



COLORADO

Department of
Regulatory Agencies

FY17 PERFORMANCE PLAN REPORT

Quarter 4

April 1, 2017 – June 30, 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%	100%
	Public Utilities Commission	0%	0%	80%	80%	100%	100% (9)	100%
Availability and usage of online filing of discrimination charges	Civil Rights	0%	N/A	53%	55%	60%	45%	TBD
Investigations completed within 270 days	Civil Rights	80%	76%	60%	77%	81.6%	88% (10 % increase)	88%
Utilization of online filing of assessments via ACH	Banking	0%	N/A	26%	77%	100%	50%	100%
	Financial Services	0%	N/A	15%	33%	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%	96.5%	95%	95%	98%
Days to process professional and occupational license applications	Professions & Occupations	52 days	38 days	35 days	36	37	35 days	29 days
*Days to process pharmacist license applications	Professions & Occupations	115 days	29 days	9 days	20	25	76 days	69 days
*Days to process mental health professional license applications	Professions & Occupations	72 days	32 days	37 days	37	41	48 days	43 days
Licenses that do not require a restriction issued within 30 days	Securities	99%	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	\$26,831	\$50,000	N/A
Time/cost for small credit union examinations	Financial Services	N/A	\$0	\$30,000	\$25,596	\$1,700	\$50k (10% reduction)	N/A
Exams completed within 12-18 months	Banking	100%	100%	100%	100%	100%	100%	100%
Exams completed within 12-18 months	Financial Services	100%	100%	100%	100%	100%	100%	100%
Exams finalized within 90 days	Securities	90%	100%	100%	100%	100%	100%	100%
Cases finalized within 30 days	Public Utilities Commission	99%	100%	97%	100%	100%	99%	99%
Rate increases avoided due to OCC involvement	Office of Consumer Counsel	34%	35%	31%	32%	32%	35%	36%
Complaints/inquiries resolved within 90 days	Insurance	89%	95%	97%	87%	82%	95%	98%
Complaints/inquiries resolved within 15 days	Public Utilities Commission	99%	99.3%	98.4%	98.7%	98.4%	99%	99%
Citizen advocate/outreach requests resolved within 3 days	Executive Directors Office	100%	100%	100%	100%	100%	100%	100%
Complaints/inquiries resolved within 60 days	Real Estate	60%	84%	82%	95%	90%	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	0	2 (4 total)	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	0 (2 total)	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%	91%	90%	90%
Cases resolved internally through alternative dispute resolution	Civil Rights	163	59	61	52	48 (220 total)	10% increase (179)	300

[SPI 1 Update:](#)

Divisions made great strides in streamlining processes through projects this year. 100% of DPO’s 125 individual license applications are now online, making it easier and faster for Colorado professionals to do business in the state. The project was completed six weeks ahead of schedule, and the division will now shift its focus to deploying all business applications online in the next fiscal year. Additionally, the PUC has migrated 100% of its nine applications online. The Division of Banking’s Cut-the-Burden project saved Money Transmitters a total of \$95,192 this year, far above our \$50,000 target. This quarter, the Colorado Division of Civil Rights saw improvement in cases closed within 270 days, even as complaint volume in FY18 has remained at record highs (35% higher than in FY16) and resources have remained constant. This fiscal year, DPO made vast improvements to licensing time, with an overall reduction of an average of 15 days (28% improvement). For some of our most high-profile professions, licensing time was reduced by as much as 90 days (Pharmacists). Not only were these improvements drastic, but they have remained consistent.

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	2	4	8
Implement pilot consumer protection telephone “hotlines”	Civil Rights & Securities	0	1	1	0	0 (2 total)	2	N/A
Volume of complaints received from new consumer protection telephone “hotlines”	Civil Rights	N/A	6	68	97	124	10% increase	N/A
	Securities	N/A	N/A*	16	3	23	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%	95%	28%	40%

[SPI 2 Update:](#)

This quarter, the Divisions achieved a number of important consumer protection outcomes, including a spike in prescriber utilization of the Prescription Drug Monitoring Program (PDMP) following a major integration and the usage of the Colorado Civil Rights Division’s new Spanish-speaking hotline and intake calls from Spanish-speaking Coloradans has doubled in the last six months, largely as a result of Spanish public service announcements that aired in partnership with Univision.

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)	100% (9)
Division compliance with early stakeholder requirements	All Rulemaking Divisions	N/A	100% (8)	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	\$2.1M	\$2.4M	N/A
Secured matching broadband funds	Executive Director's Office	N/A	\$0	\$0	\$437,614	\$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	2 (16 total)	25% increase (8)	N/A
COPRRR website visits (monthly average)	COPRRR	258/mo.	313	374	468	381	25% increase (322)	N/A
Online public comments on sunrise/sunset reports	COPRRR	9	5	5	23	25 (18 total)	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	17 (63)	10% increase (22)	TBD

[SPI 3 Update:](#)

This fiscal year, DORA far exceeded our goal of increasing webinars by 10%, instead increasing by over 300%, demonstrating our commitment to reaching those stakeholders who are the most difficult to reach. The Colorado Office of Policy, Research and Regulatory Reform has also outperformed annual targets aimed at getting more businesses and individuals to participate in the regulatory process, achieving a 267% increase in requests for Cost-Benefit Analysis and a 655% increase in online public comments for pending sunrise/sunset reports.

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%	25%	25%
DORA Welcome Center dropped calls	Executive Director's Office	3%	N/A*	2%	2%	2%	10% reduction	10% reduction
Regulatory/licensing Divisions implement at least semi-annual customer satisfaction survey	All	N/A	89%	89%	100%	100%	100%	100%
Implementation of "chat" query functionality	Executive Director's Office	0%	N/A*	100%	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
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DORA quarterly newsletter audience	Executive Director's Office	32,963	34,000	34,485	34,485	34,485	36,259 (10% increase)	10% increase
Consumer alters	All	N/A	16	16	9	18 (59 total)	5/q	5/q
Industry common practice violation publications	All	N/A	2	4	7	8 (21 total)	4/q	4/q

[SPI 4 Update:](#)

As a continued effort to proactively keep consumers informed, DORA released 18 Consumer Alters this quarter, far exceeding our goal of five per quarter. This month, alert topics included a reminder to call 811 before digging, preparing for the 2017 wildfire season, and utility gas rates. Divisions were also very successful this year in disseminating common practice violations to regulated industry, with topics including DRE alerting licensee advisories regarding community association manager audit reviews and the Divisions of Banking and Financial Services release of bulletins on the identity document features for Colorado drivers' licenses that will help reduce fraud. Additionally in Q4, DPO launched a new website to share resources and information throughout this site to assist Active Duty Military, Reserves, National Guard, military spouses and Veterans in understanding how they may apply the skills they acquired while in service toward professional licensure or certification.

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	2 (10 total)	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% (9/9)	100% (9)

[SPI 5 Update:](#)

The Department continued to expand its footprint outside the Denver metro area in Quarter4, including the Divisions of Banking, Financial Services, and Securities promotion of National Financial Literacy Month, and OCC hosting the National Association of State Utility Consumer Advocates (NASUCA) Annual Conference in June.