



DAVID Y. IGE
GOVERNOR

JOSH GREEN
LT. GOVERNOR

**STATE OF HAWAII
OFFICE OF THE DIRECTOR
DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS**

335 MERCHANT STREET, ROOM 310

P.O. Box 541

HONOLULU, HAWAII 96809

Phone Number: 586-2850

Fax Number: 586-2856

cca.hawaii.gov

CATHERINE P. AWAKUNI COLÓN
DIRECTOR

JO ANN M. UCHIDA TAKEUCHI
DEPUTY DIRECTOR

**PRESENTATION OF
THE DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS
BEFORE THE
SENATE COMMITTEES ON WAYS AND MEANS
AND
COMMERCE, CONSUMER PROTECTION AND HEALTH
BIENNIUM BUDGET REQUEST FOR FISCAL BIENNIUM 2019-2021
THE TWENTY-NINTH LEGISLATURE
INTERIM OF 2019
JANUARY 10, 2019**

Honorable Chair Dela Cruz, Vice Chair Keith-Agaran, and Members of the Senate Committee on Ways and Means, Honorable Chair Baker, Vice Chair Chang and Members of the Senate Committee on Commerce, Consumer Protection and Health.

I am Catherine Awakuni Colón, and I am the Director of the Department of Commerce and Consumer Affairs (“DCCA” or “Department”). I appreciate this opportunity to discuss the Department’s fiscal year (“FY”) 2019 budget with the members of the Committee.

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.

DCCA’s funding structure was established by the Legislature in 1996 through the creation of the compliance resolution fund (“CRF”). The CRF is the primary funding source for DCCA’s programs. The Department’s financial strategy is based on ensuring that divisions have revenues to pay their expenses and that they contribute equitably to departmental overhead costs, while maintaining sufficient reserves to address unexpected contingencies. The Legislature’s foresight to develop this self-sufficiency model has benefitted our customers and the public we serve and the State over many years. Self-sufficiency notwithstanding, strong

fiscal oversight continues to be important to the Department. Consistent with applicable law, the fees and revenue collected by the Department are provisioned for the purpose of delivering important commerce and consumer protection related services.

Toward that end, I appreciate the Committee's thorough review and consideration of the Department's budget.

Impact of Current Economic and Fiscal Conditions

The Department and its divisions continued throughout fiscal year ("FY") 2019 to address the challenges of operating in a quickly evolving consumer and business environment affected by technological advances and increased consumer needs. A number of critical decisions were reached by DCCA divisions and attached agencies during the past year, and the Department is working to ensure that its operational systems are shored up and any backlogs that may have built up in its different regulatory areas are receiving due attention. Major activity in communications (Oceanic Time Warner-Charter Communications merger), consumer safety prosecutions (Takata airbag case), energy/utilities (Next Era-Hawaiian Electric proposed merger), and health care (insurance rate determinations) were priorities of the Department this year, and these efforts required many of the responsible divisions and agencies to allocate added resources to resolving those issues while also handling their traditional regulatory responsibilities. In addition, consumer activity has been bolstered by a healthy economy in the State, resulting in greater demands on the Department to respond to consumer complaints and to process and review applications to engage in business activity by DCCA's professional and vocational licensing staff and enforcement arms like the Regulated Industries Complaints Office and the Office of Consumer Protection.

The past year also brought about a number of developments on the national political stage that may result in significant changes to existing programs and legal structures over legislative sessions to come, including potential overhauls of the nation's Affordable Care Act, energy and environmental regulation, and aspects of banking and financial services regulation put in place to build consumer protections in the wake of recent global economic downturns. The full impacts of these possible changes on Hawaii and its businesses and consumers are difficult to anticipate at this time, but each will certainly require careful monitoring to ensure those living and operating in the State are impacted in as positive a manner as possible.

The Department, thus, continues to take a selective approach when developing its budget that aims at addressing the essential needs of the Department, including general cost adjustments felt by all agencies, and makes requests to utilize resources in a manner that most efficiently allows DCCA to carry out its mission.

Federal Funds

None of the Department's programs have lost or are at risk of losing federal funds. One of the Department's federal grants that provide funding for work in the area of health

insurance – Grants to Support States in Health Insurance Rate Review – has been extended multiple times and is currently anticipated to expire on September 30, 2019 when all funds are scheduled to be exhausted.

Non-General Funds

Below is the link to the Department’s Non-General Funds report:

<https://cca.hawaii.gov/wp-content/uploads/2018/12/NGF-report-12-28-18.pdf>

Budget Requests

The Department formulated a budget that provides the resources necessary for our programs to perform their functions and meet their goals and objectives. Pursuant to instructions in Finance Memorandum 18-16 issued by the Department of Budget and Finance (“B&F”), notable requests in the current budget include:

- Increase in authorization for CCA 103 for one (1) additional in-house attorney; one (1) administrative specialist; three (3) program specialists to meet increased workload and cases before the Public Utilities Commission.
- The conversion of (2) Legal Clerks and (3) Hearings Officer positions from temporary to permanent status essential for the administration of contested case hearings that the Office of Administrative Hearings (OAH) conducts on a regular basis. OAH currently has four (4) Hearings Officers who preside over cases involving license disciplinary actions, license denials, disputes over the use of trade names and trademarks, securities violations, denials of personal injury protection benefits, violations of the laws governing the post-secondary education authorization, procurement appeals and disputes over Employees Retirement System member's eligibility for disability retirement benefits. This generates a high volume of legal and clerical work which involves the administration, processing and adjudicating of these cases in a timely manner. Our attempts to fill and retain these temporary positions has been very difficult.
- The conversion of (5) Investigators and (3) Staff Attorneys. The main role of these positions is to investigate and prosecute state securities law violations. The Branch has experienced an increase in cases and continues to see new and complicated financial fraud schemes. These positions are needed to effectively protect the residents of Hawaii from these frauds. Having these positions converted to permanent will help the Branch maintain the institutional knowledge held by the incumbents of the positions. There would be no impact to the budget as all positions would be removed as temporary positions but included as permanent positions for the same budgeted amount.
- A Trade off of (1) Staff Attorney for (1) Office Assistant position to staff the Legal Section of the Securities Enforcement Branch (Branch) in order to quickly and efficiently resolve cases involving state securities law violations. The main role of the staff attorneys is to prosecute state securities law violations. The Branch has

experienced an increase in cases and continues to see new and complicated financial fraud schemes. This position works with the Investigation Section of the Branch and its legal expertise is needed to effectively protect the residents of Hawaii from these frauds.

- An increase in of \$350,000 in FY20 and \$50,000 in FY21 for development, licenses and maintenance of a new system to replace the Regulated Industries Complaints Office's (RICO) current complaints management software. This enhancement will allow for automated complaints filing by the public, improve records maintenance, tracking and document retention and management and management report generation.
- In addressing the State Auditor's Report No. 18-05 of the Public Utilities Commission issued in February 2018, we are requesting an increase of \$500,000 in FY20 and \$2,060,000 in FY21 for development, licensing, maintenance and independent validation and verification (IVV) of an IT solution to address shortfalls in its Document Management System (DMS) and automate and improve workflows. This will allow us to develop and implement an IT Strategy that aligns with PUC's strategic plan and current needs, and which involves internal and external stakeholders, including the Consumer Advocate and to complete a request for information as soon as possible to avoid additional maintenance for the current system.
- As part of our ongoing design and replacement of the Professional and Vocational Licensing (PVL) Division's current Applicant/Licensee Integrated Automated System (ALIAS), we are requesting an increase of \$300,000 to fund for recurring licenses and maintenance costs for this new system.
- An increase of \$40,000 to fund for recurring license and annual maintenance cost for the Division of Financial Institution's (DFI) Entellitrak regulatory system.
- Funding for \$100,000 in FY20 and \$25,000 in FY 21 for the purchase of software and recurring maintenance costs for establishment of a source code repository to ensure access to and avoid risks of losing source codes for both legacy and newly developed IT systems.
- Funding of \$104,000 in personnel services costs in continuance of Act 44, SLH to fund salary and fringe costs in support of timely processing of physician applications by endorsement
- Increase for continuance of personal services, other expenses and equipment appropriated by Act 201 SLH 2018 HB2684 HD1 SD1 CD1 in the amount of \$200,240 in FY20 and \$195,840 in FY21 for the Consumer Affairs and Compliance section to resolve complaints for all the Commission's regulated entities. The funding for these enforcement positions will allow the department to increase its presence in monitoring motor carrier activity and compliance with Commission laws, rules, regulations and orders.
- Increase in authorization of \$2,500,000 in FY20 and \$500,000 in FY21 for development, licenses, maintenance and independent validation and verification (IVV) of a cloud-based Web hosting solution, including additional content management and document and workflow systems that will improve efficiencies

and processes presently offered in our legacy Hawaii Insurance Database System (HIDS).

Additional Information

Table 1: Department Functions

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

Table 2: Department-Wide Totals

The Department's FY19 operating budget is \$91,069,503 (\$78,658,029 in special funds; \$10,950,568 in trust funds; \$1,460,906 in competitive federal grants). The Department's proposed FY20 operating budget is \$90,140,332 (\$86,820,439 in special funds; \$3,069,893 in trust funds; \$250,000 in competitive federal grants). The Department's proposed FY21 operating budget is \$89,904,932 (\$86,585,039 in special funds; \$3,069,893 in trust funds; \$250,000 in competitive federal grants).

Table 3: Program ID Totals

The Department's total appropriated amount for FY19 in Act 53 (SLH 2018) is \$91,069,503 (\$78,658,029 in special funds; \$10,950,568 in trust funds; \$1,460,906 in competitive federal grants). The FY20 amount proposed is \$90,140,332 (\$86,820,439 in special funds; \$3,069,893 in trust funds; \$250,000 in competitive federal grants), a decrease of 1.02% as compared to the FY19 appropriation. The FY21 amount proposed is \$89,904,932 (\$86,585,039 in special funds; \$3,069,893 in trust funds; \$250,000 in competitive federal grants), a decrease of 1.28% as compared to the FY19 appropriation.

Table 4: Budget Decisions

The Department's requests, B&F's recommendations, and the Governor's decisions are listed.

Table 5: Proposed Budget Reductions

None.

Table 6: Proposed Budget Additions

1. Special Funds

- CCA-103: \$292,000 for FY20 and \$584,000 for FY 21 for five positions for the Division of Consumer Advocacy.
- CCA-104: \$40,000 for FY 20 and FY21 for software licensing for the Division of Financial Institutions.

- CCA-105: \$300,000 for FY 20 and FY21 for software licensing for the Professional and Vocational Licensing Division.
- CCA-105: \$108,806 for FY 20 and FY21 for two permanent positions for the Professional and Vocational Licensing Division.
- CCA-106: \$2,500,000 for FY 20 and \$500,000 for FY 21 for an IT project for the Insurance Division.
- CCA-110: \$50,000 for FY 20 and FY21 for one central services assessment expense for the Office of Consumer Protection.
- CCA-111: \$83,368 for FY 20 and FY21 for a position conversion for Business Registration.
- CCA-111: Convert eight temporary positions to permanent positions for Business Registration.
- CCA-112: \$350,000 for FY 20 and \$50,000 for FY 21 for an IT project for the Regulated Industries Complaints Office.
- CCA-191: Convert eight temporary positions to permanent positions for the Office of Administrative Hearings.
- CCA-191: \$100,000 for FY 20 and \$25,000 for FY 21 for the Information Systems & Communications Office.
- CCA-901: \$500,000 for FY 20 and \$2,060,000 for FY 21 for an IT project for the Public Utilities Commission.
- CCA-901: \$200,240 for FY 20 and \$195,840 for FY 21 for two permanent positions for the Public Utilities Commission
- CCA-901: \$33,800 for FY 20 and FY 21 for recurring expenses for the Public Utilities Commission.
- CCA-901: \$292,000 for FY20 and \$584,000 for FY 21 for DCA expenses for the Public Utilities Commission.
- \$1,434,428 for FY 20 and FY 21 for fringe benefits.
- \$1,917,893 for FY 20 and FY 21 for collective bargaining.

Table 7: Current Year (FY19) Restrictions

None.

Table 8: Emergency Appropriation Requests

None.

Table 9: Expenditures Exceeding Appropriation Ceilings

None.

Table 10: Intradepartmental Transfer of Funds

None.

Table 11: Vacancy Summary

Vacancy summaries on November 30, 2018 are listed by Program IDs.

Table 12: Positions Authorized/Established by Other Acts

Positions by other acts listed.

Table 13: Overtime Expenditures

The percent of overtime expenditures incurred in FY18 was 0.2% of base salary for special funds, and 0.0% for trust funds; FY19 estimated overtime expenditures are 0.6% for special funds and 0.6% for trust funds; budgeted amounts for FY20 and FY21 are 0.7% and 3.0% of base salary for special funds and trust funds, respectively.

Table 14: Contract Costs

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

Table 15: Capital Improvement Program (“CIP”) Requests

None.

Table 16: CIP Lapses

None.

Table 17: Program ID Sub-Organizations

Sub-Organizations are listed by Program ID.

Table 18: Organizational Changes and Charts

The following is the link to the Department’s organizational chart for the current year. All changes that were made are indicated.

https://cca.hawaii.gov/wp-content/uploads/2018/12/DCCA-Organization-Charts_updated_6-30-18.pdf

Attached to this briefing is information presented in the tables in your prescribed format. My program administrators and I are available to answer any questions you and your committee members may have concerning our programs and the materials Submitted for this presentation.

Department of xxx
Functions

Division	Description of Function	Activities	Prog ID(s)	Statutory Reference
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. ● Administer and ensure 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. ● Designate public, educational, and governmental (PEG) organizations to provide PEG services and enter into contracts for such services; and provide support for PEG access and PEG services. ● 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. 	CCA 102	Chapter 440G, HRS.
Financial Services Regulation	Supervise and regulate, and examine financial institutions, escrow depositories, money transmitters, mortgage servicers, mortgage loan originators, and mortgage loan originator companies	<ul style="list-style-type: none"> ● Charter, license, examine and supervise state-chartered and licensed banks, trust companies, savings banks, savings and loan associations, financial services loan companies, credit unions, and licensed escrow depositories, money transmitters, mortgage servicers, mortgage loan originators and mortgage loan originator 	CCA 104	Chapters 412, 449, 454F, 454M, 489D, HRS.
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. 	CCA 106	Chapter 287, 386, 386A, 392, 393, 431, 431E, 431K, 431L, 431M, 431N, 431P, 432, 432C, 432D, 432E, 435C, 435E, 448D, 481R, 481X

Department of xxx
Functions

Table 1

<u>Division</u>	<u>Description of Function</u>	<u>Activities</u>	<u>Prog ID(s)</u>	<u>Statutory Reference</u>
		<ul style="list-style-type: none"> ● 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. 		and 488, HRS.
Hawaii Post-Secondary Education Authorization Program	Authorization of accredited, degree-granting, post-secondary educational institutions in Hawaii and review and processing of student complaints against authorized educational institutions.	<ul style="list-style-type: none"> ● Review applications from post-secondary educational institutions, issue authorizations and subsequent reauthorizations on a biennial basis. ● Provide information to post-secondary educational institutions seeking authorization or clarification of the law and provide information to students regarding the complaints process. ● Review complaints, investigate and initiate enforcement action as appropriate. 	CCA 107	Chapter 305J, HRS.

Department of xxx
Functions

Table 1

Division	Description of Function	Activities	Prog ID(s)	Statutory Reference
Office of Consumer Protection	Maintain Complaint Database; Investigate Complaints; Prosecute Legal Actions; Legislation; Consumer Education; Landlord-Tenant Information Center.	<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. 	CCA 110	Chapters 209, 290, 436M, 437, 437D, 446, 446E, 457G, 476, 477, 477E, 480, 480D, 480E, 480F, 481A, 481B, 481C, 481D, 481F, 481H, 481K, 481L, 481M, 481P, 486N, 487, 487A, 487J, 487N, 487R, 506, and 521, HDC
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	<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. 	CCA 111	Chapters 26-9(g), 414, 414D, 415A, 417E, 419, 420D, 421, 421C, 421H, 421I, 421J, 423, 424, 425, 425E, 425R, 428, 474, 482, 482E, 482P, 485A and

Department of xxx
Functions

Table 1

Division	Description of Function	Activities	Prog ID(s)	Statutory Reference
	efforts; and run business centers that offer personalized assistance to small and start-up businesses.	<ul style="list-style-type: none"> • 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 broker-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. 		519, HRS.
Regulated Industries Complaints Office	Investigation and prosecution of possible (professional and vocational) licensing law violations.	<ul style="list-style-type: none"> • Receives complaints, conducts investigations, and prosecutes cases alleging violations of Hawaii's professional and vocational licensing laws. Also investigates and prosecutes unlicensed activity cases. • 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). 	CCA 112	Section 26-9(h), HRS.
General Support	Administration of the Department; conducts administrative hearings for the Department, administers the Medical Inquiry and Conciliation Panel, and the Design Claims Conciliation Panel.	<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: (1) centralized budgeting and accounting services; (2) centralized clerical services; (3) building management; and (4) program review, contracting and 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). 	CCA 191	Section 26-9, HRS.

Department of xxx
Functions

Table 1

<u>Division</u>	<u>Description of Function</u>	<u>Activities</u>	<u>Prog ID(s)</u>	<u>Statutory Reference</u>
		<ul style="list-style-type: none"> ● 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 672B. ● 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. ● 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. 		
Public Utilities Commission (transferred to	Ensure that regulated companies efficiently and safely provide their customers with adequate and reliable services at just and reasonable rates, while providing regulated companies with a fair opportunity to earn a reasonable rate of return.	<ul style="list-style-type: none"> ● Establish rules and regulations pertaining to service standards. ● Render decisions on rates, fares, and charges. ● Process applications, issue certificates to regulated companies, and conduct investigations and audits of regulated companies. ● Conduct investigations of complaints filed against public utilities, other regulated entities, and companies utilizing services under the Commission's jurisdiction. ● Maintain the fiscal integrity of the Public Utilities Commission Special Fund. 	CCA 901	HRS Chapter 269-6, 269-7, 269-7.5, 269-16, 269-16.9, 269-33

Department of xxx
Functions

Table 1

Division	Description of Function	Activities	Prog ID(s)	Statutory Reference
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. ● Equitably advance and advocate clean energy and broadband initiative goals. 	CCA 103	Sections 269-51 through 269-55, HRS.
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 51 different professions and vocations. Provide administrative support to 25 regulatory licensing boards and, on behalf of the director of the department, administer 26 regulatory licensing programs. ● The trust funds are dedicated to specific statutory purposes to 	CCA 105	Chapters 373, 436B, 436E, 436H, 437, 437B, 438, 439, 440, 440E, 441, 442, 443B, 444, 447, 448,

Department of xxx
 Functions

Table 1

<u>Division</u>	<u>Description of Function</u>	<u>Activities</u>	<u>Prog ID(s)</u>	<u>Statutory Reference</u>
		<p>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.</p>		<p>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, 465D, 466, 466D, 466K, 466L, 467, 467E, 468E, 468L, 468M, 471, 472, 481E, 484,</p>

Department of Commerce and Consumer Affairs
Department-Wide Totals

Table 2

Fiscal Year 2019				
Act 53/18 Appropriation	Restriction	Emergency Appropriations	Total FY19	MOF
\$ 78,658,029.00			\$ 78,658,029.00	B
\$ 1,460,906.00			\$ 1,460,906.00	P
\$ 10,950,568.00			\$ 10,950,568.00	T
			\$ -	
			\$ -	
			\$ -	
\$ 91,069,503.00	\$ -	\$ -	\$ 91,069,503.00	Total
Fiscal Year 2020				
Act 53/18 Appropriation	Reductions	Additions	Total FY20	MOF
\$ 78,658,029.00		\$ 8,162,410.00	\$ 86,820,439.00	B
\$ 1,460,906.00	\$ (1,210,906.00)		\$ 250,000.00	P
\$ 10,950,568.00	\$ (7,920,000.00)	\$ 39,325.00	\$ 3,069,893.00	T
			\$ -	
			\$ -	
			\$ -	
\$ 91,069,503.00	\$ (9,130,906.00)	\$ 8,201,735.00	\$ 90,140,332.00	Total
Fiscal Year 2021				
Act 53/18 Appropriation	Reductions	Additions	Total FY21	MOF
\$ 78,658,029.00		\$ 7,927,010.00	\$ 86,585,039.00	B
\$ 1,460,906.00	\$ (1,210,906.00)		\$ 250,000.00	P
\$ 10,950,568.00	\$ (7,920,000.00)	\$ 39,325.00	\$ 3,069,893.00	T
			\$ -	
			\$ -	
			\$ -	
\$ 91,069,503.00	\$ (9,130,906.00)	\$ 7,966,335.00	\$ 89,904,932.00	Total

Department of Commerce and Consumer Affairs
Program ID Totals

Table 3

Prog ID	Program Title	MOF	As budgeted in Act 53/18 (FY19)			Governor's Submittal (FY20)				Governor's Submittal (FY21)			
			Pos (P)	Pos (T)	\$\$\$	Pos (P)	Pos (T)	\$\$\$	Percent Change of \$\$\$\$	Pos (P)	Pos (T)	\$\$\$	Percent Change of \$\$\$\$
CCA102	Cable Television	B	8.00		\$ 2,609,370	8.00		\$ 2,647,986	1.48%	8.00		\$ 2,647,986	1.48%
CCA102	Cable Television	T			\$ 7,920,000				-100.00%				-100.00%
CCA103	Consumer Advocate for Comm, Util, & Tran Svc	B	23.00		\$ 4,138,705	28.00		\$ 4,520,537	9.23%	28.00		\$ 4,812,537	16.28%
CCA104	Financial Services Regulation	B	40.00		\$ 4,979,192	40.00		\$ 5,174,488	3.92%	40.00		\$ 5,174,488	3.92%
CCA104	Financial Services Regulation	T			\$ 110,000			\$ 110,000	0.00%			\$ 110,000	0.00%
CCA105	Professional & Vocational Licensing	B	61.00	11.00	\$ 7,237,383	63.00	11.00	\$ 7,891,944	9.04%	63.00	11.00	\$ 7,891,944	9.04%
CCA105	Professional & Vocational Licensing	T	8.00	5.00	\$ 2,619,887	8.00	5.00	\$ 2,659,212	1.50%	8.00	5.00	\$ 2,659,212	1.50%
CCA106	Insurance Regulatory Services	B	95.00	1.00	\$ 18,119,862	95.00	1.00	\$ 21,360,950	17.89%	95.00	1.00	\$ 19,360,950	6.85%
CCA106	Insurance Regulatory Services	P		6.00	\$ 1,460,906		6.00	\$ 250,000	-82.89%		6.00	\$ 250,000	-82.89%
CCA106	Insurance Regulatory Services	T			\$ 200,000			\$ 200,000	0.00%			\$ 200,000	0.00%
CCA 107	Hawaii Post-Secondary Education Authorization Program	B	2.00		\$ 288,611	2.00		\$ 297,904	3.22%	2.00		\$ 297,904	3.22%
CCA 110	Office of Consumer Protection	B	18.00	2.00	\$ 2,605,494	18.00	2.00	\$ 2,734,968	4.97%	18.00	2.00	\$ 2,734,968	4.97%
CCA 110	Office of Consumer Protection	T			\$ 100,681			\$ 100,681	0.00%			\$ 100,681	0.00%
CCA 111	Business Registration and Securities Regulation	B	71.00	8.00	\$ 8,067,420	79.00		\$ 8,470,957	5.00%	79.00		\$ 8,470,957	5.00%
CCA 112	Regulated Industries Complaints Office	B	66.00	1.00	\$ 7,167,144	66.00	1.00	\$ 7,800,160	8.83%	66.00	1.00	\$ 7,500,160	4.65%
CCA 191	General Support	B	45.00	6.00	\$ 8,195,600	50.00	1.00	\$ 8,525,388	4.02%	50.00	1.00	\$ 8,450,388	3.11%
CCA 901	Public Utilities Commission (PUC)	B	65.00		\$ 15,249,248	67.00		\$ 17,395,157	14.07%	67.00		\$ 19,242,757	26.19%
	Special Fund Total	B	494.00	29.00	\$ 78,658,029	516.00	16.00	\$ 86,820,439	10.38%	516.00	16.00	\$ 86,585,039	10.08%
	Trust Fund Total	T	8.00	5.00	\$ 10,950,568	8.00	5.00	\$ 3,069,893	-71.97%	8.00	5.00	\$ 3,069,893	-71.97%
	Other Federal Fund Total	P	0.00	6.00	\$ 1,460,906	0.00	6.00	\$ 250,000	-82.89%	0.00	6.00	\$ 250,000	-82.89%
	TOTAL		502.00	40.00	\$ 91,069,503	524.00	27.00	\$ 90,140,332	-1.02%	524.00	27.00	\$ 89,904,932	-1.28%

Department of xxx
Budget Decisions

Table 4

Prog ID	Sub-Org	Description of Request	MOF	Initial Department Requests						Budget and Finance Recommendations						Governor's Decision					
				FY20			FY21			FY20			FY21			FY20			FY21		
				Pos (P)	Pos (T)	\$\$\$	Pos (P)	Pos (T)	\$\$\$	Pos (P)	Pos (T)	\$\$\$	Pos (P)	Pos (T)	\$\$\$	Pos (P)	Pos (T)	\$\$\$	Pos (P)	Pos (T)	\$\$\$
CCA106	EA	Add funds and positions for existing grant	P			960,907															
CCA103	HA	Add 5 positions and funds	B	5.00		292,000	5.00		584,000	5.00		292,000	5.00		584,000	5.00		292,000	5.00		584,000
CCA191	AH	Convert 5 temp to permanent	B	5.00	(5.00)		5.00	(5.00)		5.00	(5.00)		5.00	(5.00)		5.00	(5.00)		5.00	(5.00)	
CCA111	CA	Convert 8 temp to permanent	B	8.00	(8.00)		8.00	(8.00)		8.00	(8.00)		8.00	(8.00)		8.00	(8.00)		8.00	(8.00)	
CCA111	CA	Convert Office Assistant to Staff Attorney	B			83,368			83,368			83,368			83,368			83,368			83,368
CCA112	AB	Voyager Phase II IT project	B			350,000			50,000			350,000			50,000			350,000			50,000
CCA901	MA	DMS project	B			500,000			2,060,000			500,000			2,060,000			500,000			2,060,000
CCA105	GA	Salesforce recurring costs	B			300,000			300,000			300,000			300,000			300,000			300,000
CCA104	BA	FIMS licensing fee adjustment	B			40,000			40,000			40,000			40,000			40,000			40,000
CCA191	AI	ISCO Source Data Repository	B			100,000			25,000			100,000			25,000			100,000			25,000
CCA105	GA	Add 2 positions and funds	B	2.00		108,806	2.00		108,806	2.00		108,806	2.00		108,806	2.00		108,806	2.00		108,806
CCA901	MA	Add 2 positions and funds	B	2.00		200,240	2.00		195,840	2.00		200,240	2.00		195,840	2.00		200,240	2.00		195,840
CCA106	EA	HIDS IT project	B			2,500,000			500,000			-			-			2,500,000			500,000
CCA901	MA	Recurring IT	B			66,000			66,000			33,000			33,000			33,000			33,000
CCA901	MA	DCA matching	B			292,000			584,000			292,000			584,000			292,000			584,000
CCA110	DA	CSA	B			50,000			50,000			50,000			50,000			50,000			50,000
CCA104	BA	Fringe Benefits	B			25,074			25,074			25,074			25,074			25,074			25,074
CCA106	EA	Fringe Benefits	B			279,310			279,310			279,310			279,310			279,310			279,310
CCA106	EA	Fringe Benefits	B			138,426			138,426			138,426			138,426			138,426			138,426
CCA107	IA	Fringe Benefits	B			1,988			1,988			1,988			1,988			1,988			1,988
CCA111	CA	Fringe Benefits	B			65,229			65,229			65,229			65,229			65,229			65,229
CCA112	AB	Fringe Benefits	B			14,098			14,098			14,098			14,098			14,098			14,098
CCA191	AA	Fringe Benefits	B			2,003			2,003			2,003			2,003			2,003			2,003
CCA191	AI	Fringe Benefits	B			8,602			8,602			8,602			8,602			8,602			8,602
CCA901	MA	Fringe Benefits	B			899,698			899,698			899,698			899,698			899,698			899,698

Department of xxx
Proposed Budget Reductions

<u>Prog ID</u>	<u>Sub-Org</u>	<u>Description of Reduction</u>	<u>Impact of Reduction</u>	<u>MOF</u>	<u>FY20</u>			<u>FY21</u>			<u>FY19</u>
					<u>Pos (P)</u>	<u>Pos (T)</u>	<u>\$\$\$\$</u>	<u>Pos (P)</u>	<u>Pos (T)</u>	<u>\$\$\$\$</u>	<u>Restriction</u>
None											<u>(Y/N)</u>

Department of xxx
Proposed Budget Additions

Table 6

Prog ID	Sub- Org	Addition Type	Prog ID Priority	Dept- Wide Priority	Description of Addition	Justification	MOF	FY20			FY21		
								Pos (P)	Pos (T)	\$\$\$	Pos (P)	Pos (T)	\$\$\$
					Collective bargaining adjustment to base	Negotiated settlements	B	-	-	\$ 1,878,568	0	0	\$ 1,878,568
					Collective bargaining adjustment to base	Negotiated settlements	T	-	-	\$ 39,325	0	0	\$ 39,325
					Total adjustments to base					\$ 1,917,893			\$ 1,917,893
CCA103	HA	OR	1	1	Add 5 positions and funds	Request for one (1) additional in-house attorney; one (1) administrative specialist; three (3) program specialists	B	5.00		292,000	5.00		584,000
		OR		2	Convert 5 temp to permanent	The 2 Legal Clerk and 3 Hearings Officer positions are essential to the administration of the contested case hearings OAH conducts on a regular basis. OAH currently has four (4) Hearings Officers who preside over cases involving license disciplinary actions, license denials, disputes over the use of trade names and trademarks, securities violations, denials of personal injury protection benefits, violations of the laws governing the post-secondary education authorization, procurement appeals and disputes over an Employees Retirement System member's eligibility for disability retirement benefits. This generates a high volume of legal and clerical work which necessarily involves the administration, processing and adjudicating of these cases in a timely manner.	B	5.00	(5.00)		5.00	(5.00)	
CCA191	AH		1										
		OR		3	Convert 8 temp to permanent	These positions are needed to staff the Investigation and Legal Sections of the Securities Enforcement Branch (Branch) in order to quickly and efficiently resolve cases involving state securities law violations. The main role of the investigators and attorneys is to investigate and prosecute state securities law violations. The Branch has experienced an increase in cases and continues to see new and complicated financial fraud schemes. These positions are needed to effectively protect the residents of Hawaii from these frauds. Having these positions converted to permanent will help the Branch maintain the institutional knowledge held by the incumbents of the positions. There would be no impact to the budget as all of the positions would be removed as temporary positions but included as permanent positions for the same budgeted amount.	B	8.00	(8.00)		8.00	(8.00)	
CCA111	CA		2										
		OR		4	Convert Office Assistant to Staff Attorney	The Staff Attorney position is needed to staff the Legal Section of the Securities Enforcement Branch (Branch) in order to quickly and efficiently resolve cases involving state securities law violations. The main role of the staff attorneys is to prosecute state securities law violations. The Branch has experienced an increase in cases and continues to see new and complicated financial fraud schemes. This position works with the Investigation Section of the Branch and its legal expertise is needed to effectively protect the residents of Hawaii from these frauds.	B			83,368			83,368
CCA111	CA		1										
CCA112	AB	OR	1	5	Voyager Phase II IT project	The Regulated Industries Complaints Office (RICO) is in the process of replacing its current complaints management software.	B			350,000			50,000
		OR		6	DMS project	Per Report No. 18-05 Audit of the Public Utilities Commission issued in February 2018, the State Auditor recommended that the Commission address shortfalls in its Document Management System (DMS). Specifically, the Auditor recommends that the Commission (1) develop and implement an IT Strategy that aligns with PUC's strategic plan and current needs, and which involves internal and external stakeholders, including the Consumer Advocate and (2) complete the Request for information as soon as possible to avoid additional maintenance for the current system.	B			500,000			2,060,000
CCA901	MA		1										
CCA105	GA	OR	2	7	Salesforce recurring costs	The PVLD's current database (ALIAS) is being replaced by Salesforce. We are requesting the appropriation be added to CCA-105, S305 to support the recurring license costs of this new system.	B			300,000			300,000
CCA104	BA	OR	1	8	FIMS licensing fee adjustment	Increase to cover the annual maintenance cost in DFI's contract with MicroPact.	B			40,000			40,000
		OR		9	ISCO Source Data Repository	Funding is required for purchase of software and recurring maintenance costs for establishment of a source code repository to ensure access to and avoid risks of losing source codes of both legacy and newly developed IT systems.	B			100,000			25,000
CCA191	AI		1										
		OR		10	Add 2 positions and funds	Act 44, SLH authorized the appropriation of funds for FY19, \$104,000 and the employment of exempt personnel to implement the Act. The \$104,000 was requested to fund the salary and fringe for an office assistant IV in the records section and an office assistant V position in the applications section of the Licensing Branch to timely process physician applications by endorsement. We are requesting that the appropriation be added to CCA-105, S305 which will enable us to implement and continue to maintain the timely processing and operational efficiency of this new licensing requirement.	B	2.00		108,806	2.00		108,806
CCA105	GA		1										
		OR		11	Add 2 positions and funds	The Consumer Affairs and Compliance section works to resolve complaints for all the Commission's regulated entities. The enforcement positions authorized will allow the department to increase its presence in monitoring motor carrier activity and compliance with Commission laws, rules, regulations and orders. Two temporary enforcement positions (effective July 1, 2018 for one year) were appropriated in Act 201 SLH 2018 HB2684 HD1 SD1 CD1	B	2.00		200,240	2.00		195,840
CCA901	MA		3										

Department of xxx
Proposed Budget Additions

Table 6

Prog ID	Sub- Org	Addition Type	Prog ID Priority	Dept- Wide Priority	Description of Addition	Justification	MOF	Pos (P)	Pos (T)	\$\$\$	Pos (P)	Pos (T)	\$\$\$
CCA106	EA	OR	1	12	HIDS IT project	This funding request is to meet requirements and tasks for development of a cloud-based Web hosting solution, including additional Content Management, Document and Workflow Systems, as well as associated professional IT services and subscription and licenses that will improve efficiencies and processes presently offered in the 32-bit Oracle Forms application, running in Legacy Desktop Mode within Windows 10 Desktop Operating Systems and making backend calls to the Oracle Database, known as HIDS.	B			2,500,000			500,000
CCA901	MA	OR	2	13	Non recurring IT	Cycle Refresh of existing laptops/desktops and the purchase of additional laptops for staff that require flexibility to work offsite.	B			33,000			33,000
CCA901	MA	OR	4	14	DCA matching	Increase special fund ceiling to cover requested DCA reorganization	B			292,000			584,000
CCA110	DA	OR	1	15	CSA	Central services assessment is based on a percentage of collected revenue, which continues to increase. As such, an increase in the ceiling is needed for the increased assessment.	B			50,000			50,000
CCA104	BA	OR	2	16	Fringe Benefits	Pursuant to Finance Memorandum No. 18-16, the State's fringe benefit assessment rate for non-general fund programs is 60% for FY 20 and FY 21 due primarily to the projected costs for the prefunding of other post-employment benefits. The Department requires the requested budget increase to effectively fund all authorized positons.	B			25,074			25,074
CCA106	EA	OR	2	17	Fringe Benefits	Pursuant to Finance Memorandum No. 18-16, the State's fringe benefit assessment rate for non-general fund programs is 60% for FY 20 and FY 21 due primarily to the projected costs for the prefunding of other post-employment benefits. The Department requires the requested budget increase to effectively fund all authorized positons.	B			279,310			279,310
CCA106	EA	OR	3	18	Fringe Benefits	Pursuant to Finance Memorandum No. 18-16, the State's fringe benefit assessment rate for non-general fund programs is 60% for FY 20 and FY 21 due primarily to the projected costs for the prefunding of other post-employment benefits. The Department requires the requested budget increase to effectively fund all authorized positons.	B			138,426			138,426
CCA107	IA	OR	1	19	Fringe Benefits	Pursuant to Finance Memorandum No. 18-16, the State's fringe benefit assessment rate for non-general fund programs is 60% for FY 20 and FY 21 due primarily to the projected costs for the prefunding of other post-employment benefits. The Department requires the requested budget increase to effectively fund all authorized positons.	B			1,988			1,988
CCA111	CA	OR		20	Fringe Benefits	Pursuant to Finance Memorandum No. 18-16, the State's fringe benefit assessment rate for non-general fund programs is 60% for FY 20 and FY 21 due primarily to the projected costs for the prefunding of other post-employment benefits. The Department requires the requested budget increase to effectively fund all authorized positons.	B			65,229			65,229
CCA112	AB	OR	2	21	Fringe Benefits	Pursuant to Finance Memorandum No. 18-16, the State's fringe benefit assessment rate for non-general fund programs is 60% for FY 20 and FY 21 due primarily to the projected costs for the prefunding of other post-employment benefits. The Department requires the requested budget increase to effectively fund all authorized positons.	B			14,098			14,098
CCA191	AA	OR	1	22	Fringe Benefits	Pursuant to Finance Memorandum No. 18-16, the State's fringe benefit assessment rate for non-general fund programs is 60% for FY 20 and FY 21 due primarily to the projected costs for the prefunding of other post-employment benefits. The Department requires the requested budget increase to effectively fund all authorized positons.	B			2,003			2,003
CCA191	AI	OR	2	23	Fringe Benefits	Pursuant to Finance Memorandum No. 18-16, the State's fringe benefit assessment rate for non-general fund programs is 60% for FY 20 and FY 21 due primarily to the projected costs for the prefunding of other post-employment benefits. The Department requires the requested budget increase to effectively fund all authorized positons.	B			8,602			8,602
CCA901	MA	OR	5	24	Fringe Benefits	Pursuant to Finance Memorandum No. 18-16, the State's fringe benefit assessment rate for non-general fund programs is 60% for FY 20 and FY 21 due primarily to the projected costs for the prefunding of other post-employment benefits. The Department requires the requested budget increase to effectively fund all authorized positons.	B			899,698			899,698

Department of Commerce and Consumer Affairs
 FB 2017 - 2019 Restrictions

<u>Fiscal</u> <u>Year</u>	<u>Prog ID</u>	<u>Sub-Org</u>	<u>MOF</u>	<u>Budgeted</u> <u>by Dept</u>	<u>Restriction</u>	<u>Difference</u> <u>Between</u> <u>Budgeted</u> <u>&</u> <u>Restricted</u>	<u>Percent Difference</u>	<u>Impact</u>
None								

Department of xxx
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)</u>	<u>Pos (T)</u>	<u>\$\$\$</u>
None						

Department of Commerce and Consumer Affairs
Expenditures Exceeding Appropriation Ceilings in FY18 and FY19

Table 9

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

Department of Commerce and Consumer Affairs
 Intradepartmental Transfers in FY18 and FY19

Table 10

<u>Actual or Anticipated Date of Transfer</u>	<u>MOF</u>	<u>Pos (P)</u>	<u>Pos (T)</u>	<u>\$\$\$</u>	<u>From Prog ID</u>	<u>Percent of Program ID Appropriation Transferred From</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 xxx
Vacancy Report as of November 30, 2018

Prog ID	Sub-Org	Date of Vacancy	Expected Fill Date	Position Number	Position Title	Exempt (Y/N)	SR Level	BU Code	Perm Temp (P/T)	FTE	MOF	Budgeted Amount	Actual Salary Last Paid	Authority to Hire (Y/N)	Occupied by 89 Day Hire (Y/N)	# of 89 Hire Appts	Describe if Filled by other Means	Priority # to Retain
CCA 102	FA	04/03/18	02/16/19	120245	CATV PROGRAM SPECIALIST	Y	NA	13	P	1.00	B	\$ 79,277.00	\$ 80,856.00	Y	N	--		10
CCA 103	HA	11/16/18	02/01/19	5664	LEGAL CLERK	N	14	03	P	1.00	B	\$ 43,368.00	\$ 45,900.00	Y	N	--		26
CCA 103	HA	06/20/18	05/01/19	15098	PU RATE ANALYST V	N	24	13	P	1.00	B	\$ 72,324.00	\$ 73,776.00	Y	N	--		47
CCA 103	HA	07/06/17	05/01/19	21377	PU RATE ANALYST V	N	24	13	P	1.00	B	\$ 57,168.00	\$ 58,308.00	Y	N	--		53
CCA 103	HA	--	02/01/19	40834	PU RATE ANALYST VII *	N	28	23	P	1.00	B	\$ 69,540.00	\$ 55,764.00	Y	N	--		19
CCA 103	HA	07/21/18	03/01/19	106291	DCA RESEARCH ANALYST V	Y	NA	13	P	1.00	B	\$ 74,024.00	\$ 69,744.00	Y	N	--		37
CCA 103	HA	01/18/17	01/18/19	120187	DCA RESEARCH ANALYST V	Y	NA	13	P	1.00	B	\$ 65,769.00	\$ 57,768.00	Y	N	--		9
CCA 103	HA	11/14/18	05/01/19	120189	DCA RESEARCH ANALYST V	Y	NA	13	P	1.00	B	\$ 74,021.00	\$ 70,188.00	Y	N	--		28
CCA 104	BA	06/30/18	04/01/19	106293	FIERF FINANCIAL INSTITUTION EXAMINER II	Y	NA	13	P	1.00	B	\$ 64,286.00	\$ 65,568.00	Y	N	--		8
CCA 104	BA	11/01/18	06/01/19	119532	CRF FINANCIAL INSTITUTION EXAMINER I	Y	NA	13	P	1.00	B	\$ 54,959.00	\$ 57,324.00	Y	N	--		14
CCA 105	GA	04/02/18	02/01/19	7933	SECRETARY II	N	14	03	P	1.00	B	\$ 35,676.00	\$ 36,924.00	Y	N	--		36
CCA 105	GA	10/02/17	01/01/19	12746	OFFICE ASSISTANT IV	N	10	03	P	1.00	B	\$ 32,976.00	\$ 32,376.00	Y	N	--		60
CCA 105	GA	07/01/18	02/01/19	13105	LICENSING ADMINISTRATOR	N	EM-7	35	P	1.00	B	\$ 96,132.00	\$ 104,484.00	Y	N	--		1
CCA 105	GA	12/01/15	02/01/19	13237	LICENSING EXAMINER V	N	24	23	P	1.00	B	\$ 57,168.00	\$ 75,960.00	Y	N	--		41
CCA 105	GA	10/16/18	01/01/19	17724	OFFICE ASSISTANT IV	N	10	03	P	1.00	B	\$ 34,260.00	\$ 36,276.00	Y	N	--		66
CCA 105	GA	10/13/18	02/01/19	26925	REGULATORY BDS/COMMS ADMIN ASST I	N	22	13	P	1.00	B	\$ 54,960.00	\$ 59,616.00	Y	N	1		27
CCA 105	GA	08/01/18	02/01/19	32530	REGULATORY BDS/COMMS ADMIN ASST I	N	22	13	P	1.00	B	\$ 91,500.00	\$ 95,436.00	Y	N	--		21
CCA 105	GA	12/31/17	12/10/18	43691	REGULATORY BDS/COMMS ADMIN ASST I	N	22	13	P	1.00	B	\$ 72,324.00	\$ 73,776.00	Y	N	--		13
CCA 105	GA	06/28/16	01/01/19	43735	OFFICE ASSISTANT IV	N	10	03	P	1.00	B	\$ 29,340.00	\$ 32,460.00	Y	Y	1		54
CCA 105	GA	04/02/18	01/01/19	118935	OFFICE ASSISTANT IV	N	12	03	P	1.00	B	\$ 32,976.00	\$ 34,140.00	Y	Y	1		61
CCA 105	GA	08/21/17	01/01/19	120700	OFFICE ASSISTANT V	N	12	03	T	1.00	B	\$ 32,976.00	\$ 33,636.00	Y	N	--		52
CCA 105	GA	11/01/18	01/01/19	120945	CCA OFFICE ASSISTANT IV	Y	NA	03	T	1.00	B	\$ 40,112.00	\$ 31,056.00	Y	N	--		68
CCA 105	GA	07/28/18	01/01/19	122199	OFFICE ASSISTANT IV	N	10	03	T	1.00	B	\$ 29,340.00	\$ 31,056.00	Y	Y	1		64
CCA 105	GA	--	01/01/19	122452	OFFICE ASSISTANT IV	N	10	03	P	1.00	B	\$ 14,670.00	--	Y	Y	1		70
CCA 106	EA	10/18/16	04/01/19	102732	IERF INSURANCE EXAMINER III	Y	NA	13	P	1.00	B	\$ 86,505.00	\$ 83,580.00	Y	N	--		62
CCA 106	EA	10/02/18	02/01/19	102779	INS FRAUD INVESTIGATOR IV	Y	NA	13	P	1.00	B	\$ 54,959.00	\$ 72,528.00	Y	N	--		25
CCA 106	EA	09/29/18	02/01/19	108003	CIAF SECRETARY II	Y	NA	03	P	1.00	B	\$ 52,755.00	\$ 55,836.00	Y	N	--		46
CCA 106	EA	06/20/18	02/01/19	110690	IRF LEGAL ASSISTANT II	Y	NA	13	P	1.00	B	\$ 59,442.00	\$ 60,636.00	Y	N	--		38
CCA 106	EA	09/29/18	03/01/19	113029	IRF STAFF ATTORNEY III	Y	NA	73	P	1.00	B	\$ 83,003.00	\$ 89,544.00	Y	N	--		2
CCA 106	EA	04/04/17	04/01/19	116591	CIAF INSURANCE EXAMINER III	Y	NA	13	P	1.00	B	\$ 84,617.00	\$ 84,612.00	Y	N	--		15
CCA 106	EA	11/01/18	04/01/19	118637	CIAF INSURANCE PROGRAM SPECIALIST	Y	NA	13	P	1.00	B	\$ 69,540.00	\$ 72,528.00	Y	N	--		33
CCA 106	EA	05/10/18	03/01/19	119027	OFFICE ASSISTANT III	N	08	03	P	1.00	B	\$ 27,132.00	\$ 28,092.00	Y	N	--		55
CCA 106	EA	04/02/18	04/01/19	120978	CIAF INSURANCE EXAMINER II	Y	NA	13	P	1.00	B	\$ 72,322.00	\$ 79,788.00	Y	N	--		59
CCA 106	EA	--	03/01/19	122485	CRF INSURANCE LICENSING CLERK	Y	NA	03	P	1.00	B	\$ 15,234.00	--	Y	N	--		48
CCA 110	DA	06/16/17	03/01/19	19454	LEGAL CLERK	N	14	03	P	1.00	B	\$ 38,592.00	\$ 38,592.00	Y	N	--		16
CCA 110	DA	12/31/17	03/01/19	25073	INVESTIGATOR IV	N	22	13	P	1.00	B	\$ 72,324.00	\$ 73,776.00	Y	N	--		7
CCA 111	CA	11/01/17	01/01/19	133	SECRETARY III	N	16	63	P	1.00	B	\$ 50,772.00	\$ 51,792.00	Y	N	--		20
CCA 111	CA	09/01/17	(Trade-off)	29150	OFFICE ASSISTANT III	N	08	03	P	1.00	B	\$ 43,368.00	\$ 44,232.00	Y	N	--		42
CCA 111	CA	05/01/18	04/01/19	37452	BUSINESS REGISTRATION ASSISTANT	N	15	03	P	1.00	B	\$ 54,876.00	\$ 56,808.00	N	N	--		58
CCA 111	CA	05/02/18	04/16/19	46582	OFFICE ASSISTANT III	N	08	03	P	1.00	B	\$ 29,340.00	\$ 30,372.00	Y	N	--		63
CCA 111	CA	11/16/18	05/01/19	46583	OFFICE ASSISTANT III	N	08	03	P	1.00	B	\$ 28,212.00	\$ 29,868.00	Y	N	--		69
CCA 111	CA	09/17/18	05/01/19	46584	OFFICE ASSISTANT III	N	08	03	P	1.00	B	\$ 27,132.00	\$ 28,728.00	Y	N	--		65
CCA 111	CA	09/02/17	04/01/19	49516	OFFICE ASSISTANT III	N	08	03	P	1.00	B	\$ 32,976.00	\$ 33,636.00	Y	N	--		51
CCA 111	CA	11/01/18	05/01/19	49521	OFFICE ASSISTANT III	N	08	03	P	1.00	B	\$ 29,340.00	\$ 28,728.00	N	N	--		67
CCA 111	CA	06/01/18	04/16/19	49535	OFFICE ASSISTANT IV	N	10	03	P	1.00	B	\$ 29,340.00	\$ 30,372.00	N	N	--		32
CCA 111	CA	10/02/17	05/01/19	49538	SECURITIES EXAMINER IV	N	22	13	P	1.00	B	\$ 61,824.00	\$ 63,060.00	Y	N	--		35
CCA 111	CA	03/16/18	01/16/19	102532	CRF STAFF ATTORNEY	Y	NA	73	T	1.00	B	\$ 79,699.00	\$ 81,300.00	Y	N	--		3
CCA 111	CA	11/16/18	02/16/19	117393	SECURITIES EDUCATION ASSISTANT	Y	NA	03	P	1.00	B	\$ 34,260.00	\$ 34,908.00	Y	N	--		11
CCA 111	CA	04/18/18	04/01/19	119244	LEGAL CLERK	N	14	03	P	1.00	B	\$ 34,260.00	\$ 35,472.00	Y	N	--		56
CCA 112	AB	12/02/17	03/01/19	100567	STAFF ATTORNEY I	Y	NA	73	P	1.00	B	\$ 82,953.00	\$ 84,612.00	Y	N	--		12

Department of xxx
 Vacancy Report as of November 30, 2018

Prog ID	Sub- Org	Date of Vacancy	Expected Fill Date	Position Number	Position Title	Exempt (Y/N)	SR Level	BU Code	Perm Temp (P/T)	FTE	MOF	Budgeted Amount	Actual Salary Last Paid	Authority to Hire (Y/N)	Occupied by 89 Day Hire (Y/N)	# of 89 Hire Appts	Describe if Filled by other Means	Priority # to Retain
CCA 112	AB	11/24/18	03/01/19	101308	STAFF ATTORNEY	Y	NA	73	P	1.00	B	\$ 82,953.00	\$ 86,520.00	Y	N	--		6
CCA 112	AB	02/25/17	04/01/19	101312	RI INVESTIGATOR IV	Y	NA	13	P	1.00	B	\$ 60,480.00	\$ 50,772.00	Y	N	--		29
CCA 112	AB	04/18/18	04/01/19	118464	INVESTIGATOR III	N	20	13	P	1.00	B	\$ 50,772.00	\$ 47,868.00	Y	N	--		50
CCA 112	AB	09/04/18	04/01/19	118627	OFFICE ASSISTANT III	N	08	03	P	1.00	B	\$ 27,132.00	\$ 28,728.00	Y	N	--		22
CCA 112	AB	11/06/17	TA	119168	LEGAL CLERK	N	14	03	P	1.00	B	\$ 34,260.00	\$ 40,932.00	Y	N	--		57
CCA 112	AB	07/16/18	04/01/19	120232	INVESTIGATOR IV	N	22	13	P	1.00	B	\$ 50,772.00	\$ 52,956.00	Y	N	--		39
CCA 112	AB	04/01/15	02/01/19	120369	INVESTIGATOR III	N	20	13	P	1.00	B	\$ 50,772.00	\$ 53,364.00	Y	N	--		43
CCA 191	AA	09/14/18	12/03/18	17744	OFFICE ASSISTANT IV	N	10	03	P	1.00	B	\$ 29,340.00	\$ 32,256.00	Y	N	--		49
CCA 191	AA	05/16/18	02/28/19	45090	ACCOUNT CLERK IV	N	13	03	P	1.00	B	\$ 32,976.00	\$ 34,140.00	Y	N	--		45
CCA 191	AA	--	01/31/19	122719	PROGRAM SPECIALIST IV	N	22	13	P	1.00	B	\$ 52,956.00	--	Y	N	--		40
CCA 191	AH	12/21/17	06/30/19	101296	HEARINGS OFFICER, CCA	Y	NA	73	T	1.00	B	\$ 86,331.00	\$ 88,056.00	Y	N	--		30
CCA 191	AH	04/17/17	06/30/19	119019	LEGAL CLERK	N	14	03	T	1.00	B	\$ 35,676.00	\$ 35,676.00	Y	Y	3		18
CCA 191	AI	09/29/18	04/01/19	111109	ISCO INFORMATION TECH SPCLT V	Y	NA	13	P	1.00	B	\$ 81,376.00	\$ 84,876.00	N	N	--		4
CCA 191	AI	12/31/16	06/01/19	120567	INFORMATION TECHNOLOGY BAND B	N	22	13	P	1.00	B	\$ 72,324.00	\$ 69,876.00	Y	N	--		23
CCA 901	MA	06/01/18	2/28/2019	36925	AUDITOR V	N	24	13	P	1.00	B	\$ 75,192.00	\$ 76,692.00	Y	N	--		5
CCA 901	MA	11/16/17	2/28/2019	42690	INVESTIGATOR IV	N	22	13	P	1.00	B	\$ 46,932.00	\$ 51,792.00	Y	N	--		44
CCA 901	MA	--	03/29/19	100958	HUMAN RESOURCES ASSISTANT IV	N	11	63	P	1.00	B	\$ 32,976.00	--	Y	N	--		17
CCA 901	MA	03/01/17	03/29/19	117632	SECRETARY I	N	12	03	P	1.00	B	\$ 31,740.00	\$ 31,740.00	Y	N	--		31
CCA 901	MA	11/01/18	2/28/2019	120736	PUC LEGAL ASSISTANT	Y	NA	13	P	1.00	B	\$ 45,345.00	\$ 48,948.00	Y	N	--		34
CCA 901	MA	11/01/18	2/28/2019	121748	PUC RESEARCH ASSISTANT I	Y	NA	13	P	1.00	B	\$ 54,959.00	\$ 53,196.00	Y	N	--		24
					* Position was restored, pursuant to Act 130, SLH 2010, effective July 1, 2010.													
Filled positions																		
CCA 104	BA	10/16/18	12/03/18	113141	FIN INST PROGRAM SPECIALIST	Y	NA	13	P	1.00	B	\$ 81,376.00	\$ 84,876.00	Y	N	--		
CCA 104	BA	06/08/18	12/24/28	118659	CRF FINANCIAL INSTITUTION EXAMINER I	Y	NA	13	P	1.00	B	\$ 63,199.00	\$ 58,308.00	Y	N	--		
CCA 104	BA	10/17/16	01/14/19	121528	CRF FINANCIAL INSTITUTION EXAMINER I	Y	NA	13	P	1.00	B	\$ 59,442.00	\$ 57,432.00	Y	N	--		
CCA 106	EA	09/05/18	01/16/19	101970	IRF STAFF ATTORNEY	Y	NA	73	P	1.00	B	\$ 66,534.00	\$ 75,096.00	Y	N	--		
CCA 106	EA	07/10/18	12/10/18	110964	CRF INSURANCE EXAMINER II	Y	NA	13	P	1.00	B	\$ 72,322.00	\$ 73,776.00	Y	N	--		
CCA 106	EA	02/23/17	02/01/19	119029	INSURANCE LICENSING CLERK	N	11	03	P	1.00	B	\$ 30,468.00	\$ 30,468.00	Y	Y	6		

Department of Commerce and Consumer Affairs

Positions Established by Acts other than the State Budget as of November 30, 2018

<u>Prog ID</u>	<u>Sub-Org</u>	<u>Date Established</u>	<u>Legal Authority</u>	<u>Position Number</u>	<u>Position Title</u>	<u>Exempt (Y/N)</u>	<u>SR Level</u>	<u>BU Code</u>	<u>T/P</u>	<u>MOF</u>	<u>FTE</u>	<u>Annual Salary</u>	<u>Filled (Y/N)</u>	<u>Occupied by 89 Day Hire (Y/N)</u>
CCA 105	GA	08/31/18	Act 44, SLH 2018	122759	PVL Office Assistant IV	Y	NA	03	T	--	1.00	--	N	N
CCA 106	GA	08/31/18	Act 44, SLH 2018	122760	PVL Office Assistant V	Y	NA	03	T	--	1.00	--	N	N
CCA 106	EA	10/23/17	§76-16(b)(17), HRS	122507	INS Health Market Conduct Analyst	Y	NA	13	T	--	1.00	\$57,324.00	Y	N
CCA 106	EA	11/06/17	§76-16(b)(17), HRS	122521	INS Health Market Conduct Examiner	Y	NA	13	T	--	1.00	\$75,432.00	Y	N
CCA 110	DA	03/15/13	§76-16(b)(3), HRS	120866	OCP Staff Attorney II	Y	NA	73	T	--	1.00	\$72,000.00	Y	N
CCA 110	DA	03/15/13	§76-16(b)(3), HRS	120867	OCP Investigator IV	Y	NA	13	T	--	1.00	--	N	N
CCA 110	DA	06/17/13	§76-16(b)(3), HRS	120942	MFAP Program Specialist	Y	NA	13	T	--	1.00	--	N	N
CCA 901	MA	09/16/18	Act 201, SLH 2018	122819	PUC Enforcement Officer	Y	NA	13	T	--	1.00	--	N	N
CCA 901	MA	09/16/18	Act 201, SLH 2018	122820	PUC Enforcement Officer	Y	NA	13	T	--	1.00	--	N	N

Department of Commerce and Consumer Affairs
Overtime Expenditure Summary

Table 13

Prog ID	Sub-Org	Program Title	MOF	FY18 (actual)			FY19 (estimated)			FY20 (budgeted)			FY21 (budgeted)		
				Base Salary \$\$\$\$	Overtime \$\$\$\$	Overtime Percent									
CCA102	FA	Cable Television	B	\$ 653,051		0.0%	\$ 653,051	\$ 5,000	0.8%	\$ 658,044	\$ 5,000	0.8%	\$ 658,044	\$ 5,000	0.8%
CCA103	HA	Consumer Advocate for Communication, Utilities & Transportation Service	B	\$ 1,678,779	\$ -	0.0%	\$ 1,621,611	\$ 10,000	0.6%	\$ 1,791,852	\$ 25,000	1.4%	\$ 1,974,352	\$ 25,000	1.3%
CCA104	BA	Financial Services Regulation	B	\$ 2,567,701	\$ 779		\$ 2,656,001	\$ 13,000		\$ 2,754,788	\$ 13,000		\$ 2,754,788	\$ 13,000	
CCA105	GA	Professional & Vocational Licensing	B	\$ 3,470,742	\$ 42,084	1.2%	\$ 3,565,422	\$ 20,000	0.6%	\$ 3,709,810	\$ 70,101	1.9%	\$ 3,709,810	\$ 70,101	1.9%
CCA105	GA	Professional & Vocational Licensing	T	\$ 630,049		0.0%	\$ 682,549	\$ 4,000	0.6%	\$ 713,292	\$ 21,360	3.0%	\$ 713,292	\$ 21,360	3.0%
CCA106	EA	Insurance Regulatory Services	B	\$ 5,054,758	\$ 638	0.0%	\$ 5,098,576	\$ 13,764	0.3%	\$ 5,529,964	\$ 13,764	0.2%	\$ 5,529,964	\$ 13,764	0.2%
CCA107	IA	Hawaii Post-Secondary Education Authorization Program	B	\$ 135,229	\$ -	0.0%	\$ 135,229	\$ -	0.0%	\$ 141,036	\$ -	0.0%	\$ 141,036	\$ -	0.0%
CCA110	DA	Protection of the Consumer	B	\$ 1,198,750	\$ -	0.0%	\$ 1,237,522	\$ -	0.0%	\$ 1,234,702	\$ -	0.0%	\$ 1,234,702	\$ 0	0.0%
CCA111	CA	Business Registration	B	\$ 3,846,629	\$ 20,119	0.5%	\$ 3,952,915	\$ 60,000	1.5%	\$ 4,218,254	\$ 60,000	1.4%	\$ 4,218,254	\$ 60,000	1.4%
CCA112	AB	Regulated Industries Complaints Office	B	\$ 3,944,303	\$ 10	0.0%	\$ 3,944,303	\$ 15,000	0.4%	\$ 4,121,188	\$ 15,000	0.4%	\$ 4,121,188	\$ 15,000	0.4%
CCA191	AA	Director's Office & Administration	B	\$ 1,559,533	\$ 1,115	0.1%	\$ 1,612,489	\$ 20,000	1.2%	\$ 1,677,276	\$ 20,000	1.2%	\$ 1,677,276	\$ 20,000	1.2%
CCA191	AH	General Support/Office of Administrative Hearings	B	\$ 636,860		0.0%	\$ 636,860	\$ 5,000	0.8%	\$ 681,312	\$ 5,000	0.7%	\$ 681,312	\$ 5,000	0.7%
CCA191	AI	Info Systems & Communications Office	B	\$ 1,138,520	\$ 3,627	0.3%	\$ 1,138,520	\$ 20,000	1.8%	\$ 1,192,053	\$ 20,000	1.7%	\$ 1,192,053	\$ 20,000	1.7%
CCA901	MA	Public Utilities Commission	B	\$ 4,421,923	\$ -	0.0%	\$ 4,421,923	\$ -	0.0%	\$ 5,352,616	\$ -	0.0%	\$ 5,352,616	\$ -	0.0%
		Totals	B	\$ 30,306,778	\$ 68,372	0.2%	\$ 30,674,422	\$ 181,764	0.6%	\$ 33,062,895	\$ 246,865	0.7%	\$ 33,245,395	\$ 246,865	0.7%
			T	\$ 630,049	\$ -	0.0%	\$ 682,549	\$ 4,000	0.6%	\$ 713,292	\$ 21,360	3.0%	\$ 713,292	\$ 21,360	3.0%

Department of xxx
Active Contracts as of December 1, 2018

Table 14

Prog ID	MOF	Amount	Frequency (M/A/O)	Max Value	Outstanding Balance	Term of Contract			Entity	Contract Description	Explanation of How Contract is Monitored	POS Y/N	Category E/L/P/C/G/S
						Date Executed	From	To					
CCA102	B	76,991.50	M	\$ 250,000	173,008.50	12/05/08	07/01/08	06/30/18	SQUIRE PATTON BOGGS (US) LLP	PROVIDE ADVICE & COUNSEL TO THE STATE (INCLUDING BUT NO LIMITED TO THE CABLE TELEVISION DIV OF THE DCCA ON ANY MATTER RELATING TO CABLE TELEVISION	Monthly invoices monitored by AG's Office and CATV Staff.	Y	C
CCA102	B	1,178.00	M	\$ 250,000	248,822.00	12/05/08	07/01/08	06/30/19	SQUIRE PATTON BOGGS (US) LLP	PROVIDE ADVICE & COUNSEL TO THE STATE (INCLUDING BUT NO LIMITED TO THE CABLE TELEVISION DIV OF THE DCCA ON ANY MATTER RELATING TO CABLE TELEVISION	Monthly invoices monitored by AG's Office and CATV Staff.	Y	C
CCA102	B	50,921.38	O	\$ 200,000	149,078.62	06/13/11	07/01/17	06/30/18	MERINA & COMPANY, LLP	CONTRACTOR PROVIDES ACCOUNTING, AUDITING, AGREED UPON PROCEDURES, FINANCE CONSULTING SVCS IN ITS ASSESSMENT OF THE FINANCIAL & OPERATING POLICIES	Monthly invoices monitored by CATV Staff.	Y	S
CCA102	B	21,950.00	O	\$ 120,000	98,050.00	07/10/13	07/01/17	06/30/18	MERINA & COMPANY, LLP	PROVIDE ACCOUNTING & REVIEW OF FILLINGS SUBMITTED BY THE CABLE OPERATORS FOR PURPOSES OF RATE INCREASES &/OR APPEALS, NEW FRANCHISES, FRANCHISE	Monthly invoices monitored by CATV Staff.	Y	S
CCA102	B	0.00	O	\$ 120,000	120,000.00	07/10/13	07/01/18	06/30/19	MERINA & COMPANY, LLP	PROVIDE ACCOUNTING & REVIEW OF FILLINGS SUBMITTED BY THE CABLE OPERATORS FOR PURPOSES OF RATE INCREASES &/OR APPEALS, NEW FRANCHISES, FRANCHISE	Monthly invoices monitored by CATV Staff.	Y	S
CCA102	B	22,690.17	M	\$ 250,000	227,309.83	08/27/18	06/25/18	06/30/23	JONES DAY	TO PROVIDE LEGAL SVCS ON BEHALF OF STATE OF HI ON CABLE, TELECOMMUNICATIONS & BROADBAND MATTERS BEFORE THE FCC & THE FEDERAL COURTS	Monthly invoices monitored by AG's Office and CATV Staff.	Y	C
CCA103	B	44,401.72	O	\$ 200,000	155,598.28	06/25/08	06/01/08	12/31/14	SAWVEL AND ASSOCIATES, INC.	ENGINEERING SERVICES IN DOCKET NOS. 2007-0176, 2008-0273, AND 2011-0206 FOR INTRA-GOVERNMENTAL WHEELING OF ELECTRICITY IN HAWAII	Monthly review	Y	S
CCA103	B	12,425.29	O	\$ 12,500	74.71	10/04/11	09/26/11	-	SAWVEL AND ASSOCIATES, INC.	ENGINEERING SERVICES IN DOCKET NO. 2011-0092 FOR MAUI ELECTRIC CO, LIMITED'S RATE CASE	Monthly review	Y	S

Department of xxx
Active Contracts as of December 1, 2018

Table 14

Prog ID	MOF	Amount	Frequency	Max Value	Outstanding	Date		To	Entity	Contract Description	Explanation of How Contract is Monitored	POS	Category
			(M/A/O)		Balance	Executed	From					Y/N	E/L/P/C/G/S
CCA103	B	58,856.16	O	\$ 170,000	111,143.84	06/27/12	06/21/12	-	SYNAPSE ENERGY ECONOMICS, INC.	ECONOMIC SERVICES IN DOCKET NOS. 2012-0036, 2014-0183, AND 2014-0192 FOR HECO COMPANIES' INTEGRATED RESOURCES PLANNING, POWER SUPPLY IMPROVEMENT PLANS, AND DISTRIBUTED ENERGY RESOURCES POLICIES	Monthly review	Y	S
CCA103	B	9,185.00	O	\$ 22,000	12,815.00	06/28/12	06/22/12	-	TECHNICAL ASSOCIATES, INC.	RATE OF RETURN IN DOCKET NO. 2012-0099 FOR THE HAWAII ELECTRIC LIGHT COMPANY, INC.'S RATE CASE	Monthly review	Y	S
CCA103	B	39,477.65	O	\$ 106,000	66,522.35	06/28/12	06/26/12	-	SAWVEL AND ASSOCIATES, INC.	ENGINEERING SERVICES IN DOCKET NO. 2012-0099 FOR THE HAWAII ELECTRIC LIGHT COMPANY, INC.'S RATE CASE	Monthly review	Y	S
CCA103	B	25,829.30	O	\$ 35,000	9,170.70	01/17/14	01/06/14	-	UTILITECH, INC.	REGULATORY ACCOUNTING SERVICES IN DOCKET NO. 2013-0141 FOR DECOUPLING MECHANISMS FOR HAWAIIAN ELECTRIC COMPANIES'	Monthly review	Y	S
CCA103	B	0.00	O	\$ 115,000	115,000.00	01/17/14	01/06/14	-	UTILITECH, INC.	REGULATORY ACCOUNTING SERVICES IN DOCKET NO. 2013-0141 FOR DECOUPLING MECHANISMS FOR HAWAIIAN ELECTRIC COMPANIES'	Monthly review	Y	S
CCA103	B	0.00	O	\$ 50,000	50,000.00	01/17/14	01/06/14	-	UTILITECH, INC.	REGULATORY ACCOUNTING SERVICES IN DOCKET NO. 2013-0141 FOR DECOUPLING MECHANISMS FOR HAWAIIAN ELECTRIC COMPANIES'	Monthly review	Y	S
CCA103	B	13,518.41	O	\$ 75,000	61,481.59	06/06/14	05/04/14	-	SYNAPSE ENERGY ECONOMICS, INC.	ECONOMIC SERVICES IN DOCKET NO. 2013-0141 FOR DECOUPLING MECHANISMS FOR HAWAIIAN ELECTRIC COMPANIES'	Monthly review	Y	S
CCA103	B	0.00	O	\$ 60,000	60,000.00	06/06/14	05/04/14	-	SYNAPSE ENERGY ECONOMICS, INC.	ECONOMIC SERVICES IN DOCKET NO. 2013-0141 FOR DECOUPLING MECHANISMS FOR HAWAIIAN ELECTRIC COMPANIES'	Monthly review	Y	S
CCA103	B	8,256.72	O	\$ 50,000	41,743.28	06/30/14	06/27/14	-	UTILITECH, INC.	ACCOUNTING SERVICES IN DOCKET NO. 2013-0373 AND 2016-0328 FOR THE HAWAIIAN ELECTRIC COMPANY, INC.'S RATE CASE	Monthly review	Y	S

Department of xxx
Active Contracts as of December 1, 2018

Table 14

Prog ID	MOF	Amount	Frequency	Max Value	Outstanding	Date		To	Entity	Contract Description	Explanation of How Contract is Monitored	POS	Category
			(M/A/O)		Balance	Executed	From					Y/N	E/L/P/C/G/S
CCA103	B	77,053.86	O	\$ 77,100	46.14	06/30/14	01/27/17	-	SAWVEL AND ASSOCIATES, INC.	ENGINEERING SERVICES IN DOCKET NO. 2013-0373 AND 2016-0328 FOR THE HAWAIIAN ELECTRIC COMPANY, INC.'S RATE CASE	Monthly review	Y	S
CCA103	B	43,578.99	O	\$ 55,000	11,421.01	06/30/14	09/28/18	-	SAWVEL AND ASSOCIATES, INC.	ENGINEERING SERVICES IN DOCKET NO. 2013-0373 AND 2016-0328 FOR THE HAWAIIAN ELECTRIC COMPANY, INC.'S RATE CASE	Monthly review	Y	S
CCA103	B	34,999.04	O	\$ 35,000	0.96	12/19/14	05/27/15	-	SAWVEL AND ASSOCIATES, INC.	ENGINEERING SERVICES IN DOCKET NO. 2014-0113 FOR THE HAWAIIAN ELECTRIC COMPANY, INC.'S SCHOFIELD GENERATING STATION	Monthly review	Y	S
CCA103	B	79,398.34	O	\$ 260,000	180,601.66	06/08/15	06/01/15	-	SAWVEL AND ASSOCIATES, INC.	ENGINEERING SERVICES IN DOCKET NOS. 2012-0036, 2014-0183, AND 2014-0192 FOR HECO COMPANIES' INTEGRATED RESOURCES PLANNING, POWER SUPPLY IMPROVEMENT PLANS AND INVESTIGATE DISTRIBUTED ENERGY RESOURCES POLICIES	Monthly review	Y	S
CCA103	B	7,862.44	O	\$ 20,000	12,137.56	04/25/16	11/28/16	-	UTILITECH, INC.	ACCOUNTING SERVICES IN DOCKET NO. 2016-0014 FOR YOUNG BROS LTD. GENERAL RATE INCREASE	Monthly review	Y	S
CCA103	B	12,053.98	O	\$ 100,000	87,946.02	09/12/16	06/20/17	-	UTILITECH, INC.	ACCOUNTING SERVICES IN DOCKET NO. 2015-0170 FOR THE HELCO INC'S GEN RATE INCREASE AND REV RATE SCHEDULE AND RULES	Monthly review	Y	S
CCA103	B	41,128.20	O	\$ 50,000	8,871.80	12/02/16	06/20/17	-	SAWVEL AND ASSOCIATES, INC.	ENGINEERING SERVICES IN DOCKET NO. 2015-0170 FOR THE HAWAII ELECTRIC LIGHT CO. INC'S GENERAL RATE INCREASE AND REVISED RATED SCHEDULES & RULE	Monthly review	Y	S
CCA103	B	58,875.00	O	\$ 96,000	37,125.00	12/14/16	12/07/16	-	SYNAPSE ENERGY ECONOMICS, INC.	ECONOMIC SERVICES IN DOCKET NOS. 2015-0170 AND 2016-0328 FOR THE HAWAIIAN ELECTRIC AND HAWAII ELECTRIC LIGHT'S APP FOR GENERAL RATE CASE	Monthly review	Y	S
CCA103	B	0.00	O	\$ 50,000	50,000.00	12/14/16	06/21/17	-	SYNAPSE ENERGY ECONOMICS, INC.	ECONOMIC SERVICES IN DOCKET NOS. 2015-0170 AND 2016-0328 FOR THE HAWAIIAN ELECTRIC AND HAWAII ELECTRIC LIGHT'S APP FOR GENERAL RATE CASE	Monthly review	Y	S

Department of xxx
Active Contracts as of December 1, 2018

Prog ID	MOF	Amount	Frequency	Max Value	Outstanding	Date		To	Entity	Contract Description	Explanation of How Contract is Monitored	POS	Category
			(M/A/O)		Balance	Executed	From					Y/N	E/L/P/C/G/S
CCA103	B	55,020.00	O	\$ 90,000	34,980.00	04/13/17	03/29/17	-	SNAVELY KING MAJOROS &	UTILITY ACCOUNTING SERVICES IN DOCKET NOS. 2016-0431 AND 2016-0328 FOR HAWAIIAN ELECTRIC'S CHGS IN DEPRECIATION & AMORTIZATION RATES & CIAC AMORTIZATION PERIOD AND RATE CASE	Monthly review	Y	S
CCA103	B	10,192.72	O	\$ 60,000	49,807.28	06/26/17	06/20/17	-	SAWVEL AND ASSOCIATES, INC.	ENGINEERING SERVICES IN DOCKET NO. 2017-0122 FOR THE HAWAII ELECTRIC LIGHT CO. INC'S PPA AGREEMENT WITH HU HONUA	Monthly review	Y	S
CCA103	B	43,027.50	O	\$ 50,000	6,972.50	11/20/17	10/19/17	-	LARKIN & ASSOCIATES, PLLC	UTILITY ACCOUNTING SERVICES IN DOCKET NO. 2017-0105 FOR THE GAS COMPANY LLC DBA HAWAII GAS' APPLICATION F/APPVL OF RATE INCREASES & REVISED RATE SCHEDULE	Monthly review	Y	S
CCA103	B	22,605.00	O	\$ 30,000	7,395.00	12/06/17	10/19/17	-	HABR ECONOMICS	RATE OF RETURN SERVICES IN DOCKET NO. 2017-0105 FOR THE GAS CO, LLC DBA HAWAII GAS APPLICATION FOR APPROVAL OF RATE INCREASES & REVISED RATE SCHEDULES & RULES	Monthly review	Y	S
CCA103	B	199,986.19	O	\$ 200,000	13.81	12/06/17	12/01/17	-	SAWVEL AND ASSOCIATES, INC.	ENGINEERING SERVICES IN DOCKET NO. 2017-0150 FOR THE MAUI ELECTRIC CO., LTD'S APPLICATION F/APPVL OF GENERAL RATE INCREASE & REVISED RATE SCHEDULE & RULES IN	Monthly review	Y	S
CCA103	B	27,049.52	O	\$ 35,000	7,950.48	12/06/17	08/27/17	-	SAWVEL AND ASSOCIATES, INC.	ENGINEERING SERVICES IN DOCKET NO. 2017-0150 FOR THE MAUI ELECTRIC CO., LTD'S APPLICATION F/APPVL OF GENERAL RATE INCREASE & REVISED RATE SCHEDULE & RULES IN	Monthly review	Y	S

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Table 14

Prog ID	MOF	Amount	Frequency	Max Value	Outstanding	Date	From	To	Entity	Contract Description	Explanation of How Contract is	POS	Category
			(M/A/O)		Balance	Executed					Monitored	Y/N	E/L/P/C/G/S
CCA103	B	218,515.57	O	\$ 265,000	46,484.43	12/06/17	12/01/17	-	UTILITECH, INC.	ACCOUNTING SERVICES IN DOCKET NO. 2017-0150 FOR THE MAUI ELECTRIC CO., LTD'S APPLICATION F/APPVL OF GENERAL RATE INCREASE & REVISED RATE SCHEDULE & RULES IN	Monthly review	Y	S
CCA103	B	21,400.00	O	\$ 40,000	18,600.00	01/16/18	12/27/17	-	PCMG AND ASSOCIATES, LLC	RATE DESIGN SERVICES IN DOCKET NO. 2017-0105 FOR THE GAS CO., LLC DBA HAWAII GAS RATE INCREASE & REVISED RATE SCHEDULES & RULES.	Monthly review	Y	S
CCA103	B	11,390.00	O	\$ 40,000	28,610.00	02/14/18	01/07/18	-	ROLKA LOUBE SALTZER ASSOCIATES	REGULATORY TELECOM SERVICES IN DOCKET NO. 2017-0208 FOR HAWAIIAN TELCOM & CINCINNATI BELL'S MERGER	Monthly review	Y	S
CCA103	B	11,387.46	O	\$ 39,000	27,612.54	02/16/18	01/31/18	-	UTILITECH, INC.	ACCOUNTING SERVICES IN DOCKET NO. 2017-0363 FOR YOUNG BROTHER'S RATE CASE	Monthly review	Y	S
CCA103	B	46,185.71	O	\$ 190,000	143,814.29	06/13/18	06/07/18	-	UTILITECH, INC.	ACCOUNTING SERVICES IN DOCKET NO. 2018-0088 FOR PUC'S PBR INVESTIGATION	Monthly review	Y	S
CCA103	B	38,748.22	M	\$ 83,000	44,251.78	06/28/18	06/30/18	-	SYNAPSE ENERGY ECONOMICS, INC.	ECONOMIC SERVICES IN DOCKET NO. 2018-0088 FOR PUC'S PBR INVESTIGATION	Monthly review	Y	S
CCA103	B	0.00	M	\$ 30,000	30,000.00	11/05/18	10/30/18	-	ALVAREZ AND ASSOCIATES LLC	ENGINEERING SERVICES IN DOCKET NO. 2018-0141 FOR HECO COMPANIES GRID MODERNIZATION PROJECT	Monthly review	Y	S
CCA105	B	2,711.78	M	\$ 19,113	16,400.98	09/05/17	08/19/18	08/18/19	NEW ANGLE SYSTEMS LLC	TO PROVIDE SCANNING OF PROFESSION & VOCATIONAL LICENSING INTO TIT FILES & SCAN BATCHES OF DOCUMENTS TO SEARCHABLE PDF FILES BID NO IFB 17-002-O	Monthly review	Y	S
CCA106	B	36,912.06	M	\$ 50,000	13,087.94	11/10/09	04/17/09	-	DALEY & HEFT, LLP	PROVIDE LEGAL SVCS TO THE SOH IN THE FOLLOWING LEGAL ACTION, SUPERIOR CT OF THE STATE OF CA FOR THE COUNTY OF ORANGE #30-200900119128 FILLED 2/28/0	Completed Work reviewed for accuracy and completeness	Y	C

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Prog ID	MOF	Amount	Frequency	Max Value	Outstanding Balance	Date	From	To	Entity	Contract Description	Explanation of How Contract is	POS	Category
			(M/A/O)			Executed					Monitored	Y/N	E/L/P/C/G/S
CCA106	B	104,790.50	M	\$ 200,000	95,209.50	04/25/16	04/15/17	04/14/18	WYMAN, OLIVER ACTUARIAL	ANALYZE RATES ON HEALTH INSURANCE PROVIDE ACTUARIAL ANALYSIS OF HEALTH INSURANCE LEGISLATION AND APPEAR AS EXPERT WITNESS REPRESENTING COMM TO	Completed Work reviewed for accuracy and completeness	Y	S
CCA106	B	6,364.05	O	\$ 40,000	33,635.95	06/24/16	06/01/16	05/31/19	INS REGULATORY INSURANCE	PERFORM THE ACTUARIAL SVCS, ANALYZING RATES, RESERVES, & RELATED MATTERS ACT-PC16	Completed Work reviewed for accuracy and completeness	Y	S
CCA106	B	0.00	O	\$ 40,000	40,000.00	06/24/16	06/01/16	05/31/19	INS REGULATORY INSURANCE	PERFORM THE ACTUARIAL SVCS, ANALYZING RATES, RESERVES, & RELATED MATTERS ACT-PC16	Completed Work reviewed for accuracy and completeness	Y	S
CCA106	B	36,975.75	M	\$ 115,000	78,024.25	11/25/16	07/01/18	06/30/19	EMPLOYEES' RETIREMENT SYSTEM	OFFICE SPACE LEASE FOR INSURANCE HEALTH BRANCH - MEMORANDUM OF AGREEMENT LEASE NO 72-30-0612 - HOLD OVER CLAUSE	N/A	N	L
CCA106	B	13,856.25	O	\$ 150,000	136,143.75	09/25/17	09/20/18	09/19/19	LEWIS & ELLIS, INC.	1)ANALYZE RATES RESERVES INVESTMENTS INCOME & RELATED MATTERS 2)TO APPEAR AS AN EXPERT WITNESS REPRESENTING T/STATE & HOPA 3)APPEAR AT PUBLIC HEAR	Completed Work reviewed for accuracy and completeness	Y	S
CCA106	B	45,892.57	O	\$ 78,400	32,507.43	03/13/18	03/09/18	03/08/19	RISK & REGULATORY CONSULTING	TO EXAMINE AS OFTEN AS DEEMED PRUDENT, THE AFFAIRS, TRANSACTIONS, ACCTS, RECORDS, DOCUMENTS & ASSETS OF LICENSED DOMESTIC INSURERS.	Bi-weekly status reports received and completed reports reviewed	Y	S
CCA106	P	0.00	M	\$ 150,000	150,000.00	03/15/18	03/08/18	09/30/18	WYMAN, OLIVER ACTUARIAL	TO ANALYZE RATES ON HEALTH INS, PROVIDE ACTUARIAL ANALYSIS OF HEALTH INS LEGISLATION & APPEAR AS EXPERT WITNESS REPRESENTING COMMISSIONER TO JUST	Completed Work reviewed for accuracy and completeness	Y	S
CCA106	B	221,576.25	O	\$ 471,079	249,502.75	07/20/18	07/19/18	07/18/19	RISK & REGULATORY CONSULTING	TO ENGAGE/CONTRACT AUDIT & ACCTG SVCS F/INSURANCE EXAMINATIONS ALOHA CARE - DTRIC INS CO LTD - PACIFIC GUARDIAN LIFE INS	Bi-weekly status reports received and completed reports reviewed	Y	S

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Table 14

Prog ID	MOF	Amount	Frequency	Max Value	Outstanding	Date			Entity	Contract Description	Explanation of How Contract is Monitored	POS	Category
			(M/A/O)		Balance	Executed	From	To				Y/N	E/L/P/C/G/S
CCA106	B	48,184.39		\$ 168,900	120,715.61	07/26/18	07/19/18	07/18/19	NOBLE CONSULTING SERVICES, INC	ENGAGE/CONTRCT AUDIT & ACCTG SVCS F/INSURANCE EXAMINATIONS HAWAII EMPLOYERS' MUTUAL INSURANCE CO INC	Bi-weekly status reports received and completed reports reviewed	Y	S
CCA106	B	33,893.00	M	\$ 125,000	91,107.00	09/17/18	09/01/18	08/31/20	WYMAN, OLIVER ACTUARIAL	PROVIDE ACTUARIAL SVCS - INCLUDING BUT NOT LIMITED TO ANALYZING RATES ON LONG-TERM CARE INSURANCE RATES FILINGS	Completed Work reviewed for accuracy and completeness	Y	S
CCA110	B	23,689.41	M	\$ 31,500	7,810.35	09/18/12	08/01/17	07/31/18	NEW KAIKO'O BUILDING, INC.	OFFICE SPACE LEASE FOR THE RICO HILO BRANCH & OCP HILO BRANCH LEASE AGREEMENT NO. 71-30-0591	Lease is monitored as needed. I	N	L
CCA110	B	48,979.85	M	\$ 60,000	11,020.15	04/27/17	11/14/16	11/14/17	VOYAGER SYSTEMS, INC.	PROVIDE TO THE STATE & IMPLEMENT ITS IMPACT SOFTWARE APPLICATION, A COMM OFF THE SHELF SOFTWARE (COTS) OR MODIFIED OFF THE SHELF (MOTS) THAT SHAL	OCP interacts with Vendor on a	Y	S
CCA111	B	230.30	M	\$ 60,000	59,769.70	09/28/07	07/01/18	06/30/19	RONIN PROPERTIES, LLC	OFFICE SPACE LEASE DAGS LS# 92-30-005	Monthly rental payments and utility bills are reviewed the supervisor of BAC.	N	L
CCA111	B	26,250.00	O	\$ 35,000	8,750.00	12/13/16	12/01/17	11/30/18	HAWAII COUNCIL ON ECONOMIC EDUCATION	PROVIDE SVCS FOR INTERACTIVE EDUCATIONAL TOOL - STOCK MARKET SIMULATION (SMS) THAT HELPS TEACH HAWAII'S STUDENTS	Investor Education staff monitors and participates in the teacher training program	Y	S
CCA112	B	17,254.11	M	\$ 42,346	25,092.33	01/26/10	08/01/18	07/31/19	SIGNATURE SERVICES	LEASE OFFICE SPACE FOR RICO-KONA BRANCH DAGS LEASE # 71-30-0579	Monthly invoices are received and paid. Onsite RICO Field Supervisor manages day to day activities in the space.		L
CCA112	B	5,565.60	M	\$ 16,697	11,131.20	05/29/15	08/01/18	07/31/19	PUUONE DEVELOPMENT	LEASE OFFICE SPACE FOR RICO-MAUI BRANCH FOR THE PERIOD OF JUNE 1, 2015 THROUGH MAY 31, 2021, LEASE NO 75-30-014	Monthly invoices are received and paid. Onsite RICO Field Supervisor manages day to day activities in the space.		L
CCA112	B	137,391.15	O	\$ 211,371	73,979.85	04/27/17	11/14/16	11/14/17	VOYAGER SYSTEMS, INC.	PROVIDE TO THE STATE & IMPLEMENT ITS IMPACT SOFTWARE APPLICATION, A COMM OFF THE SHELF SOFTWARE (COTS) OR MODIFIED OFF THE SHELF (MOTS) THAT SHAL	Weekly meetings with the vendor as development and implementation continues. Invoices reviewed as received.		S

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Active Contracts as of December 1, 2018

Table 14

Prog ID	MOF	Amount	Frequency	Max Value	Outstanding Balance	Date	From	To	Entity	Contract Description	Explanation of How Contract is	POS	Category
			(M/A/O)			Executed					Monitored	Y/N	E/L/P/C/G/S
CCA901	B	364,090.00	M	\$ 400,000	35,910.00	06/26/13	07/01/13	06/30/19	DAYHUFF GROUP LLC, THE	PROVIDE SYSTEM MAINTENANCE SVCS FOR THE PUC'S DOCKET MANAGEMENT SYSTEM (DMS) OPT TO EXTEND 2-24MOS.	Contract Administor reviews time sheets, description of services rendered, reports, summaries, analysis, etc. for performance to agency expectations.	Y	S
CCA901	B	2,352.82	M	\$ 6,630	4,277.18	02/12/16	01/01/16	11/30/20	MAUI OFFICE, LLC.	RENT, OPTR COST & GET F/PUC MAUI DIST OFC (DAGS LEASE #75-30-0611) LOC: ONE MAIN PLAZA, 2200 MAIN ST, STE 540 WAILUKU, MAUI, HI 96793 - MONTHLY		N	L
CCA901	B	217.09	M	\$ 960	742.91	02/12/16	07/01/15	05/31/20	TOLEDO, RICHARD & JOAN	RENT & GET FOR PUC HILO DIST OFC (DAGS LEASE #71-30-0056) LOCATION: KUKUAU PLAZA, 688 KINOOLE ST UNIT 106A HILO HI 96720-MONTHLY TTL 461.43		N	L
CCA901	B	1,685.41	M	\$ 4,577	2,891.75	02/12/16	07/01/15	05/31/20	TOLEDO, RICHARD & JOAN	RENT & GET FOR PUC HILO DIST OFC (DAGS LEASE #71-30-0056) LOCATION: KUKUAU PLAZA, 688 KINOOLE ST UNIT 106A HILO HI 96720-MONTHLY TTL 461.43		N	L
CCA901	B	0.00	M	\$ 960	960.00	02/12/16	07/01/15	05/31/20	TOLEDO, RICHARD & JOAN	RENT & GET FOR PUC HILO DIST OFC (DAGS LEASE #71-30-0056) LOCATION: KUKUAU PLAZA, 688 KINOOLE ST UNIT 106A HILO HI 96720-MONTHLY TTL 461.43		N	L
CCA901	B	319,000.00	M	\$ 396,000	77,000.00	06/09/16	07/01/16	06/30/19	ONE CALL CONCEPTS, INC.	ONE CALL CENTER PROVIDER TO CONTINUE OPERATION OF THE HI ONE CALL CENTER UNDER THE ADMINISTRATION OF THE PUC RFP-PUC-16-01 OPT TO EXTEND 2-12 MOS	Contract Administor reviews time sheets, description of services rendered, reports, summaries, analysis, etc. for performance to agency expectations. Vendor Manager provides Contract Administrator approval to pay invoices for services rendered.	Y	S

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<u>Prog ID</u>	<u>MOF</u>	<u>Amount</u>	<u>Frequency</u> <u>(M/A/O)</u>	<u>Max Value</u>	<u>Outstanding</u> <u>Balance</u>	<u>Date</u> <u>Executed</u>	<u>From</u>	<u>To</u>	<u>Entity</u>	<u>Contract Description</u>	<u>Explanation of How Contract is</u> <u>Monitored</u>	<u>POS</u> <u>Y/N</u>	<u>Category</u> <u>E/L/P/C/G/S</u>
CCA901	B	48,737.13	M	\$ 50,000	1,262.87	08/04/16	08/01/16	07/31/19	STRATEGEN CONSULTING, LLC	CONSULTING SERVICES IN SUPPORT OF PUC ENERGY PLANNING DOCKETS RELATED TO DER, PBR AND CBRE	Contract Administor reviews time sheets, description of services rendered, reports, summaries, analysis, etc. for performance to agency expectations. Vendor Manager provides Contract Administrator approval to pay invoices for services rendered.	Y	S
CCA901	B	24,030.95	M	\$ 50,000	25,969.05	12/22/16	12/31/16	12/30/20	MUNRO TULLOCH, INC.	CONSULTING SVCS IN SPPORT OF PUC AS IT REVIEWS & OVERSEES THE HECO IMPLEMENTATION OF IT'S ERP/EAM SYSTEM AS PART OF DOCKET#2014-0170 AND OTHER DOCKETS	Contract Administor reviews time sheets, description of services rendered, reports, summaries, analysis, etc. for performance to agency expectations. Vendor Manager provides Contract Administrator approval to pay invoices for services rendered.	Y	S
CCA901	B	88,041.85	M	\$ 90,000	1,958.15	06/29/17	07/01/17	06/30/19	SJI CONSULTING LLC	CONSULTING SERVICE IN SUPPORTING GENERAL RATE CASE AND REVISED RATE SCHEDULES AND RULES	Contract Administor reviews time sheets, description of services rendered, reports, summaries, analysis, etc. for performance to agency expectations. Vendor Manager provides Contract Administrator approval to pay invoices for services rendered.	Y	S
CCA901	B	0.00	M	\$ 90,000	90,000.00	06/29/17	07/01/17	06/30/19	SJI CONSULTING LLC	CONSULTING SERVICE IN SUPPORTING GENERAL RATE CASE AND REVISED RATE SCHEDULES AND RULES	Contract Administor reviews time sheets, description of services rendered, reports, summaries, analysis, etc. for performance to agency expectations. Vendor Manager provides Contract Administrator approval to pay invoices for services rendered.	Y	S

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Prog ID	MOF	Amount	Frequency	Max Value	Outstanding	Date			Entity	Contract Description	Explanation of How Contract is Monitored	POS	Category
			(M/A/O)		Balance	Executed	From	To				Y/N	E/L/P/C/G/S
CCA901	B	139,550.00	M	\$ 150,000	10,450.00	10/18/17	10/01/17	03/31/19	MANN, GREGORY L.	CONSULTANT TO ASSIST THE COMMISSION W/THE CINCINNATI BELL'S PROPOSED MERGER W/HAWAIIAN TELCOM - DOCKET 2017-0208	Contract Administor reviews time sheets, description of services rendered, reports, summaries, analysis, etc. for performance to agency expectations. Vendor Manager provides Contract Administrator approval to pay invoices for services rendered.	Y	S
CCA901	B	14,865.17	M	\$ 18,000	3,134.83	11/15/17	11/13/17	11/12/19	ROCKY MOUNTAIN INSTITUTE	CONSULTING SVCS IN SUPPORTING HAWAII'S ELECTRICITY MARKET TRANSFORMATION	Contract Administor reviews time sheets, description of services rendered, reports, summaries, analysis, etc. for performance to agency expectations. Vendor Manager provides Contract Administrator approval to pay invoices for services rendered.	Y	S
CCA901	B	0.00	M	\$ 100,000	100,000.00	11/15/17	11/13/17	11/12/19	ROCKY MOUNTAIN INSTITUTE	CONSULTING SVCS IN SUPPORTING HAWAII'S ELECTRICITY MARKET TRANSFORMATION	Contract Administor reviews time sheets, description of services rendered, reports, summaries, analysis, etc. for performance to agency expectations. Vendor Manager provides Contract Administrator approval to pay invoices for services rendered.	Y	S
CCA901	B	33,113.18	M	\$ 60,000	26,886.82	11/27/17	11/17/17	11/16/19	NAVIGANT CONSULTING, INC.	AS AN INDEPENDENT OBSERVERS TO ASSIST THE PUC W/THE HECO COMPANIES' RENEWABLE ENERGY PROCUREMENT	Contract Administor reviews time sheets, description of services rendered, reports, summaries, analysis, etc. for performance to agency expectations. Vendor Manager provides Contract Administrator approval to pay invoices for services rendered.	Y	S

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Active Contracts as of December 1, 2018

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Prog ID	MOF	Amount	Frequency	Max Value	Outstanding Balance	Date	From	To	Entity	Contract Description	Explanation of How Contract is Monitored	POS	Category
			(M/A/O)			Executed					Y/N	E/L/P/C/G/S	
CCA901	B	14,607.74	M	\$ 50,000	35,392.26	12/15/17	11/17/17	11/16/19	ENERGY ALLY CONSULTING LLC	CONSULTANT SVCS FOR THE PUC IN THE ADMIN OF REMAINING PROJECTS IN THE ACTIVE QUEUE OF THE FEED-IN-TARIFF(FIT) PROGRAM OPT TO EXTEND 12 MOS.	Contract Administor reviews time sheets, description of services rendered, reports, summaries, analysis, etc. for performance to agency expectations. Vendor Manager provides Contract Administrator approval to pay invoices for services rendered.	Y	S
CCA901	B	154,114.03	M	\$ 250,000	95,885.97	12/15/17	12/06/17	12/05/19	HAIKU DESIGN & ANALYSIS LLC	CONSULTANT SVCS TO ASSIST PUC WITH UTILITY REGULATION, RATEMAKING MECHANISMS, RESOURCE PLANNING & PROCUREMENT, & TRAINING OPT TO EXTEND	Contract Administor reviews time sheets, description of services rendered, reports, summaries, analysis, etc. for performance to agency expectations. Vendor Manager provides Contract Administrator approval to pay invoices for services rendered.	Y	S
CCA901	B	12,824.00	M	\$ 25,000	12,176.00	12/18/17	12/11/17	12/10/19	REGULATORY ASSISTANCE	CONSULTANT SVCS FOR THE PUC PROCEEDINGS RELATED TO THE SAFEGUARDING OF THE RFP PROCESS & PREVENTION OF UNFAIR COMPETITIVE ADVANTAGE	Contract Administor reviews time sheets, description of services rendered, reports, summaries, analysis, etc. for performance to agency expectations. Vendor Manager provides Contract Administrator approval to pay invoices for services rendered.	Y	S
CCA901	B	20,771.02	M	\$ 99,000	78,228.98	12/20/17	11/24/17	11/23/19	VILLARREAL, CHRISTOPHER	CONSULTANT SVCS TO ASSIST & ADVISE PUC ON POLICY DECISIONS ON TOPICS RELATED TO DISTRIBUTED ENERGY RESOURCES, INCLUDING THE REVIEW OF THE GRID MODERNIZATION AND MICROGRID SERVICES	Contract Administor reviews time sheets, description of services rendered, reports, summaries, analysis, etc. for performance to agency expectations. Vendor Manager provides Contract Administrator approval to pay invoices for services rendered.	Y	S

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<u>Prog ID</u>	<u>MOF</u>	<u>Amount</u>	<u>Frequency</u> <u>(M/A/O)</u>	<u>Max Value</u>	<u>Outstanding</u> <u>Balance</u>	<u>Date</u> <u>Executed</u>	<u>From</u>	<u>To</u>	<u>Entity</u>	<u>Contract Description</u>	<u>Explanation of How Contract is</u> <u>Monitored</u>	<u>POS</u> <u>Y/N</u>	<u>Category</u> <u>E/L/P/C/G/S</u>
CCA901	B	227,461.92	M	\$ 250,000	22,538.08	01/04/18	12/08/17	12/07/19	BATES WHITE, LLC	AS INDEPENDENT OBSERVERS TO ASSIST THE PUC WITH THE HECO COMPANIES RENEWABLE ENERGY PROCUREMENT	Contract Administor reviews time sheets, description of services rendered, reports, summaries, analysis, etc. for performance to agency expectations. Vendor Manager provides Contract Administrator approval to pay invoices for services rendered.	Y	S
CCA901	B	76,575.60	M	\$ 96,550	19,974.40	03/02/18	03/01/18	02/28/19	GRIDWORKS	CONSULTANT SVCS FOR THE PUC DOCKETS & PROCEEDINGS RELATED TO MAJOR ENERGY PLANNING DOCKETS, PBR	Contract Administor reviews time sheets, description of services rendered, reports, summaries, analysis, etc. for performance to agency expectations. Vendor Manager provides Contract Administrator approval to pay invoices for services rendered.	Y	S

Department of Commerce and Consumer Affairs
 Capital Improvements Program (CIP) Requests

Table 15

<u>Prog ID</u>	<u>Prog ID</u> <u>Priority</u>	<u>Dept-</u> <u>Wide</u> <u>Priority</u>	<u>Senate</u> <u>District</u>	<u>Rep.</u> <u>District</u>	<u>Project Title</u>	<u>MOF</u>	<u>FY20 \$\$\$</u>	<u>FY21 \$\$\$</u>
					None			

Department of Commerce and Consumer Affairs
CIP Lapses

Table 16

<u>Prog ID</u>	<u>Act/Year of Appropriation</u>	<u>Project Title</u>	<u>MOF</u>	<u>Lapse Amount \$\$\$\$</u>	<u>Reason</u>
		None			

Department of Commerce and Consumer Affairs
 Program ID Sub-Organizations

Table 17

<u>Program ID</u>	<u>Sub-Org Code</u>	<u>Name</u>	<u>Objective</u>
CCA 102	FA	Cable Television	To foster the development of responsive and reliable cable television communications services for the people of Hawaii, by promoting the public interest in authorizations by the state regarding cable television franchises; regulate basic cable television rates and service to ensure compliance with applicable state and federal law; expand the statewide institutional network ("INET"); continue the availability of public, education and government ("PEG") cable access; and to engage in activities promoting the expansion of, and accelerating, the deployment of broadband infrastructure.
CCA 103	HA	Consumer Advocate for Comm, Util, & Tran Svc	Through advocacy, education, and long-range planning, to ensure sustainable, reliable, safe and quality communications, utility, and transportation services at fair cost for Hawaii's consumers for the short and long-term.
CCA 104	BA	Financial Services Regulation	To ensure the safety and soundness of state-chartered and state-licensed financial institutions, and ensure regulatory compliance by state-licensed financial institutions, escrow depositories, money transmitters, mortgage servicers, mortgage loan originators and mortgage loan originator companies, by fairly administering applicable statutes and rules, in order to protect the rights and funds of depositors, borrowers, consumers and other members of the public.
CCA 105	GA	Professional & Vocational Licensing	To ensure that the individual is provided with professional, vocational, and personal services meeting acceptable standards of quality, equity and dependability by establishing and enforcing appropriate service standards; to regulate activities for the protection, welfare and safety of the participants as well as the public.
CCA 106	EA	Insurance Regulatory Services	To ensure that consumers are provided with insurance services meeting acceptable standards of quality, equity, and dependability at fair rates by establishing and enforcing appropriate service standards and fairly administering the Insurance Code.
CCA 107	IA	Hawaii Post-Secondary Education Authorization Program	To ensure the soundness of accredited degree-granting post-secondary educational institutions by fairly administering applicable statutes and rules in order to protect students, consumers, and other members of the community.

Department of Commerce and Consumer Affairs
 Program ID Sub-Organizations

Table 17

<u>Program ID</u>	<u>Sub-Org Code</u>	<u>Name</u>	<u>Objective</u>
CCA 110	DA	Office of Consumer Protection	To protect consumers by investigating alleged violations of consumer protection laws, taking legal action to stop unfair or deceptive trade practices in the marketplace, and educating consumers and businesses about their respective rights and obligations in the marketplace under Hawaii consumer protection laws.
CCA 111	CA	Business Registration and Securities Regulation	To ensure that business registration information is accurately maintained for corporations, partnerships, limited liability companies, trade names, trademarks, service marks and other entities; to run business centers to provide personalized assistance to small and startup businesses; and to ensure compliance with and enforcement of securities and franchise laws.
CCA 112	AB	Regulated Industries Complaints Office	To assist the general public through consumer education and by enforcing the state's licensing laws.
CCA 191	AA	General Support	To uphold fairness and public confidence in the marketplace, and promote sound consumer practices by increasing knowledge and opportunity for our businesses and citizens.
CCA 191	AH	General Support	To uphold fairness and public confidence in the marketplace, and promote sound consumer practices by increasing knowledge and opportunity for our businesses and citizens.
CCA 191	AI	General Support	To uphold fairness and public confidence in the marketplace, and promote sound consumer practices by increasing knowledge and opportunity for our businesses and citizens.
CCA 901*	MA	Public Utilities Commission	To ensure that regulated companies efficiently and safely provide their customers with adequate and reliable services at just and reasonable rates, while providing regulated companies with a fair opportunity to earn a reasonable rate.

Department of Commerce and Consumer Affairs
Organization Changes

Table 18

<u>Year of Change</u> <u>FY20/FY21</u>	<u>Description of Change</u>
2019	Abolished civil service position, Position No. 15984, Public Utilities Rate Analyst V, effective July 1, 2018. (CCA 103)
2019	Established new exempt position, Position No. 122703 (Pseudo No. 99002R), DFI Staff Attorney, effective August 1, 2018. (CCA 104)
2019	Redescribed exempt position, Position No. 106294, CRF Financial Institution Examiner III, to CRF Financial Institution Examiner I, effective October 29, 2018. (CCA 104)
2019	Reallocation of civil service position, Position No. 28752, Financial Institution Examiner II, to Financial Institution Examiner III, effective November 1, 2018. (CCA 104)
2019	Redescribed exempt position, Position No. 121996, CRF Financial Institution Examiner I, to CRF Financial Institution Examiner II, effective November 1, 2018. (CCA 104)
2019	Redescribed exempt position, Position No. 118769, from CRF Program Analyst to PVL Licensing Program Analyst, effective July 16, 2018. (CCA 105)
2019	Established new civil service position, Position No. 122718 (Pseudo No. 99003R), Office Assistant V, effective August 1, 2018. (CCA 105)
2019	Established new temporary exempt position, Position No. 122759 (Pseudo No. 99011R), PVL Office Assistant IV, effective August 31, 2018. (CCA 105)
2019	Established new temporary exempt position, Position No. 122760 (Pseudo No. 99012R), PVL Office Assistant V, effective August 31, 2018. (CCA 105)
2019	Reallocation of civil service position, Position No. 32530, from Regulatory Boards/Commissions Administrative Assistant III, to Regulatory Boards/Commissions Administrative Assistant I, effective September 16, 2018. (CCA 105)
2019	Reallocation of civil service position, Position No. 120570, from Regulatory Boards/Commissions Administrative Assistant II, to Regulatory Boards/Commissions Administrative Assistant III, effective September 16, 2018. (CCA 105)
2019	Redescription of exempt position, Position No. 110696, IRF Insurance Examiner III, to IRF Insurance Examiner II, effective September 4, 2018. (CCA 106)
2019	Abolished exempt position, Position No. 120528, INS Health Premium Rate Analyst, effective October 1, 2018. (CCA 106)
2019	Abolished exempt position, Position No. 120529, INS Health Premium Rate Analyst, effective October 1, 2018. (CCA 106)
2019	Abolished exempt position, Position No. 120530, INS Health Premium Rate Analyst, effective October 1, 2018. (CCA 106)
2019	Abolished exempt position, Position No. 121504, INS Health Costs & Regulatory Analyst, effective October 1, 2018. (CCA 106)
2019	Abolished exempt position, Position No. 122021, INS Health Insurance Information Tech Specialist, effective October 1, 2018. (CCA 106)
2019	Abolished exempt position, Position No. 122021, INS Health Insurance Actuary, effective October 1, 2018. (CCA 106)
2019	Abolished exempt position, Position No. 101841, Staff Attorney, effective July 1, 2018. (CCA 111)

Department of Commerce and Consumer Affairs
Organization Changes

Table 18

<u>Year of Change</u> <u>FY20/FY21</u>	<u>Description of Change</u>
2019	Reallocation of civil service position, Position No. 118479, from Investigator IV, to Investigator I, effective August 13, 2018. (CCA 112)
2019	Reallocation of civil service position, Position No. 12624, from Investigator I, to Investigator II, effective August 16, 2018. (CCA 112)
2019	Reallocation of civil service position, Position No. 118430, from Investigator II, to Investigator III, effective August 16, 2018. (CCA 112)
2019	Reallocation of civil service position, Position No. 118478, from Investigator II, to Investigator III, effective August 16, 2018. (CCA 112)
2019	Established new civil position, Position No. 122719 (Pseudo No. 99004R), Program Specialist IV, effective August 6, 2018. (CCA 191)
2019	Reallocation of civil service position, Position No. 11249, from Account Clerk IV, to Account Clerk V, effective August 16, 2018. (CCA 191)
2019	Redescribed exempt position, Position No. 102155, PUC Attorney II, to PUC Attorney III, effective July 1, 2018. (CCA 901)
2019	Redescribed exempt position, Position No. 121799, PUC Attorney II, to PUC Attorney III, effective July 1, 2018. (CCA 901)
2019	Redescribed exempt position, Position No. 100540, PUC Attorney I, to PUC Attorney II, effective July 1, 2018. (CCA 901)
2019	Reallocation of civil service position, Position No. 106174, from Investigator IV, to Investigator III, effective August 16, 2018. (CCA 901)
2019	Established temporary exempt position, Position No. 122818 (Pseudo No. 99013R), PUC Enforcement Officer, effective September 16, 2018. (CCA 901)
2019	Established temporary exempt position, Position No. 122819 (Pseudo No. 99014R), PUC Enforcement Officer, effective September 16, 2018. (CCA 901)
2019	Redescribed exempt position, Position No. 102524, PUC Utility Analyst II, to PUC Utility Analyst I, effective November 1, 2018. (CCA 901)
2019	Redescribed exempt position, Position No. 117633, PUC Utility Analyst II, to PUC Utility Analyst I, effective November 1, 2018. (CCA 901)
2019	Redescribed exempt position, Position No. 106173, PUC Economist I, to PUC Economist II, effective November 1, 2018. (CCA 901)
2019	Redescribed exempt position, Position No. 118031, PUC Utility Analyst I, to PUC Utility Analyst II, effective November 1, 2018. (CCA 901)