



CO L O R A D O

**Department of
Regulatory Agencies**

Executive Director's Office

Q3 PERFORMANCE EVALUATION FY20

January 1 - March 31, 2020

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%	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%	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%	100%		85%	85%
100% implementation of a new case management system by 6/30/2020	Civil Rights	0%	0%	65%	85%	90%		100%	n/a

The Public Utilities Commission was timely 99.3% in resolving consumer inquiries within 15 days saving consumers \$5,599.26 in the third 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%	95%		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	66		10% increase	10% Additional increase

The ESP program within the Division of Real Estate resolved 141 out of 149 cases in less than 60 days with 8 cases referred to the OAG.

Civil Rights Division investigators closed 319 cases this quarter. Investigators facilitated settlement discussions and a total of \$228,620 in relief was obtained for Complainants. The Alternate Dispute Resolution unit conducted a total of 66 mediations and conciliations this quarter resulting in \$671,091 in relief for complainants.

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%	100%
Increase financial audits from 5 to 10 per month by 6/30/2020	Real Estate	n/a	5	6	7	8		10	n/a
Decrease percentage of backlog complaint investigations from 28% to 10% by 6/30/2020	Real Estate	n/a	28%	18%	10%	9%		10%	n/a

The Unlicensed Practice Initiative (UPL) within the Division of Professions & Occupations has begun its second year. FY20, the division has issued 443 Cease and Desist Orders (CDO); made 395 referrals to the Office of Investigations for enforcement of the order; and 306 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	46		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	3 *0 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	17		75	n/a
3 Blockchain-related forums conducted by 6/30/20.	Banking, Securities, Financial Services	n/a	n/a	1	4	1		3	n/a
3 InsurTech related forums conducted by 6/30/20.	Insurance	n/a	n/a	0	1	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	5		25% increase	n/a

The **Division of Professions and Occupations** during the COVID-19 crisis worked hand-in-hand with DORA’s Executive Director’s Office, CDPHE, and Governor’s Office and others to place timely, accurate information on both the DORA website for consumers, while alerting licensees to revised responsibilities/restrictions through e-blasts to licensees. These communications included identifying Critical v. Non- Critical Business Professions, Official Directives on Elective Procedures for Individual Practitioners such as Dentists and Chiropractors, Guidance to Pharmacists on COVID-19 drug prescribing and Outfitters on handling bookings in the near and long term, healthcare FAQs, Calls to Action for personal protective equipment, closure of non-essential public services in the Barber/Cos and Massage Therapy industries, and amplification of Governor’s Directives on emergency measures, expedited licensing, and increasing the workforce through alternative means.

Multistate Occupational Licensing Consortium - The Colorado Core Team has spent much of March assisting in the effort to respond to the COVID-19 pandemic. As the crisis is ongoing, many of the professions regulated by the **Division of Professions and Occupations** (DPO) have either found their workforce unable to work or unable to complete their training and/or education due to the extraordinary measures put in place by the Governor to slow the spread of the virus. As many of the professions regulated by the Division are in the healthcare field, the Colorado Team has worked closely with the Governor’s Office to ensure that the healthcare workers vital to the COVID-19 response are able to continue providing for their patients while ensure the health and wellbeing of the public and the healthcare workers themselves.

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	46,594		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	24		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	32		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	38		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	105		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	146		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	52		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%	98%		95%	n/a
99% of securities license applications processed within 15 days, sustained through 6/30/2020	Securities	99%	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%		100%	n/a

The Division of Real Estate processed 684 original real estate broker applications in less than 5 days. Average number of days to issue a license is 2.0 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	\$900		\$50,000	n/a

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%		100% Completed Roadmap	n/a

The Division of Financial Services is working with the Office of Economic Development and International Trade (OEDIT) and the Small Business Adminsition (SBA) in order to get Colorado marijuana-related businesses part of the Paycheck Protection Program (PPP). Since marijuana is still illegal at the federal level, Colorado marijuana-related businesses are excluded from the PPP program. The PPP program is a loan designed to provide a direct incentive for small businesses to keep their workers on the payroll during the Coronavirus pandemic.

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