



COLORADO

Department of
Regulatory Agencies

FY18 PERFORMANCE PLAN Q4

April 1, 2017-June 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%	75.3%	60%	12% increase (86%)	TBD
85% of insurance complaints and inquiries resolved within 90 days	Insurance	85%	82%	79.3%	85.67%	87.3%	85%	85%
85% of real estate complaints resolved within 60 days	Real Estate	87%	85%	92%	91.3%	84%	85%	85%
99% of public utilities complaints and inquiries resolved within 15 days	Public Utilities Commission	89%	99%	98.8%	99%	98%	99%	99%
85% of investigations of real estate professionals applicants with criminal history completed within 60 business days	Real Estate	50%	66%	85%	87%	100%	85%	85%

In Q4, the PUC closed 437 customer complaint cases, saving consumers \$18,489.21. CCRD continues to experience challenges in resolving investigations within 270 days, *as the division continues to receive record high complaints filed*, resulting in investigator caseloads averaging 70+. The Division is in the process of hiring four investigators, which is expected to greatly improve the team's performance, and version 2 of the online system, CaseConnect, is being launched this month, which is anticipated to help investigators more seamlessly process complaints.

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%	100%	100%
90% customer satisfaction with DORA's new Welcome Center "Chat" function	Executive Director's Office	88%	81%	82%	76%	TBD	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%	88.67%	91.3%	90%	90%
10% increase in civil rights cases pursued to be resolved through alternative dispute resolution	Civil Rights	179	43	71	46	53	10% increase (190)	10% increase

This quarter, over 192 cases were resolved through the Division of Real Estate's Expedited Settlement Program (ESP), referring 17 cases to the Attorney General. CCRD has achieved its FY18 target of increasing cases pursuing alternative dispute resolution by 10%, with 53 mediations/conciliations in Quarter 4, and 213 in total this fiscal year. This quarter, the Division obtained upwards of \$1,100,638.65 in relief to Civil Rights Complainants.

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%	23.67%	27.3%	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	147	155	13.8% (166)	13.8% (166)

This quarter, DPO has integrated an additional 8 pharmacies into the PDMP. In an effort to address the opioid crisis, the division also released the “Guidelines for the Safe Prescribing and Dispensing of Opioids”, following 18 months of stakeholder engagement. The dip in PDMP Utilization has resulted from 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.), which artificially inflated the utilization rates.

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	24	15	50% increase (33)	TBD
100% of Divisions to live-stream boards and commissions meetings	All	63%	89%	100%	100%	100%	100%	100%
50% increase in Boards and Commissions meetings held outside of the metro area	All	10	4	2	7	6	50% increase (15)	TBD
100% increase in dissemination of emerging risk bulletins/common practice violation notices to industry	All	20	11	22	38	12	100% increase (40)	TBD

DORA continues its heightened focus on outreach, with a total of 15 consumer alerts this quarter, including warnings to those prone to wildfires to prepare for wildfire season (DOI), to reminders for contractors and homeowners to call 811 before digging, to informing the public about ATM fraud mitigation strategies. In total, the department issued at least 94 consumer alerts this fiscal year. In addition to ensuring consumers are well-informed, DORA ensures that regulated entities are kept educated about best practices through dissemination of 12 “emerging risk bulletins” and “common practice violation notices” this quarter, reaching 71 so far this fiscal year, surpassing our annual target.

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	COPRRR	14	0	9	46	3 (63 total)	20	23
100% increase in online public comment on sunrise/sunset reports	COPRRR	58	34	23	23	35 (135 total)	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%	100%	100%

Over the past fiscal year, COPRRR saw a 350% 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, and a 135% increase in online public comments on sunset/sunrise reporting, providing critical input on regulatory programs under review. During the 2018 legislative session, COPRRR published 21 sunset reports and made 43 recommendations; 77% of COPRRR’s recommendations were adopted.

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	9,815	11,334	25% increase	10% increase

Though fluctuations of HPPP use tend to occur throughout the year, and correlate strongly with license renewals, as hospitals and care centers often check HPPP to verify their staff have renewed their licenses, DPO has seen a 42% increase in the utilization of the HPPP in FY18 overall (from 242,379 in total in FY17 to 345,301 in total in FY18).

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	37*	33.6*	30 days	30 days
95% of real estate license applications processed within 5 business days	Real Estate	93%	97%	87.3%	92.86%	88.2%	95%	95%
99% of securities license applications processed within 15 days	Securities	99%	99%	99%	99%	99%	99%	100%
100% of businesses and reinstatement applications available online by the end of FY18	Professions & Occupations	59%	71%	100%	100%	100%	100% (17)	N/A

Beginning in Q3, DPO adjusted the way Average License Processing Time is calculated, to more accurately reflect true customer experience. This change is part of a larger DPO licensing lean project that will simplify the application process across all license types. In order to improve processing time for occupational licenses further, DPO is undertaking several major initiatives including rewriting all application checklists to ensure information about requirements are clear and accurate and reduce the number of incomplete applications received, overhauling the customer care team to triage incoming customer inquiries about application questions and status checks replacing the eLicense system to overcome processing restraints, and conducting a statutory review to ensure applications are not requesting burdensome information from applicants that aren't required by statute/rules.

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%	100%
100% of securities examinations completed within an average of 90 days	Securities	100%	100%	100%	100%	100%	100%	100%

The Division of Financial Services is working to reduce operating expenses for the division and regulatory burden on regulated institutions by working with their federal counterpart, the NCUA, to create an examination program that would allow the state and federal government to take turns conducting examinations. Completion is anticipated for late 2018.

Reduce red tape and unnecessary regulatory burden

Metric	Division	FY17	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
\$50,000 in savings resulting from new multi-state exams	Banking	N/A	\$0	\$11,584	\$25,353	\$0	\$50,000	N/A
\$50,000 in savings resulting from Priority Focused Regulation program	Financial Services	N/A	\$8,113	\$27,024	\$5,280	\$14,640	\$50,000	N/A

This quarter, the Division of Financial Services conducted five Priority Focused Regulation (PFR) examinations, saving credit unions \$14,640 in expenses. In total this fiscal year, the Division's PRF Program has saved credit unions \$55,057, surpassing the annual target. 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. In total, the division has saved money transmitters \$36,937 through multi-state exams.

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%	100%	100%	N/A

The Broadband Board awarded \$9.4 million to a total of nine projects. The grant awards are matched with \$6.95 million in private investment (42.5% match). In total, the projects will provide broadband services to 8,258 households.

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	2	3	2	1 (8 total)	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	0	0 (3 total)	2	N/A

In total, eight Professions and Occupations Boards have adopted streamlined licensure policies for veterans: Plumbing, Electrical, Addiction Councilors, Marriage and Family Therapist Examiners, Psychologists, Licensed Professional Counselors and Social Workers. A policy to streamline veteran policies for Barber/Cosmetology is also currently under review. The Division has created a new Policy Analyst position to assist with VOCAL policy analysis and implementation.