



COLORADO

Department of
Regulatory Agencies

FY17 PERFORMANCE PLAN REPORT

Quarter 1

July 1, 2016-September 30 2016

SPI 1 | PROVIDE EFFICIENT & EFFECTIVE REGULATION FOR THE PUBLIC

Streamline licensing and related administrative services through migration to online platforms & portals

	Division	FY16	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
Business & occupational license/regulatory applications available online	Professions & Occupations	32%	44%				100%	100%
	Public Utilities Commission	0%	0%				100% (9)	100%
Availability and usage of online filing of discrimination charges	Civil Rights	0%	N/A*				45%	TBD
Investigations completed within 270 days	Civil Rights	80%	76%				88% (10 % increase)	88%
Utilization of online filing of assessments via ACH	Banking	0%	N/A*				50%	100%
	Financial Services	0%	N/A*				50%	100%

*CCRD's Case-Connect system and ACH filings will not be available until Quarter 2 of FY16-17.

Improve licensing/enforcement functions through Lean and similar continuous improvement strategies

	Division	FY16	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
Licenses issued within 5 days	Real Estate	60%	90.4%				95%	98%
Days to process professional and occupational license applications	Professions & Occupations	52 days	38 days				35 days	29 days
*Days to process pharmacist license applications	Professions & Occupations	115 days	29 days				76 days	69 days
*Days to process mental health professional license applications	Professions & Occupations	72 days	32 days				48 days	43 days
Licenses that do not require a restriction issued within 30 days	Securities	99%	99%				100%	100%
Costs/expenses reduced based on process improvements to Money Transmitter examination program	Banking	N/A	\$16,500				\$50,000	N/A
Time/cost for small credit union examinations	Financial Services	N/A	\$0				\$50k (10% reduction)	N/A
Exams completed within 12-18 months	Banking	100%	100%				100%	100%
Exams completed within 12-18 months	Financial Services	100%	100%				100%	100%
Exams finalized within 90 days	Securities	90%	100%				100%	100%
Cases finalized within 30 days	Public Utilities Commission	99%	100%				99%	99%
Rate increases avoided due to OCC involvement	Office of Consumer Counsel	34%	35%				35%	36%
Complaints/inquiries resolved within 90 days	Insurance	94%	95%				96%	98%
Complaints/inquiries resolved within 15 days	Public Utilities Commission	99%	99.3%				99%	99%
Citizen advocate/outreach requests resolved within 3 days	Executive Directors Office	100%	100%				100%	100%
Complaints/inquiries resolved within 60 days	Real Estate	60%	84%				75%	75%
Policies adopted to create pathways for veterans using military training and experience to qualify for a high-demand occupational licenses/certificates	Professions & Occupations	N/A	0				4	12
Institutions of higher education committed to create gap coursework to transition from a military occupation to a civilian occupational license	Professions & Occupations	N/A	0				2	6

[Increase use of mediation/case-assessment tools to resolve, dismiss or expedite cases](#)

	Division	FY16	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
Cases resolved internally through Expedited Settlement Program (ESP)	Real Estate	90%	93%				90%	90%
Cases resolved internally through alternative dispute resolution	Civil Rights	163	59				10% increase (179)	300

[SPI 1 Update:](#) Each Division continues to make important progress with their respective modernization projects. For example, DRE preliminary advisory opinion applications are now automated; DPO has facilitated the go-live of 24 applications for engineers and others to online platforms; and DOI recently implemented an online system for viewing property and casualty insurance filings (previously, industry/consumers were required to make an appointment to view filings in the Division’s office). DORA is also engaged in many process improvement projects—DPO continues to achieve significant improvements in licensing times as a result of a Lean licensing project, as reflected in the data above (a 27% reduction in processing times across 50 professions), and is in the process of developing policies creating pathways for veterans to qualify for high-demand occupational licenses (*i.e.* Registered Nurses and Dental Hygienists).

SPI 2 | IMPROVE PUBLIC PROTECTION & STRENGTHEN THE CONSUMER PROTECTION LENS

[Development and implementation of enforcement strategies and activities that further combat common predatory practices & activities.](#)

	Division	FY16	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
Educational outreach events regarding common predatory practices, which target specific at-risk communities	All	N/A	1				4	8
Implement pilot consumer protection telephone “hotlines”	Civil Rights & Securities	0	1				2	N/A
Volume of complaints received from new consumer protection telephone “hotlines”	Civil Rights	N/A	N/A*				10% increase	N/A
	Securities	N/A	N/A*				10% increase	N/A

*Data for complaints made via the telephone hotlines will not be available until Quarter 2 of FY16-17.

[Strengthened efforts to combat opioid and prescription drug abuse](#)

	Division	FY16	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
Prescription Drug Monitoring Program Utilization	Professions & Occupations	15.4%	23%				28%	40%

[SPI 2 Update:](#) Divisions across DORA have made strides over the last quarter in collaborating with law enforcement to protect consumers against predatory practices. The Division of Securities recently assisted the Boulder District Attorney’s Office, providing expert witness testimony and auditing of bank records in a case that led to the arrest of a man misleading investors, and DPO partnered with the Denver District Attorney’s Office in stopping a surgical assistant from performing substandard plastic surgery and targeting undocumented patients (the Division suspended his license, the Medical Board issued a Stipulated Permanent Injunction, and the Denver DA charged the man with multiple felonies). In addition to strengthening the Department’s consumer protection lens, divisions also focused on preventing scams, leading a campaign warning immigrants n about the increasing risk of fraudulent solicitations for EB-5 program investments and coordinating with multiple partners (including the Attorney General’s Office) on a media campaign to prevent roofing fraud (in response to recent severe hail storms). Finally, within DPO, the Nursing Board has adopted a new diversion policy regarding expedient actions to protect the public from drug diversion by licensed nurses. As part of the Department’s “Senior\$afe” week, the Division of Securities also launched a new “Senior Hotline” to provide resources to senior consumers and answer questions about DORA regulated industries and financial exploitation and fraud concerns.

SPI 3 | ENSURE REGULATORY ACTIVITIES SUPPORT ECONOMIC DEVELOPMENT

[Reduction of unnecessary regulatory burdens associated with State government, as efforts and expectations to reduce superfluous red-tape & entrenched in agencies' cultures](#)

	Division	FY16	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
Divisions empanel industry stakeholder groups to partner with divisions on an ongoing basis	All	100% (9)	100% (9)				100% (9)	100% (9)
Division compliance with early stakeholder requirements	All Rulemaking Divisions	N/A	100% (8)				100% (8)	100% (8)

[Facilitate increasing broadband services state-wide](#)

	Division	FY16	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
Broadband grants awarded	Executive Director's Office	N/A	\$0				\$2.4M	N/A
Secured matching broadband funds	Executive Director's Office	N/A	\$0				\$840,000	N/A

[Strengthened and rebranded Colorado Office of Policy, Research and Regulatory Reform's presence to expand reform focus](#)

	Division	FY16	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
Cost-benefit analysis requests	COPRRR	6	6				25% increase (8)	N/A
COPRRR website visits (monthly average)	COPRRR	258/mo.	313				25% increase (322)	N/A
Online public comments on sunrise/sunset reports	COPRRR	9	5				18 (100% increase)	N/A

[Implementation of innovative tools to increase compliance of regulated entities and professionals](#)

	Division	FY16	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
Webinars for regulated entities and professions	All	17	20				10% increase (22)	TBD

[SPI 3 Update:](#) To ensure the reduction of unnecessary regulatory burdens, divisions are striving to partner more closely with stakeholders. The Dental Board recently eliminated red tape by conducting an extensive review process with stakeholder input, resulting in the repeal of 31 of the Board's 64 policies at their Board meeting last month. The Division of Financial Services held its largest stakeholder event of the year, the annual Colorado Directors College, with over 60 stakeholders present, leading discussions about DORA's efforts to eliminate unnecessary rules and industry hot topics (such as business lending). Further, across the Department, 20 webinars for regulated entities and professions have been held, with topics ranging from cybersecurity, telecommunications reform, and the regulation of mortuary science. Finally, on the economic development front, on September 30th the Public Utilities Commission approved the largest wind farm proposal in Colorado history, Public Service's 600 MW Rush Creek Wind Project including a 90-mile, 345 kV transmission tie line. The project, estimated to cost \$1.1 billion, will be subject to a cost cap and performance measures throughout the wind facility's 25 year lifecycle, and Public Service has agreed not to file any requests for "extra profit" as may be allowed under § 40-2-124(1)(f)(II), C.R.S. Public Service argued that the project would represent the lowest cost wind on its Colorado system, and calculated that it could save its customers over \$400 million in net present value revenue requirements.

SPI 4 | ASSURE DORA IS ACCESSIBLE & RESPONSIVE

Defined and delivered “platinum level” customer experience

	Division	FY16	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
DORA Welcome Center first call resolution	Executive Director’s Office	N/A*	N/A*				25%	25%
DORA Welcome Center dropped calls	Executive Director’s Office	N/A*	N/A*				10% reduction	10% reduction
Regulatory/licensing Divisions implement at least semi-annual customer satisfaction survey	All	N/A	89%				100%	100%
Implementation of “chat” query functionality	Executive Director’s Office	0%	N/A*				100%	100%

*Due to the launch date for the Welcome Center (opened effective September 12, 2016), call resolution & chat query implementation data will be available in Quarter 2 of FY16-17.

Improve DORA’s external communication strategies

	Division	FY16	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
DORA quarterly newsletter audience	Executive Director’s Office	32,963	34,000				36,259 (10% increase)	10% increase
Consumer alters	All	N/A	16				5/q	5/q
Industry common practice violation publications	All	N/A	2				4/q	4/q

SPI 4 Update: Over the past quarter, DORA has substantially increased its dissemination of consumer alerts, issuing 16 separate alerts on a wide variety of important subjects such as avoiding securities and roofing fraud, how to appropriately use transportation network companies, and tips for energy efficiency. DORA also successfully launched its new “Welcome Center” on September 12, providing—for the first time in the Department’s history—a one-stop-shop for citizens utilizing any and all of DORA’s services. Located in the lobby of DORA’s headquarters, the Welcome Center houses representatives from multiple divisions and digital kiosks to serve both consumers and licensees. Welcome Center staff have adopted automated methodology to measure first call resolution and dropped calls to ensure consistent and objective measurements (which will be available for Quarter 2 of FY16-17). Finally, also worth mentioning, DOI’s website was ranked as the third most helpful state department/division of insurance website in the country by *Nerdwallet*.

SPI 5 | EXPAND OUTREACH TO & ENGAGEMENT WITH THE PUBLIC

	Division	FY16	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
Boards & Commission meetings held in different geographic areas of the state	All	N/A	2				10	10
Divisions with published annual public reports (reporting on amount of savings through regulation, settlements and rate analyses and reviews)	All	N/A	33% (3/9)				100% (9/9)	100% (9)

SPI 5 Update: DORA held many events across the state over the past quarter. A few highlights include 12 different outreach/training events regarding fair housing law held by the Division of Civil Rights, the Office of Consumer Counsel’s promotion of energy efficiency at the Arapahoe and Adams County fairs, and the PUC holding a public hearing concerning a Black Hills electric rate proposal in Pueblo (which was attended by roughly 450 people). DPO also hosted an

important forum in Greeley with representatives from multiple healthcare licensing Boards to hear from the community on the impact of the Colorado Policy for Prescribing and Dispensing Opioids and related issues.