

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs  
 Prog ID(s): CCA-102  
 Name of Fund: State Broadband Data and Development Grant Program  
 Legal Authority: non-appropriated 1/, CFDA: 11.558 American Recovery and Reinvestment Act-SBDD-Hawaii Department of Commerce Affairs (Award no. 15-50-M09057)

Contact Name: Cathy Takase  
 Phone: 586-5481  
 Fund type (MOF): Federal Stimulus Funds (V)  
 Appropriation Acct. No.: S-XX-201-R

**Intended Purpose:**

The grant is to develop an on-line database that can be used by consumers to identify the availability, speed, and location of broadband services throughout Hawaii.

**Source of Revenues:**

Federal grant from the U.S. Department of Commerce

**Current Program Activities/Allowable Expenses:**

The initial grant includes \$1,449,940 for broadband data collection and mapping activities over a two-year period and \$500,000 for broadband planning activities. The overall award period is January 1, 2010 - December 31, 2011 for broadband mapping activities and January 1, 2010 - December 31, 2014 for broadband planning activities, if any. The project end-date has been subsequently extended to January 31, 2015.

Subsequently, additional federal funding in the amount of \$2,400,000 was awarded on September 28, 2010 to complete the project to map broadband availability and engage in broadband planning activities for five years.

**Purpose of Proposed Ceiling Increase (if applicable):**

Not applicable.

**Variances:**

Variances in the revenues and expenditures each year reflect differing projects completed by the Department to map broadband availability and promote and foster the use of broadband services. The grant terminated on January 31, 2015.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling							
Beginning Cash Balance	130	206	175	0	0	0	0
Revenues 2/	432,663	944,260	698,869	0	0	0	0
Expenditures	432,587	944,291	699,044	0	0	0	0
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0	0	0	0	0
Ending Cash Balance	206	175	0	0	0	0	0
Encumbrances		0	42,716	0	0	0	0
Unencumbered Cash Balance	206	175	(42,716)	0	0	0	0

**Additional Information:**

Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							

1/ Governor's approval to apply and expend federal grant (federal stimulus funds) were secured on September 17, 2010 and October 18, 2010.

2/ Revenue Projections based on Rev Est to B&F August 2015.

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs  
 Prog ID(s): CCA-102  
 Name of Fund: Compliance Resolution Fund - Cable Television  
 Legal Authority: Chapter 440G, HRS, Act 199, SLH 2010

Contact Name: Michael Wun  
 Phone: 587-6754  
 Fund type (MOF): Special Funds (B)  
 Appropriation Acct. No.: S-XX-302-R

**Intended Purpose:**

To foster the development of responsive and reliable cable communications services for the people of Hawaii, by promoting the public interest in authorizations by the State regarding cable franchises; regulate basic cable rates and service to ensure compliance with applicable State and Federal law; expand and operate the statewide Institutional Network; and continue the availability of public, education and government cable access. Additional responsibilities due to Act 199 tasked CATV to implement activities to create ubiquitous access to high speed broadband at affordable prices throughout the State.

**Source of Revenues:**

Franchise Fees (HAR 16-132) paid by cable tv operators.

**Current Program Activities/Allowable Expenses:**

- Issues and enforces franchises for cable communications services.
- Promulgates and enforces rules and regulations governing the practices, procedures, quality and quantity of services including rates, and customer and technical operations of cable communications companies.
- Plans and encourages the development of new, improved and more effective utilization of cable communications services, equipment, and facilities including the State's Institutional Network (INET), and public, educational, and government (PEG) access resources and facilities, which will enhance communications services available to Hawaii's citizens.
- Support public and private efforts to enhance or facilitate deployment; making recommendations to establish affordable, accessible broadband services to unserved and underserved areas; increase usage and demand by facilitating deployment of expanded applications such as telework, telemedicine, e-learning; and assist in implementing recommendations in the Hawaii Broadband Task Force Report of December 2008, and the goals of the Governor's Hawaii Broadband Initiative of August 2011.

**Purpose of Proposed Ceiling Increase (if applicable):**

Not Applicable

**Variances:**

Variances in revenues from FY 2014 to FY 2015 and future years are due to the increase in the franchise fees collected from cable operators from approximately 4.64% to the 5% limit, allowed pursuant to federal law, which was implemented in FY 2015. Variances in expenditures in FY 2015 to FY 2016 and future years relate to: (1) anticipated management audits other expert consulting services contracts for work related to the Legislature and to assist in anticipated large proceedings (franchise renewals and designation of PEG organizations); and (2) increased broadband activities required of the Department. In addition, FY 2016 expenditures also include FY 2015 encumbrances for expert services.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	2,110,809	2,391,537	2,391,537	2,534,951	2,559,971	2,559,971	2,559,971
Beginning Cash Balance	3,336,867	3,477,137	4,076,170	5,289,972	4,493,441	4,088,532	3,683,623
Revenues 1/	2,046,102	2,102,851	2,772,685	2,611,000	2,511,000	2,511,000	2,511,000
Expenditures	1,524,055	1,068,949	1,168,374	3,048,149	2,559,971	2,559,971	2,559,971
Transfers							
List each by JV# and date							
JS1939 10/6/14 to S310, S323			(195,254)				
JS3795 1/6/15 to S310, S323			(97,627)				
JS6142 4/30/15 to S310, S323			(97,628)				
Net Total Transfers	(381,777)	(434,869)	(390,509)	(359,382)	(355,938)	(355,938)	(355,938)
Ending Cash Balance	3,477,137	4,076,170	5,289,972	4,493,441	4,088,532	3,683,623	3,278,714
Encumbrances	273,382	708,919	513,198	0	0	0	0
Unencumbered Cash Balance	3,203,755	3,367,251	4,776,774	4,493,441	4,088,532	3,683,623	3,278,714

**Additional Information:**

Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							

1/ Revenue projections based on Rev Est to B&F August 2015.

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs  
 Prog ID(s): CCA-102  
 Name of Fund: Funds held outside the State Treasury by Time Warner  
 Legal Authority: Administratively Created (Decision & Order No. 346, Section IV.I.4)

Contact Name: Glen Chock  
 Phone: 586-2620  
 Fund type (MOF): Funds held outside of State Treasury  
 Appropriation Acct. No. T-15-907

**Intended Purpose:**

Franchise fees over the cap amount that is paid by Oceanic Time Warner Cable, LLC ("Oceanic") to OIelo are provided to DCCA for INET/Broadband

**Source of Revenues:**

Franchise fees (HAR 16-132) paid by cable tv operators.

**Current Program Activities/Allowable Expenses:**

Expenses related to expansion and upgrade of the Institutional Network ("INET"); and any other expenses/activities relating to broadband.

**Purpose of Proposed Ceiling Increase (if applicable):**

Not applicable.

**Variations:**

Variance in revenues each year arise due to changes in Oceanic's gross revenues, which are based upon the number of customers and the kinds of packages to which such customers subscribe. The variance for FY 2015 expenditure reflects the payment made by the Department to the Department of Labor and Industrial Relations for the Capitol Improvement Grant to Hawaii Public Television, authorized by the 2014 Legislature as reflected in the appropriation ceiling increase for FY 2015.

Financial Data							
	FY 2013 (actual)	FY 2014 (actual)	FY 2015 (actual)	FY 2016 (estimated)	FY 2017 (estimated)	FY 2018 (estimated)	FY 2019 (estimated)
Appropriation Ceiling			2,000,000	0	0	0	0
Beginning Cash Balance	4,619,445	6,313,011	7,742,119	6,760,119	7,760,119	8,760,119	9,760,119
Revenues	1,693,566	1,429,108	1,018,000	1,000,000	1,000,000	1,000,000	1,000,000
Expenditures			2,000,000	0	0	0	0
Transfers							
List each by JV# and date							
Net Total Transfers			0	0	0	0	0
Ending Cash Balance	6,313,011	7,742,119	6,760,119	7,760,119	8,760,119	9,760,119	10,760,119
Encumbrances			0	0	0	0	0
Unencumbered Cash Balance	6,313,011	7,742,119	6,760,119	7,760,119	8,760,119	9,760,119	10,760,119

**Additional Information:**

Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							
Amount Held in CODs, Escrow Accounts, or Other Investments							

1/ Revenue projections based on Rev Est to B&F August 2015.

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs  
 Prog ID(s): CCA-103  
 Name of Fund: CRF-PUC Spcl Fnd Allocation-Consumer Advocacy  
 Legal Authority: Section 269-33, HRS

Contact Name: Michael Wun  
 Phone: 587-6758  
 Fund type (MOF): Special Funds (B)  
 Appropriation Acct. No.: S-XX-303-R

**Intended Purpose:**

To fund the operations of the Division of Consumer Advocacy.

**Source of Revenues:**

Public utility fees paid to the public utilities commission pursuant to HRS §269-30, and placed in the public utilities commission special fund. Pursuant to HRS §269-33, on a quarterly basis, an amount is allocated in accordance with legislative appropriations to the DCA and deposited in the compliance resolution fund.

**Current Program Activities/Allowable Expenses:**

To represent, advance and protect the interests of consumers of regulated utility and transportation services. The division is a party to every proceeding before the Hawaii Public Utilities Commission. The division participates in, among other things, reviews of utility and transportation companies' requests to increase rates, service reliability investigations, energy utility integrated resource plans, and capital improvement projects for utilities. In addition, the division strives to promote effective competition and consumer protection through contested cases and rule making proceedings regarding telecommunications and electric power infrastructure development.

**Purpose of Proposed Ceiling Increase (if applicable):**

**Variations:**

**Expenditure variances:** Year to year variances in the expenditures will be primarily driven by PUC proceedings and variances in consultant contracts. The Division relies on assistance from consultants for large and/or complex proceedings. Due to the clean energy and broadband initiatives, the Division anticipates greater reliance on consultants in the future for dockets. Further, due to carryover work from FY 2015 proceedings and other complex matter, such as the NextEra/HECO merger, the expenditures in FY2016 is much higher than FY2015. Subsequently, the estimated expenditures for FY 2017 through FY 2019 only reflect the anticipated level of expenditures for that year. This is also reflected in the variance in the appropriation ceiling, where the increase in FY 2015 and estimated ceiling for 2016 and beyond include approved increases in the Division's budget for consultant services and an additional attorney position.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	2,938,787	3,031,508	3,830,936	4,159,141	4,241,213	4,241,213	4,241,213
Beginning Cash Balance	4,275,160	4,695,037	5,399,924	6,423,685	3,966,590	3,391,893	2,816,983
Revenues 1/	2,715,111	3,092,514	3,943,435	4,174,141	4,256,213	4,256,000	4,256,000
Expenditures	1,758,522	1,835,200	2,290,353	6,041,591	4,241,213	4,241,213	4,241,213
Transfers							
List each by JV# and date							
JS1939 10/6/14 to S310, S323			(314,660)				
JS3795 1/6/15 to S310, S323			(157,330)				
JS6142 4/30/15 to S310, S323			(157,331)				
Net Total Transfers	(536,712)	(552,427)	(629,321)	(589,645)	(589,697)	(589,697)	(589,697)
Ending Cash Balance	4,695,037	5,399,924	6,423,685	3,966,590	3,391,893	2,816,983	2,242,073
Encumbrances	844,196	1,251,510	1,882,450				
Unencumbered Cash Balance	3,850,841	4,148,414	4,541,235	3,966,590	3,391,893	2,816,983	2,242,073

**Additional Information:**

Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							

1/ Revenue projections based on Rev Est to B&F August 2015.

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs  
 Prog ID(s): CCA 104, CCA-110  
 Name of Fund: Multi-state Enforcement and Education Fund/  
 Legal Authority Multi-state Mortgage Settlement Agreement,

Contact Name: Michael Wun  
 Phone: 587-6754  
 Fund type (MOF) Trust Funds (T)  
 Appropriation Acct. No. T-xx-932-R

**Intended Purpose:**

- Provide support of general consumer protection enforcement efforts, including but not limited to, mortgage rescue fraud, and to educate homeowners about mortgage rescue fraud scams.
- Monitor compliance with the terms of the multi-state mortgage servicer settlement agreements, supervise and regulate the mortgage loan industry, and

**Source of Revenues:**

- Part of a grant from the Dept. of the Attorney General awarded to the DCCA out of Hawaii's share of the National Mortgage Settlement.
- Funds paid by the five mortgage servicers as required by the terms of the multi-state mortgage servicer settlement agreements.

**Current Program Activities/Allowable Expenses:**

- The fund permits the Office of Consumer Protection to hire additional legal, investigative and support staff to support ongoing enforcement actions, investigations and outreach programs, as well as related operating expenses.
- Licenses, supervises and regulates mortgage loan originators, mortgage loan originator companies and mortgage servicers. Funds will be used to hire staff to conduct investigations, examine for compliance with applicable laws and rules, and to provide consumer education and outreach. Funds will also be used for related expenses including training of staff.

**Purpose of Proposed Ceiling Increase (if applicable):**

Not Applicable.

**Variations:**

Variations in revenues between various FYs due to timing of disbursements of the grant from the Dept. of the Attorney General and payments under the multi-state mortgage servicer settlement agreements. Variations in expenditures primarily due to : (1) FY14 increase due to hiring of staff for examinations and investigations, (2) FY15 increase due to replacement of computers and training of examiners, (3) FY16 increase due to office reconfiguration, (4) FY 17 and FY18 decrease because most of settlement funds will be spent through FY17, balance to be spent in FY18.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling				0	0	0	0
Beginning Cash Balance	0	2,078,093	1,380,418	1,013,136	721,362	402,680	0
Revenues 1/	2,250,000	0	250,505	434,166	250,000	0	0
Expenditures	171,907	497,675	617,787	725,940	568,682	402,680	0
Transfers							
List each by JV# and date							
Net Total Transfers	0	(200,000)	0				
Ending Cash Balance	2,078,093	1,380,418	1,013,136	721,362	402,680	0	0
Encumbrances	95,145	157,416	135,111				
Unencumbered Cash Balance	1,982,948	1,223,002	878,025	721,362	402,680	0	0

**Additional Information:**

Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							

1/ Revenue projections based on Rev Est to B&F August 2015.

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs  
 Prog ID(s): CCA-104  
 Name of Fund: CRF- Financial Institutions  
 Legal Authority: Sections 412:2-109, 449-14, 489D-12.5, 454F-18, 454F-23, 454M-11, and 26-9(o), HRS

Contact Name: Michael Wun  
 Phone: 587-6754  
 Fund type (MOF): Special Funds (B)  
 Appropriation Acct. No. S-XX-320-R

**Intended Purpose:**

To allow the Commissioner to appoint examiners to examine the affairs of financial institutions, escrow depositories, money transmitters, mortgage loan originators, mortgage loan originator companies, and mortgage servicers; to appoint any necessary administrative support personnel; and to pay for any expenses incurred during examinations or necessary for the education and training of personnel and other expenses related to examinations and administrative costs as well as to support the entire program of the Division of Financial Institutions (DFI).

**Source of Revenues:**

Transfer of \$2 million from taxes paid by banks and other financial corporations (HRS 241-7); and application, examination, licensing, and other fees and fines paid by financial institutions, escrow depositories, money transmitters, mortgage loan originators, mortgage loan originator companies, and mortgage servicers.

**Current Program Activities/Allowable Expenses:**

Ensures the safety and soundness of state-chartered and state-licensed financial institutions by fairly administering applicable statutes and rules through a program of supervision and regulation through chartering or licensure, examination, application review, off-site monitoring, investigation, and complaint handling and is also responsible for the licensing, supervision, and examination of escrow depositories, money transmitters, mortgage loan originators, mortgage loan originator companies, and mortgage servicers.

**Purpose of Proposed Ceiling Increase (if applicable):**

DFI is currently evaluating a solution to replace the current outdated application used to track DFI's licensees. Since 2010, three new licensees have been added to DFI's oversight. These new licensees use a newer application to track and update the licensees' information. The new licensees are tracked on nationwide multistate application used by 65 state agencies. The licensees have state specific licensing requirements which must be tracked manually since the current application used by DFI cannot interface with the national multistate application. The new application solution will be able to accommodate the state specific license requirements as well as accommodate the multistate applications.

**Variations:**

FY14 revenues increased because increases in fees assessments of all entities regulated by DFI became effective in FY14. FY15 revenues increased because DFI chartered a new state bank, and FY15 expenditures increased due to personnel expenditures as Division filled vacant positions. FY16 expenditures will increase due to collective bargaining increases (Act 119 SLH 2015), and anticipating additional 5 positions for the mortgage loan originator, mortgage loan originator company, and mortgage servicer programs. FY17 expenditures will increase due to costs related to FIMS replacement.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	3,277,594	3,384,920	3,384,920	4,090,957	4,971,852	4,571,852	4,571,852
Beginning Cash Balance	5,043,246	5,276,725	6,416,485	7,860,332	7,698,969	6,528,520	5,748,071
Revenues <sup>1/</sup>	3,623,557	4,346,585	4,945,552	4,526,850	4,391,100	4,381,100	4,373,000
Expenditures	2,785,228	2,588,064	2,931,624	4,108,235	4,971,852	4,571,852	4,571,852
Transfers							
List each by JV# and date							
JS1939 10/6/14 to S310, S323			(285,040)				
JS3795 1/6/15 to S310, S323			(142,520)				
JS6142 4/30/15 to S310, S323			(142,521)				
Net Total Transfers	(604,850)	(618,761)	(570,081)	(579,978)	(589,697)	(589,697)	(589,697)
Ending Cash Balance	5,276,725	6,416,485	7,860,332	7,698,969	6,528,520	5,748,071	4,959,522
Encumbrances	16,216	13,850	17,278				
Unencumbered Cash Balance	5,260,509	6,402,635	7,843,054	7,698,969	6,528,520	5,748,071	4,959,522

**Additional Information:**

Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							

<sup>1/</sup> Revenue projections based on Rev Est to B&F August 2015.

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs  
 Prog ID(s): CCA-104  
 Name of Fund: Mortgage Loan Recovery Fund  
 Legal Authority: Section 454F-41, HRS

Contact Name: Michael Wun  
 Phone: 587-6754  
 Fund type (MOF): Trust Funds (T)  
 Appropriation Acct. No. T-XX-926-R

**Intended Purpose:**

To allow consumers harmed by persons that violate Chapter 454F, HRS, to recover damages sustained by the fraud, misrepresentation, or deceit of such persons.

**Source of Revenues:**

Fees paid by mortgage loan originator companies, branch offices of mortgage loan originator companies, and mortgage loan originators upon initial licensure and at annual renewal.

**Current Program Activities/Allowable Expenses:**

Licenses and regulates mortgage loan originator companies and mortgage loan originators. Mortgage Loan Recovery Fund (Recovery Fund) was established to protect consumers by making it easier to recover losses caused by persons that violate Chapter 454F, HRS. Allowable expenses are the payment of claims as ordered by a court and expenses related to the administration of the-Recovery Fund.

**Purpose of Proposed Ceiling Increase (if applicable):**

Not Applicable.

**Variances:**

Revenue will decrease in FY16 because the Commissioner determined that the Recovery Fund has sufficient funds to pay known claims, and no fees will be assessed and collected at license renewal. Several claims are pending, and are expected to be paid in FY16. In future FYs, collection from new licensees is anticipated to cover future claims.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	110,000	110,000	220,000	220,000	220,000	220,000	220,000
Beginning Cash Balance	493,750	803,115	1,124,965	1,429,665	1,306,415	1,176,415	1,046,415
Revenues 1/	309,365	321,850	304,700	96,750	90,000	90,000	90,000
Expenditures	0	0	0	220,000	220,000	220,000	220,000
Transfers							
List each by JV# and date							
Net Total Transfers			0				
Ending Cash Balance	803,115	1,124,965	1,429,665	1,306,415	1,176,415	1,046,415	916,415
Encumbrances							
Unencumbered Cash Balance	803,115	1,124,965	1,429,665	1,306,415	1,176,415	1,046,415	916,415

**Additional Information:**

Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							

1/ Revenue projections based on Rev Est to B&F, August 2015.

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs  
 Prog ID(s): CCA-105  
 Name of Fund: Compliance Resolution Fund - PVL  
 Legal Authority: Section 26-9, HRS

Contact Name: Michael Wun  
 Phone: 587-6754  
 Fund type (MOF): Special Funds (B)  
 Appropriation Acct. No. S-XX-305-R

**Intended Purpose:**  
To fund the operations of the Professional and Vocational Licensing Division.

**Source of Revenues:**  
Application, license, and renewal fees.

**Current Program Activities/Allowable Expenses:**  
For 49 regulated areas - process applications for licensure, examine applicants, license, renew, update licensee files, provide information and guidance to the public, applicants and licensees regarding regulatory areas orally and in writing, assist with or adopt or amend rules, propose and respond to legislative measures, liaison between 25 regulatory boards and DCCA, conduct public meetings, public hearings, produce minutes, facilitate decision-making by the boards in ordering disciplinary action against a licensee and granting, denying or otherwise conditioning license applications, network with outside entities for coordinated activities and keeping abreast of current trends, network with other State agencies for compliance (legislative auditor, ethics commission, procurement office).

**Purpose of Proposed Ceiling Increase (if applicable):**  
\$40,000 appropriation of funds for the regulation of the Behavior Analyst Program to be folded into S305 for other current expenditures, pursuant to Act 199, SLH 2015.

**Variations:**  
FY 2015 expenditure variance: ALIAS database replacement project/collective bargaining agreements costs. Revenue variances: the licensing renewal cycles are primarily bi-annual with some on annual and triennial cycles. Additionally, in FY 14 the program began the licensing of security guard employees and in FY 15 implemented a temporary fee increase to cover the replacement costs of the ALIAS database.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	5,847,701	6,040,488	6,040,488	6,341,895	6,484,103	6,484,103	6,484,103
Beginning Cash Balance	5,569,732	4,892,873	5,581,187	4,639,114	4,658,924	3,833,664	3,814,575
Revenues 1/	5,252,095	6,729,244	6,033,092	7,401,987	6,554,829	7,361,000	5,706,000
Expenditures	4,856,729	4,936,633	5,963,322	6,483,081	6,484,103	6,484,103	6,484,103
Transfers							
List each by JV# and date							
JS1939 10/6/14 to S310, S323			(505,920)				
JS3795 1/6/15 to S310, S323			(252,960)				
JS6142 4/30/15 to S310, S323			(252,963)				
Net Total Transfers	(1,072,225)	(1,104,297)	(1,011,843)	(899,096)	(895,986)	(895,986)	(895,986)
Ending Cash Balance	4,892,873	5,581,187	4,639,114	4,658,924	3,833,664	3,814,575	2,140,486
Encumbrances	69,661	444,257	141,186				
Unencumbered Cash Balance	4,823,212	5,136,930	4,497,928	4,658,924	3,833,664	3,814,575	2,140,486

Additional Information:							
Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							

1/ Revenue projections based Rev Est to B&F August 2015 and reflect Section 92-28 temporary fee increases.



**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs  
 Prog ID(s): CCA-105  
 Name of Fund: Real Estate Recovery Fund  
 Legal Authority: Sections 467-16-19, 21-24, HRS

Contact Name: Michael Wun  
 Phone: 587-6754  
 Fund type (MOF): Trust Funds (T)  
 Appropriation Acct. No.: T-XX-904-R

**Intended Purpose:**

As stated in §467-16(a), HRS, the Real Estate Recovery Trust Fund is intended to provide recovery to persons "aggrieved by an act, representation, transaction, or conduct of a duly licensed real estate broker, or real estate salesperson, upon the grounds of fraud, misrepresentation, or deceit". The statute establishes limits of \$25,000 per transaction and \$50,000 per licensee.

**Source of Revenues:**

Original real estate license fees.

**Current Program Activities/Allowable Expenses:**

See attached.

**Purpose of Proposed Ceiling Increase (if applicable):**

Not Applicable

**Variations:**

FY 2014 and 2015 revenue variance based on an increase in new licensees each fiscal year.

Expenditures based on legal services and claims paid. FY 2014 and 2015 expenditure variances based on decreased claims paid and a temporary vacancy.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	502,310	502,310	502,310	503,870	504,592	504,592	504,592
Beginning Cash Balance	757,199	718,442	700,568	710,776	721,776	732,776	743,776
Revenues	57,570	64,918	73,590	80,000	80,000	80,000	80,000
Expenditures	96,327	82,792	63,382	69,000	69,000	69,000	69,000
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0				
Ending Cash Balance	718,442	700,568	710,776	721,776	732,776	743,776	754,776
Encumbrances							
Unencumbered Cash Balance	718,442	700,568	710,776	721,776	732,776	743,776	754,776

**Additional Information:**

Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							

**Report on Non-General Fund Information  
for Submittal to the 2016 Legislature**

DCCA Non-General Fund Information - Real Estate Recovery Fund  
Page 2

**Current Program Activities/Allowable Expenses:**

- Defend and administer claims through contracted attorneys who represent the Commission in actions for claims, including administering contracts and payment for services.
  
- Provide information, advice, and referral on all inquiries concerning the Real Estate Recovery Trust Fund and claims.
- Receive, process, and act on complaint notices, court filed motions, subpoenas, settlement claims, and court ordered claims including record keeping and monitoring the complaints through the courts.
- Arrange and assist in presentation of settlement claims, court ordered claims, and other issues to the Commission at its monthly scheduled meetings or emergency meetings.
  
- Administer budget, including development and approval of biennium budget, record keeping, any CPA audit, investment of funds, development of statistical and other periodic reports to licensees, Budget and Finance, Governor, and the Legislature.
- Study and develop case summaries for educational purposes.
- Initiate and develop collection program, continue to administer the State Tax Intercept Program with the Department of Taxation and DAGS.
- Research, develop, print, and distribute a simple plain language brochure for claimants.
- Provide funding for clerical position, who services the program.

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs  
 Prog ID(s): CCA-105  
 Name of Fund: Real Estate Education Fund  
 Legal Authority: Sections 467-11-19, HRS

Contact Name: Michael Wun  
 Phone: 587-6754  
 Fund type (MOF): Trust Funds (T)  
 Appropriation Acct. No.: T-XX-905-R

**Intended Purpose:**  
See attached.

**Source of Revenues:**  
Original licensing and biennial renewals fees. Registration of schools, providers, courses and instructors. Interest due from the real estate recovery fund.

**Current Program Activities/Allowable Expenses:**  
See Attached

**Purpose of Proposed Ceiling Increase (if applicable):**  
Not Applicable

**Variations:**  
Revenue Variance - Due to influx of renewals between the even (non-renewal) and odd (renewal) years.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	676,183	689,052	689,052	705,568	713,214	713,214	713,214
Beginning Cash Balance	668,918	902,791	487,689	754,352	339,352	569,352	154,352
Revenues	745,020	77,990	772,181	85,000	730,000	85,000	730,000
Expenditures	511,147	493,092	505,518	500,000	500,000	500,000	500,000
Transfers							
List each by JV# and date							
Net Total Transfers	0	0					
Ending Cash Balance	902,791	487,689	754,352	339,352	569,352	154,352	384,352
Encumbrances	113,261	93,324	28,360				
Unencumbered Cash Balance	789,530	394,365	725,992	339,352	569,352	154,352	384,352

**Additional Information:**

Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							

**Report on Non-General Fund Information  
for Submittal to the 2016 Legislature**

DCCA Non-General Fund Information - Real Estate Education Fund  
Page 2

**Intended Purpose:**

As stated in §467-19(b), HRS, the Real Estate Education Trust Fund is intended to "promote the advancement of education and research in the field of real estate for the benefit of the public and those licensed under the provisions of this chapter and the improvement and more efficient administration of the real estate industry."

**Current Program Activities/Allowable Expenses:**

Funding of Exempt Positions

- Provide funding for Real Estate Specialists and clerical positions, who administer the programs below.

Information, Advice and Referral

- Respond to inquiries from the public, consumers, real estate licensees, government officials, attorneys, educators, and others via telephone, office walk-ins, written inquiries and applications, and website, providing information, advice and referral.
- Administer real estate website.
- Administer and provide information as required under the Uniform Information Practices Act.
- Administer and maintain a public information self-help area in the office for walk-in traffic, which includes public information documents, educational materials, and reference materials for public review.
- Arrange and conduct Real Estate Specialists of the Day at neighbor island sites.

Educational and Informational Materials

- Research, develop, publish and distribute the quarterly real estate bulletin to all real estate licensees, government officials, State Libraries, and others in related areas.
- Printing and distribution of Chapter 467, HRS, as amended to all principal brokers and brokers-in-charge.
- School Files, a quarterly bulletin to real estate prelicense schools, prelicense and continuing education instructors and continuing education providers which provides current information on instruction, education, curriculum, testing, application fees and procedures.
- Various publications and informational sheets for consumers and real estate licensees.
- Research, develop and submit articles for the media.
- Research and report on alternative delivery of educational materials.
- Develop and maintain website on the internet for dissemination of information, publications, forms, agendas, etc. to licensees and the general public.
- Distribute new salesperson and broker start-up kits, consisting of information and educational materials.

Administer Education Review Committee, Laws and Rules Review Committee and Real Estate Commission

- Hold monthly meetings for the two standing committees and the Commission with some meetings at neighbor island sites.
- Administration of the committee meetings, including agenda, distribution materials, room and equipment arrangements, oral testifiers, minutes, committee reports, post-meeting responsibilities, etc.
- Conduct and administer periodic symposiums.
- Administration of Education Evaluation Task Force Subcommittee.

Research, develop or update curriculum and instructional materials for courses and administer courses

- Continuing education core course.
- Prelicensing real estate broker course.
- Prelicensing real estate salesperson course.

Research, develop and conduct seminars, workshops and meetings

- Instructor development workshops, course briefings and other meetings for real estate educators.
- Real estate seminars for real estate licensees.

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs  
 Prog ID(s): CCA-105  
 Name of Fund: Condominium Education Trust Fund  
 Legal Authority: Sections 514A-40(c), 131, 132, 133, HRS

Contact Name: Michael Wun  
 Phone: 587-6754  
 Fund type (MOF): Trust Funds (T)  
 Appropriation Acct. No. T-XX-906-R

**Intended Purpose:**  
See attached.

**Source of Revenues:**  
Developers' final public report fees, association of unit owners registration and biennial re-registration fees.

**Current Program Activities/Allowable Expenses:**  
See attached.

**Purpose of Proposed Ceiling Increase (if applicable):**  
Request to increase the T-906 Condominium Education Trust Fund operating expenditures ("B") by \$200,000 to accommodate Act 187 (2013) for payments to procure consultants for the evaluative mediation program.

**Variances:**  
Revenue Variances in even years based on fee decrease due to non-renewal year. Revenue increases in odd years due to biennial renewals.  
Expenditure Variance - Current fiscal year and forward uses current and proposed budget ceiling.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	627,542	640,981	640,981	657,587	865,274	865,274	865,274
Beginning Cash Balance	424,581	869,968	785,062	1,889,658	1,421,825	2,131,551	1,331,277
Revenues 1/	832,019	306,173	1,515,398	198,000	1,575,000	65,000	1,662,000
Expenditures	386,632	391,079	410,800	665,833	865,274	865,274	865,274
Transfers							
List each by JV# and date							
			0				
Net Total Transfers		0	0				
Ending Cash Balance	869,968	785,062	1,889,658	1,421,825	2,131,551	1,331,277	2,128,003
Encumbrances	8,432	22,586	8,246				
Unencumbered Cash Balance	861,536	762,476	1,881,412	1,421,825	2,131,551	1,331,277	2,128,003

Additional Information:							
Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							

1/Revenue Projections based on Rev Est to B&F August 2015.

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

DCCA Non-General Fund Information- Condominium Education Trust Fund  
Page 2

**Intended Purpose:**

514B-71, HRS, the Condominium Education Trust Fund is intended to finance or promote: "(1) Education and research in the field of condominium management, condominium registration, and real estate for the benefit of the public and those required to be registered under this chapter; (2) The improvement and more efficient administration of condominium associations; and (3) Expedient and inexpensive procedures for resolving condominium association disputes."

**Current Program Activities/Allowable Expenses:**

Funding of Exempt Positions

- Provide funding for Condominium Specialists and clerical positions, who service the programs below.

Information, Advice and Referral

- Respond to inquiries from the public, consumers, condominium owners, board of directors, condominium managing agents, real estate licensees, attorneys, educators, government officials and others via telephone, office walk-ins, seminars, speakerships written inquiries and applications and the website relating to §§514B and 514A.
- Administer condominium website.
- Administer condominium reference library program through State Libraries, other venues and in-house, providing publications and information to condominium owners and the public.
- Administer and provide information, as required under the Uniform Information Practices Act.
- Administer and maintain a public information self-help area in the office for walk-in traffic, which includes public information documents, educational materials and reference materials for public review.
- Arrange and conduct Condominium Specialists of the Day at various neighbor island sites.
- Study the feasibility of finding other means of providing access to condominium public information through computer discs or compact discs, State Libraries, webpage, etc.
- Coordinate educational sessions regarding §§514A and 514B and updates.

Educational Research and Informational Materials

- Research, develop, publish and distribute quarterly condominium bulletin to registered condominium associations and condominium managing agents, government officials, State Libraries and others in related areas.
- Research, develop, publish and distribute stand-alone chapters (brochures) for the Condominium Board of Directors Guide to registered condominium associations, condominium managing agents, government officials, State Libraries and others in related areas.
- Print and distribute information and educational materials including start-up kits to new condominium associations and new condominium managing agents.
- Research, develop and submit various articles for media publication.
- Develop and maintain website on the internet for dissemination of information, forms, publications, etc. for developers, associations, CMA's, condominium owners, and other interested parties.
- Print and distribute amended Chapters 514A and 514B to all registered condominium associations and condominium managing agents.
- Update, print and distribute updated Condominium Board of Directors series.
- Continue with the recodification of the condominium law educational efforts.

Rulemaking

- Research, develop and initiate Chapter 107, HAR rulemaking for Chapters 514A and 514B, HRS, including public workshops with those affected.
- Research, present, and receive recommendations for amendments to Chapter 107, HAR, and discuss and receive comments at the monthly Condominium Review Committee meetings with the condominium community.
- Research, study, and make recommendations concerning fees for Chapter 53, HAR, and assist the Professional and Vocational Licensing Division in the rulemaking process.

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

DCCA Non-General Fund Information- Condominium Education Trust Fund  
Page 3

Mediation of Governance and Management Problems

- Administer contracts and provide funding for alternative dispute resolution through mediation, through the procured mediation providers for all islands.
- Secure mediation information and develop report to the Legislature and Governor.
- Continue to seek other mediation service vendors.
- Coordinate and administer joint complaint/mediation program with the Regulated Industries Complaints Office including funding of mediations.
- Research, development, publication, and distribution of brochure on dispute resolution alternatives.
- Where requested by the Office of Administrative Hearing, support the Condominium Dispute Resolution Program which is to be sunsetted June 30, 2009.

Arbitration of Condominium Problems

- Administer program through American Arbitration Association and other arbitration organizations.

Condominium Project Registration and Public Reports

- Administer registration of new condominium projects, review of documents, owner-occupants reservation procedures, and public reports, including records management.
- Administer consultant contracts and the review of project documents and public reports.
- Administer public review of condominium project documents and public reports, including requests for copies.
- Conduct periodic meetings and workshops with the condominium consultants, developers and attorneys.

Administer Condominium Review Committee

- Administer and conduct monthly meetings of the Condominium Review Committee, standing committee of the Commission, including meetings at various neighbor island sites.
- Administration includes agenda, distribution of materials, room and equipment arrangements, receipt of testimony, minutes, Committee Reports, post-meeting responsibilities.
- Conduct and administer periodic educational symposiums.

Administer Seminars, Workshops and Meetings

- Research, develop, procure, contract and conduct condominium seminars, workshops and special meetings with those in the condominium community.
- Administer seminar subsidy program, including contract administration.

Interactive Educational and Research Participation

- Provide Educational speakers to organizations, government entities and others.
- Participate, exchange and network with local, state, national and international organizations and other governmental entities.
- Provide briefings to Legislators, testify on legislative bills and participate in other legislative matters.
- Research and report to the Legislature annually on condominium programs, budget and mediation programs.
- Research, coordinate, and implement Recodification Plan for Chapter 514A, HRS.

Administration of Condominium Association, Condominium Managing Agent Registrations, and Condominium Hotel Operators

- Administer registration and biennial re-registration of condominium associations, condominium managing agents and condominium hotel operators, including applications, review/approval process and records management.
- Conduct periodic workshops and meetings with registrants.

Administration of Budget and Biennial Plans

- Development and approval of the Condominium Education Trust Fund budget.
- Administration of budget, investment of funds and any CPA audits.
- Research, development and submission of information and reports required by the Department, Budget and Finance, Governor and the Legislature.
- Research, development, approval and administration of the Biennial Education and Research Plan.

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs  
 Prog ID(s): CCA-105  
 Name of Fund: Contractors' Recovery Fund  
 Legal Authority: Section 444-26, HRS

Contact Name: Michael Wun  
 Phone: 587-6754  
 Fund type (MOF): Trust Funds (T)  
 Appropriation Acct. No.: T-XX-908-R

**Intended Purpose:**

Provide fund from which a person injured by an act, representation, transaction, or conduct of a duly licensed contractor may recover by an order of the court, an amount of not more than \$12,500 per contract and \$25,000 per contractor.

**Source of Revenues:**

All new contracting entity licensees (firms/sole proprietors) shall pay \$150 into the fund upon initial licensure and \$10 upon each license renewal. At any time the fund balance falls below \$250,000 the Contractors License Board may assess every contractor a fee not to exceed \$500 annually for deposit into the fund.

**Current Program Activities/Allowable Expenses:**

Allowable expenses include payments to eligible consumers who have obtained an arbitrated award or court judgment against a contractor, and payment of attorney - consultant fees.

**Purpose of Proposed Ceiling Increase (if applicable):**

Not applicable.

**Variations:**

Revenue variance - Revenues are higher in the odd numbered FY because the fees are collected from all licensees with renewal applications. Fees are only collected from new licensees in the even numbered FY.

Expenditure variance - dependent upon the amount of claims made by injured persons.

	Financial Data						
	FY 2013 (actual)	FY 2014 (actual)	FY 2015 (actual)	FY 2016 (estimated)	FY 2017 (estimated)	FY 2018 (estimated)	FY 2019 (estimated)
Appropriation Ceiling	200,000	200,000	200,000	200,000	200,000	200,000	200,000
Beginning Cash Balance	753,774	771,673	746,358	838,038	738,038	738,038	638,038
Revenues <sup>1/</sup>	141,315	78,570	138,821	100,000	200,000	100,000	200,000
Expenditures	123,416	103,885	47,141	200,000	200,000	200,000	200,000
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0				
Ending Cash Balance	771,673	746,358	838,038	738,038	738,038	638,038	638,038
Encumbrances							
Unencumbered Cash Balance	771,673	746,358	838,038	738,038	738,038	638,038	638,038

**Additional Information:**

Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							

<sup>1/</sup> Revenue Projections based on Rev Est to B&F August 2015.



Report on Non-General Fund Information  
for Submittal to the 2016 Legislature

DCCA Non-General Fund Information- Condominium Education Trust Fund

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**Intended Purpose:**

514B-71, HRS, the Condominium Education Trust Fund is intended to finance or promote: "(1) Education and research in the field of condominium management, condominium registration, and real estate for the benefit of the public and those required to be registered under this chapter; (2) The improvement and more efficient administration of condominium associations; and (3) Expedient and inexpensive procedures for resolving condominium association disputes."

**Current Program Activities/Allowable Expenses:**

Funding of Exempt Positions

- Provide funding for Condominium Specialists and clerical positions, who service the programs below.

Information, Advice and Referral

- Respond to inquiries from the public, consumers, condominium owners, board of directors, condominium managing agents, real estate licensees, attorneys, educators, government officials and others via telephone, office walk-ins, seminars, speakerships written inquiries and applications and the website relating to §§514B and 514A.
- Administer condominium website.
- Administer condominium reference library program through State Libraries, other venues and in-house, providing publications and information to condominium owners and the public.
- Administer and provide information, as required under the Uniform Information Practices Act.
- Administer and maintain a public information self-help area in the office for walk-in traffic, which includes public information documents, educational materials and reference materials for public review.
- Arrange and conduct Condominium Specialists of the Day at various neighbor island sites.
- Study the feasibility of finding other means of providing access to condominium public information through computer discs or compact discs, State Libraries, webpage, etc.
- Coordinate educational sessions regarding §§514A and 514B and updates.

Educational Research and Informational Materials

- Research, develop, publish and distribute quarterly condominium bulletin to registered condominium associations and condominium managing agents, government officials, State Libraries and others in related areas.
- Research, develop, publish and distribute stand-alone chapters (brochures) for the Condominium Board of Directors Guide to registered condominium associations, condominium managing agents, government officials, State Libraries and others in related areas.
- Print and distribute information and educational materials including start-up kits to new condominium associations and new condominium managing agents.
- Research, develop and submit various articles for media publication.
- Develop and maintain website on the internet for dissemination of information, forms, publications, etc. for developers, associations, CMA's, condominium owners, and other interested parties.
- Print and distribute amended Chapters 514A and 514B to all registered condominium associations and condominium managing agents.
- Update, print and distribute updated Condominium Board of Directors series.
- Continue with the recodification of the condominium law educational efforts.

Rulemaking

- Research, develop and initiate Chapter 107, HAR rulemaking for Chapters 514A and 514B, HRS, including public workshops with those affected.
- Research, present, and receive recommendations for amendments to Chapter 107, HAR, and discuss and receive comments at the monthly Condominium Review Committee meetings with the condominium community.
- Research, study, and make recommendations concerning fees for Chapter 53, HAR, and assist the Professional and Vocational Licensing Division in the rulemaking process.

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

DCCA Non-General Fund Information- Condominium Education Trust Fund  
Page 3

Mediation of Governance and Management Problems

- Administer contracts and provide funding for alternative dispute resolution through mediation, through the procured mediation providers for all islands.
  
- Secure mediation information and develop report to the Legislature and Governor.
- Continue to seek other mediation service vendors.
- Coordinate and administer joint complaint/mediation program with the Regulated Industries Complaints Office including funding of mediations.
  
- Research, development, publication, and distribution of brochure on dispute resolution alternatives.
- Where requested by the Office of Administrative Hearing, support the Condominium Dispute Resolution Program which is to be sunsetted June 30, 2009.

Arbitration of Condominium Problems

- Administer program through American Arbitration Association and other arbitration organizations.

Condominium Project Registration and Public Reports

- Administer registration of new condominium projects, review of documents, owner-occupants reservation procedures, and public reports, including records management.
- Administer consultant contracts and the review of project documents and public reports.
- Administer public review of condominium project documents and public reports, including requests for copies.
- Conduct periodic meetings and workshops with the condominium consultants, developers and attorneys.

Administer Condominium Review Committee

- Administer and conduct monthly meetings of the Condominium Review Committee, standing committee of the Commission, including meetings at various neighbor island sites.
- Administration includes agenda, distribution of materials, room and equipment arrangements, receipt of testimony, minutes, Committee Reports, post-meeting responsibilities.
- Conduct and administer periodic educational symposiums.

Administer Seminars, Workshops and Meetings

- Research, develop, procure, contract and conduct condominium seminars, workshops and special meetings with those in the condominium community.
  
- Administer seminar subsidy program, including contract administration.

Interactive Educational and Research Participation

- Provide Educational speakers to organizations, government entities and others.
- Participate, exchange and network with local, state, national and international organizations and other governmental entities.
- Provide briefings to Legislators, testify on legislative bills and participate in other legislative matters.
- Research and report to the Legislature annually on condominium programs, budget and mediation programs.
- Research, coordinate, and implement Recodification Plan for Chapter 514A, HRS.

Administration of Condominium Association, Condominium Managing Agent Registrations, and Condominium Hotel Operators

- Administer registration and biennial re-registration of condominium associations, condominium managing agents and condominium hotel operators, including applications, review/approval process and records management.
  
- Conduct periodic workshops and meetings with registrants.

Administration of Budget and Biennial Plans

- Development and approval of the Condominium Education Trust Fund budget.
- Administration of budget, investment of funds and any CPA audits.
- Research, development and submission of information and reports required by the Department, Budget and Finance, Governor and the Legislature.
  
- Research, development, approval and administration of the Biennial Education and Research Plan.

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs  
 Prog ID(s): CCA-105  
 Name of Fund: Contractors' Education Fund  
 Legal Authority: Section 444-29, HRS

Contact Name: Michael Wun  
 Phone: 587-6754  
 Fund type (MOF): Trust Funds (T)  
 Appropriation Acct. No.: T-XX-909-F

**Intended Purpose:**

To be used for consumers, licensees, Contractors License Board members and staff; to be used for publications, media exposure, participation in national association meetings, classes and other educational purpose the Board deems necessary.

**Source of Revenues:**

The interest from the investments for the contractors' recovery fund shall be deposited to the credit of the contractors' education fund. In addition, all new contracting entity licensees (firms/sole proprietors) shall pay \$10 into the fund upon initial licensure and \$5 upon each license renewal.

**Current Program Activities/Allowable Expenses:**

Funded activities include: National Association dues; attendance by Executive Officer and Board members at national association meetings; registration fees for attendance at national meetings, travel expense for neighbor island Board members to attend special Board meetings on Oahu; publication of educational materials; and overtime pay for clerical staff as needed.

**Purpose of Proposed Ceiling Increase (if applicable):**

Not Applicable

**Variations:**

Revenue variance - Revenues are higher in the odd numbered FY because fees are collected from all licensees with renewal applications. Fees are only collected from new licensees in even numbered FY.

Expenditure variance - dependent upon participation at national meetings, special meetings requiring travel for neighbor island board members and publication of educational materials.

Financial Data							
	FY 2013 (actual)	FY 2014 (actual)	FY 2015 (actual)	FY 2016 (estimated)	FY 2017 (estimated)	FY 2018 (estimated)	FY 2019 (estimated)
Appropriation Ceiling	16,968	56,968	16,968	16,968	16,968	16,968	16,968
Beginning Cash Balance	431,700	463,855	462,158	501,185	534,217	597,249	630,281
Revenues 1/	39,649	8,938	41,252	50,000	80,000	50,000	80,000
Expenditures	7,494	10,635	2,225	16,968	16,968	16,968	16,968
Transfers							
List each by JV# and date							
Net Total Transfers	0	0					
Ending Cash Balance	463,855	462,158	501,185	534,217	597,249	630,281	693,313
Encumbrances	0	0					
Unencumbered Cash Balance	463,855	462,158	501,185	534,217	597,249	630,281	693,313

**Additional Information:**

Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							

1/ Revenue Projections based on Rev Est to B&F August 2015.

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

DCCA Non-General Fund Information- Condominium Education Trust Fund

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**Intended Purpose:**

514B-71, HRS, the Condominium Education Trust Fund is intended to finance or promote: "(1) Education and research in the field of condominium management, condominium registration, and real estate for the benefit of the public and those required to be registered under this chapter; (2) The improvement and more efficient administration of condominium associations; and (3) Expedient and inexpensive procedures for resolving condominium association disputes."

**Current Program Activities/Allowable Expenses:**

Funding of Exempt Positions

- Provide funding for Condominium Specialists and clerical positions, who service the programs below.

Information, Advice and Referral

- Respond to inquiries from the public, consumers, condominium owners, board of directors, condominium managing agents, real estate licensees, attorneys, educators, government officials and others via telephone, office walk-ins, seminars, speakerships written inquiries and applications and the website relating to §§514B and 514A.
- Administer condominium website.
- Administer condominium reference library program through State Libraries, other venues and in-house, providing publications and information to condominium owners and the public.
- Administer and provide information, as required under the Uniform Information Practices Act.
- Administer and maintain a public information self-help area in the office for walk-in traffic, which includes public information documents, educational materials and reference materials for public review.
- Arrange and conduct Condominium Specialists of the Day at various neighbor island sites.
- Study the feasibility of finding other means of providing access to condominium public information through computer discs or compact discs, State Libraries, webpage, etc.
- Coordinate educational sessions regarding §§514A and 514B and updates.

Educational Research and Informational Materials

- Research, develop, publish and distribute quarterly condominium bulletin to registered condominium associations and condominium managing agents, government officials, State Libraries and others in related areas.
- Research, develop, publish and distribute stand-alone chapters (brochures) for the Condominium Board of Directors Guide to registered condominium associations, condominium managing agents, government officials, State Libraries and others in related areas.
- Print and distribute information and educational materials including start-up kits to new condominium associations and new condominium managing agents.
- Research, develop and submit various articles for media publication.
- Develop and maintain website on the internet for dissemination of information, forms, publications, etc. for developers, associations, CMA's, condominium owners, and other interested parties.
- Print and distribute amended Chapters 514A and 514B to all registered condominium associations and condominium managing agents.
- Update, print and distribute updated Condominium Board of Directors series.
- Continue with the recodification of the condominium law educational efforts.

Rulemaking

- Research, develop and initiate Chapter 107, HAR rulemaking for Chapters 514A and 514B, HRS, including public workshops with those affected.
- Research, present, and receive recommendations for amendments to Chapter 107, HAR, and discuss and receive comments at the monthly Condominium Review Committee meetings with the condominium community.
- Research, study, and make recommendations concerning fees for Chapter 53, HAR, and assist the Professional and Vocational Licensing Division in the rulemaking process.

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

DCCA Non-General Fund Information- Condominium Education Trust Fund  
Page 3

Mediation of Governance and Management Problems

- Administer contracts and provide funding for alternative dispute resolution through mediation, through the procured mediation providers for all islands.
  
- Secure mediation information and develop report to the Legislature and Governor.
- Continue to seek other mediation service vendors.
- Coordinate and administer joint complain/mediation program with the Regulated Industries Complaints Office including funding of mediations.
  
- Research, development, publication, and distribution of brochure on dispute resolution alternatives.
- Where requested by the Office of Administrative Hearing, support the Condominium Dispute Resolution Program which is to be sunsetted June 30, 2009.

Arbitration of Condominium Problems

- Administer program through American Arbitration Association and other arbitration organizations.

Condominium Project Registration and Public Reports

- Administer registration of new condominium projects, review of documents, owner-occupants reservation procedures, and public reports, including records management.
- Administer consultant contracts and the review of project documents and public reports.
- Administer public review of condominium project documents and public reports, including requests for copies.
- Conduct periodic meetings and workshops with the condominium consultants, developers and attorneys.

Administer Condominium Review Committee

- Administer and conduct monthly meetings of the Condominium Review Committee, standing committee of the Commission, including meetings at various neighbor island sites.
- Administration includes agenda, distribution of materials, room and equipment arrangements, receipt of testimony, minutes, Committee Reports, post-meeting responsibilities.
  
- Conduct and administer periodic educational symposiums.

Administer Seminars, Workshops and Meetings

- Research, develop, procure, contract and conduct condominium seminars, workshops and special meetings with those in the condominium community.
  
- Administer seminar subsidy program, including contract administration.

Interactive Educational and Research Participation

- Provide Educational speakers to organizations, government entities and others.
- Participate, exchange and network with local, state, national and international organizations and other governmental entities.
- Provide briefings to Legislators, testify on legislative bills and participate in other legislative matters.
- Research and report to the Legislature annually on condominium programs, budget and mediation programs.
- Research, coordinate, and implement Recodification Plan for Chapter 514A, HRS.

Administration of Condominium Association, Condominium Managing Agent Registrations, and Condominium Hotel Operators

- Administer registration and biennial re-registration of condominium associations, condominium managing agents and condominium hotel operators, including applications, review/approval process and records management.
  
- Conduct periodic workshops and meetings with registrants.

Administration of Budget and Biennial Plans

- Development and approval of the Condominium Education Trust Fund budget.
- Administration of budget, investment of funds and any CPA audits.
- Research, development and submission of information and reports required by the Department, Budget and Finance, Governor and the Legislature.
  
- Research, development, approval and administration of the Biennial Education and Research Plan.

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs  
 Prog ID(s): CCA-105  
 Name of Fund: Real Estate Appraisers  
 Legal Authority: Chapter 466K, HRS; Title 16, Chapter 114, HAR

Contact Name: Michael Wun  
 Phone: 587-6754  
 Fund type (MOF): Trust Funds (T)  
 Appropriation Acct. No.: T-XX-919-R

**Intended Purpose:**  
See attached.

**Source of Revenues:**  
The Federal Financial Institutions Examination Council ("FFIEC") mandates that each state collect a \$40 annual fee from each licensed and certified real estate appraiser to maintain the federal national registry. Appraisers must be on the national registry to perform appraisals in connection with federally related real estate transactions.

**Current Program Activities/Allowable Expenses:**  
See attached.

**Purpose of Proposed Ceiling Increase (if applicable):**

Not Applicable

**Variances:**  
The fees collected for the national registry are collected every other year at renewal thus explaining the large variance every other year.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	5,000	55,000	55,000	55,000	55,000	55,000	55,000
Beginning Cash Balance	5,450	5,330	6,030	5,330	5,330	5,330	5,330
Revenues <sup>1/</sup>	2,120	39,420	2,300	55,000	5,000	55,000	5,000
Expenditures	2,240	38,720	3,000	55,000	5,000	55,000	5,000
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0				
Ending Cash Balance	5,330	6,030	5,330	5,330	5,330	5,330	5,330
Encumbrances	0	0					
Unencumbered Cash Balance	5,330	6,030	5,330	5,330	5,330	5,330	5,330

**Additional Information:**

Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							

<sup>1/</sup> Revenue Projections based on Rev Est to B&F August 2015.

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

DCCA Non-General Fund Information - Real Estate Appraisers Trust Fund  
Page 2

**Intended Purpose:**

The Legislature finds that the regulation of real estate appraisers is reasonably necessary to protect consumers. The Legislature further finds that 12 United States Code §3301 et seq. requires that real estate appraisals utilized in connection with federally related transactions be performed by individuals who are licensed or certified appraisers. The purposes of this chapter (466K, HRS) are to implement the requirements of 12 United States Code Sec §3301 et seq. and to require that all real estate appraisals be performed by licensed or certified appraisers. The requirements of this chapter do not apply to any real estate appraiser employed by any county for purposes of valuing real property for ad valorem taxation.

**Current Program Activities/Allowable Expenses:**

In addition to any other powers and duties authorized by law, the director shall have the following powers and duties:

1. To grant permission to practice as a certified real estate appraiser in this State pursuant to this chapter and 12 United States Code §3301 et seq. and the rules and regulations adopted pursuant thereto;
2. To adopt, amend, or repeal rules as the director finds necessary to effectuate fully this chapter and 12 United States Code §3301 et seq.;
3. To enforce this chapter and 12 United States Code §3301 et seq. and rules and regulations adopted pursuant thereto;
4. To discipline a certified real estate appraiser for any cause prescribed by this chapter or 12 United States Code §3301 et seq. for any violation of the rules and regulations and refuse to grant a person permission to practice as a certified real estate appraiser for any cause that would be grounds for disciplining a certified real estate appraiser;
5. To act as the designated representative of this State to implement 12 United States Code §3301 et seq.; and
6. To appoint an advisory committee to assist with the implementation of this chapter and 12 United States Code §3301 et seq. and the rules and regulations adopted pursuant thereto.

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs  
 Prog ID(s): CCA-106  
 Name of Fund: Grants to States for Health Insurance Premium Review-Cycle I  
 Legal Authority: Non-appropriated; CFDA: 93.511; Section 1003 of the Affordable Care Act

Contact Name: Jerry Bump  
 Phone: 586-0985  
 Fund type (MOF): Federal Funds (N)  
 Appropriation Acct. No.: S-XX-203-R

**Intended Purpose:**

To enhance the current capacity to review and, to extent permitted by state law, approve or deny rate increases in the individual and group markets.

**Source of Revenues:**

\$1.0 million Federal Grant - Department of Health & Human Services; Grant period 8/9/10 to 9/30/12.

**Current Program Activities/Allowable Expenses:**

Grant has expired. A level II grant is being utilized for a similar purpose.

**Purpose of Proposed Ceiling Increase (if applicable):**

Not Applicable

**Variances:**

Variance due to Federal Grant expiring during FY 2012.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	0	0	0	0	0	0	0
Beginning Cash Balance	2	2	0	0	0	0	0
Revenues	0	0	0	0	0	0	0
Expenditures	0	2	0	0	0	0	0
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0	0	0	0	0
Ending Cash Balance	2	0	0	0	0	0	0
Encumbrances							
Unencumbered Cash Balance	2	0	0	0	0	0	0

**Additional Information:**

Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							



**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs Contact Name: Jerry Bump  
 Prog ID(s): CCA-106 Phone: 586-0985  
 Name of Fund: State Planning & Establishment Grants for the Affordable Care Act's Exchanges Fund type (MOF) Federal Funds (N)  
 Legal Authority: Non-appropriated; CFDA: 93.525; Section 1311 of the Affordable Care Act Appropriation Acct. No. S-XX-204-R

**Intended Purpose:**

To research whether an exchange is needed and whether an exchange is feasible given the State's information technology structure.

**Source of Revenues:**

\$1.0 million Federal Grant - Department of Health & Human Services; Grant period 9/30/10 to 9/29/13

**Current Program Activities/Allowable Expenses:**

Research being conducted regarding the implementation of the Patient Protection and Affordable Care Act.

**Purpose of Proposed Ceiling Increase (if applicable):**

Not Applicable

**Variances:**

FY13-FY14 variance due to grant funds expiring.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	0	0	0	0	0	0	0
Beginning Cash Balance	6,224	671	0	0	0	0	0
Revenues	536,388	0				0	0
Expenditures	541,941	671				0	0
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0	0	0	0	0
Ending Cash Balance	671	0	0	0	0	0	0
Encumbrances							
Unencumbered Cash Balance	671	0	0	0	0	0	0

**Additional Information:**

Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs  
 Prog ID(s): CCA-106  
 Name of Fund: Grants to States for Health Insurance Premium Review Cycle II  
 Legal Authority: CFDA: 93.511; Section 1003 of the Affordable Care Act

Contact Name: Jerry Bump  
 Phone: 586-0985  
 Fund type (MOF) Federal Funds (P)  
 Appropriation Acct. No. S-XX-205-R

**Intended Purpose:**

To enhance the current capacity to review and, to extent permitted by state law, approve or deny rate increases in the individual and group markets.

**Source of Revenues:**

\$3.0 million Federal Grant - Department of Health & Human Services; Original grant period 10/1/11 to 9/30/14, has been extended to 9/30/16

**Current Program Activities/Allowable Expenses:**

Modification to electronic rate filing system. Hiring of additional rate analysts.

**Purpose of Proposed Ceiling Increase (if applicable):**

Not Applicable

**Variations:**

Variations related to the timing in hiring additional rate analysts and finding appropriate vendors for modifying electronic rate filing system.

Financial Data							
	FY 2013	FY 2014 1/	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	0	1,000,000	1,000,000	250,000	250,000	0	0
Beginning Cash Balance	24,875	65,254	15,998	7,042	0	0	0
Revenues	177,453	268,753	530,596	500,000	500,000		
Expenditures	137,074	318,009	539,552	507,042	500,000		
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0	0	0	0	0
Ending Cash Balance	65,254	15,998	7,042	0	0	0	0
Encumbrances	64,062	64,062					
Unencumbered Cash Balance	1,192	(48,064)	7,042	0	0	0	0

**Additional Information:**

Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							

1/ Governor approved expenditure ceiling increase of \$1,747,698.03 on 9-19-14.

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs  
 Prog ID(s): CCA-106  
 Name of Fund: Cooperative Agreements to Support Establishment of State-Operated Health Insurance Exchanges  
 Legal Authority: Non-appropriated; CFDA: 93.525; Section 1311 of the Affordable

Contact Name: Jerry Bump  
 Phone: 586-0985  
 Fund type (MOF) Federal Funds (N)  
 Appropriation Acct. No. S-XX-206-R

**intended purpose:**  
Establishment of the Hawaii Health Connector under Act 205 (SLH 2011).

**Source of Revenues:**  
\$14.4 million Federal Grant - Department of Health & Human Services; Grant period 11/29/2011 to 11/27/2013.

**Current Program Activities/Allowable Expenses:**  
Working to establish a centralized website to allow individuals and small businesses to shop for health insurance.

**Purpose of Proposed Ceiling Increase (if applicable):**  
Not applicable

**Variances:**  
FY13-14 variance due to grant funds expiring.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling			0	0	0	0	0
Beginning Cash Balance	223,949	1,045	0	0	0	0	0
Revenues	3,409,492	0	0	0	0	0	0
Expenditures	3,632,396	1,045	0	0	0	0	0
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0	0	0	0	0
Ending Cash Balance	1,045	0	0	0	0	0	0
Encumbrances							
Unencumbered Cash Balance	1,045	0	0	0	0	0	0

**Additional Information:**

Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs  
 Prog ID(s): CCA-106  
 Name of Fund: Cooperative Agreements to Support Establishment of State-Operated Health Insurance Exchanges  
 Legal Authority: Non-appropriated; CFDA: 93.525; Section 1311 of the Affordable

Contact Name: Jerry Bump  
 Phone: 586-0985  
 Fund type (MOF): Federal Funds (N)  
 Appropriation Acct. No. S-XX-207-R

**Intended Purpose:**  
Establishment of the Hawaii Health Connector under Act 205 (SLH 2011).

**Source of Revenues:**  
Sub-awardee from Hawaii Health Connector Federal Grant.

**Current Program Activities/Allowable Expenses:**  
Working to establish a centralized website to allow individuals and small businesses to shop for health insurance.

**Purpose of Proposed Ceiling Increase (if applicable):**  
Not applicable

**Variations:**  
FY13-F14 variance due to funds not received until near the end of FY13, and FY14 represents a full year. FY14-FY15 variance due to grant funds expiring.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling			0	0	0	0	0
Beginning Cash Balance	-	0	51,583	0	0	0	0
Revenues	50,548	412,450	78,761	0	0	0	0
Expenditures	50,548	360,867	130,344	0	0	0	0
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0	0	0	0	0
Ending Cash Balance	0	51,583	0	0	0	0	0
Encumbrances	3,722						
Unencumbered Cash Balance	(3,722)	51,583	0	0	0	0	0

**Additional Information:**

Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs  
 Prog ID(s): CCA-106  
 Name of Fund: Driver Education Fund  
 Legal Authority: Section 431:10C-115, HRS; Section 431:10G-107, HRS

Contact Name: Michael Wun  
 Phone: 587-6754  
 Fund type (MOF): Special Funds (B)  
 Appropriation Acct. No.: S-XX-309-R

**Intended Purpose:**

Provide drivers training and education.

**Source of Revenues:**

An annual fee paid by insurers and self-insurers for each vehicle, motorcycle and motor scooter insured.

**Current Program Activities/Allowable Expenses:**

All collected revenues disbursed to the Judiciary, Department of Education (DOE), and Department of Transportation (DOT). Judiciary's funds are expended for the operation of the drivers' education program. DOE's funds support drivers' education for high school students. The DOT uses its funds for the operation of a drivers' education program for operators of motorcycles, motor scooters or similar vehicles.

**Purpose of Proposed Ceiling Increase (if applicable):**

Not Applicable

**Variances:**

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	2,900,000	2,900,000	2,900,000	3,100,000	3,100,000	3,100,000	3,100,000
Beginning Cash Balance	92,343	150,147	227,292	433,919	434,919	435,919	436,919
Revenues	2,957,804	2,977,145	3,106,627	3,101,000	3,101,000	3,101,000	3,201,000
Expenditures	0	0	2,900,000	3,100,000	3,100,000	3,100,000	3,100,000
Transfers							
List each by JV# and date							
Net Total Transfers	(2,900,000)	(2,900,000)					
Ending Cash Balance	150,147	227,292	433,919	434,919	435,919	436,919	537,919
Encumbrances							
Unencumbered Cash Balance	150,147	227,292	433,919	434,919	435,919	436,919	537,919

**Additional Information:**

Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs  
 Prog ID(s): CCA-106  
 Name of Fund: Compliance Resolution Fund - Insurance Regulation Fund  
 Legal Authority: Sections 431:2-215 & 431:2-216, HRS

Contact Name: Michael Wun  
 Phone: 587-6754  
 Fund type (MOF): Special Funds (B)  
 Appropriation Acct. No.: S-XX-313-R

**Intended Purpose:**

The fund permits the Insurance Division to become self-sufficient and eliminates reliance on general funds and revolving funds administered by the Division.

**Source of Revenues:**

Fees, fines, penalties, assessments, and reimbursements collected under Title 24, Hawaii Revised Statutes.

**Current Program Activities/Allowable Expenses:**

Used to defray any administrative cost, including personnel cost, associated with all of the programs of the Insurance Division, and incurred by supporting offices and divisions.

**Purpose of Proposed Ceiling Increase (if applicable):**

**Variances:**

Between FY15 & FY16, expenditures expected to increase as vacancies become filled, as well as significant increase in contracted examination work is expected.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	8,739,474	9,015,536	9,496,660	10,584,735	10,818,376	10,818,376	10,818,376
Beginning Cash Balance	4,179,556	4,122,154	3,910,165	3,536,140	(158,340)	(3,134,350)	(6,055,360)
Revenues 1/	8,055,527	8,613,693	8,575,611	9,350,560	9,350,560	9,405,560	9,601,000
Expenditures	6,514,143	7,189,767	7,370,927	11,540,345	10,818,376	10,818,376	10,818,376
Transfers							
List each by JV# and date							
JS1939 10/6/14 to S310, S323			(789,354)				
JS3795 1/6/15 to S310, S323			(394,677)				
JS6142 4/30/15 to S310, S323			(394,678)				
Net Total Transfers	(1,598,786)	(1,635,915)	(1,578,709)	(1,504,695)	(1,508,194)	(1,508,194)	(1,508,194)
Ending Cash Balance	4,122,154	3,910,165	3,536,140	(158,340)	(3,134,350)	(6,055,360)	(8,780,930)
Encumbrances	596,628	1,363,009	955,610				
Unencumbered Cash Balance	3,525,526	2,547,156	2,580,530	(158,340)	(3,134,350)	(6,055,360)	(8,780,930)

**Additional Information:**

Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							

1/ Revenue projections based on Revenue Estimates to B&F August 2015.

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs  
 Prog ID(s): CCA-106  
 Name of Fund: Captive Insurance Administrative Fund  
 Legal Authority: Section 431:19-101.8, HRS

Contact Name: Michael Wun  
 Phone: 587-6754  
 Fund type (MOF): Special Funds (B)  
 Appropriation Acct. No. S-XX-317-R

**Intended Purpose:**

The fund shall be expended by the Insurance Commissioner to carry out his/her duties and obligations under article 19 of chapter 431, HRS.

**Source of Revenues:**

All moneys collected from captive licensees pursuant to article 19, chapter 431, including premium taxes, application and annual licensing fees, examination fees, and other reimbursements.

**Current Program Activities/Allowable Expenses:**

Licensing, monitoring, regulation, development of captive insurance companies, and promotion of Hawaii as a captive insurance domicile pursuant to article 19, chapter 431, including defrayal of any administrative costs, employment or retention of hearings officers, attorneys, investigators, accountants, examiners, and other necessary professional, technical, and support personnel.

**Purpose of Proposed Ceiling Increase (if applicable):**

Not Applicable

**Variances:**

Revenue variance in FY14 related to exam cost reimbursements.

Expenditure variances in FY15 and FY16 is due to additional approved positions hired and contractual exam work anticipated.

	FY 2013 (actual)	FY 2014 (actual)	FY 2015 (actual)	FY 2016 (estimated)	FY 2017 (estimated)	FY 2018 (estimated)	FY 2019 (estimated)
Appropriation Ceiling	2,400,652	2,400,652	2,434,480	2,672,985	2,725,806	2,725,806	2,725,806
Beginning Cash Balance	3,811,602	4,117,661	4,746,720	5,348,686	4,954,089	4,533,283	4,112,477
Revenues 1/	1,889,230	2,143,205	2,516,940	2,305,000	2,305,000	2,305,000	2,305,000
Expenditures	1,583,171	1,514,146	1,914,974	2,699,597	2,725,806	2,725,806	2,725,806
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0	0	0	0	0
Ending Cash Balance	4,117,661	4,746,720	5,348,686	4,954,089	4,533,283	4,112,477	3,691,671
Encumbrances	9,030	124,009	26,612				
Unencumbered Cash Balance	4,108,631	4,622,711	5,322,074	4,954,089	4,533,283	4,112,477	3,691,671

**Additional Information:**

Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							

1/ Revenue projections based on Rev Est to B&F August 2015.

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs  
 Prog ID(s): CCA-106  
 Name of Fund: Patient's Compensation Fund  
 Legal Authority: Act 232, SLH 1984; Act 219, SLH 1976

Contact Name: Michael Wun  
 Phone: 587-6754  
 Fund type (MOF) Trust Funds (T)  
 Appropriation Acct. No. T-XX-912-R

**Intended Purpose:**

In 1976 this fund was established to provide doctors medical malpractice insurance for coverage in excess of their underlying policy from a commercial insurer.

**Source of Revenues:**

None.

**Current Program Activities/Allowable Expenses:**

Final payments were made in FY14 & FY15, Fund will be closed in FY16.

**Purpose of Proposed Ceiling Increase (if applicable):**

Not Applicable

**Variances:**

Variances due to final payment of funds on deposit.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	0	0	0	0	0	0	0
Beginning Cash Balance	178,243	178,618	9,287	0	0	0	0
Revenues	375	490	49				
Expenditures	0	169,821	9,336	0	0	0	0
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0				
Ending Cash Balance	178,618	9,287	0	0	0	0	0
Encumbrances							
Unencumbered Cash Balance	178,618	9,287	0	0	0	0	0

**Additional Information:**

Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							

1/ Revenue projections based on Rev Est to B&F August 2015.



**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs  
 Prog ID(s): CCA-106  
 Name of Fund: Premium Taxes Paid Pending Appeal  
 Legal Authority: Sections 431:7-202, 431:7-209, HRS

Contact Name: Michael Wun  
 Phone: 587-6754  
 Fund type (MOF): Trust Funds (T)  
 Appropriation Acct. No.: T-XX-916-R

**Intended Purpose:**

Premium taxes paid in protest due to denial of high tech tax credits.

**Source of Revenues:**

Premium taxes.

**Current Program Activities/Allowable Expenses:**

Pending result of appeal.

**Purpose of Proposed Ceiling Increase (if applicable):**

Not Applicable

**Variances:**

Varies year to year depending on an insurers' request for appeal. No premium taxes paid in protest were received in FY 2015.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	0	0	0	0	0	0	0
Beginning Cash Balance	156,493	1,314,201	2,265,346	2,265,346	2,265,346	2,265,346	2,265,346
Revenues	1,157,708	951,145					
Expenditures	0	0	0	0	0	0	0
Transfers							
List each by JV# and date							
Net Total Transfers			0				
Ending Cash Balance	1,314,201	2,265,346	2,265,346	2,265,346	2,265,346	2,265,346	2,265,346
Encumbrances							
Unencumbered Cash Balance	1,314,201	2,265,346	2,265,346	2,265,346	2,265,346	2,265,346	2,265,346

**Additional Information:**

Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							
Accounts, or Other Investments							

1/ Revenue projections based on Rev Est to B&F August 2015.

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs  
 Prog ID(s): CCA-106  
 Name of Fund: Commissioner's Education and Training Fund  
 Legal Authority: Section 431:2-214, HRS

Contact Name: Michael Wun  
 Phone: 587-6754  
 Fund type (MOF): Trust Funds (T)  
 Appropriation Acct. No.: T-XX-917-R

**Intended Purpose:**

This fund is used for the education and training of Insurance Division staff and personnel, and to pay for the cost of consumer education and information.

**Source of Revenues:**

Fees for rate and form filings.

**Current Program Activities/Allowable Expenses:**

Reimburse staff and personnel for various education and training expenses, including insurance and computer courses, conferences, and seminars. Publish annually, the Report of the Insurance Commissioner for consumer information. Presentations of insurance information to Hawaii consumers. Purchase of books and periodicals for staff education and training.

**Purpose of Proposed Ceiling Increase (if applicable):**

Not Applicable

**Variations:**

Revenues vary depending on the number of rate and form filings. Expected increase in Expenditures for FY16 due to recent hiring of Multimedia Education Specialist and the education programs she will be developing.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	200,000	200,000	200,000	200,000	200,000	200,000	200,000
Beginning Cash Balance	899,428	982,960	1,079,596	1,146,016	1,055,093	1,010,093	965,093
Revenues	141,752	169,132	148,392	155,000	155,000	155,000	155,000
Expenditures	58,220	72,496	81,972	245,923	200,000	200,000	200,000
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0				
Ending Cash Balance	982,960	1,079,596	1,146,016	1,055,093	1,010,093	965,093	920,093
Encumbrances	3,239	8,642	45,923				
Unencumbered Cash Balance	979,721	1,070,954	1,100,093	1,055,093	1,010,093	965,093	920,093

**Additional Information:**

Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs  
 Prog ID(s): CCA-106  
 Name of Fund: Service Contract Provider's Fin Sec Dep  
 Legal Authority: Section 481X-4, HRS

Contact Name: Michael Wun  
 Phone: 587-6754  
 Fund type (MOF): Trust Funds (T)  
 Appropriation Acct. No.: T-XX-927-R

**Intended Purpose:**

The fund will hold financial security deposits placed in trust with the Commissioner by service contract providers for all service contracts issued and in force in this State.

**Source of Revenues:**

Financial security deposits from service contract providers placed in trust with the Insurance Commissioner.

**Current Program Activities/Allowable Expenses:**

Current activities include the issuance and renewal of service contract providers registration.

**Purpose of Proposed Ceiling Increase (if applicable):**

Not Applicable

**Variations:**

Revenue variance in FY 15 due to new service contract provider deposit.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	0	0	0	0	0	0	0
Beginning Cash Balance	41,560	41,560	41,560	66,560	66,560	66,560	66,560
Revenues	0	0	25,000				
Expenditures				0	0	0	0
Transfers							
List each by JV# and date							
Net Total Transfers							
Ending Cash Balance	41,560	41,560	66,560	66,560	66,560	66,560	66,560
Encumbrances							
Unencumbered Cash Balance	41,560	41,560	66,560	66,560	66,560	66,560	66,560

**Additional Information:**

Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs  
 Prog ID(s): CCA-106  
 Name of Fund: Insurance Division Restitution  
 Legal Authority: Section 431:2-203, HRS

Contact Name: Michael Wun  
 Phone: 587-6754  
 Fund type (MOF) Trust Funds (T)  
 Appropriation Acct. No. T-XX-928-R

**Intended Purpose:**

The fund will hold deposits placed in trust with the Commissioner by defendants from an enforcement action brought by the Insurance Division. If the defendant does not comply with the terms of the settlement agreement, the Insurance Division then has the power to use these funds to provide restitution to the complainants involved.

**Source of Revenues:**

Deposits from defendants pursuant to a settlement agreement.

**Current Program Activities/Allowable Expenses:**

No deposits being held.

**Purpose of Proposed Ceiling Increase (if applicable):**

Not Applicable

**Variances:**

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	0	0	0	0	0	0	0
Beginning Cash Balance		0	0	0	0	0	0
Revenues							
Expenditures	0	0	0	0	0	0	0
Transfers							
List each by JV# and date							
Net Total Transfers			0				
Ending Cash Balance	0	0	0	0	0	0	0
Encumbrances							
Unencumbered Cash Balance	0	0	0	0	0	0	0

**Additional Information:**

Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							
Accounts, or Other Investments							

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs  
 Prog ID(s): CCA-106  
 Name of Fund: Captive Insurance Companies LOC Escrow  
 Legal Authority: Section 431:19-104(b), HRS

Contact Name: Michael Wun  
 Phone: 587-6754  
 Fund type (MOF): Trust Funds (T)  
 Appropriation Acct. No.: T-XX-931-R

**Intended Purpose:**

The fund shall be used to maintain cash drawn from Letters of Credit (LOC) issued on behalf of captive insurance licensees and in favor of the Insurance Commissioner.

**Source of Revenues:**

Cash draw from Letter of Credits (LOC) issued on behalf of captive licensees.

**Current Program Activities/Allowable Expenses:**

The Commissioner may draw upon the LOC when the captive licensee is not in compliance with the provisions of article 19 of chapter 431, including but not limited to its minimum capital and surplus requirements, applicable investment provisions, or otherwise in adverse financial condition, or operating in a manner that is detrimental or its condition unsound with respect to the public or to its policyholders. The cash drawn from the LOC is used to cover liabilities and other obligations of the captive licensee, including policy holder claims, operating expenses, taxes, fees, fines, and other expenses.

**Purpose of Proposed Ceiling Increase (if applicable):**

Not Applicable

**Variances:**

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	0	0	0	0	0	0	0
Beginning Cash Balance	512	513	514	516	518	520	522
Revenues	1	1	2	2	2	2	2
Expenditures				0	0	0	0
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0				
Ending Cash Balance	513	514	516	518	520	522	524
Encumbrances							
Unencumbered Cash Balance	513	514	516	518	520	522	524

**Additional Information:**

Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: DCCA-Insurance Division  
 Prog ID(s): CCA-106  
 Name of Fund: Hawaii Hurricane Relief Fund  
 Legal Authority: Chapter 431P, HRS

Contact Name: Jerry Bump  
 Phone: 808-586-0985  
 Fund type (MOF): Trust Fund (T)  
 Appropriation Acct. No. T-XX-999-R

**Intended Purpose:** Provide hurricane insurance in the event that such coverage is unavailable in the private insurance market.

**Source of Revenues:** Investment income.

**Current Program Activities/Allowable Expenses:**

Program activities - investments. Allowable expenses - financial services and management expenses.

**Purpose of Proposed Ceiling Increase (if applicable):**

Not applicable.

**Variances:**

Variances related to transfers from State General Fund.

Financial Data							
<i>A/</i>	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling							
Beginning Fund Balance	21,078,646	20,794,227	126,645,536	182,440,065	182,440,065	182,440,065	182,440,065
Revenues	83,873	1,540,120	2,910,895	3,100,000	3,100,000	3,100,000	3,100,000
Expenditures	49,644	101,507	175,995	200,000	200,000	200,000	200,000
Transfers to State General Fund			0	0	0	0	0
Transfers from State General Fund		105,500,000	55,500,000	0	0	0	0
Accrd Interest paid	(318,648)	(1,087,304)	(2,440,371)	(2,900,000)	(2,900,000)	(2,900,000)	(2,900,000)
Net Total Transfers	(318,648)	104,412,696	53,059,629	(2,900,000)	(2,900,000)	(2,900,000)	(2,900,000)
Ending Fund Balance	20,794,227	126,645,536	182,440,065	182,440,065	182,440,065	182,440,065	182,440,065
Encumbrances							
Unencumbered Cash Balance	21,078,646	126,645,536	182,440,065	182,440,065	182,440,065	182,440,065	182,440,065

**Additional Information:**

Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							

*A/ = Prepared on the accrual basis of accounting as required by the Governmental Accounting Standards Board for Enterprise Funds.*

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs  
 Prog ID(s): CCA-107  
 Name of Fund: Compliance Resolution Fund- HPEAP  
 Legal Authority: HRS §305J-19

Contact Name: Bobbi Lum-Mew  
 Phone: 586-7313  
 Fund type (MOF): Special Funds (B)  
 Appropriation Acct. No. S-xx-307-R

**Intended Purpose:**

Per HRS §305J-19 the moneys in the special subaccount shall be used to fund the operations of the department to carry out its duties under this chapter.

**Source of Revenues:**

Authorization, re-authorization, and complaints administration fees.

**Current Program Activities/Allowable Expenses:**

Review, authorize, and monitor qualified post-secondary educational institutions and receive and process complaints against authorized institutions.

**Purpose of Proposed Ceiling Increase (if applicable):**

**Variations:**

Institutions apply for re-authorization biennially resulting in variances between FYs. FY 16 expenditure variance due to filling of vacancy. FY 17 variance reflects full year staffing.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling			263,796	282,233	288,611	288,611	288,611
Beginning Cash Balance		0		336,583	349,034	157,294	99,554
Revenues 1/			57,726	191,000	57,000	191,000	57,000
Expenditures			109,284	178,549	208,611	208,611	208,611
Transfers							
List each by JV# and date							
JS1939 10/6/14 to S310, S323			(21,184)				
JS3795 1/6/15 to S310, S323			(10,592)				
JS6142 4/30/15 to S310, S323			(10,593)				
JS0036 7/7/14 from S360			100,000				
JS0500 7/31/14 from S360			330,510				
Net Total Transfers			388,141	(40,013)	(40,129)	(40,129)	(40,129)
Ending Cash Balance	0	0	336,583	349,034	157,294	99,554	(92,186)
Encumbrances			3,104	0	0	0	0
Unencumbered Cash Balance	0	0	333,479	349,034	157,294	99,554	(92,186)

**Additional Information:**

Amount Req. by Bond Covenants							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							

1/ Revenue projections based on Rev Est to B&F August 2015.

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs  
 Prog ID(s): CCA-110  
 Name of Fund: CRF-Office Of Consumer Protection  
 Legal Authority Section 487-2, HRS

Contact Name: Michael Wun  
 Phone: 587-6754  
 Fund type (MOF) Special Funds (B)  
 Appropriation Acct. No. S-XX-323-R

**Intended Purpose:**

To protect Hawaii consumers utilizing investigative resources, civil enforcement actions and consumer education.

**Source of Revenues:**

Penalties or fines assessed as a result of actions brought by OCP, and penalties, fines, or reimbursement of costs or attorneys' fees assessed as a result of actions brought for violations of chapters 480 and 487 HRS.

**Current Program Activities/Allowable Expenses:**

OCP receives and investigates consumer complaints, provides consumer education to the public through oral presentations and the dissemination of consumer literature, and enforces consumer protection laws through legal process coordinated by its attorneys.

**Purpose of Proposed Ceiling Increase (if applicable):**

Increase OCP's Litigation budget ceiling by \$30,000 to have sufficient resources to litigate complex

**Variances:**

Revenue: OCP revenue from year to year may fluctuate greatly due to a number of factors including the absence of settlements in multistate cases and the complexities of some OCP enforcement actions.

Expenditures: FY 13 - due to Central Services Assessment on increased revenues from multi-state settlements. FY14 - due to unanticipated position vacancies and retirement. Increase in FY15 due to hiring to fill vacant positions and increased fringe benefits. FY 16 forward projected to ceiling.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	1,524,748	1,781,593	1,784,652	2,025,447	2,109,294	2,109,294	2,109,294
Beginning Cash Balance	1,776,108	5,586,878	4,640,406	5,695,453	6,310,680	5,031,510	3,752,340
Revenues 1/	5,278,539	95,772	2,331,058	2,149,036	310,300	310,300	310,000
Expenditures	1,719,569	1,492,728	1,744,937	2,040,171	2,109,294	2,109,294	2,109,294
Transfers							
List each by JV# and date							
JS1939 10/6/14 from various			234,462				
JS3795 1/6/15 from various			117,231				
JS6142 4/30/15 from various			117,233				
Net Total Transfers	251,800	450,484	468,926	506,362	519,824	519,824	519,824
Ending Cash Balance	5,586,878	4,640,406	5,695,453	6,310,680	5,031,510	3,752,340	2,472,870
Encumbrances	11,985	46,186	14,724				
Unencumbered Cash Balance	5,574,893	4,594,220	5,680,729	6,310,680	5,031,510	3,752,340	2,472,870

**Additional Information:**

Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							

1/ Revenue projections based on Rev Est to B&F August 2015.



**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs  
 Prog ID(s): CCA-110  
 Name of Fund: OCP Restitution Fund  
 Legal Authority: Section 487:14(c), HRS

Contact Name: Michael Wun  
 Phone: 587-6754  
 Fund type (MOF): Trust Funds (T)  
 Appropriation Acct. No. T-XX-920-R

**Intended Purpose:**

To hold and disburse moneys received or recovered by the Office of Consumer Protection payable to consumers as restitution pursuant to settlement or appropriate court orders and judgments.

**Source of Revenues:**

Consumer restitution paid by respondents and disbursed by OCP pursuant to settlement or court order.

**Current Program Activities/Allowable Expenses:**

We are continuing to collect and distribute restitution payments from this account pursuant to appropriate court orders and judgments.

**Purpose of Proposed Ceiling Increase (if applicable):**

Not Applicable

**Variances:**

Revenues: Restitution recoveries awarded by a court or through voluntary compliance agreements vary greatly from year to year and the circumstances of each OCP case.

Expenditures: Resitution payments distributed in any given year varies widely based upon the resolution of enforcement actions through settlement or court action as well as the manner in which the restitution payments to consumers is structured.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	100,681	100,681	100,681	100,681	100,681	100,681	100,681
Beginning Cash Balance	143,419	147,521	108,056	84,172	0	0	0
Revenues 1/	4,102	18,210	5,940	0	0	0	0
Expenditures	0	57,675	29,824	84,172	0	0	0
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0				
Ending Cash Balance	147,521	108,056	84,172	0	0	0	0
Encumbrances							
Unencumbered Cash Balance	147,521	108,056	84,172	0	0	0	0

**Additional Information:**

Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							

1/ Revenue Projections based on B&F Rev Est Aug 2015.

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs  
 Prog ID(s): CCA-111  
 Name of Fund: Compliance Resolution Fund - Business Registration  
 Legal Authority: Section 26-9, HRS

Contact Name: Michael Wun  
 Phone: 587-6754  
 Fund type (MOF): Special Funds (B)  
 Appropriation Acct. No.: S-XX-306-R

**Intended Purpose:**

To fund the operations of the Business Registration Division.

**Source of Revenues:**

Chapters 414, 414D, 415A, 419, 420D, 421, 421C, 421H, 421I, 421J, 423, 424, 425, 425E, 428, 482, and 519 HRS. - Business registration fees: Corporation, partnership, limited liability company and cooperative registration fees and trademark, trade name, service mark, publicity right filing fees.

Chapter 482E - Franchise filing fees and penalties for franchise violations.

Chapter 485A - Securities fees and penalties: Securities, broker-dealers, agents, investment advisers and investment adviser representatives filing fees and penalty fees for securities law violations.

**Current Program Activities/Allowable Expenses:**

Register and maintain the registry for public access for corporations, partnerships, limited liability companies, cooperatives, trademarks, trade names, service marks and publicity rights. Help the public in their business registration filings through business centers that offer assistance in facilitating, coordinating and expediting filings. Review and approve filing applications and investigate, prosecute and enforce substantive regulatory compliance pursuant to State securities and franchise laws.

**Purpose of Proposed Ceiling Increase (if applicable):**

Not Applicable

**Variations:**

The variance for FY13-14 actual revenue can be primarily attributed to temporary fee reductions for securities registrations.

The variance for FY14-15 actual revenue can be attributed in part to temporary fee reductions for securities registrations from FY13-14 and the lower amount of penalties actually collected during the fiscal year.

The variance for FY16 estimated expenditures can be attributed to the comparison of an actual number (FY15) to an estimated number (FY16) that is projected to ceiling.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	6,472,012	6,649,240	6,649,240	7,317,621	7,414,132	7,414,132	7,414,132
Beginning Cash Balance	9,032,676	11,200,800	11,870,606	11,483,982	9,276,150	7,127,158	4,978,166
Revenues 1/	8,598,228	7,321,288	6,314,503	6,296,000	6,296,000	6,296,000	6,296,000
Expenditures	5,241,954	5,433,372	5,592,877	7,466,407	7,414,132	7,414,132	7,414,132
Transfers							
List each by JV# and date							
JS1939 10/6/14 to S310, S323			(554,124)				
JS3795 1/6/15 to S310, S323			(277,062)				
JS6142 4/30/15 to S310, S323			(277,064)				
Net Total Transfers	(1,188,150)	(1,218,110)	(1,108,250)	(1,037,425)	(1,030,860)	(1,030,860)	(1,030,860)
Ending Cash Balance 2/	11,200,800	11,870,606	11,483,982	9,276,150	7,127,158	4,978,166	2,829,174
Encumbrances	137,815	181,470	148,786				
Unencumbered Cash Balance	11,062,985	11,689,136	11,335,196	9,276,150	7,127,158	4,978,166	2,829,174

**Additional Information:**

Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							

1/ Revenue projections based on Rev Est to B&F August 2015.

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs  
 Prog ID(s): CCA-112  
 Name of Fund: Compliance Resolution Fund - RICO  
 Legal Authority: Section 26-9(o), HRS

Contact Name: Michael Wun  
 Phone: 587-6754  
 Fund type (MOF): Special Funds (B)  
 Appropriation Acct. No.: S-XX-312-R

**Intended Purpose:**

Complaints receipt, mediation, arbitration, investigation, and prosecution of matters in areas for which a license, registration or certificate is required from the Department or its boards, commissions or regulatory programs.

**Source of Revenues:**

Compliance Resolution Fund fee; penalties and fines collected; interest earned on fund balances.

**Current Program Activities/Allowable Expenses:**

Complaints receipt, mediation, investigation, complaint resolution and prosecution related to licenses, registrations or certificates required from the Department or its boards, commissions or programs.

**Purpose of Proposed Ceiling Increase (if applicable):**

Not Applicable

**Variances:**

Division saw an increase in revenue following an emergency fee increase of 23% approved in FY 15. The fee increase is in effect for two licensing cycles. Revenues vary due to renewal cycle. Expenditure variance for FY 16 due to projection to ceiling.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	5,405,578	5,631,030	5,631,030	6,442,820	6,631,429	6,631,429	6,631,429
Beginning Cash Balance	5,928,338	5,850,462	5,496,577	6,755,209	5,213,589	4,311,062	2,572,601
Revenues 1/	5,763,254	5,574,322	7,235,025	5,851,938	6,650,934	5,815,000	5,462,000
Expenditures	4,844,071	4,898,100	5,024,655	6,480,154	6,631,429	6,631,429	6,631,429
Transfers							
List each by JV# and date							
JS1939 10/6/14 to S310, S323			(475,868)				
JS3795 1/6/15 to S310, S323			(237,934)				
JS6142 4/30/15 to S310, S323			(237,936)				
Net Total Transfers	(997,059)	(1,030,107)	(951,738)	(913,404)	(922,032)	(922,032)	(922,032)
Ending Cash Balance	5,850,462	5,496,577	6,755,209	5,213,589	4,311,062	2,572,601	481,140
Encumbrances	34,963	31,213	37,334				
Unencumbered Cash Balance	5,815,499	5,465,364	6,717,875	5,213,589	4,311,062	2,572,601	481,140

**Additional Information:**

Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							

1/ Revenue projections based on Rev Est to B&F August 2015.

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs  
 Prog ID(s): CCA-112  
 Name of Fund: State Certified Motor Vehicle Arbitration Fund  
 Legal Authority: Chapter 481I, HRS

Contact Name: Michael Wun  
 Phone: 587-6754  
 Fund type (MOF): Trust Funds (T)  
 Appropriation Acct. No.: T-XX-915-R

**Intended Purpose:**

Administration of the State Certified Motor Vehicle Arbitration Program (Lemon Law) created pursuant to Chapter 481I, HRS.

**Source of Revenues:**

Filing fees paid by vehicle manufacturers and consumers.

**Current Program Activities/Allowable Expenses:**

Implementation and administration of the State Certified Arbitration Program (Lemon Law) created pursuant to Chapter 481I, HRS.

**Purpose of Proposed Ceiling Increase (if applicable):**

Not Applicable

**Variances:**

The Program saw an increase in Demands for Arbitration in FY15. Revenues and expenditures vary depending on arbitration fees received and costs paid for arbitration hearings.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	0	0	0	0	0	0	0
Beginning Cash Balance	131,250	129,591	124,356	124,177	126,077	128,077	130,077
Revenues 1/	2,300	1,400	4,275	2,000	2,000	2,000	2,000
Expenditures	3,959	6,635	4,454	100	0	0	0
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0				
Ending Cash Balance	129,591	124,356	124,177	126,077	128,077	130,077	132,077
Encumbrances	812	0	100				
Unencumbered Cash Balance	128,779	124,356	124,077	126,077	128,077	130,077	132,077

**Additional Information:**

Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							

1/ Revenue projections based on Rev Est to B&F August 2015.

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs  
 Prog ID(s): CCA-191  
 Name of Fund: Electric Vehicle Rebate Program  
 Legal Authority: Non-appropriated; (ARRA, Transportation Energy Diversification Project, State Energy Program-DBEDT).

Contact Name: Michael Wun  
 Phone: 587-6754  
 Fund type (MOF) Federal Stimulus Funds (V)  
 Appropriation Acct. No. S-XX-202-R

**Intended Purpose:**

American Recovery and Reinvestment Act of 2009 (ARRA) funds awarded to the Department of Business, Economic Development, and Tourism (DBEDT) for the purpose of carrying out the Transportation Energy Diversification Project (Project) under the State Energy Program (SEP). The Electric Vehicle Rebate Program is to help accelerate the adoption of electric vehicles (EV) in Hawaii. The Department of Commerce and Consumer Affairs (DCCA) to administer the EV Rebate Program for DBEDT through December, 31, 2012 or until project funds have been exhausted, whichever comes first.

**Source of Revenues:**

Federal grant through the U.S. Department of Energy (USDOE).

**Current Program Activities/Allowable Expenses:**

Project funds were budgeted for a rebate program for electric vehicles and charging equipment. Program ended in FY13.

**Purpose of Proposed Ceiling Increase (if applicable):**

Not applicable

**Variances:**

Revenues and expenditures varied in FY 14 due to program ending.

Financial Data							
	FY 2013 (actual)	FY 2014 (actual)	FY 2015 (actual)	FY 2016 (estimated)	FY 2017 (estimated)	FY 2018 (estimated)	FY 2019 (estimated)
Appropriation Ceiling	0	0	0	0	0	0	0
Beginning Cash Balance	32,701	0	0	0	0	0	0
Revenues	0	0	0	0	0	0	0
Expenditures	32,701	0	0	0	0	0	0
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0	0	0	0	0
Ending Cash Balance	0	0	0	0	0	0	0
Encumbrances	0	0	0	0	0	0	0
Unencumbered Cash Balance	0	0	0	0	0	0	0

**Additional Information:**

Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs  
 Prog ID(s): CCA-191  
 Name of Fund: Compliance Resolution Fund  
 Legal Authority: Section 26-9(o), HRS

Contact Name: Michael Wun  
 Phone: 587-6754  
 Fund type (MOF): Special Funds (B)  
 Appropriation Acct. No. S-XX-310-R,S-XX-398-R, S-14-360

**Intended Purpose:**

To enhance program effectiveness and efficiency by providing direction and general support services.

**Source of Revenues:**

Administrative fee from MCCP claim fees pursuant to HRS §671-11(d), publication/copy fees.

**Current Program Activities/Allowable Expenses:**

See attached.

**Purpose of Proposed Ceiling Increase (if applicable):**

**Variations**

Revenue variance for FY 14 due to newly established Hawaii Post-Secondary Education Authorization Program (HPEAP). Variance for FY 15 due to HPEAP being separate program.

Financial Data							
	FY 2013	FY 2014 <sup>1/2</sup>	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	6,532,299	7,259,050	6,880,350	7,595,620	8,111,845	8,111,845	8,111,845
Beginning Cash Balance	1,987,718	2,613,491	3,521,497	2,874,897	2,136,764	1,478,138	819,512
Revenues 1/	476,511	1,175,247	513,607	471,710	469,000	469,000	469,000
Expenditures	5,978,497	6,411,244	6,543,591	7,045,430	7,440,000	7,440,000	7,440,000
Transfers							
List each by JV# and date							
JS1939 10/6/14 from various			2,906,942				
JS3795 1/6/15 from various			1,453,471				
JS6142 4/30/15 from various			1,453,481				
JS0036 7/7/14 to S307			(100,000)				
JS0500 7/31/14 to S307			(330,510)				
Net Total Transfers	6,127,759	6,144,003	5,383,384	5,835,587	6,312,374	6,312,374	6,312,374
Ending Cash Balance	2,613,491	3,521,497	2,874,897	2,136,764	1,478,138	819,512	160,886
Encumbrances	204,317	198,299	381,236				
Unencumbered Cash Balance	2,409,174	3,323,198	2,493,661	2,136,764	1,478,138	819,512	160,886

**Additional Information:**

Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							

1/ Revenue based on B&F Rev Est August 2015.

2/ Include Post-Secondary Education Authorization Program established pursuant to Act 180, SLH 2013.

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

DCCA Non-General Fund Information - Compliance Resolution Fund (S-310-R, S-398-R)  
Page 2

**Current Program Activities/Allowable Expenses:**

Provide general policy and administrative leadership, supervision and coordination of the various programs of the department. Provide individual programs with financial resources, budgetary direction and control necessary for their operation. Assist individual programs with the supply, development and maintenance of the human resources necessary for staffing their operations. Provide Director with staff assistance in the direction and supervision of the operating division; and provide centralized clerical services and relief necessary to support and supplement the operating division. Plans, directs and coordinates the department's internal and external communications through the sharing and transfer of the information via various mediums. Directs the development, implementation and maintenance of computerized information systems capable of communicating and sharing data and information internally and externally. Administers a program for informed consumerism through the sharing and transfer of information departmentally and statewide.

Provide specialized staff support to all divisions and boards by conducting hearings, as required, to ensure impartial and informed treatment in resolving consumer complaints; and provide a means for prompt and fair disposition or settlement of medical tort claims or claims of professional negligence against an engineer, architect or surveyor licensed under Chapter 464, HRS.

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs  
 Prog ID(s): CCA-191  
 Name of Fund: MFDR Special Fund  
 Legal Authority: Section 667-86, HRS

Contact Name: Michael Wun  
 Phone: 587-6754  
 Fund type (MOF): Special Funds (B)  
 Appropriation Acct. No.: S-XX-316-R

**Intended Purpose:**

To give a mortgagor the power to require a foreclosing mortgagee to engage in dispute resolution with the mortgagor prior to a nonjudicial mortgage foreclosure in an effort to avoid foreclosure or mitigate damages if foreclosure is unavoidable.

**Source of Revenues:**

Fees collected from the mortgagee and the mortgagor.

**Current Program Activities/Allowable Expenses:**

For all expenses of the mortgage foreclosure dispute resolution program to carry out the purposes of Act 48, SLH 2011 and to reimburse the Compliance Resolution Fund for the seed capital.

**Purpose of Proposed Ceiling Increase (if applicable):**

Not Applicable

**Variances:**

Revenue variances: FY14- collection of fee for electronic public notice of public sale. FY 15- Higher than anticipated filing fees. FY 16- expectation of leveling of fee collections

Expenditure variances: FY14 and FY 15 - due to vacancy, and positions are anticipated to be vacant for the out-years due to lack of program activities.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	1,850,000	1,850,000	306,461	306,461	306,461	306,461	306,461
Beginning Cash Balance	260,972	121,071	238,185	337,232	424,232	510,732	596,732
Revenues 1/	4,613	34,723	105,160	93,500	93,500	93,500	94,000
Expenditures	144,514	117,609	6,113	6,500	7,000	7,500	8,000
Transfers							
List each by JV# and date							
Net Total Transfers	0	200,000		0	0	0	0
Ending Cash Balance	121,071	238,185	337,232	424,232	510,732	596,732	682,732
Encumbrances	9,659	97	149	0	0	0	0
Unencumbered Cash Balance	111,412	238,088	337,083	424,232	510,732	596,732	682,732

**Additional Information:**

Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							

1/ Revenue based on B&F Rev Est August 2015.



**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Commerce and Consumer Affairs  
 Prog ID(s): Various  
 Name of Fund: Temporary Deposits  
 Legal Authority: \_\_\_\_\_

Contact Name: Kay Okimoto  
 Phone: 586-2831  
 Fund type (MOF) Temporary Deposits  
 Appropriation Acct. No. T-XX-902-R

**Intended Purpose:**

The fund was established by DCCA to account for temporary deposits. Moneys deposited in this fund may be later transferred to the appropriate fund.

**Source of Revenues:**

Various revenue sources (e.g., Moneys for the Medical Claims Conciliation Panel, Design Claims Conciliation Panel, & Hawaii Joint Underwriting Plan are deposited into this account, and when an invoice is received it is paid out from this account).

**Current Program Activities/Allowable Expenses:**

See above information.

**Purpose of Proposed Ceiling Increase (if applicable):**

Not Applicable

**Variances:**

Revenue and expenditure variances are based on divisions' timing and execution of contracts and projects.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	0	0	0	0	0	0	0
Beginning Cash Balance	1,752,588	1,991,262	1,511,786	1,810,621	1,810,621	1,810,621	1,810,621
Revenues	1,841,835	1,971,185	2,108,604				
Expenditures	1,603,161	2,450,661	1,809,769				
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0	0	0	0	0
Ending Cash Balance	1,991,262	1,511,786	1,810,621	1,810,621	1,810,621	1,810,621	1,810,621
Encumbrances	13,302	8,812	605	0	0	0	0
Unencumbered Cash Balance	1,977,960	1,502,974	1,810,016	1,810,621	1,810,621	1,810,621	1,810,621

**Additional Information:**

Amount Req. for Bond Conveyance							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							

**Report on Non-General Fund Information**  
for Submittal to the 2016 Legislature

Department: Department of Commerce and Consumer Affairs  
 Prog ID(s): CCA 901  
 Name of Fund: Public Utilities Commission Special Fund  
 Legal Authority: Section 269-33, HRS

Contact Name: Phyllis Paik  
 Phone: 586-3753  
 Fund type (MOF) B  
 Appropriation Acct. No. S-16-340-R

**Intended Purpose:**

To pay for expenses incurred by the Public Utilities Commission ("PUC") and the Department of Commerce and Consumer Affairs' Division of Consumer Advocacy ("DCA").

**Source of Revenues:**

The Special Fund's sources of income include public utility, motor carrier, application and intervention filing, Hawaii One Call, and duplicating fees; and penalties and interest.

**Current Program Activities/Allowable Expenses:**

Ensures that regulated companies provide communication, utilities and transportation services to the public at acceptable standards of quality, dependability, and safety at fair rates by adopting and enforcing appropriate service standards. Pursuant to 269-33, HRS, proceeds of the Special Fund shall be used by the Public Utilities Commission and the Division of Consumer Advocacy of the Department of Commerce and Consumer Affairs for all expenses incurred in the administration of chapters 269, 269E, 271, 271G, and 486J provided that the expenditures are in accordance with the legislative appropriations. All monies in excess of \$1M remaining on balance in the Special Fund on June 30 of each year shall lapse to the credit of the State General Fund.

**Purpose of Proposed Ceiling Increase (if applicable):**

Increase PUC Special Fund ("PUC SF") ceiling by \$304,889 to fully cover DCCA's administrative expenses assessment for FY 17 as required by HRS § 36-30 and HRS § 269-33.

Increase special fund ceiling by \$430,102 to cover the State's fringe benefit assessment rate increase to 52% and for Collective Bargaining increases for the Division of Consumer Advocacy of the Department of Commerce and Consumer Affairs ("DCA")

**Variances:**

Revenue and expenditure variances for FY 16 due to transfer in of agency from BUF to CCA.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	0	0	0	17,828,567	15,308,726	15,308,726	15,308,726
Beginning Cash Balance	0	0	0	9,713,672	15,098,645	21,554,239	28,009,833
Revenues	0	0	0	21,764,320	21,764,320	21,764,320	21,764,320
Expenditures	0	0	0	16,379,347	15,308,726	15,308,726	15,308,726
Transfers							
List each net transfer in/out; list each account number							
Net Total Transfers	0	0	0				
Ending Cash Balance	0	0	0	15,098,645	21,554,239	28,009,833	34,465,427
Encumbrances							
Unencumbered Cash Balance	0	0	0	15,098,645	21,554,239	28,009,833	34,465,427

**Additional Information:**

Amount Req. by Bond Covenants							
Amount from Bond Proceeds							
Amount Held in CODs, Escrow Accounts, or Other Investments							