



COLORADO

Department of
Regulatory Agencies

FY17 PERFORMANCE PLAN REPORT

Quarter 2

October 1, 2016-December 31, 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%	78%			100%	100%
	Public Utilities Commission	0%	0%	89%			100% (9)	100%
Availability and usage of online filing of discrimination charges	Civil Rights	0%	N/A	53%			45%	TBD
Investigations completed within 270 days	Civil Rights	80%	76%	60%			88% (10 % increase)	88%
Utilization of online filing of assessments via ACH	Banking	0%	N/A	26%			50%	100%
	Financial Services	0%	N/A	15%			50%	100%

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%	93%			95%	98%
Days to process professional and occupational license applications	Professions & Occupations	52 days	38 days	35 days			35 days	29 days
*Days to process pharmacist license applications	Professions & Occupations	115 days	29 days	9 days			76 days	69 days
*Days to process mental health professional license applications	Professions & Occupations	72 days	32 days	37 days			48 days	43 days
Licenses that do not require a restriction issued within 30 days	Securities	99%	99%	99%			100%	100%
Costs/expenses reduced based on process improvements to Money Transmitter examination program	Banking	N/A	\$16,500	\$4,000			\$50,000	N/A
Time/cost for small credit union examinations	Financial Services	N/A	\$0	\$30,000			\$50k (10% reduction)	N/A
Exams completed within 12-18 months	Banking	100%	100%	100%			100%	100%
Exams completed within 12-18 months	Financial Services	100%	100%	100%			100%	100%
Exams finalized within 90 days	Securities	90%	100%	100%			100%	100%
Cases finalized within 30 days	Public Utilities Commission	99%	100%	97%			99%	99%
Rate increases avoided due to OCC involvement	Office of Consumer Counsel	34%	35%	31%			35%	36%
Complaints/inquiries resolved within 90 days	Insurance	94%	95%	97%			96%	98%
Complaints/inquiries resolved within 15 days	Public Utilities Commission	99%	99.3%	98.4%			99%	99%
Citizen advocate/outreach requests resolved within 3 days	Executive Directors Office	100%	100%	100%			100%	100%
Complaints/inquiries resolved within 60 days	Real Estate	60%	84%	82%			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	2			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	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%	92%			90%	90%
Cases resolved internally through alternative dispute resolution	Civil Rights	163	59	61			10% increase (179)	300

SPI 1 Update: Divisions made great strides in streamlining processes through modernization projects in Q2. For example, DPO and PUC’s migration of business and occupational licenses/regulatory applications online has now reached a combined 77%; regulated banking and financial services institutions are now able to pay assessments and other fees online through the ACH; and CCRD implemented a new ‘Case-Connect’ system to allow for electronic submission of case information as well as improved case management and tracking with a 53% online submission rate in December. Also worth noting, DORA’s financial divisions continue to make progress in reducing regulatory burden—indeed, DORA’s cut-the-burden project driven by the Division of Banking has resulted in \$29,672 savings so far in FY17, and the Division of Financial Services’ implementation of Priority Focused Regulation at three credit unions this quarter resulted in cost savings of roughly \$30,000. Finally, to assist veterans’ transition to civilian life, DPO is partnering with the Colorado Division of Military and Veteran Affairs and the Colorado Community College System to develop policies creating pathways for veterans to qualify for high-demand occupational licenses, including for registered nurses, dental hygienists, physical therapy assistants, and engineers, and the Nursing Board already has adopted two policies memorializing the pathway for Licensed Professional Nurses and Certified Nurse Aides.

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	1			4	8
Implement pilot consumer protection telephone “hotlines”	Civil Rights & Securities	0	1	2			2	N/A
Volume of complaints received from new consumer protection telephone “hotlines”	Civil Rights	N/A	N/A*	6			10% increase	N/A
	Securities	N/A	N/A*	16			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%	21%			28%	40%

SPI 2 Update: In Quarter 2, the Divisions achieved a number of important consumer protection outcomes, including the Division of Insurance securing a \$1.33M Federal grant to ensure health insurance consumers are adequately protected, the PUC reducing the utility rate increases proposed by a utility by 85%, and the Division of Securities referred eight securities fraud cases to law enforcement.

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)	100% (9)
Division compliance with early stakeholder requirements	All Rulemaking Divisions	N/A	100% (8)	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	\$0			\$2.4M	N/A
Secured matching broadband funds	Executive Director's Office	N/A	\$0	\$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	5			25% increase (8)	N/A
COPRRR website visits (monthly average)	COPRRR	258/mo.	313	374			25% increase (322)	N/A
Online public comments on sunrise/sunset reports	COPRRR	9	5	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			10% increase (22)	TBD

SPI 3 Update: To ensure that regulation promotes the economic vitality of our communities, Divisions continued to make progress in partnering with stakeholders. The Division of Financial Services kicked off its review of 93 division policies, with the intention of identifying outdated or duplicative policies. The project is expected to be completed in February 2017. Also, the COPRRR released 21 sunset reports and 3 sunrise reports, providing a comprehensive analysis of current and potential future regulatory programs (the reports have been presented to the General Assembly for their review). COPRRR has also taken steps to better educate the public about regulatory reform by partnering with the Colorado Business Roundtable and its "Connect and Collaborate" radio program. Finally, \$2.1 million in Broadband Board grants have been awarded effective January 9, 2017.

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*	26%			25%	25%
DORA Welcome Center dropped calls	Executive Director's Office	3%	N/A*	2%			10% reduction	10% reduction
Regulatory/licensing Divisions implement at least semi-annual customer satisfaction survey	All	N/A	89%	100%			100%	100%
Implementation of "chat" query functionality	Executive Director's Office	0%	N/A*	100%			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	34,485			36,259 (10% increase)	10% increase
Consumer alters	All	N/A	16	16			5/q	5/q
Industry common practice violation publications	All	N/A	2	4			4/q	4/q

[SPI 4 Update:](#) DORA's focus on customer experience and communication continues steadily. 16 consumer alerts were released on topics including avoiding fraud during the holiday shopping season, staying safe online, and energy efficiency; all divisions maintained focus on customer surveys to ensure DORA is delivering the highest quality of services to the public and regulated entities; and this was the first complete quarter DORA has collected data on the new Welcome Center, which has streamlined our interface with citizens who use DORA's services.

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	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% (9/9)	100% (9)

[SPI 5 Update:](#) The Department sustained expansive outreach effort in Quarter 2, including the CCRD partnering with the DRE to provide fair housing training to HOA managers and contractors and real estate agents; OCC holding a Small Business Roundtable with the U.S. Small Business Administration; a meeting of Federal banking regulators convened by the Banking Commissioner to discuss best practices around marijuana banking regulation; and for the first time, one-on-one Medicare counseling offered at the Senior Law & Safety Summit provided by DOI.