COLORADO

Department of Regulatory Agencies

FY17 PERFORMANCE PLAN REPORT

Quarter 3

January 1, 2017 – March 31, 2017

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%	97%		100%	100%
	Public Utilities Commission	0%	0%	80%	80%		100% (9)	100%
Availability and usage of online filing of discrimination charges	Civil Rights	0%	N/A	53%	55%		45%	TBD
Investigations completed within 270 days	Civil Rights	80%	76%	60%	77%		88% (10 % increase)	88%
Utilization of online filing of assessments via ACH	Banking	0%	N/A	26%	77%		50%	100%
	Financial Services	0%	N/A	15%	33%		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%	TBD		95%	98%
Days to process professional and occupational license applications	Professions & Occupations	52 days	38 days	35 days	36		35 days	29 days
*Days to process pharmacist license applications	Professions & Occupations	115 days	29 days	9 days	20 days		76 days	69 days
*Days to process mental health professional license applications	Professions & Occupations	72 days	32 days	37 days	37 days		48 days	43 days
Licenses that do not require a restriction issued within 30 days	Securities	99%	99%	99%	99%		100%	100%
Costs/expenses reduced based on process improvements to Money Transmitter examination program	Banking	N/A	$16,500	$13,172	$38,689		$50,000	N/A
Time/cost for small credit union examinations	Financial Services	N/A	$0	$30,000	$25,596		$50k (10% reduction)	N/A
Exams completed within 12-18 months	Banking	100%	100%	100%	100%		100%	100%
Exams completed within 12-18 months	Financial Services	100%	100%	100%	100%		100%	100%
Exams finalized within 90 days	Securities	90%	100%	100%	100%		100%	100%
Cases finalized within 30 days	Public Utilities Commission	99%	100%	97%	100%		99%	99%
Rate increases avoided due to OCC involvement	Office of Consumer Counsel	34%	35%	31%	32%		35%	36%
Complaints/inquiries resolved within 90 days	Insurance	89%	95%	97%	87%		95%	98%
Complaints/inquiries resolved within 15 days	Public Utilities Commission	99%	99.3%	98.4%	98.7%		99%	99%
Citizen advocate/outreach requests resolved within 3 days	Executive Directors Office	100%	100%	100%	100%		100%	100%
Complaints/inquiries resolved within 60 days	Real Estate	60%	84%	82%	95%		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	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		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%	87.7%		90%	90%
Cases resolved internally through alternative dispute resolution	Civil Rights	163	59	61	52		10% increase (179)	300

SPI 1 Update: DORA Divisions made great strides in streamlining processes through modernization projects in Q3. For example, DPO and PUC's migration of business and occupational licenses/regulatory applications online has now reached a combined 95%, and DPO anticipates reaching 100% two months ahead of schedule, adding 20 business applications that will be made available in April 2017. Additionally, the Divisions have surpassed ACH utilization goal by regulated banking institutions, and the implementation of CCRD's new 'Case-Connect' system, which allows for electronic submission of case information as well as improved case management and tracking, has drastically increased the volume of complaint submissions (experiencing a 55% online submission rate in Q3). Lastly, DORA's financial divisions continue to make progress in reducing unnecessary administrative burdens — indeed, DORA's cut-the-burden project driven by the Division of Banking has resulted in $68,361 savings so far in FY17, and the Division of Financial Services has achieved $55,596 in savings to credit unions as a result of the implementation of their Priority Focused Regulation program.

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	11		4	8
Implement pilot consumer protection telephone "hotlines"	Civil Rights & Securities	0	1	2	2		2	N/A
Volume of complaints received from new consumer protection telephone "hotlines"	Civil Rights	N/A	N/A*	6	29		10% increase	N/A
	Securities	N/A	N/A*	16	3		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%	82%		28%	40%

SPI 2 Update: In Quarter 3, the Divisions achieved a number of important consumer protection outcomes, including DPO recently recording a 148% spike in prescriber utilization of the Prescription Drug Monitoring Program (PDMP) following a major integration with multiple emergency rooms, the Division of Insurance recently completing an enforcement action against Denver Health Medical Plan concerning incorrect claims processing which resulted in the reprocessing of 98 claims and large monetary sums being returned to Colorado consumers, and DORA recognizing National Consumer Protection Week from March 5-11 by holding a series of educational events across the state to engage and educate consumers.

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)	100% (9)
Division compliance with early stakeholder requirements	All Rulemaking Divisions	N/A	100% (8)	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	$2.1M		$2.4M	N/A
Secured matching broadband funds	Executive Director's Office	N/A	$0	$0	$437,614		$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	3		25% increase (8)	N/A
COPRRR website visits (monthly average)	COPRRR	258/mo.	313	374	468		25% increase (322)	N/A
Online public comments on sunrise/sunset reports	COPRRR	9	5	5	23		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	16		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 and small businesses, as reflected in the continued implementation of the stakeholder initiative described above. Also, in early January 2017, the Broadband Deployment Board awarded $2.1 million in grants in an effort to close the broadband Internet service gap between rural and urban Colorado communities, benefitting over 4,700 households and 175 businesses in rural areas across the state. Lastly, as a byproduct of multiple outreach efforts, the COPRRR received a record number of online public comments on sunrise/sunset reports, far surpassing the annual goal within a single quarter.

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%	23%		25%	25%
DORA Welcome Center dropped calls	Executive Director's Office	3%	N/A*	2%	1%		10% reduction	10% reduction
Regulatory/licensing Divisions implement at least semi-annual customer satisfaction survey	All	N/A	89%	89%	100%		100%	100%

Implementation of "chat" query functionality	Executive Director's Office	0%	N/A*	100%	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	34,485		36,259 (10% increase)	10% increase
Consumer alters	All	N/A	16	16	9		5/q	5/q
Industry common practice violation publications	All	N/A	2	4	7		4/q	4/q

SPI 4 Update: DORA's focus on customer experience and communication continues steadily. This quarter, DPO launched a new customer-focused and mobile-friendly portal, "CO Health Professional Check," to provide consumers with an easier way to get Healthcare Provider information (including for the first time enabling consumers to verify licenses from their mobile phone). In addition to all divisions implementing customer surveys, DPO in particular has implemented successful customer surveys in all of its 16 programs and offices, providing data tracking on cash management, licensing, customer service, investigations, and several other customer-facing areas.

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	4		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% (9/9)	100% (9)

SPI 5 Update: The Department continued to extend its footprint outside the Denver metro area in Quarter 3, including the Division of Securities conducting on-site licensee exams around the state to strengthen relationships with regulated entities, and DPO participating in a Military, Spouses, and Veterans Employment Coalition event in Colorado Springs to share information and gain feedback regarding veteran occupational credentialing and licensing. Other major outreach activities this quarter included a Drug Diversion Symposium hosted by DPO for healthcare board members, training in employment anti-discrimination law held by CCRD in Greeley and elsewhere, and several fair housing trainings held across the Front Range.