



**COLORADO**

Department of  
Regulatory Agencies

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## **FY18 PERFORMANCE PLAN Q2**

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**November 1, 2017-December 31, 2017**

## SPI 1 | IMPROVING PUBLIC PROTECTION THROUGH EFFECTIVE ENFORCEMENT & REGULATORY ACTIVITIES

### Deliver timely resolution of complaints and investigations

Metric	Division	FY17	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
12% increase in Civil Rights cases resolved within 270 days	Civil Rights	77%	85.5%	80%			12% increase	
85% of insurance complaints and inquiries resolved within 90 days	Insurance	85%	82%	79.3%			85%	85%
85% of real estate complaints resolved within 60 days	Real Estate	87%	85%	92%			85%	85%
99% of public utilities complaints and inquiries resolved within 15 days	Public Utilities Commission	89%	99%	98.8%			99%	99%
85% of investigations of real estate professionals applicants with criminal history completed within 60 business days	Real Estate	50%	66%	85%			85%	85%

This quarter, the PUC resolved customer inquiries within 15 days 98.8% of the time and saved consumers \$10,229.

DRE has made significant progress in reducing the time it takes to complete investigate real estate professionals with criminal histories, with a 69 average days to complete in December.

CCRD has seen a dip in cases resolved within 270 days as the division continues to receive record high complaints filed, resulting in investigator caseloads averaging 80+. New investigators have been hired to combat this issue, however, the division anticipates a continued increase in complaints due to the ease of filing the new online system, CaseConnect, has enabled.

### Ensure that the public has access the resources they need from DORA

Metric	Division	FY17	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
100% of Citizen's Advocate/outreach requests resolved within 3 days	All	100%	100%	100%			100%	100%
90% customer satisfaction with DORA's new Welcome Center "Chat" function	Executive Director's Office	88%	81%	82%			90%	90%

DRE's recent Call Center Lean Project continues to demonstrate successful results, with 92% of incoming calls handled without transfer.

### Uphold effective pathways for alternative dispute resolution

Metric	Division	FY17	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
90% of real estate cases resolved through Expedited Settlement Program	Real Estate	87.7%	90%	91%			90%	90%
10% increase in civil rights cases pursued to be resolved through alternative dispute resolution	Civil Rights	179	43	71			10% increase (190)	10% increase

This quarter, the legal savings associated with the cases resolved by DRE's Expedited Settlement Program (ESP) are approximately \$115,200.

CCRD is on target to reach its FY18 target of increasing cases pursuing alternative dispute resolution by 10%, with 114 cases so far this fiscal year. This quarter, funds obtained through mediation/conciliation or discussions facilitated by investigators totaled upwards of \$1,649,588.

### Strengthen the Department's efforts to combat opioid and prescription drug abuse

Metric	Division	FY17	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
Significant increase the utilization of the Prescription Drug Monitoring Program (PDMP), a statewide database of all controlled substances dispensed, which aids in reducing inappropriate prescribing, identifying drug-seeking behavior in patients, and allows providers to intervene when appropriate	Professions & Occupations	95%	87%	47%			TBD	TBD
13% increase in the number of pharmacies integrated with the PDMP, allowing an increase in pharmacies with access to real-time access to the database	Professions & Occupations	146	147	147			13.8% (166)	13.8% (166)

This quarter, DPO saw a sharp drop in PDMP Utilization, which is believed to be the result of a system correction: Historically, the PDMP system has been unable to isolate unique queries, meaning that a single visit to an emergency room by a patient could result in several PDMP queries (check-in, multiple practitioner interactions, etc.). The team believes that this issue has been fixed, ensuring only unique queries are reflected, and thus dramatically altering utilization numbers. DPO is working closely with the vendor to validate this. Additionally, the division has identified seven new facilities to approach regarding PDMP integration.

## SPI 2 | ENHANCE EDUCATION AND OUTREACH

### Strengthen statewide and online opportunities for Coloradans to interact with DORA

Metric	Division	FY17	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
40% increase in dissemination of consumer alerts Department-wide	All	22	15	40			50% increase (33)	TBD
100% of Divisions to live-stream boards and commissions meetings	All	63%	89%	100%			100%	100%
50% increase in Boards and Commissions meetings held outside of the metro area	All	10	4	2			50% increase (avg. 3.75/q)	TBD
100% increase in dissemination of emerging risk bulletins/common practice violation notices to industry	All	20	11	22			100% increase (avg. 10/q)	TBD

DORA has greatly increased outreach this quarter with the publication of 40 consumer alerts, far surpassing our annual goal. This month, DPO issued consumer alerts addressing massage therapy safety in response to the Massage Envy complaint, encouraging the use of CO Health Professional Check before scheduling massages. Additionally, The Divisions of Financial Services and Banking launched two major programs in the State regarding financial education and fraud prevention: “Bank\$afe”, aimed at educating training for frontline bank and credit union employees, and “BankOn Boulder County” providing banking and financial access to over 5,000 low-income, underbanked residents in Boulder County.

### Increase public participation in regulatory reform processes

Metric	Division	FY17	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
25% increase in cost-benefit analysis requests, which provide business owners with improved understanding of how a newly proposed rule or rule change may impact their business	COPRRR	14	0	9			20	23
100% increase in online public comment on sunrise/sunset reports, providing critical input on regulatory programs under review	COPRRR	58	34	23			116	145
100% division compliance with early stakeholder engagement policies, which ensure stakeholders are engaged prior to any formal rulemaking processes	EDO	100%	100%	100%			100%	100%

In October, COPRRR released 20 sunset reports and 2 sunrise reports, and has since begun the process of reviewing the next cycle of reviews (32 sunsets and at least three sunrise reports). The Office is on track to reach its goal of doubling the number of public comments on sunset/sunrise reviews with a total of 57 so far this fiscal year, and is also on track to reach its goal of increasing cost-benefit analysis by 25%, with a total of 9 so far this fiscal year.

In November, all divisions recertified early stakeholder engagement in the rulemaking process, and published the 2018 Regulatory Agenda, as well as the 2017 Regulatory Report.

### Increased accessibility of DORA consumer information

Metric	Division	FY17	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
25% increase in utilization of the Healthcare Professions Profile Program (HPPP), a database that helps consumers find health-care providers that meet their needs and expectations via the CO Health Professional Check website.	Professions & Occupations	23,335	35,473	33,815			25% increase	10% increase

Though the goal of 25% increase in HPPP utilization has been achieved, fluctuations will occur throughout the year. HPPP inquiries tend to correlate strongly with license renewals, as hospitals and care centers often check HPPP to verify their staff have renewed their licenses; thus as the renewal period for HPPP licenses fluctuate throughout the year, so too will system inquiries.

## SPI 3 | IMPROVE PROCESSES TO BETTER ENGAGE WITH REGULATED ENTITIES

### Provide simple and fast licensing to Colorado professionals

Metric	Division	FY17	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
Average time to process occupational license applications	Professions & Occupations	37	36	35.5			30 days	30 days
95% of real estate license applications processed within 5 business days	Real Estate	93%	97%	87.3%			95%	95%
99% of securities license applications processed within 15 days	Securities	99%	99%	99%			99%	100%
100% of businesses and reinstatement applications available online by the end of FY18	Professions & Occupations	59%	71%	100%			100% (17)	N/A

100% of DPO's business and reinstatement applications are now online and fully deployed months ahead of schedule. This quarter, DPO's average licensing time was 35.5 days; high-visibility licensing has also remained steady, with pharmacist license processing averaging 15 days, and mental health processing averaging 39 days. Although DRE's licensing times dropped slightly in December due to staff illness and higher than normal application volumes, all license processing was completed within the first week of January.

### Maintain efficient regulatory examinations

Metric	Division	FY17	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
100% financial institution exams completed within 12-18 months	Banking/ Financial Services	100%	100%	100%			100%	100%
100% of securities examinations completed within an average of 90 days	Securities	100%	100%	100%			100%	100%

### Reduce red tape and unnecessary regulatory burden

Metric	Division	FY17	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
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\$50,000 in savings resulting from new multi-state exams	Banking	N/A	\$0	\$11,584			\$50,000	N/A
\$50,000 in savings resulting from Priority Focused Regulation program	Financial Services	N/A	\$8,113	\$27,024			\$50,000	N/A

This quarter, the Division of Financial Services conducted five Priority Focused Regulation (PFR) examinations, saving credit unions \$27,024 in expenses

The Division of Banking officially entered the National Multistate Licensing System Agreement, exercising the Division’s option to share examination report information with select states, thereby reducing the need and the costs associated with sending examiners out of state to perform examination functions that are duplicated by other sister state regulatory agencies. Upon conducting its first multi-state exam, the Division saved the money transmitter \$11,584.

DPO is spearheading Colorado’s participation in the National Conference of State Legislatures (NCSL) Occupational Licensing Consortium effort to identify policies that reduce barriers to labor market entry and improve mobility across state lines. The Consortium met in person for the first time in December, when Colorado’s Action Plan was identified as the template for other states to follow. This effort aims to streamline licensing for select populations including veterans, immigrants, displaced/unemployed works, and the rehabilitated workforce.

### Promote statewide broadband availability

Metric	Division	FY17	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
100% of broadband grant funds awarded, in an effort to achieve 85% rural broadband connectivity throughout the state	Executive Director’s Office	N/A	0%	0%			100%	N/A

The initial \$9.4 M in Broadband Fund grants were awarded on November 30<sup>th</sup>, and will be finalized in the next quarter after appeals and right of first refusal processes.

### Streamline occupational licensing for veterans

Metric	Division	FY17	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
4 new policies adopted to identifying pathways for veterans using military training for licensure	Professions & Occupations	4	1	4			4	N/A
2 new partnerships with institutions of Higher Education in pursuit of developing gap coursework for veterans seeking to transition from a military to a civilian occupation	Professions & Occupations	2	1	0			2	N/A

DPO’s Barber/Cosmetology Program is currently reviewing a policy to streamline veteran applications for licensure. In all this fiscal year, the division has adopted policies to streamline occupational licensing requirements for veterans in five programs: Plumbing, Electrical, Addiction Councilors, Marriage and Family Therapists Examiners, and Psychologists.