



CO L O R A D O

**Department of
Regulatory Agencies**

**Q1 PERFORMANCE EVALUATION
FY20**

July 1, 2019 – September 30, 2019

SPI 1 | Consistent Public Protection through Effective Enforcement & Regulatory Activities

Deliver timely resolution of complaints and investigations									
Metric	Division	FY18	FY19	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
85% of real estate complaints resolved within 60 days, sustained through 6/30/2021	Real Estate	88%	87%	92%				85%	85%
99% of public utilities complaints and inquiries resolved within 15 days, sustained through 6/30/2021	Public Utilities	98%	98%	100%				99%	99%
85% of investigations of real estate professional applicants with criminal history completed within 60 days, sustained through 6/30/2021	Real Estate	85%	100%	100%				85%	85%
100% implementation of a new case management system by 6/30/2020	Civil Rights	0%	0%	65%				100%	n/a

The Public Utilities Commission was timely 100% in resolving consumer inquiries within 15 days saving consumers \$9,498.40 in the first quarter.

Uphold effective pathways for alternative dispute resolution									
Metric	Division	FY18	FY19	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
90% of Real estate cases resolved through Expedited Settlement Program (ESP), sustained through 6/30/2021	Real Estate	n/a	89%	93%				90%	90%
10% increase in Civil rights cases pursued to be resolved through alternative dispute resolution, with an additional 10% increase by 6/30/2021	Civil Rights	213	257	54				10% increase	10% Additional increase

The ESP program within the Division of Real Estate resolved 126 out of 135 cases in less than 60 days with 10 cases referred to the OAG.

Civil Rights Division investigators closed 325 cases this quarter. Investigators facilitated settlement discussions and a total of \$922,065 in relief was obtained for Complainants. The Alternate Dispute Resolution unit conducted a total of 54 mediations and conciliations this quarter resulting in \$648,450 in relief for complainants. The total amount of relief for complainants in the first quarter is \$1,570,515.

Protection of Consumers through Effective Enforcement									
Metric	Division	FY18	FY19	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
100% of unlicensed case referrals to law enforcement within 14 days of case closure, sustained through 6/30/2021	Professions & Occupations	n/a	100%	100%				100%	100%
Increase financial audits from 5 to 10 per month by 6/30/2020	Real Estate	n/a	5	6				10	n/a
Decrease percentage of backlog complaint investigations from 28% to 10% by 6/30/2020	Real Estate	n/a	28%	18%				10%	n/a

The Unlicensed Practice Initiative (UPL) within the Division of Professions & Occupations has begun its second year. For FY20, the division has issued 40 Cease and Desist Orders (CDO); made 72 referrals to the Office of Investigations for enforcement of the order; and 37 referrals to law enforcement.

SPI 2 | Enhanced Education and Outreach to Ensure Accessibility

Strengthen statewide and online opportunities for Coloradans to interact with DORA									
Metric	Division	FY18	FY19	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
100 consumer alerts or advisories disseminated Department-wide by June 30, 2020, sustained annually through June 30, 2022	All	94	113	32				100	100
12 HOA forums completed annually, including 4 forums conducted outside of the Denver Metro area by June 30, 2020	Real Estate	n/a	12	8 *2 outside Denver Metro Area				12 *4 outside Denver Metro Area	n/a
75 in-person Civil Rights outreach events by 6/30/2020	Civil Rights	n/a	78	22				75	n/a
3 Blockchain-related forums conducted by 6/30/20.	Banking, Securities, Financial Services	n/a	n/a	1				3	n/a
3 InsurTech related forums conducted by 6/30/20.	Insurance	n/a	n/a	0				3	n/a
25% increase of outreach conducted by the Public Utilities Commission in rural Colorado by June 30, 2020	Public Utilities	n/a	n/a	7				25% increase	n/a

The **Civil Rights Division** participated in a number of outreach events this quarter. The division provided Employment 101 training in Denver, Colorado Springs, Durango, Delta, Montrose, Canon City, Fremont County, and Gunnison. Fair Housing 101 in Glenwood Springs, Denver, Ft Collins and Louisville, and served on a panel at the annual EEOC Technical Assistance Program Seminar (TAPS) in Denver.

This quarter the **Public Utilities Commission** issued a statewide news release seeking input on rules to implement railroad fining authority. The release was also published in northeast Colorado (I-70 Scout) and southwest Colorado (Montrose Daily Press) newspapers. The division received public comments regarding the Public Service Company of Colorado’s electric rate case at a public meeting held in Grand Junction.

The **Division of Banking** gave an update to the OEDIT Blockchain Forum on September 25, 2019. The Division reported 31 inquiries regarding its 09/20/2018 Interim Regulatory Guidance on Virtual Currency and the Colorado Money Transmitter Act (Guidance). The Banking Board has approved seven (7) money transmitter licenses for virtual currency companies under the Guidance. The other 24 inquirers and it’s business models did not meet the money transmitter license requirements outlined in the Guidance.

Increased accessibility of DORA’s consumer information									
Metric	Division	FY18	FY19	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 by June 30, 2018, followed by an additional 10% increase by June 30, 2020	Professions & Occupations	345,301	512,200	68,061				25% increase (29,168)	Additional 10% increase (32,084)

SPI 3 | Bold Improvements to Better Serve Regulated Entities

Streamlining Processes and Cutting Red Tape									
Measure	Division	FY18	FY19	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
Reduce the processing time for occupational license applications of Healthcare Professionals from 43 to 30 days by 6/30/2020 (WIG)	Professions & Occupations	n/a	n/a	40				30 days	30 days

Provide simple and fast licensing to Colorado Professionals									
Measure	Division	FY18	FY19	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
100% of occupational license applications processed within an average of 30 days, sustained through 6/30/2021	Professions & Occupations	35	29	36				30 days	30 days
Reduce processing time for Addiction Counselor applications from 52 to 30 day by 6/30/2020	Professions & Occupations	57	36	30				30 days	n/a
Reduce processing time for Electrical & Plumbing applications from 43 to 14 days by 6/30/2020	Professions & Occupations	43	49	36				14 days	n/a
Reduce processing time for Nursing Home Administrator applications from 84 to 30 days by 6/30/2020	Professions & Occupations	84	72	135				30 days	n/a
Reduce processing time for Barber and Cosmetology applications from 75 to 30 days by 6/30/2020	Professions & Occupations	75	31	46				30 days	n/a
95% of real estate license applications processed within 5 business days, sustained through 6/30/2020	Real Estate	91%	97%	97%				95%	n/a
99% of securities license applications processed within 15 days, sustained through 6/30/2020	Securities	99%	99%	99%				99%	n/a
100% of reinstatement applications available online by the end of FY20	Professions & Occupations	57%	99%	68%				100%	n/a

The Division of Real Estate processed 690 original real estate broker applications in less than 5 days. Average days to issue a license is 2.3days

Streamline occupational licensing for military personnel									
Measure	Division	FY18	FY19	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
\$50,000 savings to veterans, military personnel, and their spouses applying for licensure	Professions & Occupations	n/a	\$55,535	\$11,800				\$50,000	n/a

The Division of Professions and Occupations hosted a meeting of the Veterans & Military Advisory Committee, to provide updates on the progress made in the last year and seek input related to professions under review in the current fiscal year, as well as communications and outreach opportunities and efforts. Professions for review in FY20 include Acupuncturist, Athletic Trainer, Chiropractor, Direct-Entry Midwife, Massage Therapist, Naturopathic Doctor, Nursing Home Administrator, Outfitter, Private Investigator, Respiratory Therapist, and Speech-Language Pathologist. DPO staff also attended the annual conference of the Multi-State Occupational Licensing Consortium, sponsored by the National Conference of State Legislatures, National Governors Association, and Council of State Governments.

Financial Services for Marijuana-Related Businesses									
Measure	Division	FY18	FY19	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
Develop a roadmap to engage the financial services industry to increase the number of financial service providers who serve cannabis-related businesses by December 31, 2019 and implement a plan to increase the number by 20 percent by June 30, 2020. (WIG)	Banking, Financial Services	n/a	n/a	50%				100% Completed Roadmap	n/a

The Division of Financial Services and the Division of Banking participated in a focus group related to cannabis banking. The two divisions also participated in the CDA CHAMP Initiative.

The Division of Financial Services, Deputy Commissioner Nguyen participated in a panel with Federal government regulators to discuss marijuana banking issues. Colorado, along with California and Washington shared best practices regarding examination procedures (initial and ongoing monitoring) surrounding marijuana-related business accounts.

Maintain efficient regulatory examinations									
Measure	Division	FY18	FY19	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
Financial institution exams completed within 12-18 months, sustained through June 30, 2020	Banking	n/a	100%	100%				100%	n/a
Financial institution exams completed within 12-18 months, sustained through June 30, 2020	Financial Services	n/a	100%	100%				100%	n/a
Securities examinations completed within an average of 90 days, sustained through June 30, 2020	Securities	n/a	100%	100%				100%	n/a

Internal reform to improve alignment and efficiency									
Measure	Division	FY18	FY19	Q1	Q2	Q3	Q4	1-Yr Goal	3-Yr Goal
Complete an internal organizational evaluation of the Department of Regulatory Agencies by December 31, 2019 to improve internal efficiency and internal alignment to support the transition of the state to a 100 percent renewable energy resources by 2040. (WIG)	DORA	n/a	n/a	45%					n/a