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December 31, 2012

The Honorable David Ige, Chair
Senate Committee on Ways and Means
State Capitol, Room 208
415 South Beretania Street
Honolulu, Hawaii 96813

Dear Chair Ige:

In reply to a request dated December 14, 2012 regarding budget briefing, transmitted herewith is one copy of the department's budget testimony. An electronic version (pdf) will be sent to wantestimony@capitol.hawaii.gov.

Should you have any questions, please feel free to contact Ms. Meoh-Leng Silliman, Business Management Officer, at 586-2844.

Very truly yours,

KEALI'I S. LOPEZ
Director

Attachment

c: Governor's Policy Office
Department of Budget and Finance

PRESENTATION
OF THE DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS
TO THE SENATE COMMITTEE ON WAYS AND MEANS
BIENNIUM BUDGET REQUEST FOR FISCAL BIENNIUM 2013-2015
TWENTY-SEVENTH STATE LEGISLATURE
REGULAR SESSION
JANUARY 9, 2013

TO THE HONORABLE DAVID IGE, CHAIR,
AND MEMBERS OF THE SENATE COMMITTEE ON WAYS AND MEANS:

I am Keali'i Lopez, the Director of the Department of Commerce and Consumer Affairs. I appreciate this opportunity to discuss the department's fiscal biennium 2013-2015 budget with the committees.

Overview

The Department's mission is to promote a strong and healthy business environment by upholding fairness and public confidence in the marketplace, and by increasing knowledge and opportunity for our businesses and citizens.

As you are aware, the department relies entirely on the department's compliance resolution fund ("CRF"), making the DCCA fully self-funded and self-sufficient. The foresight of the legislature to develop this requirement has benefited our customers and the public we serve, as well as the state over the past several years. Self-sufficiency notwithstanding, strong fiscal oversight continues to be important to the department. The fees and revenue collected by the department are solely for the purpose of delivering important commerce and consumer protection related services.

Toward that end, I appreciate the Senate Ways and Means Committee's thorough review and consideration of the department's budget.

While we are seeing encouraging signs of a resurgent state economy, much of the Department work continues to involve addressing the fallout from the recent mortgage and financial crisis. In particular, as a result of more rigorous regulation on both the state and federal levels, the Division of Financial Institutions has seen its licensee population nearly triple within the past two years, leading to a significant increase in the volume of work for that division. Despite the increased workload, the Division successfully obtained Conference of State Bank Supervisors (CSBS) accreditation, verifying that the division meets the highest

standards and practices in state bank supervision. In order to maintain its high levels of performance, the division will be proposing a number of revisions to the financial institution, escrow depository money transmitter and mortgage loan originator laws it administers, including making recommendations for fee increases in line with the division's increased oversight responsibilities. Similarly, the Office of Consumer Protection has seen an upsurge in the number of mortgage fraud cases it investigates, especially relating to individuals that prey on distressed homeowners by falsely promising "mortgage rescue" or foreclosure avoidance. The Office of Consumer Protection is seeking an investigator position to assist its existing enforcement staff.

The Department's mission includes a commitment to helping Hawaii's citizens become more knowledgeable consumers, and two of the department's budget requests involve funding for educational outreach. Despite the wealth of information available to each of us through traditional and social media, it can be difficult for the average consumer to distinguish reliable business practices from "scams". The Department is (1) embarking on focused educational campaigns that are targeting specific vulnerable consumer groups; i.e., distressed homeowners and potential victims of unlicensed contractors; and (2) increasing and improving its visibility on the Internet, in social media and through targeted educational events.

With the passage of the Patient Protection and Affordable Care Act (PPACA), the Insurance Division has been heavily involved in planning, discussion and legislation designed to conform Hawaii's laws to federal requirements and has been working closely with the other stakeholders to provide for timely and cost-effective implementation of the initiative.

Although the Department is fully self-sufficient, it continues to seek alternatives to increasing revenues to cover increased regulatory requirements, adjusting workload and capacity to focus on priority matters, and seeking grants to further the mission of the department. The DCA has revised its scope of review in several dockets in order to manage the increased workload, as well as reduce its participation in certain non-priority matters. Additionally, the Insurance Division continues to actively review federal grant fund opportunities to assist the State in implementing measures under the Patient Protection and Affordable Care Act as it did when the Department received approximately \$19.4 million in

federal grant funds during the current fiscal biennium.

In addition to seeking federal funds, the Department is working with the neighbor island counties to identify ways the Cable Television division (CATV) can assist with and support broadband deployment and adoption in the counties. This effort is in furtherance of the Governor's Hawaii Broadband Initiatives and seeks to build upon the current and future efforts of County Governments.

In the meantime, the central purpose of this portion of the briefing is to discuss the department's FB 2013-2015 budget. Attached to this brief are the program specific information in your prescribed format and responses to the questions posed in the committee's instructions.

Federal Funds

The Department does not anticipate losing federal funds under the Federal Budget Control Act sequester. The Department is the recipient of several federal grants and understands that these grants will not be impacted by the sequester.

Budget Request

The department developed a budget that provides the resources necessary for our programs to perform their functions and meet their goals and objectives. Cognizant of the economic uncertainties at both the national and local levels, the department endeavored to put together a budget that is cost-effective and to prioritize our requests in a meaningful manner. Pursuant to instructions in FM 12-12, as amended by FM 12-14, the budget reflects base adjustments, e.g., reductions for non-recurring items and additions for the restoration of labor savings, fringe benefit increases needed to meet payroll obligations, and the establishment of ceiling for federal funds (competitive grants).

Where possible, trade-offs are proposed and ceiling increases are limited to situations where: 1) resources are needed to carry out legislatively prescribed functions and actions, e.g., the registration of Athletic Trainers (Act 198/12), continuation of the Mortgage Foreclosure Dispute Resolution Program (Act 182/12), and the fund transfer requirement pursuant to

Section 36-27, HRS (Central Services Assessment); 2) there is a critical need for expenditures, e.g., the necessity of upgrading/replacing IT equipment that are past warranty and support periods, and where any continued delay in appropriate action can have a detrimental impact on our ability to provide services; 3) resources are needed for updated/new initiatives (the use of radio, television and other media) that will allow the department to be more efficient and effective in performing our outreach function, an essential component of a strong consumer education program as authorized in Section 26-9(g); and 4) funds are needed for current priorities, such as the support needed for the implementation of the Governor's Hawaii Broadband Initiatives.

The following is a discussion of significant adjustments contained in our budget request:

A. CCA102 - Cable Television Division (CATV)

CATV is requesting a ceiling increase of \$2,000,000 to support the Governor's Broadband Initiative with broadband projects specific to the neighbor islands. Monies from the INET fund would be used to cover this request. Current mapping efforts show that the neighbor islands have the greatest needs with regard to broadband infrastructure. Discussions have already started with the neighbor island counties to identify specific projects that would help to address the infrastructure issues and also broadband adoption issues. Because the neighbor islands have the greatest challenges with regard to broadband deployment, they will also stand to benefit the most from these efforts.

B. CCA105 - Professional and Vocational Licensing Division (PVL)

PVL is requesting to increase the Contractor Education Trust Fund ceiling (T 909) by \$40,000. In 2011, the Hawaii State Legislature requested the Director of Commerce and Consumer Affairs to establish the Unlicensed Contractor Law Enforcement Task Force (Task Force) to develop a collaborative enforcement strategy concerning unlicensed contractors among civil, criminal, and administrative enforcement agencies. For a year, representatives from the various state and county prosecutor offices participated in a small working group on enforcement issues (Working Group). The Working Group spent considerable time discussing

the need for consumer education. The Task Force specifically found consumer education to be a key factor in deterring unlicensed contracting activity and is proposing a series of public service announcements warning consumers of the risks of hiring an unlicensed contractor.

Affected outcome: The public service announcement will inform and enlighten consumers about the harm that unlicensed contracting in Hawaii can do, and it will help protect homeowners from putting their properties at risk if anyone is injured on the project or if anything is damaged while the work is being done.

C. CCA106 - Insurance Division (INS)

The significant adjustment contained in the budget request submitted to the legislature is to add four (4) new captive insurance examiner positions, by transferring special funds from contractual services to personal services, with no additional ceiling requested.

The captive insurance branch currently has a backlog of approximately 50 examinations to conduct, with the number rising due to the mandated statutory requirement to examine insurance companies every three to five years. It is essential that the branch maintain adequate staffing levels commensurate with the growth in number of licensees to properly regulate, service and develop Hawaii's captive insurance industry in an efficient and timely manner and will reinforce the State's commitment to this growing industry, and meet the ongoing responsibility and expectations of national and international insurance regulators. These additional positions will directly impact the continued contribution of this unique industry to Hawaii's economic diversification, as well as minimize the ongoing costs for captive insurance licensees to do business in Hawaii.

D. CCA110 - Office of Consumer Protection (OCP)

OCP is requesting that its budget ceiling be increased by \$120,000.00 per annum for Central Services Assessment (CSA). OCP has regularly joined with other states in pursuing investigations and legal actions involving consumer protection issues of national concern. OCP has been fortunate as a result of its involvement to realize substantial financial recoveries. OCP relies on these recoveries to underwrite the costs of operating its office to the benefit of

Hawaii's consumers. However, these recoveries have impacted the OCP budget through increased obligations for CSA. Due to the nature of litigation and the complexity of the issues involved, together with the number of states participating in these cases, it is difficult if not impossible to anticipate from year to year the amount of these recoveries or the amount necessary for CSA. Therefore, the requested increase in the ceiling is warranted.

OCP is also requesting the addition of an Investigator I to its staff. The purpose of this additional staff position is to create a full-time staff investigator for the Landlord-Tenant Hotline. The addition of this position will significantly alleviate the burden on the remaining four staff investigators in the Honolulu office who spend an average of twenty percent (20%) of their time each week on the Landlord-Tenant Hotline. The Investigator I will spend 20 hours per week on the Landlord-Tenant Hotline and the balance of their time on regular investigations.

E. CCA191 - General Support – Information Systems and Communications Office (ISCO)

ISCO's budget request for FY14 includes the replacement of aging hardware. Replacement of this hardware will provide a faster and safer network environment, and will enable the department to utilize the benefit of OIMT's work to increase network speeds and provide centralized services without a significant impact on performance. Without these upgrades, the network upgrades of ICSD's NGN or One Net would stop at the department's router and faster speeds could not be passed on to user workstations. As OIMT attempts to transition the State to a Consolidated Infrastructure/ Enterprise Shared Services model, having faster network speeds and better performance of these shared services/applications will ensure the success and user adoption of these new programs.

F. CCA191 - General Support – Director's Office

The Department's core mission is to protect the interests of consumers, depositors and investors throughout the state. Haw. Rev. Stat. 26-9(b). To that end, DCCA is authorized to and has developed a strong consumer education program. Haw. Rev. Stat. 26-9(g). While the department conducts a number of consumer education outreach campaigns that include

speaking engagements, brochures, webpage outreach, and press releases, the department believes that certain consumer education initiatives are best served by outreach through radio, television and other media. As such, DCCA is requesting authorization for a ceiling increase of \$100,000 in FY14 and \$50,000 in FY15 to provide for media production and airtime. The media campaign is a visible extension of DCCA's provision of the director's functions to direct a department public information and consumer education program. These educational activities are designed to complement existing departmental educational programs.

Additional Information

Table 1: Prioritized List of Functions

The Prioritized List of Functions encompasses all of the major functions and associating activities performed by the Department's programs.

Table 2: Department-Wide Totals

The Department's proposed fiscal year FY 14 operating budget is \$55,680,835 (\$52,125,843 special funds; \$2,554,992 trust funds; \$1,000,000 competitive federal grants), which reflects the restoration of labor cost savings pursuant to Favored Nations provisions of \$1,165,877 (\$1,138,032 special funds; \$27,845 trust funds). The Department's proposed FY15 operating budget is \$52,740,194 (\$49,975,202 special funds; \$2,514,992 trust funds; \$250,000 competitive federal grants), which also includes the \$1,165,877 from the restoration of labor cost savings.

Table 3: Program ID Totals

The Department's total appropriated amount for FY 13 in Act 106, Session Laws of Hawaii (SLH) 2012 is \$50,586,801 (\$48,149,654 special funds; \$2,437,147 trust funds). The amount requested in the Governor's budget submittal for FY 14 is \$55,680,835 (\$52,125,843 special funds; \$2,554,992 trust funds; \$1,000,000 competitive federal grants), an increase of 10% from the FY 13 appropriation. The FY15 amount proposed for FY 15 is \$52,790,194

(\$50,025,202 special funds; \$2,514,992 trust funds; \$250,000 competitive federal grants), an increase of 4% as compared to the FY 13 appropriation.

Table 4: Budget Decisions

The Department's requests, Budget and Finance's recommendations, and the Governor's decisions are listed.

Table 5: Proposed Budget Reductions

The amount, type and impact of the reduction on the programs are provided. The proposed Biennium Budget reflects a total of \$220,000 in reductions for non-recurring costs (CATV - \$45,000 to meet the shortfall in transfers to DOE in FY13 as provided in Act 164/11; and ISCO - \$175,000 in one-time costs for software and equipment upgrades) There are no changes to position counts.

Table 6: Proposed Biennium Budget Additions

Additions in the Biennium Budget include increasing the special and trust fund ceilings by:

- \$ 1,165,877 (\$1,138,032 special funds, \$27,845 trust funds) in base adjustments related Favored Nations Provisions,
- \$304,767 for fringe benefits,
- \$120,000 to facilitate Central Services Assessment transfers,
- \$51,229 in FY 14 and \$54,288 in FY 15 for one permanent position to support the Landlord-Tenant Hotline and regular investigations,
- \$306,461 for the continuation of the Mortgage Foreclosure Dispute Resolution program,
- \$50,000 to streamline the efficiency and timeliness of the required transfer of fee payments collected for the Appraisal Subcommittee of the Federal Financial Institutions Council,
- \$140,000 in FY 14 and \$50,000 in FY 15 for consumer education programs and

campaigns,

- \$135,700 in FY 14 and \$32,000 for IT hardware, software and services,
- \$2,000,000 to support broadband deployment to neighbor island counties,
- \$40,000 for the continuation of program registration activities implemented pursuant to Act 198/12,
- Establishment of ceiling for federal competitive grants (\$1,000,000 in FY 14 and \$250,000 in FY 15)

and the addition of two permanent positions through conversion from temporary to permanent status.

Table 7: Current Year (FY13) Restrictions

None.

Table 8: Emergency Appropriation Requests

None.

Table 9: Expenditures Exceeding Appropriation Ceilings

None.

Table 10: Intradepartmental Transfer of Funds

None.

Table 11: Active Federal Awards

The three active HHS grants are: 1) State Planning and Establishment Grants for the Affordable Care Act's Exchanges, 2) Grants to Support States in Health Insurance Rate Review Grant Cycle II, and 3) Cooperative Agreements to Support Establishment of State-Operated Health Insurance Exchanges.

Table 12: Non-General Fund Balances (excluding Federal Funds)

Estimated unencumbered cash balances for specific funds totals (\$35,043,411 compliance resolution fund; \$21,038,646 hurricane reserve trust fund; \$8,114,340 all other trust funds; and \$4,105,808 all other special funds) and excess balance, if any, are provided.

Table 13: Vacancy Report

Vacancies on November 30, 2012 are listed by Program IDs.

Table 14: Overtime Expenditures

Percent of overtime expenditures incurred in FY 12 was 0.3% of base salary for special funds, and 0% for trust funds; estimated FY 13 overtime expenditures are 0.6% for special funds and 2.4% for trust funds; and proposed budgeted amounts for FY 14 are 0.8% and 2.4% of base salary for special funds and trust funds respectively.

Table 15: Overpayment Expenditures

None.

Table 16: Contract Costs

Listing of active contracts by program ID and MOF is provided.

Table 17: Capital Improvement Program (CIP) Requests

None.

Table 18: CIP Lapses

None.

Table 19: Division Resources

Listing of all divisions by Program ID is provided.

Table 20: Organizational Charts

The Department's organizational chart for the current year (FY13) is attached. All changes that were made are indicated.

Thank you for this opportunity to brief you. My staff and I would be pleased to answer any questions that you might have.

Department of Commerce and Consumer Affairs
 Prioritized List of Functions

Table 1

Priority	Description of Function	Activities	Prog ID(s)	Statutory Reference
1	Business Registration & Securities Regulation: Ensure that business registration information is accurately maintained for corporations, partnerships, limited liability companies, trade names, trademarks, service marks and other business registration filings, and provide public access to this information; ensure compliance with and enforcement of securities and franchise laws; educate the public regarding aspects of investment fraud, precautions and where victims can get help, as part of securities enforcement and compliance efforts; and run business centers that offer personalized assistance to small and start-up businesses.	<ul style="list-style-type: none"> • Corporations, partnerships, trade names, limited liability companies, etc. Determine that all documents are filed in compliance with applicable statutory requirements. Assist the public in accessing information regarding documents that have been successfully filed with the Division, including implementing online access to public registration services and public documents. Provide personalized assistance to businesses registering with the Division. • Sales of securities and franchises. Examine applications for registration of securities and franchises to determine that security or franchise offerings comply with statutory requirements; register securities, sales agents, broker-dealers, investment advisers, investment adviser representatives and franchises; examine financial reports and records of securities dealers and investment companies; conduct investigations of reported fraud and other securities or franchise violations and prosecute violations; and conduct investor education outreach to communities throughout Hawaii. 	CCA111	Chapters 26-9(g), 414, 414D, 415A, 417E, 419, 420D, 421, 421C, 421H, 421I, 421J, 423, 424, 425, 425E, 428, 474, 482, 482E, 485A, and 519, HRS.
2	Insurance Regulatory Services: Regulatory oversight of the insurance industry.	<ul style="list-style-type: none"> • Examine insurers, health maintenance organizations, rating organizations, mutual and fraternal benefit societies, advisory organizations, agencies, independent claims organizations, guaranty associations. • Investigate complaints of alleged violations of insurance statutes and rules and other consumer requests for assistance. • Conduct qualification examinations and license insurers, health maintenance organizations and all categories of producers to transact insurance. • Approve/disapprove policies and rate filings. • License, examine and regulate captive insurance companies and develop the captive industry in Hawaii. • Review insurance entities' financial, operating and tax statements. • Regulatory surveillance for market conduct and financial condition of all insurers, health maintenance organizations, and mutual and fraternal benefit societies for compliance with insurance laws. • Investigate violations and enforce motor vehicle claims fraud law. • Administer the Hawaii Joint Underwriting Plan, including the development and promulgation of motor vehicle insurance rates. • Implement Federal Health Care reforms relating to Health Care Exchanges and Premium Rate Review. 	CCA106	Chapter 287, 386, 386A, 392, 393, 431, 431E, 431K, 431L, 431M, 431N, 431P, 432, 432C, 432D, 432E, 435C, 435E, 448D, 481R, 481X and 488, HRS.

Department of Commerce and Consumer Affairs
Prioritized List of Functions

Table 1

Priority	Description of Function	Activities	Prog ID(s)	Statutory Reference
3	Office of Consumer Protection: Maintain Complaint Database; Investigate Complaints; Prosecute Legal Actions; Legislation; Consumer Education; Landlord-Tenant Hotline.	<ul style="list-style-type: none"> ● Investigation of Complaints. Receive all complaints on a statewide basis: walk-ins, mail and telephone; evaluate complaints in relation to investigation threshold criteria; for cases meeting threshold requirements, determine all facts of complaint; determine from facts whether or not there is a violation of any consumer protection law, refer cases which, on their face, fall within the jurisdiction of another agency, and inform complainant of findings of fact and course of action to be taken, if any, by this office or another governmental agency; coordinate fact finding functions with other governmental agencies; monitor advertisements; subpoena witnesses for investigation of facts. ● Prosecution. Determine adequacy of evidence to prove violation prior to filing a complaint in court; negotiate Assurance of Voluntary Compliance or Consent Judgment prior to the filing of a complaint in court; take court action against entities that violate consumer protection law; obtain injunction, civil penalty and restitution for consumers in court actions and settlement of cases. ● Landlord-Tenant Cases. Provide Landlord-Tenant code information to callers. ● Legislation. Promulgate rules and regulations to protect consumers; draft consumer protection legislation for the Department; recommend consumer protection legislation to the Legislature; and offer testimony on other consumer protection legislation. 	CCA110	Chapters 209, 290, 436M, 437, 437D, 446, 446E, 457G, 467B, 476, 477, 477E, 480, 480D, 481A, 481B, 481C, 481D, 481F, 481H, 481L, 481K, 481M, 481P, 486N, 487, 487A, 487H, 487J, 487N, 487R, and 521, HRS.
4	Consumer Advocate for Comm, Util & Tran Svcs: Ensure the provision of reliable regulated service at reasonable cost to ratepayers, and educate consumers regarding aspects of public utility regulation.	<ul style="list-style-type: none"> ● Advocate positions on behalf of consumers of utility and transportation services before the State of Hawaii Public Utilities Commission ("PUC"), the Federal Communications Commission ("FCC"), and other federal, state and local regulatory agencies. Positions are developed and advocated concerning: (a) Applications for authority to offer new services; (b) Rate and fare proposals; (c) Revenue and earnings requirements of regulated utilities; (d) Financing of equipment, plant, and other facilities, (e) Review of capital improvement projects; (f) Transfers, extensions, and cancellations of permits, franchises, and certificates; (g) Regulations governing regulated industries; (h) Formulation of policies and long range planning for telecommunications and energy utilities; (i) service quality; and (j) agreements and contracts between a regulated company and suppliers and/or other parties. ● Compliance investigations are conducted regarding the adequacy and efficiency of utility services. ● Education of consumers relating to utility regulation and consumer rights through web site, newsletters, sponsored events, and attendance at trade-shows, fairs, business and community meetings, etc. 	CCA103	Sections 269-51 through 269-55, HRS.
5	Financial Services Regulation: Supervise and regulate financial institutions, escrow depositories, money transmitters, mortgage servicers, mortgage loan originators, and mortgage	<ul style="list-style-type: none"> ● License, examine and supervise state-chartered and licensed banks, trust companies, savings and loan associations, financial services loan companies, credit unions, escrow depositories, and money transmitters. ● License mortgage servicers effective July 1, 2010. 	CCA104	Chapters 412, 449, 454F, 454M, 489D, HRS.

Department of Commerce and Consumer Affairs
 Prioritized List of Functions

Table 1

Priority	Description of Function	Activities	Prog ID(s)	Statutory Reference
		<ul style="list-style-type: none"> License and examine mortgage loan originators and mortgage loan originator companies effective January 1, 2011. 		
6	Professional & Vocational Licensing: Receive and review applications for professional and vocational licenses, condominium, real estate subdivision and time share projects; prepare & analyze legislative proposals to amend professional and vocational licen	<ul style="list-style-type: none"> License and regulate 48 different professions and vocations. Provide administrative support to 25 regulatory licensing boards and, on behalf of the director of the department, administer 23 regulatory licensing programs. The trust funds are dedicated to specific statutory purposes to educate the licensees who are the contributors to the fund, serve as a source of monetary recovery for injured consumers, or support increased government service demands by licensees. One fund is federally mandated to collect fees on its behalf, with revenues going to the federal agency. 	CCA105	Chapters 373, 436B, 436E, 436H, 437, 437B, 438, 439, 440, 440E, 441, 442, 443B, 444, 447, 448, 448E, 448F, 448H, 451A, 451D, 451J, 452, 453, 453D, 455, 457, 457A, 457B, 457G, 458, 459, 460, 460J, 461, 461J, 462A, 463, 463E, 464, 465, 466, 466D, 466K, 467, 467E, 468E, 468L, 468M, 471, 481E, 484, 514A, 514B and 514E, HRS.
7	Regulated Industries Complaints Office: Investigation and prosecution of possible (professional and vocational) licensing law violations.	<ul style="list-style-type: none"> Receive complaints, conduct investigations, and prosecute cases alleging professional and vocational licensing law violations. Provides educational information to consumers and industry members; provides real time liceninsing, business registration, and complaint history information to the public. Administers the State Certified Arbitration Program (lemon law program). 	CCA112	Section 26-9(h), HRS.
8	Cable Television: Compliance with Hawaii's cable television law and rules.	<ul style="list-style-type: none"> Ensure quality service for cable television subscribers by issuing new franchises, franchise renewals and transfers of franchises. Ensure expansion and enhancement of the Institutional Network (INET) Identify new and improved services, future community needs and interests and enhancing technologies.(i.e., DBS, broadband, etc) Oversee technical inspections and establish reporting requirements. Award PEG contracts and provide support for PEG access. Establish a work group to develop procedures for streamlined permitting functions applicable to the development of broadband services or technology. Implement activities to promote ubiquitous access to high speed broadband at affordable prices throughout the State. Develop plans and recommend legislation to expand and accelerate deployment of broadband infrastructure; support public-private efforts to develop broadband infrastructure; work with government agencies, broadband providers, and other stakeholders to advance the provision of broadband services to un-served and under-served areas in the State. 	CCA102	Chapter 440G, HRS.
9	General Support: Administration of the Department; conduct administrative hearings for the Department, administers the Medical Claims Conciliation Panel, the Design Claims Conciliation Panel, and the Mortgage Dispute Resolution Program; and assist in information	<ul style="list-style-type: none"> Provides: (1) general policy and administrative leadership, supervision and coordination of the various programs of the Department; (2) assistance in the direction and supervision of operating divisions; and (3) centralized personnel management and organizational analysis support services to operating divisions. 	CCA191	Section 26-9, HRS.

Department of Commerce and Consumer Affairs
 Prioritized List of Functions

Table 1

Priority	Description of Function	Activities	Prog ID(s)	Statutory Reference
	technology needs of the Department.	<ul style="list-style-type: none"> ● Provides: (1) centralized budgeting and accounting services; (2) centralized clerical services; (3) building management; and (4) other administrative support services. ● Conducts contested case hearings for all divisions within DCCA that are required by law to provide contested case hearings under the provisions of HRS Chapter 91. ● Conducts contested case hearings under Chapter 103D, HRS (procurement law). ● Conducts contested case hearings for the Department of Education relating to the Individuals With Disabilities Education Act. ● Convenes panels of qualified attorneys and medical professionals to review inquiries regarding health care practitioners under the provisions of HRS Chapter 671. ● Convenes panels of qualified attorneys and design professionals to review claims against design professionals under the provisions of HRS Chapter 672 ● Administers program providing the services of neutral parties in effort to resolve non-judicial foreclosures against properties of owner-occupants under the Mortgage Dispute Resolution Program established by Act 48 of the 2011 Legislature. ● Provides all divisions of DCCA with: (1) information technology hardware, software and custom programming support; (2) DCCA website support, (3) telephone, and other communication services support. ● Conducts contested case hearings for the Employees' Retirement System of the State of Hawaii regarding disputes concerning benefits under the provisions of HAR Title 6, Chapters 20 and 23. 		

Department of Commerce and Consumer Affairs
Department-Wide Budget Summary

Table 2

Fiscal Year 2013				
Act 106/12 Appropriation	Restriction	Emergency Appropriation	Total FY13	MOF
\$ 48,149,654.00	\$ -	\$ -	\$ 48,149,654.00	B
\$ 2,437,147.00	\$ -	\$ -	\$ 2,437,147.00	T
			\$ -	
\$ 50,586,801.00	\$ -	\$ -	\$ 50,586,801.00	Total
Fiscal Year 2014				
Act 106/12 Appropriation	Reductions	Additions	Total FY14	MOF
\$ 48,149,654.00	\$ (220,000.00)	\$ 4,196,189.00	\$ 52,125,843.00	B
\$ 2,437,147.00	\$ -	\$ 117,845.00	\$ 2,554,992.00	T
\$ -	\$ -	\$ 1,000,000.00	\$ 1,000,000.00	P
\$ 50,586,801.00	\$ (220,000.00)	\$ 5,314,034.00	\$ 55,680,835.00	Total
Fiscal Year 2015				
Act 106/12 Appropriation	Reductions	Additions	Total FY15	MOF
\$ 48,149,654.00	\$ (220,000.00)	\$ 2,045,548.00	\$ 49,975,202.00	B
\$ 2,437,147.00	\$ -	\$ 77,845.00	\$ 2,514,992.00	T
\$ -	\$ -	\$ 250,000.00	\$ 250,000.00	P
\$ 50,586,801.00	\$ (220,000.00)	\$ 2,373,393.00	\$ 52,740,194.00	Total

Department of Commerce and Consumer Affairs
Funding by Program ID

Table 3

Prog ID	Program Title	MOF	As budgeted in Act 106/12 (FY13)			Governor's Submittal (FY14)				Governor's Submittal (FY15)			
			Pos (P)	Pos (T)	\$\$\$	Pos (P)	Pos (T)	\$\$\$	Percent Change of \$\$\$\$	Pos (P)	Pos (T)	\$\$\$	Percent Change of \$\$\$\$
CCA 102	Cable Television	B	7.00	3.00	\$ 2,110,809	7.00	-	\$ 4,091,537	94%	7.00	-	\$ 2,091,537	-1%
CCA 103	Consumer Advocate for Comm, Utilities & Transportation Svcs	B	23.00	-	\$ 2,938,787	23.00	-	\$ 3,031,508	3%	23.00	-	\$ 3,031,508	3%
CCA 104	Financial Services Regulation	B	34.00	-	\$ 3,277,594	34.00	-	\$ 3,384,920	3%	34.00	-	\$ 3,384,920	3%
CCA 104	Financial Services Regulation	T	-	-	\$ 110,000	-	-	\$ 110,000	0%	-	-	\$ 110,000	0%
CCA 105	Professional & Vocational Licensing	B	54.00	13.00	\$ 5,847,701	56.00	10.00	\$ 6,040,488	3%	56.00	10.00	\$ 6,040,488	3%
CCA 105	Professional & Vocational Licensing	T	8.00	6.00	\$ 2,026,466	8.00	3.00	\$ 2,144,311	6%	8.00	3.00	\$ 2,104,311	4%
CCA 106	Insurance Regulatory Services	B	81.00	2.00	\$ 14,040,126	85.00	2.00	\$ 14,350,016	2%	85.00	2.00	\$ 14,350,016	2%
CCA 106	Insurance Regulatory Services	T	-	-	\$ 200,000	-	-	\$ 200,000	0%	-	-	\$ 200,000	0%
CCA 106	Insurance Regulatory Services	P	-	-	\$ -	-	4.00	\$ 1,000,000		-	4.00	\$ 250,000	
CCA 110	Office of Consumer Protection	B	16.00	3.00	\$ 1,524,748	17.00	1.00	\$ 1,781,593	17%	17.00	1.00	\$ 1,784,652	17%
CCA 110	Office of Consumer Protection	T	-	-	\$ 100,681	-	-	\$ 100,681	0%	-	-	\$ 100,681	0%
CCA 111	Business Registration & Securities Regulation	B	71.00	9.00	\$ 6,472,012	71.00	8.00	\$ 6,649,240	3%	71.00	8.00	\$ 6,649,240	3%
CCA 112	Regulated Industries Complaints Office	B	66.00	2.00	\$ 5,405,578	66.00	1.00	\$ 5,631,030	4%	66.00	1.00	\$ 5,631,030	4%
CCA 191	General Support	B	44.00	6.00	\$ 6,532,299	44.00	8.00	\$ 7,165,511	10%	44.00	8.00	\$ 7,061,811	8%
	Special Fund Total	B	396.00	38.00	\$ 48,149,654	403.00	30.00	\$ 52,125,843	8%	403.00	30.00	\$ 50,025,202	4%
	Trust Fund Total	T	8.00	6.00	\$ 2,437,147	8.00	3.00	\$ 2,554,992	5%	8.00	3.00	\$ 2,514,992	3%
	Other Federal Fund Total	P	-	-	\$ -	-	4.00	\$ 1,000,000		-	4.00	\$ 250,000	
	TOTAL		404.00	44.00	50,586,801.00	411.00	37.00	\$ 55,680,835	10%	411.00	37.00	\$ 52,790,194	4%

Department of Commerce and Consumer Affairs
Budget Decisions

Table 4

Prog ID	Description	MOF	Initial Department Requests						Budget and Finance Recommendations						Governor's Decisions					
			FY14			FY15			FY14			FY15			FY14			FY15		
			Pos (P)	Pos (T)	\$\$\$	Pos (P)	Pos (T)	\$\$\$	Pos (P)	Pos (T)	\$\$\$	Pos (P)	Pos (T)	\$\$\$	Pos (P)	Pos (T)	\$\$\$	Pos (P)	Pos (T)	\$\$\$
CCA 103	Incr CRF ceiling for fringe benefits	B	-	-	\$ 27,909	-	-	\$ 27,909	-	-	\$ 27,909	-	-	\$ 27,909	-	-	\$ 27,909	-	-	\$ 27,909
CCA 106	Incr CRF ceiling for fringe benefits	B	-	-	\$ 68,261	-	-	\$ 68,261	-	-	\$ 68,261	-	-	\$ 68,261	-	-	\$ 68,261	-	-	\$ 68,261
CCA 110	Incr CRF ceiling for fringe benefits	B	-	-	\$ 36,524	-	-	\$ 36,524	-	-	\$ 36,524	-	-	\$ 36,524	-	-	\$ 36,524	-	-	\$ 36,524
CCA 112	Incr CRF ceiling for fringe benefits	B	-	-	\$ 51,194	-	-	\$ 51,194	-	-	\$ 51,194	-	-	\$ 51,194	-	-	\$ 51,194	-	-	\$ 51,194
CCA 191	Incr CRF ceiling for fringe benefits	B	-	-	\$ 120,879	-	-	\$ 120,879	-	-	\$ 120,879	-	-	\$ 120,879	-	-	\$ 120,879	-	-	\$ 120,879
CCA 110	Ceiling increase for CSA	B	-	-	\$ 120,000	-	-	\$ 120,000	-	-	\$ 120,000	-	-	\$ 120,000	-	-	\$ 120,000	-	-	\$ 120,000
CCA 110	Add 1 perm position and funds	B	1.00	-	\$ 76,813	1.00	-	\$ 54,288	1.00	-	\$ 51,229	1.00	-	\$ 54,288	1.00	-	\$ 51,229	1.00	-	\$ 54,288
CCA 191	Appropriation for MFDR Spec Fund	B	-	2.00	\$ 306,461	-	2.00	\$ 306,461	-	2.00	\$ 306,461	-	2.00	\$ 306,461	-	2.00	\$ 306,461	-	2.00	\$ 306,461
CCA 105	Ceiling incr for federal registry fees	T	-	-	\$ 50,000	-	-	\$ 50,000	-	-	\$ 50,000	-	-	\$ 50,000	-	-	\$ 50,000	-	-	\$ 50,000
CCA 191	Ceiling incr for Cons Prot Edn Campaign	B	-	-	\$ 100,000	-	-	\$ 50,000	-	-	\$ 100,000	-	-	\$ 50,000	-	-	\$ 100,000	-	-	\$ 50,000
CCA 191	Ceiling incr for IT equip & subscription	B	-	-	\$ 135,700	-	-	\$ 92,900	-	-	\$ 135,700	-	-	\$ 32,000	-	-	\$ 135,700	-	-	\$ 32,000
CCA 106	Trade-off fr Other Curr Exp for 4 perm Examiners & equip	B	4.00	-	\$ -	4.00	-	\$ -	4.00	-	\$ -	4.00	-	\$ -	4.00	-	\$ -	4.00	-	\$ -
CCA 102	Ceiling incr for broadband deployment	B	-	-	\$ 2,000,000	-	-	\$ -	-	-	\$ 2,000,000	-	-	\$ -	-	-	\$ 2,000,000	-	-	\$ -
CCA 105	Ceiling incr for Athletic Trainers prog	B	-	-	\$ 40,000	-	-	\$ 40,000	-	-	\$ 40,000	-	-	\$ 40,000	-	-	\$ 40,000	-	-	\$ 40,000
CCA 105	Ceiling incr for consumer edn activities	T	-	-	\$ 49,000	-	-	\$ 8,750	-	-	\$ 49,000	-	-	\$ -	-	-	\$ 49,000	-	-	\$ -
CCA 105	Convert 2 civil serv temp pos to perm	B	2.00	(2.00)	\$ -	2.00	(2.00)	\$ -	2.00	(2.00)	\$ -	2.00	(2.00)	\$ -	2.00	(2.00)	\$ -	2.00	(2.00)	\$ -
CCA 106	Establish ceiling for Fed Rate Rev grant	P	4.00	-	\$ 1,000,000	-	4.00	\$ 250,000	-	4.00	\$ 1,000,000	-	4.00	\$ 250,000	-	4.00	\$ 1,000,000	4.00	-	\$ 250,000
CCA 106	Trade-off fr Other Curr Exp to increase funding for Actuary	B	-	-	\$ -	-	-	\$ -	-	-	\$ -	-	-	\$ -	-	-	\$ -	-	-	\$ -
	Sub-total by MOF	B	7.00	-	3,083,741.00	7.00	-	968,416.00	7.00	-	3,058,157.00	7.00	-	907,516.00	7.00	-	3,058,157.00	7.00	-	907,516.00
		T	-	-	99,000.00	-	-	58,750.00	-	-	90,000.00	-	-	50,000.00	-	-	90,000.00	-	-	50,000.00
		P	4.00	-	1,000,000.00	-	4.00	250,000.00	-	4.00	1,000,000.00	-	4.00	250,000.00	-	4.00	1,000,000.00	4.00	-	250,000.00

Department of Commerce and Consumer Affairs
Proposed FY14 and FY15 Reductions

Table 5

<u>Prog ID</u>	<u>Description of Reduction</u>	<u>Impact of Reduction</u>	<u>MOF</u>	<u>FY14</u>			<u>FY15</u>			<u>Carry-over?</u>
				<u>Pos (P)</u>	<u>Pos (T)</u>	<u>\$\$\$\$</u>	<u>Pos (P)</u>	<u>Pos (T)</u>	<u>\$\$\$\$</u>	<u>(Y/N)</u>
CCA102	Reduce non-recurring expense	No impact caused by this reduction.	B	-	-	\$ (45,000)	-	-	\$ (45,000)	N
CCA191	Reduce non-recurring expense	No impact caused by this reduction.	B	-	-	\$ (175,000)	-	-	\$ (175,000)	N

Department of Commerce and Consumer Affairs
Proposed FY14 and FY15 Additions

Table 6

Prog ID	Request Category	Prog ID Priority	Dept- Wide Priority	Description of Addition	Explanation	MOF	FY14			FY15		
							Pos (P)	Pos (T)	\$\$\$	Pos (P)	Pos (T)	\$\$\$
CCA102	O			Base Adjust: Labor Savings (CRF)	Adj. related to Favored Nations provisions	B	-	-	\$ 25,728	-	-	\$ 25,728
CCA103	O			Base Adjust: Labor Savings (CRF)	Adj. related to Favored Nations provisions	B	-	-	\$ 64,812	-	-	\$ 64,812
CCA104	O			Base Adjust: Labor Savings (CRF)	Adj. related to Favored Nations provisions	B	-	-	\$ 107,326	-	-	\$ 107,326
CCA105	O			Base Adjust: Labor Savings (CRF)	Adj. related to Favored Nations provisions	B	-	-	\$ 152,787	-	-	\$ 152,787
CCA105	O			Base Adjust: Labor Savings (REF)	Adj. related to Favored Nations provisions	T	-	-	\$ 1,536	-	-	\$ 1,536
CCA105	O			Base Adjust: Labor Savings (REEF)	Adj. related to Favored Nations provisions	T	-	-	\$ 12,869	-	-	\$ 12,869
CCA105	O			Base Adjust: Labor Savings (CETF)	Adj. related to Favored Nations provisions	T	-	-	\$ 13,440	-	-	\$ 13,440
CCA106	O			Base Adjust: Labor Savings (CRF)	Adj. related to Favored Nations provisions	B	-	-	\$ 207,801	-	-	\$ 207,801
CCA106	O			Base Adjust: Labor Savings (CIAF)	Adj. related to Favored Nations provisions	B	-	-	\$ 33,828	-	-	\$ 33,828
CCA110	O			Base Adjust: Labor Savings (CRF)	Adj. related to Favored Nations provisions	B	-	-	\$ 49,092	-	-	\$ 49,092
CCA111	O			Base Adjust: Labor Savings (CRF)	Adj. related to Favored Nations provisions	B	-	-	\$ 177,228	-	-	\$ 177,228
CCA112	O			Base Adjust: Labor Savings (CRF)	Adj. related to Favored Nations provisions	B	-	-	\$ 174,258	-	-	\$ 174,258
CCA191	O			Base Adjust: Labor Savings (CRF)	Adj. related to Favored Nations provisions	B	-	-	\$ 145,172	-	-	\$ 145,172
				Subtotal by MOF; base adjustments		B	-	-	\$ 1,138,032	-	-	\$ 1,138,032
						T	-	-	\$ 27,845	-	-	\$ 27,845
CCA 103	FE	1	1	Incr CRF ceiling for fringe benefits	This funding request is critical in meeting estimated payroll obligations and sustaining the work of the Department.	B	-	-	27,909.00	-	-	27,909.00
CCA 106	FE	1	1	Incr CRF ceiling for fringe benefits	This funding request is critical in meeting estimated payroll obligations and sustaining the work of the Department.	B	-	-	68,261.00	-	-	68,261.00
CCA 110	FE	1	1	Incr CRF ceiling for fringe benefits	This funding request is critical in meeting estimated payroll obligations and sustaining the work of the Department.	B	-	-	36,524.00	-	-	36,524.00
CCA 112	FE	1	1	Incr CRF ceiling for fringe benefits	This funding request is critical in meeting estimated payroll obligations and sustaining the work of the Department.	B	-	-	51,194.00	-	-	51,194.00
CCA 191	FE	1	1	Incr CRF ceiling for fringe benefits	This funding request is critical in meeting estimated payroll obligations and sustaining the work of the Department.	B	-	-	120,879.00	-	-	120,879.00
CCA 110	AR	2	2	Ceiling increase for Central Services Assessment	As a result of increased financial recoveries realized from participation in multistate consumer protection cases, a ceiling increase is needed to meet the requirement of Central Services Assessment (CSA) pursuant to Section 36-27, HRS. The current amount budgeted for CSA (\$10,456) is insufficient for the program to meet its obligation.	B	-	-	\$ 120,000	-	-	\$ 120,000
CCA 110	AR	3	3	Add 1 permanent position and funds	Support for the Landlord-Tenant Hotline: The requested position is required to address critical staffing issues arising from the Office of Consumer Protection's (OCP) obligation to maintain the Landlord-Tenant Hotline. At present four line investigators in OCP's Honolulu office must devote over 20% of their time each week to answering calls on the Landlord-Tenant Hotline. This is over and above the work they must do to maintain their assigned case load, which seriously compromises these investigators' existing caseloads. The Maui and Hilo investigators also take landlord-tenant calls in addition to their regular caseload. At this juncture, the program requires an additional Investigator dedicated to the Landlord-Tenant Hotline to alleviate the burden on the existing line investigators and free them to work on their existing caseload.	B	1.00	-	\$ 51,229	1.00	-	\$ 54,288
CCA 191	O	2	4	Appropriation for MFDR Special Fund	Positions and funds to continue the Mortgage Foreclosure Dispute Resolution (MFDR) program; made permanent pursuant to Act 182/12	B	-	2.00	\$ 306,461	-	2.00	\$ 306,461

Department of Commerce and Consumer Affairs
Proposed FY14 and FY15 Additions

Table 6

Prog ID	Request Category	Prog ID Priority	Dept- Wide Priority	Description of Addition	Explanation	MOF	FY14			FY15		
							Pos (P)	Pos (T)	\$\$\$	Pos (P)	Pos (T)	\$\$\$
CCA105	O	2	5	Ceiling incr for federal registry fees	Federal registry fees: The Appraisal Subcommittee ("ASC") of the Federal Financial Institutions Council requires each state to collect an annual registry fee of \$40 from each appraiser and to transmit the same to the ASC. The current authorized FY appropriation for the trust fund is \$5,000. This amount had been sufficient to cover the required ASC fees collected for the odd-numbered years. Failure to pay the ASC registry in a timely manner may result in the withdrawal of federal approval of Hawaii's licensure program and subsequent rejection of an appraiser's report for any federally related real estate transaction. The request to increase each FY's budget ceiling to \$50,000 will streamline the efficiency and timeliness of the required payment of fees to the ASC.	T	-	-	\$ 50,000	-	-	\$ 50,000
CCA 191	AR	3	6	Ceiling incr for Consumer Protection Education Campaign	The Department's core mission is to protect the interests of consumers, depositors and investors throughout the state. Haw. Rev. Stat. 26-9(b). To that end, DCCA is authorized to and has developed a strong consumer education program. Haw. Rev. Stat. 26-9(g). While the department conducts a number of consumer education outreach campaigns that include speaking engagements, brochures, webpage outreach, and press releases, the department believes that certain consumer education initiatives are best served by outreach through radio, television and other media. As such, DCCA is requesting authorization for a ceiling increase of \$100,000 in FY14 and \$50,000 in FY15 to provide for media production and airtime. The media campaign is a visible extension of DCCA's provision of the director's functions to direct a department public information program and direct a consumer education program. This is a wide scale approach to keeping the public educated and informed about consumer issues.	B	-	-	\$ 100,000	-	-	\$ 50,000
CCA 191	AR	4	7	Ceiling incr for IT equip & subscription	IT equipment replacements and upgrades are needed to ensure the safety, reliability, and operations for our computing network environment. The Cisco switch is center of DCCA's network infrastructure and the backbone for our network communications and is essential for DCCA's operations; without it, all of DCCA's computing infrastructure communications would come to a halt. Upgraded versions will provide increased capacity and bandwidth. The HP BL Server G1 is to monitor the health and status of DCCA's network. An upgraded replacement is needed because it is no longer supported by HP as of the end of September 2012. DCCA currently uses Websense Web Security to defend against and prevent access to malicious websites. However, the appearance of malware on DCCA's computers shows that this product, in use since October 2005, is not enough to protect our users and network against the sophisticated attacks present on the internet today. An upgrade to a Websense Gateway Anywhere subscription is needed to provide more layers of defense, real time analysis, and point and click protection.	B	-	-	\$ 135,700	-	-	\$ 32,000

Department of Commerce and Consumer Affairs
Proposed FY14 and FY15 Additions

Table 6

Prog ID	Request Category	Prog ID Priority	Dept- Wide Priority	Description of Addition	Explanation	MOF	FY14			FY15		
							Pos (P)	Pos (T)	\$\$\$	Pos (P)	Pos (T)	\$\$\$
CCA106	AR	2	8	Trade-off fr Other Curr Exp for 4 perm Examiners & equip	These additional positions are essential for maintaining the Captive Insurance Branch's ability to accomplish its mandated statutory requirements to assist the Insurance Commissioner with the prudent regulation and development of Hawaii's captive insurance industry. They are critical to overseeing and coordinating the timely planning, initiation and completion of required financial surveillance and examination procedures for the benefit of the licensee, its insureds and potential claimants. The National Association of Insurance Commissioner's State Accreditation Program uses adequate staffing levels and expertise as well as timeliness of insurance examinations and financial surveillance as key components in evaluating a states compliance with the accreditation standards.	B	4.00	-	\$ -	4.00	-	\$ -
CCA102	O	2	9	Ceiling incr for broadband deployment	Request is to provide funds to support broadband deployment and adoption efforts of the State and the neighbor island Counties as part of the implementation of (1) the Governor's Hawaii Broadband Initiative (HBI) to provide ubiquitous, ultra-high speed broadband service throughout the State; (2) the State Broadband Capacity Building and Technical Assistance projects, for which DCCA was awarded matching ARRA grant monies for broadband development and adoption; and (3) Act 199 (SLH 2010), which requires DCCA to support statewide deployment of and access to broadband service. DCCA activities will include seeking cooperative state and county interagency efforts to provide flexible, timely, and responsible access to public rights-of-way, to develop streamlined state and county permitting and approvals for broadband infrastructure development, and to create broadband adoption programs at the county level. To effectively carry out these activities, the department proposes to utilize monies collected from cable subscribers, held by Time Warner Entertainment, L.P. (TWE)	B	-	-	\$ 2,000,000	-	-	\$ -
CCA105	O	3	10	Ceiling incr for Athletic Trainers prog	For the registration of Athletic Trainers; program established pursuant to Act 198/12.	B	-	-	\$ 40,000	-	-	\$ 40,000
CCA105	AR	4	11	Ceiling incr for consumer education activities	In 2011, the Hawaii State Legislature requested that the Director of the Department of Commerce and Consumer Affairs (DCCA) establish the Unlicensed Contractor Law Enforcement Task Force (Task Force) to develop a collaborative enforcement strategy concerning unlicensed contractors among civil, criminal, and administrative enforcement agencies. In addition to enforcement issues, the working group also discussed the need for consumer education; the Task Force specifically found consumer education to be a key factor in deterring unlicensed contracting activity. The department has long been committed to improving consumer protection and leveling the playing field for legitimate contractors by informing and educating consumers, and is proposing a 30 or 60 second public service announcement warning consumers of the risks of hiring an unlicensed contractor.	T	-	-	\$ 40,000	-	-	\$ -

Department of Commerce and Consumer Affairs
Proposed FY14 and FY15 Additions

Table 6

Prog ID	Request Category	Prog ID Priority	Dept- Wide Priority	Description of Addition	Explanation	MOF	FY14			FY15		
							Pos (P)	Pos (T)	\$\$\$	Pos (P)	Pos (T)	\$\$\$
CCA105	O	5	13	Convert 2 civil service temp pos to permanent	Pursuant to Act 300, SLH 2006, the positions were converted from exempt to civil service. Position No. 120570, an Administrative Assistant II position, was originally established in June 2005 as a temporary exempt position and the incumbent has been in the position since July 2005. Position No. 120571, an Administrative Assistant I position, was originally established in November 2007 as a temporary exempt position and the incumbent has been in the position since October 2008. The positions perform as staff assistants in providing administrative services to the various regulatory boards, commissions, and programs. They advise and consult with assigned boards as to their needs; orients and acquaints new members with their responsibilities; and follows through on administrative details. These positions are essential to ensure the continued efficiency and timeliness of the operations of the division. To assure continuing service of these experienced individuals and provide the division with the stability it needs to perform its functions, it is critical that these two temporary positions be m	B	2.00	(2.00)	\$ -	2.00	(2.00)	\$ -
CCA106	O	3	14	Establish ceiling for Fed Rate Rev grant	The program was awarded a Grants to Support States in Health Insurance Rate Review Grant Cycle II (CFDA # 93.511). The grant period is from October 1, 2011 through September 30, 2014. The program will enhance the State's ability to review health insurance premium rate applications that are filed by insurers prior to implementation. The Federal Department of Health and Human Services will provide consumers with the capability to access insurance company premium rates and premium rate applications. Pursuant to instructions in FM 12-12, this request is to establish ceiling for the grant.	P		4.00	\$ 1,000,000		4.00	\$ 250,000
				Subtotal by MOF; additions		B	7.00	-	3,058,157	7.00	-	907,516
						T	-	-	90,000.00	-	-	50,000.00
						P	-	4.00	1,000,000.00	-	4.00	250,000.00
				Total Additions to base (Act 106/12), By MOF		B	7.00	-	\$ 4,196,189	7.00	-	\$ 2,045,548
						T	-	-	\$ 117,845	-	-	\$ 77,845
						P	-	4.00	\$ 1,000,000	-	4.00	\$ 250,000

Department of Commerce and Consumer Affairs
 Current Year (FY13) Restrictions

Table 7

<u>Prog ID</u>	<u>MOF</u>	<u>Restriction \$\$\$</u>	<u>Percent of Act 106/12 Appropriation</u>	<u>Impact</u>
None				

Department of Commerce and Consumer Affairs
 Emergency Appropriation Requests

Table 8

<u>Prog ID</u>	<u>Description of Request</u>	<u>Explanation of Request</u>	<u>MOF</u>	<u>Pos (P) FY13</u>	<u>Pos (T) FY13</u>	<u>\$\$\$ FY13</u>
	None					

Department of Commerce and Consumer Affairs
Expenditures Exceeding Appropriation Ceilings

Table 9

<u>Prog ID</u>	<u>MOF</u>	<u>Date</u>	<u>Appropriation Ceiling</u>	<u>Amount Exceeding Appropriation</u>	<u>Increase Percent</u>	<u>Reason for Exceeding Ceiling</u>	<u>Recurring (Y/N)</u>	<u>GF Impact (Y/N)</u>
		None						

Department of Commerce and Consumer Affairs
 Intradepartmental Transfer of Funds

Table 10

<u>Anticipated or Actual Date of Transfer</u>	<u>MOF</u>	<u>Amount of Transfer</u>	<u>From Prog ID</u>	<u>Percent of Imparting Program ID Appropriation</u>	<u>To Prog ID</u>	<u>Percent of Receiving Program ID Appropriation</u>	<u>Reason for Transfer</u>	<u>Recurring (Y/N)</u>
None								

Department of Commerce and Consumer Affairs
Active Federal Awards

Table 11

<u>State Expending Agency</u>	<u>Program ID</u>	<u>Award Number</u>	<u>CFDA Number</u>	<u>Award Description</u>	<u>Awarding Federal Agency</u>	<u>Award Amount</u>	<u>Award Amount Allocated to the Pgm ID in Column B</u>	<u>State Appropriation Symbol</u>	<u>At Risk for Federal Sequestration (Y/N)</u>	<u>Contact Name</u>	<u>Contact Phone</u>	<u>Contact Email</u>
R	CCA-106	HBEIE100012-01-00	93.525	State Planning and Establishment Grants for the Affordable Care Act's Exchanges	HHS/Centers for Medicare & Medicaid Services	\$1,000,000	\$1,000,000	S-12-204	N	Lloyd Lim	586-2790	llim@dcca.hawaii.gov
R	CCA-106	PRPPR120029-01-00	93.511	Grants to Support States in Health Insurance Rate Review Grant Cycle II	HHS/Centers for Medicare & Medicaid Services	\$3,000,000	\$3,000,000	S-12-205	N	Lloyd Lim	586-2790	llim@dcca.hawaii.gov
R	CCA-106	HBEIE120091-01-00	93.525	Cooperative Agreements to Support Establishment of State-Operated Health Insurance Exchanges	HHS/Centers for Medicare & Medicaid Services	\$14,440,144	\$14,440,144	S-12-206	N	Lloyd Lim	586-2790	llim@dcca.hawaii.gov

Department of Commerce and Consumer Affairs
Non-General Fund Balances

Table 12

<u>Name of Fund</u>	<u>Purpose</u>	<u>Statutory Reference</u>	<u>MOF</u>	<u>Beginning FY13 Unencumbered Cash Balance</u>	<u>Estimated FY13 Revenues</u>	<u>Estimated FY13 Expenditures and Encumbrances</u>	<u>Estimated FY13 Net Transfers</u>	<u>Estimated FY13 Ending Unencumbered Cash Balance</u>	<u>Balance in Excess of Program Needs</u>
Captive Insurance Administrative Fund	Funds expended by the Insurance Commissioner to carry out his/her duties and obligations under article 19 of chapter 431, HRS.	Section 431:19-101.8, HRS, Act 261, 1997 SLH; Act 131, SLH 1999; Act 1, 2005 Special Session; Act 213, SLH 2007; Act 158 SLH 2008	B	\$ 3,759,538	\$ 2,300,000	\$ 2,452,716	\$ -	\$ 3,658,886	\$ 2,000,000
Compliance Resolution Fund	The CRF, in existence since July 1, 1996, evolved into the primary funding source for the various DCCA programs as the department moved its operations away from support by general tax revenues to funding by fees and charges generated by its various programs. Pursuant to section 26-9(o), Hawaii Revised Statutes, fees shall be assessed and deposited into the CRF for the issuance of a license, permit, certificate, or registration, subsequent renewals, together with all other fines, income, and penalties collected or reimbursement of costs or attorneys' fees assessed as a result of actions brought by the department. The director may use the moneys in the fund to employ and train hearings officers, investigators, attorneys, accountants, and other necessary personnel for CRF funded operations, and the fund shall defray all other administrative costs, including costs of operating the supporting offices of DCCA. Any other activity related to compliance resolution may also be funded by the CRF.	Section 26-9(o), 269-33, 412:2-109, 431:2-215, 431:2-216, 449-14, 454F-18, 454F-23, 454M-11, 487-2, 489D-12.5, & Chapter 440G, HRS	B	\$ 37,383,136	\$ 39,725,437	\$ 46,577,021	\$ -	\$ 35,043,411	\$ -
Driver Education Fund Underwriter's Fee	Provide drivers training and education.	Section 431:10C-115, HRS; Section 431:10G-107, HRS	B	\$ 92,343	\$ 2,900,000	\$ -	\$ -	\$ 92,343	\$ -
Mortgage Foreclosure Dispute Resolution Special Fund	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.	Act 48, SLH 2011, Section 39	B	\$ 253,979	\$ 300,600	\$ 206,993	\$ -	\$ 354,579	\$ -
Protocol Funds for Executive Heads	To enhance program effectiveness and efficiency by providing direction and general support services.	Section 26-9(o), HRS	B	\$ 246	\$ -	\$ 1,000	\$ 754	\$ -	\$ -
		Subtotal "B" Funds		\$ 41,489,243	\$ 45,226,037	\$ 49,237,730	\$ 754	\$ 39,149,219	\$ 2,000,000

Department of Commerce and Consumer Affairs
Non-General Fund Balances

Table 12

<u>Name of Fund</u>	<u>Purpose</u>	<u>Statutory Reference</u>	<u>MOF</u>	<u>Beginning FY13 Unencumbered Cash Balance</u>	<u>Estimated FY13 Revenues</u>	<u>Estimated FY13 Expenditures and Encumbrances</u>	<u>Estimated FY13 Net Transfers</u>	<u>Estimated FY13 Ending Unencumbered Cash Balance</u>	<u>Balance in Excess of Program Needs</u>
Captive Insurance Companies Loc Escrow	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.	Section 431:19-104(b), HRS	T	\$ 512	\$ -	\$ -	\$ -	\$ 512	\$ -
Commissioner's Education & Training Fund	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.	Section 431:2-214, HRS; Act 348, SLH 1987	T	\$ 897,792	\$ 180,000	\$ 201,636	\$ -	\$ 877,792	\$ 700,000
Condominium Education Trust Fund	514B-71, HRS, the Condominium Education Trust Fund is intended to finance or promote: "(1) Education and research in the field of condominium management, condominium registration, and real estate for the benefit of the public and those required to be registered under this chapter; (2) The improvement and more efficient administration of condominium associations; and (3) Expedient and inexpensive procedures for resolving condominium association disputes."	Sections 514A-40(c), 131, 132, 133, HRS	T	\$ 386,387	\$ 534,000	\$ 627,542	\$ -	\$ 331,039	\$ -
Contract Service Providers	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.	Section 481X-4, HRS	T	\$ 41,560	\$ -	\$ -	\$ -	\$ 41,560	\$ -
Contractors Education Fund	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.	Section 444-29, HRS	T	\$ 431,700	\$ 80,000	\$ 16,968	\$ -	\$ 494,732	\$ -
Contractors Recovery Fund	Provide fund from which a person injured by an act, representation, transaction, or conduct of a duly licensed contractor may recover by an order of the court, an amount of not more than \$12,500 per contract and \$25,000 per contractor.	Section 444-26, HRS	T	\$ 753,774	\$ 200,000	\$ 200,000	\$ -	\$ 753,774	\$ -
Hurricane Reserve Trust Fund	Provide hurricane insurance in the event that such coverage is unavailable in the private insurance market.	Chapter 431P HRS	T	\$ 21,144,717	\$ 400,000	\$ 40,000	\$ 400,000	\$ 21,038,646	\$ -
Medical Malpractice Patients' Comp Fund	In 1976 this fund was established to provide doctors medical malpractice insurance for coverage in excess of their underlying policy from a commercial insurer.	Act 232, SLH 1984; Act 219, SLH 1976	T	\$ 178,243	\$ -	\$ 178,243	\$ -	\$ -	\$ -
Mortgage Loan Recovery Fund	To allow consumers harmed by persons that violate Chapter 454F, HRS, to recover damages sustained by the fraud, misrepresentation, or deceit of such persons.	Section 454F-41, HRS	T	\$ 493,750	\$ 191,300	\$ 110,000	\$ -	\$ 575,050	\$ -

Department of Commerce and Consumer Affairs
Non-General Fund Balances

Table 12

<u>Name of Fund</u>	<u>Purpose</u>	<u>Statutory Reference</u>	<u>MOF</u>	<u>Beginning FY13 Unencumbered Cash Balance</u>	<u>Estimated FY13 Revenues</u>	<u>Estimated FY13 Expenditures and Encumbrances</u>	<u>Estimated FY13 Net Transfers</u>	<u>Estimated FY13 Ending Unencumbered Cash Balance</u>	<u>Balance in Excess of Program Needs</u>
Multi-State Mortgage Servicer Agreement Fund	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.	Multi-state Mortgage Servicer Settlement Agreements	T	\$ -	\$ 2,250,000	\$ 657,790	\$ -	\$ 1,592,210	\$ -
Premium Taxes Paid Pending Appeal	Premium taxes paid in protest due to denial of high tech tax credits.	Sections 431:7-202, 431:7-209, HRS	T	\$ 156,493	\$ -	\$ 156,493	\$ -	\$ -	\$ -
Real Estate Appraisers Registry Fee	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.	Chapter 466K, HRS; Title 16, Chapter 114, HAR	T	\$ 5,450	\$ 5,000	\$ 5,000	\$ -	\$ 5,450	\$ -
Real Estate Education Fund	As stated in §467-19(b), HRS, the Real Estate Education Trust Fund is intended to "promote the advancement of education and research in the field of real estate for the benefit of the public and those licensed under the provisions of this chapter and the improvement and more efficient administration of the real estate industry."	Sections 467-11-19, HRS	T	\$ 634,560	\$ 555,000	\$ 676,183	\$ -	\$ 547,735	\$ -
Real Estate Recovery Fund	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.	Sections 467-16-19, 21-24, HRS	T	\$ 754,466	\$ 50,000	\$ 502,310	\$ -	\$ 304,889	\$ -
Restitution for Consumers	To hold and disburse moneys received or recovered by the Office of Consumer Protection which are due to consumers as restitution.	Section 487:14 (c), HRS	T	\$ 143,419	\$ -	\$ 30,000	\$ -	\$ 113,419	\$ -

Department of Commerce and Consumer Affairs
Non-General Fund Balances

Table 12

<u>Name of Fund</u>	<u>Purpose</u>	<u>Statutory Reference</u>	<u>MOF</u>	<u>Beginning FY13 Unencumbered Cash Balance</u>	<u>Estimated FY13 Revenues</u>	<u>Estimated FY13 Expenditures and Encumbrances</u>	<u>Estimated FY13 Net Transfers</u>	<u>Estimated FY13 Ending Unencumbered Cash Balance</u>	<u>Balance in Excess of Program Needs</u>
St Certified Motor Vehicle Arbitration Fd	Administration of the State Certified Motor Vehicle Arbitration Program (Lemon Law) created pursuant to Chapter 481I, HRS.	Chapter 481I, HRS	T	\$ 130,325	\$ 1,500	\$ 15,925	\$ -	\$ 116,825	\$ -
Temp Deposits-Commerce/Consumer Affairs	For temporary deposits. Moneys deposited in this fund may be later transferred to the appropriate fund.		T	\$ 1,741,103	\$ 1,905,145	\$ 1,298,380	\$ -	\$ 2,359,353	\$ -
		Subtotal "T" Funds		\$ 27,894,250	\$ 6,351,945	\$ 4,716,470	\$ 400,000	\$ 29,152,986	\$ 700,000
Funds held outside the State Treasury by Time Warner *	Franchise fees over the cap amount that is paid by TWE to Olelo are provided to DCCA for INET/Broadband purposes.	Decision & Order No. 346, Section IV.I.4		\$ 4,619,445	\$ 1,800,000	\$ -	\$ -	\$ 6,419,445	\$ 4,419,445
		Total		\$ 74,002,938	\$ 53,377,982	\$ 53,954,200	\$ 400,754	\$ 74,721,650	\$ 7,119,445
* Of the estimated FYE 2013 unencumbered cash balance of \$6.4M, \$2M is proposed to be used in FY14 to advance the Governor's Hawaii Broadband Initiative to aid in Broadband adoption by neighbor island counties.									

Department of Commerce and Consumer Affairs
Positions Vacant as of November 30

Table 13

Prog ID	Date of Vacancy	Position Number	Position Title	SR Level	BU Code	Perm Temp (P/T)	FTE	MOF	Budgeted Amount	Actual Salary Last Paid	Exempt (Y/N)	Authority to Hire (Y/N)	Occupied by 89 Day Hire (Y/N)	# of 89 Hire Appointments
CCA 102	11/16/12	120245	CATV Program Specialist	NA	13	P	1.00	B	\$ 70,000.00	\$ 67,488.00	Y	N	N	--
CCA 103	--	15098	PU Rate Analyst V *	24	13	P	1.00	B	\$ 51,312.00	\$ 70,560.00	N	Y	N	--
CCA 103	--	21377	PU Rate Analyst V *	24	13	P	1.00	B	\$ 51,312.00	\$ 47,436.00	N	Y	N	--
CCA 103	--	28849	Engineer (PU) IV *	24	13	P	1.00	B	\$ 51,312.00	\$ 47,448.00	N	Y	N	--
CCA 103	--	40834	PU Rate Analyst VII *	28	23	P	1.00	B	\$ 62,424.00	\$ 55,764.00	N	Y	N	--
CCA 103	02/01/11	106291	DCA Research Analyst V #	NA	13	P	1.00	B	\$ 72,996.00	\$ 72,996.00	Y	Y	N	--
CCA 103	--	120186	DCA Research Analyst VII	NA	23	P	1.00	B	\$ 63,781.00	--	Y	Y	N	--
CCA 103	--	120187	DCA Research Analyst V	NA	13	P	1.00	B	\$ 45,937.00	--	Y	Y	N	--
CCA 103	--	120188	DCA Research Analyst V	NA	13	P	1.00	B	\$ 45,937.00	--	Y	Y	N	--
CCA 103	--	120189	DCA Research Analyst V	NA	13	P	1.00	B	\$ 45,937.00	--	Y	Y	N	--
			* Position was restored, pursuant to Act 130, SLH 2010, effective July 1, 2010.											
			# Position was redescribed from Telecommunications Analyst III, effective February 1, 2011.											
CCA 104	10/01/10	115	Fin Inst Examination Mgr	EM7	35	P	1.00	B	\$ 79,104.00	\$ 86,172.00	N	Y	N	--
CCA 104	04/01/11	4295	Financial Inst Examiner IV	27	23	P	1.00	B	\$ 78,984.00	\$ 78,984.00	N	N	N	--
CCA 104	11/17/12	113141	Financial Inst Specialist	NA	13	P	1.00	B	\$ 64,920.00	\$ 67,488.00	Y	N	N	--
CCA 104	06/01/11	118659	CRF Fin Inst Examiner II	NA	13	P	1.00	B	\$ 57,708.00	\$ 57,708.00	Y	N	N	--
CCA 104	--	120670	CRF Fin Inst Examiner II	NA	13	P	1.00	B	\$ 55,500.00	--	Y	Y	N	--
CCA 105	07/16/97	3769	Supv Reg Bds/Com Admin Asst	28	23	P	1.00	B	\$ 62,424.00	\$ 57,660.00	N	Y	N	--
CCA 105	03/01/10	6539	Clerical Supervisor IV	16	04	P	1.00	B	\$ 35,064.00	\$ 46,176.00	N	Y	N	--
CCA 105	10/16/12	17724	Office Assistant IV	10	03	P	1.00	B	\$ 28,836.00	\$ 28,836.00	N	N	N	--
CCA 105	08/01/12	43736	Office Assistant IV	10	03	P	1.00	B	\$ 36,516.00	\$ 36,516.00	N	N	N	--
CCA 105	03/01/11	49273	Office Assistant V	12	03	P	1.00	B	\$ 44,412.00	\$ 44,412.00	N	Y	N	--
CCA 105	12/09/11	118936	Office Assistant IV	10	03	P	1.00	B	\$ 27,756.00	\$ 26,364.00	N	Y	N	--
CCA 105	10/17/11	118940	Office Assistant III	08	03	P	1.00	T	\$ 30,036.00	\$ 28,536.00	N	Y	N	--
CCA 105	--	120700	Office Assistant V	12	03	T	1.00	B	\$ 30,036.00	--	N	Y	N	--
CCA 105	--	120701	Office Assistant IV	10	03	T	1.00	B	\$ 27,756.00	--	N	Y	N	--
CCA 106	08/01/12	128	Insurance Licensing Assistant	15	03	P	1.00	B	\$ 37,968.00	\$ 37,968.00	N	Y	N	--
CCA 106	--	5907	Chief Dep Ins Commissioner **	EM7	35	P	1.00	B	\$ 99,204.00	\$ 99,204.00	N	--	N	--
CCA 106	10/31/11	22241	Investigator III	20	13	P	1.00	B	\$ 55,500.00	\$ 52,728.00	N	Y	Y	4
CCA 106	12/01/12	42124	Ins Rate & Policy Analyst IV	22	13	P	1.00	B	\$ 64,920.00	\$ 64,920.00	N	N	N	--
CCA 106	03/01/12	103232	INS Fraud Investigator IV	NA	13	P	1.00	B	\$ 51,312.00	\$ 48,744.00	Y	Y	N	--
CCA 106	06/01/12	110212	CRF Multi-Media Education Spclt	NA	13	P	1.00	B	\$ 60,816.00	\$ 75,960.00	Y	Y	N	--

Department of Commerce and Consumer Affairs
Positions Vacant as of November 30

Table 13

Prog ID	Date of Vacancy	Position Number	Position Title	SR Level	BU Code	Perm Temp (P/T)	FTE	MOF	Budgeted Amount	Actual Salary Last Paid	Exempt (Y/N)	Authority to Hire (Y/N)	Occupied by 89 Day Hire (Y/N)	# of 89 Hire Appointments
CCA 106	08/28/12	110705	IRF Program Analyst	NA	13	P	1.00	B	\$ 60,024.00	\$ 60,024.00	Y	Y	N	--
CCA 106	06/30/12	110964	IRF Program Assistant	NA	03	P	1.00	B	\$ 62,424.00	\$ 55,500.00	Y	N	N	--
CCA 106	08/30/12	112456	CIAF Insurance Examiner II	NA	13	P	1.00	B	\$ 64,800.00	\$ 64,800.00	Y	Y	N	--
CCA 106	07/19/12	118104	CIAF Insurance Examiner II	NA	13	P	1.00	B	\$ 59,400.00	\$ 64,812.00	Y	Y	N	--
CCA 106	06/01/12	118630	CRF Insurance Examiner II	NA	13	P	1.00	B	\$ 57,708.00	\$ 62,400.00	Y	Y	N	--
CCA 106	05/22/09	118637	CRF Licensing Clerk	NA	03	P	1.00	B	\$ 28,836.00	\$ 28,836.00	Y	Y	N	--
CCA 106	11/16/12	119185	Office Assistant III	08	03	P	1.00	B	\$ 26,700.00	\$ 26,700.00	N	N	N	--
CCA 106	--	120303	INS Info Tech Specialist ^	NA	13	T	--	--	--	--	Y	Y	N	--
CCA 106	--	120421	INS Health Actuary	NA	13	T	1.00	B	\$ 120,000.00	--	Y	Y	N	--
CCA 106	--	120468	INS Property & Casulty Actuary ^	NA	13	T	--	--	--	--	Y	Y	N	--
CCA 106	--	120528	INS Health Premium Rate Analyst ^	NA	13	T	--	--	--	--	Y	Y	N	--
CCA 106	--	120529	INS Health Premium Rate Analyst ^	NA	13	T	--	--	--	--	Y	Y	N	--
CCA 106	--	120530	INS Health Premium Rate Analyst ^	NA	13	T	--	--	--	--	Y	Y	N	--
** Incumbent is on leave without pay to accept exempt appointment to Pos.# 100690, NTE 12/01/14.														
^ Position is unbudgeted and funded by federal grant.														
CCA 110	08/12/12	100351	Staff Attorney III	NA	73	P	1.00	B	\$ 81,360.00	\$ 81,360.00	Y	Y	N	--
CCA 111	09/07/12	14817	Office Assistant III	08	03	P	1.00	B	\$ 26,700.00	\$ 26,700.00	N	Y	N	--
CCA 111	05/16/12	29152	Clerical Supervisor III	14	04	P	1.00	B	\$ 37,968.00	\$ 37,968.00	N	Y	N	--
CCA 111	12/01/11	29154	Business Registration Asst	15	03	P	1.00	B	\$ 51,936.00	\$ 49,344.00	N	N	N	--
CCA 111	06/01/11	35709	Business Registration Asst	15	03	P	1.00	B	\$ 46,176.00	\$ 46,176.00	N	Y	N	--
CCA 111	12/01/11	38510	Office Assistant III	08	03	P	1.00	B	\$ 26,700.00	\$ 25,368.00	N	Y	Y	3
CCA 111	08/01/12	38869	Legal Clerk	14	03	P	1.00	B	\$ 32,424.00	\$ 32,424.00	N	Y	N	--
CCA 111	04/21/12	40364	Office Assistant III	08	03	P	1.00	B	\$ 25,668.00	\$ 25,668.00	N	Y	N	--
CCA 111	04/11/12	46581	Office Assistant III	08	03	P	1.00	B	\$ 31,212.00	\$ 31,212.00	N	Y	Y	2
CCA 111	08/01/12	46582	Office Assistant III	08	03	P	1.00	B	\$ 28,836.00	\$ 28,836.00	N	Y	N	--
CCA 111	02/14/09	49514	Securities Examiner III	20	13	P	1.00	B	\$ 42,132.00	\$ 42,132.00	N	N	N	--
CCA 111	10/01/12	49518	Office Assistant IV	10	03	P	1.00	B	\$ 37,968.00	\$ 37,968.00	N	Y	N	--
CCA 111	12/31/09	49536	Office Assistant IV	10	03	P	1.00	B	\$ 27,756.00	\$ 42,684.00	N	N	N	--
CCA 111	04/12/12	101841	Staff Attorney	NA	73	P	1.00	B	\$ 82,680.00	\$ 87,372.00	Y	N	N	--
CCA 111	11/10/12	102532	CRF Staff Attorney III	NA	73	T	1.00	B	\$ 72,996.00	\$ 73,500.00	Y	N	N	--
CCA 111	05/16/12	102780	CRF Staff Attorney II	NA	73	P	1.00	B	\$ 68,388.00	\$ 73,008.00	Y	Y	N	--
CCA 111	08/16/11	117393	Securities Education Asst	NA	03	P	1.00	B	\$ 33,756.00	\$ 32,064.00	Y	Y	N	--
CCA 112	07/03/12	101306	Supervising Attorney	NA	73	P	1.00	B	\$ 75,216.00	\$ 75,216.00	Y	Y	N	--

Department of Commerce and Consumer Affairs
Positions Vacant as of November 30

Table 13

<u>Prog ID</u>	<u>Date of Vacancy</u>	<u>Position Number</u>	<u>Position Title</u>	<u>SR Level</u>	<u>BU Code</u>	<u>Perm Temp (P/T)</u>	<u>FTE</u>	<u>MOF</u>	<u>Budgeted Amount</u>	<u>Actual Salary Last Paid</u>	<u>Exempt (Y/N)</u>	<u>Authority to Hire (Y/N)</u>	<u>Occupied by 89 Day Hire (Y/N)</u>	<u># of 89 Hire Appointments</u>
CCA 112	04/26/11	101312	RI Investigator IV	NA	13	P	1.00	B	\$ 45,576.00	\$ 45,576.00	Y	Y	N	--
CCA 112	06/30/12	118045	RI Investigator IV	NA	13	P	1.00	B	\$ 49,332.00	\$ 49,344.00	Y	Y	N	--
CCA 112	08/21/12	118430	Investigator I	16	13	P	1.00	B	\$ 38,988.00	\$ 38,988.00	N	Y	N	--
CCA 112	06/01/11	118461	Investigator IV	22	13	P	1.00	B	\$ 44,412.00	\$ 45,576.00	N	Y	N	--
CCA 112	09/16/11	118464	Investigator IV	22	13	P	1.00	B	\$ 60,024.00	\$ 57,024.00	N	N	N	--
CCA 112	08/16/12	118502	Investigator IV	22	13	P	1.00	B	\$ 60,024.00	\$ 45,576.00	N	Y	N	--
CCA 112	01/10/12	118627	Office Assistant III	08	03	P	1.00	B	\$ 26,700.00	\$ 28,536.00	N	Y	N	--
CCA 112	--	120232	Investigator IV	22	13	P	1.00	B	\$ 45,576.00	--	N	Y	N	--
CCA 112	06/30/12	120233	RI Investigator IV	NA	13	P	1.00	B	\$ 45,576.00	\$ 49,320.00	Y	N	N	--
CCA 191	06/01/11	39806	Program Budget Analyst IV	22	73	P	1.00	B	\$ 64,920.00	\$ 45,036.00	N	Y	N	--
CCA 191	11/15/02	102764	ISCO Data Proc Systems Analyst IV +	NA	13	P	--	--	--	\$ 53,376.00	Y	N	N	--
CCA 191	01/06/12	102769	Information Systems Manager	NA	93	P	1.00	B	\$ 95,040.00	\$ 90,288.00	Y	Y	N	--
CCA 191	03/27/12	119019	Legal Clerk	14	03	T	1.00	B	\$ 32,424.00	\$ 32,424.00	N	Y	N	--
			+ Position is unbudgeted.											

Department of Commerce and Consumer Affairs
Overtime Expenditures

Table 14

Prog ID	Program Title	MOF	FY12 (actual)			FY13 (estimated)			FY14 (budgeted)		
			<u>Base Salary</u> \$\$\$\$	<u>Overtime</u> \$\$\$\$	<u>Overtime</u> Percent	<u>Base Salary</u> \$\$\$\$	<u>Overtime</u> \$\$\$\$	<u>Overtime</u> Percent	<u>Base Salary</u> \$\$\$\$	<u>Overtime</u> \$\$\$\$	<u>Overtime</u> Percent
CCA 102	Cable Television	B	\$ 648,405	\$ 572	0.1%	\$ 725,273	\$ 4,000	0.6%	\$ 730,175	\$ 5,000	0.7%
CCA 103	Consumer Advocate for Communication, Utilities & Transportation Services	B	\$ 1,579,753	\$ -	0.0%	\$ 1,866,005	\$ 10,000	0.5%	\$ 1,909,796	\$ 20,000	1.0%
CCA 104	Financial Services Regulation	B	\$ 2,958,720	\$ 320	0.0%	\$ 2,952,564	\$ 4,572	0.2%	\$ 2,971,144	\$ 13,000	0.4%
CCA 105	Professional & Vocational Licensing	B	\$ 4,371,282	\$ 48,945	1.1%	\$ 4,370,391	\$ 65,000	1.5%	\$ 4,362,374	\$ 50,000	1.1%
CCA 105	Professional & Vocational Licensing	T	\$ 880,982	\$ -	0.0%	\$ 881,095	\$ 21,360	2.4%	\$ 880,981	\$ 21,360	2.4%
CCA 106	Insurance Regulatory Services	B	\$ 6,780,367	\$ 803	0.0%	\$ 6,772,269	\$ 3,000	0.0%	\$ 7,090,097	\$ 38,072	0.5%
CCA 111	Business Registration & Securities Regulation	B	\$ 5,128,035	\$ 16,439	0.3%	\$ 5,142,864	\$ 60,000	1.2%	\$ 5,131,685	\$ 60,000	1.2%
CCA 112	Regulated Industries Complaints Office	B	\$ 4,878,695	\$ 1,190	0.0%	\$ 4,898,117	\$ 11,250	0.2%	\$ 4,933,021	\$ 15,000	0.3%
CCA191	General Support	B	\$ 4,240,266	\$ 13,355	0.3%	\$ 4,350,640	\$ 21,690	0.5%	\$ 4,467,074	\$ 45,000	1.0%
	Total by MOF	B	\$ 30,585,523	\$ 81,622	0.3%	\$ 31,078,123	\$ 179,512	0.6%	\$ 31,595,366	\$ 246,072	0.8%
		T	\$ 880,982	\$ -	0.0%	\$ 881,095	\$ 21,360	2.4%	\$ 880,981	\$ 21,360	2.4%

Department of Commerce and Consumer Affairs
Overpayments as of November 30

Table 15

<u>Name</u>	<u>Date of Over-payment</u>	<u>Gross Amount Overpaid</u>	<u>Amount Recovered</u>	<u>Balance</u>	<u>Category</u>				<u>Reason for Overpayment</u>	<u>Referred to Attorney General</u>
					<u>Employed Occurred ></u>	<u>Employed Occurred <</u>	<u>Not Employed Occurred ></u>	<u>Not Employed Occurred <</u>		
					<u>2 Years</u>	<u>2 Years</u>	<u>2 Years</u>	<u>2 Years</u>		
None										

Department of Commerce and Consumer Affairs
Active Contracts

Table 16

Prog ID	MOF	Frequency		Max Value	Outstanding Balance	Term of Contract			Organization	Category E/L/P/C/G/S	Description	Explanation of How Contract is Monitored	POS Y/N
		Amount	(M/A/O)*			Date Executed	From	To					
CCA102	B	\$ 62,664	O	\$ 250,000.00	\$ 187,336.02	6/30/2008	7/1/2012	6/30/2013	Squire, Sanders & Dempsey, LLP	C	Specialized Legal Counsel	Work & invoice is verified by CATV and AG before pmt. is authorized	Y
CCA102	B	\$ 9,955	O	\$ 114,656.25	\$ 104,701.25	7/1/2010		6/30/2013	Merina & Company	S	Specialized CPA Svcs.-Cable Providers	Work & invoice is verified by CATV before pmt. ils authorized	Y
CCA102	B	\$ 5,769	O	\$ 200,000.00	\$ 194,231.25	7/1/2011		6/30/2016	Merina & Company	S	Specialized CPA Svcs.-PEG Entities	Work & invoice is verified by CATV before pmt. is authorized	Y
CCA103	B	\$ 20,880	O	\$ 25,000.00	\$ 4,120.00	10/31/2011	10/31/2011	Resolution	Hill, Stephen G.	S	To provide services in connection with the HPUC's review and evaluation of the application filed by Maui Electric Company, Limited ("MECO") for a general rate increase - Docket No. 2011-0092	Staff maintains close contact with consultants via telephone, email and other means of communication to ensure that services are being performed in accordance with the terms of the contract.	Y
CCA103	B	\$ 61,601	O	\$ 63,830.00	\$ 2,229.17	6/23/2011	6/23/2011	11/30/2014	Johnson, Ben Associates, Inc.	S	To provide services in connection with the HPUC's review and evaluation of the application filed by Young Brothers, Limited ("YB") for a general rate increase - Docket No. 2010-0171	"	Y
CCA103	B	\$ 97,032	O	\$ 100,000.00	\$ 2,967.55	12/26/2008	12/26/2008	Resolution	O'Connor Playdon & Guben LLP	C	To provide all legal services that are reasonably necessary for representation before the U.S. Bankruptcy Court for the District of Hawaii, relating to Hawaiian Telcom Communications, Inc., et. al., Case No. 08-02005 (Chapter 11, jointly administered)	"	Y
CCA103	B	\$ 116,516	O	\$ 354,500.00	\$ 237,983.95	6/1/2008	1/1/2013	12/31/2013	Sawvel and Associates, Inc.	S	To provide services in connection with the Hawaii Public Utilities Commission's ("HPUC") investigation into the implementation of the following: intra-governmental wheeling of electricity - Docket No. 2007-0176; feed-in-tariffs - Docket No. 2008-0273; and the Reliability Study - Docket No. 2011-0206	"	Y

Department of Commerce and Consumer Affairs
Active Contracts

Table 16

Prog ID	MOF	Amount	(M/A/O)*	Max Value	Outstanding Balance	Date Executed	From	To	Organization	Category E/L/P/C/G/S	Description	Explanation of How Contract is Monitored	POS Y/N
CCA103	B	\$ 160,465	O	\$ 166,550.00	\$ 6,083.93	6/1/2008	6/1/2008	12/31/2013	Sawvel and Associates, Inc.	S	To provide services in connection with the HPUC's review and evaluation of the application filed by Hawaiian Electric Company, Inc. ("HECO") for a general rate increase - Docket No. 2008-0083	"	Y
CCA103	B	\$ 125,544	O	\$ 128,050.00	\$ 2,505.00	11/3/2010	11/3/2010	3/31/2012	Sawvel and Associates, Inc.	S	To provide services in connection with the HPUC's review and evaluation of the application filed by HECO for a general rate increase - Docket No. 2010-0080	"	Y
CCA103	B	\$ 102,110	O	\$ 112,500.00	\$ 10,389.44	9/26/2011	9/26/2011	Resolution	Sawvel and Associates, Inc.	S	To provide services in connection with the HPUC's review and evaluation of the application filed by MECO for a general rate increase - Docket No. 2011-0092	"	Y
CCA103	B	\$ 80,982	O	\$ 106,000.00	\$ 25,017.26	6/26/2012	6/26/2012	Resolution	Sawvel and Associates, Inc.	S	To provide services in connection with the HPUC's review and evaluation of the application filed by Hawaii Electric Light Company, Inc. ("HELCO") for a general rate increase - Docket No. 2012-0099	"	Y
CCA103	B	\$ 194,621	O	\$ 300,000.00	\$ 105,379.21	6/30/2008	6/30/2008	6/30/2013	Squire, Sanders & Dempsey LLP	C	Consultant provides legal services in Washington, DC before the Federal Communications Commission, Congress and the Federal Courts in telecommunications matters that impact the State	"	Y
CCA103	B	\$ 43,493	O	\$ 203,000.00	\$ 159,506.62	6/21/2012	6/21/2012	Resolution	Synapse Energy Economics, Inc.	S	To provide services in connection with the HPUC's proceeding to examine and conduct integrated resources planning for HECO/HELCO/MECO (collectively referred to as the "HECO Companies") - Docket No. 2012-0036	"	Y
CCA103	B	\$ 44,950	O	\$ 52,700.00	\$ 7,750.00	6/1/2008	6/1/2008	12/31/2012	Technical Associates, Inc.	S	To provide services in connection with the HPUC's review and evaluation of the applications for a general rate increase filed by the following: HECO - Docket No. 2008-0083; YB - Docket No. 2008-0266; and Kohala Ranch Water Company - Docket No. 2008-0283	"	Y

Department of Commerce and Consumer Affairs
Active Contracts

Table 16

<u>Prog ID</u>	<u>MOF</u>	<u>Amount</u>	<u>(M/A/O)*</u>	<u>Max Value</u>	<u>Outstanding Balance</u>	<u>Date Executed</u>	<u>From</u>	<u>To</u>	<u>Organization</u>	<u>Category E/L/P/C/G/S</u>	<u>Description</u>	<u>Explanation of How Contract is Monitored</u>	<u>POS Y/N</u>
CCA103	B	\$ -	O	\$ 22,000.00	\$ 22,000.00	8/23/2012	8/23/2012	Resolution	Technical Associates, Inc.	S	To provide services in connection with the HPUC's review and evaluation of the application filed by HELCO for a general rate increase - Docket No. 2012-0099	"	Y
CCA103	B	\$ 178,357	O	\$ 197,404.00	\$ 19,046.76	5/21/2009	5/21/2009	4/30/2013	Utilitech, Inc.	S	To provide services in connection with the HPUC's review and evaluation of the application filed by HELCO for a general rate increase - Docket No. 2009-0164	"	Y
CCA103	B	\$ 373,310	O	\$ 375,694.00	\$ 2,383.99	6/1/2008	6/1/2008	12/31/2013	Utilitech, Inc.	S	To provide services in connection with the HPUC's review and evaluation of the application filed by HECO for a general rate increase - Docket No. 2008-0083 and the proceeding to investigate implementation of a decoupling mechanism for HECO/HELCO/MECO - Docket No. 2008-0274	"	Y
CCA103	B	\$ 203,429	O	\$ 251,624.00	\$ 48,194.92	5/21/2009	4/18/2012	4/30/2013	Utilitech, Inc.	S	To provide services in connection with the HPUC's review and evaluation of the application filed by MECO for a general rate increase - Docket Nos. 2009-0066 and 2009-0163	"	Y
CCA103	B	\$ 205,574	O	\$ 213,590.00	\$ 8,016.42	11/3/2010	6/26/2012	3/31/2013	Utilitech, Inc.	S	To provide services in connection with the HPUC's review and evaluation of the application filed by HECO for a general rate increase - Docket No. 2010-0080	"	Y
CCA103	B	\$ 178,788	O	\$ 197,225.00	\$ 18,436.67	9/14/2011	9/14/2011	Resolution	Utilitech, Inc.	S	To provide services in connection with the HPUC's review and evaluation of the application filed by MECO for a general rate increase - Docket No. 2011-0092	"	Y
CCA103	B	\$ 69,517	O	\$ 205,600.00	\$ 136,082.73	8/23/2012	8/23/2012	Resolution	Utilitech, Inc.	S	To provide services in connection with the HPUC's review and evaluation of the application filed by HELCO for a general rate increase - Docket No. 2012-0099	"	Y

Department of Commerce and Consumer Affairs
Active Contracts

Table 16

Prog ID	MOF	Amount	(M/A/O)*	Max Value	Outstanding Balance	Date Executed	From	To	Organization	Category E/L/P/C/G/S	Description	Explanation of How Contract is Monitored	POS Y/N
CCA105	B	\$ 1,764	M	\$ 30,000.00	\$ 28,235.81	5/1/2008	5/1/2010	4/30/2011	Century Computer	S	PVL requires the continuation of the scanning and imaging services to further ensure the protection and preservation of historical documentation from damage or destruction. The scanning project is to include all files located in the basement of our building.	A staff person assigned to the project monitors the contract.	Y
CCA105	B	\$ 9,237	M	\$ 30,000.00	\$ 20,763.25	5/1/2008	5/1/2011	4/30/2012	Century Computer	S	PVL requires the continuation of the scanning and imaging services to further ensure the protection and preservation of historical documentation from damage or destruction. The scanning project is to include all files located in the basement of our building.	A staff person assigned to the project monitors the contract.	Y
CCA105	B	\$ 4,991	M	\$ 30,000.00	\$ 25,008.54	5/1/2008	5/1/2012	4/30/2013	Century Computer	S	PVL requires the continuation of the scanning and imaging services to further ensure the protection and preservation of historical documentation from damage or destruction. The scanning project is to include all files located in the basement of our building.	A staff person assigned to the project monitors the contract.	Y
CCA106	B	\$ 30,732	O	\$ 50,000.00	\$ 19,267.54	4/15/2010	4/15/2010	4/14/2013	Simons, Martin M	S	Services of an actuary to assist in analyzing rate filings for property and casualty insurance products.	Completed work reviewed for accuracy and completeness	Y
CCA106	B	\$ -	O	\$ 10,000.00	\$ 10,000.00	11/28/2008	11/28/2010	11/27/2011	Schroeder, Thomas A.	S	Services of a meteorologist to assist in evaluating hurricane models used in the ratemaking process for hurricane insurance rate filings.	Completed work reviewed for accuracy and completeness	Y
CCA106	B	\$ -	O	\$ 18,000.00	\$ 18,000.00	4/24/2009	4/24/2011	4/23/2012	Martin & Chock, Inc.	S	Services of a structural engineer to assist in evaluating hurricane models used in the ratemaking process for hurricane insurance rate filings.	Completed work reviewed for accuracy and completeness	Y
CCA106	B	\$ 31,901	O	\$ 45,000.00	\$ 13,098.82	4/17/2009	4/17/2009	Duration of Matter	Daley & Heft, LLP	C	Special Deputy Attorney General services	Completed work reviewed for accuracy and completeness	Y
CCA106	B	\$ 177,799	O	\$ 280,000.00	\$ 102,201.08	12/1/2009	12/1/2009	Duration of Matter	Kobayashi, Sugita & G	C	Special Deputy Attorney General services	Completed work reviewed for accuracy and completeness	Y
CCA106	B	\$ 33,881	O	\$ 50,000.00	\$ 16,118.54	4/15/2010	4/15/2011	4/14/2012	Simons, Martin M.	S	Services of an actuary to assist in analyzing rate filings for property and casualty insurance products.	Completed work reviewed for accuracy and completeness	Y

Department of Commerce and Consumer Affairs
Active Contracts

Table 16

Prog ID	MOF	Amount	(M/A/O)*	Max Value	Outstanding Balance	Date Executed	From	To	Organization	Category E/L/P/C/G/S	Description	Explanation of How Contract is Monitored	POS Y/N
CCA106	B	\$ 199,078	O	\$ 200,000.00	\$ 921.75	10/25/2010	1/1/2012	12/31/2012	PKF Pacific Hawaii, LLP	S	Provide auditing and accounting services for financial examinations of domestic insurers.	Bi-weekly status reports received and completed reports reviewed	Y
CCA106	B	\$ 50,000	O	\$ 50,000.00	\$ 0.22	12/1/2010	1/1/2012	12/31/2012	PKF Pacific Hawaii, LLP	S	Provide auditing and accounting services for financial examinations of domestic insurers.	Bi-weekly status reports received and completed reports reviewed	Y
CCA106	B	\$ 429,097	O	\$ 450,000.00	\$ 20,903.03	11/5/2010	11/5/2010	12/31/2011	Accuity, LLP	S	Provide auditing and accounting services for financial examinations of domestic insurers.	Bi-weekly status reports received and completed reports reviewed	Y
CCA106	B	\$ -	O	\$ 50,000.00	\$ 50,000.00	4/15/2010	4/15/2012	4/14/2013	Simons, Martin M.	S	Services of an actuary to assist in analyzing rate filings for property and casualty insurance products.	Completed work reviewed for accuracy and completeness	Y
CCA106	B	\$ 23,542	O	\$ 200,000.00	\$ 176,458.12	1/1/2012	1/1/2012	12/31/2013	INS Regulatory Insurance Services, Inc.	S	Services of an actuary to assist in analyzing rate filings for health insurance products.	Completed work reviewed for accuracy and completeness	Y
CCA106	B	\$ 41,912	O	\$ 50,000.00	\$ 8,087.71	2/3/2012	2/3/2012	12/31/2012	PKF Pacific Hawaii, LLP	S	Provide auditing and accounting services for financial examinations of domestic insurers.	Bi-weekly status reports received and completed reports reviewed	Y
CCA106	B	\$ -	O	\$ 75,000.00	\$ 75,000.00	11/7/2012	11/7/2012	11/6/2013	Wyman, Oliver Acutar	S	Services of an actuary to assist in analyzing rate filings for life and accident & health insurance products.	Completed work reviewed for accuracy and completeness	Y
CCA106	B	\$ -	O	\$ 65,000.00	\$ 65,000.00	12/5/2012	12/5/2012	12/4/2013	Accuity, LLP	S	Provide auditing and accounting services for financial examinations of domestic insurers.	Bi-weekly status reports received and completed reports reviewed	Y
CCA106	B	\$ 25,270	O	\$ 100,000.00	\$ 74,730.37	8/15/2012	8/15/2012	6/30/2013	Accuity, LLP	S	Provide auditing and accounting services for financial examinations of domestic insurers.	Bi-weekly status reports received and completed reports reviewed	Y
CCA110	B	\$ 2,899	M	\$ 3,865.68	\$ 966.24	3/31/2009	1/1/2009	9/30/2012	Department Of Water Supply	L	This contract was for leased office space housing the Hilo offices of RICO and OCP.	The lease is monitored by RICO and OCP staff.	N
CCA110	B	\$ -	M	\$ 23,626.82	\$ 23,626.82	10/1/2012	10/1/2012	8/31/2017	New Kaiko'o Building	L	This contract is for leased office space housing the Hilo offices of RICO and OCP.	The lease is monitored by RICO and OCP staff.	N
CCA111	B	\$ 26,625	O	\$ 35,500.00	\$ 8,875.00	12/1/2010	12/1/2011	11/30/2012	Hawaii Council On Economic Education	S	Contract with HCEE to teach teachers to provide programs for students to learn careful investing skills.	Investor education staff monitor and participate in teachers training program.	Y
CCA111	B	\$ 25,084	M	\$ 60,000.00	\$ 34,916.14	7/1/2012	7/1/2012	06/31/13	Ronin Properties, LLC	L	Contract with landlord for rental of BAC office space.	Monthly rental payments are regular payments. Utility bills are monitored by supervisor of the BAC.	N
CCA112	B	\$ 5,634	M	\$ 13,529.00	\$ 7,894.75	12/1/2009	8/1/2012	7/1/2013	Puuone Development	L	Rental of office space (Maui)	Invoices received/reviewed monthly	N

Department of Commerce and Consumer Affairs
Active Contracts

Table 16

<u>Prog ID</u>	<u>MOF</u>	<u>Amount</u>	<u>(M/A/O)*</u>	<u>Max Value</u>	<u>Outstanding Balance</u>	<u>Date Executed</u>	<u>From</u>	<u>To</u>	<u>Organization</u>	<u>Category E/L/P/C/G/S</u>	<u>Description</u>	<u>Explanation of How Contract is Monitored</u>	<u>POS Y/N</u>
CCA112	B	\$ 9,512	M	\$ 24,488.72	\$ 14,976.84	7/1/1987	7/1/2012	6/1/2013	Signature Services	L	Rental of office space (Kona)	Invoices received/reviewed monthly	N
CCA 191	B	5% per Fee Transaction plus \$20,000 for project development	O	\$ -	\$10,000 upon completion of development	7/27/2012	7/27/2012	9/30/2014	Hawaii Information Consortium	G/S	Website development for Electronic Posting of Notices of Sale of foreclosed properties, filings and fees, plus maintenance and hosting.	Automatic e-mail notification	Y
* O - as billed; for usage as per unit cost or deliverables.													

Department of Commerce and Consumer Affairs
CIP Requests

Table 17

<u>Prog ID</u>	<u>Prog ID</u> <u>Priority</u>	<u>Dept- Wide</u> <u>Priority</u>	<u>Project Title</u>	<u>MOF</u>	<u>FY14 \$\$\$</u>	<u>FY15 \$\$\$</u>
	None					

Department of Commerce and Consumer Affairs
CIP Lapses

Table 18

<u>Prog ID</u>	<u>Act/Year of Appropriation</u>	<u>Project Title</u>	<u>MOF</u>	<u>Amount \$\$\$\$</u>	<u>Reason</u>
	N/A				

Department of Commerce and Consumer Affairs
Division Resources

Table 19

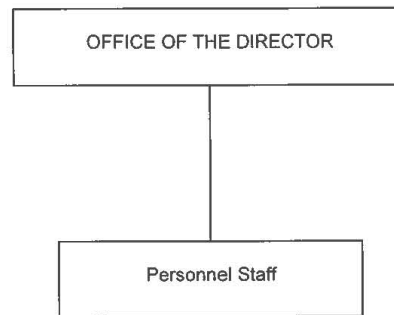
<u>Division</u>	<u>Associated Program IDs</u>
Cable Television	CCA 102
Consumer Advocate for Communication, Utilities & Transportation Services	CCA 103
Financial Services Regulation	CCA 104
Professional & Vocational Licensing	CCA 105
Insurance Regulatory Services	CCA 106
Office of Consumer Protection	CCA 110
Business Registration & Securities Regulation	CCA 111
Regulated Industries Complaints Office	CCA 112
General Support - Director's Office & Administrative Services Office	CCA 191
General Support - Office of Administrative Hearings	CCA 191
General Support - Information Systems & Communications Office	CCA 191

Department of Commerce and Consumer Affairs
Organization Changes

Table 20

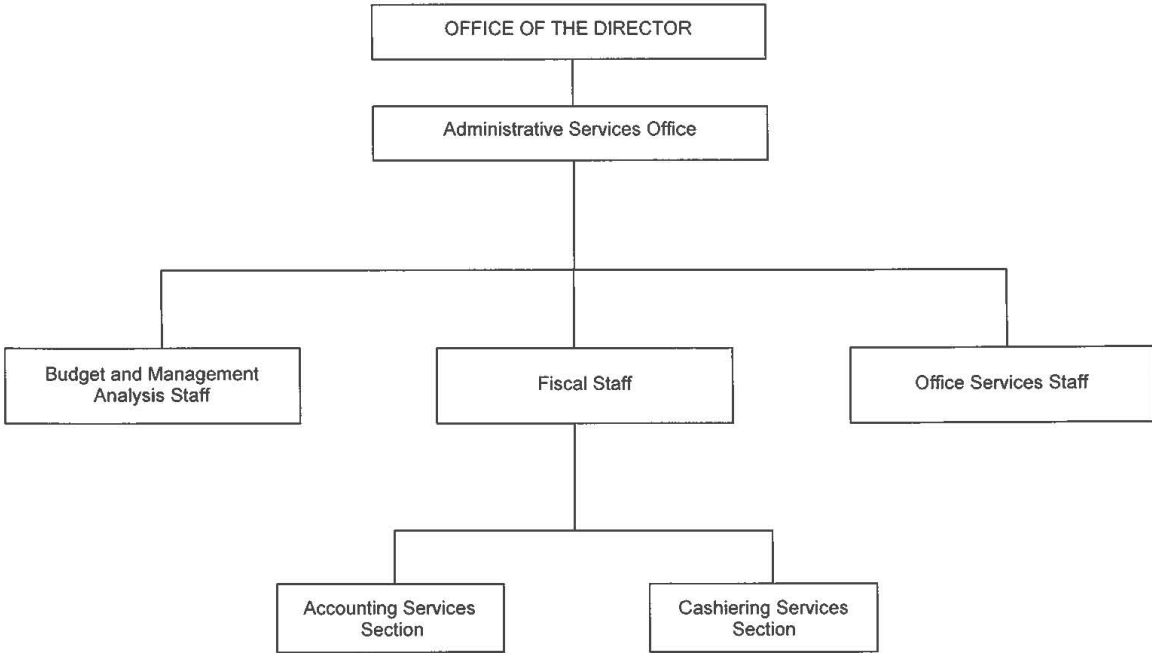
<u>Year of Change</u> FY13/FY14	<u>Page</u> Number	<u>Description of Change</u>
FY 2013	3	Position No. 36686, Personnel Management Specialist III, reallocated to Personnel Management Specialist IV effective October 1, 2012.
FY 2013	7	Position No. 111001, Securities Education Specialist, redescribed to Securities Education Specialist II effective September 4, 2012.
FY 2013	9	Position No. 120244, CATV Financial Analyst, redescribed to CATV Program Specialist effective October 8, 2012.
FY 2013	13	Position No. 28754, Financial Institutions Examiner III, reallocated to Financial Institutions Examiner II, effective August 16, 2012.
FY 2013	13	Position No. 102610, FI International Banking Examiner II, redescribed to CRF Financial Institutions Examiner II, effective July 23, 2012.
FY 2013	13	Position No. 120670 (Pseudo #99004R), CRF Financial Institutions Examiner II, established July 23, 2012, as authorized by Act 158, SLH 2008.
FY 2013	17	Position No. 120569, Information Technology Specialist IV, transferred from Infrastructure Branch to Custom Applications Branch, Information Systems/Communications Office, effective November 16, 2012.
FY 2013	19	Position No. 15542, Insurance Rate & Policy Analyst IV, reallocated to Insurance Rate & Policy Analyst III effective October 22, 2012.
FY 2013	23	Position No. 100351, Staff Attorney III, redescribed to Staff Attorney II effective November 20, 2012.
FY 2013	25	Position No. 120700 (Pseudo #93003R), Office Assistant V, established August 16, 2012, as authorized by Act 106, SLH 2012.
FY 2013	25	Position No. 120701 (Pseudo #93002R), Office Assistant IV, established August 16, 2012, as authorized by Act 106, SLH 2012.
FY 2013	28	Position No. 118430, Investigator II, reallocated to Investigator I effective September 4, 2012.

STATE OF HAWAII
DEPARTMENT OF COMMERCE AND
CONSUMER AFFAIRS
OFFICE OF THE DIRECTOR
ORGANIZATION CHART



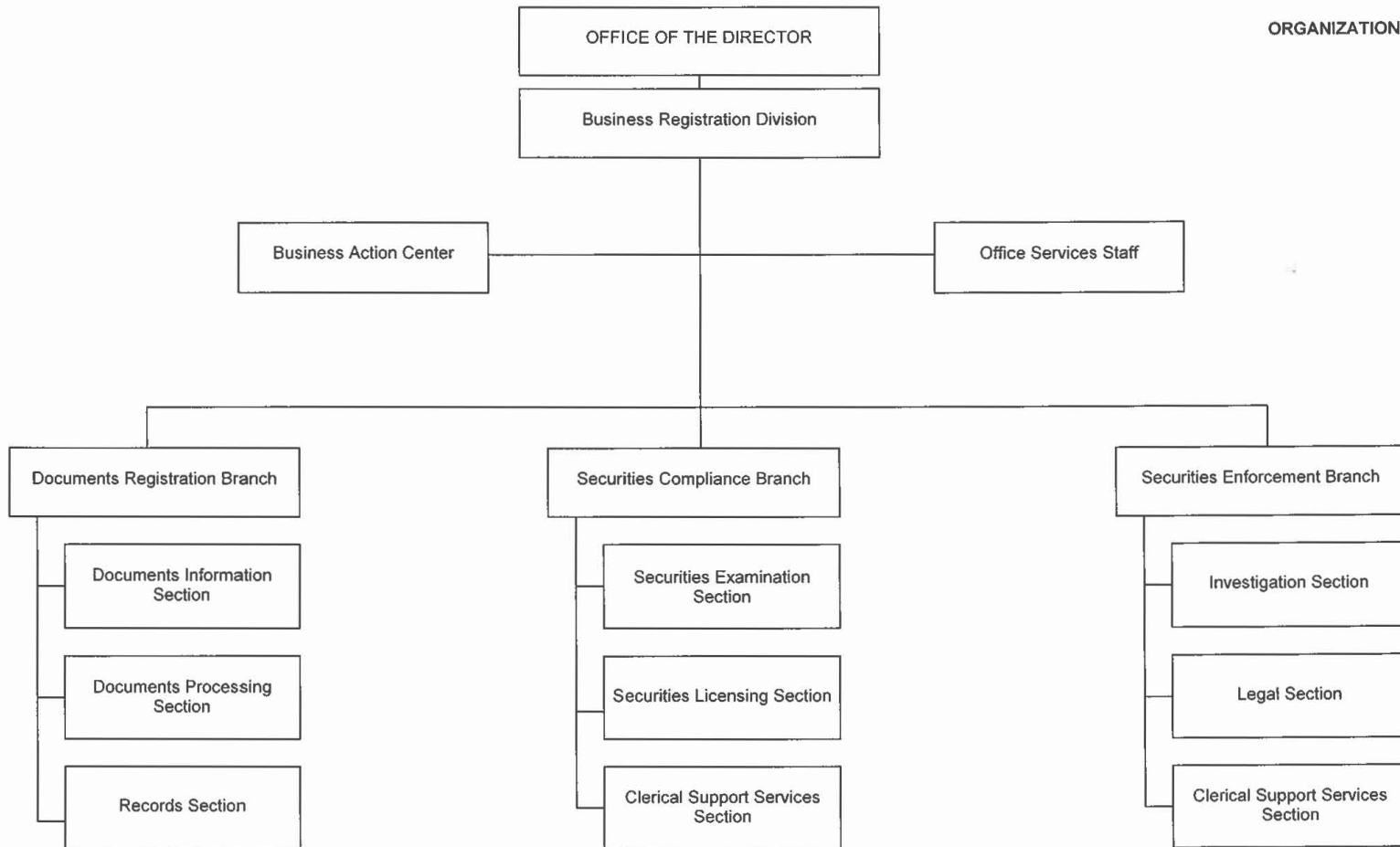
June 30, 2012

STATE OF HAWAII
DEPARTMENT OF COMMERCE AND
CONSUMER AFFAIRS
ADMINISTRATIVE SERVICES OFFICE
ORGANIZATION CHART



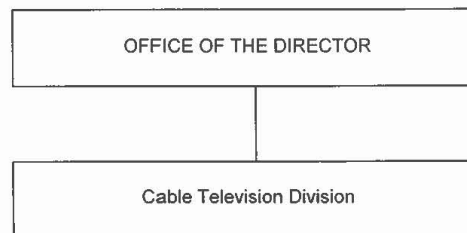
June 30, 2012

STATE OF HAWAII
DEPARTMENT OF COMMERCE AND
CONSUMER AFFAIRS
BUSINESS REGISTRATION DIVISION
ORGANIZATION CHART



June 30, 2012

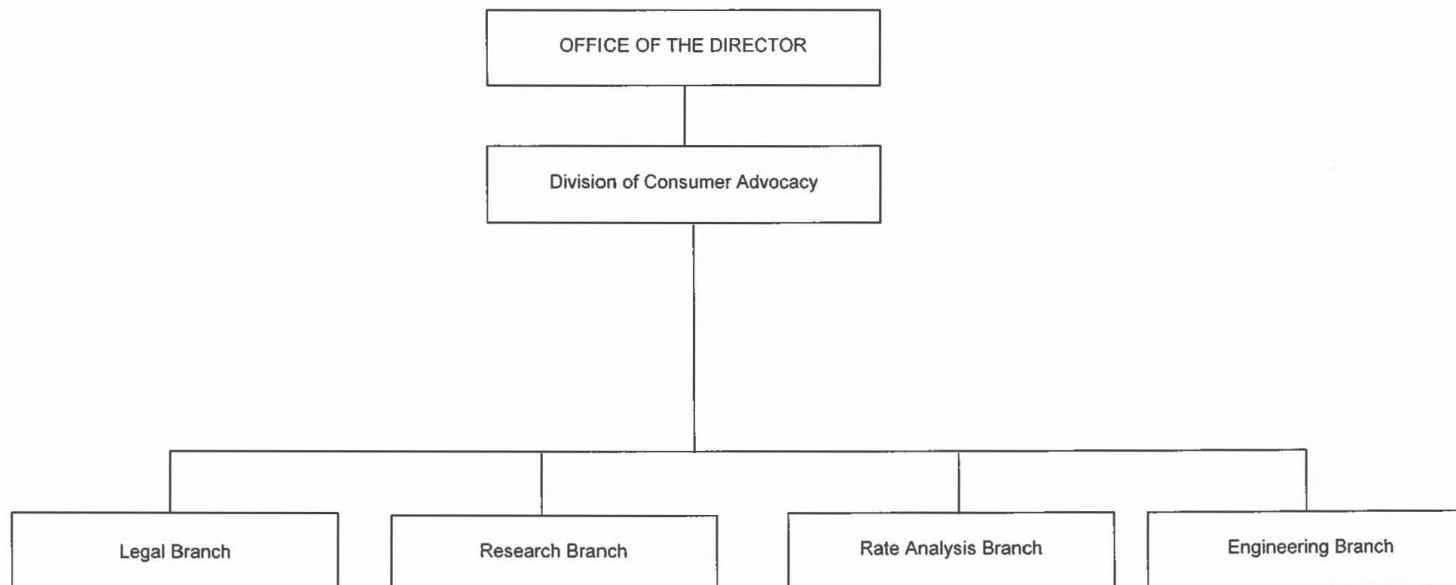
STATE OF HAWAII
DEPARTMENT OF COMMERCE AND
CONSUMER AFFAIRS
CABLE TELEVISION DIVISION
ORGANIZATION CHART



June 30, 2012

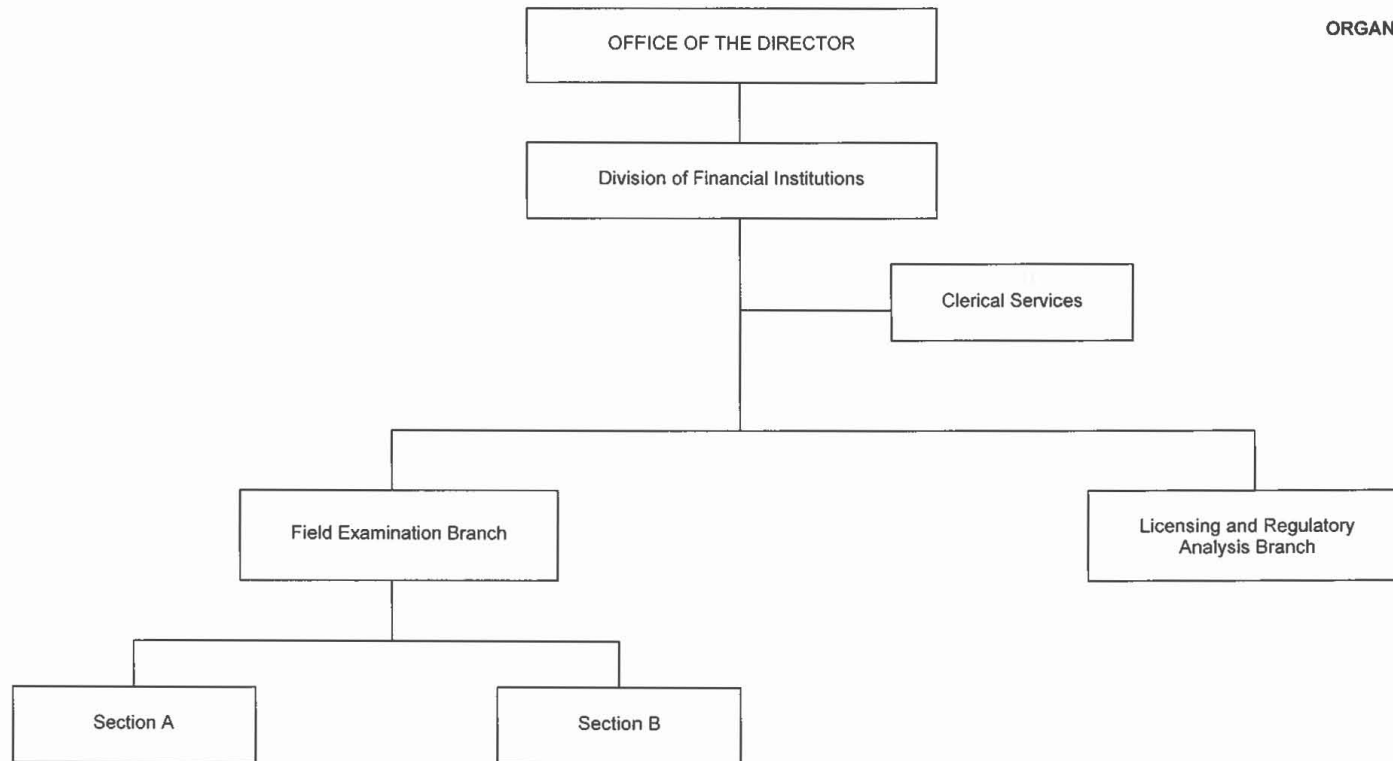
STATE OF HAWAII
DEPARTMENT OF COMMERCE AND
CONSUMER AFFAIRS
DIVISION OF CONSUMER ADVOCACY

ORGANIZATION CHART



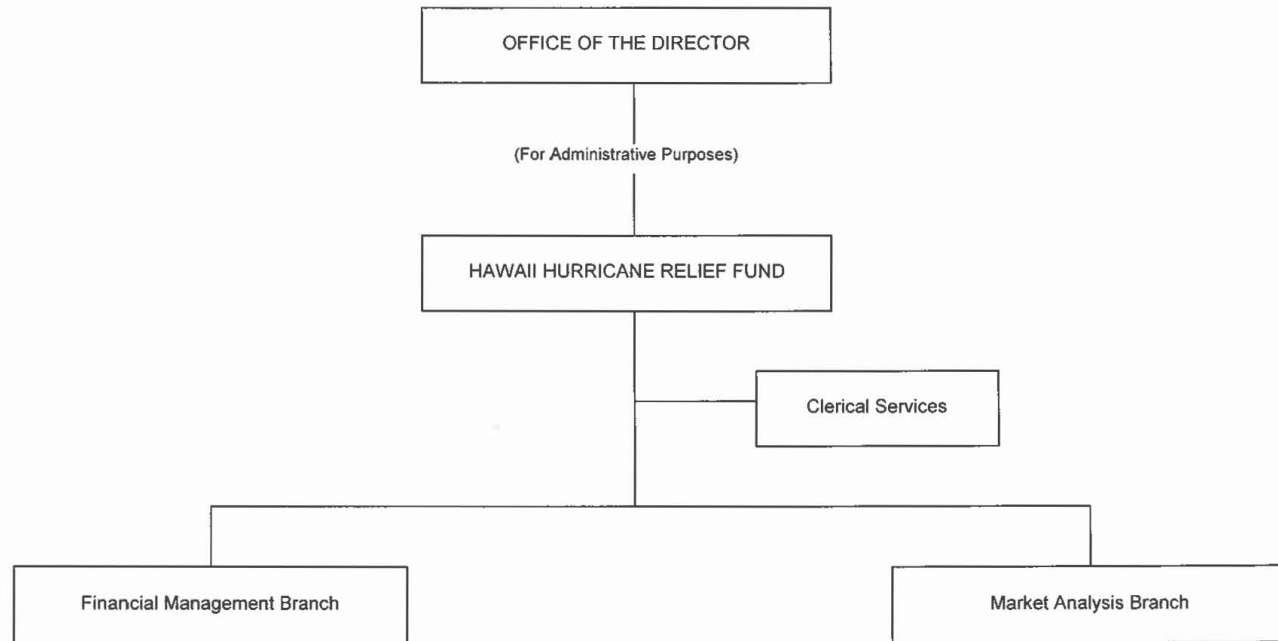
June 30, 2012

STATE OF HAWAII
DEPARTMENT OF COMMERCE AND
CONSUMER AFFAIRS
DIVISION OF FINANCIAL INSTITUTIONS
ORGANIZATION CHART



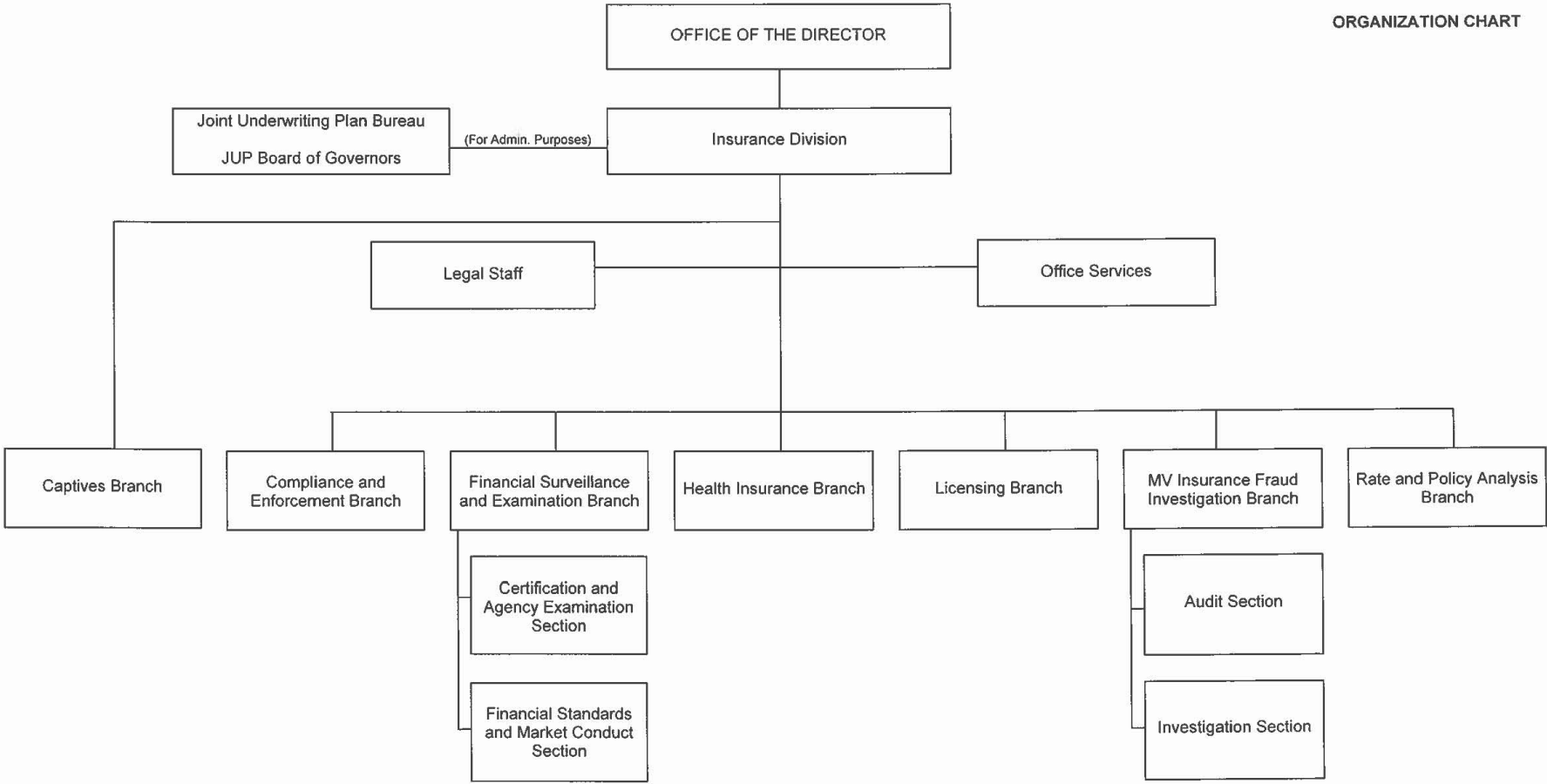
June 30, 2012

STATE OF HAWAII
DEPARTMENT OF COMMERCE AND
CONSUMER AFFAIRS
HAWAII HURRICANE RELIEF FUND
ORGANIZATION CHART



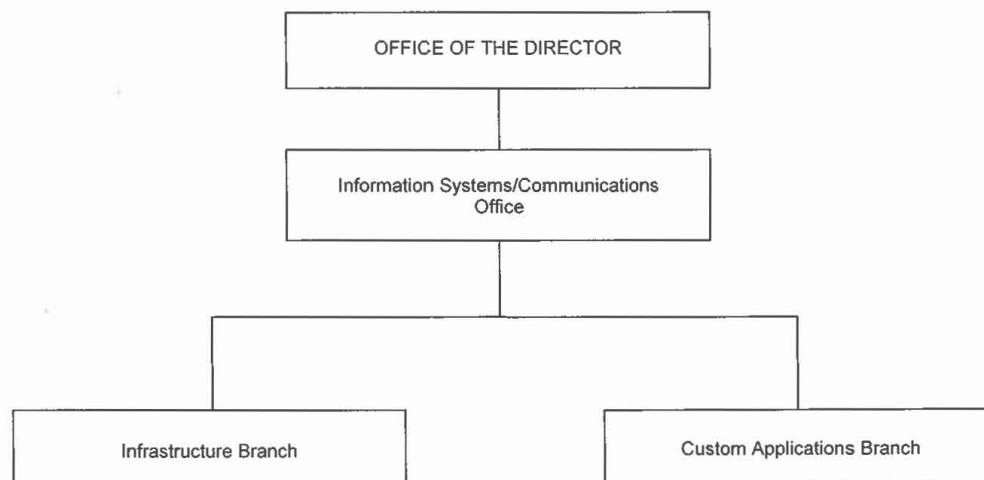
June 30, 2012

STATE OF HAWAII
 DEPARTMENT OF COMMERCE
 AND CONSUMER AFFAIRS
 INSURANCE DIVISION
 ORGANIZATION CHART



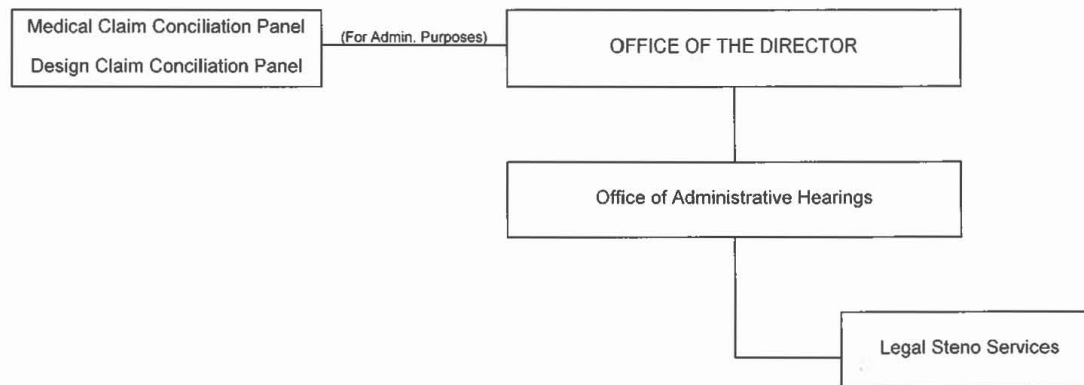
STATE OF HAWAII
DEPARTMENT OF COMMERCE AND
CONSUMER AFFAIRS
INFORMATION SYSTEMS/COMMUNICATIONS
OFFICE

ORGANIZATION CHART



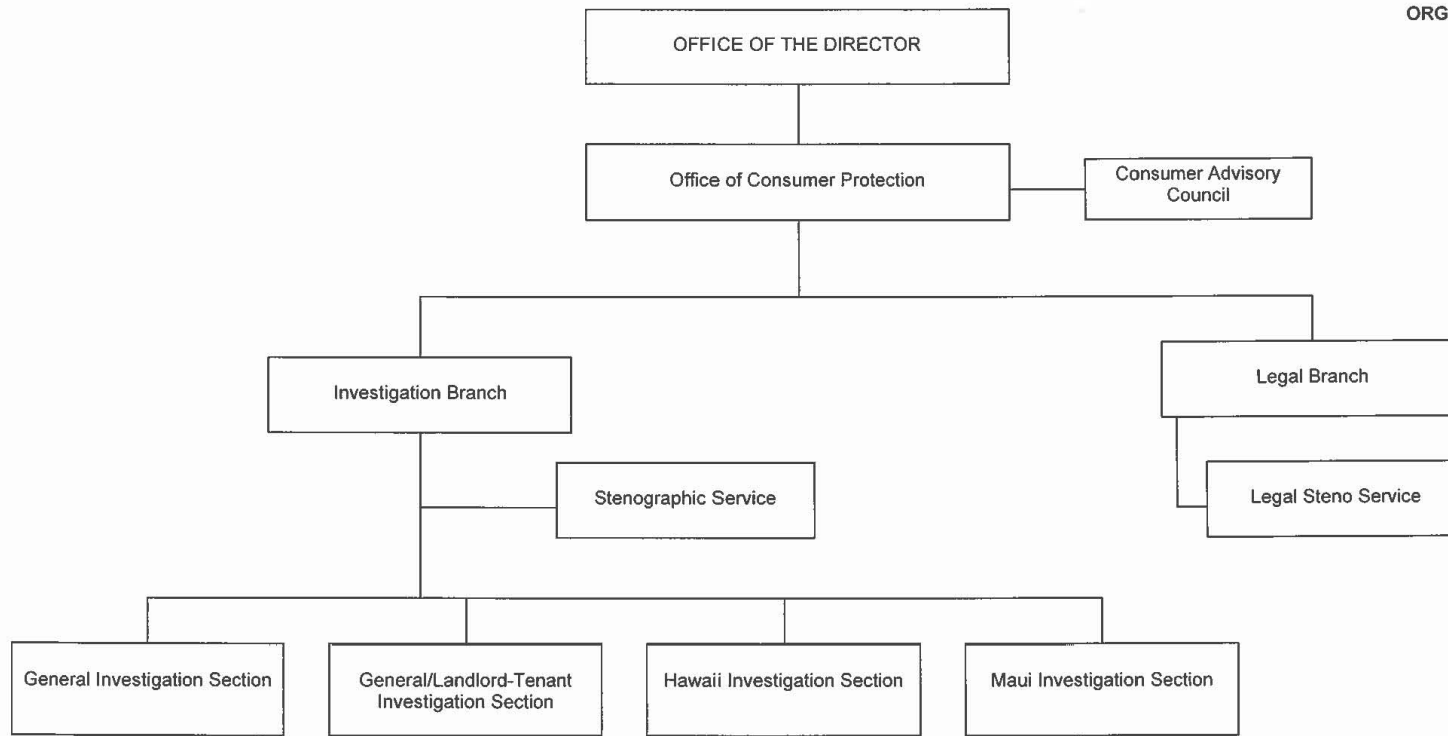
June 30, 2012

STATE OF HAWAII
DEPARTMENT OF COMMERCE AND
CONSUMER AFFAIRS
OFFICE OF ADMINISTRATIVE HEARINGS
ORGANIZATION CHART



June 30, 2012

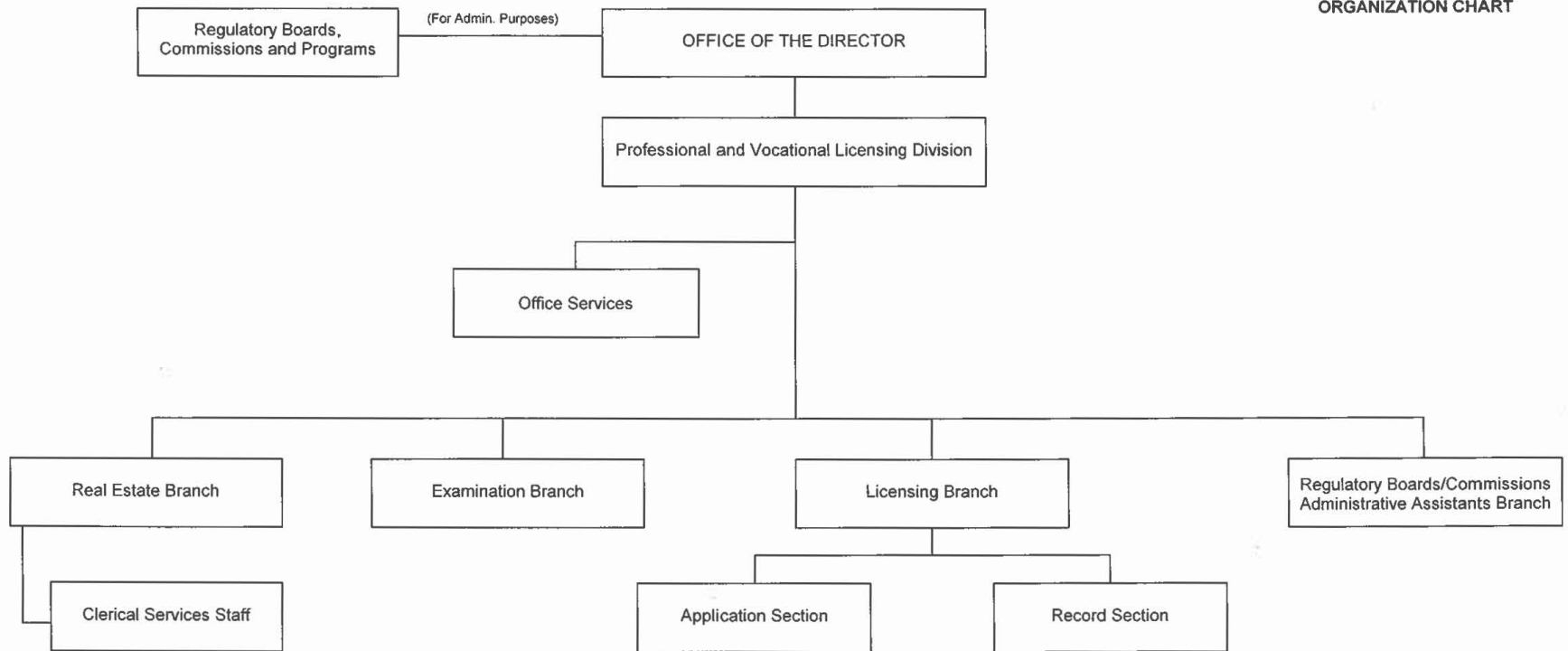
STATE OF HAWAII
DEPARTMENT OF COMMERCE AND
CONSUMER AFFAIRS
OFFICE OF CONSUMER PROTECTION
ORGANIZATION CHART



June 30, 2012

STATE OF HAWAII
DEPARTMENT OF COMMERCE AND
CONSUMER AFFAIRS
PROFESSIONAL AND VOCATIONAL LICENSING
DIVISION

ORGANIZATION CHART



June 30, 2012

STATE OF HAWAII
DEPARTMENT OF COMMERCE AND
CONSUMER AFFAIRS
REGULATED INDUSTRIES COMPLAINTS OFFICE
ORGANIZATION CHART

