

# TEXAS STATE BOARD OF DENTAL EXAMINERS



## AGENCY STRATEGIC PLAN

FISCAL YEARS 2015 – 2019



**AGENCY STRATEGIC PLAN**  
**FISCAL YEARS 2015 – 2019**  
**TEXAS STATE BOARD OF DENTAL EXAMINERS**

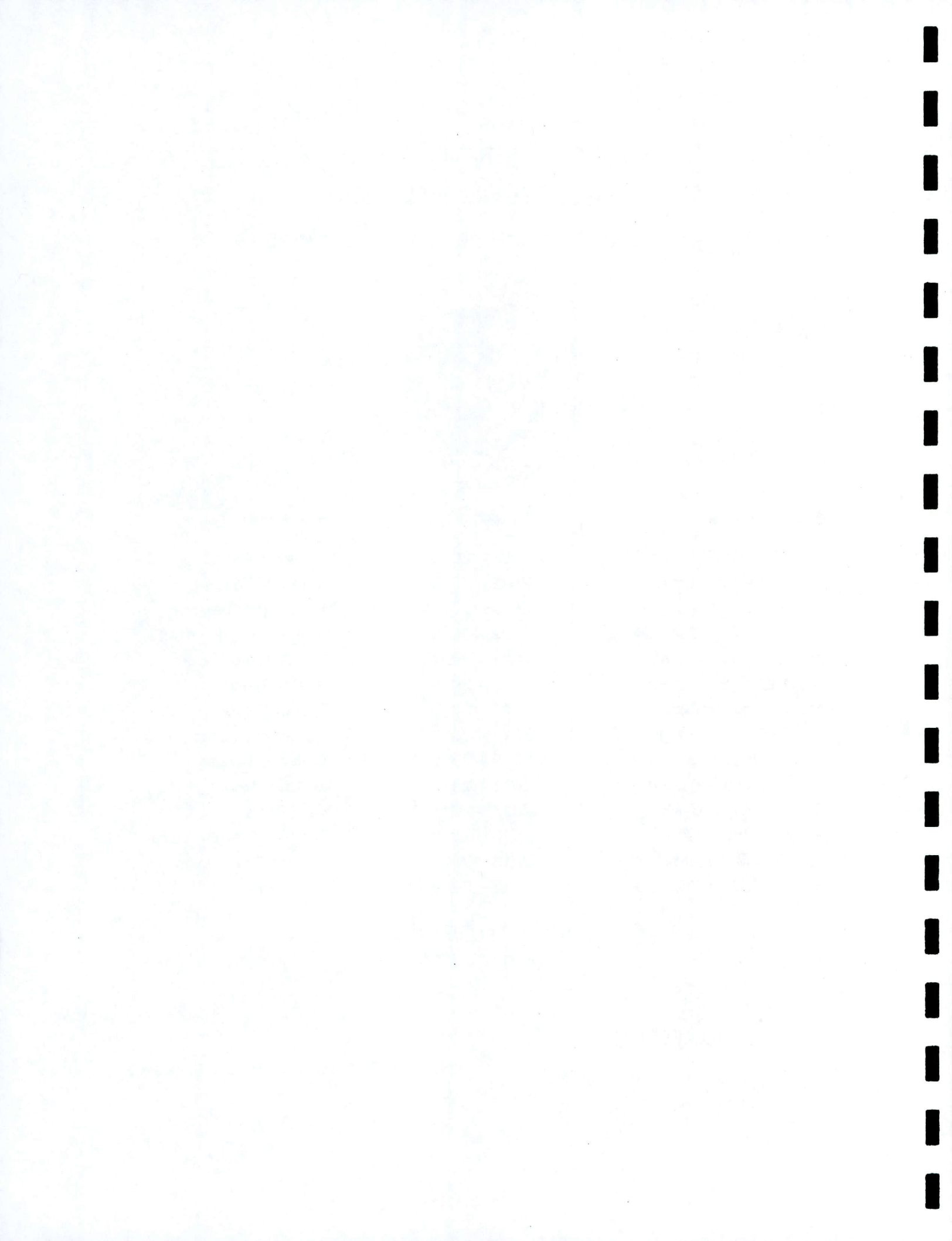


<b>Board Member</b>	<b>Dates of Term</b>	<b>Hometown</b>
Dr. Rodolfo G. Ramos, Jr.	2009 – 2015	Houston, Texas
Dr. Steven J. Austin	2013 – 2019	Amarillo, Texas
Dr. Kirby Bunel, Jr.	2013 – 2019	Texarkana, Texas
Dr. James W. Chancellor	2009 – 2015	Garden Ridge, Texas
Ms. Emily W. Christy	2011 – 2017	San Antonio, Texas
Ms. Renee S. Cornett, RDH	2009 – 2015	Austin, Texas
Dr. D. Bradley Dean	2011 – 2017	Frisco, Texas
Dr. Tamela L. Gough	2011 – 2017	McKinney, Texas
Ms. Whitney Hyde	2009 – 2015	Midland, Texas
Dr. Christine M. Leedy	2011 – 2017	Abilene, Texas
Ms. Evangelia V. Mote	2011 – 2017	Katy, Texas
Mr. Timothy J. O'Hare, JD	2013 – 2019	Farmers Branch, Texas
Ms. Lois M. Palermo, RDH	2013 – 2019	League City, Texas
Mr. Lewis M. White, JD	2013 – 2019	Katy, Texas

DATE OF SUBMISSION:  
June 23, 2014

Julie Hildebrand, Executive Director

Rudolfo G. Ramos Jr., DDS, Presiding Officer



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## **Statewide Mission, Philosophy, Goals and Benchmarks**

The following statewide strategic planning elements for Texas State Government promulgated by the Governor in *Strengthening Our Prosperity* are applicable to the Texas State Board of Dental Examiners (Board). The Board's Strategic Plan contained herein is in alignment with these elements.

### **The Mission of Texas State Government**

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

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

### **The Philosophy of Texas State Government**

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

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

## **Relevant Statewide Goals and Benchmarks**

### **Regulatory**

#### *Priority Goal*

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

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

#### *Benchmarks*

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

### **General Government**

#### *Priority Goal*

To provide citizens with greater access to government services while reducing service delivery costs and protecting the fiscal resources for current and future taxpayers by:

- Supporting effective, efficient, and accountable state government operations;
- Ensuring the state's bonds attain the highest possible bond rating; and
- Conservatively managing the state's debt.

#### *Benchmarks*

- Number of state services accessible by Internet; and
- Total savings realized in state spending by making reports/documents/processes available on the Internet and accepting information in electronic format.



## **Agency Mission and Philosophy**

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### **The Mission of the Texas State Board of Dental Examiners**

The Mission of the Texas State Board of Dental Examiners is to protect the public health and safety and promote high quality and safe dental care by providing enforcement, licensing, peer assistance, and related information services to licensees and their patients.

### **The Philosophy of the Texas State Board of Dental Examiners**

In carrying out our Mission, the Texas State Board of Dental Examiners will act with the highest standard of ethics, accountability, efficiency, transparency and responsiveness. We will preserve the public trust by regulating the practice of dentistry with a sense of purpose and responsibility and in a fair and impartial manner. We will commit to excellence and professionalism in responding to the needs of the public and the regulated profession that we serve.

## **External/Internal Assessment**

### **Overview of Agency Scope and Functions**

The Texas Occupations Code, Title 3, Subtitle D, Chapters 251 et. seq., (Dental Practice Act) defines the practice of dentistry and charges the Board with the responsibility for regulation of such practice. Further, the Health and Safety Code, Title 6, Chapter 467, Peer Assistance Program, authorizes the Board to make contract peer assistance services available to licensees. General rulemaking authority is granted to the Board under Section 254.001 of the Dental Practice Act and authority to address specific subjects is granted throughout the Dental Practice Act.

For well over a century, the State of Texas has required examining boards to safeguard the dental health of all Texans by licensing qualified dental professionals, and by sanctioning violators of laws and rules regulating dentistry. The earliest legislation regulating dentistry in Texas was in 1889, when a board of examiners composed of three practicing dentists was appointed in each judicial district. In 1897, the district system was replaced by one board, the Texas State Board of Dental Examiners, comprised of six dentists appointed by the governor for a term of two years. The number of members was raised to nine dentists in 1919, and the term was changed to six years in 1971. In 1981, the number was raised to 12 with the addition of three public members. Two dental hygienists and one additional dentist were added to the composition of the board in 1991, raising the number to 15. In 1995, the number of public members was raised to six, for a total of 18 members. In 2003, the number was lowered back to 15, with eight dentists, two dental hygienists, and five public members.

The main functions of the Board are:

- License qualified dentists and dental hygienists after successful completion of a clinical examination, and/or by credentials;
- Register dental assistants after successful completion of required education and subsequent competency examination;
- Register qualified dental laboratories;
- Register mobile/portable dental units;
- Annually renew dental and dental hygiene licenses and dental assistant and dental laboratory registrations;
- Investigate all complaints received;
- Prosecute complaints through informal or formal disciplinary means as provided by applicable statutes; and
- Monitor on-going compliance of disciplined licensees/registrants with their respective Board Orders.

The following section, and other sections of this Strategic Plan, detail and discuss the Board's relevant organizational and fiscal aspects, current year activities, service population demographics, technological developments, economic variables, impact of state and federal statutes/regulations, and other legal issues and their implications for

Board activities, services, and performance. Accordingly, imbedded throughout this Strategic Plan are the results of the Board's current self-evaluation (along with plans for additional self assessments) and identification of opportunities for improvement that address these issues.

### **Organizational Aspects**

The members of the Board are appointed by the Governor, with the advice and consent of the Senate, for staggered terms. The Presiding Officer is also appointed by the Governor. The Board elects a Secretary annually. The Board Presiding Officer appoints Board members to serve on committees periodically to undertake review of various topics relating to the regulation of dentistry in Texas. Additionally, per the Dental Practice Act, the Dental Hygiene Advisory Committee (DHAC) advises the Board on matters relating to dental hygiene. The DHAC is composed of six members, three hygienists and two public members appointed by the Governor and one dentist appointed by the Board. Members of this advisory committee serve staggered six-year terms. The Dental Laboratory Certification Council advises the Board on matters relating to dental laboratories and is composed of three members who are appointed by the Board to serve two year terms.

Board staff is comprised of 58 authorized full-time-equivalent positions and operates with an annual budget of approximately \$4.0M. In terms of comparing revenue collections to agency annual appropriations, in Fiscal Year 2013 the Board collected approximately \$9.4M (including the state's \$200 professional fee) and was budgeted approximately \$2.6M, with an excess of approximately \$6.8M that goes to the state's General Revenue Fund. The Board was appropriated approximately 28% of its revenue.

Board staff accomplishes the Board's mission through six program divisions: Executive; Finance and Administration; Licensing; Dental Practice; Enforcement; and Legal. The Board offices are physically located in the William P. Hobby Jr., Building at 333 Guadalupe, Tower 3, Suite 800, Austin, Texas. Dental Board Investigative staff are geographically located throughout Texas. Separate government offices for support staff are not maintained at these field locations.

The Executive Division provides leadership and motivation to meet the Board's mission, manages the day-to-day operation of the agency, and ensures strategic goals are met. The Executive Division's success is guided by a management philosophy focusing on agency accountability to the public and the dental professionals it licenses, efficiency and consistency in providing its services, and open communication with our employees and our customers.

The Finance and Administration Division performs administrative and support functions for the agency including the internal operating budget, reporting of performance measures, purchasing, accounts payable, accounts receivable, travel reimbursement, payroll and personnel management, property management, and mail distribution.

The Licensing Division reviews, processes and issues licenses, registrations and certificates to applicant dentists, dental hygienists, dental assistants, dental laboratories, and mobile dental facilities. The Division also annually renews licenses, registrations and certificates. In serving the applicants and regulated professions, the Division provides information to applicants, licensees, and the general public.

The Dental Practice Division conducts the preliminary review of complaints filed with the Board to determine if an investigation should be conducted to determine if the standard of care may have been violated by the licensee. The Division also serves as the liaison and coordinator of the Dental Review Panel and provides consultation and technical assistance to Board staff.

The Enforcement Division receives, processes and investigates complaints filed by the public. The Division also enforces compliance with disciplinary actions and conditions as set forth for each disciplinary case. In serving the public and the regulated professions, the Division interacts with the public, professional societies, dental schools, and state and/or federal regulatory agencies.

The Legal Division prosecutes violations of the laws and rules related to the practice of dentistry. The Division also provides adjudicative information to agency customers and provides legal services and guidance to the Board and agency staff relating to the regulation of the practice of dentistry and the administration of the agency.

### **Current Year Activities**

House Bill 3201 was passed during the 83<sup>rd</sup> Legislative Session and substantially reformed several Board procedures and increased both funding and full-time-equivalent positions. Additionally, the General Appropriations Act further increased funding and full-time-equivalent positions.

In FY 2014, Board staff increased from 36 full-time-employees to 54 currently budgeted full-time-employees. In order to accomplish such an increase in employees, substantial time has been spent hiring and training new employees and substantial financial resources have been spent in restructuring the Board's physical location and infrastructure. It is expected that in FY 15, it is expected that at least two additional full-time-employees will be added to the current staff.

Additional employee and financial resources have been employed to implement the mandates in HB 3201. The Board has accomplished each milestone listed below.

- The Board has collected information described in Section 254.019 of the Dental Practice Act (i.e., relating to ownership of dental practices and agreements with dental service organizations) from dentists and will provide a report regarding such information to the legislature on November 1, 2014. The information will be collected on an on-going basis and will be reported to the legislature on a bi-annual basis.

- The Board has instituted processes to conduct a preliminary inquiry on a complaint received to determine whether to open an investigation.
- The Board has appointed and begun to use a Dental Review Panel to assist with the review of complaints related to professional competency.
- The Board has instituted processes to issue Remedial Plans to resolve complaints with non-disciplinary action when appropriate.

Specifically, the addition of the Dental Director position has dramatically increased the Board's ability to process complaints via the preliminary inquiry and the use of a Dental Review Panel.

All of these new processes and the increase in both funding and full-time-equivalent employees will significantly improve the quality and efficiency of the services provided in meeting the needs of the people of Texas. To date in FY 2014, the Board has decreased its caseload by 10% from 1,306 cases on September 1, 2013 to 1,164 cases on June 15, 2014. Additionally, the Board has decreased the average age of an open case by 18 days from 341 days on September 1, 2013 to 323 days on June 15, 2014. It is expected that improvements in case resolution will continue throughout the strategic planning period.

### **External/Internal Assessment Issues and Trends**

In conducting an external assessment, the Board collected and analyzed information from several sources including a Customer Service Survey, Stakeholder Input Process, an Industry Assessment, the Survey of Employee Engagement, and separate Board Member and Management Strategic Planning Sessions. The Board conducted a thorough analysis of its past, current and future position and its expectations for internal and external change. It was determined that the following current and future major issues may affect the Board's operations and results in meeting the needs of its customers. These issues have formed the basis for the development of all of the elements of the Strategic Plan.

#### ***Public Protection***

The Board serves the entire population of the State of Texas. According to the Texas Comptroller of Public Accounts, Texas' population will increase, on average, 1.7 % per year during the planning period.

The American Dental Association, in a recent environmental scan, found that, despite the continued increase in the state's population, utilization of dental care has declined among working age adults and dental benefits coverage for adults has steadily eroded the past decade. Total dental spending in the U.S. has slowed, with public financing accounting for an increasing share. Dental care utilization among children has increased steadily in the past decade, a trend driven entirely by gains among low income children. The percent of children who lack dental benefits has declined, driven

by the expansion of public programs. Dental benefits are likely to continue to erode for adults, which could negatively influence dental care utilization.

Commercial dental plans will increasingly use more selective networks, demanding increased accountability through data and performance measures.<sup>1</sup> All of these trends will affect the services of the Board. The Board will have to focus on an increased child patient population, decreased dental care utilization by adults, and increased accountability from commercial dental plans, and institute changes as necessary to accommodate these trends.

In addition, the following major issues listed below were gleaned from Stakeholder, Board Member and Staff input.

### *1. Major Practice Issues*

With growing numbers of adults and children receiving anesthesia for dental procedures from providers with variable training, it is imperative to be able to track anesthesia-related adverse outcomes.<sup>2</sup> Dental office anesthesia poses an increased risk of death and other negative patient outcomes, especially in emergency situations. A review of the credentialing of training programs, licensee anesthesia permit requirements, anesthesia relation to dental office deaths, and emergency preparedness by licensees, will advance patient safety and quality.

The Dental Practice Act states that the Board may investigate infection control in the dental profession and adopt and enforce rules to control the spread of infection in the practice of dentistry as necessary to protect the public health and safety. The implementation of infection control recommendations is not uniform across all practices. Board rules relating to infection control should be reviewed and the standards communicated to licensees. In addition, investigations and enforcement should be increased to address this issue.

Texas is a plenary license state and dentists are allowed to practice in any specialty area without restriction. The Board does not have authority to grant specialty licenses. However, in order to make sound rulemaking and business decisions and to enforce the Dental Practice Act, it is important for the Board to be knowledgeable regarding a licensee's specialty qualification. The Board should be more diligent in its collection of information regarding a licensee's specialty. An additional issue related to dental specialties is in the area of business promotion. These rules should be reviewed by the Board and amended as necessary to protect the public.

Medicaid fraud by a dentist, although under the jurisdiction of the Health and Human Services Commission (HHSC), is a concern for the Board since it subjects the dentist to

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<sup>1</sup> American Dental Association, *A Profession in Transition: Key Forces Reshaping the Dental Landscape*, 2013.

<sup>2</sup> Lee, H. H., Milgrom, P., Starks, H., Burke, W. (2013), Trends in death associated with pediatric dental sedation and general anesthesia. *Pediatric Anesthesia*, 23: 741-746. doi: 10.1111/pan.12210

disciplinary action under the Dental Practice Act. In the future, the Board will be required to cooperate with HHSC in investigations, prosecution of cases and the communication of compliance information with licensees, in order to ensure future Medicaid compliance.

Several other practice issues will affect the regulation of dentistry in the coming years including the use of Botox and Lasers in dentistry, the dental treatment of sleep disorders, advances in three-dimensional technology, "do it yourself" dentistry, and other technologies in dentistry. The Board must stay abreast of the issues via Stakeholder input and the use of ad-hoc committees in order to analyze each issue and determine what action, if any, should be taken to protect the public.

## *2. New Practice/Provider Models*

According to the American Dental Association 2012 Health Policy Resources Center survey "Distribution of Dentists," the percentage of dentists who were owners decreased from 91.0 % in 1991 to 84.8 % in 2012 and the proportion of dentists who were solo practitioners decreased from 67.0 % to 57.5 %. Data from the U.S. Census Bureau from 2007 shows the number of office sites controlled by multi-unit dental companies increased by 49.0 % to 8,442. For dental firms with more than 10 offices, the number of offices they controlled increased from 157 in 1992 to 3,009 in 2007.

The trend towards larger, consolidated multi-site practices will continue, driven by changes in practice patterns of new dentists, a drive for efficiency, increased competition for patients, and other economic imperatives. This increase in dental group practices has led to the creation and increased prevalence of Dental Service Organizations. The Board currently collects information from licensees and these organizations and can issue cease and desist orders to any organization that is practicing dentistry. However, the Board does not have regulatory authority over these organizations. Therefore, the Board must be vigilant in ensuring that a dentist and his practice comply with the Dental Practice Act.

An additional result of the increase in dental group practices is new roles and responsibilities of dentists. The Board's current rules have not kept pace with the evolving responsibilities of a dentist as an owner, as a treatment planner, or as one of possibly several treatment providers. The Board should also analyze and determine the need to strengthen rules to ensure that a dental practice owner maintains responsibility for the practice and is routinely and actively involved in the daily operations of the practice.

There is growth nationwide and in Texas of the number of practicing dental hygienists and dental assistants and public perceptions and pressures to address better access to dentistry. There have been related changes to the scope and standards of practice and associated changes to and expansion of the roles and responsibilities of dental hygienists and dental assistants. The Board received opposing comments from stakeholders on this issue. There was both a belief that the Board should limit the

performance of irreversible surgical procedures to a dentist only and apply a team-based approach, headed by the dentist, as well as a belief that the Board should expand the roles of dental hygienists and dental assistants, to include the use of lasers and the administration of local anesthesia. The Board must strike an appropriate balance between these competing interests to ultimately protect the public and comply with the Dental Practice Act.

### *3. Minimum Licensing Standards/Continuing Education*

The Dental Practice Act gives the Board authority to develop a mandatory continuing education program for licensees. In developing this program, the board may: assess the continuing education needs of license holders; require license holders to attend continuing education courses specified by the board; identify the key factors required for competent performance of professional duties; develop a process to evaluate and approve continuing education courses; and develop a process to assess a license holder's participation and performance in continuing education courses to evaluate the overall effectiveness of the program.

Because some continuing education offerings have been inadequate to meet the changing needs and delivery models of dental practices, there has been a rise in rule and standard of care violations and other potential problems for patients. In the future, the Board must review the quality, content, hours, modality and curriculum standards of continuing education courses. Additionally, an auditing program of continuing education compliance should be instituted by the Board.

For the Board to be able to evaluate key factors required for competent performance, data collection by the Board regarding the types of standard of care cases that result in complaints will be necessary. An analysis of such data will benefit the public by allowing the Board to focus continuing education on current and emerging areas of concern.

### ***Organizational Excellence***

In this strategic planning period, it will be imperative for the Board to reach its goals and improve results by fully aligning the Board's plans, processes, decisions, employees and other resources, and actions with the identified issues and related desired results. "Organizational Excellence" as defined herein will provide the Board with an organizing framework to align and integrate efforts to maintain the public's confidence in its ability to meet its Mission. Historically, due to deficiencies in human and fiscal resources, the Board has been unable to make the development of the organization itself a priority. With new funding and associated full-time-equivalent positions, a new focus on the organization will optimize the value of the services delivered to the public, the regulated community and other stakeholders. It is the Board's goal to provide quality services and meet service demands and expectations. The Board must deliver consistent, fast and high quality outcomes for the public.



In order to improve overall agency effectiveness, the Board has determined that it will work to improve in the areas listed below. In devising its Action Plans the Board will involve employees and stakeholders in continuous improvement and problem solving activities. The Board will respond constructively to internal and external critiques. The Board will strive to move from reacting to problems to preventing them by establishing a more proactive approach.

Improving on the values listed below will increase the Board's ability to identify and solve problems.

*1. Accountability to the Public, Licensees, Board Members and Staff*

The Board firmly believes that it must be accountable to the public, licensees, Board members and staff. The foundation for accountability is the establishment of benchmarks by which achievement of the Board's goals, objectives and strategies can be measured. It is expected that the Board's services will benefit the public and licensees and that the Board will progress toward achieving increased service production and efficiency. Each division of the Board should have stated goals and internal performance measures that are not solely budgetary based.

As a means to increase the Board's efficiency in providing services, the Board has increased the number of employed staff this fiscal year. This has made a significant difference in the timeliness of the Board's work production. The timeliness will further improve over time as the Board becomes fully staffed and trained. In addition, the Board will seek out ways to reduce the complexity of its processes, improve online renewal processes, and eliminate waste. In reviewing the Board's processes, we will engage employees to originate process improvements, establish employee-driven work standards and encourage best practice sharing, and, ultimately, formalize these processes and policies.

The Board must also be proactive in the collection, management and use of data. Because of changes in the complexity of dental practices, the Board is facing a growing need to have the analysis of such data to anticipate and respond to inquiries, requests, and potential problems before they manifest in the form of patient harm.

Beyond establishing benchmarks and improving efficiency and data collection, the Board must also be transparent in each of the areas. Annual reporting of Board performance will inform the public on the Board's movement towards reaching its goals and the more widely sharing of data will allow the public to better navigate the dental care system.

Critical to the Board's future success in these areas is a continuous quality improvement focus supported by a self-assessment that will allow the Board to evaluate past performance in order to improve future performance. This self-assessment will also aid in the Board's preparation for its Sunset review in 2017.

The final foundation for accountability is the Board's commitment to customer service satisfaction. In the Board's *Report on Customer Service* the Board has placed a high priority on customer satisfaction and intends to improve satisfaction by deploying strategies that will allow the Board to continuously identify and assess customers' needs and satisfaction. The Board will update and formally post a revised *Compact with Texans* to reflect this renewed and enhanced customer focus.

## 2. *Fair and Impartial Regulation*

At the core of fair and impartial regulation is consistency in the Board's external relationships. The Board's stakeholders are very diverse and have exhibited possible conflicts in interests in the past. Because of this diverse and divergent customer base, the Board is challenged to devise systems and processes to be responsive to all stakeholders in an even-handed and transparent manner. Outside pressure from powerful interests and vocal organizations and the rise of new trends in the practice of dentistry, will challenge the Board in the future to develop proportional, balanced, appropriate, professional, effective and mission-critical rules and policies. A focus on fair and impartial regulation will encourage cooperation between the Board and its stakeholders and will result in increased public safety.

The first key area where the Board interacts with the public is in the development of rules. In the development of rules, the Board must focus on its highest priorities first, prioritizing the issues that will provide the most benefit to the public. The use of standing committees and the creation of a rules process similar to the legislative process would allow the Board to review the proposal of rules in a more efficient and balanced manner. The Board must ensure that it is making decisions based on a fair and impartial presentation of all sides of an issue. It must take into consideration expert testimony and not the presentations of parties with special interests. A process that it is adhered to will ensure that the Board fully considers each rule proposal. Additionally, the Board should fully utilize all resources that it has at its disposal including both the Dental Hygiene Advisory Committee and the Dental Laboratory Certification Council.

The second key area where the Board interacts with the public is in the enforcement of the Dental Practice Act. With the implementation of House Bill 3201, the Board must establish oversight procedures for the newly developed Dental Review Panel and other new enforcement processes. As part of these recent changes, the Board has already restructured portions of the current Enforcement and Legal Divisions and has added the new Dental Practice Division. The future goals of these three divisions will be to decrease the number of days required to resolve complaints, reduce the number and rates of minor violations, and diminish recidivism rates. In order to do this, the Board and the public would benefit from a team approach to regulation that emphasizes voluntary, self-regulation. Additionally, the Board must strive for consistency in disciplinary sanctions by strengthening the Disciplinary Matrix (which details the range of prescribed sanctions for each type of violation), reviewing and analyzing the effectiveness of sanctions and ensuring that progressively-escalating disciplinary sanctions are taken against licensees with multiple offenses.

### *3. Effective Communications with the Public, Licensees, Board Members and Staff*

The core element of the Board's Mission is to protect the public. Paramount to fulfilling the Mission is the Board's responsibility to provide the public basic information, including any disciplinary actions, about licensees. Currently, such information is available on the Board's website. However, stakeholders have reported that the information is difficult to access and that a summary of disciplinary actions in terms that are easy to understand would better serve the public. During the strategic planning period, the Board will ensure that the public is fully informed regarding such information by reviewing the website accessibility and the possibility of summarizing disciplinary actions using plain language terms rather than clinical and technical terms used by the dental and legal professions.

Communication with the licensees is also essential to the Board's Mission, in that it can encourage licensees' voluntary compliance with the Dental Practice Act. In the future, the Board must communicate basic compliance information in an understandable format, which will encourage fewer minor violations in areas such as record-keeping and business promotion. The Board can accomplish this increased communication through items such as bulletins or newsletters, public presentations by Board members and staff, and targeted information on the Board's website. The Board should strive to not only act as an enforcer of the law, but also as a peer review source with offerings such as compliance reminders.

Finally, improved internal communication among the Board members and staff will allow each group to have a better understanding of the organizational structure and individual duties and responsibilities. Without internal communication the Board cannot act in a consistent and concerted effort.

In addition to the communication of the basic information described above, the public as a whole and the licensee population would be better informed regarding the Board's services through a well thought out outreach program. In the future, the Board will employ a public information specialist and possibly create a standing public information committee. It is important for the Board to not only measure performance results, but to also communicate those results to the public and licensees. A transition to electronic records will also improve the public and licensees' access to information. The Board will also research the possibility of using a mass electronic communication system in order to provide information to the public and licensees, which will allow the Board to be a more modern, technology driven and focused entity.

### *4. Human, Physical and Fiscal Resource Management*

For the Board to reach its goals, it must appropriately manage its human, physical and fiscal resources. It is imperative for the Board to attract, develop and retain a talented and diverse base of employees. Without a high-performing, well-trained, and diverse workforce, the Board will fail to meet the needs of the public and the professionals it regulates. Employee training should be rigorous, consistent, and timely focused; and,

because the Board has hired so many new employees, on-boarding of these new employees will be critical to the Board's success.

Due to this recent growth in staff, the Board has outgrown its current facilities. The Board's Austin facility is approximately 4,132 square feet of usable space. In FY 2013, the Board housed 29 employees at its Austin office location in the Hobby Building. Currently the office houses 40 employees. The office no longer includes any meeting/conference spaces and very little document storage areas. The square footage per person is well below the State of Texas' allowed maximum square foot per person. In order to make the necessary changes to the offices to accommodate the additional employees, the Board was required to spend approximately \$115,000 on infrastructure improvements. As a result, the Board was unable to fill all of its full-time equivalent positions. Additionally, the Board will need consider the acquisition of additional space in the future.

Finally, the Board would be in a much better position to responsibly manage its resources if it were able to operate on a self-directed, semi-independent status. The Board could establish licensing fees to cover these occasional additional costs of operation without sacrificing resources that should be spent on public protection. Such status would allow the Board to operate like a business, with the flexibility to adjust resources as needed. This would result in enhanced responsiveness to the public and licensees' needs, including more timely resolution of licensing and disciplinary matters. Ultimately, the Board would be able to respond more quickly to its resource needs.

The External/Internal Assessment is the basis for justifying the Board's decisions regarding its goals, objective, strategies and performance measures as detailed in the following sections.

## **Agency Goal, Objectives and Outcome Measures**

The Board's Goals, Objectives and Outcome Measures and the related Strategies and other Performance Measures shown in the next sections, reflect the issues identified in the External/Internal Assessment process.

### **Goal – Quality Dental Care**

To ensure quality dental care for the people of Texas through effective regulation of the practice of dentistry (Texas Occupations Code, Title 3, Subtitle D).

#### **Objective 1 – Complaint Resolution**

By 2019, protect the public by ensuring that all jurisdictional and filed complaints are investigated and that appropriate remedial or disciplinary action is taken; by communicating to the public, licensees/registrants/certificate holders and staff regarding the functions and services of the agency; and by operating an effective peer assistance program.

##### **Outcome Measures:**

- Percent of Complaints Resulting in Disciplinary Action
- Percent of Complaints Resulting in Remedial Action
- Recidivism Rate for Those Receiving Disciplinary Action
- Percent of Complaints Resolved within Six Months
- Recidivism Rate for Peer Assistance Programs
- One-Year Completion Rate for Peer Assistance Programs

#### **Objective 2 – Licensing**

By 2019, protect the public by ensuring that all licensees/registrants/certificate holders meet or exceed minimal standards and hold a current and renewed license/registration/certificate; by collecting information from individuals and entities under the jurisdiction of the agency; and by communicating to the public, licensees/registrants/certificate holders and staff regarding the functions and services of the agency (Texas Occupations Code, Title 3, Subtitle D).

##### **Outcome Measures:**

- Percent of Licensees with No Recent Violations: Dentists
- Percent of Licensees with No Recent Violations: Dental Hygienists
- Percent of Licensees Who Renew Online
- Percent of New Individual Licenses Issued Online

## **Strategies and Output, Efficiency and Explanatory Measures**

### **Strategy 1.1 – Complaint Resolution**

Conduct enforcement and compliance functions including: investigating all complaints; prosecuting those complaints through informal or formal remedial and disciplinary means; pursuing compliance with remedial and disciplinary actions and conditions; and interacting with the public and profession on matters of law and rules.

#### **Output Measure:**

- Number of Complaints Resolved

#### **Efficiency Measure:**

- Average Time for Complaint Resolution

#### **Explanatory Measure:**

- Number of Complaints Received

### **Strategy 1.2 – Peer Assistance Program**

Provide a Peer Assistance Program for licensed individuals.

#### **Output Measure:**

- Licensed Individuals Participating in a Peer Assistance Program

### **Strategy 2.1 – Licensure/Registration/Certification**

Conduct a timely and cost effective licensure/registration/certification process for dentists, dental hygienists, dental assistants, and dental laboratories including a comprehensive and efficient system of administering and evaluating dental, dental hygiene, dental assistant, and dental laboratory examinations, certifications, and permits.

#### **Output Measures:**

- Number of New Licenses Issued to Individuals: Dentists
- Number of Licenses Renewed (Individuals): Dentists
- Number of New Licenses Issued to Individuals: Dental Hygienists
- Number of Licenses Renewed (Individuals): Dental Hygienists
- Number of New Registrations Issued: Dental Assistants
- Number of Registrations Renewed: Dental Assistants

**Efficiency Measures:**

- Percent of New Individual Licenses Issued within Ten Days: Dentists and Dental Hygienists
- Percent of Individual License Renewals Issued within Seven Days: Dentists and Dental Hygienists

**Explanatory Measures:**

- Total Number of Individuals Licensed: Dentists
- Total Number of Individuals Licensed: Dental Hygienists
- Total Number of Individuals Licensed: Dental Assistants
- Total Number of Business Facilities Registered: Dental Laboratories

**Strategy 2.2 – Texas.gov**

Provide for processing of occupational license, registration, or permit certification fees through Texas.gov.

**Technology Resource Planning**

Outlined below are the Board's three current technology initiatives aligned with the statewide technology priorities:

- Electronic Document Management System Implementation
- Board Website Re-design and Expansion of Online Offerings or Services
- Infrastructure Upgrades

<b>1. Initiative Name:</b> Name of the current or planned technology initiative.	
Electronic Document Management System Implementation	
<b>2. Initiative Description:</b> Brief description of the technology initiative.	
The Board is adopting, in phases, a comprehensive move from paper-based documents to electronic records. Create electronic complaint files, HIPAA compliant encrypted email or file transfer to facilitate communication between Agency offices and Enforcement staff in the field. HB 3201; SB 29; Link into existing Versa Licensing Database. In the future, this document management system would integrate with our current Web site redesign to provide electronic forms that would move directly into the Board's licensing, complaints and HR workflows.	
<b>3. Associated Project(s):</b> Name and status of current or planned project(s), if any, that support the technology initiative and that will be included in agency's Information Technology Detail.	
<b>Name</b>	<b>Status</b>
Electronic Complaint Files	Final review of systems and vendors. To be implemented late 2014.
<b>4. Agency Objective(s):</b> Identify the agency objective(s) that the technology initiative supports.	
All	



**5. Statewide Technology Priority(ies):** Identify the statewide technology priority or priorities the technology initiative aligns with, if any.

- P1 - Security and Privacy
- P2 - Cloud Services
- P4 - Business Continuity
- P5 - Enterprise Planning and Collaboration
- P7 - Virtualization
- P8 - Data Management
- P9 - Mobility
- P10 - Network

**6. Anticipated Benefit(s):** Identify the benefits that are expected to be gained through the technology initiative.

- More efficient communication between remote workers and main office
- Increased efficiency in complaint review and license processing
- Scanning system will free up office space and move electronic documents efficiently according to the specified retention schedule and records management life cycle
- Improved agency responsiveness and greater citizen/customer satisfaction
- Tighter control of sensitive data and heightened security measures
- Foundation for future disaster recovery and business continuity measures
- Compliance with HB 3201

**7. Capabilities or Barriers:** Describe current agency capabilities or barriers that may advance or impede the agency's ability to successfully implement the technology initiative.

Training and retention of staff pose ongoing challenges as the agency moves from paper-based documents to digital workflows. However, the Board has made a commitment to making these technological advances and looks forward to the benefits they will bring to the agency and the public at large.

<b>1. Initiative Name:</b> Name of the current or planned technology initiative.	
Board Web site re-design & expansion of online offerings	
<b>2. Initiative Description:</b> Brief description of the technology initiative.	
<p>The Board is now building a Web site using the enterprise-level open-source Drupal content management system (CMS) to replace its current Web site which runs on a legacy version of the Joomla platform that is no longer supported and can pose both security and maintenance risks.</p> <p>The redesign and move to the Drupal CMS, which is the leading enterprise-level choice in private and public sector, will allow the agency to maintain the security of its data while facilitating efficient flow of information to and from the Board. Agency divisions will be able to update content independently without having to rely on Web Administrators or IT Staff. As the site is integrated with the capabilities of the electronic document management system that the Board adopts (Initiative 1), the public will be able to send information regarding complaints and licensing more effectively to the Board.</p> <p>The Board currently offers several online services to licensees and the public including online registration, renewals, and physician profile information including public disciplinary actions. There are opportunities for the Board to improve customer satisfaction through additional online offerings and improving the presentation of information on the agency website. The agency website is currently composed of static pages requiring dedicated IT staff to update them. Moving to a content management system (CMS) will allow agency staff to update content more frequently and offer additional services to licensees and the public.</p>	
<b>3. Associated Project(s):</b> Name and status of current or planned project(s), if any, that support the technology initiative and that will be included in agency's Information Technology Detail.	
<b>Name</b>	<b>Status</b>
Creation of Electronic Case & Complaint File System	In Process

**4. Agency Objective(s):** Identify the agency objective(s) that the technology initiative supports.

All

**5. Statewide Technology Priority(ies):** Identify the statewide technology priority or priorities the technology initiative aligns with, if any.

- P1 - Security and Privacy
- P2 - Cloud Services
- P4 - Business Continuity
- P8 - Data Management
- P9 - Mobility
- P10 - Network

**6. Anticipated Benefit(s):** Identify the benefits that are expected to be gained through the technology initiative.

- Citizen/customer satisfaction by facilitating open and transparent government
- Security improvements: safeguarding the integrity of the public Web site and increased protection against potential data breaches
- Foundation for future disaster recovery and business continuity measures
- Increased education for to protect citizens and consumers
- Increased communication to citizens about the role and services

**7. Capabilities or Barriers:** Describe current agency capabilities or barriers that may advance or impede the agency's ability to successfully implement the technology initiative.

Lack of funding and IT staffing has been a serious challenge in maintaining the agency Web site. However, the addition of the Web Admin position shared by the Board with other health professions agencies through the Health Professions Council, as well as the move to a content management system that will be updatable by various agency staff are encouraging developments toward the improvement and maintenance of the Board website.

<b>1. Initiative Name:</b> Name of the current or planned technology initiative.	
Infrastructure Maintenance and Upgrades	
<b>2. Initiative Description:</b> Brief description of the technology initiative.	
<p>Information technologies are vital for the Board to meet its statutory requirements and offer excellent customer service with the available resources. This initiative addresses the continual need to invest in the agency's information technology infrastructure to address changing business needs. New legislative requirements, advances in dental practice and the need to support a remote workforce require the Board to make regular improvements, particularly in its ability to safeguard, process and communicate information. The agency is in the process of establishing a desktop and printer replacement life cycle. The life cycle schedule staggers the replacement and yearly purchases of these systems to assist the Board in maintaining a consistent budget and workload. IT support staff analyze cost and benefit of hardware, software and service prior to each purchase in the cycle.</p> <p>Due to cost prohibitions, life cycle replacements for servers and network infrastructure have not been developed. Projects associated with this initiative might include network upgrades, storage expansion or new technologies offering compelling advantages.</p>	
<b>3. Associated Project(s):</b> Name and status of current or planned project(s), if any, that support the technology initiative and that will be included in agency's Information Technology Detail.	
<b>Name</b>	<b>Status</b>
Network and Data Security Lifecycle	Planned
Desktop PC and Printer Lifecycle Replacement	Planned
Software Lifecycle	Planned
Server Virtualization/Remote Replication & Backups	Planned

**4. Agency Objective(s):** Identify the agency objective(s) that the technology initiative supports.

All

**5. Statewide Technology Priority(ies):** Identify the statewide technology priority or priorities the technology initiative aligns with, if any.

- P1- Security and Privacy
- P2 - Cloud Services
- P3 - Legacy Applications
- P4 - Business Continuity
- P7 - Virtualization
- P8 - Data Management
- P9 - Mobility
- P10 – Network

**6. Anticipated Benefit(s):** Identify the benefits that are expected to be gained through the technology initiative.

- Maintaining and improving operational efficiencies (time, cost, productivity)
- Citizen/customer satisfaction (service delivery quality, cycle time)
- Maintaining and improving data security in an environment of constantly changing threats
- Foundation for future operational improvements
- Compliance with guidelines established by the Department of Information Resources for information technology life cycles

**7. Capabilities or Barriers:** Describe current agency capabilities or barriers that may advance or impede the agency's ability to successfully implement the technology initiative.

Lack of funding for technology is the largest barrier to infrastructure initiatives. Mandated budget cuts, lack of funding, difficulties in IT staffing and retention have all been challenges in maintaining the agency's IT infrastructure. The Board is dependent on technology to deliver public services and meet its mission. The agency would prefer to choose enterprise class products and services when purchasing technology to ensure the necessary features and vendor support is available. However, technology suitable for enterprise use is expensive and often cost-prohibitive to purchase, whether it is a capital purchase or monthly fees for an online service.

## **Action Plans**

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Though Action Plans are not a required element of the Strategic Plan, the Board will be developing them following submission of this plan. They will incorporate the key elements from the Instructions, modified and customized for agency use. Action Plans will be used to define and assign responsibility for key activities and results and will provide a basis for coordinated implementation, monitoring, accountability, evaluation, and ongoing plan and operational adjustments.

## **Appendix A – Agency Planning Process**

The agency's management team, working in conjunction with the Board's Strategic Planning Committee and the Presiding Officer of the Board, served as the work group for identifying and integrating strategic policy issues. Strategic policy issues have been developed from a variety of sources, including:

- A moderated two-day Strategic Planning Session and ongoing policy discussions of the full Board;
- Input of stakeholders requested from 74 individuals, public and professional organizations and professional schools;
- A moderated full day Strategic Planning Session and ongoing policy discussion of the management team; and
- The Survey of Employee Engagement.

The Executive Director also attended a two-day seminar hosted by the Governor's Center for Management Development focused on Strategic Planning. The Executive Director assembled all of the information from the sources above and drafted the elements of the Strategic Plan. Assistance was provided by the management team.

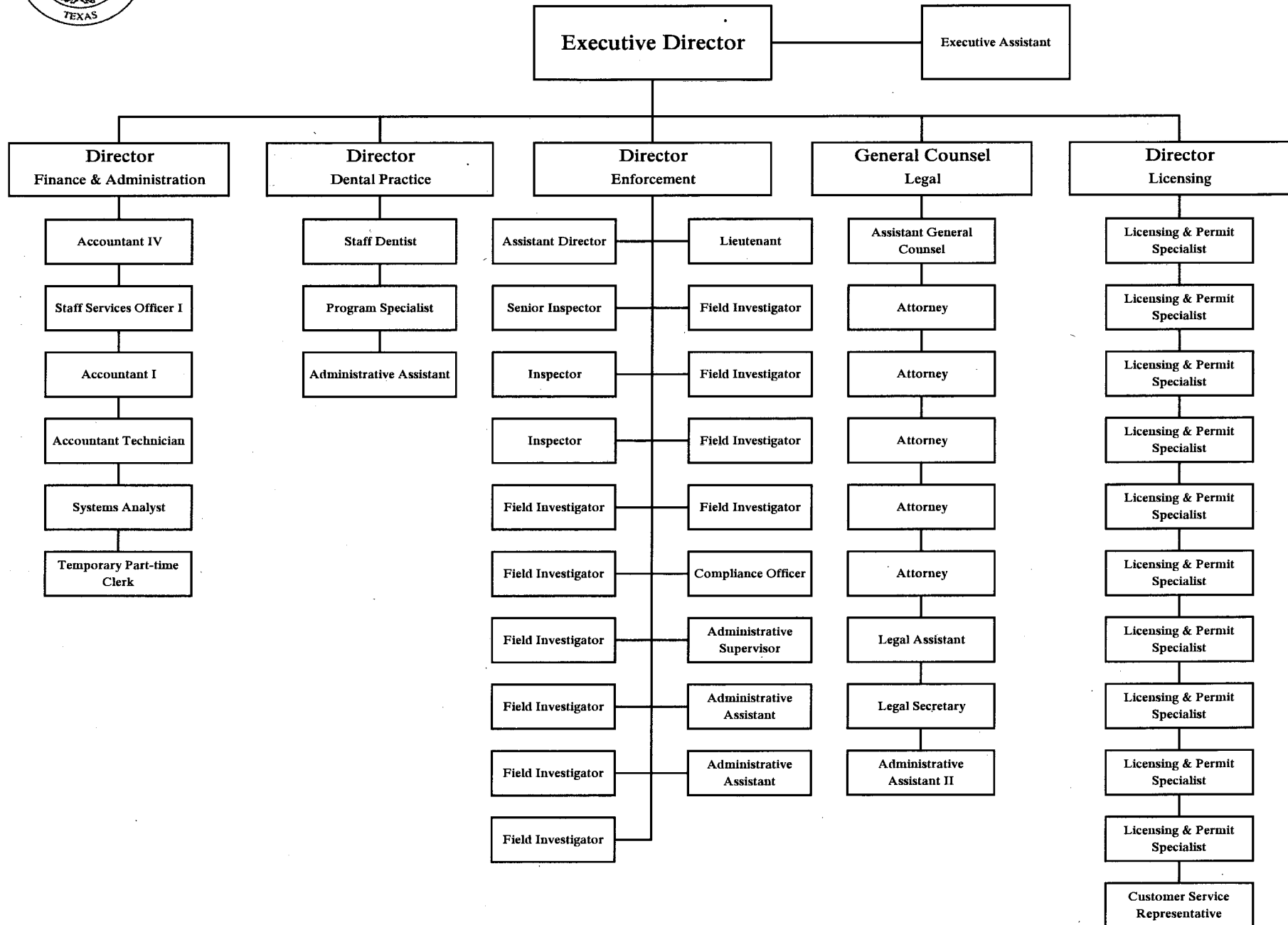
Draft copies were provided to the Board's Strategic Planning Committee and the Presiding Officer for comment and further direction prior to final submission.





# Texas State Board of Dental Examiners Organizational Chart

## Fiscal Year 2014



### Appendix C – Five-Year Projected Outcomes

<b>Outcome</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>	<b>2019</b>
Percent of Complaints Resulting in Disciplinary Action*	14%	13%	12%	11%	10%
Percent of Complaints Resulting in Remedial Action*	6%	7%	8%	9%	10%
Recidivism Rate for Those Receiving Disciplinary Action	5%	5%	5%	5%	5%
Percent of Complaints Resolved within Six Months	30%	35%	40%	45%	50%
Recidivism Rate for Peer Assistance Programs	15%	15%	15%	15%	15%
One-Year Completion Rate for Peer Assistance Programs	90%	90%	90%	90%	90%
Percent of Licensees with No Recent Violations: Dentists	97%	97%	97%	97%	97%
Percent of Licensees with No Recent Violations: Dental Hygienists	99%	99%	99%	99%	99%
Percent of Licensees Who Renew Online	70%	75%	80%	85%	90%
Percent of New Individual Licenses Issued Online	5%	10%	10%	10%	10%

\*Note: The change in projected outcomes for these 2 indicators reflects new statutory authority granted by the 83<sup>rd</sup> Legislature under HB 3201 which provides new enforcement options, including the authority to require remedial action plans in lieu of disciplinary actions.

<b>Appendix D - List of Performance Measure Definitions</b>	
<b>Agency:</b>	Texas State Board of Dental Examiners
<b>Goal:</b>	Ensure quality dental care for the people of Texas through effective regulation of the practice of dentistry (Texas Occupations Code, Title 3, Subtitle D)
<b>Objective 1.1:</b>	By 2019, protect the public by ensuring that all jurisdictional and filed complaints are investigated and that appropriate remedial or disciplinary action is taken; by communicating to the public, licensees/registrants/certificate holders and staff regarding the functions and services of the agency; and by operating an effective peer assistance program
<b>Outcome Measure:</b>	Percent of Complaints Resulting in Disciplinary Action
	Definition: Percent of jurisdictional and filed complaints, which were resolved during the reporting period, that resulted in disciplinary action
	Data Limitations: The agency has no control over the number of complaints it receives, nor does it have any control over the substance of that complaint, and whether disciplinary action is justified based upon jurisdiction and evidence.
	Data Source: The Enforcement Division has the primary responsibility for the receipt, processing, and assignment of complaints filed by patients and/or other members of the general public or dental profession against Texas dentists, dental hygienists, dental assistants, and/or dental laboratory registrants. An investigative file accounting for each complaint filed with the agency is maintained under the supervision of the Director of Enforcement. Data concerning all complaints filed and their disposition is electronically maintained by the agency. The necessary data is extracted from the electronic regulatory database.
	Methodology: The total number of jurisdictional and filed complaints resolved during the reporting period that resulted in disciplinary action by the agency (numerator) is divided by the total number of jurisdictional and filed complaints resolved during the reporting period (denominator). The result should be multiplied by 100 to achieve a percentage. Agency disciplinary action includes orders of reprimand, warning, suspension, probation, revocation, other restrictions, and/or administrative fines.
	Purpose: This measure is intended to show the extent to which the agency exercises its disciplinary authority in proportion to the number of jurisdictional and filed complaints resolved. It is important that both the public and licensees/registrants/certificate holders have an expectation that the agency will work to ensure fair and effective enforcement of the act and this measure seeks to indicate agency responsiveness to this expectation.

<b>Outcome Measure:</b>	<b>Percent of Complaints Resulting in Remedial Action</b>
	Definition: Percent of jurisdictional and filed complaints, which were resolved during the reporting period, that resulted in remedial action
	Data Limitations: The agency has no control over the number of complaints it receives, nor does it have any control over the substance of that complaint, and whether disciplinary action is justified based upon jurisdiction and evidence.
	Data Source: The Enforcement Division has the primary responsibility for the receipt, processing, and assignment of complaints filed by patients and/or other members of the general public or dental profession against Texas dentists, dental hygienists, dental assistants, and/or dental laboratory registrants. An investigative file accounting for each complaint filed with the agency is maintained under the supervision of the Director of Enforcement. Data concerning all complaints filed and their disposition is electronically maintained by the agency. The necessary data is extracted from the electronic regulatory database.
	Methodology: The total number of jurisdictional and filed complaints resolved during the reporting period that resulted in remedial plans (numerator) is divided by the total number of jurisdictional and filed complaints resolved during the reporting period (denominator). The result should be multiplied by 100 to achieve a percentage.
	Purpose: This measure is intended to show the extent to which the agency exercises its authority to resolve jurisdictional and filed complaints using remedial action in proportion to the number of jurisdictional and filed complaints resolved. It is important that both the public and licensees/registrants/certificate holders have an expectation that the agency will work to ensure fair and effective enforcement of the act and this measure seeks to indicate agency responsiveness to this expectation.
<b>Outcome Measure:</b>	<b>Recidivism Rate for Those Receiving Disciplinary Action</b>
	Definition: The number of repeat offenders at the end of the reporting period as a percentage of all offenders during the most recent three-year period
	Data Limitations: The agency has no control over the actions taken by those previously disciplined, and their acceptance of risk as to further disciplinary action which would be taken.
	Data Source: An investigative file accounting for each complaint filed with the agency is maintained by the Enforcement Division. Data concerning all complaints filed and their disposition is electronically maintained by the agency. The necessary data is extracted from the electronic regulatory database.
	Methodology: The total number of individuals against whom two or more disciplinary actions were taken by the agency within the current and preceding two fiscal years (numerator) is divided by the total number of individuals receiving disciplinary actions within the current and preceding two fiscal years (denominator). The result should be multiplied by 100 to achieve a percentage. Agency disciplinary action includes orders of reprimand, warning, suspension, probation, revocation, other restrictions, and/or administrative fines.
	Purpose: The measure is intended to show how effectively the agency enforces its regulatory requirements and prohibitions. It is important that the agency enforce its act and rules strictly enough to ensure consumers are protected from unsafe, incompetent and unethical practice by the registered/licensed/certified professional.

<b>Outcome Measure:</b>	<b>Percent of Complaints Resolved within 6 Months</b>
	Definition: The percent of jurisdictional and filed complaints resolved during the reporting period that were resolved within a six-month period from the time they were initially filed by the agency
	Data Limitations: The agency has no control over the number of complaints it receives or the complexity and seriousness of such complaints. The number of complaints impacts the investigative workload. The complexity impacts the degree of effort required to investigate and potentially litigate the complaint. The level of seriousness is used to prioritize effort. Any combination of these factors will impact the length of time necessary to resolve the complaint.
	Data Source: The Enforcement Division has the primary responsibility for the receipt, processing, and assignment of complaints filed by patients and/or other members of the general public or dental profession against Texas dentists, dental hygienists, dental assistants, and/or dental laboratory registrants. An investigative file accounting for each complaint filed with the agency is maintained under the supervision of the Director of Enforcement. Data concerning all complaints filed and their disposition is electronically maintained by the agency. The necessary data is extracted from the electronic regulatory database.
	Methodology: The number of jurisdictional and filed complaints resolved within a period of six months or less from the date filed (numerator) is divided by the total number of jurisdictional and filed complaints resolved during the reporting period (denominator). The result should be multiplied by 100 to achieve a percentage.
	Purpose: The measure is intended to show the percentage of jurisdictional and filed complaints that are resolved within a reasonable period of time. It is important to ensure the swift enforcement of the Dental Practice Act, which is an agency goal.
<b>Outcome Measure:</b>	<b>Recidivism Rate for Peer Assistance Programs</b>
	Definition: The percent of individuals who relapse within 3 years of the end of the reporting period as part of the total number of individuals who participate in the program during the previous 3 years
	Data Limitations: None
	Data Source: Data maintained by the board-approved peer assistance program
	Methodology: Of all individuals (derived from the SBDE's peer assistance program) successfully completing the program in fiscal year X minus 3 (where X is the current fiscal year), the percent of individuals receiving related disciplinary action from the board anytime between the beginning of fiscal year X minus 3 and the end of fiscal year X (i.e., the current fiscal year)
	Purpose: The measure is intended to show the 3-year recidivism rate for those individuals who have been through the peer assistance program. It is important because it indicates that consumers are being protected from unsafe, incompetent and unethical (professional) practice as a result of the peer assistance program.
<b>Outcome Measure:</b>	<b>One-Year Completion Rate for Peer Assistance Programs</b>
	Definition: Percent of individuals who successfully participated in the peer assistance program during the year prior to the reporting period and have not relapsed during the one year period
	Data Limitations: None
	Data Source: Data maintained by the board-approved peer assistance program
	Methodology: Of all individuals who have been referred to the peer assistance program in fiscal year X minus 1 (where X is the current fiscal year), the percent who have successfully participated in the program for one year with no relapses
	Purpose: It is important because it indicates that consumers are being protected from unsafe, incompetent and unethical (professional) practice as a result of the peer assistance program.

<b>Strategy 1.1.1:</b>	Conduct enforcement and compliance functions including: investigating all complaints; prosecuting those complaints through informal or formal remedial and disciplinary means; pursuing compliance with remedial and disciplinary actions and conditions; and, interacting with the public and profession on matters of law and rules
<b>Output Measure:</b>	Number of Complaints Resolved
	Definition: The total number of jurisdictional and filed complaints resolved during the reporting period
	Data Limitations: The agency has no control over the number of complaints it receives, which is the essential input before the agency can initiate action to resolve the complaint.
	Data Source: The Enforcement Division has the primary responsibility for the receipt, processing, and assignment of complaints filed by patients and/or other members of the general public or dental profession against Texas dentists, dental hygienists, dental assistants, and/or dental laboratory registrants. An investigative file accounting for each complaint filed with the agency is maintained under the supervision of the Director of Enforcement. Data concerning all complaints filed and their disposition is electronically maintained by the agency. The necessary data is extracted from the electronic regulatory database.
	Methodology: The total number of jurisdictional and filed complaints resolved during the reporting period by dismissal, remedial action or disciplinary action
	Purpose: The measure shows the workload associated with resolving jurisdictional and filed complaints.
<b>Efficiency Measure:</b>	Average Time for Complaint Resolution
	Definition: The average length of time to resolve a jurisdictional and filed complaint, for all jurisdictional and filed complaints resolved during the reporting period
	Data Limitations: The agency has no control over the number of complaints it receives, or the complexity and seriousness of the complaints made. The number of complaints impacts the investigative workload. The complexity impacts the degree of effort required to investigate and potentially litigate the complaint. The level of seriousness is used to prioritize effort. Any combination of these factors will impact the length of time necessary to resolve the complaint.
	Data Source: The Enforcement Division has the primary responsibility for the receipt, processing, and assignment of complaints filed by patients and/or other members of the general public or dental profession against Texas dentists, dental hygienists, dental assistants, and/or dental laboratory registrants. An investigative file accounting for each complaint filed with the agency is maintained under the supervision of the Director of Enforcement. Data concerning all complaints filed and their disposition is electronically maintained by the agency. The necessary data is extracted from the electronic regulatory database.
	Methodology: The total number of calendar days per jurisdictional and filed complaint resolved (numerator) is divided by the total number of jurisdictional and filed complaints resolved during the reporting period by dismissal, remedial action or disciplinary action (denominator). The calculation excludes complaints determined to be non-jurisdictional and jurisdictional but not filed.
	Purpose: The measure shows the agency's efficiency in resolving jurisdictional and filed complaints.

<b>Explanatory Measure:</b>	Number of Complaints Received
	Definition: The total number of jurisdictional complaints filed during the reporting period, which are within the agency's jurisdiction of statutory responsibility
	Data Limitations: The agency has no control over the number of complaints it receives or whether the complaint lies within agency jurisdiction for enforcement.
	Data Source: The Enforcement Division has the primary responsibility for the receipt, processing, and assignment of complaints filed by patients and/or other members of the general public or dental profession against Texas dentists, dental hygienists, dental assistants, and/or dental laboratory registrants. An investigative file accounting for each complaint filed with the agency is maintained under the supervision of the Director of Enforcement. Data concerning all complaints filed and their disposition is electronically maintained by the agency. The necessary data is extracted from the electronic regulatory database.
	Methodology: The total number of jurisdictional complaints filed. The agency also keeps track of the total number of complaints that are not within our jurisdiction and the complaints that are jurisdictional but not filed; however, these complaints are not used in our calculation.
	Purpose: The measure shows the number of jurisdictional complaints filed, which helps determine agency workload.
<b>Strategy 1.1.2:</b>	Provide a Peer Assistance Program for Licensed Individuals
<b>Output Measure:</b>	# of Licensed Individuals Participating in a Peer Assistance Program
	Definition: The number of licensed or certified individuals (dentists, dental hygienists, and dental assistants) who participated in a peer assistance program sponsored by the agency during the reporting period
	Data Limitations: This measure will vary from quarter to quarter depending on the number of participants who participate because of either (a) a board order issued by the State Board of Dental Examiners or (b) a dental professional was aware of his/her need to participate and participates voluntarily. By either method, a participant must sign a contract to participate in order to be counted in this measure.
	Data Source: The data is provided quarterly by the Board-approved peer assistance program who maintains the information in a database. This measure includes licensed or certified professionals who have signed a contract to participate and are subject to ongoing monitoring requirements.
	Methodology: The summation of all individuals (dentists, dental hygienists, and dental assistants) participating in the program during the reporting period
	Purpose: This measure shows licensed/certified individuals who continue to practice in their respective field who are participating in a substance abuse program.
<b>Objective:</b>	By 2019, protect the public by ensuring that all licensees/registrants/certificate holders meet or exceed minimal standards and hold a current and renewed license/registration/certificate; by collecting information from individuals and entities under the jurisdiction of the agency; and by communicating to the public, licensees/registrants/certificate holders and staff regarding the functions and services of the agency (Texas Occupations Code, Title 3, Subtitle D)

<b>Outcome Measure:</b>	Percent of Licensees with No Recent Violations: Dentist
	Definition: The percent of the total number of licensed dentists at the end of the reporting period who have not incurred a violation within the current and preceding two years (three years total)
	Data Limitations: The agency has no control over the number of complaints it receives, nor does it have any control over the substance of that complaint, and whether disciplinary action is justified based upon jurisdiction and evidence.
	Data Source: The Enforcement Division has the primary responsibility for the receipt, processing, and assignment of complaints filed by patients and/or other members of the general public or dental profession against Texas dentists. An investigative file accounting for each complaint filed with the agency is maintained under the supervision of the Director of Enforcement. The Licensing Division has the primary responsibility for the receipt, processing, granting, and renewal of licenses for Texas dentists. Data concerning all complaints filed and their disposition and licensing is electronically maintained by the agency. The necessary data is extracted from the electronic regulatory database.
	Methodology: The total number of dentists currently licensed by the agency who have not incurred a violation within the current and preceding two years divided by the total number of dentists currently licensed by the agency. The numerator for this measure is calculated by subtracting the total number of dentists with violations during the three-year period from the total number of dentists at the end of the reporting period. The denominator is the total number of dentists at the end of the reporting period. The result is multiplied by 100 to achieve a percentage. A violation is the same as disciplinary action. Agency disciplinary action includes orders of reprimand, warning, suspensions, probation, revocation, other restrictions, and/or administrative fines.
	Purpose: Licensing individuals helps ensure that practitioners meet legal standards for professional education and practice, which is a primary agency goal. This measure is important because it indicates how effectively the agency's activities deter violations of professional standards established by statute and rule.



<b>Outcome Measure:</b>	<b>Percent of Licensees with No Recent Violations: DH</b>
	Definition: The percent of the total number of licensed dental hygienists at the end of the reporting period who have not incurred a violation within the current and preceding two years (three years total).
	Data Limitations: The agency has no control over the number of complaints it receives, nor does it have any control over the substance of that complaint, and whether disciplinary action is justified based upon jurisdiction and evidence.
	Data Source: The Enforcement Division has the primary responsibility for the receipt, processing, and assignment of complaints filed by patients and/or other members of the general public or dental profession against Texas dental hygienists. An investigative file accounting for each complaint filed with the agency is maintained under the supervision of the Director of Enforcement. The Licensing Division has the primary responsibility for the receipt, processing, granting, and renewal of licenses for Texas dental hygienists. Data concerning all complaints filed and their disposition and licensing is electronically maintained by the agency. The necessary data is extracted from the electronic regulatory database.
	Methodology: The total number of dental hygienists currently licensed by the agency who have not incurred a violation within the current and preceding two years divided by the total number of dental hygienists currently licensed by the agency. The numerator for this measure is calculated by subtracting the total number of dental hygienists with violations during the three-year period from the total number of dental hygienists at the end of the reporting period. The denominator is the total number of dental hygienists at the end of the reporting period. The result is multiplied by 100 to achieve a percentage. A violation is the same as disciplinary action. Agency disciplinary action includes orders of reprimand, warning, suspensions, probation, revocation, other restrictions, and/or administrative fines.
	Purpose: Licensing individuals helps ensure that practitioners meet legal standards for professional education and practice, which is a primary agency goal. This measure is important because it indicates how effectively the agency's activities deter violations of professional standards established by statute and rule.
<b>Outcome Measure:</b>	<b>Percent of Licensees Who Renew Online</b>
	Definition: Percent of the total number of licensed, registered, or certified individuals that initially or annually renewed their license, registration, or certificate online during the reporting period. Dental Laboratories are not included in this calculation because they are an entity and not an individual.
	Data Limitations: The agency has no control over the number of individuals who choose to initially or annually renew their license/registration/certificate online.
	Data Source: Data related to an online initial or annual renewal deposit is transferred from the Comptroller of Public Accounts to the agency's electronic regulatory database and then extracted for reporting purposes.
	Methodology: Total number of individual licenses, registrations, or certifications initially or annually renewed online divided by the total number of individual licenses, registrations, or certifications initially or annually renewed during the reporting period. The result should be multiplied by 100 to achieve a percentage.
	Purpose: To track use of online initial or annual renewal technology by the licensee population.

<b>Outcome Measure:</b>	Percent of New Individual Licenses Issued Online
	Definition: Percent of all new licenses/registrations, where an online application deposit is received, during the reporting period. Dental Laboratories are not included in this calculation because they are an entity and not an individual and because they cannot apply online. Dental Assistant Certificates are not included in this calculation because they cannot apply online.
	Data Limitations: The agency has no control over the number of individuals who choose to apply for a license/registration online.
	Data Source: Data related to an on-line application deposit is transferred from the Comptroller of Public Accounts to the agency's electronic regulatory database and then extracted for reporting purposes.
	Methodology: Total number of new licenses/registrations, where an online application deposit is received, divided by the total number of new licenses/registrations issued to individuals during the reporting period. The result should be multiplied by 100 to achieve a percentage.
	Purpose: To track use of online license issuance technology by the licensee/registrant population.
<b>Strategy:</b>	Strategy 1.2.1: Conduct a timely and cost effective license/registration/certification process for dentists, dental hygienists, dental assistants, and dental laboratories including a comprehensive and efficient system of administering and evaluating dental, dental hygiene, dental assistant, and dental laboratory examinations, certifications, and permits
<b>Output Measure:</b>	Number of New Licenses Issued to Individuals: Dentists
	Definition: The number of licenses issued to previously unlicensed dentists during the reporting period
	Data Limitations: The agency has no control over the number of applicants who seek licensure.
	Data Source: The Licensing Division has the primary responsibility for the receipt, processing, granting, and renewal of licenses for Texas dentists. Data concerning licensing is electronically maintained by the agency. The necessary data is extracted from the electronic regulatory database.
	Methodology: This measure counts the total number of licenses issued to previously unlicensed individuals during the reporting period, regardless of when the application was originally received. Those individuals who had a license in the previous reporting period are not counted. Only new licenses are counted. Individuals who formerly held a Texas license or registration but are no longer under the jurisdiction of the SBDE, and have subsequently applied for another license, should be considered 'new' for the purposes of this calculation.
	Purpose: A successful licensing structure must ensure that legal standards for professional education and practice are met prior to licensure. This measure is a primary workload indicator, which is intended to show the number of unlicensed persons who were documented to have successfully met all licensure criteria established by statute and rule as verified by the agency during the reporting period.

<b>Output Measure:</b>	<b>Number of Licenses Renewed (Individuals): Dentists</b>
	Definition: The number of licensed dentists who held licenses previously and initially or annually renewed their license during the current reporting period.
	Data Limitations: The agency has no control over the number of individuals who choose to renew their license.
	Data Source: The Licensing Division has the primary responsibility for the receipt, processing, granting, and renewal of licenses for Texas dentists. Data concerning licensing is electronically maintained by the agency. The necessary data is extracted from the electronic regulatory database.
	Methodology: Total number of dentist licenses initially or annually renewed during the reporting period
	Purpose: Licensure renewal is intended to ensure that persons who want to continue to practice in their respective profession satisfy current legal standards established by statute and rule for professional education and practice. This measure is intended to show the number of licenses that were issued during the reporting period to individuals who currently held a valid license.
<b>Output Measure:</b>	<b>Number of Licenses Issued to Individuals: Dental Hygienists</b>
	Definition: The number of licenses issued to previously unlicensed dental hygienists during the reporting period
	Data Limitations: The agency has no control over the number of applicants who seek licensure.
	Data Source: The Licensing Division has the primary responsibility for the receipt, processing, granting, and renewal of licenses for Texas dental hygienists. Data concerning licensing is electronically maintained by the agency. The necessary data is extracted from the electronic regulatory database.
	Methodology: This measure counts the total number of licenses issued to previously unlicensed individuals during the reporting period, regardless of when the application was originally received. Those individuals who had a license in the previous reporting period are not counted. Only new licenses are counted. Individuals who formerly held a Texas license or registration but are no longer under the jurisdiction of the SBDE, and have subsequently applied for another license, should be considered 'new' for the purposes of this calculation.
	Purpose: A successful licensing structure must ensure that legal standards for professional education and practice are met prior to licensure. This measure is a primary workload indicator which is intended to show the number of unlicensed persons who were documented to have successfully met all licensure criteria established by statute and rule as verified by the agency during the reporting period.

<b>Output Measure:</b>	<b>Number of Licenses Renewed (Individuals): Dental Hygienists</b>
	Definition: The number of licensed dental hygienists who held a license previously and initially or annually renewed their license during the current reporting period
	Data Limitations: The agency has no control over the number of individuals who choose to renew their license.
	Data Source: The Licensing Division has the primary responsibility for the receipt, processing, granting, and renewal of licenses for Texas dental hygienists. Data concerning licensing is electronically maintained by the agency. The necessary data is extracted from the electronic regulatory database.
	Methodology: Total number of dental hygienist licenses initially or annually renewed during the reporting period
	Purpose: Licensure renewal is intended to ensure that persons who want to continue to practice in their respective profession satisfy current legal standards established by statute and rule for professional education and practice. This measure is intended to show the number of licenses that were issued during the reporting period to individuals who currently held a valid license.
<b>Output Measure:</b>	<b>Number of New Registrations Issued: Dental Assistants</b>
	Definition: The number of registrations/certificates issued to previously unregistered/uncertified dental assistants during the reporting period
	Data Limitations: The agency has no control over the number of applicants who seek licensure.
	Data Source: The Licensing Division has the primary responsibility for the receipt, processing, granting, and renewal of registrations/certificates for Texas dental assistants. Data concerning licensing is electronically maintained by the agency. The necessary data is extracted from the electronic regulatory database.
	Methodology: This measure counts the total number of registrations/certificates issued to previously uncertified dental assistants during the reporting period. Those individuals who received a registration/certificate in the previous reporting period are not counted. Only new registrations/certificates are counted. Individuals who formerly held a Texas registration/certificate but are no longer under the jurisdiction of the agency, and have subsequently applied for another registration/certificate, should be considered 'new' for the purposes of this calculation.
	Purpose: A successful licensing structure must ensure that legal standards for professional practice are met prior to registration/certification. This measure is a primary workload indicator, which is intended to show the number of dental assistants who have successfully met all registration/certification criteria established by statute and rule as verified by the agency during the reporting period.

<b>Output Measure:</b>	<b>Number of Registrations Renewed: Dental Assistants</b>
	Definitions: The number of registered/certified dental assistants who held registrations/certifications previously and initially or annually renewed their registration/certification during the current reporting period
	Data Limitations: The agency has no control over the number of individuals who choose to renew their license.
	Data Source: The Licensing Division has the primary responsibility for the receipt, processing, granting, and renewal of registrations/certifications for Texas dental assistants. Data concerning licensing is electronically maintained by the agency. The necessary data is extracted from the electronic regulatory database.
	Methodology: Total number of dental assistant registrations/certifications initially or annually renewed during the reporting period
	Purpose: To determine the number of dental assistants who renew their Texas registration/certificate. This measure can be used to determine the impact to the agency workload as this number increases.
<b>Efficiency Measure:</b>	<b>Percentage of New Individual Licenses Issued within 10 Days: D &amp; DH</b>
	Definition: The percentage of initial individual license applications that were processed during the reporting period within 10 days measured from the time in days elapsed from receipt of the initial completed application until the date the license is issued
	Data Limitations: The agency has no control over the number of applicants who seek licensure.
	Data Source: The Licensing Division has the primary responsibility for the receipt, processing, granting, and renewal of licenses for Texas dentists and dental hygienists. Data concerning licensing is electronically maintained by the agency. The necessary data is extracted from the electronic regulatory database.
	Methodology: Total number of new individual licenses issued within 10 days divided by the total number of new individual licenses issued and multiply the result by 100 to represent a percentage. Individuals who formerly held a Texas license, but are no longer under the jurisdiction of the agency and have subsequently applied for another license should be considered 'new' for the purposes of this calculation.
	Purpose: This measures the ability of the agency to process new applications in a timely manner and its responsiveness to primary constituent groups.

<b>Efficiency Measure:</b>	Percentage of Individual License Renewals Issued within 7 Days: D & DH
	Definition: The percentage of individual license initial and annual renewal applications that were processed during the reporting period within 7 days of receipt, measured from the time (in calendar days) elapsed from receipt of the completed renewal application until the date the renewal license is issued
	Data Limitations: The agency has no control over the number of applicants who seek licensure.
	Data Source: The Licensing Division has the primary responsibility for the receipt, processing, granting, and renewal of licenses for Texas dentists and dental hygienists. Data concerning licensing is electronically maintained by the agency. The necessary data is extracted from the electronic regulatory database.
	Methodology: Total number of individual licenses initially or annually renewed within 7 days divided by the total number of licenses initially or annually renewed and multiply the result by 100 to represent a percentage. Individuals who formerly held a Texas license, but are no longer under the jurisdiction of the agency and have subsequently applied for another license should be considered 'new' for the purposes of this calculation.
	Purpose: This measures the ability of the agency to process renewal applications in a timely manner and its responsiveness to primary constituent groups.
<b>Explanatory Measure:</b>	Total Number of Individuals Licensed: Dentists
	Definition: Total number of licensed dentists at the end of the reporting period
	Data Limitations: The number is dependent upon outside individuals seeking initial licensure or renewing their current license. These are choices made by individuals and are not within the control of the agency.
	Data Source: The Licensing Division has the primary responsibility for the receipt, processing, granting, and renewal of licenses for Texas dentists. Data concerning licensing is electronically maintained by the agency. The necessary data is extracted from the electronic regulatory database.
	Methodology: The total number of licensed dentists at the end of the reporting period. This measure includes licensees whose status is active, expired, or retired.
	Purpose: The measure shows the total number of individual licenses currently issued, which indicates the size of one of the agency's primary constituencies.
<b>Explanatory Measure:</b>	Total Number of Individuals Licensed: Dental Hygienists
	Definition: The total number of licensed dental hygienists at the end of the reporting period
	Data Limitations: The number is dependent upon outside individuals seeking initial licensure or renewing their current license. These are choices made by individuals and are not within the control of the agency.
	Data Source: The Licensing Division has the primary responsibility for the receipt, processing, granting, and renewal of licenses for Texas dental hygienists. Data concerning licensing is electronically maintained by the agency. The necessary data is extracted from the electronic regulatory database.
	Methodology: The total number of licensed dental hygienists at the end of the reporting period. This measure includes licensees whose status is active, expired, or retired.
	Purpose: This measure shows the total number of individual licenses currently issued which indicates the size of one of the agency's primary constituencies.

<b>Explanatory Measure:</b>	<b>Total Number of Individuals Licensed: Dental Assistants</b>
	Definition: The total number of licensed dental assistants at the end of the reporting period
	Data Limitations: The number is dependent upon outside individuals seeking initial registration/certification or renewing their current registration/certification. These are choices made by individuals and are not within the control of the agency.
	Data Source: The Licensing Division has the primary responsibility for the receipt, processing, granting, and renewal of registrations/certificates for Texas dental assistants. Data concerning licensing is electronically maintained by the agency. The necessary data is extracted from the electronic regulatory database.
	Methodology: The total number of licensed dental assistants at the end of the reporting period. This measure includes licensees whose status is active, expired, or retired.
	Purpose: This measure shows the total number of individual registrations/certificates currently issued which indicates the size of one of the agency's primary constituencies.
<b>Explanatory Measure:</b>	<b>Total Number of Business Facilities Registered: Dental Laboratories</b>
	Definition: The total number of dental laboratories registered at the end of the reporting period
	Data Limitations: The number is dependent upon outside entities seeking initial registration or renewing their current registration. These are choices made by individuals and are not within the control of the agency.
	Data Source: The Licensing Division has the primary responsibility for the receipt, processing, granting, and renewal of registrations for Texas dental laboratories. Data concerning licensing is electronically maintained by the agency. The necessary data is extracted from the electronic regulatory database.
	Methodology: The total number of dental laboratories registered by the agency is counted. This measure includes active and expired laboratories.
	Purpose: The measure shows the number of dental laboratories regulated by the agency.



**WORKFORCE PLAN**

**June 23, 2014**

**TEXAS STATE BOARD OF DENTAL EXAMINERS**





## **I. Agency Overview**

The Mission of the Texas State Board of Dental Examiners is to protect the public health and safety and promote high quality and safe dental care by providing enforcement, licensing, peer assistance, and related information services to licensees and their patients.

The main functions of the Board are:

- License qualified dentists and dental hygienists after successful completion of a clinical examination, and or by credentials;
- Register dental assistants after successful completion of required education and subsequent competency examination;
- Register qualified dental laboratories;
- Register mobile/portable dental units;
- Annually renew dental and dental hygiene licenses and dental assistant and dental laboratory registrations;
- Investigate all complaints received;
- Prosecute complaints through informal or formal disciplinary means as provided by applicable statutes; and
- Monitor on-going compliance of disciplined licensees/registrants with their respective Board Orders.

### ***Goal – Quality Dental Care***

To ensure quality dental care for the people of Texas through effective regulation of the practice of dentistry (Texas Occupations Code, Title 3, Subtitle D).

### ***Objective 1 – Complaint Resolution***

By 2019, protect the public by ensuring that all jurisdictional and filed complaints are investigated and that appropriate remedial or disciplinary action is taken; by communicating to the public, licensees/registrants/certificate holders and staff regarding the functions and services of the agency; and by operating an effective peer assistance program.

### ***Objective 2 – Licensing***

By 2019, protect the public by ensuring that all licensees/registrants/certificate holders meet or exceed minimal standards and hold a current and renewed license/registration/certificate; by collecting information from individuals and entities under the jurisdiction of the agency; and by communicating to the public, licensees/registrants/certificate holders and staff regarding the functions and services of the agency (Texas Occupations Code, Title 3, Subtitle D).

## **II. Current Workforce Profile**

The Board had the following workforce profile in FY2012:

- 65% female and 35% male
- 81% white, 11% black, 8% Hispanic and 0% other
- 4% under 30 years, 24% 30 – 39 years, 29% 40 – 49 years, 31% 50 – 59 years, and 12% over 60 years; and
- 42% less than 2 years service, 32% 2 – 4 years, 21% 5 – 9 years, 3% 10 – 14 years and 2% 15 years or more

### ***Current Staffing Levels***

The Board's full-time-equivalent (FTE) cap increased this biennium from 36 FTEs in FY 2013 to 56.8 FTEs in FY 2014 and 58 FTEs in FY 2015. The FTE increases were granted in both the General Appropriations Act and in House Bill 3201, which, as detailed in the Strategic Plan, made improvements to the enforcement process and required the Board to collect and report certain information from licensees.

### ***Employee Turnover***

The employee turnover rate for FY 2013 was 26.1 %, which is very high compared to the employee turnover rate of 14.0 % for regulatory agencies in general. The high turnover rate is most likely based on gaps in staffing levels and low salary levels. Results from the Survey of Employee Engagement indicated that employees are most dissatisfied with their salary levels and an informal employee survey indicates that employees feel high amounts of stress to "get work done" and do not have a good work-life balance.

The projected turnover rate for the next five years should gradually fall more in line with 14.0 %. Due to substantial increases in staffing levels and moderate salary increases, it is expected that the turnover rate will, at the very least, decrease from the FY 2013 high level. Additionally, the workforce plan will also include other measures to increase employee retention.

### ***Workforce Skills Critical to the Board's Mission and Goal***

The regulation of dentistry is specialized and requires a variety of critical workforce skills and credentials in order to perform the core business functions. Based on the agency's mission and goals, the following identify the critical workforce skills and credentials for the agency to successfully administer and provide services to our stakeholders, public, legislators, and other interested parties:

- Decision Making
- Independent Judgment
- Detail Oriented
- Problem Solving
- Communication
- Customer Service
- Interpersonal Relationships
- Proficient with Basic Technology
- Legislative Process
- Rulemaking
- Policy Development and Implementation
- Risk Assessment
- Data Analysis/Management
- Certified Peace Officers
- Investigation
- Interviewing and Information Gathering
- Compliance Regulation
- Dental Degree and License
- Dental Practice Standard of Care
- Law Degree and License
- Litigation
- Negotiation
- Mediation/Conflict Resolution
- Research/Writing/Editing
- Administrative Law
- Paralegal Credentials
- Emerging and Advanced Computer Technology
- Telecommunication Technology
- Computer/Automated Services Skills

## ***Salary Levels***

Due to overall budgetary constraints, the Board has hired new employees at the minimum of the salary range for their positions. The average salary for the Board is \$47,876, which is 12.8 % less than the average salary of all regulatory agencies. The Board consistently sees employees leaving to other agencies for a higher salary. As such, the high turnover rate is harmful to the agency productivity when skilled workers leave and the agency population contains a high percentage of novice workers. The current budget constraints limit the Board's ability to provide salary increases for performance or even one-time merit increases.

### **III. Future Workforce Profile**

#### ***Expected Workforce Changes***

To continue to meet the Board's workload, legislative and public needs, the agency must make better use of available budget/FTEs, cross-train within and outside of departments, establish automated procedures to provide efficiency and streamline processes, improve communication across departments, and prepare and plan for changes in staff and management and increase the use of technology throughout the agency.

#### ***Future Workforce Skills Needed***

The critical skills described above will continue to be needed in the future. With a new focus on communication, as described in the Strategic Plan, the future workforce will need to increase communication and customer service skills. This will be accomplished through staff training and an enhanced focus by management. Specifically, the Board will look to add a public information specialist to the current staff. Additionally, with new technology initiatives, as described in the Strategic Plan, the future workforce will also be required to gain proficiency with new software programs. This again will be accomplished with training and documented procedures.

### **IV. Workforce and Gap Analysis**

Similar to many other small agencies, recruitment and retention of staff is frequently a challenge, primarily due to uncompetitive salary levels. Key managerial staff and employees assigned to perform critical functions for the agency are unable to commit to the Board for extended period of times because of the need for an increased salary. Many positions with the Board are seen as entry level positions and not long-term career positions. Succession Planning and knowledge transfer is necessary in this climate and must be a focus for the Board in the future. Currently, the Board is lacking in these areas, with insufficient documented procedures.

The Board's workforce should be used efficiently and effectively. As such, staff should be provided effective education and training in cases where such education and training would result in better organizational and individual performance.

Due to budget constraints, it is difficult for departments to attract and retain staff with the skills needed to address change management, process re-engineering and problem solving at a supervisory level. Ongoing internal training to match the agency culture and expectations could assist with this deficit as well as additional funding for salaries. It is the Board's future goal to have all management positions trained in these areas within the next five years.

The Board continues to experience difficulty in recruiting professional employees, particularly in the positions that require IT, dental, legal or law enforcement expertise. As the Board continues to operate within its current budget constraints that do not allow for salary increases, it's likely that the agency will find itself with the same shortage of professional staff in the future.

#### **V. Workforce Strategies**

In order to address workforce gaps, it is the Board's goal to focus efforts on the strategies listed below. Throughout the Workforce and Strategic Plans, the Board has described the need to focus on these areas. Without a strong workforce, the Board will not be able to perform its critical services and meet the needs of the public and licensees.

- Recruitment and Retention – find and hire qualified candidates and encourage current employees to stay due to increased job satisfaction
- Staff and Management Development – prepare employees and management to perform required job skills
- Succession Planning and Knowledge Transfer – ensure that there are qualified employees to fill critical positions that become open and then transfer the required knowledge to perform the job from the departing employee to the new employee
- Reorganization – redeploy staff and make necessary organizational adjustments to respond to changes due to legislative mandates and technology improvements
- Position Classifications – add new job classifications and rewrite job descriptions to better reflect future functional requirements
- Salary Actions – institute equity adjustments, promotions, and merit increases as needed to meet future needs and encourage retention

Subsequent to implementation of the strategies, ongoing evaluation and adjustments to the Workforce Plan will be necessary for continuous improvement.

## **Appendix F – Survey of Employee Engagement Results and Utilization Plan**

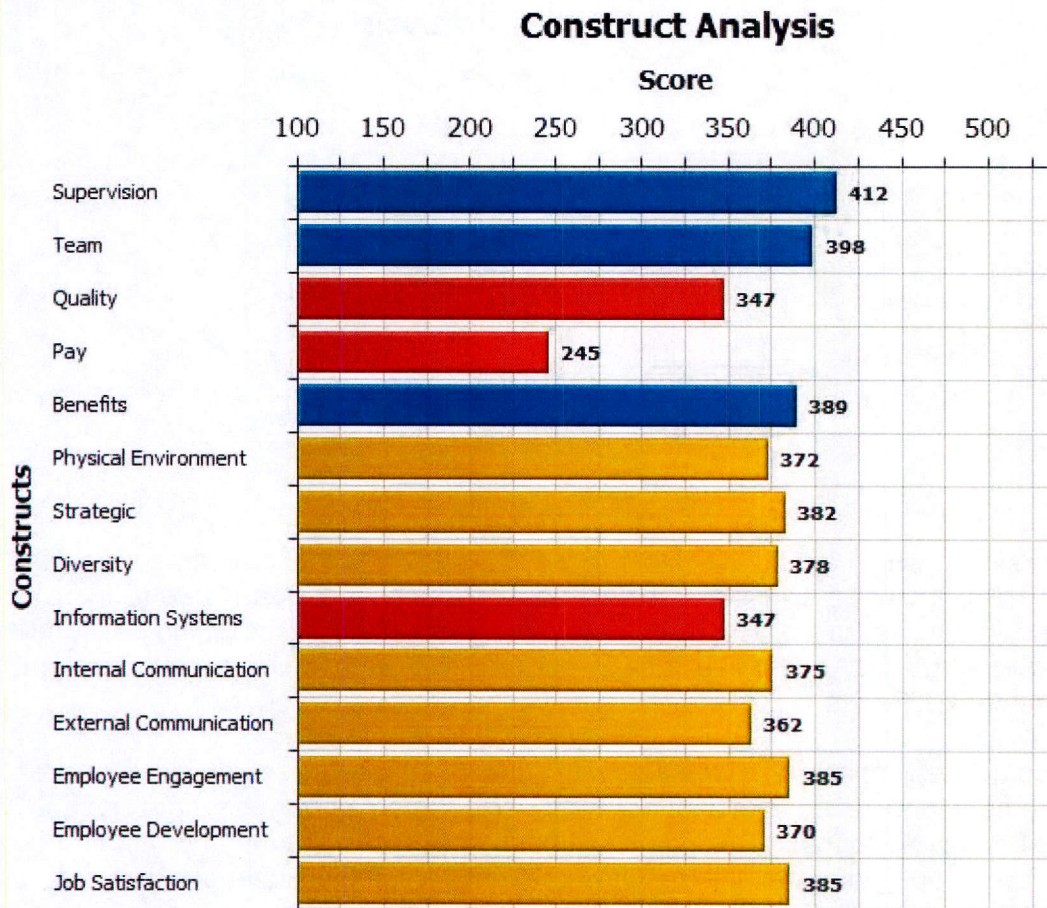
This year, for the first time, the Board participated in the Survey of Employee Engagement, which is an instrument developed by The University of Texas at Austin School of Social Work to assess how employees view their organization, work, and relationships within the organization's environment and their overall satisfaction in their workplace. Securing such data is critical to ensuring the Board's continuous improvement and is especially valuable to management in assessing the relative quality and effectiveness of the organization. Achieving quality and excellence is an evolving process and can be facilitated by recognizing the Board's strengths and weaknesses as perceived by the people who work here. A thorough self-examination will provide the Board the ability to benchmark against itself, as well as against similar agencies that participated in the survey. The survey contributed greatly to the Board's external/internal assessment.

Below is a synopsis of this year's survey results and an explanation of how the results will be used in formulating human resource development goals and strategies to achieve those goals.

The Board's overall score, which is an average of all survey items, was 373. The overall survey score is a broad indicator for comparison with other agencies. For comparison purposes, overall scores typically range from 325 to 375.

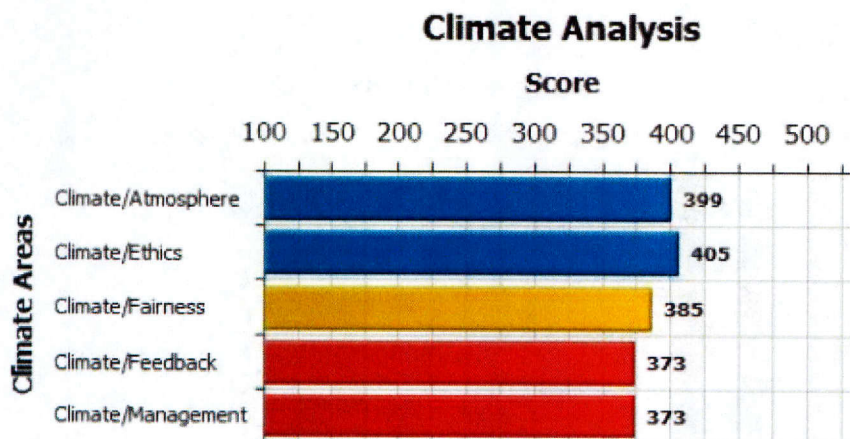
Out of the 44 employees who were invited to take the survey, 39 responded. As a general rule, rates higher than 50 percent suggest soundness. Rates lower than 30 percent may indicate problems. At 89%, the Board's response rate is considered high. High rates mean that employees have an investment in the organization, want to see the organization improve, and generally have a sense of responsibility to the organization. With this level of engagement, employees have high expectations from Board leadership to act on the survey results.

The survey has 14 constructs which capture the concepts most utilized by Board leadership and those which drive organizational performance and engagement. In the table below, the 3 highest scoring constructs are blue, the 3 lowest scoring constructs are red, and the remaining 8 constructs are yellow. Scores above 350 suggest that employees perceive the issue more positively than negatively, and scores of 375 or higher indicate areas of substantial strength. Conversely, scores below 350 are viewed less positively by employees, and scores below 325 should be a significant source of concern for the organization and should receive immediate attention.



The survey also evaluates the climate of the agency. The climate in which employees work does, to a large extent, determine the efficiency and effectiveness of an organization. The appropriate climate is a combination of a safe, non-harassing environment with ethically abiding employees who treat each other with fairness and respect. Moreover, it is an organization with proactive management that communicates and has the capability to make thoughtful decisions. Again, the 2 highest scoring climate areas are blue, the 2 lowest scoring climate areas are red, and the remaining climate area is yellow. Each climate area is displayed below with its corresponding score. The same scoring range applies.





These results, which are consistent with the External/Internal Assessment findings from the Board workshops and stakeholder input, suggest the Board needs to review its systems, practices and procedures involving the obtaining, processing, dissemination, communicating and otherwise using data in program operations, oversight and management activities.

The Board will share the results with the employees, select priority areas for improvement and recognize and celebrate areas that employees have judged to be areas of relative strength. The Board will hold small focus groups to determine how the employees would interpret the results; conduct targeted follow-up surveys to collect additional information including comments; and provide employees with questionnaires/comment cards to express their ideas.

Next, the Board will designate a Change Team composed of a diagonal slice across the organization that will guide the effort to plan for improvement in areas of concern. The Change Team will review strengths as indicated in the data report and from focus group session results to determine how to best address weaknesses. The Change Team will then compile the highest priority changes and methods necessary for making the change and present them to management. Management will determine the plan of action and set up a reasonable timeline for implementation. Lastly, management will keep employees informed about changes as they occur through meetings, newsletters, and/or intranet publications. The Board will resurvey in the next biennium to document the effectiveness of the change.



## **Appendix G: Historically Underutilized Business Plan**

In accordance with Texas Government Code, Sections 2161.181-182 and Section 111.11 of the Texas Administrative Code, the Board is required to make a good faith effort to utilize historically underutilized businesses (HUBs) in contracts for construction, services (including professional and consulting services) and commodity procurements. The Dental Board's internal HUB Program, administered by the Finance and Administration Division, works to procure products and services for agency users. The Director of Finance and Administration identifies HUBs to ensure they have an equal opportunity to bid on agency contracts and related subcontracts.

### **1. Mission**

The Mission of the Texas State Board of Dental Examiners is to advocate the participation of HUBs in the Board's procurements and contracts and remain committed to providing procurement and contracting opportunities for minority, women and veteran-owned businesses.

### **2. Goal**

The Goal of the Texas State Board of Dental Examiners is to establish and carry out policies governing purchasing and public works contracting that foster meaningful and substantive inclusion of HUBs.

Specifically, the Board will make a good faith effort to utilize HUBs in the Board's procurements and contracts with the following statewide goals in mind:

- 23.6 % for professional services contracts;
- 24.6 % for all other services contracts; and
- 21.0 % for commodities contracts.

### **3. Agency Programs**

In an effort to meet the Board's goal, the Board has established the following strategies:

- compliance with HUB planning and reporting requirements;
- utilization of the Texas Procurement and Support Services' (TPASS) Centralized Master Bidder List and other sources in bidding for delegated services;
- adherence to the HUB purchasing procedures and requirements established by the Comptroller of Public Accounts' Texas Procurement and Support Services Division;
- attendance at HUB Coordinator meetings, HUB small business trainings and HUB agency functions;
- utilization of HUB resellers from the Department of Information Resources' contracts; and
- promotion of HUBs in the competitive bid process on all goods and services.



