

## Appendix E

### Staffing Analysis and Workforce Plan

#### I. Overview

The Executive Council of Physical Therapy and Occupational Therapy Examiners (Executive Council or ECPTOTE) is an independent state health regulatory agency, operating under the authority of its enabling legislation, Article 4512e-1, V.T.C.S. The 73rd Legislature, Regular Session, created the Executive Council in 1993 to administer and enforce the Physical Therapy Practice Act and the Occupational Therapy Practice Act. This legislation merged the *administrative functions* of the Texas Board of Physical Therapy Examiners and the Texas Advisory Board of Occupational Therapy under the Executive Council, while keeping the rule and decision-making authority of the two boards intact.

The Executive Council staff employees directly support or carry out the functions of one or both boards. The Executive Council staff is organized into three functional areas - administrative support, licensing, and investigations. The administrative staff supports the activities of the board members and other two staff groups in financial administration, information services, personnel administration, and general administration. The licensing staff responds to the unique needs of the physical therapy and occupational therapy licensee population they support. They are responsible for ensuring quality services for the consumers of Texas by licensing only qualified physical and occupational therapists and correctly registering the facilities in which they work. While the process of issuing licenses is the predominate activity, approximately 40% of staff time is spent responding to inquiries about the professions through different communications means available in the agency. The three-person investigation staff receives and investigates all complaints against the boards' licensees and works closely with the investigation committees of the two boards. Their responsibilities grew to the point last biennium where the agency had to transfer a position from the licensing area to investigations.

The ECPTOTE has had 18 (as of 8/31/15) full time positions authorized to perform the functions of the agency since it became operational in 1993 until this past biennium, usually through reorganizations and leveraging of technology. The agency was authorized an additional investigator by the 83<sup>rd</sup> legislature due to the sharply increasing investigative workload. Up until recently, the agency has always received sufficient funding from the legislature to be fully staffed. It is anticipated that, ECPTOTE will require and request an additional two positions in the licensing area to manage the ever increasing workload in that area also. Those positions with funding to support them will be requested in the FY2016-17 Legislative Appropriations Request.

The agency will undergo a Sunset Review in 2017, the first since 1993, and the outcome of that review and its impact on workforce planning, is unknown.

#### A. Agency Mission

The mission of the Executive Council of Physical Therapy and Occupational Therapy Examiners is to protect the health, safety, and welfare of the people of Texas through the regulation and

enforcement of the practice of physical therapy and of occupational therapy. All funding for support of the Executive Council comes from fees paid by the licensees.

## B. Strategic Goals and Objectives

The ECPTOTE has two main operational goals.

<b>Goal 1</b>	<i>To license Physical and Occupational Therapists and Register Facilities</i>
<b>Objective</b>	<ul style="list-style-type: none"> <li>• Ensure license and registration standards for PTs, OTs, and facilities</li> </ul>
<b>Strategies</b>	Issue and renew licenses and register facilities
	Texas Online. Estimated and Non-transferable
<b>Goal 2</b>	<i>To promote compliance and enforce PT and OT Practice Acts and rules</i>
<b>Objective</b>	<ul style="list-style-type: none"> <li>• Enforce and adjudicate PT and OT Practice Acts</li> </ul>
<b>Strategy</b>	<ul style="list-style-type: none"> <li>• Enforce the Physical Therapy and Occupational Therapy Practice Acts</li> </ul>

## C. Anticipated Changes in Strategies

The Executive Council anticipates four changes that will have an impact on the agency's business processes and indirectly on its workforce. These changes are technology driven which will require a need for employees, especially the administrative support staff, to be trained in areas with which they are now unfamiliar.

### Business Trends:

- The supported population, i.e., number of licensees and facilities registered, will continue to annually show a steady, albeit moderate, increase.
- The agency has a licensee database that is still sufficient to its needs, but it is gradually becoming obsolete, requiring replacement in the next few years.
- The steady increase in the number of paper files and documents is driving the agency to a complete paperless, imaging system of file storage.
- An increasing dependence on the agencies web site for transactions with customers will require greater technology funding, a more sophisticated web site, and increased knowledge in web design and maintenance skills.

The Executive Council is focusing on workforce planning issues that will address the most critical areas in the agency. They include a greater emphasis on training of employees in technology-related skills, and an effort to hire and retain highly skilled (and motivated) personnel. Lack of funding for training and adequate salaries is the greatest challenge to accomplishing this.

## II. Current Workforce Profile (Supply Analysis)

### A. Critical Workforce Skills

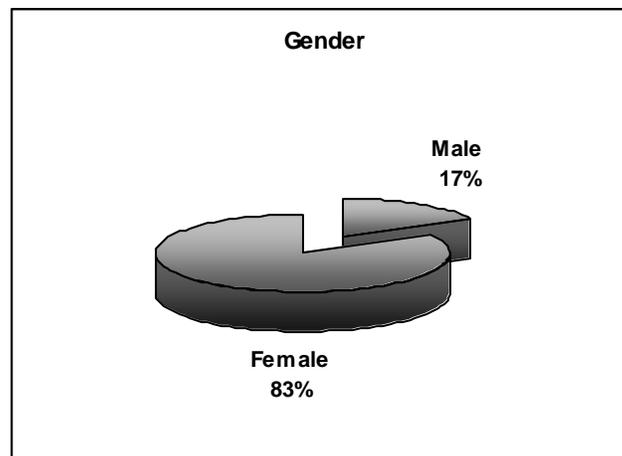
Although the agency has many strong, qualified employees, there are several critical skills that are important to the agency's ability to operate. Without these skills, the Executive Council could not perform basic business functions or support the two licensing boards. The skills are listed below:

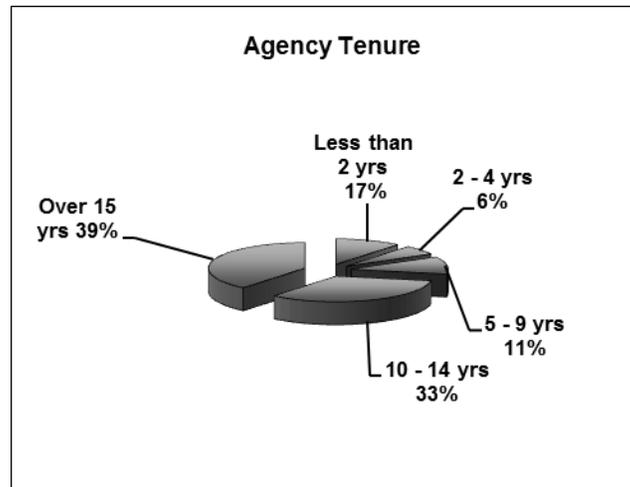
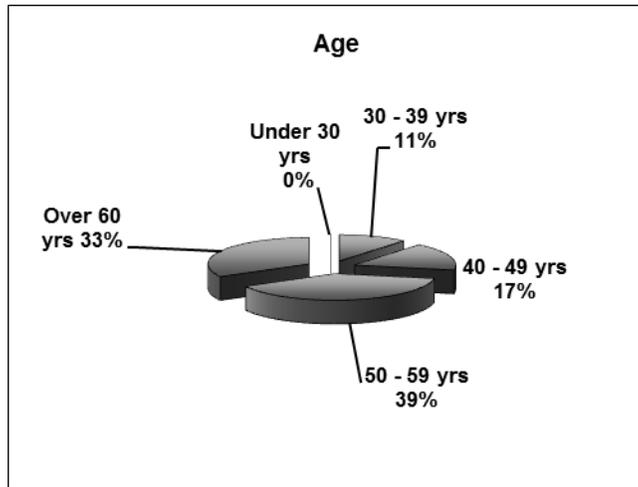
- Conducting Investigations
- Interpreting Rules/Regulations
- Effective Communications
- Customer Service
- Project Management
- Licensing Functions

### B. Workforce Demographics

The following charts profile the agency's workforce as of 31 August, 2013. The Executive Council's workforce is comprised of 3 males and 15 females. 89 percent of the employees are greater than 40 years old, indicating a mature workforce. Only 17 percent of agency employees have less than five years agency service, and most employees also have prior service at other state agencies. The average state service for agency employees is over 16 years. This statistic is expected to increase in the short term (5-10 years).

### Workforce Breakouts





The following table compares the percentage of African American, Hispanic and Female ECPTOTE employees (as of 8/31/13) to the statewide civilian workforce as reported by the Texas Commission on Human Rights. The Executive Council generally is comparable to or better than the statewide workforce statistics, considering the small population size of the agency.

There are two categories of under-represented classes that the agency will address when able. These particular cases are in the Hispanic and the Black category, in which there is only one Black and no Hispanics among the two professional positions in the agency. Unfortunately, there has been no turnover in the professional positions for the past 15 years.

<b>Overall</b>				
	<b>Current #</b>	<b>Current %</b>	<b>Goal #</b>	<b>Goal %</b>
African-American	3	17%	3	17%
Hispanic-American	5	28%	4	21%
Caucasian-American	10	55%	11	62%
Other	0	0%		
Female	15	83%	10	56%
Male	3	17%	8	44%

Job Category	Total Employees	Actual # of Blacks	Actual % of Blacks	Goal # of Blacks	Goal % of Blacks
<b>African-American</b>					
Officials, Administration	5	0	0%	.2	5%
Professional	1	0	0%	.3	5%
Para-Professional	1	1	100%		
Administrative Support	11	2	18%	1.6 (2)	17%
Totals	18	3	17%	2.5 (3)	17%

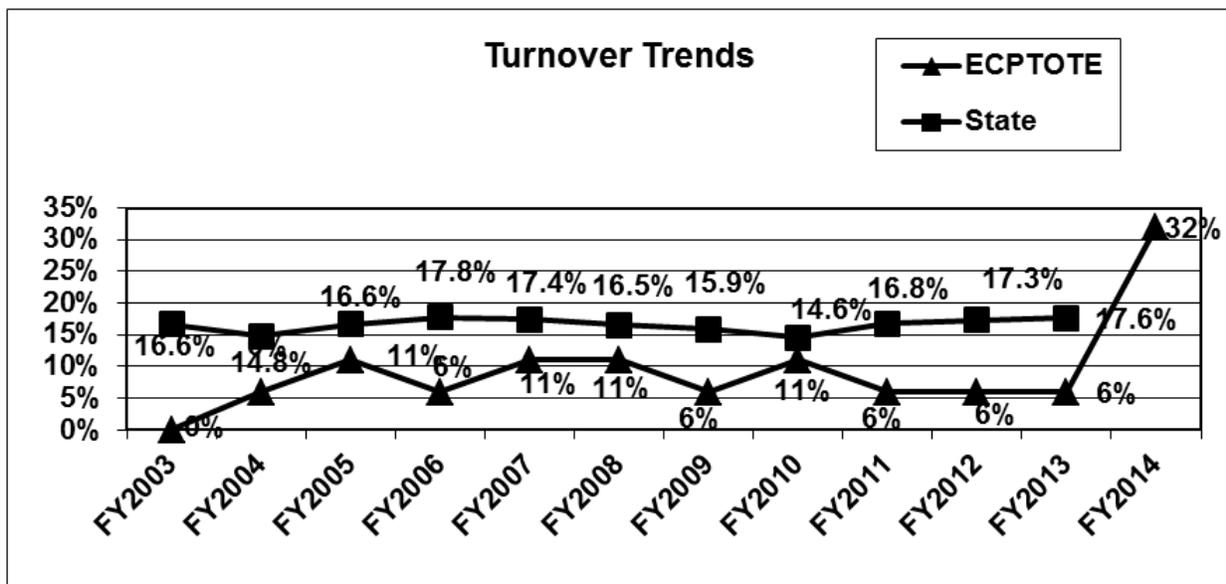
Job Category	Total Employees	Actual # of Hispanics	Actual % of Hispanics	Goal # of Hispanics	Goal % of Hispanics
<b>Hispanic-American</b>					
Officials, Administration	5	1	20%	.3	8%
Professional	1	0	0%	.3	7%
Para-Professional	1	0	0%	.3	7%
Administrative Support	11	4	36%	1.7(2)	17%
Totals	18	5	28%	4	22%

Job Category	Total Employees	Actual # of Females	Actual % of Females	Goal # of Females	Goal % of Females
<b>Females</b>					
Officials, Administration	5	3	60%	1	26%

Professional	1	1	100%		
Para-Professional	1	1	100%		
Administrative Support	11	10	91%	8.4	84%
Totals	18	15	83%	11	>43%

### C. Employee Turnover

Turnover is an important issue in any organization, and the Executive Council is no exception. During the last ten years the agency has seen a gradual decrease in its turnover rate from a high of 27.8% (6 employees) in FY2001 to one or two over the past ten years. The overall average in the past ten fiscal years has been significantly less than the State average. However, to date in the current FY, there have been 6 departures – one terminated, one retired, and 4 left for higher paying state agency positions. One employee is also expected to retire in FY2015. Obviously, the lack of funds to provide merit raises and lack of promotion potential in a small organization such as the ECPTOTE are the primary reasons for departure. The following graph compares the average Executive Council turnover to that of the State over the last 11 years.



#### Length of Service at Departure:

The greatest area of turnover is with employees who have less than four years of experience. 81 percent of the employees who entered the agency did not make it past four years (15 years accumulative data).

	ECPTOTE (State %)	ECPTOTE % of Workforce
<b>Less than 2 Years</b>	38% (41%)	11%
<b>2 - 4 Years</b>	43% (21%)	6%
<b>5 - 9 Years</b>	13% (12%)	11%
<b>10 - 14 Years</b>	6% (9%)	33%
<b>15 - 19 Years</b>	(7%)	28%
<b>20 and over Years</b>	(10%)	11%

**Age at Departure:**

Employees in their middle age now make up the majority of the workforce, although the departure percentages are higher in the earlier years. This is indicative of an earlier pattern of departures in the agency, and employees remaining with the agency vs. early departures.

<b>AGE</b>	<b>AGE at Departure</b>	<b>Actual ECPTOTE % of Workforce</b>
<b>Under 30 Years</b>	13%	0%
<b>30 - 39 Years</b>	50%	11%
<b>40 - 49 years</b>	25%	17%
<b>50 - 59 years</b>		39%
<b>60 years and over</b>	13%	33%

**D. Retirement Eligibility**

The Executive Council anticipates one retirement during the upcoming biennium. Five employees are eligible for normal retirement now, and 10 employees are vested (10 years or more of service). One employee is expected to leave the agency through retirement in the upcoming biennium – the licensing manager in FY 2017. Knowing about this vacancy so far in advance allows the agency to plan for a changeover with a minimum of disruption to agency operations.

During the 20 years of agency existence, three employees have retired, two of whom were Administrative Support personnel, and one professional.

**III. Future Workforce Profile (Demand Analysis)**

The increasing dependency on technology and the increased expectations of the public on the level of services the agency should provide have forced the ECPTOTE to constantly revise and update its business processes, with frequent injections of information technology. This is expected to continue, and will have an impact on the skill levels required of all occupational groups.

**A. Critical Functions**

- Increased Information Technology training

**B. Expected Workforce Changes**

- Increased abilities to use technology to assist in revising and streamlining work processes
- Employees increase cross-training in functional areas

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

- Two additional licensing clerk positions are required in the near future due to the increased workload caused by ever increasing numbers of licensees, but
- Until that happens, a continued shifting of FTE positions within the agency is necessary to meet changing demands.

### **D. Future Workforce Skills Needed**

For the Executive Council to keep pace with tomorrow's requirements for service, its professional employees will have to master to different degrees the following critical IT competencies and not continue to depend on outside contractor support without understanding what is being performed:

- Information Systems
- 3<sup>rd</sup> Level Database System Programming
- Hardware Maintenance
- Network Administration
- Web Page Development & Maintenance
- Purchase of IT equipment and user software
- Technology Strategic Planning
- Project Management

Administration employees will need to improve their skills in the following areas:

- 2<sup>nd</sup> and 3<sup>rd</sup> Level software courses, possibly at the university level
- Business Systems analysis and design

## **IV. Gap Analysis**

### **A. Anticipated Surplus or Shortage of Workers or Skills**

After analyzing the workforce situation, The Executive Council has determined that there is one gap between the agency's workforce supply and demand that must be addressed.

#### **Current employees lack critical skills**

- Leadership positions are not trained in Business Process re-engineering.
- Lack of information technology workers with strong computer skills has slowed the process of automating licensing and investigation processes, and resulted in greater dependency on outside contractor support for direct support, database maintenance, and web page design and maintenance.
- Internal candidates are having difficulty competing for higher positions at the Officials/Admin level because of limited job experience and education. These positions must be primarily hired from outside the organization.

An analysis of the Executive Council’s employee skill level and expectations of which skills would become greater priorities over the next five years is below. These skills were rated on a scale from 1-4 to determine the current proficiency level and the desired proficiency levels. Areas shaded the darkest show the greatest gap for a particular skill and occupational group, the lighter shaded Gap areas indicate potential problem areas, and the non-shaded areas indicate little or no existing gaps expected.

Skill	Officials/Admin			Professional			Admin Support		
	Have	Need	Gap	Have	Need	Gap	Have	Need	Gap
Communication	3	4	1	2	3	1	2	3	1
Database & Technology Areas	2	3	1	2	3	1	2	3	1
Problem Solving	3	3	0	3	3	0	2	2	0
Computer Skills	2	3	1	2	4	2	1	3	2
Project Management	3	4	1	1	2	1	0	0	0
Business Process Re-engineering	2	4	2	1	2	1	0	0	0
Technical Expertise	3	4	1	4	4	0	2	2	0
Decision Making	3	3	0	2	3	1	2	2	0
Customer Service	3	3	0	3	3	0	4	3	0

**Legend**

Have = Average competency level for incumbents of targeted job categories

Need = Average competency levels needed for future employees in targeted categories

Gap = Difference in skill level between current and future competency levels

0 = No knowledge

1 = Minimal knowledge; familiarity with skill

2 = Working knowledge, proficiency in skill

3 = Professional level, mastery of skill,

4 = Acknowledged expert in skill, able to mentors and trains other employees

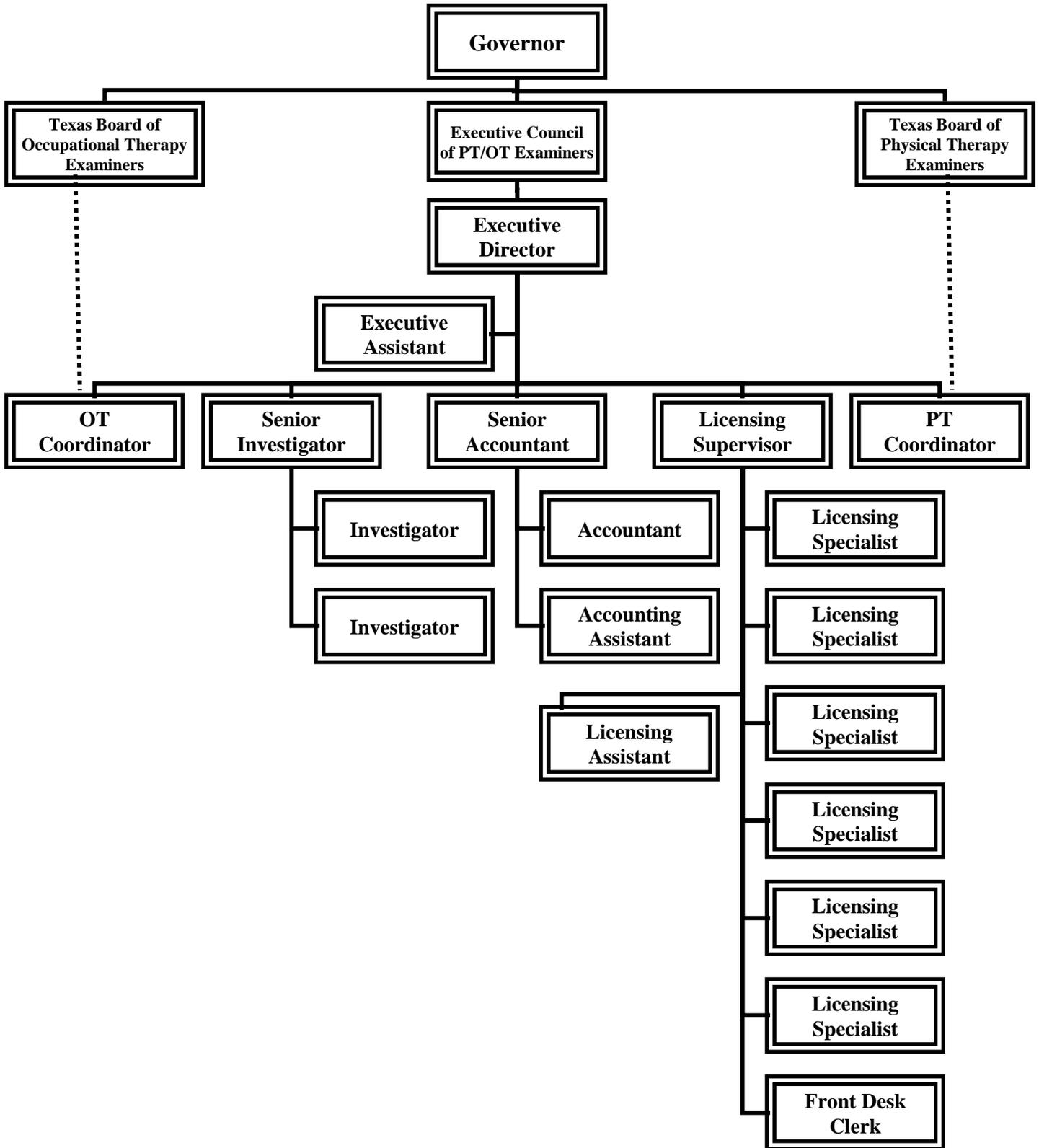
**V. Strategy Development**

To address the deficits between the current workforce and future requirements, the Executive Council has developed goals for the current workforce plan. These are based on a range of factors identified through analyzing the agency and its workforce. The Executive Council’s future workforce requirements can be grouped into two key areas.

<i>Gap</i>	<ul style="list-style-type: none"> <li>• <i>Current employees lack critical skills.</i></li> </ul>
<i>Goal</i>	<b>Develop a competent, well-trained workforce skilled in technology.</b>
<i>Rationale</i>	<b>The training and development of current employees is critical to the success of the agency. The Executive Council must analyze existing staff to determine which employees demonstrate the potential or interest to develop new competencies and assume higher level positions. In addition, the Executive Council needs to prioritize critical competencies and decide if there is enough time to develop staff internally for potential vacancies, or if targeted recruiting is adequate.</b>
<i>Action Steps</i>	<ul style="list-style-type: none"> <li>• Identify new skill sets required as a result of program changes or technological advancements by September 2015.</li> <li>• Actively pursue external training opportunities and programs to include those addressing technology changes. (dependent upon available funds)</li> <li>• Implement mentoring programs matching seasoned employees with new employees.</li> <li>• Whenever possible, try to develop management internally by always trying to place lower level staff on development paths to prepare them to move into jobs with higher level skill requirements.</li> <li>• Conduct an assessment of the level of risk facing the agency regarding the potential loss of knowledge at each position.</li> <li>• Develop strategies to ensure that knowledge is retained by promoting the transfer of knowledge as a corporate value.</li> </ul>

<b>Gap</b>	<ul style="list-style-type: none"> <li>• <i>ECPTOTE cannot attract and retain the right employees for the job.</i></li> </ul>
<b>Goal</b>	<b>Become an employer of choice.</b>
<b>Rationale</b>	<b>Finding and developing a workforce is a major challenge, and should be recognized as a major priority of the agency. If the agency is to recruit and retain the right workers in the right jobs at the right time, the ECPTOTE must recognize there is a competitive market for good workers and take the appropriate actions to obtain them and retain them. The agency will focus on rewarding exceptional performance, providing a structured approach to staff development, and creating a culture that supports innovation and excellence.</b>
<b>Action Steps</b>	<ul style="list-style-type: none"> <li>• Develop and implement pay for performance plan (merits when, and only when deserved and funds available).</li> <li>• Utilize pay incentives, where appropriate, to attract and retain staff.</li> <li>• Adjust salaries within assigned pay ranges for employees in positions that are critical functions. Accept higher turnover rates in less skilled positions.</li> <li>• Create programs that allow employees who are seeking new challenges to work on special projects, rotations, and/or developmental assignments; e.g. cross-training in other areas through reassignment.</li> <li>• Remove employees who cannot or will not meet the standards of their jobs.</li> </ul>

Attachment 1: ECPTOTE Organizational Chart



***Attachment 2: Workforce Summary Document Prepared by State Auditor's Classification Team***

## 533 - Executive Council Physical Therapy & Occupational Therapy Examiners

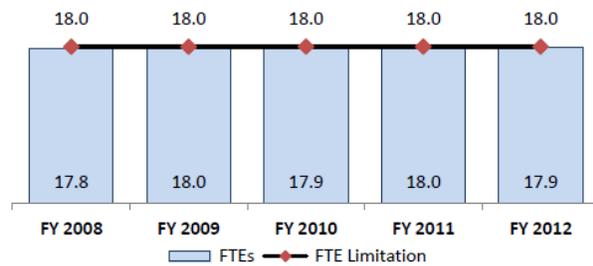
Workforce Summary Document prepared by the State Auditor's Office.

Based on information self-reported by the agency, the following items are worth noting.

### Full-Time Equivalent (FTE) Employees

The agency's full-time equivalent (FTE) employee limitation remained the same in fiscal year 2012 compared to fiscal year 2011. Compared to fiscal year 2008, the agency saw an increase of 0.1 (0.6 percent) in the total number of FTEs.

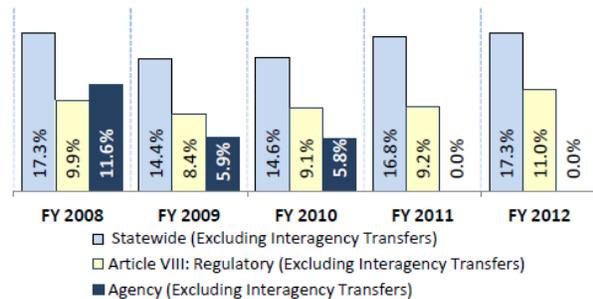
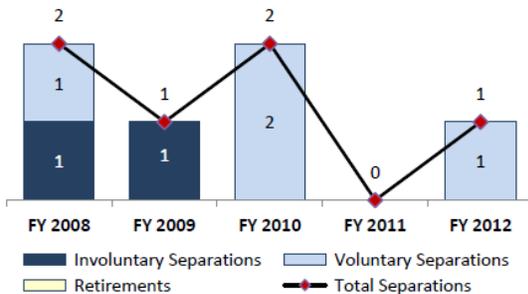
FTEs Below/Above FTE Limitation					
	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012
FTE Limitation	18.0	18.0	18.0	18.0	18.0
Number Below or Above Limitation	-0.2	0.0	-0.1	+0.0	-0.1
Percent Above or Below Limitation	-1.1%	0.0%	-0.6%	+0.0%	-0.6%



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

### Employee Turnover<sup>a</sup>

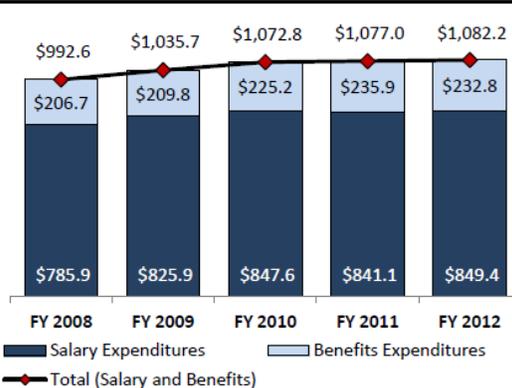
Excluding interagency transfers, the turnover rate within the agency (0.0 percent) was lower than the statewide turnover rate (17.3 percent) and lower than the turnover rate of Article VIII agencies (11.0 percent) during fiscal year 2012. The fiscal year 2012 agency turnover rate including employees who transferred to another state agency or higher education institution was 5.8 percent.



### Compensation Information<sup>a</sup>

The average agency salary in fiscal year 2012 of \$43,188 represented an increase of 6.4 percent compared to the average agency salary in fiscal year 2008. In fiscal year 2012, 53.6 percent of employees were paid below the salary range midpoints in which they were assigned; and expenditures for salary and benefits were higher compared to fiscal year 2008.

#### Salary and Benefits Expenditures (in Thousands)



#### Average Salary Trends

	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012
Executive Director	\$ 62,000	\$ 62,000	\$ 70,000	\$ 70,000	\$ 70,000
Agency Average	\$ 40,581	\$ 42,606	\$ 43,004	\$ 43,187	\$ 43,188
Article Average	\$ 46,829	\$ 48,295	\$ 49,835	\$ 50,584	\$ 51,237
Statewide Average	\$ 37,350	\$ 38,461	\$ 39,265	\$ 39,804	\$ 40,160

Note: With the exception of the executive director, average salary is for classified regular, full-time employees only.

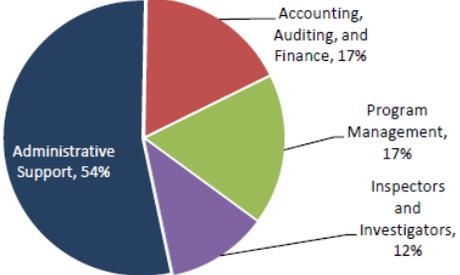
#### Number of and Total Dollars Spent on Salary Actions

	Fiscal Year 2011		Fiscal Year 2012	
	Actions	Dollars Spent	Actions	Dollars Spent
Promotions	0	\$ 0	1	\$ 4,800
Merits	0	\$ 0	0	\$ 0
One-Time Merits	0	\$ 0	17	\$ 5,678
Equity Adjustments	0	\$ 0	0	\$ 0
Reclassifications	0	\$ 0	0	\$ 0
<b>Totals</b>	<b>0</b>	<b>\$ 0</b>	<b>18</b>	<b>\$ 10,478</b>

<sup>a</sup> Turnover, salary trends, and salary action information was prepared from quarterly and year-end summary information received from the Comptroller of Public Accounts' Uniform Statewide Payroll/Personnel System (USPS), the Human Resource Information System (HRIS), and the Standardized Payroll/Personnel Reporting System (SPRS). Unless otherwise indicated, these data are reported for classified regular, full-time and part-time employees. Salary and benefit information was taken from the Uniform Statewide Accounting System of Texas.

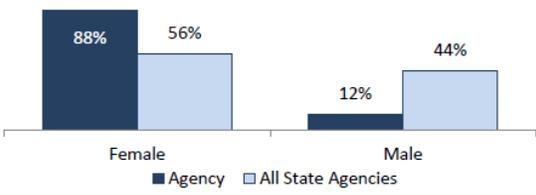
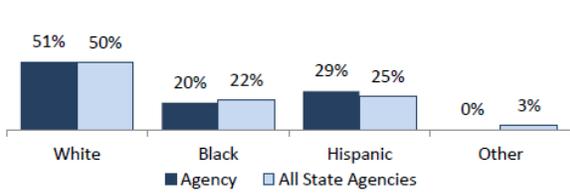
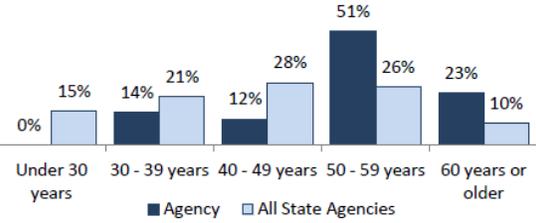
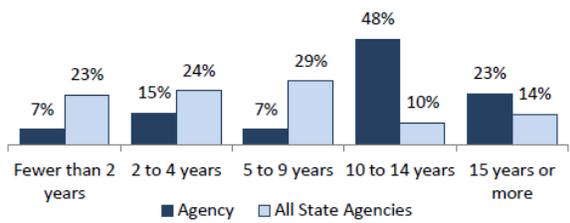
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**Job Classifications<sup>b</sup>**

Fiscal Year 2012 Major Occupational Categories	Agency Job Classifications
 <p>Accounting, Auditing, and Finance, 17%</p> <p>Program Management, 17%</p> <p>Inspectors and Investigators, 12%</p> <p>Administrative Support, 54%</p>	<p>In fiscal year 2012, the majority (82.6 percent) of employees were classified in the following job titles: Administrative Assistant (47.8 percent), Accounting Technician (11.6 percent), Program Supervisor (11.6 percent), and Investigator (11.6 percent).</p>
<b>Classification Compliance Audits</b>	
<p>During the past two years, the agency did not participate in any classification compliance audits.</p>	

**Fiscal Year 2012 Workforce Demographics<sup>b</sup>**

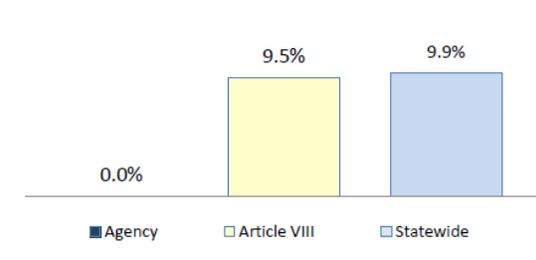
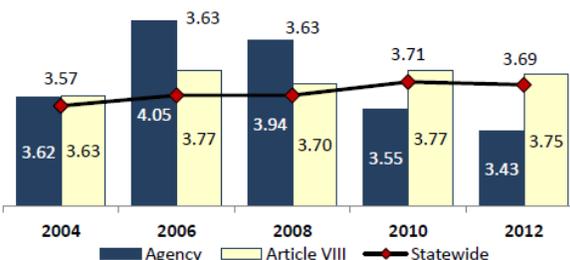
On average, employees at the agency were 53.9 years of age and had 11.7 years of agency length of service. Of the agency's employees, 85.5 percent were 40 years of age or older, and 21.7 percent had fewer than 5 years of agency length of service.

Gender	Ethnic Group
 <p>Female: Agency 88%, All State Agencies 56%</p> <p>Male: Agency 12%, All State Agencies 44%</p>	 <p>White: Agency 51%, All State Agencies 50%</p> <p>Black: Agency 20%, All State Agencies 22%</p> <p>Hispanic: Agency 29%, All State Agencies 25%</p> <p>Other: Agency 0%, All State Agencies 3%</p>
Age	Agency Length of Service
 <p>Under 30 years: Agency 0%, All State Agencies 15%</p> <p>30 - 39 years: Agency 14%, All State Agencies 21%</p> <p>40 - 49 years: Agency 12%, All State Agencies 28%</p> <p>50 - 59 years: Agency 51%, All State Agencies 26%</p> <p>60 years or older: Agency 23%, All State Agencies 10%</p>	 <p>Fewer than 2 years: Agency 7%, All State Agencies 23%</p> <p>2 to 4 years: Agency 15%, All State Agencies 24%</p> <p>5 to 9 years: Agency 7%, All State Agencies 29%</p> <p>10 to 14 years: Agency 48%, All State Agencies 10%</p> <p>15 years or more: Agency 23%, All State Agencies 14%</p>

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

**Survey of Employee Engagement<sup>c</sup>**

The Survey of Employee Engagement, administered by The University of Texas at Austin, is an instrument that measures employees' job satisfaction and employees' perceptions of the effectiveness of the agency. Scores range from 1 to 5, with 5 being the highest. Overall, the agency's score is lower than the state average and has decreased since the last survey cycle.

Percent of Employees Who Intend to Leave Within 1 Year <sup>d</sup>	Overall Employee Satisfaction																								
 <p>Agency: 0.0%</p> <p>Article VIII: 9.5%</p> <p>Statewide: 9.9%</p>	 <table border="1"> <thead> <tr> <th>Year</th> <th>Agency</th> <th>Article VIII</th> <th>Statewide</th> </tr> </thead> <tbody> <tr> <td>2004</td> <td>3.62</td> <td>3.57</td> <td>3.63</td> </tr> <tr> <td>2006</td> <td>4.05</td> <td>3.77</td> <td>3.63</td> </tr> <tr> <td>2008</td> <td>3.94</td> <td>3.70</td> <td>3.71</td> </tr> <tr> <td>2010</td> <td>3.55</td> <td>3.77</td> <td>3.69</td> </tr> <tr> <td>2012</td> <td>3.43</td> <td>3.75</td> <td>3.69</td> </tr> </tbody> </table>	Year	Agency	Article VIII	Statewide	2004	3.62	3.57	3.63	2006	4.05	3.77	3.63	2008	3.94	3.70	3.71	2010	3.55	3.77	3.69	2012	3.43	3.75	3.69
Year	Agency	Article VIII	Statewide																						
2004	3.62	3.57	3.63																						
2006	4.05	3.77	3.63																						
2008	3.94	3.70	3.71																						
2010	3.55	3.77	3.69																						
2012	3.43	3.75	3.69																						

<sup>c</sup> Information on the Survey of Employee Engagement was received from the Organizational Excellence Group at The University of Texas at Austin.

<sup>d</sup> Percentage is based on the number of employees who answered the question.