



COLORADO

**Department of
Regulatory Agencies**

Executive Director's Office

Q2 PERFORMANCE EVALUATION FY20

October 1 – December 31, 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%	95%			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%	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%	100%			85%	85%
100% implementation of a new case management system by 6/30/2020	Civil Rights	0%	0%	65%	85%			100%	n/a

The Public Utilities Commission was timely 99.3% in resolving consumer inquiries within 15 days saving consumers \$6,255.45 in the second 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%	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	41			10% increase	10% Additional increase

The ESP program within the Division of Real Estate resolved 210 out of 228 cases in less than 60 days with 18 cases referred to the OAG.

Civil Rights Division investigators closed 274 cases this quarter. Investigators facilitated settlement discussions and a total of \$537,992 in relief was obtained for Complainants. The Alternate Dispute Resolution unit conducted a total of 41 mediations and conciliations this quarter resulting in \$360,225 in relief for complainants. The total amount of relief for complainants in the first quarter is \$898,217.

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%	100%
Increase financial audits from 5 to 10 per month by 6/30/2020	Real Estate	n/a	5	6	7			10	n/a
Decrease percentage of backlog complaint investigations from 28% to 10% by 6/30/2020	Real Estate	n/a	28%	18%	10%			10%	n/a

The Unlicensed Practice Initiative (UPL) within the Division of Professions & Occupations has begun its second year. FY20, the division has issued 236 Cease and Desist Orders (CDO); made 259 referrals to the Office of Investigations for enforcement of the order; and 174 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	39			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	14 *6 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	21			75	n/a
3 Blockchain-related forums conducted by 6/30/20.	Banking, Securities, Financial Services	n/a	n/a	1	4			3	n/a
3 InsurTech related forums conducted by 6/30/20.	Insurance	n/a	n/a	0	1			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	2			25% increase	n/a

The Division of Professions and Occupations hosted the first Mental Health Stakeholder Forum to begin an important discussion about the Division’s proposal to create a better governance and regulatory structure for the six mental health professions currently regulated in Colorado. Thirty-six people attended in person, while another 216 participants joined the discussion via webinar. Attendees included associations, licensees, peer assistance providers, universities, and other interested stakeholders. The Division presented some of the challenges with the current six Board structure and offered possible alternatives moving forward, including a single, multi-disciplinary Board that utilizes a panel system.

The Division of Financial Services released a cannabis survey to regulated institutions in order to gauge their appetite for cannabis banking. There was a 43% complete rate. 93% of those who responded indicated there was a demand in their area for cannabis banking, but 73% of the respondents stated they had no future plans to bank the cannabis industry.

Civil Rights Division staff traveled to Colorado Springs to conduct a training on the difference between service animals and emotional support animals as accommodations for individuals with disabilities for the Colorado Springs Housing Authority. Staff also engaged in fair housing outreach in partnership with Denver Metro Fair Housing Center in Evans, Colorado at the Immigrant and Refugee Center of Northern Colorado. The presentation was translated into 7 languages during this live event. Fair housing training was provided to the Southern Colorado Residential Rental Association via conference call due to inclement weather. Staff provided Employment 101 training to the community at large, and provided training to the Colorado Defense Lawyers Association in regards to the administrative process outlined in the Colorado Anti Discrimination Act (CADA), in which attendees were given the opportunity to earn Continuing Legal Education (CLE) credits.

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	46,986			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	26			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	41			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	46			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	66			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	136			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	60			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%	97%			95%	n/a
99% of securities license applications processed within 15 days, sustained through 6/30/2020	Securities	99%	99%	99%	99%			99%	n/a
100% of reinstatement applications available online by the end of FY20	Professions & Occupations	57%	99%	68%	82%			100%	n/a

The Division of Real Estate processed 452 original real estate broker applications in less than 5 days. Average number of days to issue a license is 2.6 days.

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	\$0			\$50,000	n/a

In October, the Division of Professions and Occupations presented information on DORA’s military and veteran programs, including VOCAL, to representatives from military installations (Fort Carson and the Air Force Academy). This meeting was facilitated by the US Department of Labor, and the military installation representatives who attended work with active duty members of the military in the 1-2 years before they retire or otherwise discharge from the military, to assist with the transition to civilian life. The Combative Sports Commission adopted a rule to streamline licensure as an official for veterans and members of the military (effective in January 2020). With this new rule, the Division has met its goal of adopting 4 new rules or policies in Fiscal Year 2019 to streamline licensure for veterans. The Division of Professions and Occupations initiated a partnership with the College of Health Science and Administration at Emily Griffith Technical College, in relation to the Division’s nursing military policies and rules to ensure that veterans interested in or enrolled at Emily Griffith are aware of the Board of Nursing’s streamlined policies and to offer veterans using the Board of Nursing’s streamlined policies a way to fill any gaps in their education/experience through completing only the courses the Board deems necessary at Emily Griffith.

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%			100% Completed Roadmap	n/a

In Quarter 2, the Division of Financial Services (DFS) participated in the Marijuana Enforcement Division's (MED) Quarterly Regional Town Hall on cannabis in Trinidad. Division staff answered questions from the audience on banking hemp. In November, the Division released the Cannabis Guidance to the Colorado credit union and thrift industry. This Guidance makes it clear that the DFS has no objections to our regulated institutions banking the cannabis industry in a safe and sound manner. Partner Colorado Credit Union, Del Norte Bank and Rio Grande Savings/Loan now bank the cannabis industry in Colorado. This is a 300% increase from 1 to 3 financial service providers that the Division of Financial Services regulates that serve cannabis-related businesses. The Division of Financial Services met with regulators from Missouri to offer advice and share best practices on their new cannabis regulatory program. Recently, the DFS has also met with regulators from Michigan and Illinois, sharing what the division has learned regarding regulating cannabis banking.

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%			100%	n/a
Financial institution exams completed within 12-18 months, sustained through June 30, 2020	Financial Services	n/a	100%	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%			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 January 31, 2020 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%	70%				n/a