

Report on Non-General Fund Information
for Submittal to the 2017 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.

Variations:

Variations in the revenues and expenditures each year reflect different projects completed by the Department to map broadband availability and promote and foster broadband use. The grant was terminated on January 31, 2015 and was fully closed out. Thus, there are no future revenues or expenditures.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling							
Beginning Cash Balance	130	206	175	42,716	0	0	0
Revenues 2/	432,663	944,260	698,869	0	0	0	0
Expenditures	432,587	944,291	656,328	42,716	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	42,716	0	0	0	0
Encumbrances		0	42,716				
Unencumbered Cash Balance	206	175	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/ 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 2016.

Report on Non-General Fund Information
for Submittal to the 2017 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: Admin. Services
 Phone: 586-2830
 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 un-served 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):

Fringe benefits

Pursuant to Finance Memorandum No. 16-12, the State's fringe benefit assessment rate for non-general fund programs increases to 60% for FY 18 and FY 19 due primarily to the projected costs for the prefunding of other post-employment benefits. The Department requires the requested budget increase to effectively fund all authorized positions.

Variances:

Variance in revenues from FY14 to FY15 is due to the increase in franchise fees collected from cable operators from about 4.64% to the 5% limit allowed pursuant to federal law which was implemented in FY15. Variance in expenditures from FY 15 to FY 16 is due to vacancies. Variance in expenditures from FY16 to FY17 and future years relate to: (1) anticipated management audits and other cable related matters using expert consulting service contracts for work related to the Legislature and to assist in anticipated large proceedings (e.g., franchise renewals and PEG designations); and (2) increased broadband activities required of the Department. In addition, FY17 expenditures also include FY16 encumbrances for expert services.

	Financial Data						
	FY 2013 (actual)	FY 2014 (actual)	FY 2015 (actual)	FY 2016 (actual)	FY 2017 (estimated)	FY 2018 (estimated)	FY 2019 (estimated)
Appropriation Ceiling	2,110,809	2,391,537	2,391,537	2,534,951	2,559,971	2,609,370	2,609,370
Beginning Cash Balance	3,336,867	3,477,137	4,076,170	5,289,972	6,755,529	6,855,209	6,623,396
Revenues 1/	2,046,102	2,102,851	2,772,685	2,873,488	2,733,000	2,733,000	2,733,000
Expenditures	1,524,055	1,068,949	1,168,374	1,048,549	2,307,309	2,609,370	2,609,370
Transfers							
List each by JV# and date							
JS1232 9/8/15				(89,845)			
JS3248 12/5/15				(89,845)			
JS4334 2/12/16				(89,845)			
JS5512 4/18/16				(89,847)			
Net Total Transfers	(381,777)	(434,869)	(390,509)	(359,382)	(326,011)	(355,443)	(354,222)
Ending Cash Balance	3,477,137	4,076,170	5,289,972	6,755,529	6,855,209	6,623,396	6,392,804
Encumbrances	273,382	708,919	513,198	814,413			
Unencumbered Cash Balance	3,203,755	3,367,251	4,776,774	5,941,116	6,855,209	6,623,396	6,392,804

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 2016.

Report on Non-General Fund Information
for Submittal to the 2017 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: 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 Olelo are provided to DCCA for INET/Broadband purposes.

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):

Increase ceiling to provide funds to support projects and programs to (1) strengthen and extend the State's INET for state and county government; and (2) facilitate the expansion of broadband access to unserved and underserved areas across the State through a pilot WiFi project.

Variations:

Variance in revenues each year arise due to changes in Oceanic's gross revenues, which are based on the number of customers and cable packages that customers subscribe to. The variance for FY15 expenditure reflects the payment made by the Department to DLIR for a grant to Hawaii Public Television, authorized by the 2014 Legislature as reflected in the appropriation ceiling increase for FY15. Expenditure variances in FY18 and FY19 are due to anticipated program activities to extend the State's INET for state and county government, and to expand access to broadband through the Department's pilot WiFi project in unserved and underserved areas in the State, upon Legislative approval of ceiling increase requests for FY18 and FY19.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling			2,000,000	0	0	3,144,640	2,620,676
Beginning Cash Balance	4,619,445	6,313,011	7,742,119	6,763,426	7,569,895	8,369,895	6,000,255
Revenues	1,693,566	1,429,108	1,021,307	806,469	800,000	775,000	750,000
Expenditures			2,000,000	0	0	3,144,640	2,620,676
Transfers							
List each by JV# and date			0				
Net Total Transfers			0				
Ending Cash Balance	6,313,011	7,742,119	6,763,426	7,569,895	8,369,895	6,000,255	4,129,579
Encumbrances							
Unencumbered Cash Balance	6,313,011	7,742,119	6,763,426	7,569,895	8,369,895	6,000,255	4,129,579

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 2017 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: Admin. Services
 Phone: 586-2830
 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):
N/A.

Variations:

Revenue variance: The reason for the variance in revenues is caused by new procedures, whereby monies from the PUC are reflected as transfers in the relevant quarter, as opposed to prior years where the monies were recorded in aggregate as revenues. Otherwise, there is no significant variances in revenues

Expenditures variance: In FY2016, the major proceeding was Docket No. 2015-0022, wherein the proposed merger/acquisition involving NextEra Energy and the Hawaiian Electric Companies was being investigated. As a result of this proceeding, the Division hired various consultants to help analyze the transaction and possible resulting governance structure, if the requested relief were granted. The overall increase in spending due to 2015-0022 was offset by certain projects being put in abeyance until the merger proceeding was completed. Due to these other projects not moving forward in FY 2016 as originally expected, the Division was not required to spend as much money on consultants and other docket related costs in FY 2016. With the termination of 2015-0022, the proceedings that were delayed are now becoming active again.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	2,938,787	3,031,508	3,830,936	4,159,141	4,241,213	4,230,174	4,230,174
Beginning Cash Balance	4,275,160	4,695,037	5,399,924	6,423,685	7,476,675	7,427,766	6,860,503
Revenues 1/	2,715,111	3,092,514	3,943,435	42,101	20,000	20,000	20,000
Expenditures	1,758,522	1,835,200	2,290,353	2,574,933	3,767,841	4,241,213	4,241,213
Transfers							
List each by JV# and date							
JS0713 8/17/15				1,039,785			
JS1810 10/5/15				1,045,251			
JS3944 1/25/16				1,045,215			
JS6739 6/16/16				1,045,216			
JS1232 9/8/15				(147,411)			
JS3248 12/5/15				(147,411)			
JS4334 2/12/16				(147,411)			
JS5512 4/18/16				(147,412)			
Net Total Transfers	(536,712)	(552,427)	(629,321)	3,585,822	3,698,932	3,653,950	3,655,928
Ending Cash Balance	4,695,037	5,399,924	6,423,685	7,476,675	7,427,766	6,860,503	6,295,218
Encumbrances	844,196	1,251,510	1,882,450	1,735,797			
Unencumbered Cash Balance	3,850,841	4,148,414	4,541,235	5,740,878	7,427,766	6,860,503	6,295,218

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 2016.

Report on Non-General Fund Information
for Submittal to the 2017 Legislature

Department:	<u>Commerce and Consumer Affairs</u>	Contact Name:	<u>Admin Services</u>
Prog ID(s):	<u>CCA 104, CCA-110</u>	Phone:	<u>586-2830</u>
Name of Fund:	<u>Multi-state Enforcement and Education Fund/ Multi-state Mortgage Servicer Agreement Fund</u>	Fund type (MOF) <u>Trust Funds (T)</u>	
Legal Authority	<u>Multi-state Mortgage Servicer Settlement Agreements</u>	Appropriation Acct. No. <u>T-xx-932-R</u>	

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 provide consumer education.

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.
- Funds used to hire staff to conduct investigations, examine for compliance with applicable laws and rules, and to provide consumer education and outreach. Funds also 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 decrease due to vacancies, (4) 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)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling				0	0	0	0
Beginning Cash Balance	0	2,078,093	1,380,418	1,013,136	712,427	312,427	0
Revenues 1/	2,250,000	0	250,505	184,666	100,000	100,000	
Expenditures	171,907	497,675	617,787	485,375	500,000	412,427	
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	712,427	312,427	0	0
Encumbrances	95,145	157,416	135,111	3,522			
Unencumbered Cash Balance	1,982,948	1,223,002	878,025	708,905	312,427	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 2016.

Report on Non-General Fund Information
for Submittal to the 2017 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: Admin Services
 Phone: 586-2830
 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 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 and supervision of escrow depositories, money transmitters, mortgage loan originators, mortgage loan originator companies, and mortgage servicers.

Purpose of Proposed Ceiling Increase (if applicable):

Fringe benefits

Pursuant to Finance Memorandum No. 16-12, the State's fringe benefit assessment rate for non-general fund programs increases to 60% for FY 18 and FY 19 due primarily to the projected costs for the prefunding of other post-employment benefits. The Department requires the requested budget increase to effectively fund all authorized positions.

Travel--Accordingly, the division requests that its training budget increase from \$88,898 to approximately \$150,000 to maintain the level of training required in order to maintain its national accreditation in banking and mortgage.

CSA-- Central services assessment amount exceeds budgeted amount, impacting operations.

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. FY17 expenditures will increase due to costs related to FIMS replacement. FY 17 revenue decrease due to consolidation in regulated industries.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(actual)	(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	9,480,492	8,265,372	7,415,763
Revenues 1/	3,623,557	4,346,585	4,945,552	5,115,594	4,391,100	4,381,100	4,373,000
Expenditures	2,785,228	2,588,064	2,931,624	2,915,456	4,971,852	4,571,852	4,571,852
Transfers							
List each by JV# and date							
JS1232 9/8/15				(144,995)			
JS3248 12/5/15				(144,995)			
JS4334 2/12/16				(144,995)			
JS5512 4/18/16				(144,993)			
Net Total Transfers	(604,850)	(618,761)	(570,081)	(579,978)	(634,368)	(658,857)	(656,594)
Ending Cash Balance	5,276,725	6,416,485	7,860,332	9,480,492	8,265,372	7,415,763	6,560,317
Encumbrances	16,216	13,850	17,278	30,264			
Unencumbered Cash Balance	5,260,509	6,402,635	7,843,054	9,450,228	8,265,372	7,415,763	6,560,317

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 2016.

Report on Non-General Fund Information
for Submittal to the 2017 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: Admin Services
 Phone: 586-2830
 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, mortgage servicer companies that engage in mortgage loan origination, 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, mortgage servicer companies that engage in mortgage loan origination, and mortgage loan originators. Mortgage Loan 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 and expenses related to the administration of the Mortgage Loan Recovery Fund.

Purpose of Proposed Ceiling Increase (if applicable):

N/A

Variations:

Revenue decreased 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. Revenue decrease in FY 17 due to Commissioner using her authority to not collect fees for this fund at renewals.

Expenditure increase in FY 17 due to projecting spending to ceiling. FY 18 decrease due to non-recurring item.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	110,000	110,000	220,000	220,000	220,000	110,000	110,000
Beginning Cash Balance	493,750	803,115	1,124,965	1,429,665	1,578,165	1,462,515	1,442,515
Revenues 1/	309,365	321,850	304,700	148,500	104,350	90,000	90,000
Expenditures	0	0	0	0	220,000	110,000	110,000
Transfers							
List each by JV# and date							
Net Total Transfers			0				
Ending Cash Balance	803,115	1,124,965	1,429,665	1,578,165	1,462,515	1,442,515	1,422,515
Encumbrances							
Unencumbered Cash Balance	803,115	1,124,965	1,429,665	1,578,165	1,462,515	1,442,515	1,422,515

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 2016.

Report on Non-General Fund Information
for Submittal to the 2017 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: Admin. Services
 Phone: 586-2830
 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):

Fringe Benefits- Pursuant to Finance Memorandum No. 16-12, the State's fringe benefit assessment rate for non-general fund programs increases to 60% for FY 18 and FY 19 due primarily to the projected costs for the prefunding of other post-employment benefits. The Department requires the requested budget increase to effectively fund all authorized positions.

CSA- Central services assessment is based on a percentage of collected revenue, which continues to increase. As such, an increase in the ceiling is needed for the increased assessment.

1 temp position -MFDR Trade-off one position count from CCA-191 to CCA-105:

Due to the increased workload in PVL's Records Section of the Licensing Branch, we are requesting to have the Office Assistant position transferred to ensure the continued efficiency and timeliness of the operations of S-305. In addition to the increasing number of license types and licensees, staff have been tasked to review and process, in addition to their current workloads, new licensing requirements as mandated by the State Legislature.

4 permanent positions: Due to the increased workload in PVL's Licensing Branch, we are requesting to establish funding for four positions (2 Office Assistant Vs and 2 Office Assistant IVs). The positions are essential to ensure the continued efficiency and timeliness of the operations of S-305. In addition to new licensing types continually being added for processing by staff, the Office Assistants, in addition to their current workloads, are also being tasked to review and process criminal history record checks and continuing education requirements.

Variances:

Renewal Fees are collected on a biennial basis resulting in variances between FYs

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	5,847,701	6,040,488	6,040,488	6,341,895	6,484,103	7,085,895	7,183,623
Beginning Cash Balance	5,569,732	4,892,873	5,581,187	4,639,114	5,467,749	4,766,878	4,283,059
Revenues 1/	5,252,095	6,729,244	6,033,092	7,713,382	6,641,423	7,567,300	5,770,000
Expenditures	4,856,729	4,936,633	5,963,322	5,985,651	6,484,103	7,085,895	7,183,623
Transfers							
List each by JV# and date							
JS1232 9/8/15				(224,774)			
JS3248 12/5/15				(224,774)			
JS4334 2/12/16				(224,774)			
JS5512 4/18/16				(224,774)			
Net Total Transfers	(1,072,225)	(1,104,297)	(1,011,843)	(899,096)	(858,191)	(965,224)	(975,176)
Ending Cash Balance	4,892,873	5,581,187	4,639,114	5,467,749	4,766,878	4,283,059	1,894,260
Encumbrances	69,661	444,257	141,186	42,622			
Unencumbered Cash Balance	4,823,212	5,136,930	4,497,928	5,425,127	4,766,878	4,283,059	1,894,260

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 2016 and reflect Section 92-28 temporary fee increases.

Report on Non-General Fund Information
for Submittal to the 2017 Legislature

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-105
 Name of Fund: Compliance Resolution Fund
 Legal Authority: Act 199, SLH 2015

Contact Name: Admin. Services
 Phone: 586-2830
 Fund type (MOF) Special Funds (B)
 Appropriation Acct. No. S-XX-363-R

Intended Purpose: For the Implementation of the Behavior Analyst Program

Source of Revenues: Collection of a \$50 assessment fee upon registration and renewal of behavior analyst.

Current Program Activities/Allowable Expenses: Process applications for registration, renewal and maintenance of registrants and inquiries to the general public

Purpose of Proposed Ceiling Adjustment (if applicable):

Variances: Renewals are on a biennial basis resulting in variances between FYs. Specific appropriation for FY 16 and 17.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling				40,000	40,000		
Beginning Cash Balance		0	0	0	1,980	0	0
Revenues				6,912	1,500	0	0
Expenditures				4,932	3,000	0	0
Transfers							
List each net transfer in/out/ or projection in/out; list each account number							
Net Total Transfers	0	0	0	0	0	0	0
Ending Cash Balance	0	0	0	1,980	480	0	0
Encumbrances							
Unencumbered Cash Balance	0	0	0	1,980	480	0	0

Additional Information:

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

Report on Non-General Fund Information
for Submittal to the 2017 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: Admin. Services
 Phone: 586-2830
 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):

Fringe benefits

Pursuant to Finance Memorandum No. 16-12, the State's fringe benefit assessment rate for non-general fund programs increases to 60% for FY 18 and FY 19 due primarily to the projected costs for the prefunding of other post-employment benefits. The Department requires the requested budget increase to effectively fund all authorized positions.

Variations:

FY2016 expenditure variance due to decrease in legal fees related to claims against the real estate recovery fund. FY2017, 2018, 2019 expenditure variances based on projection to maximum spending. Revenue variance for FY 2017 based on estimate before fee increases enacted.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	502,310	502,310	502,310	503,870	504,592	535,760	535,760
Beginning Cash Balance	757,199	718,442	700,568	710,776	740,077	285,485	0
Revenues	57,570	64,918	73,590	79,402	50,000	50,000	50,000
Expenditures	96,327	82,792	63,382	50,101	504,592	335,485	50,000
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0				
Ending Cash Balance	718,442	700,568	710,776	740,077	285,485	0	0
Encumbrances							
Unencumbered Cash Balance	718,442	700,568	710,776	740,077	285,485	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 2017 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 2017 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: Admin. Services
 Phone: 586-2830
 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):

Fringe benefits

Pursuant to Finance Memorandum No. 16-12, the State's fringe benefit assessment rate for non-general fund programs increases to 60% for FY 18 and FY 19 due primarily to the projected costs for the prefunding of other post-employment benefits. The Department requires the requested budget increase to effectively fund all authorized positions.

Real estate Specialist--Due to the increased work complexity and expanding of the program's responsibilities, approval for the creation of a Real Estate Program Specialist to provide support for the educational activities is necessary.

Variations:

FY revenue variances between odd and even years based on renewal vs non-renewal. FY2016 expenditure variance based on decrease in personnel costs and the cost of the Commission's Continuing Education Core Course. FY16 - 17 variances actual vs estimated.

Financial Data							
	FY 2013 (actual)	FY 2014 (actual)	FY 2015 (actual)	FY 2016 (actual)	FY 2017 (estimated)	FY 2018 (estimated)	FY 2019 (estimated)
Appropriation Ceiling	676,183	689,052	689,052	705,568	713,214	797,810	830,810
Beginning Cash Balance	668,918	902,791	487,689	754,352	394,194	571,194	8,194
Revenues	745,020	77,990	772,181	90,264	817,000	77,000	933,000
Expenditures	511,147	493,092	505,518	450,422	640,000	640,000	640,000
Transfers							
List each by JV# and date							
Net Total Transfers	0	0					
Ending Cash Balance	902,791	487,689	754,352	394,194	571,194	8,194	301,194
Encumbrances	113,261	93,324		48,797			
Unencumbered Cash Balance	789,530	394,365	754,352	345,397	571,194	8,194	301,194

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 2017 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 2017 Legislature

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-105
 Name of Fund: Condominium Education Trust Fund
 Legal Authority Sections 514A-40(c), 514-A-95.1, 514B-71,72,73 HRS

Contact Name: Admin. Services
 Phone: 586-2830
 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):
CETF specialist--Due to the increased work complexity and expanding of the program's responsibilities, approval for the creation of a Condominium Specialist position to provide support for the educational activities is necessary.

Variiances:
Revenue variances - Renewal fees are on a biennial basis resulting in variances between FYs.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	627,542	640,981	640,981	657,587	865,274	948,349	981,349
Beginning Cash Balance	424,581	869,968	785,062	1,889,658	1,634,488	2,430,214	1,548,865
Revenues 1/	832,019	306,173	1,515,396	182,933	1,661,000	67,000	1,753,000
Expenditures	386,632	391,079	410,800	438,103	865,274	948,349	981,349
Transfers							
List each by JV# and date							
			0				
Net Total Transfers		0	0				
Ending Cash Balance	869,968	785,062	1,889,658	1,634,488	2,430,214	1,548,865	2,320,516
Encumbrances	8,432	22,586		220			
Unencumbered Cash Balance	861,536	762,476	1,889,658	1,634,268	2,430,214	1,548,865	2,320,516

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 2016.

Report on Non-General Fund Information
for Submittal to the 2017 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,

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,
- 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 2017 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 2017 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: Admin. Services
 Phone: 586-2830
 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.

Variances:

Revenue variances - Renewal fees are on a biennial basis resulting in variances between FYs. Expenditure variances - Dependent upon the amount of claims paid.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(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	791,515	791,515	691,515
Revenues 1/	141,315	78,570	138,821	76,470	200,000	100,000	200,000
Expenditures	123,416	103,885	47,141	122,993	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	791,515	791,515	691,515	691,515
Encumbrances							
Unencumbered Cash Balance	771,673	746,358	838,038	791,515	791,515	691,515	691,515

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 2016.

Report on Non-General Fund Information
for Submittal to the 2017 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: Admin. Services
 Phone: 586-2830
 Fund type (MOF): Trust Funds (T)
 Appropriation Acct. No.: T-XX-909-R

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 variances - Renewal fees are on a biennial basis resulting in variances between FYs. Expenditure variances - Dependent upon participation at national association meetings, special meetings requiring travel for neighbor island board members and publication of educational materials.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(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	510,083	578,115	614,147
Revenues 1/	39,649	8,938	41,252	13,238	85,000	53,000	85,000
Expenditures	7,494	10,635	2,225	4,340	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	510,083	578,115	614,147	682,179
Encumbrances	0	0					
Unencumbered Cash Balance	463,855	462,158	501,185	510,083	578,115	614,147	682,179

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 2016.

Report on Non-General Fund Information
for Submittal to the 2017 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: Admin. Services
 Phone: 586-2830
 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)	(actual)	(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	5,250	0	0
Revenues 1/	2,120	39,420	2,300	37,720	5,000	55,000	5,000
Expenditures	2,240	38,720	3,000	37,800	10,250	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	5,250	0	0	0
Encumbrances	0	0					
Unencumbered Cash Balance	5,330	6,030	5,330	5,250	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 2016.

Report on Non-General Fund Information
for Submittal to the 2017 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 2017 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

Variations:

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)	(actual)	(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 2017 Legislature

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

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 and FY14-FY15 variances due to grant funds expiring.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(actual)	(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	0	0	0
Expenditures	541,941	671	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	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 2017 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: Non-appropriated; 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; Grant period 10/1/11 to 9/30/17

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)	(actual)	(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	630,528	600,000	0	0
Expenditures	137,074	318,009	539,552	637,570	600,000	0	0
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 2017 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 Care Act

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

Variations:

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)	(actual)	(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 2017 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 Care Act

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-FY14 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)	(actual)	(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 2017 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: Admin. Services
 Phone: 586-2830
 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):

Increase ceiling for funds transfer

This request consists of increasing the Special Fund ceiling by \$500,000 for the Drivers Education Fund. Fees collected and deposited into the Drivers Education Fund are transferred to the Dept. of Education, Dept. of Transportation, and the Judiciary. In recent years the fees collected have exceeded the base allocation amount available for transfer to the various departments and this is projected to continue into future years. In FY15 and FY16, fees collected were \$3.11 million and \$3.22 million, respectively. As such, we request to increase the amount available for transfer our of the Drivers Education Fund to \$3.6 million in total.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	2,900,000	2,900,000	2,900,000	3,100,000	3,100,000	3,600,000	3,600,000
Beginning Cash Balance	92,343	150,147	227,292	433,919	548,952	753,952	558,952
Revenues	2,957,804	2,977,145	3,106,627	3,215,033	3,305,000	3,405,000	3,505,000
Expenditures	0	0	0	0	0	0	0
Transfers							
List each by JV# and date							
JS5661 4/26/16				(3,100,000)			
Net Total Transfers	(2,900,000)	(2,900,000)	(2,900,000)	(3,100,000)	(3,100,000)	(3,600,000)	(3,600,000)
Ending Cash Balance	150,147	227,292	433,919	548,952	753,952	558,952	463,952
Encumbrances							
Unencumbered Cash Balance	150,147	227,292	433,919	548,952	753,952	558,952	463,952

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 2017 Legislature

Department: <u>Commerce and Consumer Affairs</u>	Contact Name: <u>Admin. Services</u>
Prog ID(s): <u>CCA-106</u>	Phone: <u>586-2830</u>
Name of Fund: <u>Compliance Resolution Fund - Insurance Regulation Fund</u>	Fund type (MOF) <u>Special Funds (B)</u>
Legal Authority: <u>Sections 431:2-215 & 431:2-216, HRS</u>	Appropriation Acct. No. <u>S-XX-313-R</u>

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):

Add 2 positions- Due to increasing workload, additional positions are necessary.

Fringe Benefits - Pursuant to Finance Memorandum No. 16-12, the State's fringe benefit assessment rate for non-general fund programs increases to 60% for FY 18 and FY 19 due primarily to the projected costs for the prefunding of other post-employment benefits. The Department requires the requested budget increase to effectively fund all authorized positions.

CSA - Central services assessment is based on a percentage of collected revenue, which continues to increase. As such, an increase in the ceiling is needed for the increased assessment.

Rent- With the growth in positions related to the regulation of the federal affordable care act and the increased examiners needed for Hawaii's captive insurance industry, the Insurance Division had been working with DAGS the last few years to locate a suitable office space outside the fully occupied King Kalakaua building. With the recent liquidation of the Hawaii Health Connector, a suitable portion of their office space in the City Financial Tower became available for the Insurance Division's 15 position health branch to occupy.

Variances:

Between FY16 & FY17, expenditures expected to increase as vacancies become filled and a significant increase in contracted examination work is expected.

Between FY15 & FY16, revenues increased due to a larger assessment of the insurance industry 1.4M in FY15 to \$2.3M in FY16 to fund division operations.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	8,739,474	9,015,536	9,496,660	10,584,735	10,818,376	11,716,936	11,787,045
Beginning Cash Balance	4,179,556	4,122,154	3,910,165	3,536,140	5,055,425	3,090,928	(31,251)
Revenues 1/	8,055,527	8,613,693	8,575,611	9,692,453	10,240,810	10,190,810	10,491,000
Expenditures	6,514,143	7,189,767	7,370,927	6,668,473	10,818,376	11,716,936	11,787,045
Transfers							
List each by JV# and date							
JS1232 9/8/15				(376,174)			
JS3248 12/5/15				(376,174)			
JS4334 2/12/16				(376,174)			
JS5512 4/18/16				(376,173)			
Net Total Transfers	(1,598,786)	(1,635,915)	(1,578,709)	(1,504,695)	(1,386,931)	(1,596,053)	(1,600,090)
Ending Cash Balance	4,122,154	3,910,165	3,536,140	5,055,425	3,090,928	(31,251)	(2,927,386)
Encumbrances	596,628	1,363,009	955,610	1,158,100			
Unencumbered Cash Balance	3,525,526	2,547,156	2,580,530	3,897,325	3,090,928	(31,251)	(2,927,386)

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 2016.

Report on Non-General Fund Information
for Submittal to the 2017 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: Admin. Services
 Phone: 586-2830
 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:

Between FY16 & FY17, expenditures expected to increase as vacancies become filled.

Between FY14 & FY15, expenditures rose as positions were filled and additional examination work was contracted out.

From FY13 thru F15 revenues rose as number of Captive licensee's grew from 176 to 193.

	FY 2013 (actual)	FY 2014 (actual)	FY 2015 (actual)	FY 2016 (actual)	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	2,732,817	2,732,817
Beginning Cash Balance	3,811,602	4,117,661	4,746,720	5,348,686	6,011,624	5,615,818	5,213,001
Revenues 1/	1,889,230	2,143,205	2,516,940	2,421,983	2,330,000	2,330,000	2,330,000
Expenditures	1,583,171	1,514,146	1,914,974	1,759,045	2,725,806	2,732,817	2,732,817
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	6,011,624	5,615,818	5,213,001	4,810,184
Encumbrances	9,030	124,009	26,612	19,530			
Unencumbered Cash Balance	4,108,631	4,622,711	5,322,074	5,992,094	5,615,818	5,213,001	4,810,184

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 2016.

Report on Non-General Fund Information
for Submittal to the 2017 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: Admin. Services
 Phone: 586-2830
 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 is closed.

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)	(actual)	(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	0	0	0	0
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							

Report on Non-General Fund Information
for Submittal to the 2017 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: Admin. Services
 Phone: 586-2830
 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

Variations:

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)	(actual)	(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	2,815,842	2,815,842	2,815,842
Revenues	1,157,708	951,145	0	550,496	0	0	0
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	2,815,842	2,815,842	2,815,842	2,815,842
Encumbrances							
Unencumbered Cash Balance	1,314,201	2,265,346	2,265,346	2,815,842	2,815,842	2,815,842	2,815,842

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 2017 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; Act 348, SLH 1987

Contact Name: Admin. Services
 Phone: 586-2830
 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

Variances:

Revenues vary depending on the number of rate and form filings. Expected increase in Expenditures for FY17 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)	(actual)	(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	1,218,602	1,174,602	1,130,602
Revenues	141,752	169,132	148,392	159,013	156,000	156,000	157,000
Expenditures	58,220	72,496	81,972	86,427	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	1,218,602	1,174,602	1,130,602	1,087,602
Encumbrances	3,239	8,642	45,923	10,105			
Unencumbered Cash Balance	979,721	1,070,954	1,100,093	1,208,497	1,174,602	1,130,602	1,087,602

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 2017 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: Admin. Services
 Phone: 586-2830
 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:

Variations due to new or departing service contract provider security deposits.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	0	0	0	0	0	0	0
Beginning Cash Balance	41,560	41,560	41,560	66,560	50,000	50,000	50,000
Revenues	0	0	25,000	0	0	0	0
Expenditures	0	0	0	16,560	0	0	0
Transfers							
List each by JV# and date							
Net Total Transfers							
Ending Cash Balance	41,560	41,560	66,560	50,000	50,000	50,000	50,000
Encumbrances							
Unencumbered Cash Balance	41,560	41,560	66,560	50,000	50,000	50,000	50,000

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 2017 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: Admin. Services
 Phone: 586-2830
 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)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	0	0	0	0	0	0	0
Beginning Cash Balance	0	0	0	0	0	0	0
Revenues	0	0	0	0	0	0	0
Expenditures	0	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 2017 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: Admin. Services
 Phone: 586-2830
 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 (actual)	FY 2014 (actual)	FY 2015 (actual)	FY 2016 (actual)	FY 2017 (estimated)	FY 2018 (estimated)	FY 2019 (estimated)
Appropriation Ceiling	0	0	0	0	0	0	0
Beginning Cash Balance	512	513	514	516	519	519	519
Revenues	1	1	2	3	0	0	0
Expenditures	0	0	0	0	0	0	0
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0				
Ending Cash Balance	513	514	516	519	519	519	519
Encumbrances							
Unencumbered Cash Balance	513	514	516	519	519	519	519

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 2017 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 of interest earned and gains on assets.

Financial Data							
A/	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling							
Beginning Fund Balance	21,078,646	20,794,227	126,645,536	182,440,064	186,936,494	186,711,494	186,486,494
Revenues	83,873	1,540,120	2,910,894	7,769,259	3,100,000	3,100,000	3,100,000
Expenditures	49,644	101,507	175,995	223,441	225,000	225,000	225,000
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)	(3,049,388)	(3,100,000)	(3,100,000)	(3,100,000)
Net Total Transfers	(318,648)	104,412,696	53,059,629	(3,049,388)	(3,100,000)	(3,100,000)	(3,100,000)
Ending Fund Balance	20,794,227	126,645,536	182,440,064	186,936,494	186,711,494	186,486,494	186,261,494
Encumbrances							
Unencumbered Cash Balance	21,078,646	126,645,536	182,440,064	186,936,494	186,711,494	186,486,494	186,261,494

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 2017 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: 586-7327
 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 and authorize qualified post-secondary educational institutions and receive and process complaints against authorized institutions.

Purpose of Proposed Ceiling Increase (if applicable):

N/A

Variances:

Institutions apply for re-authorization biennially resulting in variances between fiscal years.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling			263,796	282,233	288,611	288,611	288,611
Beginning Cash Balance		0	0	336,583	367,317	91,378	60,853
Revenues 1/			57,726	241,827	49,400	297,400	96,400
Expenditures			109,284	171,080	288,611	288,611	288,611
Transfers							
List each by JV# and date							
JS1232 9/8/15				(10,003)			
JS3248 12/5/15				(10,003)			
JS4334 2/12/16				(10,003)			
JS5512 4/18/16				(10,004)			
Net Total Transfers			388,141	(40,013)	(36,728)	(39,314)	(39,179)
Ending Cash Balance	0	0	336,583	367,317	91,378	60,853	(170,537)
Encumbrances			3,104		0	0	0
Unencumbered Cash Balance	0	0	333,479	367,317	91,378	60,853	(170,537)

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 2016.

Report on Non-General Fund Information
for Submittal to the 2017 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: Admin. Services
 Phone: 586-2830
 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):

Fringe benefits

Pursuant to Finance Memorandum No. 16-12, the State's fringe benefit assessment rate for non-general fund programs increases to 60% for FY 18 and FY 19 due primarily to the projected costs for the prefunding of other post-employment benefits. The Department requires the requested budget increase to effectively fund all authorized positions.

Attorney: Add 1 Staff Attorney II position and funds to provide sufficient legal resources to prosecute individuals and companies who commit unfair or deceptive trade practices in the state of Hawaii.

Variations:

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 17 forward projected to ceiling.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	1,524,748	1,781,593	1,784,652	2,025,447	2,109,294	2,301,177	2,363,212
Beginning Cash Balance	1,776,108	5,586,878	4,640,406	5,695,453	6,264,470	6,494,674	6,090,336
Revenues 1/	5,278,539	95,772	2,331,058	2,300,911	2,610,300	2,210,300	2,211,000
Expenditures	1,719,569	1,492,728	1,744,937	1,731,894	2,109,294	2,301,177	2,363,212
Transfers							
List each by JV# and date							
JS1232 9/8/15				126,590			
JS3248 12/5/15				126,590			
JS4334 2/12/16				(253,180)			
Net Total Transfers	251,800	450,484	468,926		(270,802)	(313,461)	(320,806)
Ending Cash Balance	5,586,878	4,640,406	5,695,453	6,264,470	6,494,674	6,090,336	5,617,318
Encumbrances	11,985	46,186	14,724	20,282			
Unencumbered Cash Balance	5,574,893	4,594,220	5,680,729	6,244,188	6,494,674	6,090,336	5,617,318

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 2016.

Report on Non-General Fund Information
for Submittal to the 2017 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: Admin Services
 Phone: 586-2830
 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)	(actual)	(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	91,184	106,184	106,184
Revenues 1/	4,102	18,210	5,940	15,772	15,000	0	0
Expenditures	0	57,675	29,824	8,760	0	0	0
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0		0	0	0
Ending Cash Balance	147,521	108,056	84,172	91,184	106,184	106,184	106,184
Encumbrances							
Unencumbered Cash Balance	147,521	108,056	84,172	91,184	106,184	106,184	106,184

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 2016.

Report on Non-General Fund Information
for Submittal to the 2017 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: Admin Services
 Phone: 586-2830
 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, 425R, 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, sales 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 filing laws. Conduct investor education programs and outreach statewide.

Purpose of Proposed Ceiling Increase (if applicable):

Fringe Benefits- Pursuant to Finance Memorandum No. 16-12, the State's fringe benefit assessment rate for non-general fund programs increases to 60% for FY 18 and FY 19 due primarily to the projected costs for the prefunding of other post-employment benefits. The Department requires the requested budget increase to effectively fund all authorized positions.

Deputy Commissioner- Budget ceiling increase requested to add the permanent position of Deputy Securities Commissioner to provide support to the Business Registration Division (BREG). The position would assist the Securities Commissioner by carrying out policies and initiatives set forth by the Commissioner in handling the day-to-day administrative and operational functions of BREG. The Commissioner is the final adjudicator in the administrative legal cases prosecuted by the Securities Enforcement Branch (SEB); while cases are being investigated and litigated, the Commissioner is unable to know the specifics about a case and as a result, is unable to manage certain aspects of cases in order to maintain objectivity and fairness in this legal process. The Deputy Commissioner would be able to actively manage all aspects and provide oversight to the SEB. The Deputy Commissioner would provide program continuity and expertise as the Commissioner position is filled by appointment.

IT Project- Program operating budget ceiling increase in the amount of \$420,000 requested for FY18 for the Division's IT improvement project; and \$70,000 per year thereafter is requested to cover recurring annual costs. This IT project will allow BREG to replace the current ineffective CMS application and provide a solution to modernize the current manual system of tracking the intake and review of franchise and securities filings and applications and field examinations. A new application is needed to efficiently be able to manage the caseload of the Securities Enforcement Branch and to allow for data analysis in order to provide for proper data reporting and management.

Variances:

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 FY17 estimated expenditures can be attributed to the comparison of an actual number (FY16) to an estimated number (FY17) that is projected to ceiling.

The variance for FY18 estimated expenditures can be attributed to the requested ceiling increases as stated above in this report.

	Financial Data						
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	6,472,012	6,649,240	6,649,240	7,317,621	7,414,132	8,491,686	8,233,254
Beginning Cash Balance	9,032,676	11,200,800	11,870,606	11,483,982	11,583,995	9,494,028	6,140,724
Revenues 1/	8,598,228	7,321,288	6,314,503	6,752,319	6,295,100	6,295,100	6,295,100
Expenditures	5,241,954	5,433,372	5,592,877	5,614,881	7,414,132	8,491,686	8,233,254
Transfers							
List each by JV# and date							
JS1232 9/8/15				(259,356)			
JS3248 12/5/15				(259,356)			
JS4334 2/12/16				(259,356)			
JS5512 4/18/16				(259,357)			
Net Total Transfers	(1,188,150)	(1,218,110)	(1,108,250)	(1,037,425)	(970,935)	(1,156,718)	(1,117,664)
Ending Cash Balance 2/	11,200,800	11,870,606	11,483,982	11,583,995	9,494,028	6,140,724	3,084,906
Encumbrances	137,815	181,470	148,786	97,088			
Unencumbered Cash Balance	11,062,985	11,689,136	11,335,196	11,486,907	9,494,028	6,140,724	3,084,906

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 2016.

**Report on Non-General Fund Information
for Submittal to the 2017 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: Admin Services
 Phone: 586-2830
 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):

Position Conversion- A better ratio of investigators to attorneys should lead to more efficient, effective and timely licensing enforcement.

Fringe Benefits- Pursuant to Finance Memorandum No. 16-12, the State's fringe benefit assessment rate for non-general fund programs increases to 60% for FY 18 and FY 19 due primarily to the projected costs for the prefunding of other post-employment benefits. The Department requires the requested budget increase to effectively fund all authorized positions.

CSA- Central services assessment is based on a percentage of collected revenue, which continues to increase. As such, an increase in the ceiling is needed for the increased assessment.

Variations:

Division saw an increase in revenue following an emergency fee increase of 23% approved in FY 15 and varying permanent fee increases effective 5/6/2016. Revenues vary due to renewal cycle. Expenditure variance for FY 17 and FY 18 due to projection to ceiling.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	5,405,578	5,631,030	5,631,030	6,442,820	6,631,429	7,167,144	7,167,144
Beginning Cash Balance	5,928,338	5,850,462	5,496,577	6,755,209	7,542,530	7,338,118	5,392,510
Revenues 1/	5,763,254	5,574,322	7,235,025	7,052,051	7,336,919	6,197,827	7,336,769
Expenditures	4,844,071	4,898,100	5,024,655	5,351,326	6,631,429	7,167,144	7,167,144
Transfers							
List each by JV# and date							
JS1232 9/8/15				(228,351)			
JS3248 12/5/15				(228,351)			
JS4334 2/12/16				(228,351)			
JS5512 4/18/16				(228,351)			
Net Total Transfers	(997,059)	(1,030,107)	(951,738)	(913,404)	(909,902)	(976,291)	(972,939)
Ending Cash Balance	5,850,462	5,496,577	6,755,209	7,542,530	7,338,118	5,392,510	4,589,196
Encumbrances	34,963	31,213	37,334	498,379	73,647	73,647	73,647
Unencumbered Cash Balance	5,815,499	5,465,364	6,717,875	7,044,151	7,264,471	5,318,863	4,515,549

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 2016.

Report on Non-General Fund Information
for Submittal to the 2017 Legislature

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-112
 Name of Fund: State Certified Motor Vehicle Arbitration Fund
 Legal Authority: Chapter 4811, HRS

Contact Name: Admin Services
 Phone: 586-2830
 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 4811, 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 4811, HRS.

Purpose of Proposed Ceiling Increase (if applicable):

Not Applicable

Variances:

Revenues and expenditures will vary depending on arbitration fees received and costs paid for arbitration hearings.

Financial Data							
	FY 2013 (actual)	FY 2014 (actual)	FY 2015 (actual)	FY 2016 (actual)	FY 2017 (estimated)	FY 2018 (estimated)	FY 2019 (estimated)
Appropriation Ceiling	0	0	0	0	0	0	0
Beginning Cash Balance	131,250	129,591	124,356	124,177	123,897	125,897	127,897
Revenues 1/	2,300	1,400	4,275	3,100	2,000	2,000	2,000
Expenditures	3,959	6,635	4,454	3,380	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	123,897	125,897	127,897	129,897
Encumbrances	812	0	100				
Unencumbered Cash Balance	128,779	124,356	124,077	123,897	125,897	127,897	129,897

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 2016.

Report on Non-General Fund Information
for Submittal to the 2017 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: Admin Services
 Phone: 586-2830
 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 13 due to program ending.

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(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 2017 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: Admin Services
 Phone: 586-2830
 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 MICP 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):
 Fringe benefits
 Pursuant to Finance Memorandum No. 16-12, the State's fringe benefit assessment rate for non-general fund programs increases to 60% for FY 18 and FY 19 due primarily to the projected costs for the prefunding of other post-employment benefits. The Department requires the requested budget increase to effectively fund all authorized positions.

Chiller maintenance-Currently DAGs is covering 100% of the cost to maintain the condenser water system. This cost should be shared by both the USPS (Post Office) and DCCA.

Variances
 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. Variances in FY 16 and FY 17 due to PUC added as an attached agency. FY 18 and 19 variances due to non-recurring adjustment.

Expenditure variances for FY 17 forward reflect spending to ceiling.

Financial Data							
	FY 2013	FY 2014 ²	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	6,532,299	7,259,050	6,880,350	7,595,620	7,761,845	8,130,870	8,130,870
Beginning Cash Balance	1,987,718	2,613,491	3,521,497	2,874,897	3,222,005	3,008,586	2,753,873
Revenues 1/	476,511	1,175,247	513,607	951,322	1,226,397	861,372	861,372
Expenditures	5,978,497	6,411,244	6,543,591	6,777,852	7,761,845	8,130,870	8,130,870
Transfers							
List each by JV# and date							
JS6158 5/23/16				250,000			
JS1232 9/8/15				1,354,319			
JS3248 12/5/15				1,354,319			
JS4334 2/12/16				1,734,089			
JS5512 4/18/16				1,480,911			
Net Total Transfers	6,127,759	6,144,003	5,383,384	6,173,638	6,322,029	7,014,785	7,014,785
Ending Cash Balance	2,613,491	3,521,497	2,874,897	3,222,005	3,008,586	2,753,873	2,499,160
Encumbrances	204,317	198,299	381,236	210,390			
Unencumbered Cash Balance	2,409,174	3,323,198	2,493,661	3,011,615	3,008,586	2,753,873	2,499,160

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 2016.

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

Report on Non-General Fund Information
for Submittal to the 2017 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 2017 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: Admin Services
 Phone: 586-2830
 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- Lower than expected fee collections. FY 17 based on projections.

Expenditure variances: FY14-16 - due to vacancies, and positions are anticipated to be vacant for the out-years due to lack of program activities. FY 17 due to estimated program activity

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	1,850,000	1,850,000	306,461	306,461	306,461	242,282	242,282
Beginning Cash Balance	260,972	121,071	238,185	337,232	153,230	103,130	59,027
Revenues 1/	4,613	34,723	105,160	70,247	88,900	88,900	89,000
Expenditures	144,514	117,609	6,113	4,249	100,000	100,000	100,000
Transfers							
List each by JV# and date							
JS6158 5/23/16				(250,000)			
Net Total Transfers	0	200,000		(250,000)	(39,000)	(33,003)	(32,890)
Ending Cash Balance	121,071	238,185	337,232	153,230	103,130	59,027	15,137
Encumbrances	9,659	97	149	140			
Unencumbered Cash Balance	111,412	238,088	337,083	153,090	103,130	59,027	15,137

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 2016.

Report on Non-General Fund Information
for Submittal to the 2017 Legislature

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

Contact Name: Key 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

Variations:

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)	(actual)	(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	1,149,621	1,616,246	935,472
Revenues	1,841,835	1,971,185	2,108,604	2,108,673	1,988,280	1,863,506	2,191,000
Expenditures	1,603,161	2,450,661	1,809,769	2,769,673	1,521,655	2,544,280	1,535,655
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0				
Ending Cash Balance	1,991,262	1,511,786	1,810,621	1,149,621	1,616,246	935,472	1,590,817
Encumbrances	13,302	8,812	0	9,575			
Unencumbered Cash Balance	1,977,960	1,502,974	1,810,621	1,140,046	1,616,246	935,472	1,590,817

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 2017 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

Contact Name: Phyllis Paik/Renee Nakagawa
 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 Division of Consumer Advocacy ("DCA") of the Department Of Commerce and Consumer Affairs ("DCCA") for all expenses incurred in the administration of chapters, 269, 271, 271G, 269E, and 786J and for costs incurred by DCCA to fulfill the department's limited oversight and administrative support functions provided that the expenditures are in accordance with the legislative appropriations.

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:

Provides effective, proactive, and informed oversight of all regulated entities to ensure that they operate at a high level of performance so as to serve the public fairly, efficiently, safely, and reliably, while addressing the goals and future needs of the State in the most economically, operationally, and environmentally sound manner, and affording the opportunity for regulated entities to achieve and maintain commercial viability. 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 Adjustment (if applicable):

\$72,683 for recurring costs for office expansion renovation project and reorganization implementation, \$303,949 For non recurring costs for office expansion renovation project and reorganization implementation, and \$942,000 for consultant and staff training costs to assist with the Commission's investigations of highly technical and complex dockets as it applies to the renewable energy initiatives.

Variances:

Expenditure variance for FY 17 is based on spending to ceiling

Financial Data							
	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling				17,828,567	16,045,272	15,056,028	15,056,028
Beginning Cash Balance	0	0	0	0	7,877,122	11,941,151	16,994,924
Revenues				22,497,217	20,109,301	20,109,801	20,110,000
Expenditures				13,145,207	16,045,272	15,056,028	15,056,028
Transfers							
List each net transfer in/out/ or projection in/out; list each account number							
JS3554 PUC16-1	10/5/2016			(3,264,149)			
JS7050 PUC16-148	6/29/2016			(1,622,745)			
JS0038 BF16-001	7/7/2015			1,000,000			
JS0219 160109	7/20/2015			2,472,006			
JS7080 PUC16-0	8/17/2015			(60,000)			
Net Total Transfers	0	0	0	(1,474,888)	0	0	0
Ending Cash Balance	0	0	0	7,877,122	11,941,151	16,994,924	22,048,896
Encumbrances				2,009,502			
Unencumbered Cash Balance	0	0	0	5,867,620	11,941,151	16,994,924	22,048,896

Additional Information:

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