

**Report on Non-General Fund Information
for Submittal to the 2020 Legislature**

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

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

Intended Purpose:

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

Source of Revenues:

Federal grant from the U.S. Department of Commerce

Current Program Activities/Allowable Expenses:

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

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

Purpose of Proposed Ceiling Increase (if applicable):

Not applicable.

Variances:

Variances in the revenues and expenditures each year reflect 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 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling							
Beginning Cash Balance	42,716	0	0	0	0	0	0
Revenues 2/	0	0	0	0	0	0	0
Expenditures	42,716	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	42,716	0	0				
Unencumbered Cash Balance	(42,716)	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							

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 2019.

**Report on Non-General Fund Information
for Submittal to the 2020 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: Dean Hazama
 Phone: 586-2844
 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):

None.

Variances:

Generally, the variances in revenues each year is due to changes in the gross revenues of the cable operators in the State. For FY19, FY20 and going forward, the variance in revenues is largely due to DCCA's decision to decrease the annual fee assessed on cable operators from 1% to 0%, effective July 1, 2019, until further order of the DCCA Director (Decision and Order No. 375; May 9, 2019). Variances in expenditures each year including FY19 and FY20 relate to: (1) planned management audits and other cable matters using consulting services (e.g., franchise renewals, PEG designations, federal FCC proceedings, etc.); and (2) increased broadband activities required of the Department. FY20 expenditures also include FY19 encumbrances for consulting/expert services.

Financial Data							
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	2,534,951	2,559,971	2,609,370	2,609,370	2,648,986	2,519,616	2,519,616
Beginning Cash Balance	5,289,972	6,755,529	8,429,071	9,804,965	11,023,754	8,061,982	6,061,773
Revenues 1/	2,873,488	3,160,317	2,989,888	3,117,085	60,000	1,000,000	1,000,000
Expenditures	1,048,549	1,160,764	1,266,628	1,541,021	2,648,986	2,519,616	2,519,616
Transfers							
List each by JV# and date							
To S-310-R JS1359				(89,318)			
To S-310-R JS2237				(89,318)			
To S-310-R JS3137				(89,318)			
To S-310-R JS4734				(89,321)			
Net Total Transfers	(359,382)	(326,011)	(347,366)	(357,275)	(372,786)	(480,593)	(480,593)
Ending Cash Balance	6,755,529	8,429,071	9,804,965	11,023,754	8,061,982	6,061,773	4,061,564
Encumbrances	814,413	562,473	532,788	914,799	600,000	600,000	600,000
Unencumbered Cash Balance	5,941,116	7,866,598	9,272,177	10,108,955	7,461,982	5,461,773	3,461,564

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 2019.

**Report on Non-General Fund Information
for Submittal to the 2020 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: Dean Hazama
 Phone: 586-2844
 Fund type (MOF): Funds held outside of State Treasury
 Appropriation Acct. No.: T-xx-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: (1) expand broadband access statewide through the establishment of a Mobile WiFi Hotspot Lending Pilot Program administered by the Hawaii State Public Library System (HSPLS); and (2) provide necessary funds to offset some of the anticipated impacts of the Federal Communications Commission's (FCC) 2019 Franchise Fees Order, issued in FCC Docket No. 05-311, adopted August 1, 2019 (FCC's 2019 Franchise Fees Order).

Variances:

Variance in revenues each year occurred due to changes in Oceanic's (now known as Spectrum) gross revenues, which are based on the number of customers and cable packages to which such customers subscribe. The variance in FY19 expenditure reflects the transfer made by the Department to the DOE in compliance with Act 53, Session Laws of Hawaii which authorized and required the transfer. Revenues (aside from simple interest) for this account is expected to cease since Spectrum is no longer required to hold funds for INET and broadband related purposes in the account, under Decision and Order No. 372, issued by the Department on March 23, 2018. In FY20, due to a review of Spectrum's calculations of franchise fees and true-up requirements, about \$80,330 is expected added as revenues to the account.

Financial Data							
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling				7,920,000	0	897,000	0
Beginning Cash Balance	6,763,426	7,569,895	8,231,476	8,731,154	814,687	896,625	0
Revenues	806,469	661,581	499,678	3,533	81,938	0	0
Expenditures				7,920,000	0	896,625	0
Transfers							
List each by JV# and date			0	0			
Net Total Transfers			0	0			
Ending Cash Balance	7,569,895	8,231,476	8,731,154	814,687	896,625	0	0
Encumbrances					0	0	0
Unencumbered Cash Balance	7,569,895	8,231,476	8,731,154	814,687	896,625	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 2020 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: Dean Hazama
 Phone: 586-2844
 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(s): Interest revenues will vary depending on the amount of cash balances.

Expenditure variance(s): Actual expenditures have varied from estimates for a number of reasons, including, but not limited to: 1) vacancies that caused lower than budgeted payroll expenditures; and 2) certain dockets not proceeding, which caused anticipated consulting charges and contracts to be lower than expected. The increases in FY 2018 and FY2017 over prior year expenditures were related to consulting services needed for an increasing number of investigations and the additional work around certain key events (e.g., the 2017 Tax Act). The decrease in FY 2019 from the prior year is due to a decrease in some of the activities in certain dockets in the beginning of FY 2019, which decreased the need for encumbered money in consultant contracts. It is anticipated that the Division will continue to fill personnel vacancies and the need for consulting services should ramp up as certain investigations increase in intensity and require greater allocation of resources.

Financial Data							
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	4,159,141	4,241,213	4,230,174	4,138,705	4,494,086	4,494,086	4,494,086
Beginning Cash Balance	6,423,685	7,476,675	8,464,730	9,007,735	10,218,187	7,358,701	6,521,498
Revenues 1/	42,101	57,954	50,357	69,923	20,000	20,000	20,000
Expenditures	2,574,933	2,876,023	3,292,626	2,637,783	4,494,086	4,494,086	4,494,086
Transfers							
List each by JV# and date							
To S-310-R JS1359				(142,523)			
To S-310-R JS2237				(142,523)			
To S-310-R JS3137				(142,523)			
To S-310-R JS4734				(142,523)			
Fr S-340-R JS1303				1,087,101			
Fr S-340-R JS2624				1,087,101			
Fr S-340-R JS4174				1,087,101			
Fr S-340-R JS5399				1,087,101			
Net Total Transfers	3,585,822	3,806,124	3,785,274	3,778,312	1,614,600	3,636,883	3,636,883
Ending Cash Balance	7,476,675	8,464,730	9,007,735	10,218,187	7,358,701	6,521,498	5,684,295
Encumbrances	1,735,797	2,057,389	1,684,596	1,794,802	1,800,000	1,800,000	1,800,000
Unencumbered Cash Balance	5,740,878	6,407,341	7,323,139	8,423,385	5,558,701	4,721,498	3,884,295

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 2019.

**Report on Non-General Fund Information
for Submittal to the 2020 Legislature**

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

Contact Name: Dean Hazama
 Phone: 586-2844
 Fund type (MOF) Trust Funds (T)
 Appropriation Acct. No. T-xx-932-R

Intended Purpose:

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

Purpose of Proposed Ceiling Increase (if applicable):

Not Applicable.

Variances:

As stated last year, this fund is shared among DO, OCP, and DFI. As such, it is difficult to know primary reasons for variances in expenditures. DFI's settlement fund was for a specific amount and there were no other sources of revenues. As of September 10, 2019, DFI's balance was \$129,316.24. That balance will be spent on training, and investigations and complaints, the majority of which involve the mortgage industry.

Financial Data							
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling				0	0	0	0
Beginning Cash Balance	1,013,136	712,427	1,037,538	480,822	368,611	256,611	144,611
Revenues 1/	184,666	501,536	0		0	0	0
Expenditures	485,375	176,425	556,716	112,211	112,000	112,000	112,000
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0				
Ending Cash Balance	712,427	1,037,538	480,822	368,611	256,611	144,611	32,611
Encumbrances	3,522	435,360					
Unencumbered Cash Balance	708,905	602,178	480,822	368,611	256,611	144,611	32,611

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 2019.

Report on Non-General Fund Information
for Submittal to the 2020 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: Dean Hazama
 Phone: 586-2844
 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):

DMS -- an increase in ceiling is needed to cover the annual cost of \$50,000 for the document management system provided by MicroPact.

Variances:

The 28% projected decrease in revenues from FY 2019 FY 2020 is due to HRS 92-28 request. The 18% projected increase in revenue from FY 2020 to FY 2021 is due to the restoration of renewal fees post-HRS 92-28 request, but also reflects projected continuing decline in new MLO licenses. Additionally, new MT licenses are projected to continue to decline. Expenditure increases of 21% in 2017 and 30% in 2018 are due to filling of vacant examiner positions and the upfront costs associated with MicroPact, which is the new data management system for the Division. The 11% increase in expenditures in FY 2020 are due to document management system provided by MicroPact, nearly full staffing, and some miscellaneous unanticipated MicroPact related costs.

Financial Data							
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	4,090,957	4,972,852	4,836,792	4,979,192	5,175,488	5,225,488	5,225,488
Beginning Cash Balance	7,860,332	9,480,492	10,910,845	11,365,807	11,498,910	9,547,097	7,986,617
Revenues 1/	5,115,594	5,578,295	5,678,122	5,503,582	3,952,010	4,661,720	4,607,000
Expenditures	2,915,456	3,513,574	4,579,275	4,681,776	5,175,488	5,225,488	5,225,488
Transfers							
List each by JV# and date							
To S-310-R JS1359				(172,175)			
To S-310-R JS2237				(172,175)			
To S-310-R JS3137				(172,175)			
To S-310-R JS4734				(172,178)			
Net Total Transfers	(579,978)	(634,368)	(643,885)	(688,703)	(728,335)	(996,712)	(996,712)
Ending Cash Balance	9,480,492	10,910,845	11,365,807	11,498,910	9,547,097	7,986,617	6,371,417
Encumbrances	30,264	505,001	156,457	184,479	115,000	0	0
Unencumbered Cash Balance	9,450,228	10,405,844	11,209,350	11,314,431	9,432,097	7,986,617	6,371,417

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 2019.

**Report on Non-General Fund Information
for Submittal to the 2020 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: Dean Hazama
 Phone: 586-2844
 Fund type (MOF): Trust Funds (T)
 Appropriation Acct. No. T-XX-926-R

Intended Purpose:

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

Source of Revenues:

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

Current Program Activities/Allowable Expenses:

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

Purpose of Proposed Ceiling Increase (if applicable):

Ceiling increase of \$100,000 to permit payout to a claimant to be up to \$300,000, plus attorney fees and court costs.

Variances:

The 25% decrease revenues in 2018 was due to ceasing to collect renewal fees, and a decline in applications of MLOs and MLOCs. The drop off in revenue beginning in FY 2020 results from suspension of collection of all fees until the fund reduces to \$750,000. Expenditures vary based on claims paid.

Financial Data							
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	220,000	220,000	220,000	110,000	301,000	301,000	301,000
Beginning Cash Balance	1,429,965	1,578,165	1,813,815	1,990,715	2,155,365	1,905,365	1,905,365
Revenues 1/	148,500	235,650	176,900	164,650	0	0	0
Expenditures	0	0	0	0	250,000	0	0
Transfers							
List each by JV# and date							
Net Total Transfers			0		0	0	0
Ending Cash Balance	1,578,465	1,813,815	1,990,715	2,155,365	1,905,365	1,905,365	1,905,365
Encumbrances					0	0	
Unencumbered Cash Balance	1,578,465	1,813,815	1,990,715	2,155,365	1,905,365	1,905,365	1,905,365

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 2019.

**Report on Non-General Fund Information
for Submittal to the 2020 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: Dean Hazama
 Phone: 586-2844
 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 (PVL) as provided by HRS 26-9(o) which authorizes PVL to collect fees from persons licensed upon issuance of a license, permit, certificate or registration, and to collect renewal fees to further protect the interests of consumers throughout the State.

Source of Revenues:

Application, license, and renewal fees.

Current Program Activities/Allowable Expenses:

For 52 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):

N/A

Variances:

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

Expenditure variance is based on projection to ceiling.

Financial Data							
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	6,341,895	6,484,103	7,085,895	7,237,863	7,892,944	7,892,944	7,892,944
Beginning Cash Balance	4,639,114	5,467,749	6,715,727	9,024,902	9,545,440	9,832,739	8,447,292
Revenues 1/	7,713,382	7,811,810	9,426,050	7,672,015	9,291,000	8,013,000	8,855,000
Expenditures	5,985,651	5,705,641	6,178,013	6,144,357	7,892,944	7,892,944	7,892,944
Transfers							
List each by JV# and date							
To S-310-R JS1359				(251,921)			
To S-310-R JS2237				(251,921)			
To S-310-R JS3137				(251,921)			
To S-310-R JS4734				(251,923)			
Fr S-363-R JS1115				566			
Net Total Transfers	(899,096)	(858,191)	(938,862)	(1,007,120)	(1,110,757)	(1,505,503)	(1,505,503)
Ending Cash Balance	5,467,749	6,715,727	9,024,902	9,545,440	9,832,739	8,447,292	7,903,845
Encumbrances	42,622	148,363	1,043,284	60,541			
Unencumbered Cash Balance	5,425,127	6,567,364	7,981,618	9,484,899	9,832,739	8,447,292	7,903,845

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 2019.

Report on Non-General Fund Information
for Submittal to the 2019 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: Dean Hazama
 Phone: 586-2844
 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):

N/A

Variances:

Renewals are on a biennial basis resulting in variances between FYs. Fund folded into S305.

Financial Data							
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	40,000	40,000					
Beginning Cash Balance	0	1,980	4,425	0	0	0	0
Revenues	6,912	2,576	570	0	0	0	0
Expenditures	4,932	131		0	0	0	0
Transfers							
List each net transfer in/out/ or projection in/out; list each account number							
			(4,429)				
Net Total Transfers	0	0	(4,429)	0	0	0	0
Ending Cash Balance	1,980	4,425	566	0	0	0	0
Encumbrances							
Unencumbered Cash Balance	1,980	4,425	566	0	0	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 2020 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: Dean Hazama
 Phone: 586-2844
 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):

N/A

Variations:

Revenue variations - Renewal fees are on a biennial basis resulting in variations between FYs.

Expense variations - Based on claims paid.

50% fee waiver in FY 2020

Financial Data							
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	502,310	504,592	508,128	508,128	509,869	510,534	510,534
Beginning Cash Balance	710,776	740,077	814,981	876,360	910,535	460,666	0
Revenues	79,402	121,460	131,921	127,348	60,000	0	0
Expenditures	50,101	46,556	70,542	93,173	509,869	460,666	0
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0				
Ending Cash Balance	740,077	814,981	876,360	910,535	460,666	0	0
Encumbrances			5,695	1,423			
Unencumbered Cash Balance	740,077	814,981	870,665	909,112	460,666	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 2020 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 2020 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: Dean Hazama
 Phone: 586-2844
 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):

N/A

Variations:

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

Financial Data							
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	689,052	713,214	818,958	844,626	863,508	871,744	871,744
Beginning Cash Balance	754,352	394,194	1,218,073	817,810	1,601,167	887,659	1,465,915
Revenues	90,264	1,355,680	170,907	1,409,993	150,000	1,450,000	160,000
Expenditures	450,422	531,801	571,170	626,636	863,508	871,744	871,744
Transfers							
List each by JV# and date							
Net Total Transfers	0	0					
Ending Cash Balance	394,194	1,218,073	817,810	1,601,167	887,659	1,465,915	754,171
Encumbrances	48,797	1,239	30,929	3,306			
Unencumbered Cash Balance	345,397	1,216,834	786,881	1,597,861	887,659	1,465,915	754,171

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 2020 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 2020 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: Dean Hazama
 Phone: 586-2844
 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):
 N/A

Variations:
 Revenue variances - Renewal fees are on a biennial basis resulting in variances between FYs. FY2019 was reduced due to a fee waiver.
 FY 18-19 expenditure variance due to filling of vacancy.

Financial Data							
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	657,587	865,274	962,165	995,165	1,013,867	1,004,966	1,004,966
Beginning Cash Balance	1,889,658	1,634,488	2,548,224	2,186,051	2,251,082	1,691,082	1,691,082
Revenues 1/	182,933	1,469,887	244,484	780,985	215,000	800,000	215,000
Expenditures	438,103	556,151	606,657	715,954	775,000	800,000	800,000
Transfers							
List each by JV# and date							
			0				
Net Total Transfers		0	0				
Ending Cash Balance	1,634,488	2,548,224	2,186,051	2,251,082	1,691,082	1,691,082	1,106,082
Encumbrances	220	1,527	1,162	28,944			
Unencumbered Cash Balance	1,634,268	2,546,697	2,184,889	2,222,138	1,691,082	1,691,082	1,106,082

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 2019.

**Report on Non-General Fund Information
for Submittal to the 2020 Legislature**

DCCA Non-General Fund Information- Condominium Education Trust Fund

Page 2

Intended Purpose:

514B-71, HRS, the Condominium Education Trust Fund is intended to finance or promote: "(1) Education and research in the field of condominium management, condominium

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 2020 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.

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 2020 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: Dean Hazama
 Phone: 586-2844
 Fund type (MOF): Trust Funds (T)
 Appropriation Acct. No. T-XX-908-R

Intended Purpose:

Section 444-26, HRS provides that 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 from the Contractors Recovery Fund.

Source of Revenues:

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

Current Program Activities/Allowable Expenses:

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

Purpose of Proposed Ceiling Increase (if applicable):

Not applicable.

Variations:

Revenue variations - Renewal fees are on a biennial basis resulting in variations between FYs. FY20 variance due to 92-28 fee reduction. Expenditure variations - Dependent upon the amount of claims paid.

Financial Data							
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(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	838,038	791,515	890,827	924,583	984,240	860,240	745,240
Revenues 1/	76,470	154,495	73,202	133,303	76,000	85,000	76,000
Expenditures	122,993	55,183	39,446	73,646	200,000	200,000	200,000
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0				
Ending Cash Balance	791,515	890,827	924,583	984,240	860,240	745,240	621,240
Encumbrances		4,266	1,990				
Unencumbered Cash Balance	791,515	886,561	922,593	984,240	860,240	745,240	621,240

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 2019.

**Report on Non-General Fund Information
for Submittal to the 2020 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: Dean Hazama
 Phone: 586-2844
 Fund type (MOF): Trust Funds (T)
 Appropriation Acct. No. T-XX-909-R

Intended Purpose:

Section 444-29, HRS provides that the Contractors Education fund is 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):

N/A

Variations:

Revenue variances - Renewal fees are on a biennial basis resulting in variances between FYs. FY20 variance due to 92-28 fee reduction. Expenditures vary based on planned program activities.

Financial Data							
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	16,968	16,968	16,968	16,968	161,600	161,600	161,600
Beginning Cash Balance	501,185	510,083	551,695	560,524	605,613	555,613	503,113
Revenues 1/	13,238	46,717	13,829	48,064	10,000	7,500	10,000
Expenditures	4,340	5,105	5,000	2,975	60,000	60,000	60,000
Transfers							
List each by JV# and date							
Net Total Transfers	0	0					
Ending Cash Balance	510,083	551,695	560,524	605,613	555,613	503,113	453,113
Encumbrances	0	0					
Unencumbered Cash Balance	510,083	551,695	560,524	605,613	555,613	503,113	453,113

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 2019.

**Report on Non-General Fund Information
for Submittal to the 2020 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: Dean Hazama
 Phone: 586-2844
 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 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	55,000	55,000	55,000	55,000	55,000	55,000	55,000
Beginning Cash Balance	5,330	5,250	4,970	3,890	3,530	3,530	3,530
Revenues 1/	37,720	2,000	37,720	2,040	37,720	2,000	37,720
Expenditures	37,800	2,280	38,800	2,400	37,720	2,000	37,720
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0				
Ending Cash Balance	5,250	4,970	3,890	3,530	3,530	3,530	3,530
Encumbrances	0	0					
Unencumbered Cash Balance	5,250	4,970	3,890	3,530	3,530	3,530	3,530

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 2019.

**Report on Non-General Fund Information
for Submittal to the 2020 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 2020 Legislature**

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-105
 Name of Fund: Appraisal Management Company Registry Fee
 Legal Authority: Chapter 466L, HRS

Contact Name: Dean Hazama
 Phone: 586-2844
 Fund type (MOF): Trust Funds (T)
 Appropriation Acct. No.: T-18-930-R

Intended Purpose:

See attached.

Source of Revenues:

The Federal Financial Institutions Examination Council ("FFIEC") mandates that each state collect \$25 per Appraisal Management Company (AMC) panel member who has done appraisal work in this State to maintain the federal national AMC registry. AMCs must be on the national registry to allow panel members 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):

N/A

Variances:

Revenue variance based on program activity. Expenditure variance based on projected activity.

Financial Data							
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling							
Beginning Cash Balance				23,200	29,750	25,000	25,000
Revenues 1/			23,200	6,550	25,000	25,000	25,000
Expenditures					29,750	25,000	25,000
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0		0	0	0
Ending Cash Balance	0	0	23,200	29,750	25,000	25,000	25,000
Encumbrances	0	0			0	0	0
Unencumbered Cash Balance	0	0	23,200	29,750	25,000	25,000	25,000

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 2019.

**Report on Non-General Fund Information
for Submittal to the 2020 Legislature**

DCCA Non-General Fund Information - Real Estate Appraisal Management Companies Trust Fund
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Intended Purpose:

The Legislature finds that the regulation of Appraisal Management Company (AMC) is reasonably necessary to protect consumers. The Legislature further finds that 12 United States Code §1222.20 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 (466L, HRS) are to implement the requirements of 12 United States Code Sec §1222.20 et seq. and to require registration of all federally regulated AMCs who engage licensed or certified appraisers in this State.

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 register AMCs in this State pursuant to this chapter and 12 United States Code §1222.20 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 §1222.20 et seq.;
3. To enforce this chapter and 12 United States Code §1222.20 et seq. and rules and regulations adopted pursuant thereto;
4. To discipline an AMC for any cause prescribed by this chapter or 12 United States Code §1222.20 et seq. for any violation of the rules and regulations and refuse to grant an AMC permission to conduct business in this State for any cause that would be grounds for disciplining an AMC;
5. To act as the designated representative of this State to implement 12 United States Code §1222.20 et seq.

**Report on Non-General Fund Information
for Submittal to the 2020 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, S-19-503

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 9/30/18

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:

Grant ended 9/30/18.

Financial Data							
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	1,000,000	250,000	250,000	250,000	250,000	250,000	250,000
Beginning Cash Balance	7,042	0	0	0	0	0	0
Revenues	630,528	308,857	199,753	218,676	0	0	0
Expenditures	637,570	308,857	199,753	218,676	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					
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							

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 2020 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: Dean Hazama
 Phone: 586-2844
 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):

n/a

Variations:

n/a

Financial Data							
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	3,100,000	3,100,000	3,100,000	3,600,000	3,600,000	3,600,000	3,600,000
Beginning Cash Balance	433,919	548,952	736,675	430,332	115,092	0	0
Revenues	3,215,033	3,287,723	3,293,657	3,284,760	3,310,000	3,335,000	3,360,000
Expenditures	0	0	0	0	0	0	0
Transfers							
List each by JV# and date							
To S-350-E JS5090				(2,363,188)			
To S-320-J JS5090				(1,181,594)			
To S-329-D JS5090				(55,218)			
Net Total Transfers	(3,100,000)	(3,100,000)	(3,600,000)	(3,600,000)	(3,425,092)	(3,335,000)	(3,360,000)
Ending Cash Balance	548,952	736,675	430,332	115,092	0	0	0
Encumbrances							
Unencumbered Cash Balance	548,952	736,675	430,332	115,092	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 2020 Legislature**

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

Contact Name: Dean Hazama
 Phone: 586-2844
 Fund type (MOF): Special Funds (B)
 Appropriation Acct. No.: S-XX-313-R

Intended Purpose:

The fund permits the Insurance Division to be self-sufficient.

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):

n/a

Variations:

Revenue varies based on assessment revenue need.
 Expenditure increases due to filling of vacancies.

Financial Data							
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	10,584,735	10,818,376	10,818,376	11,675,781	12,264,446	12,068,529	12,068,529
Beginning Cash Balance	3,536,140	5,055,425	4,374,385	4,690,032	3,089,949	2,199,226	1,122,961
Revenues 1/	9,692,453	8,629,084	10,300,449	9,510,730	11,335,225	12,236,123	13,312,388
Expenditures	6,668,473	7,923,193	8,425,016	9,505,993	10,500,000	11,000,000	11,500,000
Transfers							
List each by JV# and date							
To S-310-R JS1359				(401,205)			
To S-310-R JS2237				(401,205)			
To S-310-R JS3137				(401,205)			
To S-310-R JS4734				(401,205)			
Net Total Transfers	(1,504,695)	(1,386,931)	(1,559,786)	(1,604,820)	(1,725,948)	(2,312,388)	(2,312,388)
Ending Cash Balance	5,055,425	4,374,385	4,690,032	3,089,949	2,199,226	1,122,961	622,961
Encumbrances	1,158,100	588,767	725,467	402,928			
Unencumbered Cash Balance	3,897,325	3,785,618	3,964,565	2,687,021	2,199,226	1,122,961	622,961

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 2019.

**Report on Non-General Fund Information
for Submittal to the 2020 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: Dean Hazama
 Phone: 586-2844
 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):

None.

Variations:

Expenditures in FY20 expected to increase for replacement IT system.

Expenditure variance in FY19 due to filling of vacancies.

	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	2,672,985	2,725,806	2,802,357	2,844,081	5,497,504	3,497,504	3,497,504
Beginning Cash Balance	5,348,686	6,011,624	6,746,665	7,641,901	8,562,778	5,955,274	5,347,770
Revenues 1/	2,421,983	2,519,340	2,754,503	2,984,597	2,890,000	2,890,000	2,940,000
Expenditures	1,759,045	1,784,299	1,859,267	2,063,720	5,497,504	3,497,504	3,497,504
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0	0	0	0	0
Ending Cash Balance	6,011,624	6,746,665	7,641,901	8,562,778	5,955,274	5,347,770	4,790,266
Encumbrances	19,530	26,395	9,150	41,165			
Unencumbered Cash Balance	5,992,094	6,720,270	7,632,751	8,521,613	5,955,274	5,347,770	4,790,266

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 2019.

**Report on Non-General Fund Information
for Submittal to the 2020 Legislature**

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-106
 Name of Fund: Planning/Implementing the Insurance Market
Reforms, Part A, Title XXVII, Public Health Service
Act,- Cycle I
 Legal Authority Non-appropriated; CFDA: 93.881; Section 1003 of the Affordable Care Act

Contact Name: Jerry Bump
 Phone: 587-7581

Fund type (MOF) Federal Funds (P)
 Appropriation Acct. No. S-XX-501-R

Intended Purpose:

Planning and implementing insurance market reforms.

Source of Revenues:

\$1,210,906 Federal Grant - Department of Health & Human Services; Grant period 10/31/16 to 10/30/20

Current Program Activities/Allowable Expenses:

Hiring market reform personnel and contracting with consultants.

Purpose of Proposed Ceiling Increase (if applicable):

n/a

Variations:

Variations due to program activity levels.

Financial Data							
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	0	0	0	1,210,906	0	0	0
Beginning Cash Balance	0	0	0	0	0	0	0
Revenues	0	0	6,127	334,954	800,000	0	0
Expenditures	0	0	6,127	334,954	800,000	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	150,000	20,000	0	0	0
Unencumbered Cash Balance	0	0	(150,000)	(20,000)	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 2020 Legislature**

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-106
 Name of Fund: Market Stability Grant

Contact Name: Jerry Bump
 Phone: 587-7581

Legal Authority Non-appropriated; CFDA: 93.881; Section 1003 of the Affordable Care Act Fund type (MOF) Federal Funds (P)
 Appropriation Acct. No. S-XX-502-R

Intended Purpose:

State Flexibility Grants will provide States with the opportunity to ensure their laws, regulations, and procedures are in line with Federal requirements, and enhance the States' ability to effectively regulate their respective health insurance markets through innovative measures that support the pre-selected market reforms and consumer protections under Part A of Title XXVII of the PHS Act.

Source of Revenues:

\$278,527.95 Federal Grant - Department of Health & Human Services; Grant period 8/20/18-8/19/20.

Current Program Activities/Allowable Expenses:

Contracting with consultants.

Purpose of Proposed Ceiling Increase (if applicable):

n/a

Variations:

Variations due to program activity levels.

Financial Data							
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	0	0	0		0	0	0
Beginning Cash Balance	0	0	0	0	0	0	0
Revenues	0	0	0	0	200,000	78,000	0
Expenditures	0	0	0	0	200,000	78,000	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 2020 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: Dean Hazama
 Phone: 586-2844
 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.

Financial Data							
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	0	0	0	0	0	0	0
Beginning Cash Balance	2,265,346	2,815,842	1,905,274	1,905,274	0	0	0
Revenues	550,496	0	0				
Expenditures	0	910,568	0	0	0	0	0
Transfers							
List each by JV# and date							
To G-00-000-R JM7565				(1,905,274)			
Net Total Transfers			0	(1,905,274)			
Ending Cash Balance	2,815,842	1,905,274	1,905,274	0	0	0	0
Encumbrances							
Unencumbered Cash Balance	2,815,842	1,905,274	1,905,274	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 2020 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: Dean Hazama
 Phone: 586-2844
 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):

Trust account ceiling increase for additional educational outreach to consumers and training for staff.

Variations:

Revenues vary depending on the number of rate and form filings. Effective 7/1/19, the Commissioner reduced fees by 50% to address the excess surplus balance. Expected increase in Expenditures for FY20 & FY21 are related to additional educational outreach and staff training opportunities.

Financial Data							
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	200,000	200,000	200,000	200,000	201,000	250,000	250,000
Beginning Cash Balance	1,146,016	1,218,602	1,344,641	1,408,896	1,418,268	1,297,268	1,127,268
Revenues	159,013	182,762	144,802	155,931	80,000	80,000	80,000
Expenditures	86,427	56,723	80,547	146,559	201,000	250,000	250,000
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0				
Ending Cash Balance	1,218,602	1,344,641	1,408,896	1,418,268	1,297,268	1,127,268	957,268
Encumbrances	10,105	13,949	20,612	22,929	0	0	0
Unencumbered Cash Balance	1,208,497	1,330,692	1,388,284	1,395,339	1,297,268	1,127,268	957,268

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 2020 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: Dean Hazama
 Phone: 586-2844
 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):

n/a

Variations:

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

Financial Data							
	FY 2016 (actual)	FY 2017 (actual)	FY 2018 (actual)	FY 2019 (actual)	FY 2020 (estimated)	FY 2021 (estimated)	FY 2022 (estimated)
Appropriation Ceiling	0	0	0	0	0	0	0
Beginning Cash Balance	66,560	50,000	50,000	50,000	50,000	50,000	50,000
Revenues	0						
Expenditures	16,560	0	0	0	0	0	0
Transfers							
List each by JV# and date							
Net Total Transfers							
Ending Cash Balance	50,000	50,000	50,000	50,000	50,000	50,000	50,000
Encumbrances							
Unencumbered Cash Balance	50,000	50,000	50,000	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 2020 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: Dean Hazama
 Phone: 586-2844
 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):

n/a

Variations:

n/a

Financial Data							
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(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
Revenues							
Expenditures	0	0	0	0	0	0	0
Transfers							
List each by JV# and date							
Net Total Transfers			0	0			
Ending Cash Balance	0	0	0	0	0	0	0
Encumbrances							
Unencumbered Cash Balance	0	0	0	0	0	0	0

Additional Information:

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

**Report on Non-General Fund Information
for Submittal to the 2020 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: Dean Hazama
 Phone: 586-2844
 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):

n/a

Variations:

Revenue variances based on interest earned.

Financial Data							
	FY 2016 (actual)	FY 2017 (actual)	FY 2018 (actual)	FY 2019 (actual)	FY 2020 (estimated)	FY 2021 (estimated)	FY 2022 (estimated)
Appropriation Ceiling	0	0	0	0	0	0	0
Beginning Cash Balance	516	519	523	526	531	536	541
Revenues	3	4	3	5	5	5	5
Expenditures				0	0	0	0
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0				
Ending Cash Balance	519	523	526	531	536	541	546
Encumbrances							
Unencumbered Cash Balance	519	523	526	531	536	541	546

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 2020 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:

Revenues fluctuate based on unrealized/realized gains & losses in the investment portfolio.

Financial Data							
<i>A/</i>	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling							
Beginning Fund Balance	182,440,064	186,936,494	182,159,415	177,856,546	183,840,206	183,661,958	183,483,710
Revenues	7,769,259	(1,311,874)	(526,195)	10,247,597	4,000,000	4,000,000	4,000,000
Expenditures	223,441	183,202	181,071	178,248	178,248	178,248	178,248
Transfers to State General Fund			0				
Transfers from State General Fund	-	0	0		0	0	0
Accrd Interest paid	(3,049,388)	(3,282,003)	(3,595,603)	(4,085,689)	(4,000,000)	(4,000,000)	(4,000,000)
Net Total Transfers	(3,049,388)	(3,282,003)	(3,595,603)	(4,085,689)	(4,000,000)	(4,000,000)	(4,000,000)
Ending Fund Balance	186,936,494	182,159,415	177,856,546	183,840,206	183,661,958	183,483,710	183,305,462
Encumbrances							
Unencumbered Cash Balance	182,440,064	182,159,415	177,856,546	183,840,206	183,661,958	183,483,710	183,305,462

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 2020 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):

None

Variances:

Revenue varies due to renewal cycles. Expenditure variance for FY 17 due to filling of vacancy.

Financial Data							
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	282,233	282,233	282,233	288,611	297,904	297,904	297,904
Beginning Cash Balance	336,583	367,317	228,267	291,195	257,593	260,670	151,847
Revenues 1/	241,827	98,755	283,974	164,433	245,000	148,000	245,000
Expenditures	171,080	201,077	182,625	198,035	200,000	200,000	200,000
Transfers							
List each by JV# and date							
Net Total Transfers	(40,013)	(36,728)	(38,421)		(41,923)	(56,823)	(56,823)
Ending Cash Balance	367,317	228,267	291,195	257,593	260,670	151,847	140,024
Encumbrances	0	0			0	0	0
Unencumbered Cash Balance	367,317	228,267	291,195	257,593	260,670	151,847	140,024

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 2019.

**Report on Non-General Fund Information
for Submittal to the 2020 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: Dean Hazama
 Phone: 586-2844
 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):

1. 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.
2. Allows the state's Consumer Protector to provide greater outreach of information to the public and hold events for consumer protection.
- 3 The Staff Attorney II handles significant consumer protection cases, often involving the ability to analyze financial improprieties and is expected to actively participate in the formulation of legal strategy in trial preparation and litigation.
- 4 The OCP division lacks its own Information Specialist that focuses primarily on the work of the division.

Variations:

Revenue varies based on cases closed.
 Expenditure variance in FY 19 due to filling of vacancies.
 Expenditure variances in FY 20 and 21 due to projection to ceiling.

Financial Data							
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	2,025,447	2,109,294	2,301,177	2,363,212	2,492,686	2,863,541	2,863,541
Beginning Cash Balance	5,695,453	6,264,470	7,398,673	9,276,077	11,160,174	10,316,698	8,906,964
Revenues 1/	2,300,911	3,262,847	4,046,701	4,431,926	2,000,000	2,000,000	2,000,000
Expenditures	1,731,894	1,857,842	1,862,959	2,219,150	2,492,686	2,863,541	2,863,541
Transfers							
List each by JV# and date							
To S-310-R JS1359				(82,169)			
To S-310-R JS2237				(82,169)			
To S-310-R JS3137				(82,169)			
To S-310-R JS4734				(82,172)			
Net Total Transfers	0	(270,802)	(306,338)	(328,679)	(350,790)	(546,193)	(546,193)
Ending Cash Balance	6,264,470	7,398,673	9,276,077	11,160,174	10,316,698	8,906,964	7,497,230
Encumbrances	20,282	64,630	50,774	72,568			
Unencumbered Cash Balance	6,244,188	7,334,043	9,225,303	11,087,606	10,316,698	8,906,964	7,497,230

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 2019.

**Report on Non-General Fund Information
for Submittal to the 2020 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: Dean Hazama
 Phone: 586-2844
 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

Variations:

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: Restitution 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 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(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	84,172	91,184	16,272	979	3,979	0	0
Revenues 1/	15,772	23,403	22,881	4,069	0	0	0
Expenditures	8,760	98,315	38,174	1,069	3,979	0	0
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0				
Ending Cash Balance	91,184	16,272	979	3,979	0	0	0
Encumbrances							
Unencumbered Cash Balance	91,184	16,272	979	3,979	0	0	0

Additional Information:

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

1/ Revenue Projections based on B&F Rev Est Aug 2019.

**Report on Non-General Fund Information
for Submittal to the 2020 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: Dean Hazama
 Phone: 586-2844
 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, 425, 425E, 425F, 428, 482, and 482P HRS. - Business registration fees for: corporations, general and limited partnerships, limited liability partnerships, limited liability limited partnerships, limited liability companies, cooperatives, trademarks, trade names, service marks, and publicity rights.

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

Chapter 485A - Securities fees and penalties: Securities, broker-dealer, sales agents, investment adviser and investment adviser representative filing fees and penalty fees for securities law violations.

Current Program Activities/Allowable Expenses:

Register and maintain the registry for public access for corporations, general and limited partnerships, limited liability partnerships, limited liability limited partnerships, limited liability companies, cooperatives, trademarks, trade names, service marks and publicity rights. One-stop point-of-service assistance to the public to help businesses apply for state business and employer registrations and taxpayer IDs. Substantive regulatory oversight over the securities industry and franchises in the State in the following areas: registration of broker-dealers, securities agents, investment advisers, investment adviser representatives, investment companies, and securities and franchise offering for sale in the State; field examinations of broker-dealers and investment advisers in the State; review of securities and franchise offerings for sale in the State; review of securities and franchise offerings for sale in the State; and enforcement of the Hawaii Uniform Securities Act and state franchise laws. Conduct investor education programs and outreach statewide.

Purpose of Proposed Ceiling Increase (if applicable):

Other Current Expenditures

An increase in ceiling of \$3,500,000 in Other Current Expenditures for FY21; and \$500,000 per year thereafter to cover recurring annual costs is being requested for the application replacement of the Business Registration Division's (BREG) Business Registration Information Management System (BRIMS) and Registration Documents Processing Management System (RDPMS), and the scanning of old active files so that they are incorporated into the new system.

Fringe Increase

Pursuant to Finance Memorandum No. 18-16, the State's fringe benefit assessment rate for non-general fund programs is 60% for FY 20 and FY 21 due primarily to the projected costs for the prefunding of other post-employment benefits.

Variances:

The variance for FY16-17 actual revenue can be primarily attributed to the restoration of securities and franchise filing fees to statutory amounts to ensure that the division had enough funding for a major IT project for its securities branches.

The variance for FY19 - FY20 revenue can be primarily attributed to the implementation of a temporary 50% fee reduction in securities, franchise, trade name, trademark and service mark filing fees. The aforementioned securities IT project has been completed and the division is aiming to right-size its budget.

The variance for FY19 - FY20 expenditures can be attributed to the comparison of an actual number to an estimated number that is projected to ceiling. The estimated number also includes ongoing maintenance costs related to the previously mentioned securities IT project.

The variance for FY20 - FY21 expenditures can be attributed to projections to ceiling and the inclusion of a (proposed) supplemental budget request for an application replacement project for the business registration branches.

Financial Data							
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	6,649,240	7,414,132	8,400,118	8,067,420	8,470,957	12,025,509	9,025,509
Beginning Cash Balance	11,483,982	11,583,995	15,041,283	18,886,669	22,964,782	20,868,301	14,115,618
Revenues 1/	6,752,319	10,397,463	11,377,835	12,227,444	7,566,575	7,566,575	7,566,575
Expenditures	5,614,881	5,969,240	6,414,205	7,029,209	8,470,957	12,025,509	9,025,509
Transfers							
List each by JV# and date							
To S-310-R JS1359				(280,030)			
To S-310-R JS2237				(280,030)			
To S-310-R JS3137				(280,030)			
To S-310-R JS4734				(280,032)			
Net Total Transfers	(1,037,425)	(970,935)	(1,118,244)	(1,120,122)	(1,192,099)	(2,293,749)	(2,293,749)
Ending Cash Balance 2/	11,583,995	15,041,283	18,886,669	22,964,782	20,868,301	14,115,618	10,362,935
Encumbrances	97,088	78,292	452,921	226,873			
Unencumbered Cash Balance	11,486,907	14,962,991	18,433,748	22,737,909	20,868,301	14,115,618	10,362,935

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 2019.

**Report on Non-General Fund Information
for Submittal to the 2020 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: Dean Hazama
 Phone: 586-2844
 Fund type (MOF): Special Funds (B)
 Appropriation Acct. No. S-XX-312-R

Intended Purpose:

Complaints receipt, arbitration, investigation, prosecution and hearings 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:

Receipt, resolution and prosecutions of complaints, and consumer and licensee education, related to licenses, registrations or certificates required from the Department or its boards, commissions or programs.

Purpose of Proposed Ceiling Increase (if applicable):

Office Assistant 118554 is being re-described into a program specialist. The Program Specialist position is needed to assist the Regulated Industries Complaints Office (RICO) and the Complaints and Enforcement Officer (CEO) with budget, fiscal, Information Technology (IT) (including being the point-person for the new complaints system), and certain other duties, which will improve RICO operations significantly by enabling the CEO and RICO to focus on RICO's mandate of receiving, investigating, hearing, arbitrating and prosecuting complaints involving the 51 different occupations that are regulated statewide.

Additional funds are needed to pay for the re-description of an Office Assistant to Legal Assistant. The Regulated Industries Complaints Office (RICO) is a division within the Department that enforces the licensing laws covering 51 different occupations statewide. Due to increased self-reporting by licensees, referrals from other jurisdictions, and the Legislature's desire to have Hawaii health care licensing boards act quickly when they learn of out-of-state disciplinary actions (Act 38 SLH 2016), the Legal Assistant position is needed by the Legal Section to help achieve swifter enforcement through expedited analyses and drafting of legal actions which would minimize the need for attorney time on these and similar matters.

Variations:

Revenues vary due to renewal cycles. Expenditure variance for FY 20 and outgoing years due to projection to ceiling.

Financial Data							
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	5,631,030	6,442,820	7,167,144	7,167,144	7,800,160	7,575,872	7,575,872
Beginning Cash Balance	6,755,209	7,542,530	9,767,016	10,668,791	11,929,379	10,743,289	9,937,392
Revenues 1/	7,052,051	9,249,334	8,296,443	8,736,384	7,711,769	8,215,000	8,215,000
Expenditures	5,351,326	6,114,946	6,440,561	6,475,644	7,800,160	7,575,872	7,575,872
Transfers							
List each by JV# and date							
To S-310-R JS1359				(250,038)			
To S-310-R JS2237				(250,038)			
To S-310-R JS3137				(250,038)			
To S-310-R JS4734				(250,038)			
Net Total Transfers	(913,404)	(909,902)	(954,107)	(1,000,152)	(1,097,699)	(1,445,025)	(145,025)
Ending Cash Balance	7,542,530	9,767,016	10,668,791	11,929,379	10,743,289	9,937,392	10,431,495
Encumbrances	498,379	555,492	100,927	53,510		0	0
Unencumbered Cash Balance	7,044,151	9,211,524	10,567,864	11,875,869	10,743,289	9,937,392	10,431,495

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 2019.

**Report on Non-General Fund Information
for Submittal to the 2020 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: Dean Hazama
 Phone: 586-2844
 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 vary depending on arbitration fees received and costs paid for arbitration hearings.

Financial Data							
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	0	0	0	0	0	0	0
Beginning Cash Balance	124,177	123,897	124,127	123,208	124,099	126,099	128,099
Revenues 1/	3,100	4,525	2,925	3,550	2,000	2,000	2,000
Expenditures	3,380	4,295	3,844	2,659	0	0	0
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0				
Ending Cash Balance	123,897	124,127	123,208	124,099	126,099	128,099	130,099
Encumbrances	0	0	0				
Unencumbered Cash Balance	123,897	124,127	123,208	124,099	126,099	128,099	130,099

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 2019.

**Report on Non-General Fund Information
for Submittal to the 2020 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: Dean Hazama
 Phone: 586-2844
 Fund type (MOF): Special Funds (B)
 Appropriation Acct. No. S-XX-310-R, S-XX-398-R, S-14-360

Intended Purpose:

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

Source of Revenues:

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

Current Program Activities/Allowable Expenses:

See attached.

Purpose of Proposed Ceiling Increase (if applicable):

To fund for replacement of air conditioning unit for the King Kalakaua Building, repair and maintenance of roof and structural columns and to fund for state matching for Federal Emergency Management Agency emergency preparedness grant.

Firewall: Current Checkpoint Firewall hardware will soon reach end-of-support and needs to be replaced.

Printers & Servers: Previously acquired hardware is reaching end-of-support and needs to be replaced.

iPaaS: Software to modernize application interfaces between DCCA applications and third party services.

Pursuant to Finance Memorandum No. 18-16, the State's fringe benefit assessment rate for non-general fund programs is 60% for FY 20 and FY 21 due primarily to the projected costs for the prefunding of other post-employment benefits.

Add funds for a Human Resources position.

Variations

Revenue varies based on assessments needed. Expenditure variance due to budget requests.

Financial Data							
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	7,595,620	7,761,845	8,110,870	8,195,600	8,525,388	10,876,405	8,816,405
Beginning Cash Balance	2,874,897	3,222,005	3,634,523	3,729,011	2,864,534	3,261,089	4,449,086
Revenues 1/	951,322	1,209,223	870,272	973,403	874,006	874,006	874,006
Expenditures	6,777,852	6,882,854	7,250,353	8,515,409	8,525,388	10,876,405	8,816,405
Transfers							
List each by JV# and date							
Fr S-302-R JS1359				89,318			
Fr S-302-R JS2237				89,318			
Fr S-302-R JS3137				89,318			
Fr S-302-R JS4734				89,321			
Fr S-303-R JS1359				142,523			
Fr S-303-R JS2237				142,523			
Fr S-303-R JS3137				142,523			
Fr S-303-R JS4734				142,523			
Fr S-320-R JS1359				172,175			
Fr S-320-R JS2237				172,175			
Fr S-320-R JS3137				172,175			
Fr S-320-R JS4734				172,178			
Fr S-305-R JS1359				251,921			
Fr S-305-R JS2237				251,921			
Fr S-305-R JS3137				251,921			
Fr S-305-R JS4734				251,923			
Fr S-313-R JS1359				401,205			
Fr S-313-R JS2237				401,205			
Fr S-313-R JS3137				401,205			
Fr S-313-R JS4734				401,205			
Fr S-323-R JS1359				82,169			

**Report on Non-General Fund Information
for Submittal to the 2020 Legislature**

Fr S-323-R	JS2237							82,169
Fr S-323-R	JS3137							82,169
Fr S-323-R	JS4734							82,172
Fr S-306-R	JS1359							280,030
Fr S-306-R	JS2237							280,030
Fr S-306-R	JS3137							280,030
Fr S-306-R	JS4734							280,032
Fr S-312-R	JS1359							250,038
Fr S-312-R	JS2237							250,038
Fr S-312-R	JS3137							250,038
Fr S-312-R	JS4734							250,038
Net Total Transfers		6,173,638	6,086,149	6,474,569	6,677,529	8,047,937	11,190,396	11,190,396
Ending Cash Balance		3,222,005	3,634,523	3,729,011	2,864,534	3,261,089	4,449,086	7,697,083
Encumbrances		210,390	172,417	194,184	43,070			
Unencumbered Cash Balance		3,011,615	3,462,106	3,534,827	2,821,464	3,261,089	4,449,086	7,697,083

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 2019.

**Report on Non-General Fund Information
for Submittal to the 2020 Legislature**

DCCA Non-General Fund Information - Compliance Resolution Fund (S-310-R, S-398-R)
Page 3

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 2020 Legislature**

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

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

Intended Purpose:

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

Source of Revenues:

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

Current Program Activities/Allowable Expenses:

See above information.

Purpose of Proposed Ceiling Increase (if applicable):

Not Applicable

Variances:

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

Financial Data							
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	0	0	0	0	0	0	0
Beginning Cash Balance	1,810,621	1,149,621	1,896,566	1,429,482	1,948,671	1,948,671	1,948,671
Revenues	2,108,673	2,117,028	1,947,327	1,859,744			
Expenditures	2,769,673	1,370,083	2,414,411	1,340,555			
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0				
Ending Cash Balance	1,149,621	1,896,566	1,429,482	1,948,671	1,948,671	1,948,671	1,948,671
Encumbrances	9,575	22,100	44,109				
Unencumbered Cash Balance	1,140,046	1,874,466	1,385,373	1,948,671	1,948,671	1,948,671	1,948,671

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 2020 Legislature**

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-901
 Name of Fund: Public Benefits Fee ("PBF")

Contact Name: Jan Mulvey
 Phone: 586-2030

Legal Authority Section 269-121, HRS

Fund type (MOF) Funds held outside of state treasury
 Appropriation Acct. No. N/A

Intended Purpose:

The public benefits fee shall be used to support clean energy technology, demand response technology, and energy use reduction, and demand-side management infrastructure, programs, and services, subject to the review and approval of the public utilities commission. (HRS 269-121)

Source of Revenues:

Moneys collected by Hawaiian Electric Companies (HECO/MECO/HELCO) from its ratepayers through a demand-side management surcharge.

Current Program Activities/Allowable Expenses:

The public benefits fee supports the programming efforts of the PBF administrator Hawaii Energy, and the work of the Energy Efficiency Contract Manager, the Evaluation, Measurement, and Verification Contractor, the PBF Fiscal Agent, the PBF Fiscal Auditor. The programs and services offered by Hawaii Energy are the subject of Docket No. 2007-0323.

Purpose of Proposed Ceiling Increase (if applicable):

N/A

Variances:

Variances in revenues each year are largely due to differences in electric utility sales from amounts forecasted by Hawaiian Electric Company, due to changes in customer electricity consumption patterns and the cost of electricity in Hawaii, as the PBF is collected as on a per-kilowatt-hour basis from electric utility customers. The variances in expenditures from FY16 to FY19 reflect a decrease in the Hawaii Energy budget during that period compared to historical budgets. The Hawaii Energy budget decrease was driven by (1) a re-bid of the PBF administrator contract, which reduced cost compared to prior contracts, and (2) the desire to reduce the overall PBF surcharge given the newly established Green Infrastructure Fee to support the Hawaii Green Infrastructure Authority (GEMS Program). Going forward into FY20-FY22, the Hawaii Energy budget has increased to enhance the programs and services offered to customers, including increased activity to support accessibility and affordability programs, and expansion of programs supporting grid services. Variances in anticipated revenues for FY20-FY21 are due to the PUC's Oct. 25, 2019 order to increase the PBF surcharge from 1.5% of utility sales to 2.0% (net of revenues collected by the Green Infrastructure Fee), beginning January 1, 2020.

Financial Data							
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	0	0	0	0	0	0	0
Beginning Cash Balance	41,115,063	26,486,523	22,860,898	14,354,825	8,549,251	6,307,782	5,757,782
Revenues	23,889,209	27,529,958	21,408,759	23,900,433	32,900,000	39,350,000	39,350,000
Expenditures	38,517,749	31,155,583	30,561,561	29,706,007	36,900,000	39,900,000	40,900,000
Transfers							
List each by JV# and date							
JS1381 S20395B 9/30/2019			646,729		1,758,531		
Net Total Transfers	0	0	646,729	0	1,758,531	0	0
Ending Cash Balance	26,486,523	22,860,898	14,354,825	8,549,251	6,307,782	5,757,782	4,207,782
Encumbrances	0	0	0	0	0	0	0
Unencumbered Cash Balance	26,486,523	22,860,898	14,354,825	8,549,251	6,307,782	5,757,782	4,207,782

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 2020 Legislature**

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-901
 Name of Fund: Telecommunications Relay Services ("TRS") Fund

Contact Name: Jan Mulvey
 Phone: 586-2030

Legal Authority Section 269-16.6, HRS

Fund type (MOF) Funds held outside of state treasury
 Appropriation Acct. No. N/A

Intended Purpose:

The Public Utilities Commission shall implement intrastate telecommunications relay services for the deaf, persons with hearing disabilities, and persons with speech disabilities.

Source of Revenues:

Contributions to the fund are made by all telecommunications carriers operating or providing telecommunications service within the State. (PUC Docket 2003-0058, Order No. 20193)

Current Program Activities/Allowable Expenses:

The fund covers the costs of administering and providing telecommunications relay service.

Purpose of Proposed Ceiling Increase (if applicable):

N/A

Variances:

Revenue varies by consumer tastes and preferences.
 Expenditures vary based on service usage.

Financial Data							
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	0	0	0	0	0	0	0
Beginning Cash Balance	302,968	244,653	135,546	461,543	557,686	697,686	837,686
Revenues	685,179	618,376	1,028,450	951,680	940,000	940,000	940,000
Expenditures	743,494	727,483	702,453	855,537	800,000	800,000	800,000
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0	0	0	0	0
Ending Cash Balance	244,653	135,546	461,543	557,686	697,686	837,686	977,686
Encumbrances	0	0	0	0	0	0	0
Unencumbered Cash Balance	244,653	135,546	461,543	557,686	697,686	837,686	977,686

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 2020 Legislature**

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

Contact Name: Jan Mulvey
 Phone: 586-2030
 Fund type (MOF) B
 Appropriation Acct. No. S-340-R

Intended Purpose:

The fund shall be used 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 486J.

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:

Provide oversight of all regulated entities to ensure that they operate at an acceptable level of performance so as to serve the public fairly, efficiently, safely, and reliably, while addressing the goals and future needs of the State, and affording the regulated entities the opportunity to earn a reasonable rate of return on their investment. 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):

1. Request to increase special fund ceiling to expend on additional consultant costs.

Variances:

Variances in revenue is due to changes in regulated revenue. Expenditure projections are projected to ceiling.

Financial Data							
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	17,828,567	16,045,272	15,753,197	15,249,248	17,687,157	19,492,757	19,492,757
Beginning Cash Balance	0	0	0	0	0	0	0
Revenues	22,497,217	19,032,684	16,905,331	17,563,946	17,500,000	17,500,000	17,500,000
Expenditures	13,145,207	13,566,973	12,705,374	13,010,896	17,687,157	19,242,757	19,242,757
Transfers							
List each net transfer in/out/ or projection in/out; list each account number							
JS0008 S19340R 7/3/18				1,000,000	1,000,000	1,000,000	1,000,000
Net Total Transfers	(1,474,888)	188,383	919,000	1,000,000	1,000,000	1,000,000	1,000,000
Ending Cash Balance	7,877,122	5,654,094	5,118,957	5,553,049	812,843	(742,757)	(742,757)
Encumbrances	2,009,502	1,012,167	963,391	1,511,691	0	0	0
Unencumbered Cash Balance	5,867,620	4,641,927	4,155,566	4,041,359	812,843	(742,757)	(742,757)

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 2020 Legislature**

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-901
 Name of Fund: Electric Vehicle Charging Sys Rebate Program

Contact Name: Jan Mulvey
 Phone: 586-2030

Legal Authority: Act 142 SLH 2019

Fund type (MOF) B
 Appropriation Acct. No. S-351-R

Intended Purpose:

To create a program to be administered by the public utilities commission that offers rebates for the installation of new electric vehicle charging systems or the upgrade of existing electric vehicle charging systems.

Source of Revenues:

Transfers from the Energy Security Special Fund (DBEDT) - \$150,000 for FY 20 & \$250,000 for FY 21

Current Program Activities/Allowable Expenses:

To provide rebates to applicants with valid rebate claims beginning January 1, 2020 for eligible installation and upgrades to EV charging stations.

Purpose of Proposed Ceiling Increase (if applicable):

n/a

Variances:

Variances are based on projected program activity.

Financial Data							
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	0	0	0	0	150,000	250,000	0
Beginning Cash Balance	0	0	0	0	0	0	0
Revenues	0	0	0	0	0	0	0
Expenditures	0	0	0	0	150,000	250,000	0
Transfers							
List each by JV# and date				0	150,000	250,000	
Net Total Transfers	0	0	0	0	150,000	250,000	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							