Performance Plan Evaluation – July 1, 2014 Submission

Department of Regulatory Agencies

Strategic Policy Initiatives

Initiative criteria[1]:

- Outcome oriented: The initiative reflects the results the Department seeks to achieve, rather than the products of a process or activity.
- Measureable & Time-specific: The initiative includes quantifiable parameters and a timeframe within which the parameters will be met.
- Specific, Directional, & Understandable – The reader should be able to define the problem or solution from the goal statement, i.e. directional verbs such as "increase" or "decrease/reduce".
- The Department has identified 3-5 strategic policy initiatives that either directly reflect the work of specific divisions or span the overall functions of the Department.

Strategic Policy Initiative (SPI)	Outcome oriented	Measureable & Time-specific	Specific, Directional, & Understandable	Connected to Major Program Area/Division	Strategy/action steps identified
Public Trust and Confidence is Increased	DORA provides reasonable and conscientious regulation. The Department is a recognized leader in the creation and sustainment of a fair, competitive and business friendly regulatory environment, including education, outreach and communication in and for Colorado.	Goals for July 1, 2015.	For the next iteration of the plan, the Department should seek to provide measures for the SPI and respective goals in order to assess progress on the initiative and goals.	It is unclear which program functions specifically drive progress on this initiative. For the next iteration the Department may seek to clarify the connections.	For the next iteration, the Department may benefit from outlining specific action steps or targets necessary to make progress on initiatives. However, the Department did identify a number of goals associated with the SPI available in the strategic component.

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[1] These parameters are from OSPB's instructions; wording is more specifically from the "Performance Management Toolkit: A Step-by-Step Guide for Leaders & Managers", p. 19

Strategic Policy Initiative (SPI)	Outcome oriented	Measureable & Time-specific	Specific, Directional, & Understandable	Connected to Major Program Area/Division	Strategy/action steps identified
Public Protection is enforced	The Department brings value to the marketplace, and the quality and "capital" of regulatory program administration and enforcement processes are consistent, streamlined, standardized, consistently improved, and leverage technology.	Goals for July 1, 2015	For the next iteration of the plan, the Department should seek to provide measures for the SPI and respective goals in order to assess progress on the initiative and goals.	It is unclear which program functions specifically drive progress on this initiative. For the next iteration the Department may seek to clarify the connections.	For the next iteration, the Department may benefit from outlining specific action steps or targets necessary to make progress on initiatives. However, the Department did identify a number of goals associated with the SPI available in the strategic component.
Regulatory activities and Economic Development are Connected	The Department builds and maintains professional partnerships, and conducts outreach initiatives to create relationships that enable government to more positively influence the Colorado economy	Goals for July 1, 2015	For the next iteration of the plan, the Department should seek to provide measures for the SPI and respective goals in order to assess progress on the initiative and goals.	It is unclear which program functions specifically drive progress on this initiative. For the next iteration the Department may seek to clarify the connections.	For the next iteration, the Department may benefit from outlining specific action steps or targets necessary to make progress on initiatives. However, the Department did identify a number of goals associated with the SPI available in the strategic component.
Government is Accessible and Responsive	DORA enhances professional development provides training for a high quality, customer centric workforce. DORA defines and creates an overarching and internally consistent employee engagement and workforce development foundation and framework to maximize employee success, department efficiencies and access and ultimately the customer experience.	Goals for July 1, 2015	For the next iteration of the plan, the Department should seek to provide measures for the SPI and respective goals in order to assess progress on the initiative and goals.	It is unclear which program functions specifically drive progress on this initiative. For the next iteration the Department may seek to clarify the connections.	For the next iteration, the Department may benefit from outlining specific action steps or targets necessary to make progress on initiatives. However, the Department did identify a number of goals associated with the SPI available in the strategic component.

Strategic Policy Initiative (SPI)	Outcome oriented	Measureable & Time-specific	Specific, Directional, & Understandable	Connected to Major Program Area/Division	Strategy/action steps identified
Consumer Rights are Protected	DORA provides comprehensive and unified outreach, and broad and specific education to the citizens of Colorado, and works closely with public and appropriate private organizations in conducting educational programs so citizens are not only informed of their rights, but know where to go with issues, concerns or complaints.	Goal for July 1, 2015	For the next iteration of the plan, the Department should seek to provide measures for the SPI and respective goals in order to assess progress on the initiative and goals.	It is unclear which program functions specifically drive progress on this initiative. For the next iteration the Department may seek to clarify the connections.	For the next iteration, the Department may benefit from outlining specific action steps or targets necessary to make progress on initiatives. However, the Department did identify a number of goals associated with the SPI available in the strategic component.

Additional Feedback: The Department developed initiatives for July 1, 2017, however these do not have specific goals associated with them yet; for the next version of the plan, OSPB recommends they develop one- and three-year goals for each initiative. The Department excellently identified unifying initiatives that cut across various functions of the Department to move collaboratively toward a comprehensive vision for the future.

Major Program Areas

Major Program Area criteria:

- Major Program Areas identified; may be actual Department divisions or functions.
- The Major Program Area description outlines at least one customer.

Major Program Area – Functions	Defined	Customer identified for each Major Program Area
Licensing/Permitting	Defined in the strategic component. Divisions involved include: banking, insurance, professions and occupations, PUC, real estate and securities	DORA has internally identified customers for each Division; however it may be beneficial for the Department to include a section in the next iteration that outlines the specific customers for each function and/or Division.
Regulatory Program Administration – Investigations	Defined in the strategic component. Divisions involved include: civil rights, insurance, real estate, professions and occupations, PUC, securities	*See comment in first row.*

Major Program Area – Functions	Defined	Customer identified for each Major Program Area
Regulatory Program Administration – Administrative Discipline	Defined in the strategic component. Divisions involved include: civil rights, insurance, real estate, professions and occupations, PUC, securities	*See comment in first row.*
Regulatory Program Administration – Consumer Assistance and Contact Resolution	Defined in the strategic component. All Divisions involved.	*See comment in first row.*
Regulatory Program Administration – Inspections	Defined in the strategic component. Divisions involved include: insurance, professions and occupations, and PUC	*See comment in first row.*
Economic Regulation – Rate Analysis and Approvals	Define dint he strategic component. Divisions involved include: insurance, PUC	*See comment in first row.*
Consumer Representation during Utility Rate Approvals	Defined in the strategic component. Divisions involved include: Office of Consumer Counsel	*See comment in first row.*
Institutional Examinations	Defined in the strategic component. Divisions involved include: banking, financial services, insurance, real estate, and securities	*See comment in first row.*
Outreach, Education and Training	Defined in the strategic component. All Divisions included.	*See comment in first row.*

Additional Feedback: The Department identified each major program function that the Department engages in; the Department effectively grouped functions across the Department providing a more comprehensive review of the Department's work. The Department also outlined general process steps for each major function.

For the next iteration of the plan, the Department may add clarity to the customer piece by identifying specific customers for the functions.

Critical Processes

Critical Process criteria:

- The Department has identified at least one critical process per Major Program Area.
- Each process is defined by at least one input, output, and one informational output.
    - Input: workload demand, FTE, operating budget, etc.
    - Output: number of goods provided (inspections made, technical assistance visits, licenses/permits processed, etc.)
    - Informational output: quality with which the output was generated (timeliness, accuracy, customer satisfaction, etc.)

Major Program Area	Process	Inputs identified	Outputs identified	Informational Output identified
Economic Regulation – Rate analysis	The Department receives requests to analyze and/or change rates, staff analyzes the rate filings, and presents analyses for decision.	FTE, workload demand		Insurance – Rate cases finalized within 90 days PUC – Rate cases finalized within 14 or 30 days (tariff filings allowed to become effective without a hearing)
Institutional Examinations	The Department establishes institutional examination schedules and reviews records, documentation, systems and processes; conducts interviews; communicates results and completes the examination.	FTE, workload demand		Banking – Percentage of examinations completed within 12 or 18 months Securities – Percentage of examinations completed within 270 days
Licensing/Permitting	Divisions receive an application, conduct a quality and substance review, in some cases provide industry notice and responses, and issue the permit/license.	FTE, workload demand		Professions and Occupations – Number of licenses issued within 14 days; Real Estate – Number of licenses issued within 3 days; Securities – Number of licenses issued within 30 days.
Outreach, Education, and Training	The Department identifies the issues/topics to communicate, the audience, and message; responds to specific requests for information or training; delivers the message through a maximized method and then evaluates the process outcome.	FTE, workload demand		EDO – Number of DORA staff participating in DORA's formal training courses; DORA – Percent outreach scheduled/delivered within 3 days of request
Regulatory Program Administration	Divisions gather information on complaints/allegations, determine jurisdiction, open a case file, conduct the investigation, make a determination and issue a formal decision.	FTE, workload demand		Real Estate – Investigations dismissed because of pre-analysis; Professions and Occupations – Percentage of cases resolved internally from total caseload; Civil Rights – Percentage of cases resolved internally from total caseload; Insurance – Number of complaints or inquiries processed within 90 days

Major Program Area	Process	Inputs identified	Outputs identified	Informational Output identified
Consumer Representation with Utility Rate Approvals	The Department receives and reviews rate requests	FTE, workload demand		Office of Consumer Counsel – Percentage of rate increases avoided due to OCC involvement.

Additional Feedback: The Department is beginning to build its operational component based on critical processes within the major functions; each Division is represented in these processes. The Department has provided outputs for each process, but because the processes are broken into various Divisions, it is easier to refer to the strategic component. The Department will continue to work to collect measures for reporting.