



**CO L O R A D O**

**Department of  
Regulatory Agencies**

Executive Director's Office

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## **Q4 PERFORMANCE EVALUATION FY20**

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**April 1 - June 30, 2020**

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

<b>Deliver timely resolution of complaints and investigations</b>									
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%	89%	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%	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%	100%	100%	100%	85%	85%
100% implementation of a new case management system by 6/30/2020	Civil Rights	0%	0%	65%	85%	90%	90%	100%	n/a

The Public Utilities Commission was timely 100% in resolving consumer inquiries within 15 days saving consumers \$10,755.11 in the fourth quarter for a total \$32,108.22 in Fiscal Year 2019-2020.

<b>Uphold effective pathways for alternative dispute resolution</b>									
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%	89%	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	44	10% increase	10% Additional increase

The ESP program within the Division of Real Estate resolved 101 in less than 60 days with 11 cases referred to the OAG in the fourth quarter, for a total of 578 cases resolved in less than 60 days and 57 cases referred to the OAG in Fiscal Year 2019-2020

Civil Rights Division investigators closed 278 cases this quarter. Investigators facilitated settlement discussions and a total of \$316,942 in relief was obtained for Complainants. The Alternate Dispute Resolution unit conducted a total of 44 mediations and conciliations this quarter resulting in \$513,504 in relief for complainants. Quarter 4 totals \$830,446 relief for complaints; with the total amount for fiscal year 2019-2020 of \$4,198,889.

<b>Protection of Consumers through Effective Enforcement</b>									
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%	100%
Increase financial audits from 5 to 10 per month by 6/30/2020	Real Estate	n/a	5	6	7	8	10	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%	10%	n/a

The Unlicensed Practice Initiative (UPL) within the Division of Professions & Occupations has begun its second year. FY20 quarter 4, the division has issued 663 Cease and Desist Orders (CDO); made 503 referrals to the Office of Investigations for enforcement of the order; and 412 referrals to law enforcement.

**SPI 2 | Enhanced Education and Outreach to Ensure Accessibility**

<b>Strengthen statewide and online opportunities for Coloradans to interact with DORA</b>									
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	45	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	4 *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	0	75	n/a
3 Blockchain-related forums conducted by 6/30/20.	Banking, Securities, Financial Services	n/a	n/a	1	4	1	0	3	n/a
3 InsurTech related forums conducted by 6/30/20.	Insurance	n/a	n/a	0	1	1	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	2	5	4	25% increase	n/a

The Division of Professions and Occupations used Facebook to push out information on the Colorado Department of Health Care Policy and Financing (HCPF) connect to care jobs website, aimed at preventing healthcare workforce shortages in Colorado.

**Multistate Occupational Licensing Consortium** - During June, the Consortium Core Team continued to support Division-wide functions related to the state’s response efforts with respect to the COVID-19 pandemic, and its impact on occupational licensure. The Core Team was also engaged by Division leadership to support the Division’s legislative implementation efforts. One of the main pieces of occupational licensing-related legislation passed by the Colorado state legislature, HB 1326, stemmed directly from the Core Team’s previous efforts to streamline licensure in the state. Importantly, this bill included key provisions tailored directly toward veterans and their families, a key Consortium target population. Likewise, the Consortium Team will play a critical role in implementing many of the sunset bills passed by the legislature this past legislative session, many of which make substantial changes to the programs regulated by the Division. Throughout June, the Consortium Team also continued its work on Collateral Consequences reform. Toward that end, the Team took an important next step in the implementation process for its proposed collateral consequences policy by presenting the policy to the full Plumbing Board. The Team will continue to update additional Boards throughout the summer and fall.

<b>Increased accessibility of DORA's consumer information</b>									
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	94,417	25% increase (29,168)	Additional 10% increase (32,084)

**SPI 3 | Bold Improvements to Better Serve Regulated Entities**

<b>Streamlining Processes and Cutting Red Tape</b>									
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	19	30 days	30 days

<b>Provide simple and fast licensing to Colorado Professionals</b>									
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	22	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	40	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	70	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	239	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	35	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%	96%	95%	n/a
99% of securities license applications processed within 15 days, sustained through 6/30/2020	Securities	99%	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%	100%	n/a

The Division of Real Estate processed 346 original real estate broker applications in less than 5 days. Average number of days to issue a license is 1.16 days. Totaling 2,172 original real estate broker applications in less than 5 days in Fiscal Year 2019-2020.

<b>Streamline occupational licensing for military personnel</b>									
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	\$0	\$50,000	n/a

<b>Financial Services for Marijuana-Related Businesses</b>									
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%	100% Completed Roadmap	n/a

<b>Maintain efficient regulatory examinations</b>									
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%	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%	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%	100%	n/a

<b>Internal reform to improve alignment and efficiency</b>									
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%	100%	100%	n/a