

AGENCY STRATEGIC PLAN

FISCAL YEARS 2017-2021

BY

STATE OFFICE OF ADMINISTRATIVE HEARINGS

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AUSTIN, TEXAS

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SIGNED AND APPROVED:



B. TABLE OF CONTENTS

- I. Strategic Plan
 - A. Title Page.....1
 - B. Table of Contents.....2
 - C. Agency Mission.....3
 - D. Agency Goals and Action Plan.....4
 - E. Redundancies and Impediments.....13
- II. Supplemental Schedules
 - A. Budget Structure.....A-1
 - B. List of Measures.....B-1
 - C. Historically Underutilized Business Plan.....C-1
 - F. Fiscal Years 2017-2021 Workforce Plan.....F-1
 - G. Report on Customer Service Fiscal Year 2015.....G-1

C. AGENCY MISSION

The mission of the State Office of Administrative Hearings (SOAH) is to serve as an independent, neutral forum for the State of Texas by providing a fair and efficient hearings process and the opportunity for alternative dispute resolution proceedings, in accordance with Chapter 2003 of the Texas Government Code.

D. AGENCY GOALS AND ACTION PLAN

Goal 1:

Modernization of all significant Information Resources aspects of SOAH.

Specific Action Items:

1. Integrated Case Management System: SOAH has initiated the integrated case management system project that will implement an automated solution for electronic case filing, management, and billing at the agency. The 84th Texas Legislature authorized funding for this project in the amount of \$1,420,000 in the 2016 – 2017 General Appropriations Act. SOAH has engaged a certified Project Manager, is following the Department of Information Resources Project Delivery Framework, and will be reporting to the Quality Assurance Team for the duration of the project. Once procured and implemented, the integrated case management system will be the central nervous system of the agency. SOAH will continue the process to advance this project and work with stakeholders to ensure its success. SOAH estimates that full implementation, including the integration of Administrative License Revocation cases, will be achieved by August 31, 2020.
2. Information Security: SOAH is evaluating all aspects of its information security systems, practices, and procedures. The agency's information security priorities are informed by past audit input and SOAH will seek additional expertise from the Department of Information Resources. SOAH will implement all feasible recommendations to improve its information security solutions as soon as is practicable. This includes incorporating security standards and best practices in the procurement and implementation of the integrated case management system. Improving information security is a continuous process. SOAH will continue to evaluate, monitor, and adapt its information security practices on a regular basis.
3. Transition to Voice over Internet Protocol (VoIP): SOAH is partnering with the Department of Information Resources to transition its traditional phone system to VoIP. In conjunction with the Department of Information Resources' Project Manager, the agency's Project Manager is planning the transition and identifying conversion requirements, including infrastructure needs and all associated costs. The existing phone platform for Capitol Complex agencies, including SOAH, is estimated to reach end-of-life in March or April of 2018. SOAH's transition to the VoIP platform will be completed no later than the termination of the existing Capitol Complex phone system.
4. Centralized Accounting and Payroll/Personnel System (CAPPS): SOAH is partnering with the Comptroller to implement the CAPPS Financials and HR/Payroll Modules. The agency has hired dedicated contracting staff to assist in implementation, as contemplated by its 2016 – 2017 appropriation. The project is currently on target. SOAH expects to implement the CAPPS Financials Module by September 1, 2016 and the CAPPS HR/Payroll Modules by July 1, 2017.

5. Texas Department of Information Resources Services: Presently, SOAH's Information Resources department dedicates a significant amount of time to managing in-house networks, servers, applications, and databases. The demands upon SOAH's Information Resources department will only increase with the progression of the integrated case management system and other information resources initiatives. SOAH is currently evaluating the agency's information resources needs, focusing on the objectives of staying current on core technologies and utilizing in-house SOAH Information Resources staff in a manner that is most efficient and most beneficial to SOAH's core mission. To that end, the agency will look for opportunities to maximize internal information resources by leveraging the various services and programs offered by the Department of Information Resources. This will be an ongoing, continuous process.
6. Upgrade of SOAH's Internal and External Websites: SOAH has initiated a project to upgrade both its internal and external websites. These upgrades will focus on security and user accessibility. The external website, last upgraded in 2009, is relied on by parties and the general public to access a wide variety of information, including documents and data about cases and hearings. SOAH's target date for implementation of these upgrades is August 31, 2018. One exception is the delivery of any components requiring coordination or integration with the integrated case management system project, which will align with that project's final implementation date of August 31, 2020.

How Goal Supports Statewide Objectives:

1. Accountable to tax and fee payers of Texas.
 - Accountability for the development of the integrated case management system project is ensured through the oversight of the Quality Assurance Team (and previously, the report provided to the Legislative Budget Board in advance of funding).
 - Accountability for the security of information resources is ensured through adherence to the Texas Cybersecurity Framework, including the biennial Security Plan submitted to the Department of Information Resources.
 - Accountability for the VoIP transition and CAPPs project will be handled through the larger enterprise projects being managed, respectively, by the Department of Information Resources and the Comptroller. SOAH will partner with the both agencies to ensure it meets any project milestones for which it is responsible.
 - Leveraging Department of Information Resources Services will increase accountability at SOAH, by ensuring that information resources are being leveraged responsibly.
 - Accountability for the security and user accessibility of the internal and external websites is ensured through the Department of Information Resources security and accessibility scans. Agency web staff will also participate in training efforts to ensure new technologies are leveraged appropriately at SOAH.

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

- The integrated case management system and CAPPs projects will decommission unsupported legacy systems, eliminate non-integrated systems, and automate manual processes, thus increasing efficiencies.
- The VoIP upgrade will expand the agency's ability to rely on telephonic hearings without reducing the ability to meaningfully participate, thereby avoiding delays in resolution and minimizing travel costs for SOAH as well as the parties to cases. It will also allow SOAH to manage its workflow more efficiently.
- Services offered by the Department of Information Resources will enable SOAH to leverage economies of scale, allowing the agency to benefit from technologies that would otherwise be prohibitively expensive. These technologies can provide for gains in efficiencies, reducing necessary in-house functions, specifically in resources dedicated to supporting outmoded, in-house legacy hardware and software.
- Heightened accessibility through the upgrade of SOAH's external website will enable members of the public and parties to cases to access information more directly, saving staff time and reducing customer delays.
- Upgrades to the SOAH internal website will enable greater integration with the integrated case management system and CAPPs modules, as well as enable greater access and expand and improve ability to perform work remotely, such as during travel for hearings.

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

- The integrated case management system will consolidate and centralize the management of agency data and digitize non-electronic data. The solution will provide improved data output and report generation to meet legislative and other reporting requirements. To the extent it is technologically possible, the integrated case management system will also integrate with the CAPPs system.
- Increased information security is a dynamic area targeted for continuous and evolving improvement.
- To the extent VoIP enables greater efficiency in the hearings function, this will be reflected in SOAH's performance measures. The increased quality of the teleconferencing will further SOAH's efforts to improve this aspect of hearings, as recommended by Sunset.
- The Department of Information Resources service portfolio continues to grow. As new services are offered, SOAH will evaluate opportunities to improve by leveraging these services.

4. Providing excellent customer service.

- The integrated case management system will provide external access to case details as they move through the process to parties to cases and the general public

(when appropriate). This will result in greater responsiveness and higher customer service to all stakeholders.

- Continual improvement in the security of SOAH's information resources will provide better protection to all employees and stakeholders, including parties to hearings.
- The VoIP upgrade will provide a meaningful benefit to participants who attend SOAH's hearings telephonically.
- Upgrade of the internal and external websites will provide improved customer service to all stakeholders and greater usability, including improved accessibility features related to the Americans with Disabilities Act.

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

- The integrated case management system will consolidate, classify, and centralize agency data, increasing the capacity to handle larger data inputs and outputs to the system. Improving the usability of the data will increase transparency, as well as properly segregating data to protect confidential information.
- The integrated case management system and the CAPPs projects, specifically the improved timekeeping components, will improve the integrity and public accessibility of the data.
- Within the bounds of controlling state law, the CAPPs project implementation will improve budget and personnel transparency.
- Upgrades to SOAH's public website and intranet will improve transparency, both for SOAH's internal and external stakeholders and the general public.

Other Relevant Considerations:

- The initiation of the integrated case management system will allow SOAH to fully implement the Sunset recommendation to upgrade and integrate the scheduling of Administrative License Revocation cases, as addressed in Issue 4 of the Sunset Report. SOAH processes an average of 30,000 Administrative License Revocation cases every year.
- The integrated case management system will also further SOAH's implementation of the recommendation (2.4) to improve and formalize certain management tools related to tracking information, analyzing performance, and monitoring deadlines.
- The transition to VoIP will further SOAH's implementation of the Sunset recommendation (4.2) to improve its telephonic hearings and take advantage of current technology for teleconferencing.
- The upgraded website, which will improve accessibility by the public, will be particularly beneficial to self-represented litigants, thereby furthering SOAH's implementation of Sunset's recommendations (Issue 6) to improve the level of information publicly available to such litigants.
- The six information resources initiatives in this goal align with all five strategic goals in the Department of Information Resources 2016 – 2020 State Strategic Plan for Information Resources Management:
 - Reliable and Secure Services

- Mature Information Technology Resources Management
- Cost-Effective and Collaborative Solutions
- Data Utility
- Mobile and Digital Services

Goal 2: Ensure continued excellence in SOAH’s primary mission of providing a fair and efficient hearings process and the opportunity for ADR proceedings.

Specific Action Items:

1. Reduce existing administrative burden on Administrative Law Judges (ALJs). Realigning tasks with the correct appropriation strategy will allow the ALJs, team leaders, and dedicated staff to focus their time on the core functions of SOAH: hearings and alternative dispute resolution (ADR) functions. Presently, a significant amount of potential casework time is displaced by fundamentally administrative functions, and this will require reorganization and adjustments to staffing to address. Expected to implement by August 31, 2018.
2. Maximize opportunities for additional training and education for ALJs and staff. SOAH ALJs are fortunate that various training options are available to them, sometimes at little or no cost, including seminars produced by the State Bar of Texas and law schools. Training is also available in the specific subject areas that relate to a given team (environmental law, for example), as well as specialized training that is required in order to manage a certain docket, such as for cases arising under the Individuals with Disabilities Education Act (IDEA). In addition, there is specific training available for presiding and management skills. SOAH will continue to identify opportunities for beneficial training and education, including those training topics recommended by Sunset, and will review training status and needs of each ALJ individually at least annually following an overall assessment. Overall assessment to be completed by August 31, 2018; continued implementation will be ongoing and continuous.
3. Pursue potential tools to achieve consistent, efficient tracking of the end result of contested cases. This information is valuable for training and education purposes. Following the recommendation of Sunset, the Legislature enacted Government Code section 2003.051, which requires an agency that has referred a matter to SOAH to provide SOAH with an electronic copy of the agency’s final decision or order in the matter. As noted by Sunset, SOAH previously did not have the necessary data or tools to evaluate why a referring agency modified or overturned an ALJ’s proposal for decision, which made it difficult for SOAH to identify trends or areas of improvement (Issue 2; Recommendation 2.2). This information may constitute a useful data point, and SOAH has developed a system for evaluating it. But it is only one additional data point. More useful would be the ultimate ruling in a case from a court when an agency’s final order is appealed. As noted in SOAH’s prior Strategic Plan, SOAH is not a party to such appeals (and should not be), but does try to stay informed of the resulting jurisprudence. To ensure complete coverage and consistency in the collection of this information, SOAH will evaluate potential options to consistently track ultimate outcomes, analyze that information, and disseminate that information to the necessary individuals, such as the ALJs handling related work. SOAH will engage with stakeholders on this issue, including members, give careful consideration to the appropriate scope of such a system and the necessary resources, and explore all potential approaches. Expected to be implemented by August 31, 2018.

4. Evaluate options and take necessary steps to maintain excellent retention levels. SOAH has been incredibly fortunate in terms of retention: more than half of SOAH's employees have been employed by the agency for more than ten years, the turnover rate is well below the state average, and the majority of turnover is attributable to retirement. To maximize retention, SOAH will evaluate what measures should be taken or continued to support employee satisfaction, including: (a) assessing all existing policies and structures for opportunities for improvement, such as reducing administrative burden (see Action Item 1 above) or streamlining procedures; (b) ensuring that appropriate training opportunities are provided; and (c) assessing what additional administrative or management support could be provided. This evaluation will also take into account all issues identified during the Sunset review. Full assessment and policy evaluation to be completed by August 31, 2019; continuation measures ongoing.

5. Prepare effectively for future turnover due to retirement. Over the next five years, approximately half of SOAH's workforce will become retirement-eligible, and this figure includes more than half of SOAH's ALJs. The current ALJs have an immense wealth of subject matter knowledge as well as institutional history, and the loss of this knowledge base would be significant to SOAH, in addition to the fiscal impact of paying accrued leave upon separation. SOAH's retention efforts, described in Action Item 4 above, may have a beneficial effect in minimizing turnover even among retirement-eligible employees. In addition, SOAH will continue to develop and strengthen its succession planning, which includes mentoring and cross-training, training back-ups for each core function, and developing written guidance to assist in the transfer of knowledge. It is also imperative that SOAH continue to recruit excellent candidates when there are vacancies in ALJ positions and maximize the value of their training and mentoring. Implementation will be ongoing and continuous.

How Goal Supports Statewide Objectives:

1. Accountable to tax and fee payers of Texas.
 - Removing administrative burdens will maximize current human resources, reflecting good stewardship of existing funds.
 - In assessing training needs and opportunities, SOAH will exercise prudent control over training funds and maximize savings where possible.

2. Efficient such that maximum results are produced with a minimum waste of taxpayer funds, including through the elimination of redundant and non-core functions.
 - Removing administrative burdens will maximize the current ALJ resources and benefit the strategy of hearings while also achieving efficiencies by concentrating administrative functions into dedicated staff.
 - SOAH will expend training funds purposefully and intentionally to avoid waste and will maximize opportunities for savings.
 - End-result tracking and analysis will allow for efficient and contemporaneous disposition of multiple pending matters that may be controlled or affected by a court ruling.

- Minimizing turnover will reduce inefficiencies associated with turnover, such as delays arising from vacancies and the training curve for new employees. Qualified, long-term employees are capable of performing tasks more efficiently.
 - Effective succession planning will maximize transfer of institutional knowledge and minimize inefficiencies following anticipated turnover due to retirements.
3. Effective in successfully fulfilling core functions, measuring success in achieving performance measures, and implementing plans to continuously improve.
- Removing administrative burdens will allow the ALJs and related staff to focus on their core function of conducting hearings and ADR, enabling more efficient handling of dockets and output, which correlates to SOAH's performance measures.
 - Sustained focus on enhancing approach to training and education will increase the knowledge base and skillset of ALJs and staff, where applicable, to the benefit of SOAH's core mission of conducting hearings and ADR.
 - Consistent end-result tracking and analysis and immediate dissemination of the resulting information will provide ALJs with current jurisprudence in the affected area, thereby enabling them to have the benefit of this information when issuing proposals for decision or other orders, to the substantive benefit of the output.
 - Maximizing retention will benefit the efficiency of processing cases as well as the substantive quality of SOAH's output.
 - Succession planning and transfer of institutional knowledge will provide for a smoother transition upon expected turnover and will ensure SOAH's ability to effectively manage its casework, to the benefit of its performance measures.
4. Providing excellent customer service.
- Removing administrative burdens from the ALJs and their staff will result in more efficient processing of hearings and cases, as well as more effective handling of the various reports and measures through which SOAH is accountable to the Legislature and the public.
 - The benefits of increased training and education will also benefit SOAH stakeholders, including participants in the hearing and ADR process.
 - Providing ALJs with complete and up-to-date end-result information will provide them with another tool to benefit the substantive quality of the output, which will benefit participants before SOAH.
 - Maximizing retention and strengthening succession planning will support SOAH's ability to continue to efficiently manage its caseload and protect the substantive excellence of the output.
5. Transparent such that agency actions can be understood by any Texan.
- Aligning tasks with the correct position and strategy will provide more accurate information to the public.

Other Relevant Considerations:

- The implementation of the integrated case management system, discussed in Goal 1, will automate some of the monitoring and tracking tasks that are now done manually, as contemplated by Sunset recommendation 2.4. This will also relieve some measure of administrative burden from ALJs and team leaders.
- Sunset recommended that SOAH ensure that team leaders receive regular managerial training in addition to legal education, so the training initiative identified above would also further SOAH's implementation of this issue.
- Formalizing a system for end-result tracking and analysis is a logical extension of the Sunset recommendation (2.2) for tracking and analyzing final orders of the referring agency, and would thus further SOAH's implementation of the underlying concept.

E. REDUNDANCIES AND IMPEDIMENTS

	Service, Statute, Rule, or Regulation	Why Service, Statute, Rule, or Regulation is Resulting in Inefficient or Ineffective Agency Operations	Agency Recommendation for Modification or Elimination	Estimated Cost Savings or Other Benefit Associated with Recommended Change
1	<p>Government Code §§ 2003.021(b)(4), .024, .048, and .105; General Appropriations Act, Article VIII, SOAH Bill Pattern; Occupations Code § 1105.009; Human Resources Code §§ 22.018(d) and 40.066(d); Agriculture Code § 12.032(e).*</p> <p>* While the Agriculture Code calls for an interagency contract, SOAH is actually provided general revenue for this work and no contract exists at the present time.</p>	<p>Approximately 33% of SOAH's funding is through interagency contracts (IAC). IACs require SOAH to enter into a contract with the referring agency. Contracts require drafting, negotiations, encumbering budget, invoicing, payment approvals, data input, processing through the Comptroller, and monitoring account balances. The obligation to project work load and provide estimates to the Legislative Budget Board and Governor's Office is also needed for a total of five agencies required to enable the exchange of funds. Staff from legal, the program areas, purchasing, accounting, information technology, appropriation control, budget, and executive office are all involved in the payment process.</p> <p>The majority of SOAH's IAC funding comes from agencies utilizing General Revenue (GR) to pay for SOAH services. This leaves only 12% of SOAH's total funding as non-GR. A direct appropriation to SOAH could simplify the funding process and improve efficiencies.</p>	<p>A more efficient method of funding would be a direct appropriation to SOAH for the IAC agencies paying with GR, similar to those listed in SOAH's Bill Pattern Rider 8.c. This would streamline the process by providing a direct path for GR funds, eliminating the need for extensive processing.</p>	<p>It is difficult to estimate the total cost savings considering at least five agencies have some level of involvement with each contract. The associated benefit of the recommended change is to allow staff to focus on other tasks.</p>

	Service, Statute, Rule, or Regulation	Why Service, Statute, Rule, or Regulation is Resulting in Inefficient or Ineffective Agency Operations	Agency Recommendation for Modification or Elimination	Estimated Cost Savings or Other Benefit Associated with Recommended Change
2	Texas Government Code § 2003.048 (Texas Commission on Environmental Policy Quality Hearing Fee); General Appropriations Act, Article VIII, SOAH Bill Pattern, Rider 3 (Renegotiation of Lump Sum Contract)	<p>Under these provisions, SOAH and TCEQ are required to enter into an interagency contract of not less than \$816,000 per fiscal year. This is an arbitrary amount, not based on SOAH's expected workload for TCEQ. The GAA also provides that if SOAH determines the amount paid exceeds SOAH's costs, SOAH will refund the difference to the TCEQ; or if the amount is insufficient to pay SOAH's costs, the contract will be renegotiated for additional payments from TCEQ. The potential refund of a portion of the fee at the end of the fiscal year causes unpredictability and uncertainty to SOAH's budgetary planning. Moreover, due to the modest size of SOAH's budget, a significant refund has proportionally greater impact than for agencies with larger budgets. The refund and renegotiation provisions in the GAA essentially require SOAH and the TCEQ to negotiate their contract twice each year: once at the beginning of the fiscal year to arrange the terms of the contract and again at the end of the fiscal year to provide for a refund or additional payment, as appropriate. During each fiscal year, SOAH must escrow monies to make sure sufficient funds are available to</p>	<p>A more efficient method of funding SOAH's work on TCEQ cases would be to eliminate the hearing fee and related procedures and appropriate general revenue for SOAH. Alternatively, another more efficient method would be to base the contract amount on SOAH and TCEQ's best projections of work to be performed, with no refund or additional payment provisions. This lump sum method is used for most of SOAH's other interagency contracts pursuant to Government Code § 2003.024.</p>	<p>The primary benefit to revising the requirements and procedures for the TCEQ contract amount would be to eliminate SOAH's funding uncertainty. Moving to general revenue or a non-refundable lump sum contract would stabilize SOAH's funding and help avoid funding lapses. It would also reduce the time spent by SOAH's fiscal department in ongoing monitoring of TCEQ costs, escrowing a portion of SOAH's funding for a possible refund, and calculating and processing the refund. The precise cost is difficult to determine due to the uncertainty of the workload each year and the amount of time involved in negotiating, monitoring, and processing the contract.</p>

	Service, Statute, Rule, or Regulation	Why Service, Statute, Rule, or Regulation is Resulting in Inefficient or Ineffective Agency Operations	Agency Recommendation for Modification or Elimination	Estimated Cost Savings or Other Benefit Associated with Recommended Change
		<p>pay a refund if necessary, which makes the escrowed funds unavailable for SOAH's use. In FY2015, SOAH refunded more than \$400,000. This funding mechanism is cumbersome, time consuming, and creates funding uncertainty for SOAH.</p>		

APPENDIX A

APPENDIX A

STATE OFFICE OF ADMINISTRATIVE HEARINGS BUDGET STRUCTURE

Goal

Short Name Administrative Hearings
Full Name Provide for a Fair and Efficient Administrative Hearing Process
Description Provide Texas state agencies and citizens a fair and efficient administrative hearings and alternative dispute resolution process.

Objective

Short Name Hearings
Full Name Ensure that All Hearings are Conducted in a Fair and Impartial Manner
Description: Ensure that all hearings are conducted in a fair and impartial manner and result in a well-reasoned and legally sound Proposal for Decision (PFD) through 2021.

Outcome Measures

- Percent of Participants Surveyed Satisfied with Overall Process
- Percent Tax Decisions Issued within 60 Days of Record Closing

Strategy

Short Name: Conduct Hearings
Full Name: Conduct Hearings and Prepare Proposals for Decisions and Final Orders
Description: Conduct hearings and prepare proposals for decision (PFDs) and proposed orders and final orders; monitor workloads of Administrative Law Judges (ALJs).

Output Measures

- Number of Hours Billed (General Docket Hearings and ALR Hearings)
- Number of Administrative License Revocation Cases Disposed
- Number of Cases Disposed
- Number of Requests for Continuances and Abatements Granted
- Percent of Available ALJ Time Spent on Case Work
- Percent of Case Time Spent on ALR Cases
- Percent of Case Time Spent on General Docket (Non-ALR) Cases

- Number of Proposals for Decision Related to Tax Hearings Issued by ALJs

Efficiency Measures

- Average Cost Per Case
- Average Number of Days-Close of Record to PFD Issuance--Major Cases
- Median Number of Days to Dispose Case
- Average Number of Days from Date of Request to Execution
- Average Days to Issue Proposed Tax Decision Following Record Closing

Explanatory Measures

- Number of Cases Received
- Number of Agencies Served
- Number of Complaints Received Regarding Hearing Process
- Percent of PFDs Changed, Vacated or Modified by Governing Boards

Strategy

Short Name Alternative Dispute Resolution
 Full Name Provide an Opportunity for Alternative Dispute Resolution Proceedings
 Description Provide an opportunity for settlement of disputes through conferences, mediation, arbitration, and other alternative dispute resolution proceedings conducted in a fair and impartial manner, resulting in resolution of all disputes outside of contested hearings through 2021.

Output Measure

- Number of Hours Billed to Alternative Dispute Resolution Cases

Efficiency Measures

- Number of Cases Resolved through Alternative Dispute Resolution
- Average Cost Per Alternative Dispute Resolution Proceeding
- Average Number of Days from Date of Request to Execution for ADR

Explanatory Measure

- Number of Alternative Dispute Resolution Cases Requested or Referred

Goal

Short Name	Indirect Administration
Full Name	Indirect Administration
Description	Indirect Administration

Objective

Short Name	Indirect Administration
Full Name	Indirect Administration
Description	Indirect Administration

Strategy

Short Name	Indirect Administration
Full Name	Indirect Administration
Description	Indirect Administration

APPENDIX B

APPENDIX B

**STATE OFFICE OF ADMINISTRATIVE HEARINGS
PERFORMANCE MEASURES AND DEFINITIONS – FISCAL YEARS 2018/2019**

Goal Objective	01 01	Provide for a Fair and Efficient Administrative Hearings Process Ensure that All Hearings are Conducted in a Fair and Impartial Manner
Outcome 01-01-01.01		Percentage of Participants Surveyed Satisfied with Overall Process (Key Measure)
<p>Measure Definition: "Overall process" includes all actions by SOAH, beginning with setting of hearing, continuing through the hearing and presentation of PFD.</p> <p>Purpose/Importance: This survey allows SOAH to receive feedback from hearing participants and to monitor the participants' overall satisfaction with the hearings process.</p> <p>Data Source: Survey</p> <p>Methodology: Percentage of responses to surveys returned by participants in hearings reflecting satisfaction with the overall process.</p> <p>Data Limitations: Calculation of this measure is necessarily limited to the percentage of survey responses received. In addition, given the nature of SOAH's function as a quasi-judicial tribunal with prevailing and non-prevailing parties in each case, the receipt of some negative responses is expected.</p> <p>Calculation Type: Non-cumulative New Measure: No Desired Performance: Higher than target</p>		
Outcome 01-01-01.02		% of Proposed Tax Decisions Issued within 60 Days of Record Closing (Key Measure)
<p>Measure Definition: This measure identifies the number (stated in percent) of Tax Division PFDs issued within 60 calendar days of the date the record closed.</p> <p>Purpose/Importance: This measure is an indication of the timeliness of the PFDs issued by the Tax Division ALJs for the Tax cases.</p> <p>Data Source: Tax Division ALJs, Docket Change forms, and SOAH's Case Management System (CMS).</p> <p>Methodology: A report is generated from the database (CMS) that lists all Tax Division cases where PFDs were issued during the pertinent reporting period and, for each case listed, provides the date the record closed and the date the tax PFD was issued. The report computes the number of days between the record closed date and the PFD issuance date. The number of tax PFDs that were issued within 60</p>		

calendar days is totaled and then divided by the total number of tax PFDs issued during the reporting period to compute the percentage of tax PFDs issued with 60 calendar days (equivalent to 40 working days).

Data Limitations: N/A

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Higher than target

Goal Objective Strategy	01 01 01	Provide for a Fair and Efficient Administrative Hearings Process Ensure that All Hearings are Conducted in a Fair and Impartial Manner Conduct Hearings & Prepare Proposals for Decisions (PFDs) and Final Orders
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Output 01-01-01.01	Number of Hours Billed (General Docket Hearings and ALR Hearings) (Key Measure)
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Measure Definition: The total number of hours billed on cases for services provided during the reporting period is obtained through SOAH's time database.

Purpose/Importance: This measure tracks the amount of billed work performed by SOAH ALJs, and, when authorized by interagency contract, paralegals or administrative assistants.

Data Source: SOAH's time database.

Methodology: A report is generated from a SOAH database for the reporting period which calculates the number of hours billed.

Data Limitations: This measure is dependent upon the amount of work referred to SOAH by other state agencies.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Higher than target

Output 01-01-01.02	Number of Administrative License Revocation Cases Disposed (Key Measure)
<p>Measure Definition: All ALR cases disposed are entered into the ALR database and counted.</p> <p>Purpose/Importance: This measure serves as a means to determine the number of ALR cases disposed during the reporting period.</p> <p>Data Source: Final Orders recorded in the ALR database.</p> <p>Methodology: A report is generated from the ALR database with a count of cases decided (i.e., disposed) during the reporting period.</p> <p>Data Limitations: This measure is dependent upon the number of DWI arrests resulting in a request for hearing at SOAH and the accuracy of the ALR database, which is owned and controlled by DPS.</p> <p>Calculation Type: Cumulative New Measure: No Desired Performance: Higher than target</p>	
Output 01-01-01.03	Number of Cases Disposed (Key Measure)
<p>Measure Definition: The number of cases for which SOAH transmits to the referring agency a Proposal for Decision or a final Order during the reporting period.</p> <p>Purpose/Importance: This measure indicates the number of cases disposed during the reporting period.</p> <p>Data Source: Docket Change Forms recorded in CMS (General Docket), and the Final Orders recorded in the ALR database.</p> <p>Methodology: A report is generated from the databases with a count of final Orders issued during the reporting period.</p> <p>Data Limitations: This measure is dependent upon the number of cases referred by other state agencies.</p> <p>Calculation Type: Cumulative New Measure: No Desired Performance: Higher than target</p>	
Output 01-01-01.04	Number of Requests for Continuances and Abatements Granted
<p>Measure Definition: SOAH records all requests for continuances or abatements that are granted in General Docket cases on a Docket Change form and this information is entered into the Case Management System (CMS). These same activities in the ALR program are recorded in a separate ALR database when an Order granting a continuance or abatement is issued.</p> <p>Purpose/Importance: This measure is used to see how many delays occur in the hearings process. It occurs upon a meritorious request from one or more of the parties or by joint request and agreement of all the parties.</p>	

Data Source: ALJs, Docket Change forms, databases (CMS and ALR).

Methodology: A report is generated from SOAH databases with a count of all such requests granted (e.g., continuances or abatements) during the reporting period.

Data Limitations: This measure is dependent on the number and merits of requests filed by the parties. For ALR cases, the first continuance is automatically granted by rule. (SOAH rules, Sec 159.11 Continuances). The number of continuances recorded is system limited and the ALR database is owned and controlled by DPS, limiting SOAH's operational oversight.

Calculation Type: Cumulative

New Measure: No

Desired Performance: Lower than target

Output
01-01-01.05

Percent of Available ALJ Time Spent on Case Work
(Key Measure)

Measure Definition: Amount of time recorded by ALJs working on cases as a percentage of total available time to ALJs to work on cases.

Purpose/Importance: To provide information on the utilization of ALJ time.

Data Source: ALJ billing time entries, ALJ leave timesheets, databases, (General Docket database, ALR database, Human Resources), USPS extract, and State Holiday schedule.

Methodology: Determine the maximum # of hours for time period by multiplying the total # of days in the period by 8 hours. Calculate total # of weekend hours (8 hours per day) for time period and subtract this from total # of Hours for time period to determine total # of Work Hours for time period. Multiply total # of Work Hours for period by the percentage of employee's Full-Time status (%FTE) to calculate each Employee's possible total # of Work Hours for time period. Calculate total Hours of Leave Used for each employee during time period as reported to Human Resources. Total all Compensated (CTE) for time period reported in HR database. Calculate total Billed Time (TBT) for time period for each employee as reported in the General Docket and/or ALR Databases. Multiplying the calculation of Total Billed Time/[(Workhrs+CTE)-(Special Project time+Training Time+Team Activities Time+Admin Tasks Time+Mgt Time+Leave Time)]by 100 to get percentage of Time Spent on Case Work in percentage format.

Data Limitations: N/A

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Higher than target

Output
01-01-01.06

Percent of Case Time Spent on ALR Cases

Measure Definition: The proportionate amount of total case time worked by ALJs on ALR cases.

Purpose/Importance: This measure indicates how much of the ALJ workload is spent on ALR cases.

Data Source: General Docket and ALR databases.

Methodology: ALR time divided by all case time.

Data Limitations: N/A

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Higher than target

Output
01-01-01.07

Percent of Case Time Spent on General Docket (Non-ALR) Cases

Measure Definition: The proportionate amount of total case time worked by ALJs on General Docket (non-ALR) cases.

Purpose/Importance: This measure indicates how much of the ALJ workload is spent on General Docket (non-ALR) cases.

Data Source: General Docket and ALR databases.

Methodology: General Docket time divided by all case time.

Data Limitations: N/A

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Higher than target

Output
01-01-01.08

Number of Proposals for Decisions Related to Tax Hearings
Issued by ALJs
(Key Measure)

Measure Definition: This performance measure seeks to identify the number of proposal for decisions issued during the reporting period by ALJs in SOAH's Tax Division.

Purpose/Importance: The purpose of this measure is to track the number of proposal for decisions issued in contested tax cases.

Data Source: Tax ALJs, Docket Change forms, and SOAH's Case Management System (CMS).

Methodology: A report is generated from the database (CMS) that lists and totals the number of Tax PFDs issued during the reporting period.

Data Limitations: N/A

Calculation Type: Cumulative

New Measure: No

Desired Performance: Higher than target

Efficiency 01-01-01.01	Average cost per Case
<p>Measure Definition: This calculated measure is based on all hearings for all agencies except mediation and arbitration proceedings.</p> <p>Purpose/Importance: This measure is an indicator of SOAH's cost on average for a hearing and an indirect indicator of efficiency.</p> <p>Data Source: SOAH time database, SOAH's accounting system.</p> <p>Methodology: The total costs from SOAH's Hearing Activity Report (HARP) for the related time period, less the total costs related to mediations and arbitrations, divided by the total number of non-mediation and arbitration cases worked, results in the average costs per case (General Docket—i.e., non-mediation and arbitration).</p> <p>Data Limitations: This measure is dependent upon the number of cases referred by agencies and dollars spent. The calculation is a simple average and does not consider the varying complexity of the cases.</p> <p>Calculation Type: Non-cumulative New Measure: No Desired Performance: Lower than target</p>	
Efficiency 01-01-01.02	Average Number of Days from Close of Record to Proposal for Decision (PFD) of Final Order Issuance – Major Cases (Key Measure)
<p>Measure Definition: The date the record closes on a “major” hearing, which is a hearing exceeding seven hours or with a PFD or Final Order exceeding 20 pages, and the date the PFD or final order is issued, are both recorded in the database. The number of days between these two dates is calculated.</p> <p>Purpose/Importance: This measure monitors the amount of time for issuance of an ALJ decision in certain cases once the record has closed.</p> <p>Data Source: ALJs, Docket Change forms, Billing entries and SOAH's Case Management System (CMS).</p> <p>Methodology: A report is generated from the database (CMS) that calculates the total number of calendar days from close of record to issuance of the Proposals for Decision (PFD) or final orders for all "major" hearings during the reporting period, and divides this number by the total number of PFDs or final orders on such cases. The resulting number is the average number of days from the date the record closes to the issuance of a PFD.</p> <p>Data Limitations: N/A</p> <p>Calculation Type: Non-cumulative New Measure: No Desired Performance: Lower than target</p>	

Efficiency 01-01-01.03	Median Number of Days to Dispose of a Case (Key Measure)
<p>Measure Definition: The number of days between the date that the case is received by SOAH and the day that the case is finally disposed.</p> <p>Purpose: This measure provides an indication of the efficiency of the administrative hearings process.</p> <p>Data Source: ALJs, Docket Change forms and SOAH's Case Management System (CMS).</p> <p>Methodology: A report is generated from the database (CMS) that counts, for each case, the number of calendar days between the date that the case is received by SOAH and the day that the case is finally disposed by SOAH during the reporting period, and calculates the median number of days for those cases disposed in the reporting period.</p> <p>Data Limitations: This measure is partially dependent upon whether the parties are ready to immediately proceed to hearing or request continuances. It is also impacted by interlocutory appeals to district court or to agencies which delay the process.</p> <p>Calculation Type: Non-cumulative</p> <p>New Measure: No</p> <p>Desired Performance: Lower than target</p>	

Efficiency 01-01-01.04	Average Number of Days from Date of Request to Execution
<p>Measure Definition: SOAH records in the database the date a completed Request to Docket Case form with all required documents is received and the date the requested action is executed. Requested actions include setting of hearing and assignment of ALJ. To execute action on requests for setting of hearing, the docket clerk confirms in writing a hearing date to the referring agency and enters the confirmation date into the database. To execute action on requests for ALJ assignment, the docket clerk notifies the appropriate team leader. The date the team leader receives notice of the assignment is then entered into the database.</p> <p>Purpose/Importance: This measure provides an indication of the efficiency and timing of the administrative hearings process.</p> <p>Data Source: Request to Docket Case form, ALJs, and SOAH's Case Management System (CMS).</p> <p>Methodology: A report is generated from the database (CMS) that calculates the number of business days between the receipt of Request to Docket Case form and the date the action on the request is executed during the reporting period. This number is divided by the total number of requests executed to yield average number of days from the date of request to execution during the reporting period.</p> <p>Data Limitations: N/A</p> <p>Calculation Type: Non-cumulative</p> <p>New Measure: N</p> <p>Desired Performance: Lower than target</p>	
Efficiency 01-01-01.05	Average Days to Issue Proposed Tax Decision Following Record Closing (Key Measure)
<p>Measure Definition: This measure identifies the average number of calendar days following the close of the record that Tax Division ALJs took to issue tax PFDs.</p> <p>Purpose/Importance: This measure captures the efficiency of the Tax Division ALJs in issuing tax PFDs.</p> <p>Data Source: Tax ALJs, Docket Change forms, and SOAH's Case Management System (CMS).</p> <p>Methodology: A report is generated from the database (CMS) that lists all Tax Division cases where PFDs were issued during the pertinent reporting period and, for each case listed, provides the date the record closed and the date the tax PFD was issued. The report computes the number of days between the record closed date and the PFD issuance date for each case, and the sum of the days represents the total number of calendar days for all cases in the reporting period.</p> <p>Data Limitations: N/A</p> <p>Calculation Type: Non-Cumulative</p> <p>New Measure: No</p> <p>Desired Performance: Lower than target</p>	

Explanatory 01-01-01.01	Number of Cases Received (Key Measure)
<p>Measure Definition: The number of cases that are referred by agencies to SOAH.</p> <p>Purpose/Importance: This measure tracks the number of cases referred by other state agencies and serves as an indicator of SOAH's workload.</p> <p>Data Source: Request to Docket Case form and SOAH's databases (CMS and ALR).</p> <p>Methodology: A report is generated from SOAH's database (CMS and ALR database) that counts the total number of cases referred by other state agencies to SOAH during the reporting period.</p> <p>Data Limitations: This measure is dependent upon the number of cases referred by other state agencies.</p> <p>Calculation Type: Non-cumulative New Measure: No Desired Performance: Higher than target</p>	
Explanatory 01-01-01.02	Number of Agencies Served (Key Measure)
<p>Measure Definition: The Hearings Activity Report Process (HARP) system records all cases transferred to SOAH's jurisdiction and is used to count the number of agencies for which SOAH has docketed new cases; re-set previously docketed cases; held prehearings/post-hearings and/or hearings; and/or issued PFDs.</p> <p>Purpose/Importance: This measure serves as an indicator of the volume of SOAH's customer base for its workload.</p> <p>Data Source: Request to Docket Case form, Case Management System (CMS) and HARP</p> <p>Methodology: The total number of agencies served for the reporting period is counted.</p> <p>Data Limitations: This measure is dependent upon jurisdiction changes, agency structural changes (i.e., abolished, merged, consolidated) and legislation.</p> <p>Calculation Type: Non-cumulative New Measure: No Desired Performance: Higher than target</p>	
Explanatory 01-01-01.03	Number of Complaints Received Regarding Hearing Process
<p>Measure Definition: Total number of written formal complaints received by SOAH during the reporting period from referring agencies and/or outside parties, pertaining to the hearings process.</p> <p>Purpose/Importance: This measure serves to count the complaints received from individuals not satisfied with the hearings process.</p>	

Data Source: Referring agencies and outside parties.

Methodology: Total number of written complaints received by SOAH are counted for the reporting period.

Data Limitations: This measure is dependent upon the participants filing a complaint with SOAH relating to the hearing process. In addition, it might also be dependent upon the ruling received by the participants (i.e., if an unfavorable decision was received, the participants might be more inclined to respond negatively).

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Lower than target

Explanatory
01-01-01.04

Percent of PFDs Changed, Vacated or Modified by Governing Boards

Measure Definition: A record is maintained in the Case Management System (CMS) of all PFDs issued. A record is also maintained of all signed Orders returned to SOAH by referring agencies.

Purpose/Importance: This measure counts the number (stated as percent) of decisions (non-ALR) issued by an ALJ that are not upheld by a referring agency's governing board.

Data Source: Referring agencies, ALJs, SOAH's Case Management System (CMS).

Methodology: A report is generated of agency orders returned to SOAH that reflect substantive changes to proposed findings or conclusions, or reflect that the PFDs have been vacated or modified by the governing boards and/or commissions. The number of final Orders reflecting a change, modification or a vacating, divided by the total number of PFDs issued, multiplied by 100 (to present data in percentage format), yields the percentage changed, vacated or modified.

Data Limitations: This measure is dependent upon the referring agency forwarding its board's final Order for each hearing.

Calculation Type: Non-cumulative

New Measure: No

Desired Performance: Lower than target

Goal	01	Provide for a Fair and Efficient Administrative Hearings Process
Objective	02	Provide an Opportunity for Alternative Dispute Resolution Proceedings
Strategy	01	Conduct Alternative Dispute Proceedings
Efficiency 01-02-01.01	Number of Cases Resolved through Alternative Dispute Resolution	
<p>Measure Definition: This includes the number of cases that are resolved through mediation (i.e., by agreement of the parties with the assistance of a mediator) and the number of final Orders issued in arbitrations, as well as the number of any other matters resolved by the use of other ADR processes.</p> <p>Purpose/Importance: This indicates the success of the ADR program.</p> <p>Data Source: ALJs, Docket Change form, SOAH's Case Management System (CMS)</p> <p>Methodology: A report is generated from the Case Management System (CMS) for the total number of cases resolved by mediation and ADR processes for the reporting period.</p> <p>Data Limitations: Number of cases referred to ADR by ALJs or state agencies.</p> <p>Calculation Type: Cumulative New Measure: No Desired Performance: Higher than target</p>		
Efficiency 01-02-01.02	Average Cost per Alternative Dispute Resolution Proceeding	
<p>Measure Definition: This calculated measure is based on all mediation and arbitration proceedings for all agencies (excluding mediations conducted by TCEQ).</p> <p>Purpose/Importance: To illustrate cost effectiveness of the ADR process in comparison to the contested case process.</p> <p>Data Source: ALJs, ALJ Billing time entries, General Docket database, SOAH's accounting system.</p> <p>Methodology: The total number of mediation and arbitration hours from the activity report multiplied by the SOAH average costs per hour of work (without direct expenditures) results in the total costs. The total mediation and arbitration costs are then divided by the number of proceedings for the average ADR costs per proceeding.</p> <p>Data Limitations: Number and type of cases referred.</p> <p>Calculation Type: Non-cumulative New Measure: No Desired Performance: Lower than target</p>		

Efficiency 01-02-01.03	Average Number of Days from Date of Request to Execution for ADR
<p>Measure Definition: Requests for alternative dispute resolution/mediation (ADR) are received from a referring agency on a completed “Request to Docket Case” form or by an Order of an ALJ received through a Docket Change form. After receipt, they are recorded in the Case Management System (CMS). To execute action on a request for ADR, the docket clerk assigns the case to the ADR team leader. The docket clerk records the team leader’s notification into CMS as either ADR or Mediation confirmation.</p> <p>Purpose/Importance: This measure provides an indication of the efficiency and timing of the docketing process.</p> <p>Data Source: Request to Docket Case form, ALJ written assignment of mediator, Docket Change form and CMS.</p> <p>Methodology: A report is generated from CMS that calculates the number of business days between the date the ADR request is received through either a Request to Docket Case form or a Docket Change form and the date the request is executed. This number is divided by the total number of requests executed to yield average number of days from the date of request to execution during the reporting period.</p> <p>Data Limitations: This measure is dependent upon the number of mediations requested.</p> <p>Calculation Type: Cumulative New Measure: No Desired Performance: Lower than target</p>	
Explanatory 01-02-01.01	Number of Alternative Dispute Resolution Cases Requested or Referred (Key Measure)
<p>Measure Definition: All mediation or arbitration cases referred, excluding those conducted by TCEQ.</p> <p>Purpose/Importance: This measure counts the number of mediations requested and arbitrations elected by parties or state agencies, or cases in which an ALJ suggests mediation and the parties agree to mediation.</p> <p>Data Source: ALJs, Request to Docket Case form, Docket Change form, SOAH's Case Management System (CMS)</p> <p>Methodology: A report is generated from the database (CMS) totaling the number of ADR requests received (e.g., requested or referred).</p> <p>Data Limitations: This measure is dependent on the number of mediations requested by parties or referred by ALJs, and the number of arbitrations elected by parties' cases referred by an ALJ or other state agencies.</p> <p>Calculation Type: Non-cumulative New Measure: No Desired Performance: Higher than target</p>	

Output 01-02-01.01	Number of Hours Billed to Alternative Dispute Resolution Cases
<p>Measure Definition: The total number of hours billed on mediation and arbitration proceedings (excluding mediations in TCEQ cases conducted by TCEQ).</p> <p>Purpose/Importance: This measure indicates the number of hours of SOAH’s workload spent in mediation and arbitration proceedings.</p> <p>Data Source: ALJs, SOAH time database.</p> <p>Methodology: A report is generated from the SOAH time database that totals the number of hours billed on mediation and arbitration events and/or cases for the reporting period.</p> <p>Data Limitations: This measure is dependent on the number of mediation and arbitration cases referred as well as the varying complexity.</p> <p>Calculation Type: Cumulative</p> <p>New Measure: No</p> <p>Desired Performance: Higher than target</p>	

APPENDIX C

APPENDIX C

STATE OFFICE OF ADMINISTRATIVE HEARINGS

Historically Underutilized Business Planning Elements

MISSION: The State Office of Administrative Hearings is committed to assisting Historically Underutilized Businesses (HUBs) in their efforts to do business with the state of Texas. SOAH will assist HUB vendors in obtaining state HUB certification, actively educate vendors on the agency’s procurement policies and procedures, increase the number of HUB vendors contacted for procurement opportunities, and encourage vendors to participate in the agency’s purchasing process. SOAH will encourage prime contractors to meet the agency goal by providing subcontracting opportunities to HUBs.

GOAL: The goal of this program is to promote fair and competitive business opportunities for all businesses contracting with the state of Texas.

OBJECTIVE: SOAH will make a good faith effort to meet or exceed the state’s HUB goals in all its eligible procurements.

OUTCOME **MEASURE:** Percentage of total dollars paid to HUBs per procurement category.

STRATEGY: To utilize the state of Texas procurement procedures to actively identify and educate HUBs on the state’s program and SOAH’s procurement needs, and to assist HUBs in their efforts to do business with the state.

ADOPTION OF TPASS HUB RULES: Using the State of Texas Disparity Study as a basis, the Comptroller of Public Accounts (CPA) Texas Procurement and Support Services has outlined the State’s HUB utilization goals by procurement category and disparity area, as follows:

Procurement Category	Goal	Disparity Areas
Professional Services	23.7%	African American, Hispanic, Woman, Native American, Asian Pacific
Commodities	21.1%	African American, Hispanic, Woman, Native American, Asian Pacific
Other Services	26.0%	African American, Hispanic, Woman, Native American, Asian Pacific

SOAH's HUB goals for the construction categories (Heavy Construction, Building Construction, and Special Trade Construction) vary from the statewide HUB goals specified in the 2009 State of Texas Disparity Study and as defined in 34 Tex. Admin. Code §20.13 because SOAH does not anticipate having any expenditures in those categories.

OUTPUT MEASURE: Number of bids received from HUB vendors.
 Number of bids awarded to HUB vendors.
 Number of HUB forums the agency participated in or sponsored.

HUB Programs: To meet the goals and objectives for utilizing HUBs at SOAH, the agency will engage in the following outreach activities:

- SOAH purchasing procedures – SOAH will use the CPA bidder's list and send notifications of bid opportunities to certified HUBs. SOAH will continue to require a minimum of two HUB bids for every procurement requiring a bidding process. SOAH will also refer to the CPA's website to identify certified HUBs for those purchases not requiring a bidding process.
- SOAH HUB subcontracting plan – SOAH will require a HUB subcontracting plan from vendors for all contracts for the acquisition of goods and services with an expected value of \$100,000 or more. SOAH will review information submitted by vendors concerning their subcontracting plans. Subcontracting information will be submitted in a standard format established and provided by SOAH. The successful contractor will be required to make a good faith effort to achieve the estimated level of HUB participation and periodically report data to document that effort.
- HUB forums – SOAH will attend HUB forums in order to identify opportunities for HUBs to do business with SOAH. It will work with other agencies to sponsor forums for HUBs that present information about specific procurement opportunities at SOAH.
- Mentor-Protégé Program – In accordance with the CPA's rules, SOAH will work to implement a mentor-protégé program as appropriate to foster long-term relationships between prime contractors and HUBs and to increase the ability of HUBs to contract with the state or to receive subcontracts under an agency contract.

APPENDIX F

APPENDIX F

State Office of Administrative Hearings Fiscal Years 2017-2021 Workforce Plan

Strategic Goals and Objectives

SOAH has two primary goals in its Strategic Plan:

Goal 1	Modernization of all significant Information Resources aspects of SOAH
Purpose	Implement an automated solution for electronic case filing, management, and billing
Strategy	Upgrade and integrate SOAH's case management system
Purpose	Expand SOAH's ability to rely on telephonic hearings
Strategy	Transition to Voice over Internet Protocol (VoIP)
Purpose	Enable greater integration of information resources systems
Strategy	Upgrade SOAH's internal and external websites

Goal 2	Provide for a fair and efficient administrative hearings process
Purpose	Ensure that all hearings are conducted in a fair and impartial manner
Strategy	Recruit, train, and retain highly qualified ALJs and support staff; Provide the necessary tools to support agency efficiency and public accessibility
Purpose	Provide an opportunity for alternative dispute resolution proceedings
Strategy	Provide necessary tools and training for ALJs in alternative dispute resolution proceedings

I. Business Functions.

The critical business functions of the agency include:

- *Conducting Hearings;*
- *Conducting Mediations and Other Alternative Dispute Resolution Processes;*
- *Docketing;*

- *Issuing Proposals for Decision, and Final Decisions; and*
- *Processing of Administrative License Revocation Appeals*

II. Anticipated Changes in Strategies.

It is anticipated that SOAH's revised strategies will have a positive impact on the agency's business and workforce. SOAH's workforce requirements would be impacted by future legislation transferring additional jurisdiction to or from the agency. At this time, however, it is unknown what, if any, new jurisdiction might be transferred to SOAH in the future.

Current Workforce Profile

The statistical information provided in this section is based on data as of August 31, 2015. SOAH's current workforce is comprised of approximately 109 employees; of those, 37 percent are males and 63 percent are females. Out of the same population, 84 percent of the agency's employees are over the age of forty. SOAH has quite an experienced workforce, with 75 percent of its employees holding greater than five years' service, and 52 percent have worked for SOAH over ten years. SOAH recognizes the importance of the ethnic diversity of its workforce and continues to aim to maintain or surpass the diversity of the statewide civilian workforce.

Table 1, on the following page, is the Workforce Utilization Analysis for SOAH. The analysis focuses on diversity in the workforce and allows the agency to evaluate the level of diversity within its workforce. It illustrates that SOAH has underutilization that should be addressed as vacancies become available in the applicable job category. In the categories of Official/Administrator and Technical, the under-representation is a result of the low number of employees and low turnover in these categories. Over one-half of SOAH's employees (62) are in the "Professional" job category, and 55 of those employees are Administrative Law Judges (ALJs). Although the agency's statistical information would indicate underutilization of African Americans and Hispanics in the statewide Professional job category, SOAH's utilization of those employees who serve as ALJs (3.7 percent) is only slightly below the percentage of African Americans (4.0 percent) represented in the Administrative and Public Law Section of the State Bar of Texas and is 1.13 percent higher (9.13 percent) than the Hispanic category (8% in 2015-16). (*See Attorney Statistical Profile for 2015-2016* compiled by the State Bar of Texas Department of Research and Analysis.)

The EEOC's Rule of 80 is used to determine underutilization. Underutilization is considered statistically significant if the percent utilization in the state agency's workforce is below 80 percent of that in the civilian workforce. To calculate underutilization, multiply the civilian workforce percentage by 0.8 to determine 80 percent of the civilian workforce. If the resulting number is greater than the percentage in the agency's workforce for the same job category, then underutilization is identified. The "percentage under" is the difference between 80 percent of the civilian workforce and the agency's workforce in that job category. The agency must increase the percentage of employees in that job category by the "percentage under" to alleviate underutilization.

The majority of SOAH’s employees have education beyond high school, with over 50 percent having advanced degrees, as ALJs are required to be licensed attorneys. It is critical to the mission of the agency to recruit, hire, train and retain attorneys who possess the required education and experience to hear and manage the cases in SOAH’s jurisdiction. The career plan for ALJs provides for recruiting and hiring at the entry level of the plan whenever possible and training these employees in-house, through regular training programs and mentoring by more experienced ALJs. This has enlarged the applicant pool, resulting in a more diversified group of applicants for posted ALJ positions.

TABLE 1
EEOC/SOAH Workforce Utilization Analysis

AFRICAN AMERICANS

	State Civilian Workforce		SOAH Workforce		Underutilization (% Under)
	Number	Percentage	Number	Percentage	
Official/Administrator	84,631	7.12%	0	0%	5.69%
Professional	282,719	10.96%	3.75	6.25%	2.26%
Administrative Support	235,166	13.57%	8.0	20.38%	No
Skilled Crafts	214,847	9.52%	N/A	N/A	N/A
Technicians	46,818	13.75%	0	0%	N/A
Protective Services	46,987	16.96%	N/A	N/A	N/A
Service and Maintenance	286,389	12.22%	N/A	N/A	N/A

HISPANIC AMERICANS

	State Civilian Workforce		SOAH Workforce		Underutilization (% Under)
	Number	Percentage	Number	Percentage	
Official/Administrator	248,511	20.90%	0	0.0%	16.72%
Professional	478,450	18.55%	8	10%	4.84%
Administrative Support	571,475	33.00%	14.5	36.94%	No
Skilled Crafts	1,111,550	49.26%	N/A	N/A	N/A

Technicians	98,122	28.82%	0	0%	%
Protective Services	83,144	30.01%	N/A	N/A	N/A
Service and Maintenance	1,259,014	53.71%	N/A	N/A	N/A

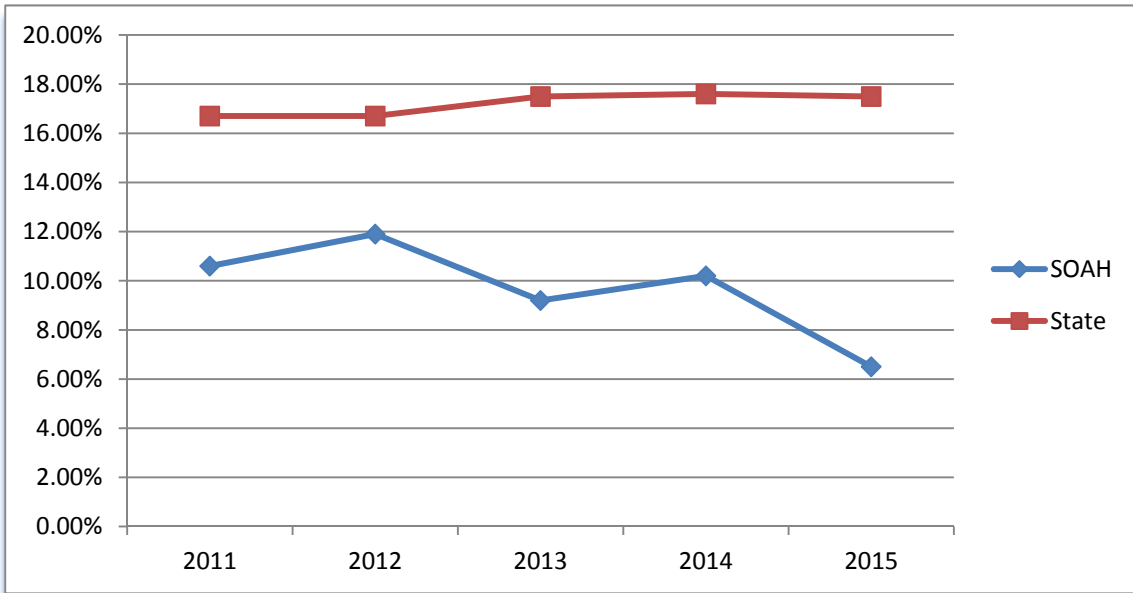
FEMALES

	State Civilian Workforce		SOAH Workforce		Underutilization (% Under)
	Number	Percentage	Number	Percentage	
Official/Administrator	445,659	37.48%	4	57.14%	No
Professional	1,415,048	54.88%	30	48.38%	No
Technicians	174,702	51.31%	0	0.0%	No
Administrative Support	1,260,817	72.80%	34.25	86.95%	No
Skilled Craft Workers	251,141	11.13%	N/A	N/A	N/A
Protective Services	68,104	24.58%	N/A	N/A	N/A
Service and Maintenance	1,386,907	40.79%	N/A	N/A	N/A

I. Employee Turnover.

Significant employee turnover impacts any organization, and SOAH is no exception. SOAH's turnover rate is consistently lower than the statewide average. During FY 2011, SOAH's turnover rate was 10.6 percent, 6.1 percentage points lower than the FY 2011 statewide average of 16.7 percent. In 2012, the rate rose slightly to 11.9 percent; however, it remained much lower than the 16.7 percent statewide average. The rate dropped significantly in FY 2013 to 9.2 percent, a sharp contrast to the statewide rate of 17.5 percent. Although the rate rose in FY 2014 to 10.2 percent, it was 7.4 percent lower than the statewide average of 17.6 percent. In FY 2015, SOAH's turnover dropped sharply to 6.7% while the statewide average held steady at 17.5%. It should be noted that SOAH's turnover rate includes interagency transfers, while the statewide rate does not. SOAH expects its turnover rate to increase over the next few years due to a likely increase in employee retirements. The following graph compares the average SOAH turnover to that of the state over the last five years.

TURNOVER RATE – AGENCY TOTAL



II. Length of Service.

The greatest percentage of employee turnover experienced in FY 2015 was among employees with agency service of two – five years, with a turnover rate of 28.6 percent. The statewide average for this category was 19.43 percent. The “less than two years” category experienced a turnover rate of 6.0 percent, compared to a statewide turnover rate of 27.76 percent. SOAH experienced no turnover for those employees in the “5 to 9.99 years” group, compared to the statewide rate of 25.23 percent in that category. The rate of turnover for employees with more than ten years’ service but less than fifteen was 5.6 percent for SOAH employees and 15.24 percent statewide. The agency experienced a turnover rate of 8.4 percent for employees with fifteen but less than twenty years of service compared to a statewide rate of 6.4 percent. There was no turnover for SOAH employees with more than twenty years of service. The statewide rate for this category was 3.75 percent. The agency began operating in 1992, so there are no employees with more than twenty-five years of service. Thirty-three percent of those leaving SOAH service were due to retirement. This trend is expected to continue and even increase as more employees reach retirement age. SOAH must continue to provide meaningful training and implement retention strategies which will provide incentive for these more experienced employees to remain with the agency.

Length of Service related to Turnover and Agency Workforce, 8/31/2015				
	SOAH Turnover Rate	State Turnover Rate	SOAH % Current Workforce	State % Current Workforce
Less than 2 years	6.0%	33.7%	15.44%	27.76%
2 - 5 years	28.6%	15.2%	9.68%	19.43%
5 - 10 years	0%	8.2%	23.27%	25.23%
10 - 15 years	5.6%	10.0%	16.59%	15.24%
15 – 20 years	8.4%	9.7%	21.89%	6.4%
20-25 years	0%	13.7%	13.13%	4.5%

III. Age.

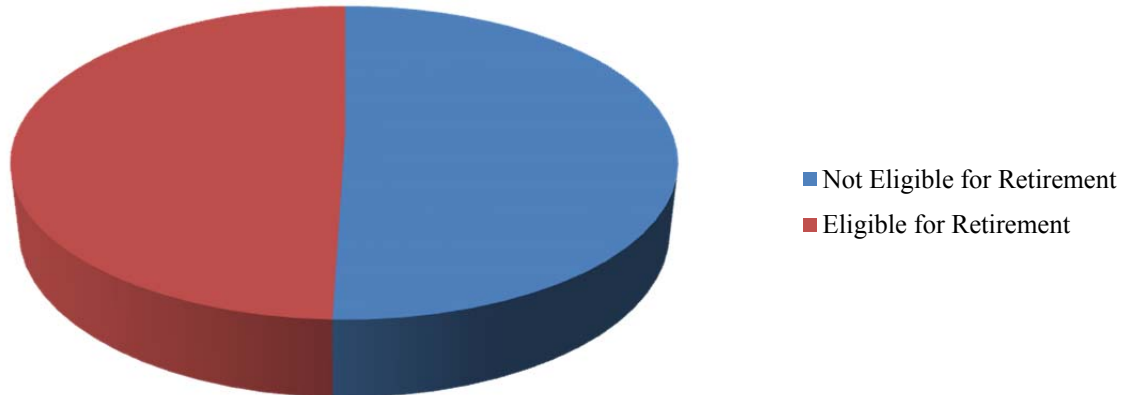
SOAH’s turnover rate is substantially lower than the statewide rate in all age categories. SOAH employs a much higher percentage of employees who are over forty years of age than the statewide average.

Age related to Turnover and Agency Workforce, 8/31/2015				
	SOAH Turnover Rate	State Turnover Rate	SOAH % Current Workforce	State % Current Workforce
Under 30	0.0%	35.2%	4%	16.93%
30 - 39 years	8.0%	15.9%	12%	22.77%
40 - 49 years	0.0%	10.2%	23%	25.54%
50 - 59 years	4.5%	13.2%	41%	24.09%
60 - 69 years	18.4%	20.3%	20%	9.7%
70 years or older	0.0%	20.5%	0.0%	0.07%

IV. Percentage of Workforce Eligible to Retire within the Next Five Years.

SOAH currently has approximately 53 employees (49 percent of SOAH’s current workforce) who will meet retirement eligibility requirements within the next five years. Of these employees, 36 (68 percent of those eligible) are ALJs. While all areas of the agency are likely to be impacted by retiring staff, the greatest impact will most likely be among the ALJs. Over the next five years, retirement separations continue to be a critical issue because of the potential loss of institutional knowledge, key positions, and expertise due to the large number (45 percent) of current employees with ten or more years of service with the agency. It is important to ensure that SOAH’s institutional knowledge and organizational experience is not lost.

Retirement Eligibility within Five Years



V. Projected Employee Five-Year Turnover Rate.

Based on the average turnover rate within SOAH during the past five years, the projected turnover rate for the agency for the next five years is 9.68 percent. Although SOAH's turnover rate is far below that of the statewide rate, the number of employees who will become eligible for retirement will most likely significantly increase the turnover rate.

VI. Workforce Skills Critical to the Mission and Goals of the Agency.

SOAH employs primarily five occupational categories: legal, information technology, hearings support, fiscal (accounting and finance), and human resources. Several critical skills have been identified that are vital to maintaining SOAH's ability to accomplish its mission. These skills include:

- *Case Management*
- *Presiding Skills*
- *Writing Skills*
- *Customer Service*
- *Timeliness*
- *Technical Expertise*
- *Decision Making*
- *Teamwork*
- *Flexibility*
- *Management Skills*

Based on workforce analysis, SOAH personnel currently exhibit competence within the intermediate to advanced level in the occupational categories for most of the critical competencies.

Future Workforce Profile

The demand for the services of the agency will remain constant or will grow in general relation to the population of the state unless legislative actions require a different administrative hearings process or transfer additional agencies or work to or from SOAH's jurisdiction.

I. Future Workforce Skills Needed.

- *Increased use of technology to provide public access to the hearings process, to provide for more efficient filings, employee training, and reduced travel;*
- *Advanced training in the Individuals with Disabilities Education Act (IDEA) laws for ALJs and support staff handling these cases;*
- *Continued improvement in writing skills for non-ALJ employees;*
- *Quality management education for team leaders and non-ALJ managers;*
- *Improved technical training for agency staff as the agency updates its software and programs.*

II. Anticipated Increase/Decrease in Number of Employees Needed to do the Work.

Although retirements will likely affect the agency's pool of institutional knowledge, no overall increase is expected in the number of authorized full time employees (FTE) needed to support SOAH's mission absent transfer of additional agencies or hearings. It is anticipated that more ALJs and support staff will be needed in FY 2017 as the current IDEA work will expand in that year, and will likely expand further in FY 2018 and FY 2019; however, those positions will be filled from the current authorized FTEs.

SOAH is scheduled to migrate to the Centralized Accounting and Payroll System (CAPPS) during FY 2017. It is anticipated that during the planning stages and migration period, two FTEs will be needed to support the successful completion of the project.

III. Functions Critical to the Success of the Strategic Plan.

All of SOAH's employees contribute to the success of the agency's mission. The following functions have been identified as those that are most critical to the accomplishment of SOAH's strategic plan.

- *Conducting Hearings;*
- *Conducting Mediations;*
- *Docketing;*
- *Issuance of Proposals for Decision; and*
- *Processing of Administrative License Revocation Appeals.*

Gap Analysis

I. Anticipated Shortage of Workers or Skills.

An analysis of the statistical data presented in this plan identify four areas requiring attention:

- *Difficulty in retaining and recruiting administrative support staff;*
- *Need to increase the diversity of the agency;*
- *Need for continued staff training and development; and*
- *Potential loss of knowledge, skills, and abilities due to retirements.*

Retention of current employees and recruitment of qualified future employees remain a priority for the agency. The agency is beginning to experience a direct correlation between the job categories with the highest turnover and those who are eligible for retirement. Those most likely to separate from the agency for reasons other than retirement are those in administrative support job categories as opposed to those in professional and management positions. However, it is important for the agency to prepare for key talent and knowledge drain when those eligible for retirement opt to leave SOAH.

Traditionally, the Administrative Assistant category has consistently had a higher rate of turnover within the agency compared to other job classes; however, the agency is beginning to experience a trend of turnover in other classes, largely due to retirements. Although SOAH's turnover rate in the Administrative Assistant category was only 4.7% in FY 2015, the agency has experienced a 9% turnover during the first three quarters of FY 2016. While experiencing no turnover in 2015, the Docketing Division has experienced a 30% turnover in the first three quarters of 2016. Although much of this turnover has been experienced in entry-level positions and with employees with short-term agency tenure, 12 employees (34 percent) in the hearings support areas (deputy clerks, administrative assistants, and legal assistants) will be eligible for retirement within the next five years. Retaining these employees will maintain the efficiencies that could be lost while replacement employees are trained, and will assuredly benefit SOAH by continuing and maintaining the agency's institutional knowledge base.

Gap	Higher turnover in the administrative support category of employees
Goal	Develop a Human Resources plan to improve recruitment, training and retention of administrative support employees.
Rationale	Development of a plan and implementation of improved recruitment methods, in-house training, and mentoring of new employees should give incentive to employees to seek advancement within the agency rather than leaving to find advancement.

Action Steps	<ul style="list-style-type: none"> • Seek out new sources of training and development to allow staff to develop and improve knowledge, skills and abilities • Continue to devise and implement new non-pay based retention strategies which create a culture conducive to increased longevity of current staff • Strive to maintain salaries that are competitive with those in other state agencies.
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SOAH must be prepared for the potential loss of knowledge, skills and abilities due to retirement of its employees.

Gap	The potential for loss of knowledge, skills and abilities exists due to retirement of SOAH personnel.
Goal	Lessen the potential negative effect of retirement of experienced staff by recruiting highly qualified ALJ and support staff candidates and continuing to train current staff in preparation of succession into more responsible positions.
Rationale	Training current staff for promotion into team leader and management positions will increase the qualified pool of employees who may move into those positions. Recruiting highly qualified ALJ and support staff candidates will decrease the amount of time needed for training to bring the staff up to the level of competence needed for job success.
Action Steps	<ul style="list-style-type: none"> • Continue to seek out and recruit highly qualified ALJ and support staff candidates through the use of the statewide Work in Texas tool as well as other recruiting sources • Continue to cross-train ALJs through the use of home teams and assignments with selected teams • Use management training resources to further develop management skills within the agency management staff to allow succession into higher level management positions.

Strategy Development

I. Succession Plan.

SOAH continues to develop its plan to ensure continuity of leadership and knowledge in all areas. The agency has recognized the need for the transference of knowledge in mission-critical areas and has incorporated a system for ensuring that this knowledge is not lost. Factors that SOAH’s management and human resources have considered during this development process include the need for replacement of key management and staff personnel who may be lost due to retirement or other turnover. To facilitate the transference of knowledge and provide for well-developed, qualified, ongoing leadership, the agency has taken the following steps:

- *Developed mentoring, coaching, and cross-training practices;*
- *Designed Team Leader and Team Leader back-up positions to provide management training for potential management candidates;*
- *Implemented career ladders to allow for advancement from entry and mid-level positions;*
- *Developed meaningful performance evaluations that help to identify potential management candidates;*
- *Provided staff career development focusing on management skills;*
- *Incorporated knowledge transfer processes;*
- *Recruited highly qualified candidates to fill vacancies; and*
- *Identified personnel with high potential for management success;*
- *Developed “ALJ University”, an in-house information system to allow ALJs to quickly gather information on referring agencies and cases.*

The success of continuity planning is greatly affected by an agency’s rate of retention of highly qualified personnel with valuable skills. SOAH is committed to the retention of its high-performing staff and has implemented the following retention strategies:

- *Providing competitive salaries and merit increases when funds permit;*
- *Making work culture and environment pleasant, supportive, and collegial;*
- *Integrating staff development with career ladders;*
- *Requiring meaningful performance reviews;*
- *Providing flexible work hours;*
- *Working from home;*
- *Recognition programs;*
- *Promotion of state benefits;*
- *Providing an Employee Assistance Program;*
- *Development of employee wellness initiatives; and*
- *Agency support of work/life balance.*

Executive support of the agency’s succession plan will ensure that highly qualified employees will be prepared to transition into leadership and mission-critical positions in the future.

SURVEY OF EMPLOYEE ENGAGEMENT RESULTS

SOAH participated in the Survey of Employee Engagement for the second consecutive biennium. The overall score of 371 did not change from 2014 to 2016 and is considered a desirable score. Although the response rate for 2016 was down from 2014, the current response rate of 66.3% is considered high, indicating that SOAH employees have an

investment in the organization and are willing to contribute towards making improvements within the workplace.

The agency's levels of employee engagement are slightly higher than the average nationwide levels. Noted areas of substantial strength include the strategic, supervision, and workgroup constructs. The strategic construct captures employees' perceptions of their role in the organization and its mission, vision, and strategic plan. SOAH's high scores suggest that employees understand their role in the organization and consider its reputation as positive. The higher supervision scores suggest that SOAH employees view their supervisors as fair, helpful, and critical to the flow of work. The higher workgroup scores suggest that employees view their workgroup as effective, cohesive, and open to the opinions of all members.

Areas of concern include compensation (including benefits), information systems, and employee development. The agency plans to incorporate follow-up surveys to develop a better understanding of employee concerns in these areas.

While 28% of those participating in the survey stated that they are eligible to retire within the next two years, none of those who participated stated that they intend to leave the agency within the next year.

APPENDIX G

**State Office of Administrative Hearings
Report on Customer Service
Fiscal Year 2015**

**Inventory of External Customers Served and
Description of the Information-Gathering Methods Utilized to
Obtain Input from Agency Customers**

The State Office of Administrative Hearings (SOAH) conducts an annual Customer Satisfaction Survey in order to report its measure, “Percentage of Participants Surveyed Expressing Satisfaction with Overall Process.” The data collection begins with the compilation from SOAH’s case databases (the case management system for general docket cases and Lotus Notes for the administrative license suspension cases) of a list of the cases in which the hearing or alternative dispute resolution process was completed during the fiscal year. For Fiscal Year 2015, the list was taken from cases completed after September 1, 2014. A computer program then randomly selects from among all those cases’ participants the persons to whom the survey will be sent. Targeting participants in completed cases is designed to ensure that survey recipients have had meaningful contact with SOAH. Participants may be attorneys who have represented parties in hearings and parties themselves.

Data collection and preparation of the survey document occurred in May 2015. The survey was disseminated in June 2015, with responses to be returned in approximately 30 days. SOAH administered the survey through SurveyMonkey. Results were tabulated by mid-August and are reported in SOAH’s report of annual measures to the Legislative Budget Board. Also, SOAH is required to report survey results in its biennial Legislative Appropriations Request.

By postcard advising them of the availability and Internet location of the survey, SOAH notified 1,100 individuals of the FY 2015 survey. Of those, only 16 individuals responded to it, for a return rate of 1.5%. Survey responses are anonymous except where the responding individual included his or her name.

SOAH cannot explain the low return rate for the FY 2015 survey. Two recipients of the postcard referred to in the preceding paragraph notified SOAH that they could not access the survey on SurveyMonkey. When SOAH investigated, it found the survey accessible and operating as designed and intended. In any event, in response to a management recommendation made by the Sunset Advisory Commission during its 2015 review, SOAH has revamped the manner in which its customer service survey will be conducted. The new method will attempt to reach significantly more, though perhaps not all, participants in its cases. The survey will continue to be conducted electronically.

CUSTOMER-DETERMINED SERVICE QUALITY CHART

Survey Inquiry Question	Satisfied	Dissatisfied	No Opinion	Percentage Satisfied
STAFF: Courtesy and professionalism	14	0	2	100.0%
Responsiveness to inquiries	13	0	3	100.0%
Knowledge of SOAH Procedures	13	0	3	100.0%
JUDGES: Knowledge of applicable laws and procedures	13	2	1	86.7%
Clarity and quality of writing	13	0	3	100.0%
Timeliness of decisions	13	0	3	100.0%
Courtesy and professionalism	15	0	1	100.0%
Fairness and efficiency of hearing	14	1	1	93.3%
MEDIATION: ¹ Satisfaction with process	3	0	13	100.0%
FACILITIES: Adequacy of hearing rooms	10	1	5	91.0%
Office location and accessibility	12	1	3	92.3%
COMMUNICATION: Quality of written materials	12	1	3	92.3%
Website usefulness	9	2	5	81.8%

¹ To tabulate the satisfied/dissatisfied percentages for mediation, SOAH counted only the responses from responders who had participated in mediations. Only four responders had participated in mediation.

CUSTOMER SATISFACTION SURVEY OVERALL RESPONSE FY 2015

YEAR	TOTAL SENT	TOTAL RESPONSES	% OVERALL SATISFACTION
2015	1100	16	97.01%

Analysis of Survey Findings and Responses to Comments Received

SOAH acknowledges that the response rate for the FY 2015 survey was quite low. As mentioned earlier, SOAH has revised the survey process to attempt to reach significantly more, though not all, hearing participants. Nevertheless, the overall satisfaction rate of 97% is a positive indicator that SOAH's work and the manner in which it implements its mission are well regarded. SOAH believes that the satisfaction rate indicates that it is successfully providing due process and a fair and independent forum for administrative contested cases. Where improvements can be identified, SOAH will endeavor to make them.

The analysis below focuses on specific suggestions and comments offered by survey respondents.

Overall satisfaction. Comments included:

► “Not what I expected as to how proces [sic] was done. More of a trial type scenario, I did not have an attorney because I was advised it was not necessary, but the hearing is conducted as a trial and court rules pretty much applied.”

► “Thank-you for UPHOLDING the DRY designation of the protected Houston Historic District of Heights South recognized by the City of Houston and the State of Texas, with borders of Heights Blvd to Oxford/4th to 11th within the historically dry gentrified single family neighborhood[.] I appreciate knowing that the process was non-biased, and represented the neighborhood, by not bowing to outside influences. THANK-YOU for making this process possible.”

► “Your judge found that ‘the State provided no evidence’ to prove their case and then reduced my max penalties to the low end of the range. How can you be found not guilty and then get a fine anyway. The whole system is rigged, not least because the judge’s decision goes to the head of the state agency whom I am engaged in a lawsuit. If I had know [sic] that at the beginning, I would have suggest we have my wife review the judge’s decision with impartiality. I also don’t like the idea that I am not afforded a jury. The trial was a sham. The state agency falsified government documents with zero evidence to support their claim of that any Level B criteria were met. It was a sham. DADS agents falsified government documents, their lawyer pressed

forward with the fraud knowing full well that her co-workers falsified government documents. And the judge enables their behavior by getting the findings of fact correct, but giving them a pass when she incorrectly ruled that even though no evidence was present, we should be fined for something since we are here. A complete joke. We were taken advantage of. This state is incompetent.”

► “I received it through the mail.”

SOAH appreciates all of the comments. It believes that the positive comment is reflective of the high level of satisfaction expressed in the survey. SOAH regrets that the commenter making the critical comment found the process lacking. However, given the anonymity provided by the survey, SOAH does not have details that would allow it to research the particulars of the case. SOAH points out, however, that proposals for decision and final decisions are peer-reviewed for clarity, logic, legal soundness, and judicial tone before they are issued. The proposal for decision issued in the commenter’s case would have been reviewed accordingly, and presumably, the ALJ described the evidence and explained the reasons and justifications supporting the findings of fact, conclusions of law, and the penalty recommendation.

To the comment that the hearing was not what the self-represented litigant expected, and that the hearing was conducted as a trial, SOAH notes that it is engaged in a project to enhance and expand the information available on its website to self-represented litigants. However, its website currently contains information, and has contained information for many years, about the process and the manner in which hearings are conducted, and cites and provides links to pertinent statutes and rules. SOAH has always worked hard to ensure as much as possible that self-represented litigants understand how hearings will be conducted and how they can prepare for them.

Courtesy and respect.

► “I was impressed by the overall courtesy and respect I received.”

SOAH is gratified at the comment. It strives to treat everyone with courtesy and respect, and it is an expectation for the employees.

Website usefulness.

► “SOAH decisions are not reasonably, electronically searchable to find precedent on a topic. This should be remedied.”

SOAH understands that the search function on its website has limitations, but it is functional. The Legislature appropriated funds to SOAH for the purchase and implementation of an integrated case management system. The current timeline for implementation of the general

docket portion of the system is early FY 2018. One of the goals for the new system is to have a smooth and user-friendly search function.

**Performance Measure Information
Related to Customer Service**

Customer Service Measure	FY 2015
Percentage of Surveyed Customer Respondents Expressing Overall Satisfaction with Service Received	97.01%²
Percentage of Surveyed Customer Respondents Identifying Ways to Improve Service Quality	6.25%
Numbers of Customers Surveyed	1,100
Number of Customers Served³	45
Cost per Customer Surveyed⁴	\$0.54
Number of Customers Identified	1,100
Number of Customer Groups Inventoried	1

SOAH’s satisfaction percentage has ranged from 79% in FY 2011 to 76.6% in FY 2014. The average satisfaction rate over the last five fiscal years is 86%. SOAH estimates that its performance in FY 2016 will be in this range.

² This percentage is calculated as a compilation of pertinent survey responses and was the number reported to the Legislative Budget Board for the performance measure.

³ Number of Customers Served refers to the number of agencies for which SOAH did work in FY 2015. Some agencies referred large number of cases and all cases involved more than one party. Therefore, the figure for customers surveyed is much larger than the number of customers served.

⁴ Cost per customer surveyed includes the cost of postage, but does not include administrative costs incurred to prepare and distribute the survey and review the responses.