

**Report on Non-General Fund Information
for Submittal to the 2021 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 cable television service to ensure compliance with applicable State and Federal laws and franchise agreements; expand and administratively manage 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 television operators.

Current Program Activities/Allowable Expenses:

- Issues and enforces cable television franchises for cable communications services.
- Promulgates and enforces rules and regulations governing the practices, procedures, quality and quantity of services.

- 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, FY21 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, FY20, FY21 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. FY21 expenditures also include FY20 encumbrances for consulting/expert services.

Financial Data							
	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	2,559,971	2,609,370	2,609,370	2,647,986	2,647,986	2,566,872	2,566,872
Beginning Cash Balance	6,755,529	8,429,071	9,804,965	11,023,754	10,104,568	7,179,193	5,246,425
Revenues 1/	3,160,317	2,989,888	3,117,085	532,572	65,000	1,041,000	2,541,000
Expenditures	1,160,764	1,266,628	1,541,021	1,079,052	2,647,986	2,566,872	2,566,872
Transfers							
List each by JV# and date							
JS2023 10/31/2019				(93,176)			
JS2115 11/13/2019				(93,176)			
JS3519 2/7/2020				(93,176)			
JS4829 5/7/2020				(93,178)			
Net Total Transfers	(326,011)	(347,366)	(357,275)	(372,706)	(342,389)	(406,896)	(438,875)
Ending Cash Balance	8,429,071	9,804,965	11,023,754	10,104,568	7,179,193	5,246,425	4,781,678
Encumbrances	562,473	532,788	914,799	916,663	451,500	451,500	451,500
Unencumbered Cash Balance	7,866,598	9,272,177	10,108,955	9,187,905	6,727,693	4,794,925	4,330,178

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 2020.

**Report on Non-General Fund Information
for Submittal to the 2021 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"), now known as Spectrum 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).

Variations:

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, \$67,463 in revenues in addition to interest was added to the account, the \$13 in expenditures in FY20 is due to bank fees.

Financial Data							
	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling			7,920,000	0	0	0	0
Beginning Cash Balance	7,569,895	8,231,476	8,729,819	814,687	883,051	883,971	884,896
Revenues	661,581	498,356	4,868	68,377	920	925	930
Expenditures		13	7,920,000	13	0	0	0
Transfers							
List each by JV# and date			0				
Net Total Transfers			0				
Ending Cash Balance	8,231,476	8,729,819	814,687	883,051	883,971	884,896	885,826
Encumbrances					0	0	0
Unencumbered Cash Balance	8,231,476	8,729,819	814,687	883,051	883,971	884,896	885,826

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 2021 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):

None.

Variances:

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 FY2020 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 and the Performance Based Regulation proceedings) and lower expenditures in the prior year. The decrease in FY 2019 from the prior year is due to a decrease in some of the activities in certain dockets, which resulted in less money needed for consultant contracts. For FY 21 and beyond, the Division continues to anticipate greater work levels due to policy and COVID impacts, which would result in consulting services ramping up as certain investigations increase in intensity and require greater allocation of resources. The Division should also have more vacancies filled.

Financial Data							
	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	4,241,213	4,230,174	4,138,705	4,494,086	4,494,086	4,604,311	4,604,311
Beginning Cash Balance	7,476,675	8,464,730	9,007,735	10,218,187	11,021,839	10,457,491	9,647,922
Revenues 1/	57,954	50,357	69,923	357,252	50,000	50,000	50,000
Expenditures	2,876,023	3,292,626	2,637,783	3,415,378	4,494,086	4,604,311	4,604,311
Transfers							
List each by JV# and date							
JS2023 10/31/2019				(158,077)			
JS2115 11/13/2019				(158,077)			
JS3519 2/7/2020				(158,077)			
JS4829 5/7/2020				(158,077)			
JS31302 9/25/2019				557,261			
JS2473 12/5/2019				557,261			
JS3594 2/12/2020				557,261			
JS5298 6/4/2020				2,822,304			
Net Total Transfers	3,806,124	3,785,274	3,778,312	3,861,778	3,879,738	3,744,742	3,946,753
Ending Cash Balance	8,464,730	9,007,735	10,218,187	11,021,839	10,457,491	9,647,922	9,040,364
Encumbrances	2,057,389	1,684,596	1,794,802	1,277,408	1,400,000	1,400,000	1,400,000
Unencumbered Cash Balance	6,407,341	7,323,139	8,423,385	9,744,431	9,057,491	8,247,922	7,640,364

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 2020.

**Report on Non-General Fund Information
for Submittal to the 2021 Legislature**

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA 104, CCA-110
 Name of Fund: Multi-state Enforcement and Education Fund/
Multi-state Mortgage Servicer Agreement Fund
 Legal Authority: Multi-state Mortgage Settlement Agreement,
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 in recent years, 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 revenues. As of September 21, 2020, 2020, DFI's balance was \$129,316. In FY 2021, \$19,000 will be paid to DBEDT to assist with reporting. The balance will be spent on training, and investigations and complaints, the majority of which involve the mortgage industry.

Financial Data							
	FY 2017 (actual)	FY 2018 (actual)	FY 2019 (actual)	FY 2020 (actual)	FY 2021 (estimated)	FY 2022 (estimated)	FY 2023 (estimated)
Appropriation Ceiling				0	0	0	0
Beginning Cash Balance	712,427	1,037,538	480,822	368,611	242,215	42,215	42,215
Revenues ^{1/}	501,536	0	0	0			
Expenditures	176,425	556,716	112,211	126,396	200,000		
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0	0			
Ending Cash Balance	1,037,538	480,822	368,611	242,215	42,215	42,215	42,215
Encumbrances	435,360	0	0	0			
Unencumbered Cash Balance	602,178	480,822	368,611	242,215	42,215	42,215	42,215

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 2020.

Report on Non-General Fund Information
for Submittal to the 2021 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 Ac: 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):

N/A

Variations:

The 30% increase in Expenditures projected in FY 2018 is primarily due to increased staffing.

Financial Data							
	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	4,972,852	4,836,792	4,979,192	5,175,488	5,175,488	5,336,797	5,336,797
Beginning Cash Balance	9,480,492	10,910,845	11,365,807	11,498,910	11,198,600	10,094,441	8,472,485
Revenues 1/	5,578,295	5,678,122	5,503,582	5,052,160	4,779,655	4,566,100	4,566,100
Expenditures	3,513,574	4,579,275	4,681,776	4,624,291	5,175,488	5,342,076	5,342,076
Transfers							
List each by JV# and date							
JS2023 10/31/2019				(182,044)			
JS2115 11/13/2019				(182,044)			
JS3519 2/7/2020				(182,044)			
JS4829 5/7/2020				(182,047)			
Net Total Transfers	(634,368)	(643,885)	(688,703)	(728,179)	(708,326)	(845,980)	(912,466)
Ending Cash Balance	10,910,845	11,365,807	11,498,910	11,198,600	10,094,441	8,472,485	6,784,043
Encumbrances	505,001	156,457	184,479	62,395	193,631	195,138	47,500
Unencumbered Cash Balance	10,405,844	11,209,350	11,314,431	11,136,205	9,900,810	8,277,347	6,736,543

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 2020.

**Report on Non-General Fund Information
for Submittal to the 2021 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):

N/A

Variations:

As mentioned last year, 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 will vary based on claims paid or projected to be paid.

Financial Data							
	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	220,000	220,000	110,000	301,000	301,000	301,000	301,000
Beginning Cash Balance	1,578,165	1,813,815	1,990,715	2,155,365	2,207,315	2,087,315	2,087,315
Revenues 1/	235,650	176,900	164,650	51,950	0	0	0
Expenditures	0	0	0	0	120,000	0	0
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0	0	0	0	0
Ending Cash Balance	1,813,815	1,990,715	2,155,365	2,207,315	2,087,315	2,087,315	2,087,315
Encumbrances					0	0	0
Unencumbered Cash Balance	1,813,815	1,990,715	2,155,365	2,207,315	2,087,315	2,087,315	2,087,315

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 2020.

**Report on Non-General Fund Information
for Submittal to the 2021 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.

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 revenue variances between FYs.
 FY 20 expenditure variance due to increased staffing.
 FY 21-23 expenditure variances is based on projection to ceiling.

Financial Data							
	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	6,484,103	7,085,895	7,237,863	7,892,944	7,892,944	8,117,600	8,117,600
Beginning Cash Balance	5,467,749	6,715,727	9,024,902	9,545,440	10,787,462	9,826,348	9,276,959
Revenues 1/	7,811,810	9,426,050	7,672,015	9,138,171	8,013,000	8,855,000	8,228,000
Expenditures	5,705,641	6,178,013	6,144,357	6,785,630	7,892,944	8,117,600	8,117,600
Transfers							
List each by JV# and date							
JS2023 10/31/2019				(277,629)			
JS2115 11/13/2019				(277,629)			
JS3519 2/7/2020				(277,629)			
JS4829 5/7/2020				(277,632)			
Net Total Transfers	(858,191)	(938,862)	(1,007,120)	(1,110,519)	(1,081,170)	(1,286,789)	(1,387,918)
Ending Cash Balance	6,715,727	9,024,902	9,545,440	10,787,462	9,826,348	9,276,959	7,999,441
Encumbrances	148,363	1,043,284	60,541	948,733			
Unencumbered Cash Balance	6,567,364	7,981,618	9,484,899	9,838,729	9,826,348	9,276,959	7,999,441

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 2020.

**Report on Non-General Fund Information
for Submittal to the 2021 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 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	40,000	0	0				
Beginning Cash Balance	1,980	4,425	0	0	0	0	0
Revenues	2,576	570	0	0	0	0	0
Expenditures	131	0	0	0	0	0	0
Transfers							
List each net transfer in/out/ or projection in/out; list each account number							
Net Total Transfers	0	(4,429)	0	0	0	0	0
Ending Cash Balance	4,425	566	0	0	0	0	0
Encumbrances							
Unencumbered Cash Balance	4,425	566	0	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 2021 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):

None.

Variances:

Revenue variances - Renewal fees are on a biennial basis resulting in variances between FYs. No projected fee waiver for FY 2022

Expense variances - Difference between actual and expenditure ceiling

Financial Data							
	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	504,592	508,128	508,128	509,869	510,534	512,881	512,881
Beginning Cash Balance	740,077	814,981	876,360	910,535	889,100	877,100	861,100
Revenues	121,460	131,921	127,348	68,087	113,000	114,000	114,000
Expenditures	46,556	70,542	93,173	89,522	125,000	130,000	130,000
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0				
Ending Cash Balance	814,981	876,360	910,535	889,100	877,100	861,100	845,100
Encumbrances		5,695	1,423				
Unencumbered Cash Balance	814,981	870,665	909,112	889,100	877,100	861,100	845,100

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 2021 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 2021 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):

None.

Variances:

Revenues for FY2021-22 biennial renewal and new licenses are projected to be less than the prior two year period due to the economic recessions

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

Expense variances - Difference between actual and expenditure ceiling

FY2021 has nearly \$75,000 in contracts for upcoming mandatory licensee renewal classes

Financial Data							
	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	713,214	818,958	844,626	863,508	871,744	894,839	894,839
Beginning Cash Balance	394,194	1,218,073	817,810	1,601,167	1,241,776	1,893,032	1,088,193
Revenues	1,355,680	170,907	1,409,993	214,074	1,523,000	90,000	1,577,000
Expenditures	531,801	571,170	626,636	573,465	871,744	894,839	894,839
Transfers							
List each by JV# and date							
Net Total Transfers	0	0					
Ending Cash Balance	1,218,073	817,810	1,601,167	1,241,776	1,893,032	1,088,193	1,770,354
Encumbrances	1,239	30,929	3,306	17,315			
Unencumbered Cash Balance	1,216,834	786,881	1,597,861	1,224,461	1,893,032	1,088,193	1,770,354

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 2021 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

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
- 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
- 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
- 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
- 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 2021 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):
None

Variances:
 Revenue variances - Renewal fees are on a biennial basis resulting in variances between FYs.
 They also include late fees by deficient associations registering for prior renewals
 Expense variances - Difference between actual and expenditure ceiling.
 Expected expenses include expanded media outreach to inform condominium owners of services available to them.

Financial Data							
	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	865,274	962,165	995,165	1,013,867	1,004,966	1,028,926	1,028,926
Beginning Cash Balance	1,634,488	2,548,224	2,186,051	2,251,082	1,743,637	1,538,671	584,745
Revenues 1/	1,469,887	244,484	780,985	220,220	800,000	75,000	1,952,000
Expenditures	556,151	606,657	715,954	727,665	1,004,966	1,028,926	1,028,926
Transfers							
List each by JV# and date							
Net Total Transfers							
Ending Cash Balance	2,548,224	2,186,051	2,251,082	1,743,637	1,538,671	584,745	1,507,819
Encumbrances	1,527	1,162	28,944	1,187			
Unencumbered Cash Balance	2,546,697	2,184,889	2,222,138	1,742,450	1,538,671	584,745	1,507,819

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 2020.

**Report on Non-General Fund Information
for Submittal to the 2021 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. 0
- 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 2021 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 2021 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 may be required to pay \$10 upon 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 variances - Dependent upon the number of individuals that are licensed. Expenditure variances - Dependent upon the amount of claims paid.

Financial Data							
	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(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	791,515	890,827	924,583	984,240	903,577	788,577	664,577
Revenues 1/	154,495	73,202	133,303	58,930	85,000	76,000	85,000
Expenditures	55,183	39,446	73,646	139,593	200,000	200,000	200,000
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0	0			
Ending Cash Balance	890,827	924,583	984,240	903,577	788,577	664,577	549,577
Encumbrances	4,266	1,990	0	0			
Unencumbered Cash Balance	886,561	922,593	984,240	903,577	788,577	664,577	549,577

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 2020.

**Report on Non-General Fund Information
for Submittal to the 2021 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 may be required to pay \$5 upon license renewal.

Current Program Activities/Allowable Expenses:

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

Purpose of Proposed Ceiling Increase (if applicable):

Not Applicable

Variances:

Revenue variances - Dependent upon the number if individuals that are licensed. Expenditure variances - Dependent upon participation at national association meetings, special meetings requiring travel for neighbor island board members and publication of educational materials.

Financial Data							
	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	16,968	16,968	16,968	161,600	161,600	161,600	161,600
Beginning Cash Balance	510,083	551,695	560,524	605,613	655,489	501,389	349,789
Revenues 1/	46,717	13,829	48,064	61,279	7,500	10,000	30,000
Expenditures	5,105	5,000	2,975	11,403	161,600	161,600	161,600
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0	0			
Ending Cash Balance	551,695	560,524	605,613	655,489	501,389	349,789	218,189
Encumbrances	0	0	0	580			
Unencumbered Cash Balance	551,695	560,524	605,613	654,909	501,389	349,789	218,189

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 2020.

**Report on Non-General Fund Information
for Submittal to the 2021 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 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(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	5,250	4,970	3,890	3,530	27,930	26,930	26,930
Revenues 1/	2,000	37,720	2,040	36,720	5,000	55,000	5,000
Expenditures	2,280	38,800	2,400	12,320	6,000	55,000	6,000
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0	0			
Ending Cash Balance	4,970	3,890	3,530	27,930	26,930	26,930	25,930
Encumbrances	0	0	0	400			
Unencumbered Cash Balance	4,970	3,890	3,530	27,530	26,930	26,930	25,930

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 2021 Legislature**

1/ Revenue Projections based on Rev Est to B&F August 2020.

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 2021 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):

Not Applicable.

Variances:

Financial Data							
	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling							
Beginning Cash Balance			23,200	29,750	32,000	57,000	82,000
Revenues 1/		23,200	6,550	2,250	25,000	25,000	25,000
Expenditures					0	0	0
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0	0			
Ending Cash Balance	0	23,200	29,750	32,000	57,000	82,000	107,000
Encumbrances	0	0					
Unencumbered Cash Balance	0	23,200	29,750	32,000	57,000	82,000	107,000

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 2020.

**Report on Non-General Fund Information
for Submittal to the 2021 Legislature**

DCCA Non-General Fund Information - Real Estate Appraisal Management Companies Trust Fund
Page 2

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 2021 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 in FY19.

Financial Data							
	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	250,000	250,000	250,000	251,000	251,000	0	0
Beginning Cash Balance	0	0	0	0	0	0	0
Revenues	308,857	199,753	218,676	0	0		
Expenditures	308,857	199,753	218,676				
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 2021 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:

None.

Financial Data							
	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(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	548,952	736,675	430,332	115,092	3,754	0	0
Revenues	3,287,723	3,293,657	3,284,760	3,304,866	3,335,000	3,360,000	3,410,000
Expenditures	0	0	0	0	3,338,754	3,360,000	3,410,000
Transfers							
List each by JV# and date							
JS4689 4/29/2020				(3,416,204)			
Net Total Transfers	(3,100,000)	(3,600,000)	(3,600,000)	(3,416,204)			
Ending Cash Balance	736,675	430,332	115,092	3,754	0	0	0
Encumbrances							
Unencumbered Cash Balance	736,675	430,332	115,092	3,754	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 2021 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):

Convert 1 position from Temporary to Permanent.

Variations:

No assessment of the industry was conducted in FY19, resulting in less revenue.

Financial Data							
	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	10,818,376	10,818,376	11,675,781	12,264,446	12,264,446	12,442,979	12,442,979
Beginning Cash Balance	5,055,425	4,374,385	4,690,032	3,089,949	3,746,358	3,318,909	3,674,218
Revenues	8,629,084	10,300,449	9,510,730	11,682,147	12,250,850	13,327,750	13,644,904
Expenditures	7,923,193	8,425,016	9,505,993	9,300,159	11,000,000	11,000,000	12,442,979
Transfers							
List each by JV# and date							
JS2023 10/31/2019				(431,394)			
JS2115 11/13/2019				(431,394)			
JS3519 2/7/2020				(431,394)			
JS4829 5/7/2020				(431,397)			
Net Total Transfers	(1,386,931)	(1,559,786)	(1,604,820)	(1,725,579)	(1,678,299)	(1,972,441)	(2,127,456)
Ending Cash Balance	4,374,385	4,690,032	3,089,949	3,746,358	3,318,909	3,674,218	2,748,687
Encumbrances	588,767	725,467	402,928	709,823			
Unencumbered Cash Balance	3,785,618	3,964,565	2,687,021	3,036,535	3,318,909	3,674,218	2,748,687

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 2021 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:

Revenue increase in FY20 due to growth in licensee's and a greater than expected interest income credited to the fund. Expenditures increased in FY20 as vacancies were filled and the Captive branch began incurring costs related to IT system development.

	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	2,725,806	2,802,357	2,844,081	5,497,504	3,497,504	3,570,192	3,570,192
Beginning Cash Balance	6,011,624	6,746,665	7,641,901	8,562,778	9,224,226	9,080,722	8,885,530
Revenues 1/	2,519,340	2,754,503	2,984,597	3,564,868	3,354,000	3,375,000	3,540,000
Expenditures	1,784,299	1,859,267	2,063,720	2,903,420	3,497,504	3,570,192	3,570,192
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0	0	0	0	0
Ending Cash Balance	6,746,665	7,641,901	8,562,778	9,224,226	9,080,722	8,885,530	8,855,338
Encumbrances	26,395	9,150	41,165	142,870	0	0	0
Unencumbered Cash Balance	6,720,270	7,632,751	8,521,613	9,081,356	9,080,722	8,885,530	8,855,338

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 2020.

**Report on Non-General Fund Information
for Submittal to the 2021 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):

None.

Variances:

None.

Financial Data							
	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	0	0	1,210,906	0	0	0	0
Beginning Cash Balance	0	0	0	0	0	0	0
Revenues	0	6,127	334,954	78,253	36,167	0	0
Expenditures	0	6,127	334,954	78,253	36,167	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	150,000	20,000	0	0	0	0
Unencumbered Cash Balance	0	(150,000)	(20,000)	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 2021 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):

Variances:

Financial Data							
	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(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	0	0	0
Expenditures	0	0	0	0	0	0	0
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0	0	0	0	0
Ending Cash Balance	0	0	0	0	0	0	0
Encumbrances	0	0	0	0	0	0	0
Unencumbered Cash Balance	0	0	0	0	0	0	0

Additional Information:

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

**Report on Non-General Fund Information
for Submittal to the 2021 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.

Variances:

No premium taxes paid in protest during FY20.

Financial Data							
	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	0	0	0	0	0	0	0
Beginning Cash Balance	2,815,842	1,905,274	1,905,274	0	0	0	0
Revenues	0	0	0				
Expenditures	910,568	0	0	0	0	0	0
Transfers							
List each by JV# and date							
Net Total Transfers			(1,905,274)				
Ending Cash Balance	1,905,274	1,905,274	0	0	0	0	0
Encumbrances							
Unencumbered Cash Balance	1,905,274	1,905,274	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 2021 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):

Increasing trust fund ceiling for additional expected training and educational costs.

Variances:

Revenues projected to decrease as the Commissioner has temporarily reduced fees charged for rate and form filings by 50%. Fees were reduced as the fund has sufficient funds in reserves.

Financial Data							
	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	200,000	200,000	200,000	201,000	201,000	250,000	250,000
Beginning Cash Balance	1,218,602	1,344,641	1,408,896	1,418,268	1,468,637	1,347,637	1,177,637
Revenues	182,762	144,802	155,931	153,148	80,000	80,000	80,000
Expenditures	56,723	80,547	146,559	102,779	201,000	250,000	250,000
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0	0			
Ending Cash Balance	1,344,641	1,408,896	1,418,268	1,468,637	1,347,637	1,177,637	1,007,637
Encumbrances	13,949	20,612	22,929	20,318			
Unencumbered Cash Balance	1,330,692	1,388,284	1,395,339	1,448,319	1,347,637	1,177,637	1,007,637

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 2021 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):

Not Applicable.

Variances:

Additional deposit expected in FY21.

Financial Data							
	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	0	0	0	0	0	0	0
Beginning Cash Balance	50,000	50,000	50,000	50,000	50,000	75,000	75,000
Revenues	0				25,000	0	0
Expenditures	0	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	75,000	75,000	75,000
Encumbrances							
Unencumbered Cash Balance	50,000	50,000	50,000	50,000	75,000	75,000	75,000

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 2021 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):

Not Applicable.

Variations:

Varies year to year depending on an insurers' request for appeal.

Financial Data							
	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(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		0	0	0	0	0	0
Expenditures	0	0	0	0	0	0	0
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0	0			
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 2021 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):

Not Applicable

Variations:

Revenue varies based on interest earned.

Financial Data							
	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	0	0	0	0	0	0	0
Beginning Cash Balance	519	523	526	531	552	557	562
Revenues	4	3	5	21	5	5	5
Expenditures				0	0	0	0
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0				
Ending Cash Balance	523	526	531	552	557	562	567
Encumbrances							
Unencumbered Cash Balance	523	526	531	552	557	562	567

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 2021 Legislature**

Department: Commerce and Consumer Affairs
 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:

Transfer of \$116,837 reflected in FY20 was a return of funds from Tsunami & Hurricane Preparedness Efforts Trust Fund (T-06-906-G)

Financial Data							
<i>AI</i>	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling							
Beginning Fund Balance	186,936,494	182,159,415	177,856,546	183,840,206	191,355,432	191,172,057	190,988,682
Revenues	(1,311,874)	(526,195)	10,247,597	11,871,844	4,500,000	4,000,000	4,000,000
Expenditures	183,202	181,071	178,248	183,375	183,375	183,375	183,375
Transfers to State General Fund			0	0			
Transfers from State General Fund	-	0	0	116,837	0	0	0
Accrd Interest paid	(3,282,003)	(3,595,603)	(4,085,689)	(4,290,080)	(4,500,000)	(4,000,000)	(4,000,000)
Net Total Transfers	(3,282,003)	(3,595,603)	(4,085,689)	(4,173,243)	(4,500,000)	(4,000,000)	(4,000,000)
Ending Fund Balance	182,159,415	177,856,546	183,840,206	191,355,432	191,172,057	190,988,682	190,805,307
Encumbrances							
Unencumbered Cash Balance	182,440,064	177,856,546	183,840,206	191,355,432	191,172,057	190,988,682	190,805,307

Additional Information:

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

AI = 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 2021 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

Variations:

Revenue varies due to renewal cycles. Expenditure variances in FY 21-23 are due to projection to ceiling.

Financial Data							
	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	282,233	282,233	288,611	297,904	297,904	306,104	306,104
Beginning Cash Balance	367,317	228,267	291,195	257,593	295,012	212,255	206,731
Revenues 1/	98,755	283,974	164,433	268,237	168,000	253,000	168,000
Expenditures	201,077	182,625	198,035	188,904	210,000	210,000	210,000
Transfers							
List each by JV# and date							
JS2023 10/31/2019				(10,478)			
JS2115 11/13/2019				(10,478)			
JS3519 2/7/2020				(10,478)			
JS4829 5/7/2020				(10,480)			
Net Total Transfers	(36,728)	(38,421)	0	(41,914)	(40,757)	(48,524)	0
Ending Cash Balance	228,267	291,195	257,593	295,012	212,255	206,731	164,731
Encumbrances	0	0		2,070	0	0	0
Unencumbered Cash Balance	228,267	291,195	257,593	292,942	212,255	206,731	164,731

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 2020.

**Report on Non-General Fund Information
for Submittal to the 2021 Legislature**

Department: Commerce and Consumer Affairs
 Prog ID(s): CCA-191, CCA-110 FY18 and forward
 Name of Fund: MFDR Special Fund
 Legal Authority: Section 667-86, HRS

Contact Name: Dean Hazama
 Phone: 586-2844
 Fund type (MOF): Special Funds (B)
 Appropriation Acct. No.: S-XX-316-R

Intended Purpose:

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

Source of Revenues:

Fees collected from the mortgagee and the mortgagor.

Current Program Activities/Allowable Expenses:

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

Purpose of Proposed Ceiling Increase (if applicable):

Not Applicable.

Variations:

Revenue varies based on filings received.

FY 17-20 expenditure variances based on revenues collected. FY 21-23 variances based on projection to ceiling.

Financial Data							
	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	306,461	242,282	242,282	152,797	152,797	152,797	152,797
Beginning Cash Balance	153,230	59,868	102,272	112,565	119,935	120,080	112,458
Revenues 1/	60,288	45,367	11,548	8,459	36,000	36,000	36,000
Expenditures	3,650	2,963	1,255	1,089	15,000	15,000	25,000
Transfers							
List each by JV# and date							
Net Total Transfers	(150,000)	0	0	0	(20,855)	(28,622)	(21,926)
Ending Cash Balance	59,868	102,272	112,565	119,935	120,080	112,458	101,532
Encumbrances	137	46	50				
Unencumbered Cash Balance	59,731	102,226	112,515	119,935	120,080	112,458	101,532

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 2020.

**Report on Non-General Fund Information
for Submittal to the 2021 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. Community outreach-Increase ceiling to allow for the OCP division to hold more community outreach events.
2. Transfer in from CCA 102- This request consists of a trade-off (transfer in) of one position count and special fund ceiling to CCA-110.
3. Transfer in from CCA 106- This request consists of a trade-off (transfer in) of one position count and special fund ceiling to CCA-110.

Variances:

Revenue varies based on litigation actions.

Expenditure variance in FY 19 based on staffing. FY 21-23 variances based on projection to ceiling.

Financial Data							
	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	2,109,294	2,301,177	2,363,212	2,492,686	2,542,686	2,884,840	2,884,840
Beginning Cash Balance	6,264,470	7,398,673	9,276,077	11,160,174	10,013,192	8,880,985	7,749,845
Revenues 1/	3,262,847	4,046,701	4,431,926	1,517,215	2,211,000	2,211,000	2,211,000
Expenditures	1,857,842	1,862,959	2,219,150	2,309,482	2,542,686	2,884,840	2,884,840
Transfers							
List each by JV# and date							
JS2023 10/31/2019				(87,678)			
JS2115 11/13/2019				(91,678)			
JS3519 2/7/2020				(87,678)			
JS4829 5/7/2020				(87,681)			
Net Total Transfers	(270,802)	(306,338)	(328,679)	(354,715)	(800,521)	(457,300)	(493,240)
Ending Cash Balance	7,398,673	9,276,077	11,160,174	10,013,192	8,880,985	7,749,845	6,582,765
Encumbrances	64,630	50,774	72,568	46,969			
Unencumbered Cash Balance	7,334,043	9,225,303	11,087,606	9,966,223	8,880,985	7,749,845	6,582,765

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 2020.

**Report on Non-General Fund Information
for Submittal to the 2021 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 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(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	91,184	16,272	979	3,979	979	979	979
Revenues 1/	23,403	22,881	4,069	50,032	0	0	0
Expenditures	98,315	38,174	1,069	53,032	0	0	0
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0	0			
Ending Cash Balance	16,272	979	3,979	979	979	979	979
Encumbrances							
Unencumbered Cash Balance	16,272	979	3,979	979	979	979	979

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 2020.

**Report on Non-General Fund Information
for Submittal to the 2021 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:

HRS Chapters 414, 414D, 415A, 419, 420D, 421, 421C, 421H, 421I, 425, 425E, 425R, 428, 482, and 482P - 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.

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

HRS 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. Provide 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 FY22; 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.

Variations:

The variance for FY20-21 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 variance for FY20-21 expenditures can be attributed to the comparison of an actual number to an estimated number that is projected to ceiling.

The variance for FY21-22 revenue can be primarily attributed to the comparison of a projected number that incorporates a temporary 50% fee reduction in securities, franchise, trade name, trademark and service mark filing fees to a number that is projected to ceiling, with fees at statutory amounts.

The variance for FY21-22 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.

The variance for FY22-23 expenditures can be attributed to a projection that includes a proposed supplemental budget request compared with a projection to ceiling (without a supplemental budget request).

Financial Data							
	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	7,414,132	8,400,118	8,067,420	8,470,957	8,470,957	12,221,068	9,221,068
Beginning Cash Balance	11,583,995	15,041,283	18,886,669	22,964,782	25,941,393	23,043,168	18,175,236
Revenues 1/	10,397,463	11,377,835	12,227,444	11,661,968	6,732,400	9,290,400	9,290,400
Expenditures	5,969,240	6,414,205	7,029,209	7,493,513	8,470,957	12,221,068	9,221,068
Transfers							
List each by JV# and date							
JS2023 10/31/2019				(297,961)			
JS2115 11/13/2019				(297,961)			
JS3519 2/7/2020				(297,961)			
JS4829 5/7/2020				(297,961)			
Net Total Transfers	(970,935)	(1,118,244)	(1,120,122)	(1,191,844)	(1,159,668)	(1,937,264)	(1,576,585)
Ending Cash Balance	15,041,283	18,886,669	22,964,782	25,941,393	23,043,168	18,175,236	16,667,983
Encumbrances	78,292	452,921	226,873	75,972			
Unencumbered Cash Balance	14,962,991	18,433,748	22,737,909	25,865,421	23,043,168	18,175,236	16,667,983

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 2020.

**Report on Non-General Fund Information
for Submittal to the 2021 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):

1. Additional funds for a Program Specialist
2. Additional funds for a Legal Assistant

Variations:

Revenues vary due to license renewal cycles. Expenditure variances in FY 21-23 based on projection to ceiling.

Financial Data							
	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	6,442,820	7,167,144	7,167,144	7,800,160	7,500,160	7,805,629	7,805,629
Beginning Cash Balance	7,542,530	9,767,016	10,668,791	11,929,379	12,570,977	11,883,842	10,680,877
Revenues 1/	9,249,334	8,296,443	8,736,384	8,229,993	7,840,000	7,840,000	7,840,000
Expenditures	6,114,946	6,440,561	6,475,644	6,490,931	7,500,160	7,805,629	7,805,629
Transfers							
List each by JV# and date							
JS2023 10/31/2019				(274,366)			
JS2115 11/13/2019				(274,366)			
JS3519 2/7/2020				(274,366)			
JS4829 5/7/2020				(274,366)			
Net Total Transfers	(909,902)	(954,107)	(1,000,152)	(1,097,464)	(1,026,975)	(1,237,336)	(1,334,579)
Ending Cash Balance	9,767,016	10,668,791	11,929,379	12,570,977	11,883,842	10,680,877	9,380,669
Encumbrances	555,492	100,927	53,510	442,006	0	0	0
Unencumbered Cash Balance	9,211,524	10,567,864	11,875,869	12,128,971	11,883,842	10,680,877	9,380,669

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 2020.

**Report on Non-General Fund Information
for Submittal to the 2021 Legislature**

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

Contact Name: 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 481I, HRS.

Source of Revenues:

Filing fees paid by vehicle manufacturers and consumers.

Current Program Activities/Allowable Expenses:

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

Purpose of Proposed Ceiling Increase (if applicable):

Not Applicable.

Variations:

The Program continues to see increases in Demands for Arbitration statewide. Revenues & expenditures vary based on arbitration fees received and costs paid out including filing-fee refunds to prevailing consumers and costs related to administrator education, arbitrator recruitment & education, and necessary travel.

Financial Data							
	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	0	0	0	0	0	0	0
Beginning Cash Balance	123,897	124,127	123,208	124,099	123,618	125,618	127,618
Revenues 1/	4,525	2,925	3,550	3,400	2,000	2,000	2,000
Expenditures	4,295	3,844	2,659	3,881	0	0	0
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0	0			
Ending Cash Balance	124,127	123,208	124,099	123,618	125,618	127,618	129,618
Encumbrances	0	0	0	0			
Unencumbered Cash Balance	124,127	123,208	124,099	123,618	125,618	127,618	129,618

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 2020.

**Report on Non-General Fund Information
for Submittal to the 2021 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 M CCP 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):

1. Increase ceiling for core switch and firewall server.
2. Transfer 1 position from CCA
3. Increase ceiling for building maintenance and emergency preparedness grant matching.
- 4 Increase ceiling for iPaaS software.
- 5 Increase ceiling for VX RAIL Software.
- 6 Increase ceiling for Security Access System.

Variations

Revenue varies based on assessments needed. FY 19 expenditure variance due to contract encumbrance. FY 22-23 variances due to projection to ceiling.

Financial Data							
	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	7,761,845	8,110,870	8,195,600	8,525,388	8,450,388	9,961,193	10,137,193
Beginning Cash Balance	3,222,005	3,634,523	3,729,011	2,864,534	3,456,302	3,383,074	3,813,440
Revenues 1/	1,209,223	870,272	973,403	1,656,892	879,006	879,000	879,000
Expenditures	6,882,854	7,250,353	8,515,409	8,320,352	8,450,388	9,961,193	10,137,193
Transfers							
List each by JV# and date							
JS2023 10/31/2019				1,812,803			
JS2115 11/13/2019				1,816,803			
JS3519 2/7/2020				1,812,803			
JS4829 5/7/2020				1,812,819			
Net Total Transfers	6,086,149	6,474,569	6,677,529	7,255,228	7,498,154	9,512,559	9,747,227
Ending Cash Balance	3,634,523	3,729,011	2,864,534	3,456,302	3,383,074	3,813,440	4,302,474
Encumbrances	172,417	194,184	43,070	186,780			
Unencumbered Cash Balance	3,462,106	3,534,827	2,821,464	3,269,522	3,383,074	3,813,440	4,302,474

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 2020.

**Report on Non-General Fund Information
for Submittal to the 2021 Legislature**

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

Current Program Activities/Allowable Expenses:

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

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

**Report on Non-General Fund Information
for Submittal to the 2021 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 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	0	0	0	0	0	0	0
Beginning Cash Balance	1,149,621	1,896,566	1,429,482	1,948,671	2,138,695	2,138,695	2,138,695
Revenues	2,117,028	1,947,327	1,859,744	1,702,797			
Expenditures	1,370,083	2,414,411	1,340,555	1,512,773			
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0				
Ending Cash Balance	1,896,566	1,429,482	1,948,671	2,138,695	2,138,695	2,138,695	2,138,695
Encumbrances	22,100	44,109	0	69,380			
Unencumbered Cash Balance	1,874,466	1,385,373	1,948,671	2,069,315	2,138,695	2,138,695	2,138,695

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

Variations:

Variations 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 variations in expenditures from FY17 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. Variations 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. Budgets for FY21 to FY22 have been adjusted to align with Hawaiian Electric Company's revised revenue forecasting. FY23 is estimated holding revenues and expenses constant (no contract is in place as of yet for FY23).

Financial Data							
	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	0	0	0	0	0	0	0
Beginning Cash Balance	32,336,215	25,220,672	16,677,293	12,225,108	10,353,292	8,153,292	6,053,292
Revenues	27,177,493	21,939,512	22,407,327	28,946,151	35,300,000	33,100,000	33,100,000
Expenditures	34,293,036	30,482,891	26,859,512	30,817,967	37,500,000	35,200,000	35,200,000
Net Total Transfers							
Ending Cash Balance	25,220,672	16,677,293	12,225,108	10,353,292	8,153,292	6,053,292	3,953,292
Encumbrances							
Unencumbered Cash Balance	25,220,672	16,677,293	12,225,108	10,353,292	8,153,292	6,053,292	3,953,292
<u>Additional Information:</u>							
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 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	0	0	0	0	0	0	0
Beginning Cash Balance	244,653	135,546	461,543	557,686	619,273	609,273	599,273
Revenues	618,376	1,028,450	951,680	865,402	820,000	820,000	820,000
Expenditures	727,483	702,453	855,537	803,815	830,000	830,000	830,000
Transfers							
List each by JV# and date							
Net Total Transfers	0	0	0	0	0	0	0
Ending Cash Balance	135,546	461,543	557,686	619,273	609,273	599,273	589,273
Encumbrances	0	0	0	0	0	0	0
Unencumbered Cash Balance	135,546	461,543	557,686	619,273	609,273	599,273	589,273

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 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):

None

Variations:

None

Financial Data							
	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	16,045,272	15,753,197	15,249,248	17,687,157	18,658,757	16,918,158	16,918,158
Beginning Cash Balance	0	0	0	0	0	0	0
Revenues	19,176,119	16,905,331	17,563,946	18,300,807	18,500,000	18,500,000	18,500,000
Expenditures	12,285,892	12,705,374	13,010,896	14,024,018	18,500,000	16,900,000	16,900,000
Transfers							
List each net transfer in/out/ or projection in/out; list each account number							
JS0024 S20340R 7/3/19				1,000,000	1,000,000	1,000,000	1,000,000
Net Total Transfers	188,383	919,100	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000
Ending Cash Balance	7,078,609	5,119,057	5,553,050	5,276,789	1,000,000	2,600,000	2,600,000
Encumbrances	1,358,965	963,392	1,511,691	2,864,540	0	0	0
Unencumbered Cash Balance	5,719,645	4,155,665	4,041,359	2,412,249	1,000,000	2,600,000	2,600,000

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
 Legal Authority: Act 142 SLH 2019

Contact Name: Jan Mulvey
 Phone: 586-2030
 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 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023
	(actual)	(actual)	(actual)	(actual)	(estimated)	(estimated)	(estimated)
Appropriation Ceiling	0	0	0	150,000	250,000	0	0
Beginning Cash Balance	0	0	0	0	150,000	0	0
Revenues	0	0	0	0	250,000	0	0
Expenditures	0	0	0	0	400,000	0	0
Transfers							
List each by JV# and date							
JS1991 10/31/19				150,000	0	0	
Net Total Transfers	0	0	0	150,000	0	0	0
Ending Cash Balance	0	0	0	150,000	0	0	0
Encumbrances	0	0	0	150,000	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							