scholarship Payments		27,500.00	-
<b>Total Expenditures</b>		27,500.00	-
<b>Excess/(Deficiency) of Rev over Exp.</b>	191,681.00	164,181.00	-
<b>Ending Reserve Fund Balance</b>	191,681.00	164,181.00	164,181.00

Number of Scholarships Awarded

55

Frequency per Fiscal Year---January 31, May 31, and September 30



AGENCY STRATEGIC PLAN

FOR THE FISCAL YEARS 2013-2017 PERIOD

BY

THE TEXAS BOARD OF ARCHITECTURAL EXAMINERS



# TEXAS Board of Architectural Examiners

Architects • Interior Designers • Landscape Architects

**Board Member**

**Term ends**

**Hometown**

Alfred Vidaurri Jr., AIA, AICP—Chair	1/31/15	Aledo
Charles H. (Chuck) Anastos—Vice Chair	1/31/13	Corpus Christi
Chase Bearden—Sec./Treas.	1/31/15	Austin
Debra Dockery, AIA	1/31/17	San Antonio
Bert Mijares, AIA	1/31/15	El Paso
Paula Ann Miller	1/31/17	The Woodlands
Sonya B. Odell, RID	1/31/17	Dallas
Brandon Pinson	1/31/13	Midland
Diane Steinbrueck, RLA	1/31/13	Driftwood

OCTOBER XX, 2012

SIGNED:

APPROVED:

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## ***Statewide Vision, Mission, and Philosophy***

### ***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 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.

## ***Relevant Statewide Goals and Benchmarks***

Priority Goal: Regulatory

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

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

Benchmarks:

- Percent of state professional licensee population with no documented violations
- Percent of new professional licenses as compared to the existing population
- Percent of documented complaints to professional licensing agencies resolved within six months
- Percent of individuals given a test for professional licensure who received a passing score
- Percent of new and renewed professional licenses issued via the Internet

### ***TBAE Mission***

The mission of the Texas Board of Architectural Examiners is to protect the public health, safety, and welfare through the regulation of the practice of the professions of architecture, landscape architecture, and interior design.

### ***TBAE Philosophy***

We approach our work with a deep sense of purpose to serve and protect the public.

### ***External/Internal Assessment***

→Agency overview.

Created by the Texas Legislature in 1937, the Texas Board of Architectural Examiners (TBAE) operates under the aegis of the Self-Directed, Semi-Independent (SDSI) pilot program established by the 77<sup>th</sup> Texas Legislature. Along with a number of other regulatory agencies, TBAE's participation in SDSI removes the agency from the appropriations process, ensures accountability to stakeholders, and requires the agency to operate as a business. SDSI agencies must adopt their own budgets and establish registration fees to cover all operational costs. Additionally, each agency must submit an annual payment (\$510,000 in TBAE's case) to the general revenue fund. Finally, \$200 of every registration renewal is passed through to the same fund. In a typical fiscal year, the agency contributes around \$3.5 million to the state of Texas' General Revenue and Foundation School funds.

TBAE is overseen by a Board of nine appointees. Four Board members are registered architects, two are public members, and one is a registered interior designer, and one is a registered landscape architect. The Chair is selected by the Governor from among

the Board members, and the group meets four times a year to craft new rules and decide enforcement cases.

TBAE has a staff of 22.5 full-time equivalents (FTEs), divided into three broad functional units: Registration, Central Administration and Enforcement. Each division is responsible for executing particular operational aspects of the Board's statutory charge and mission. While separation of the units allows staff to fully engage in their respective areas of expertise, close collaboration and cross-training allows the agency as a whole to remain flexible for most any event. TBAE's staffing level and program structure serve its target population (registrants, building officials, design students and professors, the public who uses and inhabits the built environment, and other stakeholders) effectively. While various forces drive changes in target populations to a small extent (chiefly, economic factors), the agency expects to maintain its level of service and retains the flexibility to address any significant changes.

As a Self-Directed, Semi-Independent agency, TBAE continues to improve and streamline operations. As a result, measuring performance is an evolving process. Old methods and processes are continually updated to reflect current best practices. In 2013 and ongoing, the agency will continue evaluating its performance and workload to identify emerging trends to better guide agency executive management. In fact, much of 2011 and 2012 was spent closely examining and heavily revising the agency's own performance measures, which are detailed below in the List of Measure Definitions. Customer service survey data have shown and continue to show a very high degree of satisfaction among all the agency's key constituencies, and while TBAE is proud of those results, the agency remains focused on the future. Key concepts viewed by Executive Management as critical in this regard are the best uses of technology and the emerging professionals poised to join the design professions in the near future.

→An end to the architecture/engineering "overlap" controversy

In perhaps the biggest news in decades touching the agency and its stakeholders, events in 2011 brought the likely conclusion of the longstanding "overlap" dispute among some members of the architecture and engineering professions. Legislation signed into law in 2011 created a simple one-time process by which certain qualified engineers may apply for placement on an "excepted engineers list," which allows those engineers to engage in the practice of architecture under certain circumstances. The bill also provides for a task force of both architects and engineers to convene to iron out any remaining areas in need of clarification. That task force already has convened to discuss those clarifications, and by all accounts the meeting was the most successful and productive in years.

→Sunset review of the agency

Also as a result of 2011 legislation, the agency is undergoing review by the Sunset Commission of Texas at the time of this writing. TBAE welcomes such a chance to look at how it operates with fresh eyes and a skilled outside perspective, and looks forward to working with Sunset staff, and the Legislature to craft a Sunset bill that will shore up any weak areas and further streamline the way the agency does business.

→Customer Service Survey results and overview

The 2012 TBAE Report on Customer Service was submitted in May, 2012. The results of the survey showed that the agency maintained its remarkably high (92.6 percent) overall satisfaction rate among registrants, building officials, emerging professionals, and other stakeholders surveyed.

### ***Agency Goals, Objectives, and Strategies***

**GOAL: TBAE will administer a licensing program to ensure that only qualified professionals and firms practice the regulated professions in Texas.**

#### **Objective**

Ensure that all practitioners and users of restricted titles within the regulated professions earn and maintain a valid registration.

#### **Strategies**

- Provide registrants, applicants, and firms useful tools for record-keeping, account maintenance, and renewals.
- Accurately evaluate applications for registration and maintain documentation.
- Identify and reach out to lapsed registrants facing cancellation to provide help in renewing registrations.
- Provide useful, informative continuing education courses for registrants.

**GOAL: TBAE will protect the public health, safety, and welfare with an effective enforcement program.**

#### **Objective**

Promote compliance and the use of professional standards by registrants.

#### **Strategies**

- Maximize stakeholder exposure to regulatory requirements and developments via an aggressive communications/outreach program.
- Investigate and prosecute enforcement cases in a thorough and timely manner.

#### **Objective**

Ensure due process and fairness for respondents facing enforcement action.

#### **Strategies**

- Adhere to Robert's Rules of Order and "open meetings" statutes in all public meetings.
- Adhere to all applicable statutory and administrative requirements throughout the course of any investigation or enforcement activity.

**GOAL: TBAE will seek to draw upon historically underused businesses (HUBs) in its procurement of goods and services.**

#### **Objective**

To include historically underutilized businesses in at least 20% of the professional services contracts, 33% of other services contracts, and 12.6% of commodities contracts awarded annually by the agency.

#### **Strategies**

- Send requests for bids to at least two HUB vendors when purchasing
- All routine office supply purchases made from HUB vendors

#### ***Technology Resource Planning, Part 1: Technology Assessment Survey***

TBAE uses the State's TEX-AN communication service and the Texas Online Payment Portal, Texas.gov., for processing online transactions. All other services are handled in-house by TBAE's IT Department, including programming, database administration, email services, network administration, and desktop services.

#### **Statewide Technology Goal 1: Strengthen and Expand the Use of Enterprise Services and Infrastructure**

TBAE is very small; therefore, no enterprise applications, etc. are envisioned. The agency plans to continue to utilize the Department of Information Resources' (DIR) Information and Communications Technology (ICT) Cooperative Contracts program when possible. TBAE also has established relationships with other smaller agencies, and resource sharing will continue as needed.

The agency utilizes industry standard database systems with custom applications. These applications are written in standard programming languages such as Microsoft Access and Visual Basic for internal applications and Microsoft ASP for Internet applications. By utilizing standard programming languages, the applications do not require expensive software license agreements or vendor maintenance contracts. As an added benefit, data easily interfaces with other agency systems.

TBAE utilizes the State of Texas Payment Processing Portal, Texas.gov, for processing all online payments. Recently, in order to meet more stringent PCI compliance requirements, TBAE changed the payment processing methodology to be a redirect rather than an information pass-through.

#### **Statewide Technology Goal 2: Secure and Safeguard Technology Assets and Information**

TBAE conducts annual risk assessments, as well as annual controlled penetration tests and application scans. The agency plans to increase the number of penetration tests that are conducted per year over the next five years.

TBAE is compliant with current requirements for submitting monthly incident reports. TBAE has also added security-specific training requirements to employee performance evaluations. The agency has a strict policy in place prohibiting the acceptance of credit



card numbers via the phone. TBAE requires that all new employees complete Information Security and Nondisclosure agreements before gaining access to agency information systems. IT Policies are refreshed at least every three years.

Agency-supported email passes through a spam appliance to reduce/remove suspicious emails. Virus protection is provided at the server level with daily deployment of virus updates.

Agency equipment is configured to prevent users from installing any non-approved software that may cause service interruptions. Agency supported remote services utilize a secure socket layer certificate so that data transfer is secure.

**Statewide Technology Goal 3: Serve Citizens Anytime, Anywhere**

TBAE's Web site is currently being revamped. The focus of the project is to ensure accessibility and usability of the agency Web site content to create a better user experience for our customers. TBAE's online system supports individuals who desire to apply, take the examination and become licensed. Once an account is created, individuals can go online and update their contact information, complete an application, view their exam scores, renew a license and pay any fee with a credit card. Registrants can also maintain their continuing education log from their TBAE account.

The agency's Web site is highly utilized by both licensees and the public for information gathering. The Web site's "Find a Design Professional" search feature gives all site users the ability to check the registration status of Architects, Landscape Architects and Registered Interior Designers to find out whether a design professional is a licensed professional in good standing.

TBAE has moved from paper-based communication to email as the primary means of communication with our registrants. The agency augments paper renewal reminders with email messages, as well as announcements of profession specific news. Business processes that support the continuing education program as well as the application process rely heavily on email communication.

**Statewide Technology Goal 4: Pursue Excellence and Foster Innovation across the Enterprise**



TBAE is migrating to Office365 cloud services, largely as a part of agency Business Contingency Planning and to provide greater security. Office365 offers an intranet using SharePoint that will serve as a repository for all agency forms. It will also be a sharing spot for employees to share accomplishments as well as the agency's department-specific accomplishments. TBAE believes that the implementation of an intranet, which allows employees to share information, will foster better employee relationships, which in turn makes the entire atmosphere more positive and team-oriented. Office365 will have versioning features to track when documents are changed or updated.

***Technology Resource Planning, Part 2: Technology Alignment Initiative***

<b>Technology Initiative</b>	<b>Related Agency Objective</b>	<b>Status</b>	<b>Related SSP Strategy/ (IES)</b>	<b>Anticipated Benefits</b>	<b>Innovation, Best Practice, Benchmarking</b>
Provide an effective licensing renewal process	<b>Objective 2</b> Enable registrants to conduct their business with TBAE online.	Current	3.1	Reduced paper consumption, reduced staff time, more efficient customer service via secure online transactions	Positive feedback in customer service survey
Enhance privacy and security of online registrant data	<b>Objective 2</b> Enable registrants to conduct their business with TBAE online.	Current	3.1	Enhanced protection of personal data and financial data	Excellent results on penetration tests and audits of the online system
Provide online continuing education	<b>Objective 2</b> Communicate effectively with the public to increase awareness of state regulations.	Current	3.2	Added value for all registrants, enhanced understanding among registrants of Board rules and regulations	Positive feedback among course-takers, increased usage or popularity of the course

***Appendices***

***Description of Agency's Planning Process***

The Executive Director provided overall direction to staff to develop the strategic plan.

March 2012

- Executive team meets to determine planning objectives and strategies for including staff in the planning process
- Preliminary Performance Measures are developed

April 2012

- Goals, objectives, and strategies refined by management team

May 2012

- Customer Service Survey compiled and released

June 2012

- Workforce plan written
- Customer service report submitted
- Performance Measures assessment by independent firm begins
- First draft of strategic plan written for executive review

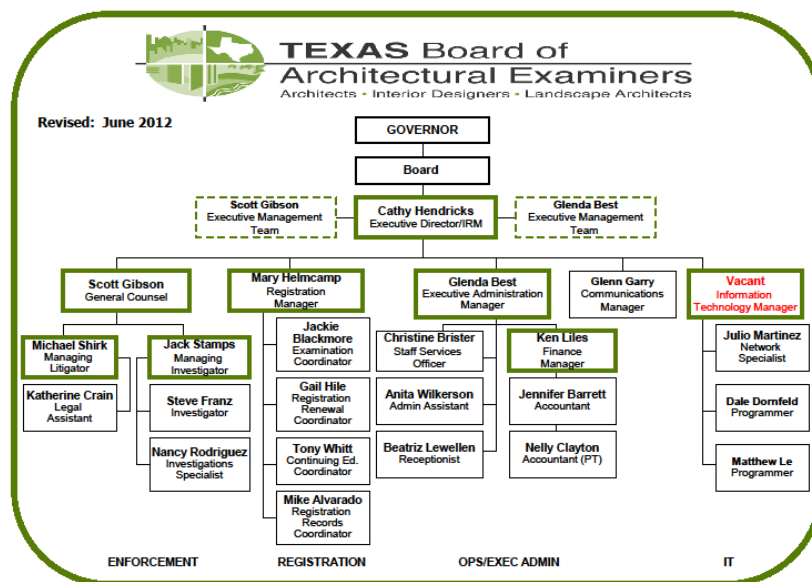
July 2012

- Second draft of strategic plan written for executive director review
- Performance measures assessment by independent firm finished
- Executive Committee approves Strategic Plan for submittal to full Board

August 2012

- Final refinements
- Board approval of Strategic Plan
- Plan submitted

### Current Organizational Chart



## ***Five-year Projections for Outcomes***

All performance measures have been revised thoroughly according to instructions by the State Auditor's Office, and will be tracked closely to measure progress and note areas of improvement. These metrics will be reviewed periodically as part of normal business.

### ***List of Measure Definitions***

#### **Number of examination candidates**

**Purpose:** The measure indicates workload and helps to project number of possible eligible registrants, viewed against previous reports with an eye toward trending.

**Methodology:** The agency's database (TBAsE) will automatically run a snapshot report quarterly, in the first hours after the end of each quarter. The data and "roster" information will be saved for future review and audit. TBAsE will run a head count of all records with an application type of "Exam Candidate" and a registration status of "Open."

**Data Limitations:** Data are limited to those captured in TBAsE  
**Calculation Type:** Non-cumulative  
**New Measure:** Yes  
**Desired Performance:** Higher than target.

#### **Number of licensees/certificate-holders**

**Purpose:** The measure indicates workload for agency staff, and also may help project future workload when viewed against previous reports.

**Methodology:** The agency's database (TBAsE) will automatically run a snapshot report quarterly, in the first hours after the end of each quarter. The data and "roster" information will be saved for future review and audit. TBAsE will run a head count of all records with an application type of "Registrant" and a registration status of "Active," "Inactive," or "Emeritus."

**Data Limitations:** Data are limited to those captured in TBAsE  
**Calculation Type:** Non-cumulative  
**New Measure:** Yes  
**Desired Performance:** Higher than target

#### **Number of enforcement cases opened during the quarter**

**Purpose:** The measure indicates workload and effectiveness, and also may help project future workload when viewed against previous reports.

**Methodology:** A TBAsE query will be run automatically in the first hours after the end of each quarter. The query will return all results with a "case open date" field within the quarter. The data and "roster" information will be saved for future review and audit.

Data Limitations: Data are limited to those captured in TBAsE  
Calculation Type: Cumulative  
New Measure: Yes  
Desired Performance: Higher than target

**Number of enforcement cases closed during the quarter**

Purpose: The measure indicates efficiency and effectiveness in handling enforcement cases.

Methodology: A TBAsE query will be run automatically in the first hours after the end of each quarter. The query will return all results with a “case closed date” field within the quarter. The data and “roster” information will be saved for future review and audit. Note that the “closed” date is to be defined in accordance with agency Policies and Procedures; that is, a case is “closed” as of the date that the Board takes final action on it, not on the date a final payment is made or other requirement is fulfilled.

Data Limitations: Data are limited to those captured in TBAsE  
Calculation Type: Cumulative  
New Measure: Yes  
Desired Performance: Higher than target

## Recidivism rate

Purpose: The measure indicates the effectiveness of the deterrent effect of the Board's enforcement activities upon previously disciplined respondents.

Methodology: TBAsE will run a report each quarter to search through the current quarter and the previous 11 quarters for instances of certain "final dispositions" (a field in each enforcement case record). Those flagged final dispositions are: Agreed Order, Cease & Desist, Consent Order, Formal Reprimand, Informal Reprimand, Notice of Violation, Order of the Board, Penalty Notice, Revocation, Suspension/Probation, and Warning Letter.

$$\frac{\text{Number of respondents with multiple instances of flagged final dispositions during the period}}{\text{Number of respondents with any number of instances of flagged final dispositions during the period}} \times 100 = \_\_%$$

Data Limitations:	Data are limited to those captured in TBAsE
Calculation Type:	Non-cumulative
New Measure:	Yes
Desired Performance:	Lower than target

## Workforce Plan

### Overview

The Texas Board of Architectural Examiners (TBAE) is a small state agency operating under the Self-Directed Semi-Independent Pilot Project Program (SDSI). At the end of June 2012, TBAE employs 23 staff members. TBAE's commitment to high standards for excellence and customer service requires the agency to recruit and maintain a highly skilled staff.

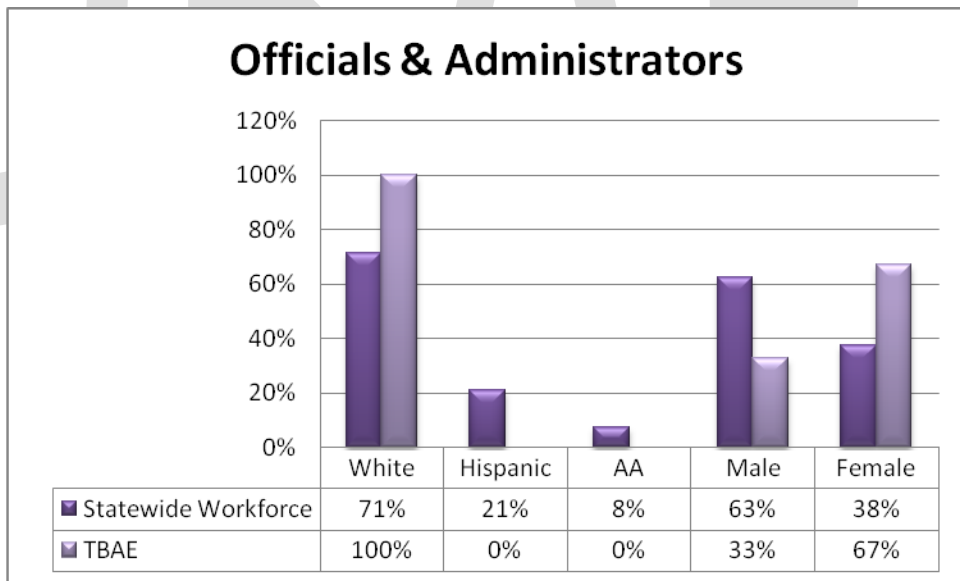
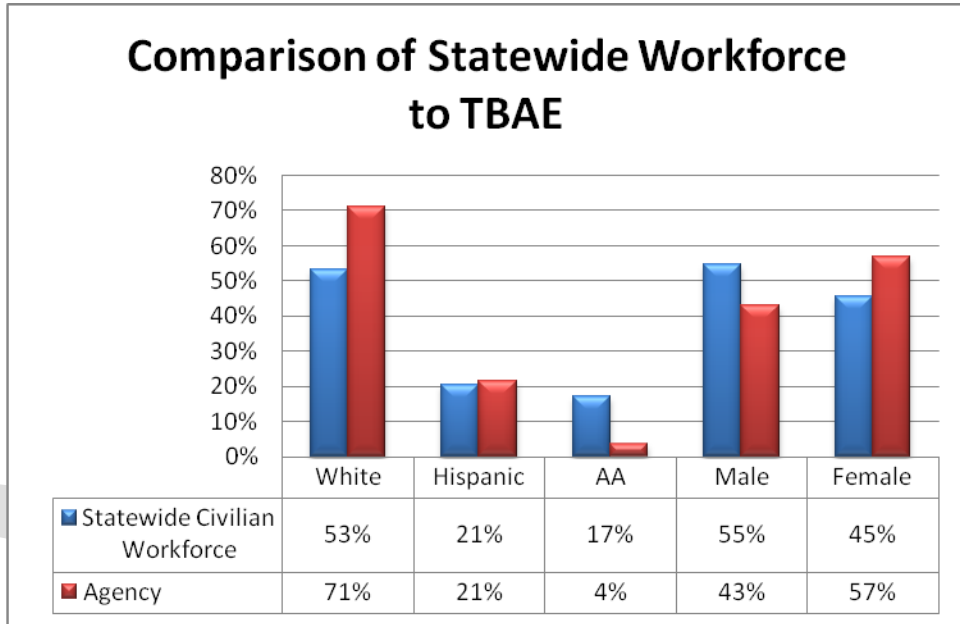
In FY 2005 the agency implemented an on-line renewal process which still continues to evolve and improve business operations. As the use of technology becomes more important to the agency's business, employees must have the technical skills along with customer service skills. As the agency moves forward, it will be necessary to ensure employees are provided with training opportunities to enhance their skill sets and to develop recruitment practices that will aid in hiring highly qualified staff.

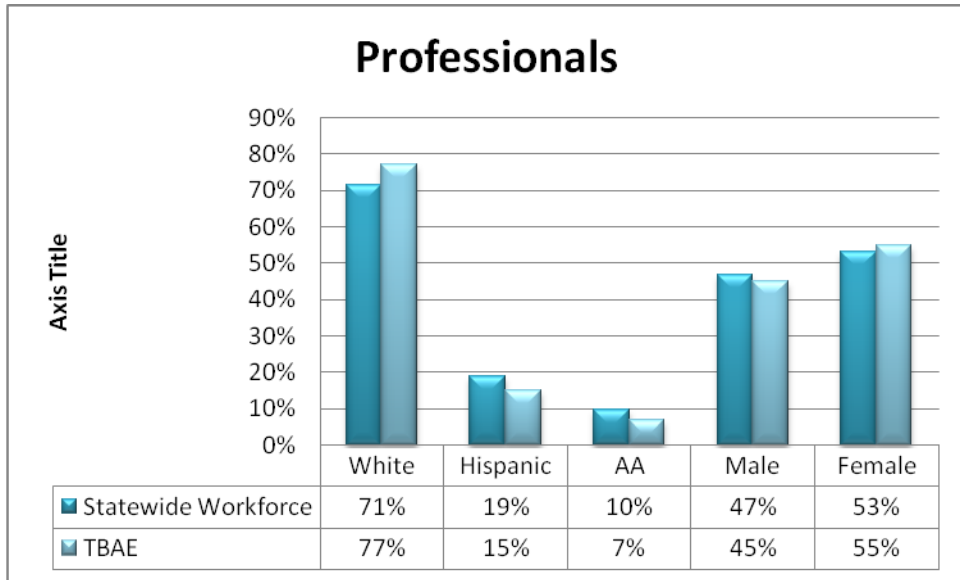
### Workforce Demographics

Due to the small size of TBAE and its low turnover rate, the agency struggles to meet various diversity targets. For most job categories, the agency is comparable to or above statewide work force statistics however, the agency will continue to pursue recruitment efforts to draw highly qualified African Americans and Hispanics. Note that totals do not equal 100% because the "Other" category is not included.

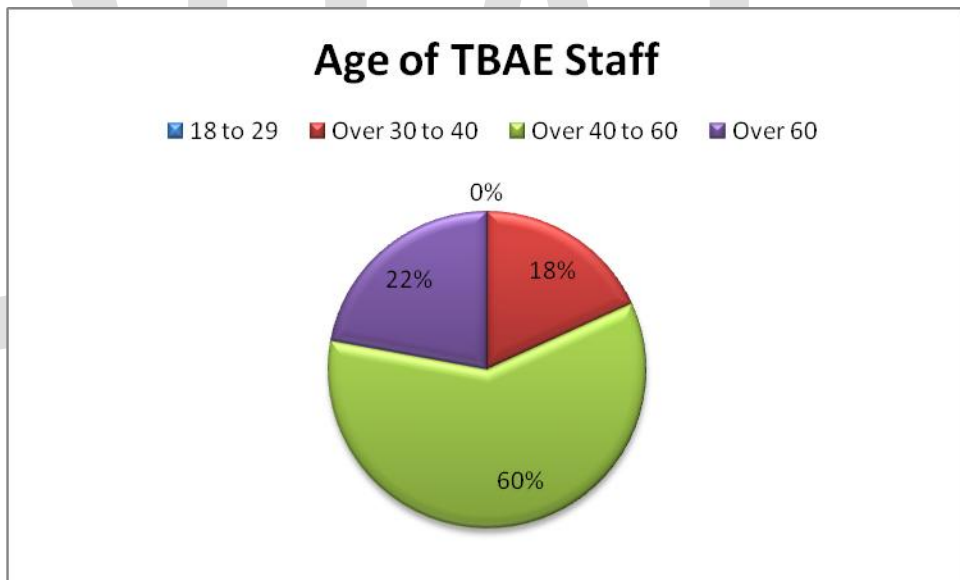
The following charts reflect the agency workforce as of 8/31/2011.

Race and Sex - The following graphics compares the demographic profile of TBAE's workforce to that of the statewide civilian workforce.

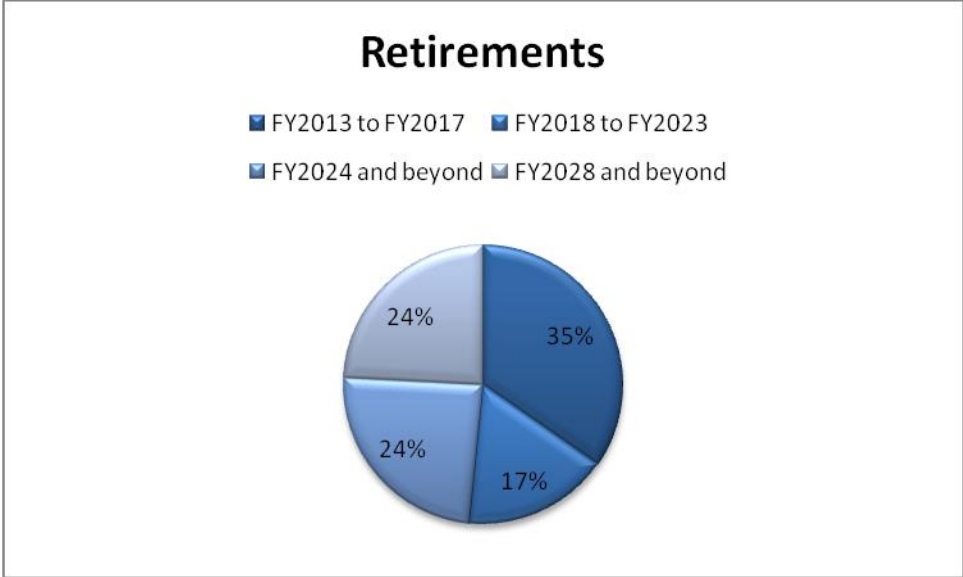




Age - Due to the small workforce and low turnover, the agency is an older workforce.



Retirement and Succession Planning - Approximately 35% of employees will be eligible to retire between FY2013 and FY2017. This increases the urgency in which the agency must plan for the potential loss of expertise and institutional knowledge.



**Skills Inventory**

Although the agency has many talented and qualified employees, there are a number of critical skills that are important to the agency’s ability to operate. TBAE could not effectively accomplish basic business functions without these skills:

- Customer service
- Analysis/research
- Problem solving
- Communication (verbal and written)
- Computer proficiency (skills requirements range from basic to expert)
- Investigation
- Accounting
- Management

TBAE’s work force currently has the necessary skills to do the required work. In the next five years the agency could experience a shortage of required skills, particularly in management due to potential retirements and normal attrition. The agency will also need to focus on succession planning strategies due to the number of employees eligible to retire over the next five years.

**Workforce Strategies**

To address the loss of experience and institutional knowledge the agency will focus on the following:

1. Continue to develop skills of current employees by developing training plans for employees by analyzing staff to determine which employees demonstrate the potential to develop new competencies and match the correct employee with the proper training best suited to develop his or her skills.
2. Continue to develop and maintain division policies and procedures manuals.

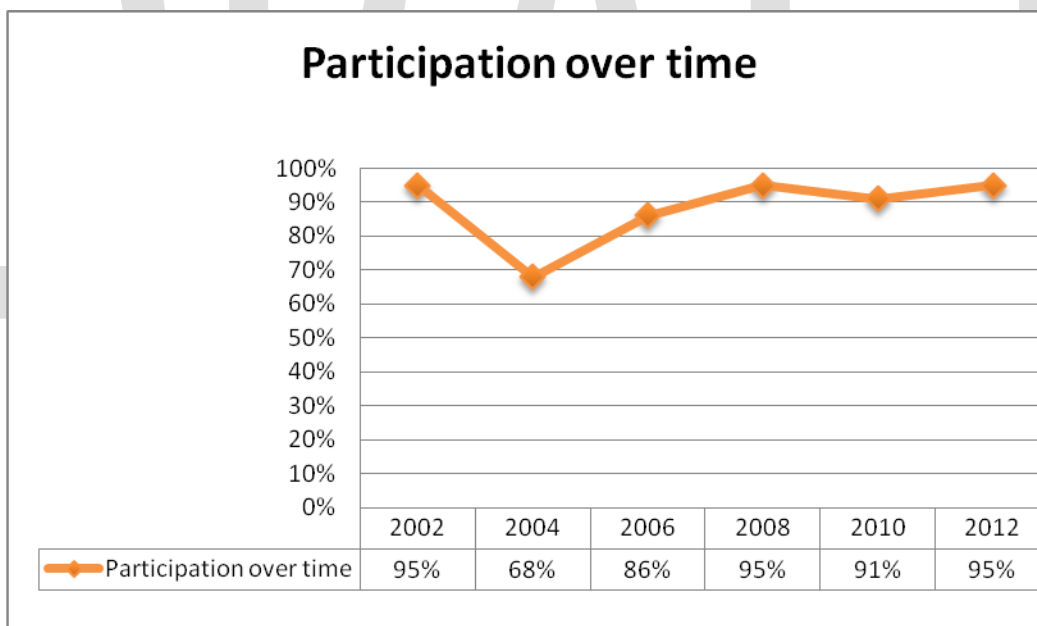


3. Promote cross training to ensure that institutional job knowledge is retained.
4. Review and revise current positions as new skills are identified due to program changes or technological advancements.
5. Recruit the right employees for the right jobs by carefully identifying the necessary skill sets and matching to the most highly qualified person.

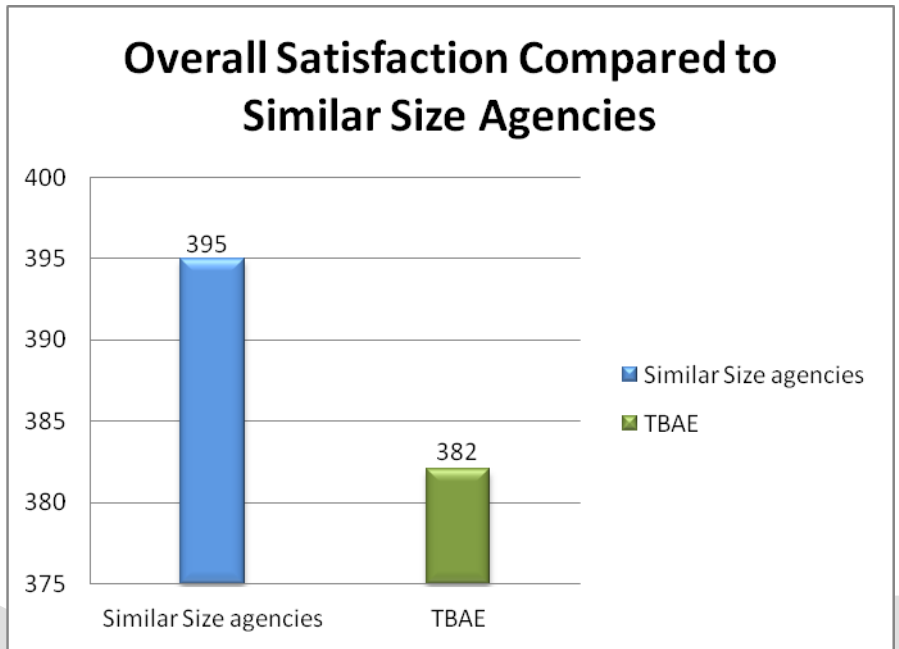
The agency's Workforce Plan will be implemented with the Strategic Plan. It will be reevaluated biennially to determine if adjustments need to be made due to changes in the agency's regulatory role or changes in technology. The Staff Services Officer and Executive Administrative Manager will work closely with the Executive Director and managers to ensure that planned or unexpected turnover and/or retirements do not leave the agency without the knowledge or skill shortages that would prevent the agency from achieving its strategic goals.

### ***Survey of Employee Engagement Results***

During the month of February 2012, 95% of staff participated in the 2012 Survey of Employee Engagement (SEE). This is a slight increase from the 2010 Survey.



During this survey period, the overall satisfaction decreased to 382. When compared to other similarly sized agencies, TBAE is slightly below, but scores typically range from 325 to 375.



This survey period found these areas to be TBAE's strengths and areas for improvement:

Highest Scores

Information Systems  
Physical Environment  
Supervision

Lowest Scores

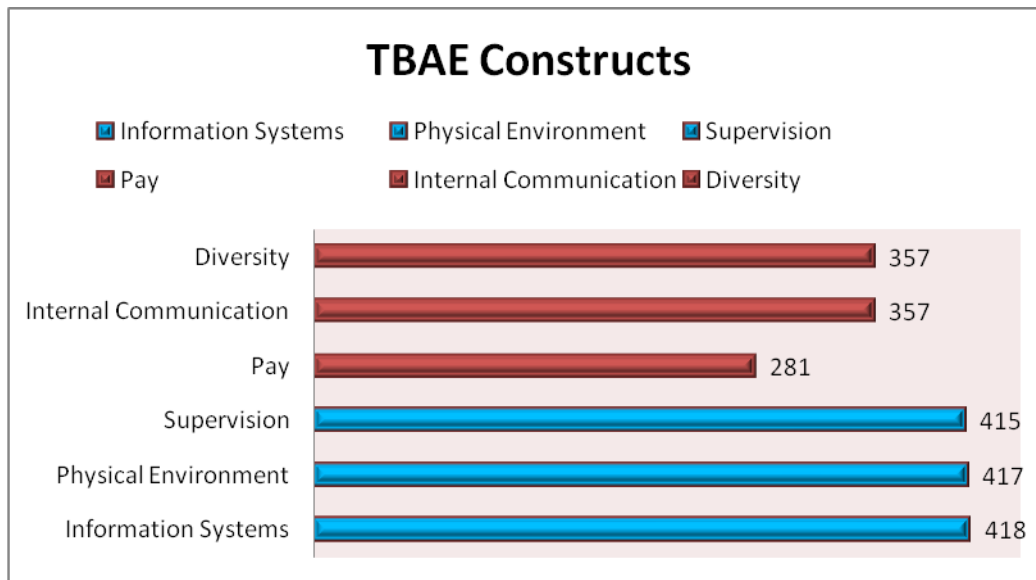
Pay  
Internal Communications  
Diversity

As shown below in the table below, the lowest scores continue to be the Pay and Diversity constructs. The score for the Pay construct may be an ongoing reaction to the struggling economy.

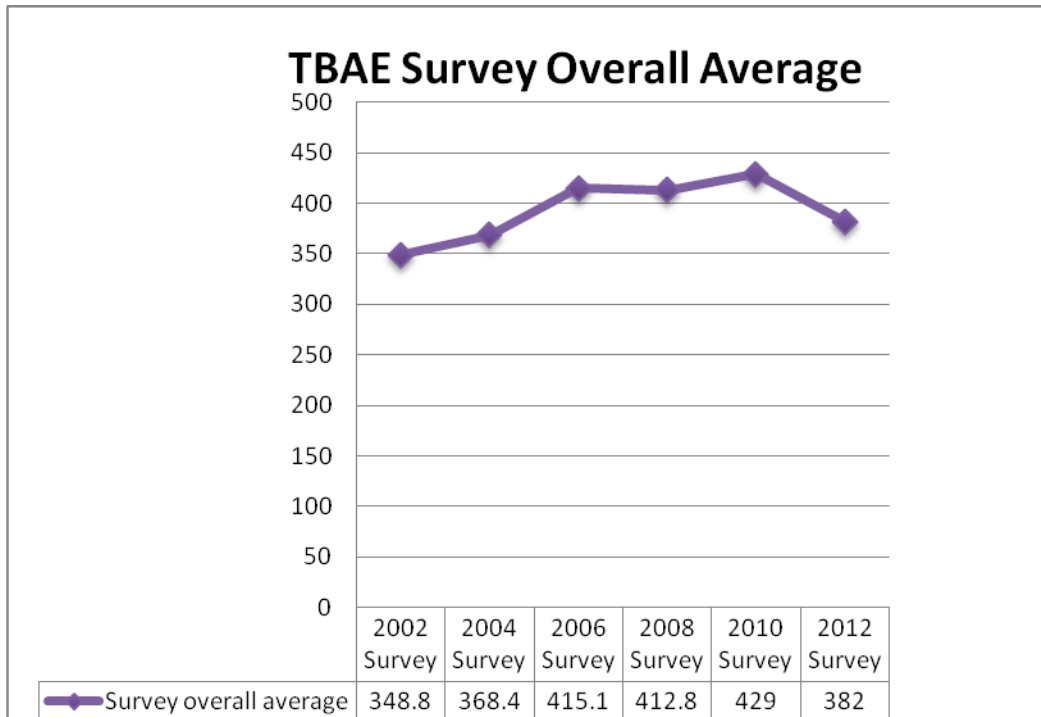
During this survey period, the Pay construct remains the lowest score. Low scores suggest that pay is a central concern or reason for satisfaction or discontent. The higher cost of living in Austin is a main driver in the perception that pay is not keeping up with expenses.

The small of size of TBAE has an impact on the diversity of staff. Compared to the statewide civilian workforce, TBAE matches the State in the Hispanic category, but needs improvement in the AA category. There is no “Other” category included. Low turnover and consolidations of positions limits opportunities for recruitment. TBAE remains committed to recruiting and retaining a highly skilled staff.

Information Systems received the highest score. Employees find that information resources are complete and accessible. The agency will need to remain vigilant about determining future information needs and meeting those needs.



Over time, TBAE’s overall score continued to climb until this year. While the score dropped to 382, it is still higher than the lower score of 368.4 received in 2004. It is believed that outcomes of the 2011 legislative session and staffing modifications may be responsible for the decline in the overall score. Considering the participation rate along with the overall score indicates the employees want to see the organization improve, and generally have a sense of responsibility to the organization. TBAE plans to seek input from staff in the areas of concern during the next survey period.



The Texas Board of Architectural Examiners (TBAE) participates in the Survey of Employee Engagement every two years. The survey results provide agency management with information on improving the well being of agency employees and improving agency operations. The information provided is an important during the strategic planning process, and provides direction for more successful management of our most critical resource: our workforce.

A complete compilation of results is available upon request.

#### ***TBAE contact information***

Texas Board of Architectural Examiners

P.O. Box 12337  
Austin, TX 78711

333 Guadalupe  
Suite 2-350  
Austin, TX 78701

Tel. 512.305.9000  
Fax 512.305.8900  
[www.tbae.state.tx.us](http://www.tbae.state.tx.us)

Cathy L. Hendricks, ASID/IIDA – Executive Director  
Scott Gibson – General Counsel  
Glenda Best – Executive Administration Manager  
Christine Brister – Staff Services Officer