COLORADO

Department of Regulatory Agencies

Department Performance Plan • July 1, 2015

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Department Mission

The Department of Regulatory Agencies (DORA) is dedicated to preserving the integrity of the marketplace and promoting a fair and competitive business environment in Colorado. ***Consumer protection is our mission.***

Department Vision

With an unwavering commitment to Colorado consumers, the Department of Regulatory Agencies creates and sustains an effective, efficient and elegant regulatory framework within which the Colorado economy can thrive. With a constant eye on streamlining and improving processes, and reducing "red-tape" and unnecessary regulatory burdens, the framework fosters trust, confidence and access, while ensuring a sufficiently high level of product and service quality and maintaining fair and rigorous standards for professions and businesses.

Principled by our core values of Dedication, Openness, Respect, and Accountability, DORA is the foundation and premier resource for the value state government places on a safe and competitive business environment in Colorado.

D Dedication	Committed to the mission - understanding and supporting customers' expectations and needs by continuously improving services and processes, and ultimately, every customer/stakeholder experience. Responsive • Responsible • Steadfast
O Openness	Visionary - boldly inquisitive and receptive to new ideas by maintaining transparency to establish a reputation of fairness and integrity that consumers can trust. Honest • Competent • Trustworthy
R Respect	An expressed appreciation for teamwork and diversity - sensitivity to different views and interests, and the value of clear and effective communication. Conscientious • Consistent • Sincere
A Accountability	Mission and results driven - a collective and unified commitment to be responsible and dependable, and demonstrate leadership. Accessible • Professional • Reliable

Guiding Principles

Influencing the Customer Experience: DORA is focused on delivering consumer and professional outreach and engagement, and complaint resolution - with a timely and consistent, platinum level of customer service, thereby measurably enhancing each customer experience.

Leveraging Value and Partnerships: DORA prides itself on the development, sustainment and strengthening of internal and external partnerships to improve and increase the value we provide, including our fair, responsible and collaborative consumer protection presence in the Colorado economy. We are dedicated to increasing, expanding and capitalizing on professional relationships, both within and outside of departmental walls.

Commitment to Culture: DORA recognizes its employees are its greatest asset, and the foundation for success. DORA values each individual employee. We are committed to recruiting and retaining, and investing in our workforce, and the work environment and culture. DORA creates and provides opportunities for engagement, growth, education, training, and individual and professional development, capitalizing on employees' strengths in order to foster a culture of teamwork, to achieve our collective mission and enhance every customer experience.

Department Description

The Department of Regulatory Agencies (DORA) was officially created as a department in 1968, however many divisions and programs have been protecting Colorado consumers since 1877. The Department is responsible for 40 boards, commissions and advisory committees, charged with administering over 50 regulatory programs governing professions, occupations and businesses comprising over 710,000 individual licensees and approximately 40,000 businesses and institutions. This includes 312 board members and close to 600 professional regulatory staff including program directors and managers; professional examiners, inspectors, and investigators; financial analysts, and, front-line professional, technical and administrative staff.

With one face, and a unified mission and vision, DORA carries out regulatory programs that license, permit and charter; establish standards; approve rates; investigate complaints; assure safety of equipment, vehicles, facilities and transportation; and conduct enforcement across numerous professions, occupations, and institutions. The Department is located in downtown Denver. DORA's programs are organized in the general appropriations act ('long bill') as follows:

Executive Director's Office including the Office of Policy, Research and Regulatory Reform

Division of Banking

Division of Civil Rights

Office of Consumer Counsel

Division of Financial Services

Division of Insurance

Public Utilities Commission

Division of Real Estate

Division of Professions and Occupations

Division of Securities

The Department is primarily cash funded by regulated entities through fees and assessments, which flow into cash funds. DORA is unique among state agencies with regard to the volume, complexity, and autonomy with which it sets industry fees based on appropriations made by the General Assembly. DORA is ever mindful of keeping actual fees to a minimum and a regulatory scheme that reflects only necessary regulation. DORA strives to effectively balance safety, business needs, and the value of quality and service. Only two key areas involve the state General Fund: the Division of Civil Rights, which is partially funded by the General Fund, and the Division of insurance, which is supported by a combination of license fees and insurance premium tax revenues.

Major Program Areas

The following table illustrates the fundamental functions and programs that are administered by the Department of Regulatory Agencies (DORA). The table specifies the divisions that oversee specific functions, as well as a high level description of the primary processes and activities performed to deliver the services to customers and/or to accomplish the function. While the department's organizational chart provides a visual representation of the Department, the following table sets-forth how DORA actively serves the Colorado consumer and business environment, fostering a more unified view of our role in the Colorado marketplace and state government.

Program Function	Divisions	Program
Licensing/ Permitting	• Banking • Insurance • Professions and Occupations • Public Utilities Commission • Real Estate • Securities	The department processes applications for licensure for more than 50 professions, including individuals and businesses/companies. the process to issue an original license or permit includes some or all of the following: application receipt, verification and review for completeness and timeliness, review of examination results, background checks, evaluation of compliance with statutory and board requirements/parameters (e.g., education, experience, etc.,), final issuance of the license/certificate/permit of authority to operate or do business in the state (or denial).
Regulatory Program Administration *Investigations*	• Civil Rights • Insurance • Real Estate • Professions and Occupations • Public Utilities Commission • Securities	Every DORA board and program "regulates" for compliance in accordance with respective statutes. As such, the department is responsible for conducting criminal and/or compliance investigations in response to formal complaints (including charges alleging discrimination). This also includes regular and more proactive compliance audits or audit-oriented investigations that may not be prompted by a specific formal complaint. Investigation of potentially illegal, harmful, impaired, or incompetent activities is the mechanism used to provide the boards with information that will allow them to decide if there has been a violation of professional regulatory statutes, practice acts or the Colorado Civil Rights Act. The process includes formal complaint/charge receipt and review, which may include further intake/filing steps such as drafting charges; assignment to an investigator; information gathering; report writing; and presentation to the appropriate staff, authority or board for potential decision making, including administrative discipline or enforcement action.
Administrative Discipline	• Civil Rights • Insurance • Real Estate • Professions and Occupations • Public Utilities Commission • Securities	The department resolves complaints/charges received and conducts proactive enforcement/ compliance oriented investigations, to ensure that consumers are adequately protected and licensees correct identified practice deficiencies. The process includes reviewing investigative findings and making determinations as to administrative discipline or remediation, including license revocations, suspensions, cease and desist orders, practice stipulations, letters of admonition, dismissals, and dismissals with letters of concern. Additionally, the administrative discipline process includes mediations and/or efforts to realize settlements, including expedited settlements. This includes settlement offers, drafting stipulations, negotiating alternative resolutions, and tracking compliance with the stipulation terms.

Program Function	Divisions	Program
Consumer Assistance and Contact Resolution	• All Divisions including the Executive Director's Office	The department performs informal complaint resolution processes that do not necessitate an investigation. Examples include responding to general consumer inquiries and contacts about what is required or appropriate in working with licensees (both business organizations and individuals); inquiring about dollar amounts of savings to consumers that were assisted by the department; contacting respective program areas to determine if certain actions of individuals/companies are in compliance with regulations and laws; attempting to resolve issues with utility services, billing/rate matters, provision of insurance benefits/reimbursements, etc. The process includes receipt and review of the contact (phone call, e-mail correspondence, appearances at local community events, etc.,), researching the matter and/or appropriately directing the contact; and providing appropriate guidance, information and/or resolution.
Inspections	• Insurance • Professions and Occupations • Public Utilities Commission	The department conducts inspections for more than 10 regulatory professions and areas pursuant to statutory requirements. This includes passenger carriers, household goods movers and towing carriers that operate "for-hire;" electrical and plumbing inspections in areas where the state is the local inspector; vehicle, gas pipeline and tramway safety inspections; and facility/office inspections for other regulated professions including, but not limited to, pharmacies, barber shops, cosmetology salons and regional, corporate home offices. The process involves conducting on-site inspections, and reviewing required records to ensure compliance with state law and safety rules.
Economic Regulation *Rate Analysis and Approvals*	• Insurance • Public Utilities Commission	The department receives requests to analyze and/or change the rates, terms and conditions of service offerings; to change existing certifications or authorities; to grant new certifications or authorities; to determine compliance with state regulations and to assure rates are not excessive, inadequate or unfairly discriminatory. Multiple program areas conduct analyses of each request and ultimately provide an approval or denial. The approval process includes receipt of the request, analysis by division/ Commission staff, and decision by the Commission. The process may also include testimony by staff and external parties; evidentiary hearings by the Commission or an Administrative Law Judge (ALJ); legal work by Commission and staff/attorney General (AG) attorneys; various rulings on matters, including requests for intervention; preparation and issuance of a final decision by the Division/Commission. If appealed, the process includes legal work to prepare for and respond to appellate cases filed with the appropriate judicial body. This includes requests from utilities or regarding insurance rates charged to Colorado consumers by automobile, homeowners, life, health, workers' compensation, and other insurers.

Program Function	Divisions	Program
Consumer Representation during Utility Rate Approvals	• Office of Consumer Counsel	Through the Office of Consumer Counsel (OCC) the Department intervenes in rate increase requests ("rate cases") submitted by the utilities. The OCC participates in administrative hearings which ultimately lead to approval of rates which are charged to utility customers. The rate approval process includes evidentiary hearings before the Public Utilities Commission. OCC staff participate in these hearings and review, research and provide testimony in support of their position throughout the hearing process.
Institutional Examinations	• Banking • Financial Services • Insurance • Real Estate • Securities	The department protects consumers by conducting examinations of all state-chartered financial institutions and insurance companies under its supervision to preserve public trust in the financial industries regulated in Colorado including Banks, Money Transmitters, Trust Companies, Credit unions, savings and loans, securities broker-dealers, investment advisory firms, insurance Companies, brokerage firms and subdivision developers. In order to fulfill this duty, the Department (by separate statutes and divisions) performs regular on-site examinations of the records of these institutions in coordination with applicable federal counterparts including the Federal Deposit Insurance Corporation, the Federal Reserve Bank, and the National Credit Union Administration; engages in letters of understanding; issues consent/cease and desist orders; and when necessary, assumes operational control of institutions to protect consumers' deposits. Examinations also are conducted to confirm compliance with requirements of the public deposit protection act (at applicable institutions). Insurance companies are examined to determine compliance with insurance law and regulations.
Outreach, Education and Training	• All Divisions including the Executive Director's Office	The department engages in widespread efforts to pro-actively inform consumers of their rights regarding regulated occupations and professions with hopes of serving a more informed consumer base, decreasing regulatory violations and burdens, and ensuring public awareness of consumer protection information available. The overarching goal is to foster smart consumers, which in turn, strengthens consumer confidence and positively impacts the Colorado business environment. Outreach, education and training processes include the development and dissemination of brochures, newsletters, correspondence, etc., radio and television public service announcements, formal and informal training, town hall meetings throughout the state, expanded visibility through technological communications, advertising and marketing materials, establishment of crisis-help centers and call-centers, public speaking engagements and interviews, etc.

DORA's customer base is broad and deep, as the Department interacts with consumers, professionals, businesses, financial institutions, government officials including at the local and federal level, and the general public. DORA believes that Colorado's economy will thrive through a regulatory framework that protects Colorado's consumers, while fostering fair and rigorous standards for professionals and businesses.

"Consumer Protection" is such a broad term, carrying with it so many different meanings, to different audiences. From DORA's perspective, consumer protection is the composite of all the functions noted above, from establishing the professional and occupational practice standards, to oversight and enforcement of those standards, to education and outreach to facilitate an understanding of the standards and reduce regulatory burdens. Working toward this end demonstrates the value Colorado places on a safe and competitive business environment. Adhering to the consumer protection mission also requires that DORA promote fair, and not overly burdensome standards across the professions.

We are proud to be recognized as the state's consumer protection agency.

Strategic Policy Initiatives

By design, Strategic Policy initiatives are intended to form the overarching framework for the policy goals of the Department, driving the direction the Department intends to go in the future. Crafted by executive leadership with input from staff from front-line to program/middle management, these initiatives are intentionally broad, framing general outcome goals/measures for department-wide efforts (as opposed to day-to-day activities or operational measures). Strategic Policy initiatives are influenced by the department's actions, but are not necessarily in the full control of the department or its employees. Strategic Policy initiatives are often influenced by environmental factors that departments cannot shape or control. As such, the goals and measures set forth in support of the Strategic Policy initiatives of this component of the Performance Plan allow milestones and incremental measures of the Department's activities and progress. The stated goals articulate the intended, ultimate outcomes/goals of DORA's five strategic Policy initiatives, within which the Department can build the program-level operational planning components, focusing on the discrete program areas and processes to measure progress and define operational outputs, and success.

The five strategic Policy initiatives comprehensively span the department's efforts and direction across all of its major program areas, and represent real value and meaning to our customers; yet are few and manageable enough to enable the development of unifying objectives, goals and measures of success for the entirety of the workforce to contribute to the Department's mission.

I. Increase Public Trust and Confidence. DORA provides consumer protection, through reasonable and conscientious regulation. The Department is a recognized leader in the creation and sustainment of a fair and competitive regulatory environment.

Public trust and confidence is vital in order for DORA to assure consumer protection. DORA assumes a leadership position in the state's efforts to demonstrate the ability to make decisions, develop systemic action plans, act in the public interest, and follow-through. Strategies incorporate and depend upon trend analyses, responsible and transparent stewardship of money and resources, data driven decision making, communication and continuous improvement. With the regulated professionals and businesses as customers of targets one and two, and the consuming public for target three, this Strategic Policy Initiative primarily encompasses the licensing/permitting and administrative discipline program functions.

June 30, 2016 Targets and Action Steps:

1. "Red-tape" and unnecessary regulatory burdens of State government are reduced.
   - An increasingly progressive and model regulatory framework, with rules that are fair, easy to understand and conscientious
   - Migration of legacy licensing, payment, registration and filing functions to "enterprise" online platforms and portals
   - Streamlining of occupational and business licensure across Department, including reduction of documentation (first and third party) requirements and streamlined fingerprint background check process.
   - The development of strategy to ultimately adopt common electronic platform for case management systems.

2. Regulated professionals and businesses are recognized as consumers and customers, in addition to the general public.
   - Program management fees are easy to understand and navigate.
   - Fees are set at the minimum necessary to support profession and stakeholder operations while providing a sustainable foundation for department funding.
   - Savings and resource efficiencies recognized by LEAN or continuous improvement measures are quantifiable, and reinvested/redeployed for tangible improvements.

3. Regulatory and legislative agendas are transparent and understandable.
   - Developed with formalized processes for engaging and collecting input from stakeholders
   - Attention is given to public interest throughout item and agenda development.

4. The Department has a new customer centric web presence.
   - Launch new citizen-centric Department website, and continuously improve the same based on managing feedback.
   - Increase the number of times licensing and enforcement data is searched by consumers.
   - Develop additional "points of entry" for accessing licensing/enforcement data.
   - Explore developing mobile-app and/or adoption of state-licensing database.

5. DORA helps active military personnel, veterans and their families transition into civilian life.
   - Utilize baseline data regarding the participation of active military personnel, veterans and their families in the program DORA administers, to identify and help eliminate obstacles to and for the licensing and credentialing of Colorado veterans.

June 30, 2018 Targets:

By executing on the goals and action steps in this year's performance plan, and subsequent plans through June 30, 2018, DORA as a unified department, will be a recognized leader in the creation and sustainment of an increasingly progressive, model regulatory framework. Unnecessary and overly complex processes that serve external customer are eliminated or simplified. Modernized internal "enterprise systems" enable consumers, including regulated professionals and businesses, to easily interface with DORA through a variety of modes of choice: face-to-face, real time, electronically, digitally.

The DORA web-site is customer-centric and continuously updated to incorporate new technologies and customer feedback. It is easy to understand and navigate; a result of how the user sees and wants to access and interact with information; and results in increased and expanded usage by consumers, businesses and professions.

Fees are set as low as possible, and provide reasonable recovery costs that sustain a responsible funding mechanism for DORA, without unduly burdening professions and businesses.

DORA's Regulatory and Legislative Agendas represent stakeholders' input and engagement, and are created in the public interest with an eye toward reducing regulatory burdens.

DORA has identified opportunities to eliminate unwarranted obstacles to and for the licensing and credentialing of Colorado veterans.

II. Improve Public Protection Through Effective Regulation. The Department brings value to the marketplace through the quality and capital of regulatory program administration and the enforcement of consumer protection laws with processes and tools that are consistent, streamlined, standardized, consistently improved, and leverage technology.

To support a thriving economy, it is key to strive to shift cultures and mind-sets from a "discipline and enforcement" orientation, to encouraging, recognizing and promoting the value of compliance and understanding. Proper branding and messaging, providing compliance assistance and promoting compliance incentives enhance the department's ability to create a balanced regulatory framework. Effective internal and external partnerships enhance the collective ability to capitalize on shared resources and achieve mission-focused consumer protection goals. Improving processes, and identifying opportunities to expand and/or share common resources beyond division and department boundaries enables DORA to make measurable, resourceful and innovative changes to more effectively and efficiently motivate and encourage compliance without compromising enforcement processes. Serving regulated professions and businesses and the consuming public, particularly at-risk communities or real or perceived victims of fraud or wrongdoing, progress on this Strategic Policy Initiative intersects with all program and functional areas.

June 30, 2016 Targets and Action Steps:

1. Enforcement activities further combat predatory practices and activities.
   - Enforcement activities and potential regulatory, statutory and rule-based tools are expanded to prioritize consumer protection enforcement activities and combat particular predatory practices.
   - Broader educational outreach is conducted to specific at-risk communities.
   - Partnerships with law-enforcement are established to enhance utilization of DORA tools and resources.
   - Engagement and collaboration with stakeholders is increased, to ensure professional standards match the professional standards expected by the public.

2. Compliance initiatives and programs are strengthened.
   - Create and provide standardized documents that explain divisions' administrative/investigative processes.
   - Cross-division, common issues and trends, systemic challenges, and benchmark practices are identified, to establish joint, "core" sets of simplified best-practices, guides, tools, and resource materials.
   - Increased deliberate consultation with partners in both business and other jurisdictions
   - Utilize innovative strategies that combine compliance assistance, compliance incentives, earlier or self-monitoring and new compliance resources and "tools" for regulated entities.
   - Communicate common practice violations to regulated industries to decrease license law violations.

3. Regulatory functions and processes are enhanced as a result of lean or similar continuous improvement tools and strategies.
   - Implement modernization opportunities and technology solutions to streamline investigation, examination, audit, licensing, inspection and complaint resolution processes.
   - Migration of complaint and intake processes to online platforms.
   - Reponses and complaint resolutions processes are more timely and prompt.

- Increase the use of mediation, conciliation, alternative dispute resolution, "pre-analysis" screening processes, and the Expedited Settlement Program model for case settlement/resolution to decrease the time to resolve cases and complaints, reduce legal expenditures and achieve more expedient and less formal resolutions.

4. Develop a collaborative investigatory model, utilizing best practices across the relevant divisions within the Department; and develop companion training program to promote and support utilization across the divisions.

June 30, 2018 Targets:

Attainment of the targets and actions steps in the 2015-2016 performance plan, as well as targets and action steps i plans identified through June 30, 2018 will position DORA to demonstrate its impact on improved public protection through an effective and efficient regulatory scheme. Specific act-risk communities have tangible benefits and knowledge of the tools and resources DORA provides; and partnerships with law enforcement have resulted in measurable reductions in predatory practices and activities.

Regulated industries are aware of common practice violations and have self-monitoring tools and resources. Benchmark regulatory enforcement and compliance practices are utilized with consistency, efficiency and common sense across divisions and program areas. Resources that "help our customers help themselves" are accessible and utilized by regulated industries and consumers alike.

Complaint resolution, licensing, investigation, examination, audit, inspection, and other functions and processes are modernized (automated, utilize an on-line or enterprise platform, digitized, etc.,) streamlined and enhance custome services to citizens and regulated entities.

Core competencies, models and practices exist, and are more portable and applicable across division and program boundaries for the investigation, inspection and audit functions.

Expanded use of mediation, conciliation, alternative dispute resolution, "pre-analysis" screening processes and the use of the Expedited Settlement Program model demonstrate measurable results by way of quicker, less formal and less costly settlement of cases, complaints and allegations; and reduced internal duplication of efforts.

III. Regulatory Activities Support Economic Development. The Department builds and maintains professional partnerships, and must engage regulated professionals and industry to reduce unnecessary regulatory burdens, positioning government to promote entrepreneurship and business growth and more positively influence the Colorado economy.

The process for stakeholders such as businesses, professionals, licensees, other jurisdiction/government counterparts, boards and Commissions, constituents, etc., to contribute to the policy, rules, and decision making processes and discussions should be clear and easy. Qualified individuals must be timely licensed; and the department must continue to develop and strengthen internal and external partnerships to improve economic development, foster and sustain a competitive marketplace, and protect consumers. Interested parties must have a reliable and prompt avenue to easily access and communicate with the necessary departments to acquire a license or open a small business. Effective partnerships offer agency recognition, information sharing, partnering of divisions and jurisdictions, and the application of mutual resources. External collaboration is critical when addressing the complexities of regulatory and public protection issues and trends. The "regulated," stakeholders, new and small businesses, and the consuming public, including those in underserved areas, benefit from this Strategic Policy Initiative, in all regulatory function areas, with an emphasis on institutional examinations, consumer representation during utility rate approvals, and economic regulation.

June 30, 2016 Targets and Action Steps:

1. Efforts and expectations to reduce superfluous "red tape" are entrenched in agencies' cultures.
   - Industry stakeholder groups are empaneled to partner with divisions on a periodic and on-going basis, including participating in reviews of rules and regulations governing divisions' activities and identifying impediments to busines and workforce/occupational growth.
   - Utilize collaboration to identify and work toward a common goal, preceding and throughout rulemaking processes.
   - Proactively identify unnecessary regulatory burdens to on an on-going basis and to be reported on a quarterly basis in external industry newsletter.
   - Create an easily understandable set of educational materials regarding the Sunset and Sunrise process.
   - Reduce processing time for examination reports to regulated institutions.
2. DORA strengthens its strategic partnership with the Governor's Office of Economic Development and International Trade (OEDIT).
   - Colorado's regulatory framework supports the continuing implementation of the Colorado blueprint
   - Facilitate the potential of establishing a single point of access, and/or unified, consolidated guidance materials for identifying the minimum regulatory requirements that necessarily impact small businesses and professionals seeking licensure, to ease the burden on and for new or start-up businesses, while still protecting the public.
   - Facilitate increasing broadband services state-wide through deployment of the Broadband Board.
3. Track and tout the amount of savings through regulation, settlements and rate analyses and reviews to reflect the belief that DORA has a responsibility to provide tangible, economic benefit to the marketplace, in relation to the investment made to manage regulatory programs in the department.

4. DORA's strengthened partnering relationship with other organizations who already reach and have ready access to the broad consumer base DORA serves (e.g. trade associations, better business bureaus, interest groups, etc.)

June 30, 2018 Targets:

A "culture" and systemic approach of purposefully engaging and partnering with stakeholder groups and regulated industries in identifying opportunities to reduce unnecessary regulatory burdens and barriers exists, while still maintaining the focus on public protection. Beginning with this 2016 performance plan, and for three consecutive years, concrete, unwarranted impediments are eliminated, allowing business and workforce/occupational growth.

The amount of savings through regulation, settlements and rate analyses demonstrate an "investment" to consumers, and tangible economic benefit to the marketplace.

Enhanced relationships with Boards, trade associations, local and federal agencies, special interest groups, community partners and others, to address information, share resources, enabling DORA to provide greater and broader information to the public through entities who already have access to the consumer groups (as opposed to the public needing to come to DORA).

IV. Assure DORA is Accessible and Responsive. DORA enhances professional development and provides training for a high quality, customer centric workforce that understands how every role supports and aligns with the consumer protection mission. DORA creates opportunities and networks throughout the state for customers to "help themselves."

DORA recognizes the importance of investing in personnel by providing training, education, personal enrichment and professional development opportunities that enable employees to utilize their individual and team strengths to achieve DORA's mission of providing consumer protection with a platinum level of customer service. We must ensure employees have the resources to improve their careers and professional lives, which will increase department accessibility and responsiveness, establish a culture of service, increase employee engagement and accountability, equating to and resulting in high performance. DORA's entire internal and external customer base is touched by this Strategic Policy Initiative, spanning all divisions, functions and programs.

June 30, 2016 Targets and Action Steps:

1. A core lean team is established to foster a customer centric, continuous improvement culture.
   - The lean and process improvement talent pool throughout DORA is expanded.
   - A specific group and process is created for identifying and prioritizing projects.
   - The reporting of tangible and measurable results is simplified.
2. DORA defines and delivers a "platinum level" customer experience.
   - DORA customers are provided an opportunity to provide input on an on-going basis.
   - Data points for consistent tracking and monitoring are identified.
3. DORA's internal and external communication mechanisms and strategies are improved.
   - The Department maintains its new, citizen centric internet presence.
   - Simpler, technology supported, processes for improved complaint/charge filing for consumers
   - DORA's social media presence is expanded
   - Improve call center services and access
   - Explore consumer "chat" query services or 24/7 mechanisms for the public to access, and provide feedback.
   - Disseminate quarterly newsletters to industry, and consumer alerts
4. The leadership and engaged culture of the DORA workforce is expanded.
   - Recruitment, retention, succession planning, and the department training program, including the Supervisory Leadership Academy, caters to specific needs, and focuses on areas that develop skills and competencies, positioning the workforce to understand how every role aligns with the department's Performance Plan, priorities and functions.
   - Employee engagement survey data is utilized determine progress, and areas improvement; and mechanisms for employee empowerment are enhanced.
   - Collaboration, professional development and employee innovation are promoted in order to create customer centric services and interactions.

June 30, 2018 Targets:

Successfully reaching the targets and action steps of this performance plan, as well as others that precede the June 30, 2018 target date, continue and increase DORA's accessibility and responsivenes:

Measurable improvements to processes and customer service are a direct result of Lean and other continuous improvement initiatives and tools, and DORA has institutionalized systems and processes for obtaining regular, frequent and meaningful feedback and input from both internal and external customers, including stakeholders and regulated professionals.

DORA has an accessible, intuitive, easy to navigate and user-friendly, innovative electronic, web, and digital presence through the use of the internet, social media, and trending technology tools.

DORA's workforce understands its role in protecting consumers, and how every employee's performance impacts customer service, the department's performance plan, consumer protection, and reasonable regulation.

V. **Expand Outreach to and Engagement With the Public. DORA works closely with the public, including industry and regulated professionals, and appropriate private organizations in executing its statewide outreach plan and targeted educational programs. Citizens are protected and informed of their rights, and know where to go with issues, concerns or complaints; and DORA provides opportunities to engage public and stakeholder groups.**

DORA recognizes and leverages the value of partnerships and preventative measures by providing training, education and information to individuals and groups regarding current laws. DORA works in close cooperation with federal and local agencies, community based and non-profit organizations, businesses, Chambers of Commerce, and economic development organizations in identifying areas of focus to reduce excessive regulatory burdens and attain the mission of consumer protection. Citizens, stakeholder and industry all benefit from this Strategic Policy Initiative that most clearly aligns with the outreach, education and training functions provided by all divisions and offices.

June 30, 2016 Targets and Action Steps:

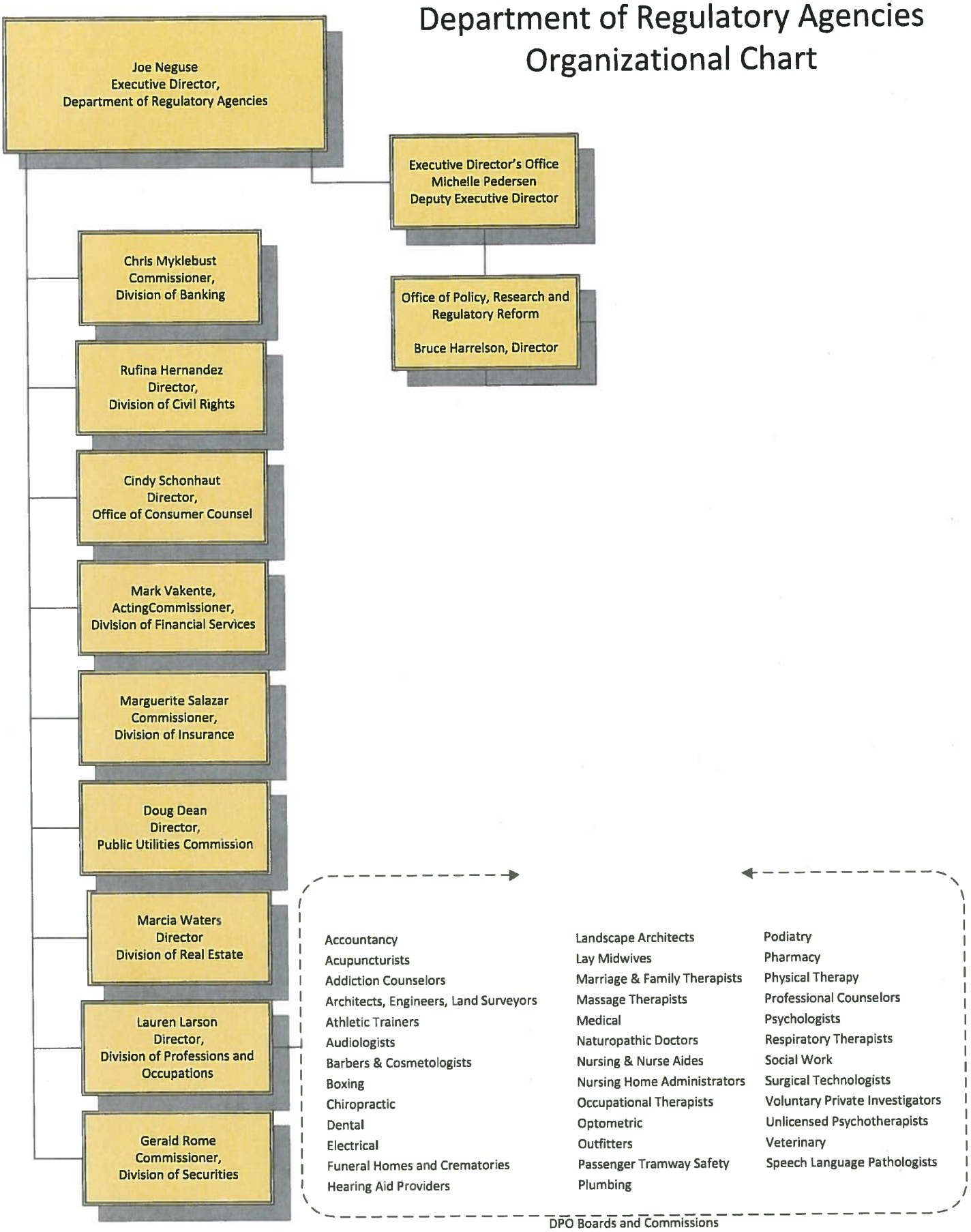
1. DORA's Communications and outreach strategies are enhanced and expanded.
   - Content of communications mirror the Department's performance plan, highlighting core priorities, purpose, mission and breadth of resources we provide as one department, tailored to be customer centric.
   - Targeted visits to Chambers of Commerce, economic development organizations, and division-based engagement activities in urban and rural areas.
   - Expanded "Take 5" Consumer Protection Campaign
   - DORA Management attends regulated institutions' board meetings
2. Vigorous efforts, including targeted communications campaigns, tangible compliance assistance tools, and opportunities for training and face-to-face interaction are expanded, to educate consumers, including small businesses and regulatory communities.
   - A focus on common practice deficiencies or business practices; trends in disciplinary action imposed for non- compliance with practice acts; complaint trends, and reducing regulatory burdens.
   - Conducting Board and Commission meetings in different geographic areas of the state.
   - Critical, "high risk" or "high priority" consumer and consumer protection regulatory issues are identified, to focus DORA in addressing and providing timely resources to expand our impact.
3. Reach a broader consumer base through partnership outreach events with sister divisions and departments, focused on timely matters including successes in attaining targets, consumer choices; how to avoid scams, fraud, and wrongdoing; and combatting predatory practices.
4. Opportunities to engage the public and industry, and represent the department as a unified face (versus division-by-division) utilize education, awareness and outreach programs, regular training, forums and awareness campaigns, electronic publications, enhanced use of technology and webinars, social media, public information events and media coverage.

June 30, 2018 Targets:

The targets and action steps in this and subsequent performance plans, create an environment where DORA is recognized as the authoritative source for those pursuing information about reasonable regulation, consumer protection, and platinum customer service.

DORA offers targeted outreach campaigns, training, resource materials, education and tools to consumers and regulated entities, so risk is minimized, as is the likelihood of complaints; and the need for investigations and administrative discipline is reduced.

Partnering with Chambers of Commerce, economic development organizations, regulated institutions and industry results in a reasonable regulatory scheme, educated and informed citizenry, and an expanded reach and presence outside of the Denver metro area.

Communication and outreach campaigns are established to provide pro-active education on high priority and high r consumer protection issues, utilizing a variety of outlets, mechanisms and tools; and emphasize "regulation done right."

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