



COLORADO

Department of
Regulatory Agencies

FY19 PERFORMANCE PLAN Q1

July 1, 2018 – September 30, 2018

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

Deliver timely resolution of complaints and investigations

Metric	Division	FY18	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
80% of Civil Rights cases resolved within 270 days	Civil Rights	75.2%	62%				80%	TBD
95% of real estate complaints resolved within 60 days	Real Estate	88%	79%				95%	95%
99% of public utilities complaints and inquiries resolved within 15 days	Public Utilities Commission	99%	97%				99%	99%
85% of investigations of real estate professionals applicants with criminal history completed within 60 business days	Real Estate	84.5%	100%				85%	85%

In Q1 the Division of Real Estate (DRE) completed 100% of investigations for Real Estate Professional applicants with criminal history within an average of 30 days surpassing the goal of completion within 60 days. This dramatic improvement can be attributed to the recent Lean project implemented by the division which greatly improved the process.

The Public Utilities Commission (PUC) resolved 97.6% of consumer inquiries within 15 days resulting in a savings of \$1,671,207.66. The significant savings was mostly due to a large developer seeking gas in Weld County.

The Colorado Division of Civil Rights (CCRD) exceeded the number of cases closed for the EEOC contract this year. The original contract was for 537 cases. The Division was granted an upward modification of 90 cases by the EEOC, up to 627 cases, which the Division was able to complete. The Division received credit for 60 intakes completed and referred to the EEOC for investigations.

Uphold effective pathways for alternative dispute resolution

Metric	Division	FY18	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
90% of real estate cases resolved through Expedited Settlement Program	Real Estate	90.24%	82%				90%	90%
190 civil rights cases resolved through alternative dispute resolution	Civil Rights	213	71				190	190

In Q1 the Colorado Civil Rights Division (CCRD) conducted 66 mediations/consolidations resulting in \$26,120,702 in relief obtained for complaints. The Division of Real Estate (DRE) resolved 82% of cases through the Expedited Settlement Program (ESP) having 7 cases referred to the Attorney General's Office.

Protection of consumers through Effective Enforcement

Metric	Division	FY18	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
100% of unlicensed case referrals to law enforcement within 14 days of case closure	Professions & Occupations	N/A	100%				100%	100%
Establish a baseline for Safety & Compliance reviews	Public Utilities Commission	N/A	20				N/A	N/A

The Unlicensed Practice Initiative that began in May 2018, has increased the referrals to law enforcement by 1400%. Additionally, the Division continues the audit of Cease and Desist Orders issued by the Division's boards and programs since July 2016. The audit generated 89 Orders, which were reviewed to determine if the unlicensed practice has continued. Nine new cases have been opened for formal investigation based on concerns of continued unlicensed practice. Training of staff has taken place to clarify processes and to introduce programmatic changes to support the initiative.

SPI 2 | ENHANCE EDUCATION AND OUTREACH

Strengthen statewide and online opportunities for Coloradans to interact with DORA

Metric	Division	FY18	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
55 Consumer alerts or advisories disseminated Department-wide	All	94	24				55	55
89% of Divisions to live-stream board and commission meetings	All	90.75%	89%				89%	89%
6 HOA forums completed annually, including 2 outreach events to monolingual Spanish consumers	Real Estate	N/A	6				6	TBD
75 in-person civil rights outreach events	Civil Rights	N/A	18				75	TBD

In August, AARP featured the Office of Consumer Counsel (OCC) in a spotlight on their website. The feature came after the OCC met with AARP's Colorado Director of Communications about collaboration opportunities. The Division of Financial Service (DFS) released a consumer alert about overdraft fees and understanding how they are calculated. The Division of Securities (DOS) released a consumer alert on the importance of identifying a third party contact for your broker or advisor. Finally, the Division of Banking (DOB) issued a consumer advisory about a fraudulent financial services website, in which the associated entity falsely claimed to be regulated by the Department of Regulatory Agencies and deposits insured by the FDIC. The advisory was shared by stakeholders on social media and covered by the Denver Business Journal; since release, the website has been removed.

The Division of Professions and Occupations launched a tiered education and outreach campaign in September with a goal of increasing registration of unregistered barber/cosmetology businesses. The multi-pronged outreach campaign includes postcards, e-blasts and a special website targeting schools, business associations, individual licensees, and barber/cosmetology businesses. The messaging provides a 60-day grace period for all accumulated fees and fines for any unregistered business offering barbering, cosmetology, hairstyling, esthetician, or nail technician services. The outreach campaign will continue through October and November to achieve high levels of compliance across the State of Colorado.

Increased accessibility of DORA's consumer information

Metric	Division	FY18	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	90,437	124,689				25% increase	10% increase

SPI 3 | IMPROVE PROCESSES TO BETTER ENGAGE WITH REGULATED ENTITIES

Provide simple and fast licensing to Colorado professionals

Metric	Division	FY18	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
Average time to process occupational license applications processed within an average of 30 days	Professions & Occupations	35	31				30 days	30 days
Processing time for Addiction Counselor applications	Professions & Occupations	52	44				30 days	30 days
Processing time for Electrical & Plumbing applications	Professions & Occupations	43	53				14 days	14 days
Processing time for Nursing Home Administrator applications	Professions & Occupations	84	58				30 days	30 days
Processing time for Barber and Cosmetology applications	Professions & Occupations	75	34				30 days	30 days
95% of real estate license applications processed within 5 business days	Real Estate	91.3%	95%				95%	95%

99% of securities license applications processed within 15 days	Securities	99%	99%				99%	100%
100% of businesses and reinstatement applications available online by the end of FY19	Professions & Occupations	92.7%	10%				100%	N/A

The Division of Professions & Occupations (DPO) has already experienced time improvements in the licensing application process due to the Lean project implemented. The average processing time of applications for Barber/Cosmetology has gone from 75 days to 34 days and Nursing Home Administrators has gone from 84 days to an average of 58 days. The DPO has also begun plain language revision to applications in effort to ensure all language in occupational license applications is easy to read and understand. The plain language revision is expected to result in a reduction of errors and incomplete applications.

Streamline occupational licensing for veterans

Metric	Division	FY18	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
\$50,000 in savings to veterans, military personnel, and their spouses applying for licensure	Professions & Occupations	N/A	\$11,107				\$50,000	N/A
2,000 hours saved to military personnel and veterans applying for a nursing licensure associated with educational requirements	Professions & Occupations	N/A	400					N/A

Maintain efficient regulatory examinations

Metric	Division	FY18	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
100% financial institution exams completed within 12-18 months	Banking/ Financial Services	100%	95%				100%	100%
100% of securities examinations completed within an average of 90 days	Securities	100%	100%				100%	100%

In order to improve the regulatory examination process, the Division of Financial Services continues to work on two lean projects. The Updating Pre-Examination Packages Project was successfully implemented in September, the Division will monitor outcomes and continue to solicit feedback. The Alternative examination project which is a broader effort in partnership with the National Association of State Credit Union Supervisors and other state credit union regulators has been postponed due to its collaborative nature. The Division will report back as they collectively move forward.