



**COLORADO**

Department of  
Regulatory Agencies

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**Q2 PERFORMANCE EVALUATION  
FY19**

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October 1, 2018 – December 31, 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%	54%			80%	TBD
95% of real estate complaints resolved within 60 days	Real Estate	88%	79%	86%			95%	95%
99% of public utilities complaints and inquiries resolved within 15 days	Public Utilities Commission	99%	97%	99%			99%	99%
85% of investigations of real estate professionals applicants with criminal history completed within 60 business days	Real Estate	84.5%	100%	100%			85%	85%

In Q2 the **Division of Real Estate** completed 100% of investigations of Real Estate Professional applicants with criminal history within an average of 17 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.

In Q2 the **Public Utilities Commission** resolved 99% of consumer inquiries within 15 days, saving consumers \$19,904.

The **Colorado Civil Rights Division** has seen a decrease in cases resolved within 270 days due to investigator vacancies. The Division hired 3 new investigators in December and is filling 3 additional vacancies. The average caseload per investigator is now 100 cases rather than 125 cases. However, a manageable caseload is approximately 40-50 cases. The division implemented a new abbreviated Letter of Determination format that will provide investigators with a more efficient way of drafting determinations, expected to result in decreased case processing times.

### 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%	88%			90%	90%
190 civil rights cases resolved through alternative dispute resolution	Civil Rights	213	71	20			190	190

In Q2 the **Colorado Civil Rights Division** conducted 53 mediation/conciliation conferences with 20 resulting in a successful resolution with a total of \$251,412 relief for complainants. Investigators facilitated settlement discussions in 29 cases and a total of \$522,710 in relief was obtained for complainants. Q2 total relief obtained for complainants is \$774,122.

In Q2 the **Division of Real Estate** resolved 88% of cases through the Expedited Settlement Program (ESP) and referred 18 to the Office of the Attorney General.

### 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%	100%
Establish a baseline for Safety & Compliance reviews	Public Utilities Commission	N/A	20	54			N/A	N/A

The **Division of Professions and Occupations** has opened 290 cases as a result of the Unlicensed Practice (ULP) Initiative; 224 Cease and Desist Orders have been issued and referred for enforcement to the Office of Investigations since the inception of the initiative in May; with a total of 40 cases have been referred to the Office of the Attorney General for injunctive action, resulting in 3 permanent injunctions to date.

The Unlicensed Practice Initiative has resulted in 165 referrals to law enforcement - a 3200% increase in referrals to law enforcement since inception in May.

## 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	18			55	55
89% of Divisions to live-stream board and commission meetings	All	90.75%	89%	89%			89%	89%
6 HOA forums completed annually, including 2 outreach events to monolingual Spanish consumers	Real Estate	N/A	6	8			6	TBD
75 in-person civil rights outreach events	Civil Rights	N/A	18	13			75	TBD

The **Division of Real Estate** hosted HOA Forums in Denver, Pueblo, Frisco, and Boulder. The Division of Real Estate participated in an HOA Law Day in Colorado Springs and attended the Community Associations Institute Fall Conference in Denver.

In Q2 the **Colorado Civil Rights Division** the Division attended the Project Homeless Connect event. This event is hosted by the City & County of Denver annually, many government and community agencies participate to provide services to individuals and families experiencing homelessness. The Division staffed an information booth at the University of Colorado Boulder housing fair to provide information about fair housing laws and rights. An employment anti-discrimination law training was held in October in the DORA offices that was open to the public.

### 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	345,301	124,689	81,201			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	31			30 days	30 days
Processing time for <b>Addiction Counselor</b> applications	Professions & Occupations	52	44	40			30 days	30 days
Processing time for <b>Electrical &amp; Plumbing</b> applications	Professions & Occupations	43	53	50			14 days	14 days
Processing time for <b>Nursing Home Administrator</b> applications	Professions & Occupations	84	58	80			30 days	30 days
Processing time for <b>Barber and Cosmetology</b> applications	Professions & Occupations	75	34	30			30 days	30 days
95% of real estate license applications processed within 5 business days	Real Estate	91.3%	95%	98%			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 FY19	Professions & Occupations	92.7%	10%	23%			100%	N/A

During Q2, the **Division of Real Estate** processed 17,862 renewal applications, 5,397 online applications and 527 original broker applications. The average time to process an original real estate broker application and issue a license is 1.4 days.

The **Division of Professions & Occupations** deployed 9 new online reinstatements, including individual license types for Electrical, Plumbing (including Water Conditioners) and the business Shop Registrations. There are an additional 13 license types built in production awaiting fee approval to be activated. These

include Dental, Private Investigators, Electrical and Plumbing Contractors, Funeral Homes, Crematories and Addiction Counselors (I and II). Additionally, all existing Barber and Cosmetology reinstatements were revised with the updated format now being used for Online Reinstatement 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	\$22,214			\$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	800				N/A

The **Division of Professions and Occupations** continues its pathway analyses of Occupational Therapists, Occupational Therapy Assistants, and the professions under the Colorado Medical Board (Anesthesiologist Assistants, Physicians, Physician Assistants). The Division also is also revisiting the application process for Engineers to determine whether any currently required documentation is duplicative in light of the information available in military discharge forms and, thus, can be eliminated for veterans. In the coming months, the Division will address the remaining professions identified for pathway analyses in the FY 19 plan (Accountants, Optometrists, Pharmacists, and Veterinarians) and may also revisit occupations under the Electrical and Plumbing Boards since the Division is conducting further streamlining analyses related to these professions as part of its work under a separate effort (the multi-state Occupational Licensing Policy Learning Consortium). After conducting its first VOCAL committee in November, where it established key partnerships with higher education organizations, the Division’s VOCAL team is planning its next VOCAL advisory committee meeting to identify areas and opportunities for communication, partnership, and technical guidance for streamlining rules and policies for veterans.

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

The **Division of Financial Services** staff continues to work with our federal counterparts on the Alternating Examination Project to create an examination program that would allow the state and federal government to take turns conducting examinations. This would reduce operating expenses for the Division and reduce regulatory burden on our regulated institutions. The nationwide joint working group held a conference call in October and focused on communication between state and federal regulators. Completion of this project is anticipated to be late-2019.