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January 4, 2012

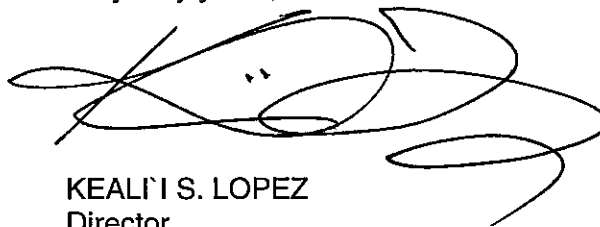
The Honorable David Ige, Chair
Senate Committee on Ways and Means
State Capitol, Room 215
415 South Beretania Street
Honolulu, Hawaii 96813

Dear Chair Ige:

In reply to a request dated December 15, 2011 regarding budget briefing, transmitted herewith is one copy of the department's budget testimony. As instructed, the electronic version (pdf) will be sent to wamtestimony@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 HOUSE COMMITTEE ON FINANCE AND
THE SENATE COMMITTEE ON WAYS AND MEANS
SUPPLEMENTAL BUDGET REQUEST FOR FISCAL YEAR 2013

TWENTY-SIXTH STATE LEGISLATURE
REGULAR SESSION
JANUARY 10, 2012

TO THE HONORABLE MARCUS R. OSHIRO, CHAIR,
AND MEMBERS OF THE HOUSE COMMITTEE ON FINANCE

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 year 2013 budget with the committees.

The Department's mission is to uphold fairness and public confidence in the marketplace, promote sound consumer practices, and increase knowledge, opportunity, and justice in our community.

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 House Finance Committee's and Senate Ways and Means Committee's thorough review and consideration of the department's budget. Although the negotiated supplemental time off has not been as disruptive to our services as furloughs were, it still has impacted staff availability and capacity while the demand for many services has remained constant.

The current economic and fiscal conditions have resulted in more regulated companies

seeking rate increases, which have increased the workload of the Division of the Consumer Advocate (DCA). The national mortgage crisis that began in 2007, evolved into a full-scale financial crisis in 2008 that continued into 2011. While Hawaii-chartered financial institutions were not immediately impacted by the national financial market disruptions, the increasing rate of residential mortgage loan foreclosures, disappointing business conditions sparked by precipitous declines in visitor arrivals, the earthquake and tsunami in Japan, and falls in stock and other monetary asset values resulted in deteriorating balance sheets at a number of these institutions. These conditions require the Division of Financial Institutions to adapt to meet the new regulatory challenges associated with these changes. Although the number of complaints to the Regulated Industries Complaints Office (RICO) has changed little from the prior fiscal year, economic conditions on licensees have required RICO to adapt settlement negotiations because respondents lack the necessary funds to pay a mutually acceptable fine amount. This has resulted in settlements that involve more complicated payment plans. And finally, past and present budget limitations and prior reductions in force have significantly impaired the Office of Consumer Protection's (OCP) operational effectiveness. OCP currently averages 1,800 new cases a year and handles approximately 7,000 landlord-tenant hotline calls per annum. OCP also partners with other states in multi-state investigations and cases involving important consumer protection issues.

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 seek 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. To ensure the Division of Financial Institution's (DFI) revenues from each of the programs it administers (financial institutions, escrow depositories, money transmitters, mortgage servicers, and mortgage loan originators/mortgage loan originator companies) supports the supervisory activity required to provide effective regulation, the DCCA is proposing legislation in the 2012 legislative session to increase the fees assessed to each regulatory program. Additionally, the

Insurance Division has applied for and received, in the past 18 months, approximately \$19.4 million in federal grant funds to assist the State in implementing measures under the Patient Protection and Affordable Care Act.

In the meantime, the central purpose of this portion of the briefing is to discuss the department's FY 2011-2013 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.

Table 1: Department-Wide Budget Summary

The Department's fiscal year (FY) 12 operating budget is \$49,320,133 (\$46,849,394 special funds; \$2,470,739 trust funds), which reflects a restriction for labor cost savings of \$1,093,224 (\$1,066,971 special funds; \$26,253 trust funds). The Department's proposed FY13 operating budget is \$50,236,801 (\$47,799,654 special funds; \$2,437,147 trust funds), which includes reductions of \$1,172,877 (\$1,138,032 special funds; \$34,845 trust funds) for labor cost savings and additions of \$836,873 in special funds.

Table 2: Prioritized List of Functions

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

Table 3: Resources by Program ID

The Department's total appropriated amount for FY 12 in Act 164, Session Laws of Hawaii (SLH) 2011 is \$50,413,357 (\$47,916,365 special funds; \$2,496,992 trust funds). The amount requested in the Governor's budget submittal for FY 13 is \$50,236,801 (\$47,799,654 special funds; \$2,437,147 trust funds), a reduction of 0.4%.

Table 4: Current Year (FY12) Restrictions

Funding restrictions of \$1,093,224 were imposed on funds (-2.2% in special funds; -1.1% in trust funds) appropriated for FY 12 in Act 164, SLH 2011, to generate labor cost savings as per Finance Memorandum 11-10.

Table 5: Proposed Budget Reductions

The amount, type and impact of the reduction on the programs are provided. The proposed Supplemental Year Budget reflects a total of \$1,172,877 in reductions for labor cost savings and \$7,000 reduction resulting from the closing of the Travel Agency Education Fund (trust account, T-911) pursuant to Act 124, SLH 2011. There are no changes to position counts.

Table 6: Proposed Supplemental Year Additions

Additions in the Supplemental Year Budget include increasing the special fund ceiling by:

- \$400,000 to upgrade the Applicant/Licensee Integrated Automated System (ALIAS) licensing system,
- \$114,532 for two temporary positions to implement Act 208, SLH 2010,
- \$205,000 for IT hardware, software and services, and
- \$117,341 for fee increases for building maintenance support services provided by the Department of Accounting and General Services (DAGS).

Table 7: Non-General Fund Balances (excluding Federal Funds)

Estimated unencumbered cash balances for specific funds totals (\$26,239,510 compliance resolution fund; \$21,514,717 hurricane reserve trust fund; \$5,154,075 all other trust funds; and \$2,756,218 all other special funds) and excess balance, if any, are provided.

Table 8: Emergency Appropriation Requests

None.

Table 9: Budget Decisions

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

Table 10: Program Review Proposals

N/A

Table 11: Position Vacant as of November 30

The Department had 61 vacancies on November 30, 2011.

Table 12: Personnel Separations

From July 1, 2010 to November 30, 2011, there were 75 instances of personnel separations from the Department.

Table 13: New Hires

From July 1, 2010 to November 30, 2011, the Department made 62 hires.

Table 14: RIF Related Grievances

None.

Table 15: Expenditures Exceeding Appropriation Ceilings

None.

Table 16: Federal Grants

Listing of federal grants awarded to the Department is provided. There are no ARRA grants that required the Department to make a funding commitment on behalf of the State or a commitment to change or seek to change in state law or policy.

Table 17: Intradepartmental Transfer of Funds

None.

Table 18: Interdepartmental Transfer of Funds

None.

Table 19: Active Contracts

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

Table 20: Capital Improvement Program (CIP) Budget Summary

None.

Table 21: Division Resources

Listing of all divisions by Program ID is provided.

Table 22: Organizational Charts

The Department's organizational chart for the current year (FY12) is attached. There are no proposed changes for FY13.

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
Department-Wide Budget Summary

Table 1

Fiscal Year 2012				
Act 164/11 Appropriation	Restriction*	Emergency Appropriation	Total FY12	MOF
			\$ -	A
\$ 47,916,365.00	\$ (1,066,971.00)		\$ 46,849,394.00	B
			\$ -	N
			\$ -	R
			\$ -	S
\$ 2,496,992.00	\$ (26,253.00)		\$ 2,470,739.00	T
			\$ -	U
			\$ -	V
			\$ -	W
			\$ -	X
\$ 50,413,357.00	\$ (1,093,224.00)	\$ -	\$ 49,320,133.00	Total
Fiscal Year 2013				
Act 164/11 Appropriation	Reductions	Additions	Total FY13	MOF
			\$ -	A
\$ 48,100,813.00	\$ (1,138,032.00)	\$ 836,873.00	\$ 47,799,654.00	B
			\$ -	N
			\$ -	R
			\$ -	S
\$ 2,471,992.00	\$ (34,845.00)		\$ 2,437,147.00	T
			\$ -	U
			\$ -	V
	TOTAL		\$ -	W
			\$ -	X
\$ 50,572,805.00	\$ (1,172,877.00)	\$ 836,873.00	\$ 50,236,801.00	Total
* Labor savings as per FM 11-10.				

Department of Commerce and Consumer Affairs
 Prioritized List of Functions

Table 2

Pri #	Description of Function	Activities	Prog ID(s)	Statutory Reference
1	<p>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.</p>	<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, 421, 421C, 421I, 423, 424, 425, 425E, 428, 474, 482, 482E, 485A, and 519, HRS.
2	<p>Insurance Regulatory Services: Regulatory oversight of the insurance industry.</p>	<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 of 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 2

Pri #	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.

Department of Commerce and Consumer Affairs
 Prioritized List of Functions

Table 2

Pri #	Description of Function	Activities	Prog ID(s)	Statutory Reference
5	Financial Services Regulation (effective 7/1/11 program title changed from Financial Institution Services): Supervise and regulate financial institutions, escrow depositories, money transmitters, mortgage servicers, mortgage loan originators, and mortgage loan originator companies.	<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. ● License and examine mortgage loan originators and mortgage loan originator companies effective January 1, 2011. 	CCA104	Chapters 412, 449, 454F, 454M, 489D, HRS.
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 licensing laws; and update and evaluate examinations.	<ul style="list-style-type: none"> ● License and regulate 47 different professions and vocations. Provide administrative support to 25 regulatory licensing boards and, on behalf of the director of the department, administer 22 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, 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: Complaint receipt, investigation and prosecution of possible professional license violations.	<ul style="list-style-type: none"> ● Intake, investigate, resolve and civilly or administratively prosecute complaints involving professional and vocational licensing law violations. ● Information and referrals, complaints history dissemination, consumer and industry education through brochures, online and presentations at various locations statewide. ● Administer 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) ● Ensure expansion and enhancement of the Institutional Network (INET) ● Oversee technical inspections and establish reporting requirements. ● Award PEG contracts and provide support for PEG access. 	CCA102	Chapter 440G, HRS.

Department of Commerce and Consumer Affairs
Prioritized List of Functions

Table 2

Pri #	Description of Function	Activities	Prog ID(s)	Statutory Reference
		<ul style="list-style-type: none"> ● 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. 		
9	<p>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 technology needs of the Department.</p>	<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. ● Provides all divisions of DCCA with: (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 claims against 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) telephone and other communication services support. 	CCA191	Section 26-9, HRS.

Department of Commerce and Consumer Affairs
Resources by Program ID

Table 3

Prog ID	Program Title	MOF	As budgeted in Act 164/11 (FY12)			Governor's Submittal (FY13)			Percent Change of \$\$\$
			Pos (P)	Pos (T)	\$\$\$	Pos (P)	Pos (T)	\$\$\$	
CCA 102	Cable Television	B	4.00	3.00	\$ 1,786,537	7.00	-	\$ 1,760,809	-1.4%
CCA 103	Consumer Advocate for Comm, Utilities & Transportation Svcs	B	23.00	-	\$ 2,701,465	23.00	-	\$ 2,938,787	8.8%
CCA 104	Financial Services Regulation	B	34.00	-	\$ 3,387,006	34.00	-	\$ 3,277,594	-3.2%
CCA 104	Financial Services Regulation	T	-	-	\$ 110,000	-	-	\$ 110,000	0.0%
CCA 105	Professional & Vocational Licensing	B	52.00	13.00	\$ 5,573,217	54.00	12.00	\$ 5,847,701	4.9%
CCA 105	Professional & Vocational Licensing	T	5.00	6.00	\$ 2,086,311	8.00	3.00	\$ 2,026,466	-2.9%
CCA 106	Insurance Regulatory Services	B	81.00	2.00	\$ 14,281,755	81.00	2.00	\$ 14,040,126	-1.7%
CCA 106	Insurance Regulatory Services	T	-	-	\$ 200,000	-	-	\$ 200,000	0.0%
CCA 110	Office of Consumer Protection	B	14.00	3.00	\$ 1,573,840	16.00	1.00	\$ 1,524,748	-3.1%
CCA 110	Office of Consumer Protection	T	-	-	\$ 100,681	-	-	\$ 100,681	0.0%
CCA 111	Business Registration & Securities	B	70.00	9.00	\$ 6,649,240	71.00	8.00	\$ 6,472,012	-2.7%
CCA 112	Regulated Industries Complaints Office	B	65.00	2.00	\$ 5,579,836	66.00	1.00	\$ 5,405,578	-3.1%
CCA 191	General Support	B	43.00	6.00	\$ 6,383,469	44.00	6.00	\$ 6,532,299	2.3%
	Special Fund Total	B	386.00	38.00	47,916,365.00	396.00	30.00	47,799,654.00	-0.2%
	Trust Fund Total	T	5.00	6.00	\$ 2,496,992	8.00	3.00	\$ 2,437,147	-2.4%
	TOTAL		391.00	44.00	\$ 50,413,357	404.00	33.00	\$ 50,236,801	-0.4%

Department of Commerce and Consumer Affairs
Current Year (FY12) Restrictions

Table 4

Prog ID	MOF	Restriction \$\$\$*	<u>Percent of Act 164/11</u> <u>Appropriation</u>	<u>Impact</u>
CCA 102	B	\$ (14,723)	-0.8%	1) Increase in cash reserves from labor cost savings generated. 2) Some operational impact due to the addition of six (6) hours per month of supplemental time off (reduction in work-hours).
CCA 103	B	\$ (43,182)	-1.6%	"
CCA 104	B	\$ (92,697)	-2.7%	"
CCA 105	B	\$ (246,315)	-4.4%	"
CCA 105	T	\$ (26,253)	-1.3%	"
CCA 106	B	\$ (232,899)	-1.6%	"
CCA 110	B	\$ (48,537)	-3.1%	"
CCA 111	B	\$ (175,224)	-2.6%	"
CCA 112	B	\$ (172,288)	-3.1%	"
CCA 191	B	\$ (41,106)	-0.6%	"
Total by MOF	B	\$ (1,066,971)	-2.2%	
	T	\$ (26,253)	-1.1%	
* Labor cost savings as per FM 11-10.				

Department of Commerce and Consumer Affairs
Proposed Budget Reductions

Table 5

<u>Request Category</u>	<u>Prog ID</u>	<u>Description of Reduction</u>	<u>Impact of Reduction</u>	<u>MOF</u>	<u>Pos (P) FY13</u>	<u>Pos (T) FY13</u>	<u>\$\$\$\$ FY13</u>	<u>Carry-over? (Y/N)</u>
LS	CCA 102	Labor Cost Savings	1) Increase in cash reserves from labor cost savings generated. 2) Some operational impact due to the addition of six (6) hours per month of supplemental time off (reduction in work-hours).	B	-	-	\$ (25,728)	Y
LS	CCA 103	Labor Cost Savings	"	B	-	-	\$ (64,812)	Y
LS	CCA 104	Labor Cost Savings	"	B	-	-	\$ (107,326)	Y
LS	CCA 105	Labor Cost Savings	"	B	-	-	\$ (152,787)	Y
LS	CCA 106	Labor Cost Savings	"	B	-	-	\$ (241,629)	Y
LS	CCA 110	Labor Cost Savings	"	B	-	-	\$ (49,092)	Y
LS	CCA 111	Labor Cost Savings	"	B	-	-	\$ (177,228)	Y
LS	CCA 112	Labor Cost Savings	"	B	-	-	\$ (174,258)	Y
LS	CCA 191	Labor Cost Savings	"	B	-	-	\$ (145,172)	Y
LS	CCA 105	Labor Cost Savings	"	T	-	-	\$ (27,845)	Y
O	CCA 105	Delete Travel Agency Trust Fund	No impact, as account was terminated and balance of funds transferred to the General Fund pursuant to Act 124, SLH 2011 (T-911)	T	-	-	\$ (7,000)	N

Department of Commerce and Consumer Affairs
Proposed Supplemental Year Additions

Table 6

<u>Request Category</u>	<u>Prog ID</u>	<u>Description of Addition</u>	<u>Explanation</u>	<u>MOF</u>	<u>Pos (P) FY13</u>	<u>Pos (T) FY13</u>	<u>\$\$\$ FY13</u>
O	CCA 105	Increase SF ceiling to upgrade Applicant/Licensee Integrated Automated System (ALIAS) licensing system	The Professional and Vocational Licensing Division (PVLD) is seeking a budget increase of \$400,000 for FY13 to purchase services and software to upgrade its licensing system, Applicant/Licensing Integrated Automated System (ALIAS), to a Microsoft Windows 7 compliant version; Microsoft will no longer support Windows XP as of April 2014. ALIAS is used to process 203,365 license transactions per year. ALIAS was created in 1988 and was last upgraded in 2002 using Forms 6i software that is now no longer supported by its vendor.	B	-	-	\$ 400,000
O	CCA 105	Increase SF ceiling for 2 temp positions & funds to implement Act 208/10	Act 208, SLH 2010, requires that all individual guards register with the Professional and Vocational Licensing Division's (PVLD) Board of Private Detectives and Guards; an appropriation is requested in the executive FY13 supplemental budget for the implementation of this new mandate. The division is requesting two positions: one Office Assistant IV in the Records Section of the Licensing Branch and one Office Assistant V in the Applications Section of the Licensing Branch. There are an estimated 10,700 individual guards in the state who will need to apply for registration and additional resources are needed to fully execute and support Act 208, SLH 2010. Alternatives to absorbing new workload through current staffing levels is not feasible without negatively impacting the 46 other licensing areas in PVLD's jurisdiction. Act 208, SLH 2010 will also repeal the Act on July 1, 2016.	B	-	2.0	\$ 114,532

Department of Commerce and Consumer Affairs
Proposed Supplemental Year Additions

Table 6

<u>Request Category</u>	<u>Prog ID</u>	<u>Description of Addition</u>	<u>Explanation</u>	<u>MOF</u>	<u>Pos (P) FY13</u>	<u>Pos (T) FY13</u>	<u>\$\$\$ FY13</u>
O	CCA 191/AI	Increase SF ceiling for IT hardware, software, services	<p>This request for a ceiling increase is to replace 5 existing HP Proliant G4 servers, upgrade 400 licenses of Microsoft Office from version 2002 XP to the most current version and to provide disaster recovery options for DCCA's systems and information.</p> <p>1) DCCA's G4 model servers will be 7 years old at the start of FY13 and will reach the manufacturer's end-of-life on February 12, 2012. After this date the manufacturer will no longer provide software updates or replacement of failed parts. The G4 servers service all of DCCA's staff for Lotus Notes email, Lotus Notes applications, file and print servers, active directory and desktop management system.</p> <p>2) DCCA's 380 staff are currently using Microsoft Office 2002. Office 2003, 2007 and 2010 are subsequent versions. DCCA staff is increasingly receiving Microsoft Office documents from other departments, customer and external agencies that are in higher versions of Microsoft Office. Microsoft has ended support for Microsoft Office 2002 XP on July 12, 2011. Microsoft will no longer provide patches or fixes for incompatibilities with newer software or to protect against new viruses and malware. The most recent versions of common software such as Adobe Acrobat (version 10) do not work with Office 2002 XP.</p>	B	-	-	\$ 205,000

Department of Commerce and Consumer Affairs
Proposed Supplemental Year Additions

Table 6

<u>Request Category</u>	<u>Prog ID</u>	<u>Description of Addition</u>	<u>Explanation</u>	<u>MOF</u>	<u>Pos (P) FY13</u>	<u>Pos (T) FY13</u>	<u>\$\$\$ FY13</u>
			3) DCCA electronic systems are located at the King Kalalaua Building and the Kalanimoku building. Information and programs are backed up on tape and stored off-site, but the off-site storage is not outside the best practice of 50 miles distance. If either building was to suffer a catastrophic disaster, recovery would be measured in months to collect together replacement equipment, reinstall programs and restore data from tape. The costs to Hawaii's businesses would also be significant, if they are unable to file the appropriate documents with the DCCA to continue business.				
O	CCA 191/AA	Increase SF ceiling for DAGS Building Maintenance Fee Increase	The Department of Accounting and General Services (DAGS) provides repairs and building maintenance services to the DCCA at both our locations in the King David Kalakaua Building (KKB) and the 8th & 9th floors of the Leiopapa A. Kamehameha building (State Office Tower - SOT). For FY12, DAGS increased the building maintenance costs by 12%, from an annual amount of \$514,160 to \$574,092. The department is working to absorb this increase into its existing budget as it was not budgeted for in FY12. However, DAGS is projecting another increase in their maintenance fees in FY13; 10% increase over the FY12 costs. This translates to an increase of \$117,341 over the current budgeted amount of \$514,160 for DAGS building maintenance costs. A ceiling increase is requested so that the department can meet its payment obligations for building maintenance and support service to DAGS.	B	-	-	\$ 117,341

Department of Commerce and Consumer Affairs
Non-General Fund Balances (excluding Federal Funds)

Table 7

Name of Fund	Statutory Reference	MOF	Beginning FY12	Estimated FY12	Estimated FY12	Estimated FY12	Estimated FY12 Ending	Balance in Excess
			Unencumbered Cash Balance	Revenues	Expenditures and Encumbrances	Net Transfers	Unencumbered Cash Balance	of Program Needs
Captive Insurance Administrative Fund	Section 431:19-101.8, HRS, Act 261, SLH 1997; Act 131, SLH 1999; Act 1, SLH 2005; Act 213, SLH 2007; Act 158 SLH 2008	B	\$ 3,097,111.33	\$ 1,860,000.00	\$ 2,401,643.00	\$ -	\$ 2,555,468	\$ 750,000
Compliance Resolution Fund	Section 26-9, 269-33, 412:2-109, 431:2-215 & 431:2-216, 449-14, 454F-18, 454M-11, 487-2, 489D-12.5 Chapter 440G, HRS; Act 1, SLH 2005; Act 68, SLH 2007; Act 183, SLH 2007; Act 199, SLH 2010; Act 227, SLH 2007; Act 279, SLH 2007; Act 18, SSLH 2009; and Section 11 of Act 32, 1st SSLH 2009	B	\$ 33,512,370.12	\$ 34,274,891.00	\$ 41,547,751.00	\$ -	\$ 26,239,510	\$ -
Driver Education Fund Underwriter's Fee	Section 431:10C-115, HRS; Section 431:10G-107, HRS	B	\$ 59,820.40	\$ 2,810,000.00	\$ 2,869,820.00	\$ -	\$ -	\$ -
Loss Mitigation Grant Fund 1/	Section 431:22-102, HRS, Act 124, SLH 2011	B	\$ 259,962.00	\$ -	\$ 259,962.00	\$ -	\$ -	N/A
Mortgage Foreclosure Dispute Resolution Special Fund 2/	Act 48, SLH 2011, Section 39	B	\$ -	\$ 400,750.00	\$ 200,000.00	\$ -	\$ 200,750.00	\$ -
Protocol Funds for Executive Heads	Section 123 of Act 162, SLH 2009	B	\$ 214.62	\$ -	\$ 1,000.00	\$ 785.38	\$ -	N/A
Captive Insurance Companies Loc Escrow	Section 431:19-104(b), HRS	T	\$ 509.10	\$ -	\$ -	\$ -	\$ 509.00	\$ -
Commissioner's Education & Training Fund	Section 431:2-214, HRS; Act 348, SLH 1987	T	\$ 770,575.31	\$ 160,000.00	\$ 200,000.00	\$ -	\$ 730,575.00	\$ 300,000
Condominium Education Trust Fund 3/	Section 514A-40 (c), 131, 132, 133, HRS	T	\$ 659,283.00	\$ 76,000.00	\$ 393,970.00	\$ 3,725.00	\$ 345,038	\$ -
Condominium Management Education Fund 3/	Section 514A-40 (c), 131, 132, 133, HRS	T	\$ 3,725.00	\$ -	\$ -	\$ (3,725.00)	\$ -	N/A
Contract Service Providers	Section 481X-4, HRS	T	\$ 41,560.00	\$ -	\$ -	\$ -	\$ 41,560.00	\$ -
Contractors Education Fund	Section 444-29, HRS	T	\$ 425,262.84	\$ 50,000.00	\$ 16,968.00	\$ -	\$ 458,295.00	\$ -
Contractors Recovery Fund	Section 444-26, HRS	T	\$ 845,777.29	\$ 100,000.00	\$ 200,000.00	\$ -	\$ 745,777.00	\$ -
Hurricane Reserve Trust Fund	Chapter 431P HRS	T	\$ 21,144,717.00	\$ 400,000.00	\$ 30,000.00	\$ -	\$ 21,514,717.00	\$ -
Medical Malpractice Patients' Comp Fund	Act 232, SLH 1984; Act 219, SLH 1976	T	\$ 172,765.04	\$ -	\$ 172,765.00	\$ -	\$ -	\$ -
Mortgage Loan Recovery Fund	Section 454F-41, HRS	T	\$ 285,450.00	\$ 147,750.00	\$ 110,000.00	\$ -	\$ 323,200	\$ -
Premium Taxes Paid Pending Appeal	Section 431:7-202, 431:7-209, HRS	T	\$ 156,493.00	\$ -	\$ -	\$ -	\$ 156,493.00	\$ -
Real Estate Appraisers Registry Fee	Chapter 466K, HRS; Title 16, Chapter 114, HAR	T	\$ 4,950.00	\$ 30,000.00	\$ 30,000.00	\$ -	\$ 4,950.00	\$ -
Real Estate Education Fund	Section 467-11-19, HRS	T	\$ 989,353.90	\$ 72,000.00	\$ 676,840.00	\$ -	\$ 384,514	\$ -
Real Estate Recovery Fund	Section 467-16-19, 21-24, HRS	T	\$ 766,462.44	\$ 50,000.00	\$ 500,750.00	\$ -	\$ 314,152.00	\$ -
Restitution for Consumers	Section 487:14 (c), HRS	T	\$ 140,169.40	\$ 6,000.00	\$ 100,681.00	\$ -	\$ 45,488.00	\$ -
St Certified Motor Vehicle Arbitration Fd	Chapter 481I, HRS	T	\$ 135,950.69	\$ 3,000.00	\$ 3,000.00	\$ -	\$ 135,951.00	\$ -
Travel Agency Education Fund 4/	TOTAL	T	\$ 21,449.10	\$ -	\$ -	\$ (21,449.00)	\$ -	N/A
Travel Agency Recovery Fund 5/	Chapter 468K, HRS; Act 285, SLH 1991 repealed	T	\$ 22.41	\$ -	\$ -	\$ (22.41)	\$ -	N/A
Temp Deposits-Commerce/Consumer Affairs	-	T	\$ 1,911,332.64	\$ 1,732,206.00	\$ 2,175,965.64	\$ -	\$ 1,467,573.00	\$ -
Funds held outside the State Treasury by Time Warner 6/	Decision & Order Nos. 154, 261 Section 5.1, & 346 Section IV.1.4		\$ 2,753,177.73	\$ 1,800,000.00	\$ -	\$ -	\$ 4,553,178	\$ 2,053,178
		Total	\$ 68,158,464.36	\$ 43,972,597.00	\$ 51,891,115.64	\$ (20,686.03)	\$ 60,217,698.08	\$ 3,103,177.73
1/ Pursuant to Act 124, SLH 2011 the Loss Mitigation Grant Fund was terminated, the account closed and funds transferred to the General Fund.								
2/ Revenues include \$400,000 of seed capital from the CRF								
3/ ACT 129, SLH 2009 – Merges the condominium management education fund (CMEF) into the condominium education trust fund (CETF) by repealing the CMEF, transferring all unexpended & unencumbered balances remaining in the CMEF to the credit of the CETF.								
4/ Pursuant to Act 124, SLH 2011 remaining balance was transferred to the General Fund.								
5/ Act 285, SLH 1991, repealed Chapter 486K, HRS; pursuant to Act 124, SLH 2011 remaining balance was transferred to the General Fund.								
6/ Of the estimated FYE 2012 unencumbered cash balance of \$4.5M, \$2.5M is to be used to advance the Governor's Hawaii Broadband Initiative in FY13 to aid in Broadband adoption by County and State government agencies.								

Department of Commerce and Consumer Affairs
Emergency Appropriation Requests

Table 8

<u>Prog ID</u>	<u>Description of Request</u>	<u>MOF</u>	<u>Pos (P) FY12</u>	<u>Pos (T) FY12</u>	<u>\$\$\$ FY12</u>
NONE					

Department of Commerce and Consumer Affairs
Budget Decisions

Table 9

Prog ID	Description	MOF	Initial Department Request			Budget and Finance Recommendation			Governor's Decision		
			Pos (P)	Pos (T)	\$\$\$	Pos (P)	Pos (T)	\$\$\$	Pos (P)	Pos (T)	\$\$\$
CCA 105/GA	Increase Special Fund ceiling to upgrade ALIAS Licensing System.	B	-	-	\$ 400,000.00	-	-	\$ 400,000.00	-	-	\$ 400,000.00
CCA 105/GA	Increase Special Fund ceiling for 2 temp positions & funds to supplement Act 208/10.	B	-	2.00	\$ 114,532.00	-	2.00	\$ 114,532.00	-	2.00	\$ 114,532.00
CCA 191/AI	Increase Special Fund ceiling for IT hardware, software & services.	B	-	-	\$ 205,000.00	-	-	\$ 205,000.00	-	-	\$ 205,000.00
CCA 191/AA	Increase Special Fund ceiling for DAGS Building Maintenance Fee increase.	B	-	-	\$ 117,341.00	-	-	\$ 117,341.00	-	-	\$ 117,341.00
CCA 105/GA	Transfer out 1 position and Special Fund ceiling to CCA 191/AA.	B	-	(1.00)	\$ (87,261.00)	-	(1.00)	\$ (87,261.00)	-	(1.00)	\$ (87,261.00)
CCA 191/AA	Transfer in 1 position and Special Fund ceiling from CCA 105/GA.	B	-	1.00	\$ 87,261.00	-	1.00	\$ 87,261.00	-	1.00	\$ 87,261.00
CCA 191/AI	Increase Special Fund ceiling for 1 position and fund (Web Content Specialist).	B	-	1.00	\$ 93,094.00	-	-	\$ -	-	-	\$ -
CCA 191/AH	Increase Special Fund ceiling for recording equipment replacement.	B	-	-	\$ 18,000.00	-	-	\$ -	-	-	\$ -
CCA 191/AH	Increase Special Fund ceiling for transcription fees for appeals.	B	-	-	\$ 10,000.00	-	-	\$ -	-	-	\$ -
CCA 191/AI	Increase SF ceiling for ELS modification.	B	-	-	\$ 75,000.00	-	-	\$ -	-	-	\$ -
CCA 112/AB	Convert 1 temp to Perm (Investigator IV).	B	1.00	(1.00)	\$ -	1.00	(1.00)	\$ -	1.00	(1.00)	\$ -
CCA 111/CA	Convert 1 temp to Perm (Legal Clerk).	B	1.00	(1.00)	\$ -	1.00	(1.00)	\$ -	1.00	(1.00)	\$ -
CCA 110/DA	Convert 2 temp to Perm (2 CRF Investigator IV).	B	2.00	(2.00)	\$ -	2.00	(2.00)	\$ -	2.00	(2.00)	\$ -
CCA 105/GA	Convert 2 temp to Perm (Office Assistant IV, Secretary II).	B	2.00	(2.00)	\$ -	2.00	(2.00)	\$ -	2.00	(2.00)	\$ -
CCA 102/FA	Convert 3 temp to Perm (2 Program Specialist, 1 Financial Analyst).	B	3.00	(3.00)	\$ -	3.00	(3.00)	\$ -	3.00	(3.00)	\$ -
CCA 191/AI	Convert 1 temp to Perm (DPSA IV).	B	1.00	(1.00)	\$ -	1.00	(1.00)	\$ -	1.00	(1.00)	\$ -
	Subtotal, special funds		10.00	(7.00)	\$ 1,032,967.00	10.00	(8.00)	\$ 836,873.00	10.00	(8.00)	\$ 836,873.00
CCA 105/GA	Convert 2 temp to Perm (Office Assistant III, Office Assistant IV) (T905)	T	2.00	(2.00)	\$ -	2.00	(2.00)	\$ -	2.00	(2.00)	\$ -
CCA 105/GA	Convert 1 temp to Perm (Office Assistant III) (T906)	T	1.00	(1.00)	\$ -	1.00	(1.00)	\$ -	1.00	(1.00)	\$ -
CCA 105/GA	Delete Travel Agency Education Trust Fund pursuant to Act 124, SLH 2010 (T-911)	T	-	-	\$ (7,000.00)	-	-	\$ (7,000.00)	-	-	\$ (7,000.00)
	Subtotal, trust funds		3.00	(3.00)	\$ (7,000.00)	3.00	(3.00)	\$ (7,000.00)	3.00	(3.00)	\$ (7,000.00)
	TOTAL		13.00	(10.00)	1,025,967.00	13.00	(11.00)	829,873.00	13.00	(11.00)	829,873.00

Department of Commerce and Consumer Affairs
 Program Review Proposals

Table 10

<u>Prog ID</u>	<u>Description</u>	<u>MOF</u>	<u>Budget and Finance Proposal</u>			<u>Department Proposal</u>			<u>Governor's Final Decision</u>		
			<u>Pos (P)</u>	<u>Pos (T)</u>	<u>\$\$\$</u>	<u>Pos (P)</u>	<u>Pos (T)</u>	<u>\$\$\$</u>	<u>Pos (P)</u>	<u>Pos (T)</u>	<u>\$\$\$</u>
N/A											

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

Table 11

<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>Temp Perm (T/P)</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>	
CCA 102	--	120244	CATV Financial Analyst	NA	13	T	1.00	B	\$ 74,285.00	--	Y	Y	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	N	N	
CCA 103	--	120187	DCA Research Analyst V	NA	13	P	1.00	B	\$ 45,937.00	--	Y	N	N	
CCA 103	--	120188	DCA Research Analyst V	NA	13	P	1.00	B	\$ 45,937.00	--	Y	N	N	
CCA 103	--	120189	DCA Research Analyst V	NA	13	P	1.00	B	\$ 45,937.00	--	Y	N	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	07/01/11	37194	Fin Inst Regulation Analyst II	24	13	P	1.00	B	\$ 64,920.00	\$ 64,920.00	N	Y	N	
CCA 104	07/01/11	102610	FI Intrn'l Banking Examiner II	NA	13	P	1.00	B	\$ 67,488.00	\$ 67,488.00	Y	N	N	
CCA 104	06/01/11	102765	Fin Inst Examination Mgr	NA	93	P	1.00	B	\$ 83,412.00	\$ 83,412.00	Y	Y	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 105	TOTAL	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	N	N	
CCA 105	07/01/11	12732	Office Assistant IV	10	03	P	1.00	B	\$ 28,836.00	\$ 28,836.00	N	Y	N	
CCA 105	10/03/11	36375	Secretary II	14	03	P	1.00	B	\$ 41,040.00	\$ 38,988.00	N	Y	N	
CCA 105	02/01/11	42126	Office Assistant IV	10	03	P	1.00	B	\$ 33,756.00	\$ 36,516.00	N	Y	N	
CCA 105	06/01/11	43735	Office Assistant IV	10	03	P	1.00	B	\$ 31,212.00	\$ 31,212.00	N	Y	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	04/01/11	102754	CRF Program Specialist	NA	13	T	1.00	B	\$ 62,436.00	\$ 62,436.00	Y	N	N	
CCA 105	10/17/11	118940	Office Assistant III	08	03	T	1.00	T	\$ 30,036.00	\$ 28,536.00	N	Y	N	
CCA 105	08/27/11	118941	Office Assistant III	08	03	T	1.00	T	\$ 25,668.00	\$ 24,384.00	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	12/31/10	15542	Ins Rate & Policy Analyst IV	22	13	P	1.00	B	\$ 64,920.00	\$ 64,920.00	N	Y	N	
CCA 106	10/31/11	22241	Investigator III	20	13	P	1.00	B	\$ 55,500.00	\$ 52,728.00	N	Y	N	
CCA 106	03/01/11	25055	Secretary III	16	63	P	1.00	B	\$ 42,684.00	\$ 42,684.00	N	Y	N	

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

Table 11

<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>Temp Perm (T/P)</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>
CCA 106	03/06/10	42122	Office Assistant III	08	03	P	1.00	B	\$ 25,668.00	\$ 25,668.00	N	Y	N
CCA 106	10/04/11	110211	IRF Rate & Policy Analyst	NA	13	P	1.00	B	\$ 51,312.00	\$ 48,744.00	Y	Y	N
CCA 106	05/03/11	110317	CRF Rate & Pol Analyst IV	NA	13	P	1.00	B	\$ 51,312.00	\$ 51,312.00	Y	Y	N
CCA 106	02/01/11	110570	Insurance Examiner III	26	23	P	1.00	B	\$ 73,044.00	\$ 73,044.00	N	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	--	120303	INS Info Tech Specialist	NA	13	T	1.00	N	see below^	--	Y	Y	N
CCA 106	--	120306	INS Program Assistant	NA	03	T	1.00	N	see below^	--	Y	Y	N
** Incumbent is on leave without pay to accept exempt appointment to Pos.# 100690, NTE 12/01/14.													
^ Unbudgeted position funded by federal grant.													
CCA 110	11/26/11	19454	Legal Clerk	14	03	P	1.00	B	\$ 35,064.00	\$ 30,804.00	N	Y	N
CCA 110	07/01/11	25072	Investigator IV	22	13	P	1.00	B	\$ 67,488.00	\$ 67,488.00	N	Y	N
CCA 110	06/01/11	101721	Staff Attorney	NA	73	T	1.00	B	\$ 72,552.00	\$ 72,552.00	Y	Y	N
CCA 111	06/01/11	35709	Business Registration Asst	15	03	P	1.00	B	\$ 46,176.00	\$ 46,176.00	N	N	N
CCA 111	06/16/11	38868	Office Assistant III	08	03	P	1.00	B	\$ 28,836.00	\$ 28,836.00	N	Y	N
CCA 111	04/01/11	40365	Business Registration Asst	15	03	P	1.00	B	\$ 51,936.00	\$ 51,936.00	N	N	N
CCA 111	11/16/11	46581	Office Assistant III	08	03	P	1.00	B	\$ 31,212.00	\$ 29,652.00	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	10/01/09	49522	Business Registration Asst	15	03	P	1.00	B	\$ 33,756.00	\$ 44,412.00	N	N	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	08/01/11	101841	Staff Attorney	NA	73	P	1.00	B	\$ 82,680.00	\$ 78,552.00	Y	Y	N
CCA 111	06/01/11	102531	CRF Staff Attorney II	NA	73	T	1.00	B	\$ 71,592.00	\$ 71,592.00	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	N	N
CCA 112	10/01/09	12132	Investigator V	24	13	P	1.00	B	\$ 51,312.00	\$ 64,920.00	N	Y	N
CCA 112	10/17/11	12731	Investigator IV	22	13	P	1.00	B	\$ 45,576.00	\$ 43,296.00	N	Y	N
CCA 112	12/30/10	101307	Staff Attorney I	NA	73	P	1.00	B	\$ 62,652.00	\$ 65,004.00	Y	Y	N
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	02/02/11	103178	RI Investigator IV	NA	13	P	1.00	B	\$ 55,500.00	\$ 55,500.00	Y	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	07/18/11	119178	Office Assistant III	08	03	P	1.00	B	\$ 30,036.00	\$ 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	--	120233	RI Investigator IV	NA	13	T	1.00	B	\$ 45,576.00	--	Y	Y	N
CCA 191	09/16/11	112797	CCA Administrative Assistant	NA	73	P	1.00	B	\$ 66,732.00	\$ 61,680.00	Y	Y	N

Department of Commerce and Consumer Affairs
Personnel Separations

Table 12

<u>Prog ID/Org</u>	<u>Separation Date</u>	<u>Position Number</u>	<u>Position Title</u>	<u>SR Level</u>	<u>BU Code</u>	<u>T/P</u>	<u>MOF</u>	<u>Budgeted FTE</u>	<u>Budgeted Salary</u>	<u>Actual FTE</u>	<u>Actual Salary</u>
CCA 102/FA	01/07/11	102761	Cable Television Administrator	NA	93	P	B	1.00	\$ 97,644.00	1.00	\$ 97,644.00
CCA 103/HA	03/03/11	6318	Legal Clerk	14	03	P	B	1.00	\$ 36,516.00	1.00	\$ 36,516.00
CCA 103/HA	07/15/11	21378	Office Assistant IV	10	03	P	B	1.00	\$ 27,756.00	1.00	\$ 27,756.00
CCA 103/HA	12/30/10	100117	Administrator (CA)	NA	93	P	B	1.00	\$ 97,644.00	1.00	\$ 97,644.00
CCA 103/HA	01/31/11	106291	Telecommunications Analyst III	NA	13	P	B	1.00	\$ 72,996.00	1.00	\$ 72,996.00
CCA 104/BA	09/30/10	115	Financial Institutions Exam Mgr	EM7	35	P	B	1.00	\$ 79,104.00	1.00	\$ 84,972.00
CCA 104/BA	03/31/11	4295	Financial Institutions Examiner IV	27	23	P	B	1.00	\$ 78,984.00	1.00	\$ 78,984.00
CCA 104/BA	06/30/11	37194	Financial Inst Regulation Analyst II	24	13	P	B	1.00	\$ 64,920.00	1.00	\$ 64,920.00
CCA 104/BA	01/13/11	101611	Commissioner of Fin Institutions	NA	00	P	B	1.00	\$ 100,248.00	1.00	\$ 100,248.00
CCA 104/BA	06/30/11	102610	FI International Banking Examiner II	NA	13	P	B	1.00	\$ 67,488.00	1.00	\$ 67,488.00
CCA 104/BA	05/31/11	102765	Financial Institutions Exam Mgr	NA	93	P	B	1.00	\$ 83,412.00	1.00	\$ 83,412.00
CCA 104/BA	05/07/11	113141	Financial Institutions Specialist	NA	13	P	B	1.00	\$ 64,920.00	1.00	\$ 64,920.00
CCA 104/BA	05/31/11	118659	CRF Financial Institutions Examiner II	NA	13	P	B	1.00	\$ 57,708.00	1.00	\$ 57,708.00
CCA 104/BA	04/29/11	119533	CRF Financial Institutions Examiner I %	NA	13	T	B	--	--	1.00	\$ 49,332.00
% Position was abolished effective July 1, 2011, pursuant to Act 164, SLH 2011.											
CCA 105/GA	12/23/10	7934	Office Assistant V	12	03	P	B	1.00	\$ 35,064.00	1.00	\$ 35,064.00
CCA 105/GA	06/30/11	12732	Office Assistant IV	10	03	P	B	1.00	\$ 28,836.00	1.00	\$ 28,836.00
CCA 105/GA	03/15/11	24603	Office Assistant IV	10	03	P	B	1.00	\$ 30,036.00	1.00	\$ 30,036.00
CCA 105/GA	TOTAL	36375	Secretary II	14	03	P	B	1.00	\$ 41,040.00	1.00	\$ 38,988.00
CCA 105/GA	01/31/11	42126	Office Assistant IV	10	03	P	B	1.00	\$ 33,756.00	1.00	\$ 36,516.00
CCA 105/GA	06/30/11	42706	Regulatory Bds/Comms Admin Asst I	22	13	P	B	1.00	\$ 45,576.00	1.00	\$ 45,576.00
CCA 105/GA	05/31/11	43735	Office Assistant IV	10	03	P	B	1.00	\$ 31,212.00	1.00	\$ 31,212.00
CCA 105/GA	02/28/11	49273	Office Assistant V	12	03	P	B	1.00	\$ 44,412.00	1.00	\$ 44,412.00
CCA 105/GA	03/31/11	102754	CRF Program Specialist	NA	13	T	B	1.00	\$ 62,436.00	1.00	\$ 62,436.00
CCA 105/GA	08/23/10	110961	CRF Program Specialist	NA	13	T	B	1.00	\$ 51,300.00	1.00	\$ 66,060.00
CCA 105/GA	10/16/11	118940	Office Assistant III	08	03	T	T	1.00	\$ 30,036.00	1.00	\$ 28,536.00
CCA 105/GA	08/26/11	118941	Office Assistant III	08	03	T	T	1.00	\$ 25,668.00	1.00	\$ 24,384.00
CCA 106/EA	12/30/10	15542	Insurance Rate & Policy Analyst IV	22	13	P	B	1.00	\$ 64,920.00	1.00	\$ 64,920.00
CCA 106/EA	10/31/11	22241	Investigator III	20	13	P	B	1.00	\$ 55,500.00	1.00	\$ 52,728.00

Department of Commerce and Consumer Affairs
Personnel Separations

Table 12

<u>Prog ID/Org</u>	<u>Separation Date</u>	<u>Position Number</u>	<u>Position Title</u>	<u>SR Level</u>	<u>BU Code</u>	<u>T/P</u>	<u>MOF</u>	<u>Budgeted FTE</u>	<u>Budgeted Salary</u>	<u>Actual FTE</u>	<u>Actual Salary</u>
CCA 106/EA	02/28/11	25055	Secretary III	16	63	P	B	1.00	\$ 42,684.00	1.00	\$ 42,684.00
CCA 106/EA	10/03/11	110211	IRF Rate & Policy Analyst	NA	13	P	B	1.00	\$ 51,312.00	1.00	\$ 48,744.00
CCA 106/EA	12/06/10	110212	IRF Education Specialist	NA	13	P	B	1.00	\$ 60,816.00	1.00	\$ 60,816.00
CCA 106/EA	05/02/11	110317	CRF Rate & Policy Analyst IV	NA	13	P	B	1.00	\$ 51,312.00	1.00	\$ 51,312.00
CCA 106/EA	01/31/11	110570	Insurance Examiner III	26	13	P	B	1.00	\$ 73,044.00	1.00	\$ 73,044.00
CCA 106/EA	12/06/10	110696	IRF Insurance Examiner III	NA	13	P	B	1.00	\$ 62,424.00	1.00	\$ 62,424.00
CCA 106/EA	01/02/11	112401	Insurance Rate & Policy Analyst III	20	13	P	B	1.00	\$ 53,352.00	1.00	\$ 53,352.00
CCA 106/EA	10/27/10	112455	CIAF Insurance Examiner II	NA	13	P	B	1.00	\$ 66,900.00	1.00	\$ 66,900.00
CCA 106/EA	11/15/10	118103	CIAF Insurance Examiner II	NA	13	P	B	1.00	\$ 62,400.00	1.00	\$ 62,400.00
CCA 106/EA	10/31/11	120305	INS Researcher	NA	13	T	N	--	see below^	1.00	\$ 61,680.00
			^ Unbudgeted position funded by federal grant.								
CCA 110/DA	06/15/11	19454	Legal Clerk	14	03	P	B	1.00	\$ 35,064.00	1.00	\$ 35,064.00
CCA 110/DA	11/25/11	19454	Legal Clerk	14	03	P	B	1.00	\$ 35,064.00	1.00	\$ 30,804.00
CCA 110/DA	06/30/11	25072	Investigator IV	22	13	P	B	1.00	\$ 67,488.00	1.00	\$ 67,488.00
CCA 110/DA	05/31/11	100350	Consumer Protection Director	NA	93	P	B	1.00	\$ 97,644.00	1.00	\$ 97,644.00
CCA 110/DA	05/31/11	101721	Staff Attorney	NA	73	T	B	1.00	\$ 72,552.00	1.00	\$ 72,552.00
CCA 111/CA	11/15/10	21379	Business Registration Supervisor	17	04	P	B	1.00	\$ 54,012.00	1.00	\$ 54,012.00
CCA 111/CA	11/30/11	29154	Business Registration Assistant	15	03	P	B	1.00	\$ 51,936.00	1.00	\$ 49,344.00
CCA 111/CA	05/31/11	35709	Business Registration Assistant	15	03	P	B	1.00	\$ 46,176.00	1.00	\$ 46,176.00
CCA 111/CA	11/30/11	38510	Office Assistant III	08	03	P	B	1.00	\$ 26,700.00	1.00	\$ 25,368.00
CCA 111/CA	06/15/11	38868	Office Assistant III	08	03	P	B	1.00	\$ 28,836.00	1.00	\$ 28,836.00
CCA 111/CA	11/30/11	38869	Legal Clerk	14	03	P	B	1.00	\$ 32,424.00	1.00	\$ 33,312.00
CCA 111/CA	11/30/10	40362	Office Assistant III	08	03	P	B	1.00	\$ 30,036.00	1.00	\$ 30,036.00
CCA 111/CA	03/31/11	40365	Business Registration Assistant	15	03	P	B	1.00	\$ 51,936.00	1.00	\$ 51,936.00
CCA 111/CA	11/15/11	46581	Office Assistant III	08	03	P	B	1.00	\$ 31,212.00	1.00	\$ 29,652.00
CCA 111/CA	07/31/11	101841	Staff Attorney	NA	73	P	B	1.00	\$ 82,680.00	1.00	\$ 78,552.00
CCA 111/CA	05/31/11	102531	CRF Staff Attorney II	NA	73	T	B	1.00	\$ 71,592.00	1.00	\$ 71,592.00
CCA 111/CA	08/15/11	117393	Securities Education Assistant	NA	03	P	B	1.00	\$ 33,756.00	1.00	\$ 32,064.00
CCA 112/AB	10/16/11	12731	Investigator IV	22	13	P	B	1.00	\$ 45,576.00	1.00	\$ 43,296.00
CCA 112/AB	12/29/10	101307	Staff Attorney I	NA	73	P	B	1.00	\$ 62,652.00	1.00	\$ 65,004.00
CCA 112/AB	04/25/11	101312	RI Investigator IV	NA	13	P	B	1.00	\$ 45,576.00	1.00	\$ 45,576.00

Department of Commerce and Consumer Affairs
Personnel Separations

Table 12

<u>Prog ID/Org</u>	<u>Separation Date</u>	<u>Position Number</u>	<u>Position Title</u>	<u>SR Level</u>	<u>BU Code</u>	<u>T/P</u>	<u>MOF</u>	<u>Budgeted FTE</u>	<u>Budgeted Salary</u>	<u>Actual FTE</u>	<u>Actual Salary</u>	
CCA 112/AB	02/01/11	103178	RI Investigator IV	NA	13	P	B	1.00	\$ 55,500.00	1.00	\$ 55,500.00	
CCA 112/AB	08/31/10	118461	Investigator IV	22	13	P	B	1.00	\$ 44,412.00	1.00	\$ 55,500.00	
CCA 112/AB	05/31/11	118461	Investigator IV	22	13	P	B	1.00	\$ 44,412.00	1.00	\$ 45,576.00	
CCA 112/AB	09/15/11	118464	Investigator IV	22	13	P	B	1.00	\$ 60,024.00	1.00	\$ 57,024.00	
CCA 112/AB	06/30/11	118502	Investigator IV	22	13	P	B	1.00	\$ 60,024.00	1.00	\$ 60,024.00	
CCA 112/AB	12/30/10	118552	Legal Clerk	14	03	P	B	1.00	\$ 32,424.00	1.00	\$ 32,424.00	
CCA 112/AB	02/22/11	118627	Office Assistant III	08	03	P	B	1.00	\$ 26,700.00	1.00	\$ 26,700.00	
CCA 112/AB	06/18/11	119164	RI Investigator IV	NA	13	T	B	1.00	\$ 51,312.00	1.00	\$ 51,312.00	
CCA 112/AB	07/17/11	119178	Office Assistant III	08	03	P	B	1.00	\$ 30,036.00	1.00	\$ 28,536.00	
CCA 191/AA	05/31/11	39806	Program Budget Analyst IV	22	73	P	B	1.00	\$ 64,920.00	1.00	\$ 64,920.00	
CCA 191/AA	12/06/10	100127	Director	NA	00	P	B	1.00	\$ 108,972.00	1.00	\$ 108,972.00	
CCA 191/AA	11/30/10	100897	Deputy Director	NA	00	P	B	1.00	\$ 100,248.00	1.00	\$ 100,248.00	
CCA 191/AA	09/30/10	106003	Legislative/Clerical Assistant @	NA	03	T	B	1.00	\$ 46,212.00	1.00	\$ 46,212.00	
CCA 191/AA	11/30/10	112797	CCA Administrative Assistant	NA	73	P	B	1.00	\$ 66,732.00	1.00	\$ 66,732.00	
CCA 191/AA	09/15/11	112797	CCA Administrative Assistant	NA	73	P	B	1.00	\$ 66,732.00	1.00	\$ 61,680.00	
CCA 191/AH	08/23/11	119511	Legal Clerk (vicing for #119020)	14	63	T	B	--	see below*	--	\$15.59	
CCA 191/AH	02/28/11	120056	Hearings Officer (vicing for #100563)	NA	73	T	B	--	see below**	--	\$ 72,000.00	
			@ Position count was transferred from CCA 191 to CCA 106 effective July 1, 2011, pursuant to Act 164, SLH 2011.									
			* The vicing position is not budgeted; the FY 11-12 Budgeted Salary for Position No. 119020 is \$46,176.									
			The position was filled by 89-day non-civil service appointee, paid on a hourly basis.									
			** The vicing position is not budgeted; the FY 11-12 Budgeted Salary for Position No. 100563 is \$83,280.									

Department of Commerce and Consume Affairs
New Hires

Table 13

<u>Prog ID/Org</u>	<u>New Hire Effective Date</u>	<u>Position Number</u>	<u>Position Title</u>	<u>SR Level</u>	<u>BU Code</u>	<u>T/P</u>	<u>MOF</u>	<u>Budgeted FTE</u>	<u>Budgeted Salary</u>	<u>Actual FTE</u>	<u>Actual Salary</u>
CCA 102/FA	09/06/11	102761	Cable Television Administrator	NA	93	P	B	1.00	\$ 97,644.00	1.00	\$ 92,760.00
CCA 102/FA	04/01/11	120245	CATV Program Specialist	NA	13	T	B	1.00	\$ 70,000.00	1.00	\$ 64,116.00
CCA 102/FA	08/17/11	120246	CATV Program Specialist	NA	13	T	B	1.00	\$ 70,000.00	1.00	\$ 72,168.00
CCA 103/HA	07/01/10	2792	PU/Transportation Specialist	28	13	P	B	1.00	\$ 62,424.00	1.00	\$ 62,424.00
CCA 103/HA	10/03/11	6318	Legal Clerk	14	03	P	B	1.00	\$ 36,516.00	1.00	\$ 38,988.00
CCA 103/HA	03/16/11	15984	PU Rate Analyst V	24	13	P	B	1.00	\$ 51,312.00	1.00	\$ 48,744.00
CCA 103/HA	10/01/10	21378	Office Assistant IV	10	03	P	B	1.00	\$ 27,756.00	1.00	\$ 27,756.00
CCA 103/HA	10/17/11	21378	Office Assistant IV	10	03	P	B	1.00	\$ 27,756.00	1.00	\$ 30,804.00
CCA 103/HA	01/03/11	100117	Administrator, CA	NA	93	P	B	1.00	\$ 97,644.00	1.00	\$ 95,232.00
CCA 104/BA	07/18/11	26272	Office Assistant III	08	03	P	B	1.00	\$ 25,668.00	1.00	\$ 24,384.00
CCA 104/BA	01/18/11	101611	Commissioner of Financial Institutions	NA	00	P	B	1.00	\$ 100,248.00	1.00	\$ 95,232.00
CCA 104/BA	06/16/11	113141	Financial Institutions Specialist	NA	13	P	B	1.00	\$ 64,920.00	1.00	\$ 64,116.00
CCA 104/BA	07/18/11	119529	CRF Financial Institutions Examiner IV	NA	13	P	B	1.00	\$ 75,960.00	1.00	\$ 61,680.00
CCA 104/BA	03/16/11	119530	CRF Financial Institutions Examiner II	NA	13	P	B	1.00	\$ 67,488.00	1.00	\$ 59,304.00
CCA 104/BA	09/01/10	119531	CRF Financial Institutions Examiner II	NA	13	P	B	1.00	\$ 62,424.00	1.00	\$ 59,304.00
CCA 104/BA	12/01/10	119532	CRF Financial Institutions Examiner I	NA	13	P	B	1.00	\$ 62,424.00	1.00	\$ 46,860.00
CCA 104/BA	01/18/11	119533	CRF Financial Institutions Examiner I	NA	13	T	B	--	--	1.00	\$ 49,332.00
CCA 105/GA	11/21/11	26925	Regulatory Bds/Comms Admin Asst I	22	13	P	B	1.00	\$ 45,576.00	1.00	\$ 43,296.00
CCA 105/GA	01/03/11	42126	Office Assistant IV	10	03	P	B	1.00	\$ 33,756.00	1.00	\$ 36,516.00
CCA 105/GA	11/01/11	42706	Regulatory Bds/Comms Admin Asst I	22	13	P	B	1.00	\$ 45,576.00	1.00	\$ 57,024.00
CCA 105/GA	TOTAL	108008	PVL Secretary II	NA	03	T	B	1.00	\$ 32,424.00	1.00	\$ 36,072.00
CCA 105/GA	07/18/11	118936	Office Assistant IV	10	03	T	B	1.00	\$ 27,756.00	1.00	\$ 27,756.00
CCA 105/GA	07/01/11	118941	Office Assistant III	08	03	T	T	1.00	\$ 25,668.00	1.00	\$ 24,384.00
CCA 105/GA	06/01/11	118944	Office Assistant IV	10	03	T	T	1.00	\$ 27,756.00	1.00	\$ 26,364.00
CCA 106/EA	10/03/11	5913	Office Assistant IV	10	03	P	B	1.00	\$ 27,756.00	1.00	\$ 26,364.00
CCA 106/EA	06/16/11	25145	Insurance Rate & Policy Analyst IV	22	13	P	B	1.00	\$ 53,352.00	1.00	\$ 48,744.00
CCA 106/EA	09/16/11	42121	Office Assistant III	08	03	P	B	1.00	\$ 25,668.00	1.00	\$ 24,384.00
CCA 106/EA	10/17/11	110212	CRF Multi-Media Education Specialist	NA	13	P	B	1.00	\$ 60,816.00	1.00	\$ 72,168.00
CCA 106/EA	10/01/10	110445	IRF Staff Attorney III	NA	73	P	B	1.00	\$ 72,996.00	1.00	\$ 69,396.00
CCA 106/EA	07/01/11	110609	Supervising Forensic Investigator V	NA	13	P	B	1.00	\$ 67,488.00	1.00	\$ 64,152.00
CCA 106/EA	08/12/11	110696	IRF Insurance Examiner III	NA	13	P	B	1.00	\$ 62,424.00	1.00	\$ 72,168.00
CCA 106/EA	10/04/11	112401	Insurance Rate & Policy Analyst IV	22	13	P	B	1.00	\$ 53,352.00	1.00	\$ 48,744.00

Department of Commerce and Consume Affairs
New Hires

Table 13

<u>Prog ID/Org</u>	<u>New Hire Effective Date</u>	<u>Position Number</u>	<u>Position Title</u>	<u>SR Level</u>	<u>BU Code</u>	<u>T/P</u>	<u>MOF</u>	<u>Budgeted FTE</u>	<u>Budgeted Salary</u>	<u>Actual FTE</u>	<u>Actual Salary</u>
CCA 106/EA	01/18/11	112455	CIAF Insurance Examiner I	NA	13	P	B	1.00	\$ 66,900.00	1.00	\$ 52,260.00
CCA 106/EA	06/16/11	118103	CIAF Insurance Examiner II	NA	13	P	B	1.00	\$ 62,400.00	1.00	\$ 61,560.00
CCA 106/EA	01/18/11	118104	CIAF Insurance Examiner II	NA	13	P	B	1.00	\$ 59,400.00	1.00	\$ 61,560.00
CCA 106/EA	04/18/11	120223	IRF Staff Attorney (vicing for #101970)	NA	73	T	B	--	see below*	--	\$ 69,360.00
CCA 106/EA	09/26/11	120304	INS Researcher	NA	13	T	N	--	see below^	1.00	\$ 57,700.00
CCA 106/EA	11/01/11	120305	INS Researcher	NA	13	T	N	--	see below^	1.00	\$ 48,744.00
* The vicing position is not budgeted; the FY 11 Budgeted Salary for Position No. 101970 is \$76,428.00.											
^ Unbudgeted position funded by federal grant.											
CCA 110/DA	09/19/11	19454	Legal Clerk	14	03	P	B	1.00	\$ 35,064.00	1.00	\$ 30,804.00
CCA 110/DA	01/03/11	28952	Investigator IV	22	13	P	B	1.00	\$ 45,576.00	1.00	\$ 45,036.00
CCA 111/CA	08/16/11	40362	Office Assistant III	08	03	P	B	1.00	\$ 30,036.00	1.00	\$ 24,384.00
CCA 111/CA	07/06/11	46584	Office Assistant III	08	03	P	B	1.00	\$ 25,668.00	1.00	\$ 24,384.00
CCA 111/CA	09/01/11	102159	CRF Staff Attorney	NA	73	T	B	1.00	\$ 68,388.00	1.00	\$ 70,008.00
CCA 111/CA	08/17/11	102532	CRF Staff Attorney III	NA	73	T	B	1.00	\$ 72,996.00	1.00	\$ 70,008.00
CCA 111/CA	09/26/11	120356	Office Assistant III (vicing for #46581)	08	63	T	B	--	see below**	--	\$11.72
** The vicing position is not budgeted; the FY 11 Budgeted Salary for Position No. 46581 is \$31,212.00.											
Position is filled by 89-day non-civil service appointee, paid on an hourly basis.											
CCA 112/AB	01/03/11	12731	Investigator IV	22	13	P	B	1.00	\$ 45,576.00	1.00	\$ 43,296.00
CCA 112/AB	11/16/10	101307	Staff Attorney I	NA	73	P	B	1.00	\$ 62,652.00	1.00	\$ 65,004.00
CCA 112/AB	01/03/11	118461	Investigator IV	22	13	P	B	1.00	\$ 44,412.00	1.00	\$ 45,576.00
CCA 112/AB	10/17/11	118502	Investigator IV	22	13	P	B	1.00	\$ 60,024.00	1.00	\$ 43,296.00
CCA 112/AB	11/01/11	118552	Legal Clerk	14	03	P	B	1.00	\$ 32,424.00	1.00	\$ 30,804.00
CCA 112/AB	11/01/11	119164	RI Investigator IV	NA	13	T	B	1.00	\$ 51,312.00	1.00	\$ 46,860.00
CCA 191/AA	08/16/11	11249	Account Clerk III	11	03	P	B	1.00	\$ 31,212.00	1.00	\$ 34,692.00
CCA 191/AA	07/18/11	39806	Program Budget Analyst IV	22	73	P	B	1.00	\$ 64,920.00	1.00	\$ 45,036.00
CCA 191/AA	12/20/10	100127	Director	NA	00	P	B	1.00	\$ 108,972.00	1.00	\$ 108,972.00
CCA 191/AA	01/18/11	100897	Deputy Director	NA	00	P	B	1.00	\$ 100,248.00	1.00	\$ 100,248.00
CCA 191/AA	03/01/11	112797	CCA Administrative Assistant	NA	73	P	B	1.00	\$ 66,732.00	1.00	\$ 61,680.00
CCA 191/AH	03/01/11	100887	Supervising Hearings Officer	NA	93	P	B	1.00	\$ 100,248.00	1.00	\$ 87,816.00
CCA 191/AH	09/16/11	119019	Legal Clerk	14	03	T	B	1.00	\$ 32,424.00	1.00	\$ 30,804.00
CCA 191/AH	08/16/10	120056	Hearings Officer (vicing for #100564)	NA	73	T	B	--	see below***	--	\$ 72,000.00

Department of Commerce and Consume Affairs
New Hires

Table 13

<u>Prog ID/Org</u>	<u>New Hire Effective Date</u>	<u>Position Number</u>	<u>Position Title</u>	<u>SR Level</u>	<u>BU Code</u>	<u>T/P</u>	<u>MOF</u>	<u>Budgeted FTE</u>	<u>Budgeted Salary</u>	<u>Actual FTE</u>	<u>Actual Salary</u>
CCA 191/AH	07/01/11	120296	OAH Program Specialist	NA	13	T	B	--	--	1.00	\$ 48,744.00
CCA 191/AH	08/29/11	120297	OAH Office Assistant IV	NA	03	T	B	--	--	1.00	\$ 37,512.00
CCA 191/AI	01/10/11	111109	ISCO Information Technology Spclt IV	NA	13	P	B	1.00	\$ 73,044.00	1.00	\$ 69,396.00
*** The vicing position is not budgeted; the FY 11 Budgeted Salary for Position No. 100564 is \$83,280.00.											

Department of Commerce and Consumer Affairs
RIF Related Grievances

Table 14

<u>Prog ID/Org</u>	<u>Position Number</u>	<u>Position Title</u>	<u>SR Level</u>	<u>BU</u>	<u>T/P</u>	<u>MOE</u>	<u>FTE</u>	<u>RIF Date</u>	<u>Grievance Date</u>	<u>Current Status</u>
NONE										

Department of Commerce and Consumer Affairs
Expenditures Exceeding Appropriation Ceilings

Table 15

<u>Prog ID</u>	<u>MOF</u>	<u>Date of Increase</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
Federal Grants

Table 16

<u>Prog ID</u>	<u>CFDA No.</u>	<u>Award Description</u>	<u>Awarding Federal Agency</u>	<u>Anticipated or Actual Date of Award</u>	<u>Anticipated or Actual Award Amount</u>	<u>State Fiscal Year</u>	<u>State Matching Requirement or Other Commitment (Describe)</u>	<u>Anticipated Reduction or Discontinuence (Y/N)</u>	<u>Comments</u>
CCA-106	93.511	2010 Grants to States for Health Insurance Premium Review-Cycle I	Dept. of Health and Human Services	8/9/2010	\$ 1,000,000.00	FY11-FY13	None	Y	No additional State resources anticipated.
CCA-106	93.525	State Planning and Establishment Grants for	Dept. of Health and Human	9/30/2010	\$ 1,000,000.00	FY11-FY13	None	Y	No additional State resources anticipated.
CCA-106	93.511	Grants to Support States in Health Insurance Rate Review Grant Cycle II	Dept. of Health and Human Services	10/1/2011	\$ 3,000,000.00	FY12-FY15	None	Y	May require State resources to maintain rate review of health insurance after the exhaustion of federal funds in 2014.
CCA-106	93.525	Cooperative Agreements to Support Establishment of State-Operated Health Insurance Exchanges	Dept. of Health and Human Services	11/29/2011	\$ 14,440,144.00	FY12-FY13	None	Y	No additional State resources anticipated, exchange operations expected to be self sufficient.

Department of Commerce and Consumer Affairs
 Intradepartmental Transfer of Funds

Table 17

<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
 Interdepartmental Transfer of Funds

Table 18

<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>Transfer Category LS/PR/O</u>	<u>Reason for Transfer (O - Other)</u>	<u>Recurring (Y/N)</u>
NONE									

Department of Commerce and Consumer Affairs
Active Contracts

Table 19

Prog ID	MOF	Amount	Frequency (M/A/O)	Max Value	Outstanding Balance	Date Executed	From	To	Organization	Category G/S/E/L	Description	Explanation of How Contract is Monitored	POS Y/N
CCA102	B	\$ 540,918.50	O	\$ 750,000.00	\$ 209,081.50	06/30/08	07/01/08	06/30/13	Squire, Sanders & Dempsey, LLP	S	Wash. DC attorneys who deal w/FCC	CATV monitors invoices for accuracy & completeness.	Y
CCA102	B	\$ 66,002.66	O	\$ 360,000.00	\$ 293,997.34	06/28/10	07/01/10	06/30/13	Merina & Company, LLP.	S	Finan. Consultants for cable operators	CATV monitors invoices for accuracy & completeness.	Y
CCA102	B	\$ 53,763.75	O	\$ 1,000,000.00	\$ 946,236.25	06/24/11	07/01/11	06/30/16	Merina & Company, LLP.	S	Finan. Consultants for PEG organizations	CATV monitors invoices for accuracy & completeness.	Y
CCA103	B	VAR	M	\$ 63,830.00	\$ 2,229.17	09/23/11	09/23/11	11/01/12	Ben Johnson Associates, Inc.	S	To provide services in connection with the Hawaii Public Utilities Commission's ("HPUC") review and evaluation of the application filed by Young Brothers, Limited ("YB") for a general rate increase - Docket No. 2010-0171.	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	VAR	O	\$ 25,000.00	\$ 25,000.00	10/31/11	10/31/11	Resolution	Stephen G. Hill	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.	"	Y
CCA103	B	VAR	M	\$ 100,000.00	\$ 2,967.55	04/16/09	04/16/09	Resolution	O'Connor Playdon & Guben	S	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	\$ 84,614.77	O	\$ 108,489.00	\$ 23,874.23	12/01/06	12/01/06	06/30/12	Sawvel & Associates, Inc.	S	To provide services in connection with the Hawaii Public Utilities Commission's review and evaluation of the application filed by MECO for a general rate increase - Docket No. 2006-0387.	"	Y
CCA103	B	\$ 122,598.61	O	\$ 175,489.00	\$ 52,890.39	12/01/06	12/01/06	06/30/12	Sawvel & Associates, Inc.	S	To provide services in connection with the HPUC's proceeding to investigate the calculation of Schedule Q payment rates - Docket No. 2008-0069.	"	Y
CCA103	B	\$ 105,769.28	O	\$ 154,500.00	\$ 48,730.72	06/01/08	06/01/08	12/31/12	Sawvel & Associates, Inc.	S	To provide services in connection with the HPUC's investigation into the implementation of the following: intra-governmental wheeling of electricity - Docket No. 2007-0176 and feed-in tariffs - Docket No. 2008-0273.	"	Y
CCA103	B	\$ 160,252.14	O	\$ 166,550.00	\$ 6,297.86	06/01/08	06/01/08	12/31/12	Sawvel & 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

Department of Commerce and Consumer Affairs
Active Contracts

Table 19

Prog ID	MOF	Amount	Frequency (M/A/O)	Max Value	Outstanding Balance	Date Executed	From	To	Organization	Category G/S/E/L	Description	Explanation of How Contract is Monitored	POS Y/N
CCA103	B	\$ 205,999.47	O	\$ 213,700.00	\$ 7,700.53	12/31/09	12/31/09	12/31/12	Sawvel & 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. 2009-0163 and the application filed by HELCO for a general rate increase - Docket No. 2009-0164.	"	Y
CCA103	B	\$ 125,544.18	O	\$ 125,550.00	\$ 5.82	11/03/10	11/03/10	03/31/12	Sawvel & 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. 2009-0163 and the application filed by HELCO for a general rate increase - Docket No. 2009-0164.	"	Y
CCA103	B	\$ 44,949.81	O	\$ 100,000.00	\$ 55,050.19	09/26/11	09/26/11	Resolution	Sawvel & 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	\$ 112,681.25	O	\$ 119,000.00	\$ 6,318.75	04/14/10	04/14/10	06/30/12	Snavely King Majoros O'Connor & Bedell, Inc.	S	To provide services in connection with the HPUC's review and evaluation of the application for depreciation studies filed by Hawaii Electric Light Company, Inc. ("HELCO") - Docket No. 2009-0321; MECO - Docket No. 2009-0286; and Kauai Island Utility Cooperative ("KIUC") - Docket No. 2009-0050.	"	Y
CCA103	B	\$ 179,028.47	O	\$ 300,000.00	\$ 120,971.53	07/01/08	07/01/08	06/30/13	Squire Sanders Dempsey	S	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	\$ 12,225.00	O	\$ 15,000.00	\$ 2,775.00	12/01/06	12/01/06	06/30/12	Technical 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. 2006-0387.	"	Y
CCA103	B	\$ 44,950.00	O	\$ 52,700.00	\$ 7,750.00	06/01/08	06/01/08	12/31/12	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. 2008-0284.	"	Y
CCA103	B	\$ 47,100.00	O	\$ 55,800.00	\$ 8,700.00	12/15/09	12/15/09	12/31/12	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: KIUC - Docket No. 2009-0050; HELCO - Docket No. 2009-0164; and MECO - Docket No. 2009-0163.	"	Y

Department of Commerce and Consumer Affairs
Active Contracts

Table 19

Prog ID	MOF	Amount	Frequency (M/A/O)	Max Value	Outstanding Balance	Date Executed	From	To	Organization	Category G/S/E/L	Description	Explanation of How Contract is Monitored	POS Y/N
CCA103	B	\$ 19,607.50	O	\$ 23,000.00	\$ 3,392.50	11/03/10	11/03/10	03/31/12	Technical 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	\$ 144,412.46	O	\$ 186,397.00	\$ 41,984.54	12/01/06	12/01/06	06/30/12	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. 2006-0387.	"	Y
CCA103	B	\$ 361,172.51	O	\$ 375,694.00	\$ 14,521.49	06/01/08	06/01/08	12/31/12	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	\$ 198,026.58	O	\$ 251,624.00	\$ 53,597.42	05/21/09	05/21/09	04/30/12	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. 2009-0163.	"	Y
CCA103	B	\$ 172,317.24	O	\$ 197,404.00	\$ 25,086.76	05/21/09	05/21/09	04/30/12	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	\$ 192,489.94	O	\$ 196,590.00	\$ 4,100.06	11/03/10	11/03/10	03/31/12	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	\$ 44,547.50	O	\$ 49,555.00	\$ 5,007.50	05/27/11	05/27/11	09/30/12	Utilitech, Inc.	S	To provide services in connection with the HPUC's review and evaluation of the application filed by Young Brothers, Limited for a general rate increase - Docket No. 2010-0171.	"	Y
CCA103	B	\$ 68,082.94	O	\$ 197,225.00	\$ 129,142.06	09/14/11	09/14/11	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	VAR	M	\$ 24,000.00	\$ -	07/25/06	07/25/06	09/30/11	Xerox Corporation	E	Xerox 4110 Copier and Xerox 7655 Copier	Contract expired; in the process of procuring replacement copiers under WSCA.	N
CCA104	B	\$ 565.45	M	\$ 33,927.00	\$ 24,879.80	06/04/10	08/01/10	07/31/15	Canon Financial Services, Inc.	E	Lease of Canon IRA C5035 copier/facsimile/scanner	The lease terminates in 2015; prior to the termination of the lease DFI will find another lease for the equipment.	N

Department of Commerce and Consumer Affairs
Active Contracts

Table 19

Prog ID	MOF	Amount	Frequency (M/A/O)	Max Value	Outstanding Balance	Date Executed	From	To	Organization	Category G/S/E/L	Description	Explanation of How Contract is Monitored	POS Y/N
CCA-105	B	\$ 199,286.46	O	\$ 252,067.50	\$ 52,781.04	05/01/08	05/01/08	04/30/12	Century Computers, Inc.	S	PVL requires the continuation of 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 in the basement of our building.	A staff person assigned to this project monitors the contract.	Y
CCA-105	B	\$ 5,021.46	O	\$ 21,000.00	\$ 15,978.54	07/01/11	07/01/11	06/30/12	Ohata Chun Yuen LLP	S	Review and comment on approximately 80 audited financial statements and actuarial reports submitted by cemetery and pre-need funeral authorities.	The Executive Officer of the Cemetery Program monitors the contract.	Y
CCA-105	B	\$ 285.12	M	N/A	N/A	08/09/10	11/05/10	Open	Security Armored Car & Courier Service of Hawaii	S	Security Courier Service transports commercial and other business papers between DAGS/ICSD and PVL's Licensing Branch daily.	A staff person monitors the contract.	Y
CCA-105	B	\$ 1,383.73	M	\$ 83,023.80	\$ 74,721.42	04/12/11	07/01/11	06/30/16	Xerox Corporation	E	PVL leases a copier/printer/scanner model 4112CP from Xerox Corporation.	A staff person monitors the contract.	N
CCA-105	T	\$ 1,160.00	M	\$ 69,600.00	\$ 34,800.00	08/27/08	07/01/09	06/30/14	Xerox Corporation	E	PVL-Real Estate Branch leases a copier/printer/scanner model 4112CP from Xerox Corporation.	A staff person monitors the contract.	N
CCA-105	T	\$ -	O	\$ 49,000.00	\$ 49,000.00	07/01/11	07/01/11	06/30/12	Community Associations Institute Hawaii Chapter	S	The Contractor shall provide at least six seminars or educational sessions on Oahu and one on the Big Island.	Condominium staff in the Real Estate Branch monitor the contract.	Y
CCA-105	T	VAR	O	\$ 200,000.00	N/A	11/01/07	11/01/07	Open	Gary BKT Lee, Esq.	S	Renders such legal actions as necessary in matters relating to, or involving the Contractors Recovery Fund. These services include entering appearances in court, filing answers or other pleadings, conducting investigations, conducting legal research, defending legal actions, making recommendations to or advising the Contractors License Board on matters relating to the Fund, and taking whatever other action the Contractors License Board or counsel may deem appropriate on behalf of the fund.	The Executive Officer of the Contractors License Board monitors the contract.	Y
CCA-106	B	\$ 824.61	O	\$ 54,000.00	\$ 18,000.00	04/27/09	04/24/09	04/23/12	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
CCA-106	B	\$ 123,273.29	O	\$ 145,000.00	\$ 21,726.71	05/08/09	04/17/09	Duration of Matter	Daley & Heft, LLP	S	Special Deputy Attorney General services	Completed work reviewed for accuracy and completeness	Y
CCA-106	B	\$ 1,042,880.97	O	\$ 1,160,000.00	\$ 117,119.03	11/19/09	12/01/09	Duration of Matter	Kobayashi, Sugita & Goda, LLP	S	Special Deputy Attorney General services	Completed work reviewed for accuracy and completeness	Y

Department of Commerce and Consumer Affairs
Active Contracts

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CCA-106	B	\$ 30,732.46	O	\$ 150,000.00	\$ 119,267.54	04/12/10	04/15/10	04/14/13	Martin M. Simons	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
CCA-106	B	\$ 199,078.30	O	\$ 200,000.00	\$ 921.70	10/14/10	10/25/10	12/31/11	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
CCA-106	B	\$ 49,999.78	O	\$ 50,000.00	\$ 0.22	11/18/10	12/01/10	12/31/11	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
CCA-106	B	\$ 395,218.44	O	\$ 450,000.00	\$ 54,781.56	11/03/10	11/05/10	12/31/11	Accuity LLP	S	Provide auditing and accounting services for financial examinations of domestic insurers.	Bi-weekly status reports received and completed reports reviewed	Y
CCA-106	B	\$ 66,092.00	O	\$ 200,000.00	\$ 133,908.00	02/18/11	01/01/11	12/31/11	Muetterties Benntt & Associates	S	Services of an actuary to assist in analyzing rate filings for health insurance products.	Completed work reviewed for accuracy and completeness	Y
CCA-106	B	\$ -	O	\$ 6,500.00	\$ 6,500.00	10/26/11	11/01/11	06/30/12	Taylor-Walker & Associates	S	Assist with risk-focused examination of risk retention groups	Periodic status reports received and completed reports reviewed	Y
CCA-110	B	\$ 395.12	M	\$ 23,707.20	\$ 19,360.88	02/01/11	2/2011	01/30/16	Xerox Corp.	E	Maintenance for leased copier one Admin Legal.	Review monthly invoice and pay	N
CCA-110	B	\$ 79.64	M	\$ 4,778.40	\$ 4,380.20	07/20/11	07/20/11	07/30/16	Xerox Corp.	E	Maintenance for leased copier one Admin Legal-copier and fax/one Investigations.	Review monthly invoice and pay	N
CCA-110	B	\$ 642.00	M	\$ 38,520.00	\$ 27,606.00	07/22/10	07/22/10	07/22/15	Pitney Bowes	E	Postage Machine	Review monthly invoice and pay	N
CCA-110	B	\$ 1,932.84	M	\$23,194.08/yr	\$ 12,563.28	Currently going through negotiations . Lease has been in hold over clause.			Dept. of Water Supply County of HI	L	Office rental space shared w/RICO in Hilo	Review monthly invoice and pay	N
CCA-110	B	\$ 83.72	A	\$ 83.72	\$ -	07/29/11	07/29/11	07/28/12	Time Clocks Hawaii	S	Maintenance for one year date/time stamp machine for Admin/legal	Review when completed fix or maintenance	Y
CCA-111	B	\$ 47,500.00	O	\$ 83,000.00	\$ 35,500.00	12/01/10	12/01/10	11/30/12	Hawaii Council on Economic Education (HCEE)	S	A training for teachers that teaches Hawaii's students grades 3-12 a real life interactive simulation about how the U.S. Financial Market works and how to make wise investment decisions.	A report is required at the end of each school semester which includes information on the number of participants trained (both teachers and students) and the level of training they received (beginner or advanced)	Y
CCA112	B	\$ 125.00	M	\$ 1,500.00	\$ 750.00	07/01/11	07/01/11	06/30/12	Jacob Kamibayashi	S	Janitorial Service for Maui RICO Office	Review Monthly	Y
CCA112	B	\$ 203.12	M	\$ 2,437.44	\$ 1,218.00	07/01/11	07/01/11	06/30/12	Pacific All American	S	Janitorial Service for Kona RICO Office	Review Monthly	Y
CCA112	B	\$ 1,821.21	M	\$ 109,272.60	\$ 91,060.50	12/25/04	01/11/11	12/31/16	Xerox Corporation	S	Maintenance for leased copiers three oahu copiers/one Hilo/one Kona/one Maui/one Kauai	Review when completed fix or maintenance	Y
CCA112	B	\$ 93.45	A	\$ 93.45	\$ -	05/09/11	05/09/11	05/08/12	Time Clocks Hawaii	S	Maintenance for one year date/time stamp machine for Admin/legal	Review when completed fix or maintenance	Y

Department of Commerce and Consumer Affairs
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Table 19

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CCA112	B	\$ 148.43	A	\$ 148.43	\$ -	10/27/11	10/27/11	10/26/12	Time Clocks Hawaii	S	Maintenance for one year date/time stamp machine for Investigation	Review when completed fix or maintenance	Y
CCA112	B	\$ 148.00	A	\$ 148.00	\$ -	12/08/11	12/08/11	12/07/12	Time Clocks Hawaii	S	Maintenance for one year date/time stamp machine for CRC	Review when completed maintenance	Y
CCA112	B	\$ 1,113.00	A	\$ 1,113.00	\$ -	07/01/11	07/01/11	06/30/12	Pahala Typewriter & Computer	S	Maintenance for seven Oahu Typewriters	Review when completed fix or maintenance	Y
CCA112	B	\$ 1,036.00	A	\$ 1,036.00	\$ -	07/01/11	07/01/11	06/30/12	Alexander Brothers	S	Maintenance for five Oahu shredders	Review when completed fix or maintenance	Y
CCA112	B	\$ 148.00	A	\$ 148.00	\$ -	07/01/11	07/01/11	06/30/12	Essential Enterprise	S	Maintenance for one Kona typewriter	Review when completed fix or maintenance	Y
CCA112	B	\$ 1,127.25	M	\$13,529/yr	\$ 6,765.20	11/01/91	11/01/91	Holdover clause with DAGS Leasing	Puuone Development	L	Lease Rent Maui RICO Office	Review monthly invoices and pay	N
CCA112	B	\$ 2,040.56	M	\$ 122,433.60	\$ 66,605.04	12/01/09	12/01/09	11/30/14	Signature Services	L	Lease Rent Kona RICO Office	Review monthly invoices and pay	N
CCA112	B	\$ 82.29	M	\$ 987.48	\$ 493.74	07/01/11	07/01/11	06/30/12	Big Dogs A/C & Refrigeration	S	Maintenance monthly for cleaning and repairs for Maui RICO Office air conditioning.	Review when completed and fixed.	Y
CCA191	B	\$ 224.00	M	\$ 2,688.00	\$ 224.00	-	02/01/11	01/31/12	United Courier Services, Inc.	S	Armored Car Services	Monthly log, statement, & Online Account Activity	Y
CCA191	B	\$ 523.51	M	\$ 31,410.60	\$ 31,410.60	12/30/11	12/30/11	12/30/16	Xerox Corporation	E	Lease Charges for Copier Model 4112Cp	Monthly log & statement	N
CCA191	B	\$ 363.00	O	\$ 7,260.00	\$ 5,082.00	06/16/10	06/16/10	06/15/15	Pitney Bowes	E	Lease Letter Opener \$363.00 per quarter	Monthly log, statement, & Online Account Activity	N
CCA191	B	\$ 2,498.60	O	\$ 49,972.00	\$ 22,487.40	03/06/09	03/26/09	03/25/14	Pitney Bowes	E	Lease mailing system; Meter Machine \$2498.60 per quarter	Monthly log, statement, & Online Account Activity	N
CCA191	B	\$ 210.00	M	\$ 10,805.56	\$ 6,930.00	08/19/09, 01/13/11	09/29/09, 01/24/11	09/28/14, 01/23/16	Xerox Corporation	E	Lease Charges for Copier Model W5638	Monthly log, statement, & Online Account Activity	N
CCA191	B	\$ 1,410.00	A	\$ 1,410.00	\$ -	10/01/11	10/01/11	10/01/12	USPS	S	Yearly P O Box #541 Fee	Statement	Y
CCA191	B	\$ 1,892.36	A	\$ 1,892.36	\$ -	10/12/12	10/12/12	10/12/13	Toshiba Business Solutions	S	Maintenance Agreement for Risograph	Statement	Y
CCA191	B	\$700 per case	O	\$ 582,400.00	\$ 582,400.00	09/14/11	07/01/11	12/31/12	Mediation Center of the Pacific	S	Neutral Services Provider for Mortgage Foreclosure Dispute Resolution Program. \$31,618 start up costs	For unit cost contract, only units referred by OAH are paid	Y
CCA191	B	\$500 per case	O	\$ -	\$ -	09/29/11	07/01/11	06/30/14	West Hawaii Mediation Center and Ku'ikahi Mediation Center	S	Neutral Services Provider for Mortgage Foreclosure Disputes Resolution Program. \$2,000 start up costs	For unit cost contract only units referred by OAH are paid	Y
CCA191	B	12 % per Fee Transaction	M	\$ -	\$ -	09/23/11	09/23/11	09/30/14	Hawaii Information Consortium	G/S	Website development for Mortgage Foreclosure Dispute Resolution Program filings and fees, plus maintenance and hosting	Automatic e-mail notification	Y
CCA191	B	\$ 263.00	M	\$ 15,780.00	\$ 8,416.00	08/03/09	08/01/09	08/01/14	Canon Business Solution	E	Copier/Printer/Fax/Scanner	Monthly log, statement, & Online Account Activity	N
CCA191	B	\$ 316.23	M	\$ 18,973.80	\$ 6,324.60	08/28/08	08/28/08	08/28/13	Xerox Corporation	E	Lease charges for copier model WC7346P	Monthly log, statement, & Online Account Activity	N
CCA191	B	\$ 251.84	M	\$ 15,110.40	\$ 2,518.40	10/25/07	10/25/07	10/31/12	Xerox Corporation	E	Lease charges for copier model WC7328P	Monthly log, statement, & Online Account Activity	N

Department of Commerce and Consumer Affairs
CIP Summary

Table 20

<u>Priority</u>	<u>Project Title</u>	<u>FY13 \$\$\$</u>	<u>MOF</u>
NONE			

Department of Commerce and Consumer Affairs
Division Resources

Table 21

<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 22

<u>Year of Change</u> FY12/FY13	<u>Page Number</u>	<u>Description of Change</u>
NONE		