



**COLORADO**

**Department of  
Regulatory Agencies**

# Department Performance Plan

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# Department of Regulatory Agencies

## DORA Mission

The Department of Regulatory Agencies (DORA) is dedicated to preserving the integrity of the marketplace and promoting a fair and competitive business environment in Colorado.

Consumer protection is our mission.

## DORA Vision

At DORA, we believe in fostering a Colorado in which consumers and service providers partner, forging common successes. With a sharp focus on streamlining and modernizing processes and enhancing end-to-end customer experiences, we strive to advance an environment and regulatory framework where both businesses and consumers are treated fairly and the economy thrives. In the next year, DORA looks to deliver the fastest, easiest, and most enjoyable experience to our customers- the businesses and individuals who interact with us to get the services they need.

Though the Department is diverse, our shared commitment is unwavering. We are committed to protecting customers, reducing unnecessary “red tape”, and ensuring that businesses thrive in an environment that protects consumers. Our nearly 600 employees are dedicated to preserving the integrity of the marketplace and promoting a fair and competitive business environment throughout Colorado.



### Dedication

Responsive  
Responsible  
Steadfast

**Commitment to mission** - understanding and support of customer and stakeholder needs and expectations through continuous improvement of services and processes.



### Openness

Honest  
Competent  
Trustworthy

**Visionary** - bold inquisitiveness and receptivity to new ideas, establishing a reputation of fairness and integrity that consumers can trust.



### Respect

Conscientious  
Consistent  
Sincere

**Expressed appreciation for teamwork and diversity** - sensitivity to different views and interests, with value placed on clear and effective communication.



### Accountability

Accessible  
Professional  
Reliable

**Drive toward mission and results** - collective and unified commitment to acting responsibly, dependably, and with demonstration of leadership



# Guiding Principles

In support of DORA's vision, our set of guiding principles demonstrates our business philosophy. By noting how we approach our work, we maintain a clear and consistent strategy for decision making and providing the highest quality of service.



## Influencing the Customer Experience

DORA is focused on delivering consumer and professional outreach and engagement, and complaint resolution - with a timely and consistent, platinum level of customer service, thereby measurably enhancing each customer experience.



## Leveraging Value & Partnerships

DORA prides itself on the development, sustainment and strengthening of internal and external partnerships to increase the value we provide. DORA represents a fair, responsible and collaborative consumer protection presence in the Colorado economy, and we are dedicated to advancing professional relationships, both within and outside of Departmental walls.



## Commitment to Culture

DORA recognizes the workforce and employees are its greatest asset, and the foundation for success. DORA values each individual employee.

We are committed to recruiting and retaining talented and passionate employees by investing in our workforce and work culture. DORA provides opportunities for engagement, education, and individual/professional development to capitalize on employee strengths and foster a culture of teamwork. Together, we can achieve our collective mission and enhance every customer experience.

# Department Description

DORA was officially created as a department in 1968, yet many divisions and programs within DORA today have been protecting Colorado consumers since 1877. The Department is responsible for 40 boards, commissions and advisory committees, which are charged with administering over 50 regulatory programs governing professions, occupations and businesses comprising over 710,000 individual licensees and approximately 40,000 businesses and institutions. In all, DORA is comprised of 312 board members and nearly 600 professional regulatory staff, including program directors and managers; professional examiners, inspectors, and investigators; financial analysts, and front-line professional, technical and administrative staff.

## Programs



Division of Banking



Division of Real Estate



Division of Civil Rights



Division of Securities



Division of Financial Services



Executive Director's Office  
Includes the Colorado Office of Policy, Research, and Regulatory Reform



Division of Insurance



Office of Consumer Counsel



Division of Professions and Occupations



Public Utilities Commission

The Department is primarily cash funded by regulated entities through fees and assessments, which flow into cash funds. DORA is unique among state agencies with regard to the volume, complexity, and autonomy with which it sets industry fees based on appropriations made by the General Assembly. Only two areas within the department involve the state General Fund: the Division of Civil Rights, which is partially funded by the General Fund; and the Division of Insurance, which is supported by a combination of license fees and insurance premium tax revenues.

DORA strives to keeping fees minimal and regulation limited to only what's necessary, effectively balancing safety, business needs, and the value of quality and service.

# Major Program Areas

This section illustrates the fundamental functions and programs administered by DORA and lists the divisions that oversee specific functions.



## Licensing/Permitting

The Department processes individual and business licensure applications for more than 50 professions. The process to issue an original license or permit includes some or all of the following: application receipt, verification and review for completeness and timeliness, review of examination results, background checks, evaluation of compliance with statutory and board requirements/parameters (e.g., education, experience, etc.), and final issuance (or denial) of the license/certificate/permit of authority to operate or do business in the state.

### Divisions

- Banking
- Insurance
- Professions and Occupations
- Public Utilities Commission
- Real Estate
- Securities

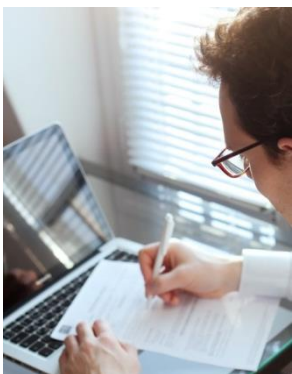


## Consumer Assistance and Contact/ Complaint Resolution

The Department performs informal complaint resolution processes that do not necessitate an investigation. Examples of these processes include: responding to general consumer inquiries about requirements or appropriate conduct/behavior in working with licensees, inquiries about savings that consumers have secured through Department support, assistance in determining whether certain actions of individuals/companies are in compliance with regulations and laws, and assistance in resolving issues they may have with utility services (billing/rate matters, provision of insurance benefits/reimbursements, etc.). Consumer assistance and contact/ complaint resolution processes include receipt and review of the contact (phone call, e-mail correspondence, appearances at local community events, etc.), researching the matter and/or appropriately directing the contact, and providing appropriate guidance, information and/or resolution.

### Divisions

- All Divisions including the Executive Director's Office



## Consumer Representation During Utility Rate Approvals

Through the Office of Consumer Counsel (OCC) the Department intervenes in rate increase requests ("rate cases") submitted by the utilities. Representing the interests of residential, small business and agricultural energy consumers, the OCC participates in administrative hearings which ultimately lead to approval of rates which

### Divisions

- Office of Consumer Counsel

are charged to utility customers. The rate approval process includes evidentiary hearings before the Public Utilities Commission. OCC staff participate in these hearings and review, research and provide testimony in support of their position throughout the hearing process.



## Regulatory Program Administration Enforcement

The Department resolves complaints/charges received and conducts proactive enforcement/ compliance oriented investigations, to ensure that consumers are adequately protected and licensees correct identified practice deficiencies. The process includes reviewing investigative findings and making determinations as to administrative discipline or remediation, including license revocations, suspensions, cease and desist orders, practice stipulations, letters of admonition, dismissals, and dismissals with letters of concern. Additionally, the enforcement process includes mediations and/or efforts to realize settlements, including expedited settlements. This includes settlement offers, drafting stipulations, negotiating alternative resolutions, and tracking compliance with the stipulation terms.

### Divisions

- Civil Rights
- Insurance
- Professions and Occupations
- Public Utilities Commission
- Real Estate
- Securities



## Regulatory Program Administration Investigations

Every DORA board and program “regulates” for compliance in accordance with respective statutes. As such, the Department is responsible for conducting criminal and/or compliance investigations in response to formal complaints (including charges alleging discrimination). This also includes regular and more proactive compliance audits or audit-oriented investigations that may not be prompted by a specific formal complaint. Investigation of potentially illegal, harmful, impaired, or incompetent activities is the mechanism used to provide the boards with information that will allow them to decide if there has been a violation of professional regulatory statutes, practice acts, laws or the Colorado Civil Rights Act. The process includes formal complaint/charge receipt and review, which may include further intake/filing steps such as drafting charges; assignment to an investigator; information gathering; report writing; and presentation to the appropriate staff, authority or board for potential decision making, including administrative discipline or enforcement action.

### Divisions

- Civil Rights
- Insurance
- Professions and Occupations
- Public Utilities Commission
- Real Estate
- Securities





## Regulatory Program Administration Inspections

The Department conducts inspections for more than 10 regulatory professions and areas pursuant to statutory requirements. This includes passenger carriers, household goods movers and towing carriers that operate “for-hire;” electrical and plumbing inspections in areas where the state is the local inspector; vehicle, gas pipeline and tramway safety inspections; and facility/office inspections for other regulated professions including, but not limited to, pharmacies, barber shops, cosmetology salons and regional, corporate home offices. The process involves conducting on-site inspections, and reviewing required records to ensure compliance with state law and safety rules.

### Divisions

- Insurance
- Professions and Occupations
- Public Utilities Commission



## Institutional Examinations

The Department protects consumers by conducting examinations of all state-chartered financial institutions and insurance companies under its supervision to preserve public trust in the financial industries regulated in Colorado including Banks, Money Transmitters, Trust Companies, Credit Unions, savings and loans, securities broker-dealers, investment advisory firms, insurance companies, brokerage firms and subdivision developers. In order to fulfill this duty, the Department (by separate statutes and divisions) performs regular on-site examinations of the records of these institutions in coordination with applicable federal

counterparts including the Federal Deposit Insurance Corporation, the Federal Reserve Bank, and the National Credit Union Administration; engages in letters of understanding; issues consent/ cease and desist orders; and when necessary, assumes operational control of institutions to protect consumers’ deposits. Examinations are also conducted to confirm compliance with requirements of the Public Deposit Protection Act (at applicable institutions). Insurance companies are examined to determine compliance with insurance laws and regulations.

### Divisions

- Banking
- Financial Services
- Insurance
- Real Estate
- Securities





## Economic Regulation

# Rate Analysis and Approvals

The Department receives requests to analyze and/or change the rates, terms and conditions of service offerings; to change existing certifications or authorities; to grant new certifications or authorities; to determine compliance with state regulations and to assure rates are not excessive, inadequate or unfairly discriminatory. Multiple program areas conduct analyses of each request and ultimately provide an approval or denial. The approval process includes receipt of the request, analysis by Division/Commission staff, and decision by the Commission. The process may also include testimony by staff and external insurance rates charged to Colorado consumers by automobile, homeowners, life, health, workers' compensation, and other insurers.

### Divisions

Insurance  
Public Utilities  
Commission



## Education, Outreach, and Training

DORA engages in widespread efforts to pro-actively inform consumers of their rights regarding regulated occupations and professions with hopes of serving a more informed consumer base, decreasing regulatory violations and burdens, and ensuring public awareness of consumer protection information available. The overarching goal is to foster smart consumers, which in turn, strengthen consumer confidence and positively impacts Colorado's business environment. Outreach, education and training processes include the development and dissemination of brochures, newsletters, correspondence, radio and television public service announcements, training, town hall meetings throughout the state, expanded visibility through technological communications, advertising and marketing materials, establishment of crisis-help centers and call-centers, public speaking engagements and interviews, etc.

### Divisions

All Divisions  
including the  
Executive  
Director's Office

DORA's customer base is broad and deep, as the Department interacts with consumers, professionals, businesses, financial institutions, government officials including at the local and federal level, and the general public. DORA believes that Colorado's economy will thrive through a regulatory framework that protects Colorado's consumers, while fostering fair and rigorous standards for professionals and businesses.

"Consumer Protection" is such a broad term, carrying with it so many different meanings, to different audiences. From DORA's perspective, consumer protection is the composite of all the functions noted above, from establishing the professional and occupational practice standards, to oversight and enforcement of those standards, to education and outreach to facilitate an understanding of the standards. Working toward this end demonstrates the value Colorado places on a safe and competitive business environment. Adhering to the consumer protection mission also requires that DORA promote fair, and not overly burdensome standards across the professions. We are proud to be recognized as the state's consumer protection agency.

# Strategic Policy Initiatives

Strategic Policy Initiatives are intended to form the overarching framework for the policy goals of the Department, driving DORA's direction for the future. Crafted by executive leadership with input from staff from front-line to program/middle management, these initiatives are intentionally broad, framing general outcome goals/ measures for department-wide efforts (as opposed to day-to-day activities or operational measures). Strategic Policy Initiatives are influenced by the Department's actions, but are not necessarily in the full control of the Department or its employees. Strategic Policy Initiatives are often influenced by environmental factors that Departments cannot shape or control. As such, the targets and action steps, and goals and measures set forth in support of the Strategic Policy Initiatives of this component of the Performance Plan allow milestones and incremental measures of the Department's activities and progress. The stated targets articulate the intended, ultimate outcomes/goals of DORA's five strategic Policy Initiatives, within which the Department can build the program-level operational planning components, focusing on the discrete program areas and processes to measure progress and define operational outputs, and success.

The five Strategic Policy Initiatives comprehensively span the Department's efforts and direction across all of its major program areas, and represent real value and meaning to our customers; yet are few and manageable enough to enable the development of unifying objectives, goals and measures of success for the entirety of the workforce to contribute to the Department's mission.



## Strategic Policy Initiative #1



# Provide Efficient and Effective Regulation for the Public

Public trust and confidence is vital in order for DORA to assure consumer protection. DORA assumes a leadership position in the state's efforts to demonstrate the ability to make decisions, develop systemic action plans, act in the public interest, and follow-through. Strategies incorporate and depend upon trend analyses, responsible and transparent stewardship of money and resources, data driven decision making, modernizing legacy systems and processes, and continuous improvement. Improving processes, and identifying opportunities to expand and/or share common resources beyond division and department boundaries enables DORA to make measurable, resourceful and innovative changes to more effectively and efficiently motivate and encourage compliance without compromising enforcement processes. With the regulated professionals, businesses, and consuming public as customers of the targets below, this Strategic Policy Initiative primarily encompasses the licensing/permitting and administrative discipline program functions.

## June 30, 2017 Targets

I

Streamlining licensing and related administrative services through migration of legacy licensing, payment and filing functions to online platforms and portals.

- a. **100%** of DORA's business and occupational license/regulatory applications are available online.
- b. **50%** of state-chartered Banking and Financial Services entities (Banks, Credit Unions, Savings and Loans, etc.) submit assessments, filing and licensing fees, and fine payments electronically through a new Automated Clearing House (ACH) system, replacing paper payment processing.
- c. Conversion of other Department paper-based processes to electronic systems.

II.

Implementation of modernization opportunities and technology solutions to streamline investigation, examination, audit, licensing, inspection and complaint resolution processes.

- a. Successful implementation of enterprise case management system for Civil Rights Division, resulting in **45%** of discrimination complaints/charges being filed online, and a **10%** increase in investigations and resolution of complaints resolved within 270 days.
- b. Implementation of common technology based, modernization-enterprise platforms spanning more than one division, with documentation of realized efficiencies.



## III.

Improvement of licensing, enforcement and other Department functions through Lean and similar continuous improvement strategies.

- a. Improvement of licensing processing times Department-wide as Divisions attain, track and report key performance measures.
  - **95%** of real estate licenses issued within 5 days from approval of complete and accurate application.
  - **33%** reduction in time to process professional and occupational license applications, including, in particular, high-demand professions (mental health providers, pharmacists, etc.).
  - **100%** of securities licenses that do not require a restriction issued within 30 days.
- b. Savings and resource efficiencies recognized by LEAN or continuous improvement measures are quantifiable, and reinvested/redeployed for tangible improvements.
  - Reduced regulatory burden on the money transmitter industry (licensed by the Division of Banking) through decreased amount of time spent performing on-site examinations and eliminating travel fees/expenses to the money transmitters by at least **\$50,000**.
  - Implementation of a Priority Focused Regulation (PFR) strategy for small credit union examinations (less than \$100,000,000 in assets), when appropriate, demonstrating a **10%** direct time savings, and reporting cost and time savings to those credit unions and to help assure the safety and soundness of the institution.
  - Elimination or modification of unnecessary administrative requirements to achieve associated cost savings.
- c. Reduced processing time for examination reports and rate cases to regulated institutions and professionals.
  - **100%** of banking and financial examinations are complete in 12-18 months.
  - **100%** of securities exams are complete in 90 days (absent a statutory deadline or timeframe within which the Division must complete examinations).
  - **96%** of insurance rate cases finalized within 90 days, with quarterly reporting of the savings and number of consumers served.
  - **95%** of Public Utilities Commission cases finalized within 30 days (tariff filings allowed to become effective without a hearing).
  - **34%** increase in the rate increases avoided due to OCC involvement with quarterly reporting of savings to consumers.



- d. Improved response and complaint resolution-times Department-wide.
- **95%** of insurance complaints/inquires processed within 90 days, with quarterly reporting of percent of consumer complaints upheld and resulting savings.
  - **95%** of informal PUC complaints/inquiries resolved within 15 days, with Consumer Affairs Unit tracking and reporting money saved for or refunded, estimating a baseline of approximately 10% of informal complaints resulting in savings or refunds to Colorado consumers.
  - **100%** of citizen advocate/outreach requests resolved w/in 3 days of request within the Executive Director's Office.
  - **75%** of Division of Real Estate complaints resolved within 60 days.
- e. Assistance to active military personnel, veterans and their families in transitioning into civilian life.
- Adoption of **four** policies that identify pathways for veterans using military training and experience in a military occupation to qualify for 24 high demand occupational licenses or certifications.
  - Facilitation of the development of gap coursework at a minimum of **two** institutions of Higher Education for veterans seeking to transition from a military occupation to 24 civilian occupational licenses by collaborating with Higher Education stakeholders.

## IV.

Increased use of mediation/conciliation, alternative dispute resolution, and other tools to decrease the time to resolve cases, reduce legal expenditures and achieve more expedient and less formal resolutions.

- a. Increased rates of cases resolved internally, including, for example, **90%** of Division of Real Estate cases being resolved “internally” through the Expedited Settlement Program (ESP), and a **10%** increase in the number of civil rights cases resolved through alternative dispute resolution, including mediation and conciliation.



Strategic  
Policy  
Initiative  
#2



## Improve Public Protection Through Strengthening of Consumer Protection Lens.

DORA's mission is consumer protection, and we recognize our key role as an enforcement agency, protecting the public from predatory practices, protecting at-risk communities and victims, and holding perpetrators of fraud accountable. Expanding partnership with law enforcement, engaging in broader outreach, and leveraging Departmental and Division resources will enable the Department to continue to strengthen its critical consumer protection work.

### June 30, 2017 Targets

I.

Development and implementation of Department-wide enforcement strategies and activities that further combat common predatory practices and activities.

- a. Enforcement activities and tools are expanded to prioritize consumer protection enforcement activities and combat particular predatory practices.
- b. Broader educational outreach is conducted to specific at-risk communities, thereby reaching a broader consumer base, including through at least **four** partnership education and outreach events with sister divisions and departments (focused on how to avoid scams, fraud, and predatory practices).
- c. Implementation of **two** pilot consumer protection telephone "hotlines," and increases in volume of complaints received therefrom by **10%** each quarter.
- d. Strengthened partnerships with law-enforcement to enhance utilization of DORA tools and resources.

II.

Strengthened efforts to combat opioid and prescription drug abuse.

- a. Division of Professions and Occupations pursuit and implementation of administrative, regulatory, and/or statutory modifications to improve efficacy of PDMP, increasing utilization rates to **28%** in 2017 and **40%** in 2018.
- b. Division of Professions and Occupations' health-care licensing boards updated and modified Quad Regulator Joint Policy for Prescribing and Dispensing Opioids and education of Colorado Providers on the new guidelines that balance access to treatment and aberrant drug behavior.
- c. Departmental leveraging of cross-Division resources to further target opioid and prescription drug abuse and related collateral consequences.

## II.

Strengthened efforts to combat opioid and prescription drug abuse.

- a. Division of Professions and Occupations pursuit and implementation of administrative, regulatory, and/or statutory modifications to improve efficacy of PDMP, increasing utilization rates to **28%** in 2017 and **40%** in 2018.
- b. Division of Professions and Occupations' health-care licensing boards updated and modified Quad Regulator Joint Policy for Prescribing and Dispensing Opioids and education of Colorado Providers on the new guidelines that balance access to treatment and aberrant drug behavior.
- c. Departmental leveraging of cross-Division resources to further target opioid and prescription drug abuse and related collateral consequences.

## III.

Development of a collaborative inspections model, utilizing technology and best practices across the relevant divisions within the Department.

- a. Development and deployment of an inspections online/mobile application to replace current manual and paper driven processes, enabling electronic processing and tracking of information, with quarterly reporting of efficiencies and savings.

Strategic  
Policy  
Initiative  
#3



## Ensure Regulatory Activities Support Economic Development

The process for stakeholders such as businesses, professionals, licensees, other jurisdiction/government counterparts, boards and Commissions, constituents, etc., to contribute to the policy, rules, and decision making processes and discussions should be clear and easy. Further, the Department must continue to develop and strengthen internal and external partnerships to improve economic development, foster and sustain a competitive marketplace, and protect consumers. Interested parties must have a reliable and prompt avenue to easily access and communicate with the Department to acquire a license or open a small business. Effective partnerships offer agency recognition, information sharing, partnering of divisions and jurisdictions, and the application of mutual resources. External collaboration is critical when addressing the complexities of regulatory and public protection issues and trends. Proper branding and messaging, providing compliance assistance and promoting compliance incentives enhance the Department's ability to create a balanced regulatory framework.

## June 30, 2017 Targets

I

Reduction of unnecessary regulatory burdens associated with State government, as efforts and expectations to reduce superfluous red-tape are entrenched in agencies' cultures.

- a. **100%** of Divisions empanel industry stakeholder groups to partner with on a periodic and on-going basis, including identifying impediments to business and workforce- occupational growth and modification/elimination of unnecessary rules.
- b. **100%** of rule-making Divisions comply with new early stakeholder requirements of Regulatory Reform initiative.

II.

Strengthened strategic partnership with the Governor's Office of Economic Development and International Trade (OEDIT).

- a. Colorado's regulatory framework supports the continuing implementation of the Colorado blueprint.
- b. Facilitation of the potential of establishing a single point of access, and/or unified, consolidated guidance materials for identifying the minimum regulatory requirements that necessarily impact small businesses and professionals seeking licensure, to ease the burden on and for new or start-up businesses, while still protecting the public.



- c. Facilitation of increasing broadband services state-wide through deployment of Broadband Board by providing **\$2.4 million** in grants in 2016, and securing matching funds of **\$840,000 (35%)**.

### III

Strengthened and rebranded Colorado Office of Policy, Research and Regulatory Reform's presence to expand and refine the Office's regulatory reform focus and scope, and increase public participation.

- a. Through deployment of new outreach and educational initiatives, generation of **25%** annual increase in cost-benefit analysis requests and unique website visits, and **doubling** of online public comments for pending sunrise/sunset reports.
- b. Creation of an easily understandable set of educational materials regarding rule-making through publication of Citizen's Guide to Rule-making.

### IV.

Implementation of innovative tools to increase compliance of regulated entities and professionals.

- a. Demonstration of **10%** annual increase in webinars for regulated entities and professionals.
- b. Identification of cross-division, common issues and trends, systemic challenges, and benchmark practices to establish joint, "core" sets of simplified best-practices, guides, tools, and resource materials.
- c. Utilization of innovative strategies that combine compliance assistance, compliance incentives, earlier or self-monitoring and new compliance resources and "tools" for regulated entities.

## Strategic Policy Initiative #3



# Assure DORA is Accessible and Responsive

DORA's commitment to a platinum level of customer service is entrenched into the agency's culture. Further, the Department recognizes the importance of investing in personnel by providing training, education, personal enrichment and professional development opportunities that enable employees to utilize their individual and team strengths. We must ensure employees have the resources to improve their careers and professional lives, which will increase Department accessibility and responsiveness, establish a culture of service, increase employee engagement and accountability, equating to and resulting in high performance. DORA's entire internal and external customer base is touched by this Strategic Policy Initiative, spanning all divisions, functions and programs.

## June 30, 2017 Targets

### I

Defined and delivered "platinum level" customer experience.

- a. Successful implementation of centralized DORA Welcome Center, measured through new quarterly customer satisfaction survey, and demonstrated by a **25%** of DORA Welcome Center first call resolution, and a **10%** reduction in the number of dropped incoming calls to the Executive Director's Office.
- b. **100%** implementation of new customer/consumer "chat" query functionality, enabling consumers and customers with immediate access, reducing response times during business hours.
- c. **100%** of regulatory/licensing Divisions implement semi-annual customer satisfaction survey that is tracked and reported, enabling customers expanded opportunity to provide input on an on-going basis.
- d. **100%** of Divisions identify and execute one external, public facing "Prosumer" project documenting the business customer impacted, and the direct and indirect cost and time savings and benefit to the customer/consumer.

### II.

Improvement of DORA's external communication mechanisms and strategies.

- a. Maintenance of new, citizen centric internet presence, and continuous improvement of online presence based on managed feedback.

- b. Increased audience of DORA's quarterly newsletter to regulated professionals and entities by **10%**.
- c. Increased frequency of licensing and enforcement data being searched by consumers through the development of additional "points of entry" for accessing licensing/ enforcement data (for example, developing mobile-app and/or adoption of state-licensing database).
- d. Dissemination of **five** "consumer alerts" per quarter.
- e. Development and publication of a minimum of **four** common practice violations to decrease violations, with a focus on common practice deficiencies or business practices; trends in disciplinary action imposed for non-compliance with practice acts; and complaint trends.

**III**

The leadership and engaged culture of the DORA workforce is expanded.

- a. Engagement of the DORA workforce through successful implementation of DORA-wide Employee Engagement Council and new DORA onboarding process.
- b. Recruitment, retention, succession planning, and Department training, including the DORA Supervisory Leadership Academy, caters to specific needs of the workforce, and focus on developing skills and competencies that position the workforce to understand how every role aligns with the Department's Performance Plan, priorities and functions.
- c. Utilization of employee engagement survey data to determine progress, and areas of improvement; and mechanisms for employee empowerment are enhanced.
- d. Promotion of collaboration, professional development and employee innovation in order to create customer centric services and interactions.



## Strategic Policy Initiative #5



# Expand Outreach to and Engagement With the Public

DORA recognizes and leverages the value of partnerships and preventative measures by providing training, education and information to individuals and groups regarding current laws. DORA works in close cooperation with federal and local agencies, community based and non-profit organizations, businesses, Chambers of Commerce, and economic development organizations in identifying areas of focus to reduce excessive regulatory burdens and attain the mission of consumer protection. Citizens, stakeholder and industry all benefit from this Strategic Policy Initiative that most clearly aligns with the outreach, education and training functions provided by all divisions and offices.

## June 30, 2017 Targets

I.

DORA's outreach strategies are enhanced and expanded.

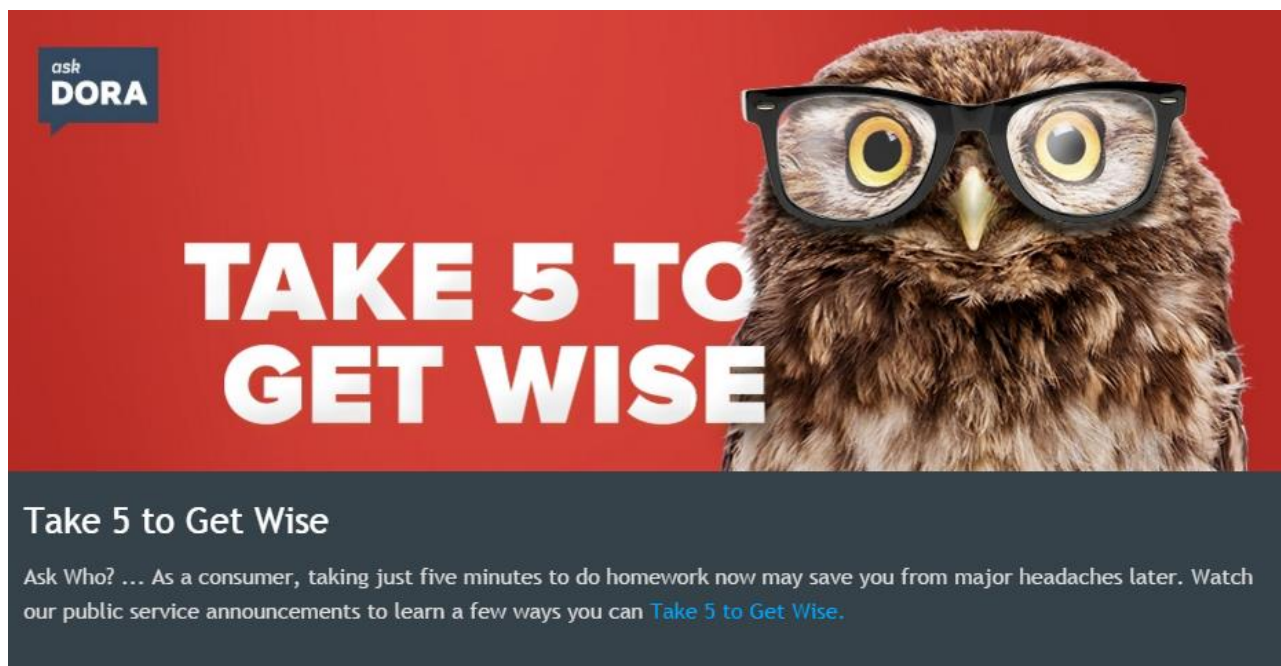
- a. Outreach activities mirror the Department's performance plan, highlighting core priorities, purpose, mission and breadth of resources we provide as one department, tailored to be customer centric.
- b. DORA strengthens partnering relationships with other organizations who already reach and have ready access to the broad consumer base DORA serves (e.g. trade associations, better business bureaus, interest groups, etc.).
- c. **10%** increase in targeted visits to Chambers of Commerce, economic development organizations, and division-based engagement activities in urban and rural areas.
  - a. DORA Management attends regulated institutions' board meetings.
  - b. At least **10** Board and Commission meetings are held in different geographic areas of the state.



## II

Expanded education of customers through vigorous efforts, including targeted communications campaigns.

- a. Expanded "Take 5" Consumer Protection Campaign.
- b. Identification of critical, "high risk" or "high priority" consumer and consumer protection regulatory issues, to allow for departmental focus on addressing and providing timely resources to expand our impact.
- c. Representation from the department as a unified face in public and industry education awareness and outreach programs, training, forums and awareness campaigns, electronic publications, enhanced use of technology and webinars, social media, public information events and media coverage.



## III

Demonstration of DORA's tangible economic benefit to the marketplace in relation to investment through the tracking and promotion of DORA's accomplishments in savings through regulation, settlements, rate analyses, and reviews.

100% of Divisions publish annual report to the public.





# Department Performance Plan

July 1, 2016