Schedule 9.A					
Cash Fund Status for: *Multiple Employer Welfare Arrangement (MEWA) Cash Fund #16Q* **C.R.S. Citation:** *10-16-902(6), C.R.S.*					
Cash Fund Revenue and Expenditure Trend Information					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Beginning Balance	670	670	670	670	670
Exempt Revenue					
Non-Exempt Revenue	0	0	0	0	0
Total Expenditures	0	0	0	0	0
Ending Balance	670	670	670	670	670
Ending Balance – Cash Assets					
Reserves Increase/Decrease	0	0	0	0	0
Fee Levels					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
1. Application Fee	$500	$500	$500	$500	500
2. Renewal Fee	$670-$3,345	$670-$3,345	$670-$3,345	$670-$3,345	$670-$3,345
Cash Fund Reserve Balance					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	0	0			
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	0	0	0	0	0
Excess Uncommitted Fee Reserve Balance	0	0	0	0	0
Deadline for Complying with the Target/Alternative Reserve Balance:				N/A	

Cash Fund Narrative Information	
Purpose/Background of Fund	The fund exists to support the costs of the Multiple Employer Welfare Arrangement (MEWA) pilot program in the Division of Insurance.
Fee Sources	The fund is supported by fees imposed by the Commissioner of Insurance on participating MEWAs, including a $500 application fee (for background investigation and review) as well as annual fees ranging from $670-$3,345 on each MEWA depending on respective premiums, charges, and funds. There is a maximum of 18 MEWAs for the program.
Non-Fee Sources	Earned interest.
Long Bill Groups Supported by Fund	Division of Insurance
Statutory or Other Restriction on Use of Fund	The fund may only be used to cover the direct and indirect costs of the MEWA program.
Revenue Drivers	The number and volume of participating MEWAs affects the amount of fee revenue.
Expenditure Drivers	The workload in investigating, reviewing, and administering the MEWA program.
Assessment of Potential for Compliance	This fund is presently in compliance. Expenditures and revenues are less than $50,000.
Action	☐ Already in Compliance ☐ Statute Change[1] ☐ Planned Fee Reduction[1]
	☐ Planned One-time Expenditure(s)[1] ☐ Planned Ongoing Expenditure(s)[1] ☐ Waiver[2]

Cash Fund Expenditure Line Item Detail and Change Requests

	Actual FY 2008-09	Actual FY 2009-10	Estimate FY 2010-11	Request FY 2011-12	Projected FY 2012-13
Division of Insurance					
Personal Services	0	0	0	0	0
Division Subtotal	0	0	0	0	0
TOTAL	0	0	0	0	0

Schedule 9.A					
Cash Fund Status for: *Mandated Health Insurance Cash Fund #16U* **C.R.S. Citation:** *10-16-103.3(8), C.R.S.*					
Cash Fund Revenue and Expenditure Trend Information					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Beginning Balance	10,536	10,536	10,536	10,536	10,536
Exempt Revenue					
Non-Exempt Revenue	0	0	0	0	0
Total Expenditures	0	0	0	0	0
Ending Balance	10,536	10,536	10,536	10,536	10,536
Ending Balance – Cash Assets					
Reserves Increase/Decrease	0	0	0	0	0
Fee Levels					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
No fees are presently assessed for this fund.					
Cash Fund Reserve Balance					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	0	0	0	0	0
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	0	0	0	0	0
Excess Uncommitted Fee Reserve Balance	0	0	0	0	0
Deadline for Complying with the Target/Alternative Reserve Balance:				N/A	

Cash Fund Narrative Information	
Purpose/Background of Fund	The fund exists to support the costs of the Commission on Mandated Health Insurance Benefits, which assesses the impact of mandated health insurance benefits in Colorado.
Fee Sources	Fees assessed to health carriers.
Non-Fee Sources	Earned interest.
Long Bill Groups Supported by Fund	Division of Insurance
Statutory or Other Restriction on Use of Fund	The fund may only be used to cover the direct and indirect costs of the Mandated Health Commission.
Revenue Drivers	Fees set to cover expenditures for administrative support of the Commission.
Expenditure Drivers	Expenditures are for administrative support of the Commission; however, no costs for this purpose have been incurred in recent years. Future costs are subject to frequency of meetings and required support of the Commission, which has been negligible in recent years.
Assessment of Potential for Compliance	This fund is presently in compliance. Expenditures and revenues are less than $50,000.
Action	☐ Already in Compliance ☐ Statute Change[1] ☐ Planned Fee Reduction[1]
	☐ Planned One-time Expenditure(s)[1] ☐ Planned Ongoing Expenditure(s)[1] ☐ Waiver[2]

Cash Fund Expenditure Line Item Detail and Change Requests

	Actual FY 2008-09	Actual FY 2009-10	Estimate FY 2010-11	Request FY 2011-12	Projected FY 2012-13
Division of Insurance					
Personal Services	0	0	0	0	0
Division Subtotal	0	0	0	0	0
TOTAL	0	0	0	0	0

Schedule 9.A					
Cash Fund Status for: *Fixed Utilities Fund #184* **C.R.S. Citation:** *40-2-114, C.R.S.*					
Cash Fund Revenue and Expenditure Trend Information					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Beginning Balance	676,249	773,888	1,865,644	1,061,332	877,830
Exempt Revenue					
Non-Exempt Revenue	12,101,902	12,747,755	11,728,676	12,356,920	12,665,827
Total Expenditures	12,004,263	11,655,999	12,532,988	12,540,422	12,665,827
Ending Balance	773,888	1,865,644	1,061,332	877,830	877,830
Ending Balance – Cash Assets					
Reserves Increase/Decrease	97,639	1,091,756	(804,312)	(183,502)	0
Fee Levels					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
1. Fixed Utilities Assessment	11,753,931	12,208,588	11,728,676	12,350,827	12,662,825
Cash Fund Reserve Balance					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	773,888	1,865,644	1,061,332	877,830	877,830
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	1,980,703	1,923,240	2,067,943	2,069,170	2,089,861
Excess Uncommitted Fee Reserve Balance	(1,206,815)	(57,596)	(1,006,611)	(1,191,340)	(1,212,032)
Deadline for Complying with the Target/Alternative Reserve Balance:					

Cash Fund Narrative Information	
Purpose/Background of Fund	The fund exists to support the administrative expenses of the Public Utilities Commission (PUC) for the supervision and regulation of the public utilities and for financing the Office of Consumer Counsel (OCC). Three percent of the revenue collected pursuant to fixed utilities law is transferred to the General Fund. The remaining 97 percent is available for use by PUC and OCC (§40-2-114, C.R.S.).
Fee Sources	The fund receives revenues from an annual assessment against regulated utilities, performed by Department of Revenue based on a computation pursuant to statute (§40-2-112, C.R.S.).
Non-Fee Sources	Federal grant for pipeline safety is deposited into the fund.
Long Bill Groups Supported by Fund	Public Utilities Commission, Office of Consumer Counsel
Statutory or Other Restriction on Use of Fund	The fund may only be used for purposes stated in 40-2-114 regarding PUC's regulation of fixed utilities.
Revenue Drivers	Assessments are made annually based on the Long Bill appropriation to the PUC, allocation of potted line items, any special bills, the appropriation to the OCC, and OCC pots. Assessments also take into consideration any fund balance and must be sufficient to cover the 3 percent transfer to the General Fund.
Expenditure Drivers	Expenditures are driven by program costs and correspond to legislative appropriations for the Public Utilities Commission. For this fund, expenditures include personal services, operating costs, expert testimony and hearings expenses, legal services, and various central appropriations. Expenditures can vary based on staffing and the need for legal and hearings expenses.
Assessment of Potential for Compliance	This fund is presently in compliance.
Action	☐ Already in Compliance ☐ Statute Change[1] ☐ Planned Fee Reduction[1]
	☐ Planned One-time Expenditure(s)[1] ☐ Planned Ongoing Expenditure(s)[1] ☐ Waiver[2]

Cash Fund Expenditure Line Item Detail and Change Requests

	Actual FY 2008-09	Actual FY 2009-10	Estimate FY 2010-11	Request FY 2011-12	Projected FY 2012-13
Public Utilities Commission					
Personal Services	7,553,427	7,230,946	8,019,774	7,980,468	8,060,273
Operating Expenses	359,899	401,004	404,333	387,561	391,437
Expert Testimony	9,850	25,000	25,000	25,000	25,250
Indirect Cost Assessment	963,748	888,758	594,738	588,468	594,353
Centrally Appropriated Lines/OCC transfer/Other	3,117,339	3,110,291	3,489,142	3,558,925	3,594,514
Division Subtotal	12,004,263	11,655,999	12,532,988	12,540,422	12,665,827
TOTAL	12,004,263	11,655,999	12,532,988	12,540,422	12,665,827

Schedule 9.A

Cash Fund Status for: *Motor Carrier Fund #185* **C.R.S. Citation:** 40-2-110.5, C.R.S.

Cash Fund Revenue and Expenditure Trend Information

	Actual FY 2008-09	Actual FY 2009-10	Estimate FY 2010-11	Request FY 2011-12	Projected FY 2012-13
Beginning Balance	484,770	850,126	1,474,734	922,384	423,236
Exempt Revenue			1,100,000	1,100,000	1,100,000
Non-Exempt Revenue	1,992,461	2,274,172	64,518	42,715	267,707
Total Expenditures	1,627,105	1,649,565	1,716,868	1,641,863	1,658,281
Ending Balance	850,126	1,474,734	922,384	423,236	132,662
Ending Balance – Cash Assets					
Reserves Increase/Decrease	365,356	624,608	(552,350)	(499,148)	(290,574)

Fee Levels

	Actual FY 2008-09	Actual FY 2009-10	Estimate FY 2010-11	Request FY 2011-12	Projected FY 2012-13
1. Annual identification fee	$50	$50	$5	$5	$31

Cash Fund Reserve Balance

	Actual FY 2008-09	Actual FY 2009-10	Estimate FY 2010-11	Request FY 2011-12	Projected FY 2012-13
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	850,126	1,474,734	51,103	15,821	25,967
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	268,472	272,178	10,645	7,048	44,172
Excess Uncommitted Fee Reserve Balance	581,654	1,202,556	40,458	8,773	(18,205)
Deadline for Complying with the Target/Alternative Reserve Balance:				June 30, 2010	

Cash Fund Narrative Information

Purpose/Background of Fund	The fund exists to support the PUC's administration of laws governing the regulation of motor carriers in Colorado.
Fee Sources	Fees sources include permit fees and annual $5 federal and state identification fees from regulated motor carriers. State identification fees were changed from a statutory maximum of $5 in response to revenue shortfalls from the federally authorized fee, and this required a fee increase to $50 during FY 08-09. Federal fees have resumed, permitting the fee to be reduced to $5 once again in order to reduce fund balance. Fees are adjusted each year to match expenditures and fluctuating federal UCR revenue. For SB 98-194 purposes, the $5 federal fee is considered a non-fee revenue source as it is not a fee set by PUC; although this is not reported as such in recent actuals, an adjustment in reporting will be made in future years. Additionally, there are miscellaneous minor fee sources.
Non-Fee Sources	Earned interest.
Long Bill Groups Supported by Fund	Public Utilities Commission
Statutory or Other Restriction on Use of Fund	The fund may only be used for PUC's regulation of motor carriers.
Revenue Drivers	Revenue is the result of the number of motor carriers who pay for permits and the annual registration fee, as well as revenues from the Unified Carrier Registration (UCR) system.

Expenditure Drivers	Expenditures are driven by program costs and correspond to legislative appropriations for the Public Utilities Commission. For this fund, expenditures include personal services, operating costs, expert testimony and hearings expenses, legal services, and various central appropriations. Expenditures can vary based on staffing and the need for legal and hearings expenses.
Assessment of Potential for Compliance	This fund is presently not listed as in compliance based on federal UCR fees, but this will be corrected in future years and compliance will be shown effective June 30, 2010. Most revenue is not from a state fee.
Action	☐ Already in Compliance ☐ Statute Change[1] ☐ Planned Fee Reduction[1]
	☐ Planned One-time Expenditure(s)[1] ☐ Planned Ongoing Expenditure(s)[1] ☐ Waiver[2]

Cash Fund Expenditure Line Item Detail and Change Requests

	Actual FY 2008-09	Actual FY 2009-10	Estimate FY 2010-11	Request FY 2011-12	Projected FY 2012-13
Public Utilities Commission					
Personal Services	1,172,515	1,187,778	1,317,354	1,200,832	1,212,840
Operating Expenses	50,203	59,444	59,938	57,452	58,026
Indirect Cost Assessment	199,558	185,385	124,056	122,748	123,975
Centrally Appropriated Lines	204,829	216,957	255,717	260,831	263,439
Division Subtotal	1,627,105	1,649,565	1,757,064	1,641,863	1,658,281
TOTAL	1,627,105	1,649,565	1,757,064	1,641,863	1,658,281

Schedule 9.B

Compliance Plan for: *Motor Carrier Fund #185 C.R.S. Citation: 40-2-110.5, C.R.S.*

C.R.S. Citation	12-22-706, C.R.S.
Action	Reduce fees at earliest possible date.
Plan Description	Prior years reported in excess of $1 million Federal UCR fee revenue as fee revenue for SB 98-194 compliance purposes. However, this revenue is exempt from SB 98-194 since it is not a fee that is set by the PUC at the State level. Future years will correct this reporting, and compliance is forecast based on non-exempt revenue (the PUC state Stamp Fee) and prorated expenditures of non-exempt revenue.
Assumptions and Calculations	There are approximately 6,500 vehicles that pay the $5 stamp fee; combined with miscellaneous revenues this will generate $64k in FY 10-11 and $42k in FY 11-12. Expenditures of non-exempt fee revenue are calculated at total expenditures times the proportion of non-exempt revenue to total revenue ($64k to $1,164k in FY 10-11, and $42k to $1,142k in FY 11-12). This level of expenditures exhausts non-exempt revenue, and so non-exempt revenue is shown as 100% spent with no fee fund balance.

	Revenue Projected Earned Interest	Projected Expenditures	Projected Reserve for Fiscal Year	Projected 16.5% Target Reserve	Difference Over/(Under)	Projected 16.5% Target Reserve
FY 2009-10	2,274,172	1,649,565	1,474,734	272,178	1,202,556	44,909
FY 2010-11	64,518	64,518	0	10,645	(10,645)	1,757
FY 2011-12	42,715	42,715	0	7,048	(7,048)	1,163

Schedule 9.A					
Cash Fund Status for: *Nuclear Materials Transportation Fund #186* **C.R.S. Citation:** *42-20-511, C.R.S.*					
Cash Fund Revenue and Expenditure Trend Information					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Beginning Balance	40,000	40,000	0	0	0
Exempt Revenue					
Non-Exempt Revenue	122,500	140,940	140,940	143,759	146,634
Total Expenditures	122,500	180,940	140,940	143,759	146,634
Ending Balance	40,000	0	0	0	0
Ending Balance – Cash Assets					
Reserves Increase/Decrease	(0)	(40,000)	0	0	0
Fee Levels					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
1. Annual Permit Fee, per §42-20-502	$500	$500	$500	$500	$500
2. Single Trip Permit Fee, per §42-20-502	$200	$200	$200	$200	$200
Cash Fund Reserve Balance					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	40,000	40,000	40,000	40,000	40,000
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	20,213	29,855	23,255	23,720	24,195
Excess Uncommitted Fee Reserve Balance	19,787	10,145	16,745	16,280	15,805
Deadline for Complying with the Target/Alternative Reserve Balance:					

Cash Fund Narrative Information	
Purpose/Background of Fund	The fund exists to provide funding to support a permitting and inspection program for the regulation of the transport of nuclear materials within or though the state of Colorado. The purpose is to protect citizens and the environment. (§40-20-401, C.R.S.)
Fee Sources	The fund is supported by nuclear materials permit fees (annual and single trip).
Non-Fee Sources	Civil penalties.
Long Bill Groups Supported by Fund	Department of Public Safety (CDPS): Special Programs, Nuclear Materials Transportation. Department of Revenue (DOR): Motor Vehicle Business Group, Administration, Personal Services and Motor Carrier Services Division, Personal Services and Operating Expenses. The PUC has no line items supported by this fund.
Statutory or Other Restriction on Use of Fund	The fund is used to cover the costs of hazardous materials shipments, but Section 42-20-107(3), C.R.S., provides that at the end of each fiscal year, any moneys remaining in the Hazardous Materials Safety Fund "shall not revert to the general fund, but shall be subject to appropriation by the General Assembly to the executive director of the Department of Public Safety for disbursement to local governments for the purposes related to the preparation and training for and response to hazardous materials incidents."
Revenue Drivers	The number of shipments made.
Expenditure Drivers	Expenditures are driven by program costs and correspond to legislative appropriations and the number of shipments made.
Assessment of Potential for Compliance	This fund is presently in compliance.
Action	☐ Already in Compliance ☐ Statute Change[1] ☐ Planned Fee Reduction[1]
	☐ Planned One-time Expenditure(s)[1] ☐ Planned Ongoing Expenditure(s)[1] ☐ Waiver[2]

Cash Fund Expenditure Line Item Detail and Change Requests

	Actual FY 2008-09	Actual FY 2009-10	Estimate FY 2010-11	Request FY 2011-12	Projected FY 2012-13
Department of Revenue					
MVBG Administration	0	0	0	0	0
Motor Carrier Services, Personal Svcs/Operating	19,070	27,491	21,413	21,842	22,278
Department of Public Safety					
Nuclear Materials Transportation	103,430	153,449	119,527	121,917	124,356
	0	0	0	0	0
Division Subtotal	122,500	180,940	140,940	143,759	146,634
TOTAL	122,500	180,940	140,940	143,759	146,634

Schedule 9.A					
Cash Fund Status for: *Highway Crossing Protection Fund #187* **C.R.S. Citation:** *40-29-116, C.R.S.*					
Cash Fund Revenue and Expenditure Trend Information					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Beginning Balance	149,710	163,029	166,804	170,579	174,439
Exempt Revenue					
Non-Exempt Revenue	13,319	3,775	3,775	3,860	3,948
Total Expenditures	0	0	0	0	0
Ending Balance	163,029	166,804	170,579	174,439	178,387
Ending Balance – Cash Assets					
Reserves Increase/Decrease	13,319	3,775	3,775	3,860	3,948
Fee Levels					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
No fees exist for this fund.					
Cash Fund Reserve Balance					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	0	0	0	0	0
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	0	0	0	0	0
Excess Uncommitted Fee Reserve Balance	0	0	0	0	0
Deadline for Complying with the Target/Alternative Reserve Balance:					June 30, 2010

Cash Fund Narrative Information	
Purpose/Background of Fund	The fund exists to support a program that provides financial resources for the building of railroad crossing protection devices.
Fee Sources	None.
Non-Fee Sources	Subject to appropriation, there is an annual transfer from the General Fund of $240,000. The Fund retains its earned interest. No transfer is requested for FY 2009-10
Long Bill Groups Supported by Fund	PUC: Highway Crossing Protection
Statutory or Other Restriction on Use of Fund	The fund may only be used to cover costs of the Highway Crossing Protection program.
Revenue Drivers	General Fund transfers and earned interest. However, revenue will consist of only earned interest for FY 06-07, and FY 07-08, as no General Fund transfers are expected.
Expenditure Drivers	Expenditures depend on when the PUC crossing projects are completed. The Commission approves the projects, but it can be up to several years before the expenditures are made. The funds are committed each year, but not necessarily expended during the same year.
Assessment of Potential for Compliance	This fund is presently in compliance.
Action	☐ Already in Compliance ☐ Statute Change[1] ☐ Planned Fee Reduction[1]
	☐ Planned One-time Expenditure(s)[1] ☐ Planned Ongoing Expenditure(s)[1] ☐ Waiver[2]

Cash Fund Expenditure Line Item Detail and Change Requests

	Actual FY 2008-09	Actual FY 2009-10	Estimate FY 2010-11	Request FY 2011-12	Projected FY 2012-13
Public Utilities Commission					
Highway Crossing Protection	0	0	0	0	0
Division Subtotal	0	0	0	0	0
TOTAL	0	0	0	0	0

Schedule 9.A					
Cash Fund Status for: *Hazardous Materials Safety Fund #188* **C.R.S. Citation:** *42-20-107(3), C.R.S.*					
Cash Fund Revenue and Expenditure Trend Information					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Beginning Balance	18,391	3,146	8,573	0	0
Exempt Revenue					
Non-Exempt Revenue	320,694	311,961	311,961	311,961	311,961
Total Expenditures	335,939	306,535	320,534	311,961	311,961
Ending Balance	3,146	8,573	0	0	0
Ending Balance – Cash Assets					
Reserves Increase/Decrease	(15,245)	5,427	(8,573)	0	0
Fee Levels					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
1. Annual Permit Fee, per §42-20-202	$10 to $400	$10 to $400	$10 to $400	$10 to $400	$10 to $400
2. Single Trip Permit Fee, per §42-20-202	$25	$25	$25	$25	$25
Cash Fund Reserve Balance					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	3,146	8,573	0	0	0
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	55,430	50,578	52,888	51,474	51,474
Excess Uncommitted Fee Reserve Balance	(52,284)	(42,006)	(52,888)	(51,474)	(51,474)
Deadline for Complying with the Target/Alternative Reserve Balance:					June 30, 2010

Cash Fund Narrative Information	
Purpose/Background of Fund	The fund exists to provide funding to the Department of Public Safety (DPS) for the Colorado State Patrol (CSP) for hazardous material response and routing across the State. Funding is also provided to DPS for distribution to local governments (responders) for training and equipment purchases. Finally, funds are appropriated to the Department of Revenue for hazardous materials permitting. No funds are spent by DORA.
Fee Sources	The fund is supported by Hazardous materials permit fees (annual and single trip).
Non-Fee Sources	Penalties, gifts, donations, federal funds per §42-20-107, C.R.S.
Long Bill Groups Supported by Fund	Department of Public Safety, Executive Director's Office, Distribution to Local Governments--Department of Public Safety, Colorado State Patrol, Hazardous Materials Routing--Department of Revenue, Hazardous Materials Permitting Program.
Statutory or Other Restriction on Use of Fund	The fund is used to cover the costs of hazardous materials shipments, but Section 42-20-107(3), C.R.S., provides that at the end of each fiscal year, any moneys remaining in the Hazardous Materials Safety Fund "shall not revert to the general fund, but shall be subject to appropriation by the General Assembly to the executive director of the Department of Public Safety for disbursement to local governments for the purposes related to the preparation and training for and response to hazardous materials incidents."
Revenue Drivers	The number of shipments made.
Expenditure Drivers	Expenditures are driven by program costs and correspond to legislative appropriations and the number of shipments made. Department of Public Safety: personal services and operating for the Hazardous Materials Routing Program; for the Department of Revenue: Hazardous Materials Permitting Program.
Assessment of Potential for Compliance	This fund is presently in compliance.
Action	☐ Already in Compliance ☐ Statute Change[1] ☐ Planned Fee Reduction[1]
	☐ Planned One-time Expenditure(s)[1] ☐ Planned Ongoing Expenditure(s)[1] ☐ Waiver[2]

Cash Fund Expenditure Line Item Detail and Change Requests

	Actual FY 2008-09	Actual FY 2009-10	Estimate FY 2010-11	Request FY 2011-12	Projected FY 2012-13
Department of Revenue					
MVBG Administration	0	0	0	0	0
Hazardous Materials Permitting	202,363	191,917	197,340	197,340	197,340
Department of Public Safety					
Hazardous Materials Routing	115,185	111,471	114,621	114,621	114,621
Distribution to Local Governments	18,391	3,146	8,573	0	0
Division Subtotal	335,939	306,535	320,534	311,961	311,961
TOTAL	335,939	306,535	320,534	311,961	311,961

Schedule 9.A					
Cash Fund Status for: *Division of Registrations Cash Fund #189* **C.R.S. Citation:** *24-34-104, C.R.S.*					
Cash Fund Revenue and Expenditure Trend Information					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Beginning Balance	1,697,765	724,656	2,331,401	3,668,634	2,135,297
Exempt Revenue	2,773,200	2,365,267	2,970,967	2,970,967	2,970,967
Non-Exempt Revenue	19,951,637	22,723,131	23,260,587	20,344,320	20,479,320
Total Expenditures	23,697,947	23,481,652	24,894,321	24,848,624	24,848,624
Ending Balance	724,656	2,331,401	3,668,634	2,135,297	736,960
Ending Balance – Cash Assets					
Reserves Increase/Decrease	(751,811)	1,606,746	1,337,233	(1,533,337)	(1,398,337)
Fee Levels					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
1. There are numerous professional licensing fees for the 30 agencies in this fund. Please see the attached summary of major fees by board.					
Cash Fund Reserve Balance					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	724,656	2,158,213	3,668,634	2,135,297	736,960
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	3,910,161	3,530,371	4,107,563	4,100,023	4,100,023
Excess Uncommitted Fee Reserve Balance	(3,185,506)	(1,372,158)	(438,929)	(1,964,726)	(3,363,063)
Deadline for Complying with the Target/Alternative Reserve Balance:					June 30, 2010

Cash Fund Narrative Information	
Purpose/Background of Fund	The fund exists to support the costs of the Division to protect the public through effective licensure and enforcement for more than 30 professions and occupations.
Fee Sources	The fund is supported by numerous professional licensing fees including renewal fees, as well as original license fees, application fees, reciprocity fees, reinstatement fees, examination or examination processing fees, etc. Additionally, there are inspection and permit fees assessed in the Electrical, Plumbing, and Passenger Tramway boards.
Non-Fee Sources	Earned interest, as well as miscellaneous revenue such as sales of publications and maps. Additionally, Nurse Aides is funded from Departments of Public Health and Environment and Health Care Policy and Financing, which are required to obtain and forward federal funding.
Long Bill Groups Supported by Fund	Division of Registrations.
Statutory or Other Restriction on Use of Fund	The fund may only be used to cover costs of the Division of Registrations.
Revenue Drivers	Fees set annually so that revenue generated approximates program costs. Most renewal fees are on a two-year cycle. Actual revenue will depend on the number of payers (licensee and inspection numbers).
Expenditure Drivers	Expenditures are driven by program costs and correspond to legislative appropriations. For this fund, expenditures include personal services, associated operating expenses, expert testimony and hearings expenses, and legal services. Expenditures can vary based on staffing and the need for hearings and legal services.
Assessment of Potential for Compliance	This fund is presently in compliance. However, additional detail by board is reported in the attached Schedule 9.B to provide information on individual boards as if the legal requirements of S.B. 98-194 applied to specific subaccounts of this fund. It is important to note that the Uncommitted Reserves report accumulates the total excess balances by board but does not factor in boards that are in compliance. This serves to over-state the actual balance of the cash fund for informational purposes. In the case of the Division of Registrations Cash Fund, the individual 31 board sub-accounts of this fund routinely require adjustment for both deficit and excess fund balance, and fees for each non-compliant board are modified accordingly.
Action	☐ Already in Compliance ☐ Statute Change[1] ☐ Planned Fee Reduction[1]
	☐ Planned One-time Expenditure(s)[1] ☐ Planned Ongoing Expenditure(s)[1] ☐ Waiver[2]

Cash Fund Expenditure Line Item Detail and Change Requests

	Actual FY 2008-09	Actual FY 2009-10	Estimate FY 2010-11	Request FY 2011-12	Projected FY 2012-13
Division of Registrations					
Personal Services	12,698,341	12,354,416	12,999,859	11,972,431	11,972,431
Operating Expenses	1,433,554	1,309,991	1,373,973	1,366,692	1,366,692
Office of Expedited Settlement Program Costs		315,127	355,008	361,397	361,397
Hearings	269,704	215,768	307,075	307,075	307,075
Indirect Cost Assessment	4,095,901	4,005,665	3,460,823	3,416,018	3,416,018
Payments to Dept of HCPF	14,652	14,652	14,652	14,652	14,652
Legal Defense Account Transfers	202,317	273,117	200,000	200,000	200,000
Centrally Appropriated Lines/Other	4,983,478	4,992,916	6,182,931	7,210,359	7,210,359
Division Subtotal	23,697,947	23,481,652	24,894,321	24,848,624	24,848,624
TOTAL	23,697,947	23,481,652	24,894,321	24,848,624	24,848,624

Schedule 9.B

Compliance Plan for: *Division of Registrations Cash Fund #189*

C.R.S. Citation 24-34-104 and 12-38-131, C.R.S.

Action Reduce fees at earliest possible date for affected boards. Fee adjustments are being made for the 13 boards mentioned in the recommendation to achieve compliance as soon as possible. Some boards (Outfitters, Nursing Home Administrators, Boxing) remain on track with originally projected compliance dates in 2011 or are newly projected for compliance in 2011 (Nursing, Passenger Tramway). For other boards (Pharmacy, Chiropractic, Optometric) and for some newly non-compliant boards (Addiction Counselors, Mental Health, Barbers/Cosmetologists, and Engineers and Land Surveyors), further adjustments have been made to target compliance in 2012. Last, compliance is expected by 2013 for Massage Therapists.

Plan Description By board, the following descriptions apply:

Addiction Counselors Board: This board is newly non-compliant due to decreased expenditures and statutory changes that increased license volume.
This board's fund balance has been targeted for compliance by FY 12. Fees anticipated to decrease at next fee setting in FY 11.

Boxing Board: This board's fund balance has been targeted for compliance in 2012. Additional boxing event occurred after fee setting completed in FY 10. Fees were lowered in FY 09 and FY 10.
In addition, the event surcharge was lowered from 6% to 5 % to achieve compliance by FY 12.

Barbers/Cosmetologists Board: This board is newly non-compliant due to lower than expected expenditures. Fees were lowered in FY 09 and FY 10.
Targeted for compliance by FY 12.

Chiropractic Board: This board's fund balance has been targeted for compliance in June 2012.
Expenditures have declined, between FY 09 and FY 10. Fees anticipated to decrease at next fee setting in FY 11.

Architects/Engineers Board: This board's is newly non-compliant due to decreased expenditures. This board's fund balance has been targeted for compliance in June 2012.
Expenditures have declined between FY 09 and FY 10, and therefore fees were decreased in FY 10 and will be further reduced in FY 11.

Mental Health Board: This board is newly non-compliant due to lower than anticipated expenditures and statutory changes that increased license volume.
This board's fund balance has been targeted for compliance by FY 12. Fees anticipated to decrease at next fee setting in FY 11.

Nursing/Nurse Aides Board: This board's is newly non-compliant due to decreased expenditures and statutory changes that increased license volume more than anticipated (SB 10-129).
This board's fund balance has been targeted for compliance by FY 11. Fees were signifigantly decreased for all license types in FY 10.

Nursing Home Administrator Board: This board's balance has been in deficit for several years and was newly positive in FY 09;
however, expenditures (particularly legal expenditures) have significantly been reduced, since years prior to FY 09.
Fees were signifigantly lowered in FY 09 with compliance expected during FY 2011.

Optometric Board: This board's fund balance has been targeted for compliance during FY 2012. Fees were lowered in FY 09; however expenditures have trended lower than anticipated since FY 08-09,
which increased the fund balance greater than anticipated. Fees will be adjusted again at the next renewal cycle in FY 11.

Outfitters Board: This board's fund balance has been targeted for compliance during FY 2012. Fees were lowered in FY 09 and FY 10; however revenue estimates have trended higher than projected in FY 08-09.
Fees will be adjusted again at the next renewal cycle in FY 11.

Passenger Tramway Safety Board: This board's fund balance has been targeted for compliance in June 2011.
Expenditures, notably personal service expenditures have been trending lower, due to staff changes. This has been altered in FY 10 and the fund balance accordingly be exhausted.

Pharmacy Board: This board's fund balance has been targeted for compliance during 2011 in FY 12. Fees have been reduced each FY since FY 09 and will be in FY 11, as well to acheive compliance .

Massage Therapists Board: This board had signifigantly greater licensee volume than originally anticipated when the bill was introduced in FY 08.
The fund balance has been targeted for compliance during FY 12. Fees were lowered in FY 09 and again during the renewal cycle in FY 11.

	Fund Balance at Beginning of Fiscal Year	Revenue Projected Earned Interest	Projected Assessments	Projected Expenditures	Projected Reserve for Fiscal Year	Projected 16.5% Target Reserve	Difference Over/(Under)
FY 2010-11	2,331,401	0	26,231,554	24,894,321	3,668,634	4,107,563	(438,929)
FY 2011-12	3,668,634	0	23,315,287	24,848,624	2,135,297	4,100,023	(1,964,726)
FY 2011-12	3,668,634	0	23,315,287	24,848,624	2,135,297	4,100,023	(1,964,726)

Schedule 9.A					
Cash Fund Status for: *Prescription Drug Monitoring Cash Fund #18S* **C.R.S. Citation:** *12-22-706, C.R.S.*					
Cash Fund Revenue and Expenditure Trend Information					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Beginning Balance	56,680	274,379	105,755	158,675	95,574
Exempt Revenue	178,622	0	0	0	0
Non-Exempt Revenue	312,735	92,393	327,920	211,899	341,700
Total Expenditures	273,658	261,017	275,000	275,000	275,000
Ending Balance	274,379	105,755	158,675	95,574	162,274
Ending Balance – Cash Assets					
Reserves Increase/Decrease	217,699	(168,624)	52,920	(63,101)	66,700
Fee Levels					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
1. Assessment on licensees having prescriptive authority pursuant to statute.	$7.50	$7.50	$7.50	$7.50	$7.50
Cash Fund Reserve Balance					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	274,379	105,755	158,675	95,574	162,274
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	45,154	43,068	45,375	45,375	45,375
Excess Uncommitted Fee Reserve Balance	(229,225)	(62,687)	(113,300)	(50,199)	(116,899)
Deadline for Complying with the Target/Alternative Reserve Balance:				N/A	

Cash Fund Narrative Information	
Purpose/Background of Fund	The fund exists to support the costs of the Division in implementing the Prescription Drug Monitoring Program.
Fee Sources	The only fee source is a newly authorized assessment against licensees having prescriptive authority, including optometrists, podiatrists, nurses, physicians, dentists, and veterinarians.
Non-Fee Sources	Federal grants, gifts grants and donations, and earned interest.
Long Bill Groups Supported by Fund	Division of Registrations
Statutory or Other Restriction on Use of Fund	The fund may only be used to cover costs of the Division of Registrations.
Revenue Drivers	Fees set annually so that revenue generated approximates program costs whenever grants and donations are expected to me insufficient. Actual revenue will depend on the number of payers.
Expenditure Drivers	Expenditures are driven by program costs and correspond to legislative appropriations as well as available grant funding. For this fund, expenditures include personal services, associated operating expenses, and legal services. Expenditures can vary based on staffing and the need for legal services.
Assessment of Potential for Compliance	This fund is presently out of compliance. Prior to FY 07-08, revenue for this fund has not been from state fees. Beginning in FY 07-08, state fees began. The compliance plan for this fund appears in the Schedule 9.B.
Action	☐ Already in Compliance ☐ Statute Change[1] ☐ Planned Fee Reduction[1]
	☐ Planned One-time Expenditure(s)[1] ☐ Planned Ongoing Expenditure(s)[1] ☐ Waiver[2]

Cash Fund Expenditure Line Item Detail and Change Requests

	Actual FY 2008-09	Actual FY 2009-10	Estimate FY 2010-11	Request FY 2011-12	Projected FY 2012-13
Division of Registrations - PDMP					
Prescription Drug Monitoring	273,658	261,017	310,574	310,574	310,574
Division Subtotal	273,658	261,017	310,574	310,574	310,574
TOTAL	273,658	261,017	310,574	310,574	310,574

Schedule 9.B

Compliance Plan for: *Prescription Drug Monitoring Cash Fund #18S*

C.R.S. Citation	12-22-706, C.R.S.
Action	Reduce fees at earliest possible date.
Plan Description	This fund exists to support the costs to the Division of Registrations in implementing the Prescription Drug Monitoring Program. Non-fee sources support the Program via Federal grants, gift grants and donations and earned interest. In addition, fee sources began in FY 07-08 from licensees who have prescriptive authority, which include; optometrists, podiatrists, nurses, physicians, dentists and veterinarians. The program is presently non-compliant. However, this program is expected to achieve compliance in FY 11-12. This is due to the fact that the Division has been expending more funds from the fund balance. In addition, due to varying renewal dates dependent on each profession, there will be a 38 percent decline in the volume of licensees renewing and therefore remitting the surcharge in that respective fiscal year. Due to this, the fee will remain the same and be monitored.
Assumptions and Calculations	As stated above, there are 22,826 licensees among the various listed professions renewing in FY 11. FY 12, there will be approximately 8,000 licensees renewing, which will decrease revenue projections. These fees vary in timing as some are annual and others are for two-years. The revenue accrual process requires that not all increases/decreases will affect FY 09-10. Further fee reductions or increases will be implemented in future years in order to maintain the fund balance within statutory limits.

	Fund Balance at Beginning of Fiscal Year	Revenue		Projected Expenditures	Projected Reserve for Fiscal Year	Projected 16.5% Target Reserve	Difference Over/(Under)
		Projected Earned Interest	Projected Assessments				
FY 2010-11	105,755	0	327,920	275,000	158,675	45,375	113,300
FY 2011-12	158,675	0	334,478	280,500	212,653	46,283	166,371
FY 2011-12	95,574	0	334,478	280,500	149,552	46,283	103,270

Schedule 9.A					
Cash Fund Status for: *Viatical Settlements Cash Fund #18W* **C.R.S. Citation:** *10-7-619, C.R.S.*					
Cash Fund Revenue and Expenditure Trend Information					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Beginning Balance	27,326	33,774	43,552	41,552	39,552
Exempt Revenue					
Non-Exempt Revenue	16,040	13,170	10,000	10,000	10,000
Total Expenditures	9,592	3,392	12,000	12,000	12,000
Ending Balance	33,774	43,552	41,552	39,552	37,552
Ending Balance – Cash Assets					
Reserves Increase/Decrease	6,448	9,778	(2,000)	(2,000)	(2,000)
Fee Levels					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
1. Per Company License Fees	$500	$500		$500	$500
2. Per Producer License Fees	$30	$30		$30	$15
Cash Fund Reserve Balance					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	33,774	16,234	41,552	39,552	37,552
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	1,583	560	1,980	1,980	1,980
Excess Uncommitted Fee Reserve Balance	32,191	15,674	39,572	37,572	35,572
Deadline for Complying with the Target/Alternative Reserve Balance:					N/A

Cash Fund Narrative Information	
Purpose/Background of Fund	The purpose of the fund is to support the costs of regulating the activities of viatical settlement producers and providers involving agreements to assign, transfer, sell or bequest the death benefit or ownership of a life insurance policy in exchange for compensation less than the expected death benefit.
Fee Sources	The fund is supported by fees assessed against viatical settlement providers and life insurance producers.
Non-Fee Sources	Earned interest.
Long Bill Groups Supported by Fund	Division of Insurance Personal Services.
Statutory or Other Restriction on Use of Fund	The fund may only be used to cover costs of the Division of Insurance's work related to viatical settlements.
Revenue Drivers	The number of viatical settlement providers and life insurance producers. Fees will be reduced in FY 08-09 and beyond to reflect expenditure levels.
Expenditure Drivers	Expenditures are driven by program costs and correspond to legislative appropriations. For this fund, expenditures include personal services. Expenditures can vary based on staffing and the need for legal services. $4,488 is appropriated for the current year, after which it is expected that $12,000 will become the annual level of expenditures.
Assessment of Potential for Compliance	This fund is presently in compliance. Expenditures and revenues are less than $50,000.
Action	☐ Already in Compliance ☐ Statute Change[1] ☐ Planned Fee Reduction[1]
	☐ Planned One-time Expenditure(s)[1] ☐ Planned Ongoing Expenditure(s)[1] ☐ Waiver[2]

Cash Fund Expenditure Line Item Detail and Change Requests

	Actual FY 2008-09	Actual FY 2009-10	Estimate FY 2010-11	Request FY 2011-12	Projected FY 2012-13
Division of Insurance					
Personal Services	9,592	3,992	9,592	12,000	12,000
Division Subtotal	9,592	3,992	9,592	12,000	12,000
TOTAL	9,592	3,992	9,592	12,000	12,000

Schedule 9.A					
Cash Fund Status for: *Disabled Telephone User's Fund #196* **C.R.S. Citation:** *40-17-104, C.R.S.*					
Cash Fund Revenue and Expenditure Trend Information					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Beginning Balance	152,349	(34,698)	0	557,832	307,257
Exempt Revenue					
Non-Exempt Revenue	2,613,880	3,240,552	4,063,084	3,590,142	3,840,717
Total Expenditures	2,800,927	3,205,854	3,505,252	3,840,717	3,840,717
Ending Balance	(34,698)	0	557,832	307,257	307,257
Ending Balance – Cash Assets					
Reserves Increase/Decrease	(43,669)	34,698	557,832	(250,575)	0
Fee Levels					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
1. Per-line monthly surcharge	$0.07	$0.12	$0.20	$0.13	$0.14
Cash Fund Reserve Balance					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	(178,076)	658,661	557,832	307,257	307,257
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	462,153	N/A	N/A	N/A	N/A
Excess Uncommitted Fee Reserve Balance	(640,229)	N/A	N/A	N/A	N/A
Deadline for Complying with the Target/Alternative Reserve Balance:					N/A
Cash Fund Narrative Information					
Purpose/Background of Fund	The purpose of the Fund is to support the costs of a telephone relay service for disabled telephone users (including deaf, hard of hearing, and speech-impaired individuals, among others). Beginning with S.B. 99-165, there has been an annual transfer (increased to $200,000 during FY 06-07) to the Reading Services for the Blind Cash Fund. Each calendar year there is also an annual transfer (increased to from $25,000 to $644,724 during FY 06-07) to the Deaf and Hard of Hearing Cash Fund pursuant to §40-7-104(4)(a), C.R.S.				

Schedule 9.A					
Cash Fund Status for: *Disabled Telephone User's Fund #196* **C.R.S. Citation:** *40-17-104, C.R.S.*					
Cash Fund Revenue and Expenditure Trend Information					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Fee Sources	The relay program is funded by a uniform, per month per access line surcharge to all business and residential telephone customers. The surcharge does not apply to wireless customers. The increased subsidies to other agencies have required an increase from $0.12 per line per month to $0.20 per line per month.				
Non-Fee Sources	Earned interest.				
Long Bill Groups Supported by Fund	The PUC's appropriation includes a line item called "Disabled Telephone Users' Fund," which funds the annual contract for the provision of telephone services for the hearing impaired. The Fund also pays the salary and operational costs for the 1.0 FTE administering the program in the PUC. Additional PUC line items include "Transfer to the Reading Services for the Blind Cash Fund" pursuant to S.B. 99-165 and "Transfer to the Colorado Commission for the Deaf and Hard of Hearing".				
Statutory or Other Restriction on Use of Fund	The fund may be used by PUC to administer and fund the relay contract, and by other Departments for reading services for the blind, deaf and hard of hearing, and visually impaired.				
Revenue Drivers	Fees are determined by Public Utilities Commission to be adequate to cover program costs. The fund retains its earned interest.				
Expenditure Drivers	Expenditures are driven by program costs including the annual cost of the contract as well as Personal Services and Operating costs. Additonal costs are the result of legislation requiring transfers to other funds as noted.				
Assessment of Potential for Compliance	Beginning in FY 06-07, S.B. 06-218 exempts this fund from S.B. 98-194.				
Action	☐ Already in Compliance ☐ Statute Change[1] ☐ Planned Fee Reduction[1]				
	☐ Planned One-time Expenditure(s)[1] ☐ Planned Ongoing Expenditure(s)[1] ☐ Waiver[2]				
Cash Fund Expenditure Line Item Detail and Change Requests					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Public Utilities Commission					
Disabled Telephone Users Fund Payments	1,736,679	2,009,738	2,104,126	2,439,591	2,439,591
Personal Services, Operating, Various pots	119,521	191,152	128,869	128,869	128,869
Transfer to Reading Services for the Blind	250,000	250,000	250,000	250,000	250,000
Transfer to the Commission on Deaf and Hard of Hearing	643,139	656,142	910,190	910,190	910,190
Transfer to the Commission for the Visually Impaired	51,589	98,822	112,067	112,067	112,067
Division Subtotal	2,800,927	3,205,854	3,505,252	3,840,717	3,840,717
TOTAL	2,800,927	3,205,854	3,505,252	3,840,717	3,840,717

Schedule 9.A					
Cash Fund Status for: *Mortgage Broker Registration Cash Fund #19U* **C.R.S. Citation:** *12-61-908(2), C.R.S.*					
Cash Fund Revenue and Expenditure Trend Information					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Beginning Balance	1,136,791	407,690	(168,994)	(52,886)	3,880
Exempt Revenue					
Non-Exempt Revenue	288,236	657,621	1,487,013	1,429,140	1,328,645
Total Expenditures	1,017,337	1,234,305	1,370,905	1,372,375	1,380,190
Ending Balance	407,690	(168,994)	(52,886)	3,880	(47,665)
Ending Balance – Cash Assets					
Reserves Increase/Decrease	(729,101)	(576,684)	116,108	56,765	(51,545)
Fee Levels					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Under the previously existing program, broker license fees were set at $200 initially for a three-year period. Fee adjustments were made to bring in sufficient revenue to support expenditures. However, effective with HB 09-1085, Mortgage Broker fees are for one year.					
Mortgage Broker Registration/Renewal Fee	$200	$245	$375/$305	$375/$160	$375/$160
Mortgage Company Registration	$0	$0	$600	$600/$300	$600/$300
Cash Fund Reserve Balance					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	407,689	(168,995)	(52,886)	3,880	(47,665)
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	167,861	203,660	226,199	226,442	227,731
Excess Uncommitted Fee Reserve Balance	239,829	0	(279,085)	(222,562)	(275,397)
Deadline for Complying with the Target/Alternative Reserve Balance:					June 30, 2010

Cash Fund Narrative Information	
Purpose/Background of Fund	The fund exists to support the costs of the Division in implementing the licensure program for Mortgage Brokers.
Fee Sources	Application fees for mortgate brokers, and from their annual renewal fees.
Non-Fee Sources	Earned interest.
Long Bill Groups Supported by Fund	Division of Real Estate
Statutory or Other Restriction on Use of Fund	The fund may only be used to cover costs of the Division of Real Estate and the Department of Law related to mortgage brokers.
Revenue Drivers	Fees set annually so that revenue generated approximates program costs. Actual revenue will depend on the number of payers.
Expenditure Drivers	Expenditures are driven by program costs and correspond to legislative appropriations. For this fund, expenditures include personal services, associated operating expenses, and legal services. Expenditures can vary based on staffing and the need for hearings and legal services.
Assessment of Potential for Compliance	The fund is presently in compliance.
Action	☐ Already in Compliance ☐ Statute Change[1] ☐ Planned Fee Reduction[1]
	☐ Planned One-time Expenditure(s)[1] ☐ Planned Ongoing Expenditure(s)[1] ☐ Waiver[2]

Cash Fund Expenditure Line Item Detail and Change Requests

	Actual FY 2008-09	Actual FY 2009-10	Estimate FY 2010-11	Request FY 2011-12	Projected FY 2012-13
Division of Real Estate					
Personal Services	366,592	433,707	681,034	572,539	572,539
Operating Expenses/Other	27,035	12,788	41,331	37,967	37,967
Hearings				0	0
Commission Meetings				0	0
Mortgage Broker Consumer Protection	295,724	304,252	305,313	305,313	305,313
Indirect Cost Assessment	90,753	85,160	66,485	65,784	65,784
Centrally Appropriated Lines	237,233	398,397	276,742	390,772	398,588
Department of Law					
Mortgage Broker Consumer Protection	295,724	304,252	305,313	305,313	305,313
Division Subtotal	1,017,337	1,234,305	1,370,905	1,372,375	1,380,190
TOTAL	1,017,337	1,234,305	1,370,905	1,372,375	1,380,190

Schedule 9.B

Compliance Plan for: *Mortgage Broker Registration Cash Fund #19U*

C.R.S. Citation	12-61-908(2), C.R.S.
Action	Increase fees at earliest possible date.
Plan Description	This fund was created to support the costs of the Division in the implementation of Mortgage Broker Registrations as originally required by HB 06-1161 and as further required by four bills passed during the 2007 Legislative session. Presently the fund is not in compliance. This was due to expenditure costs, which drive the program costs, being greater than expected. The expenditures will trend to what has been anticipated beginning in FY 09-10 and continue on that cycle ongoing. In addition, the anticipated volume of fee payers has declined due to industry conditions. The Division now has a more accurate picture of the volume of licensees (brokers.) As well, C.R.S. 12-61-903.1, was enacted in FY 10, which will bring the addition of Mortgage Companies into the fold, beginning in FY 11. Fees were slightly increased for the Mortgage broker population and is expected to attain a positive fund balance level (approximately $118,000) in FY 11.
Assumptions and Calculations	As stated above, an increased fee will raise revenue projections. These fees were previously renewed on a three year cycle, but are now annual. The revenue accrual process requires that not all of these increases will impact FY 09-10. Further fee reductions or increases will be implemented in future years in order to maintain the fund balance within statutory limits.

	Fund Balance at Beginning of Fiscal Year	Revenue		Projected Expenditures	Projected Reserve for Fiscal Year	Projected 16.5% Target Reserve	Difference Over/(Under)
		Projected Earned Interest	Projected Assessments				
FY 2010-11	(168,994)	0	1,487,013	1,370,905	(52,886)	226,199	(279,085)
FY 2011-12	(52,886)	0	1,457,723	1,457,723	(52,886)	240,524	(293,410)
FY 2011-12	(52,886)	0	1,516,753	1,398,323	65,545	230,723	(165,178)

Schedule 9.A					
Cash Fund Status for: *Division of Real Estate Cash Fund #212* **C.R.S. Citation:** *12-61-111.5(2)(b), C.R.S.*					
Cash Fund Revenue and Expenditure Trend Information					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Beginning Balance	(823,765)	(1,047,045)	70,329	225,671	156,213
Exempt Revenue					
Non-Exempt Revenue	3,919,601	5,054,214	4,345,713	4,120,042	4,382,693
Total Expenditures	4,142,881	3,936,840	4,190,371	4,189,500	4,382,693
Ending Balance	(1,047,045)	70,329	225,671	156,213	156,213
Ending Balance – Cash Assets					
Reserves Increase/Decrease	(223,280)	1,117,374	155,342	(69,458)	0
Fee Levels					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
1. Broker Fees (Original/Renewal)	250/150	500/195	350/150	350/150	350/150
2. Appraiser Fees (Original/Renewal)	125/165-210	250/195-285	225/195-285	225/195-285	225/195-285
3. Subdivision Fees (Original/Renewal)	1000/151	1000/287	1500/287	1500/287	1500/287
Cash Fund Reserve Balance					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	(1,047,045)	557,879	225,671	156,213	156,213
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	683,575	649,579	691,411	691,268	723,144
Excess Uncommitted Fee Reserve Balance	(1,730,620)	(91,700)	(465,740)	(535,055)	(566,932)
Deadline for Complying with the Target/Alternative Reserve Balance:					
Cash Fund Narrative Information					
Purpose/Background of Fund	The fund exists to support the costs of the Division in carrying out its mission to protect the from incompetent and dishonest real estate practitioners.				

Fee Sources	The majority of revenue is from application fees for real estate brokers and appraisers, and from their annual renewal fees for licensure.
Non-Fee Sources	Earned interest.
Long Bill Groups Supported by Fund	Division of Real Estate
Statutory or Other Restriction on Use of Fund	The fund may only be used to cover costs of the Division of Real Estate
Revenue Drivers	Fees set annually so that revenue generated approximates program costs. Actual revenue will depend on the number of payers.
Expenditure Drivers	Expenditures are driven by program costs and correspond to legislative appropriations. For this fund, expenditures include personal services, associated operating expenses, and legal services. Expenditures can vary based on staffing and the need for hearings and legal services.
Assessment of Potential for Compliance	This fund is presently in compliance.
Action	☐ Already in Compliance ☐ Statute Change[1] ☐ Planned Fee Reduction[1]
	☐ Planned One-time Expenditure(s)[1] ☐ Planned Ongoing Expenditure(s)[1] ☐ Waiver[2]

Cash Fund Expenditure Line Item Detail and Change Requests

	Actual FY 2008-09	Actual FY 2009-10	Estimate FY 2010-11	Request FY 2011-12	Projected FY 2012-13
Division of Real Estate					
Personal Services	2,571,117	2,414,776	2,882,764	2,423,511	2,471,981
Operating Expenses	186,071	172,555	174,949	160,710	163,924
Hearings	133		3,079	3,079	3,141
Commission Meetings	21,955	13,430	31,415	31,415	32,043
CBI/FBI Record Checks		0			0
Indirect Cost Assessment	469,075	420,478	281,424	278,458	284,027
Centrally Appropriated Lines	894,530	915,601	816,741	1,292,328	1,318,175
Recovery Fund Payments	0	0			
Division Subtotal	4,142,881	3,936,840	4,190,371	4,189,500	4,273,290
TOTAL	4,142,881	3,936,840	4,190,371	4,189,500	4,273,290

Schedule 9.A					
Cash Fund Status for: *Division of Securities Cash Fund #213* **C.R.S. Citation:** *11-51-707, C.R.S.*					
Cash Fund Revenue and Expenditure Trend Information					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Beginning Balance	545,533	287,450	617,992	268,541	333,863
Exempt Revenue					
Non-Exempt Revenue	3,010,216	3,559,549	3,209,232	3,808,196	3,808,196
Total Expenditures	3,268,298	3,229,008	3,558,683	3,742,874	3,795,880
Ending Balance	287,450	617,992	268,541	333,863	346,179
Ending Balance – Cash Assets					
Reserves Increase/Decrease	(258,083)	330,541	(349,451)	65,322	12,316
Fee Levels					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
1. Broker/Dealer and Firm Fees	65	69	61	80	80
2. Representative fees	14	14	11	20	20
Cash Fund Reserve Balance					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	287,450	617,992	268,541	333,863	346,179
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	539,269	532,786	587,183	617,574	626,320
Excess Uncommitted Fee Reserve Balance	(251,819)	85,205	(318,642)	(283,712)	(280,142)
Deadline for Complying with the Target/Alternative Reserve Balance:				June 30, 2010	

Cash Fund Narrative Information

Purpose/Background of Fund	The fund exists to support the costs of the Division in carrying out its mission to protect investors and maintain public confidence in the securities markets while avoiding unreasonable burdens on participants in the capital markets.
Fee Sources	The majority of revenue is from initial licensing fees and renewal fees on broker/dealers, representatives and investment advisor licensees. Other minor, miscellaneous fees include registration and exemption from filing, interpretative opinion fees, and other miscellaneous fees. The Department sets fees annually to approximate expenditures.
Non-Fee Sources	Earned interest.
Long Bill Groups Supported by Fund	Division of Securities
Statutory or Other Restriction on Use of Fund	The fund may only be used to cover costs of the Division of Securities.
Revenue Drivers	Fees set annually so that revenue generated approximates program costs. Actual revenue will depend on the number of payers.
Expenditure Drivers	Expenditures are driven by program costs and correspond to legislative appropriations. For this fund, expenditures include personal services, associated operating expenses, and legal services. Expenditures can vary based on staffing and the need for hearings and legal services.
Assessment of Potential for Compliance	This fund is presently out of compliance.
Action	☐ Already in Compliance ☐ Statute Change[1] ☐ Planned Fee Reduction[1]
	☐ Planned One-time Expenditure(s)[1] ☐ Planned Ongoing Expenditure(s)[1] ☐ Waiver[2]

Cash Fund Expenditure Line Item Detail and Change Requests

	Actual FY 2008-09	Actual FY 2009-10	Estimate FY 2010-11	Request FY 2011-12	Projected FY 2012-13
Division of Securities					
Personal Services	1,854,133	1,856,638	2,150,318	2,132,555	2,175,206
Operating Expenses	47,769	70,421	57,891	67,829	47,816
Hearings	19,134	12,271	19,594	19,594	19,594
Board Meeting Costs	1,416	2,505	4,500	4,500	4,500
Securities Fraud Prosecution	454,785	473,028	493,081	493,081	502,943
Indirect Cost Assessment	244,417	238,960	167,840	166,071	169,392
Centrally Appropriated Lines	748,193	575,184	665,459	859,244	876,429
Department of Law					
Securities Fraud Prosecution (non-add)	454,785	473,028	493,081	493,081	502,943
Division Subtotal	3,369,847	3,229,008	3,558,683	3,742,874	3,795,880
TOTAL	3,369,847	3,229,008	3,558,683	3,742,874	3,795,880

Schedule 9.B
Compliance Plan for: *Division of Securities Cash Fund #213*

C.R.S. Citation	11-51-129, C.R.S.
Action	Reduce fees at earliest possible date.
Plan Description	Following fee increases of 20% (broker/dealers, investment firms) and 30% (investment representatives) between FY 07 and FY 08, the number of license applicants was higher than expected for FY06 and FY07 which eliminated the ability to achieve fund balance compliance at June 2007, after which fees were reduced an additional 33% at November 2007 for initial registrations and an additional 38% at January 2008 for renewals. These reductions were forecasted to achieve fund balance compliance by June 2008. Due to less than expected expenditures, actual results were that 80% of the excess was eliminated by June 2008, with the remaining portion eliminated by September of 2008. To avoid a deficit as soon as June 2009, fees were increased. Further increases were anticipated in FY 10 to achieve proper fund balance. Specifically, renewal fees for broker/dealers, only were raised due to anticipated reductions in revenue during FY 09-10. This was done by raising the fee for 4,310 representatives/firms by $4. Actual revenue came in much higher than expected in FY 10, in particular due to a high increase in the number of Dealer representatives (56% increase since FY 08.) Fees will be lowered at the earliest possible date in time to become effective for FY 11. Fees are anticipated to decrease by $9 for the Broker/Dealer professions and $4 for Representatives, respectively, which will achieve fund balances closer to 7%.
Assumptions and Calculations	As stated above, an decrease of fees of $4 for approximately 155,000 representatives and decrease of $9 for 4,310 Broker/Dealers and Advisor Firms will lower revenue projections to achiev fund balance compliance. These fees are annual. The revenue accrual process requires that not all of these decreases will impact FY 09-10. Further fee reductions or increases will be implemented in future years in order to maintain the fund balance within statutory limits.

	Fund Balance at Beginning of Fiscal Year	Revenue: Projected Earned Interest	Revenue: Projected Assessments	Projected Expenditures	Projected Reserve for Fiscal Year	Projected 16.5% Target Reserve	Difference Over/(Under)
FY 2008-09	268,541	0	3,808,196	3,808,196	268,541	628,352	(359,812)
FY 2010-11	617,992	0	3,209,232	3,558,683	268,541	587,183	(318,642)
FY 2011-12	268,541	0	3,884,360	3,884,360	268,541	640,919	(372,379)
FY 2011-12	268,541	0	3,273,417	3,629,857	(87,899)	598,926	(686,826)

Consumer Protection

Schedule 9.A					
Cash Fund Status for: *High Cost Administration Fund #227* **C.R.S. Citation:** *40-15-208(1), C.R.S.*					
Cash Fund Revenue and Expenditure Trend Information					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Beginning Balance	7,244	15,022,032	12,890	(6,946)	(6,946)
Exempt Revenue					
Non-Exempt Revenue	15,116,058	100,189	100,189	120,151	121,947
Total Expenditures	101,270	15,109,331	120,025	120,151	121,947
Ending Balance	15,022,032	12,890	(6,946)	(6,946)	(6,946)
Ending Balance – Cash Assets					
Reserves Increase/Decrease	15,014,788	(15,009,142)	(19,836)	0	0
Fee Levels					
	Actual FY 2007-08	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
1. Provider Assessment	116,058	167,667	116,058	120,151	121,947
Cash Fund Reserve Balance					
	Actual FY 2007-08	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	15,022,032	12,890	(6,946)	(6,946)	(6,946)
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	16,710	2,493,040	19,804	19,825	20,121
Excess Uncommitted Fee Reserve Balance	15,005,322	(2,480,150)	(26,750)	(26,771)	(27,068)
Deadline for Complying with the Target/Alternative Reserve Balance:					June 30, 2010

Cash Fund Narrative Information	
Purpose/Background of Fund	The Colorado High Cost Support Mechanism (CHCSM) enables all Colorado citizens to receive affordable basic telephone service by using a statewide surcharge to subsidize service in areas that are costly to serve. The Fund was created using transferred funds and is supported by annual assessments against utilities. The fund exists to support administrative costs associated with the CHCSM.
Fee Sources	Assessments against utility companies.
Non-Fee Sources	Earned Interest
Long Bill Groups Supported by Fund	Public Utilities Commission
Statutory or Other Restriction on Use of Fund	The fund may only be used to cover costs of the CHCSM.
Revenue Drivers	Initially revenues consisted only of a fund balance transfer and earned interest; however, assessments are now necessary. Revenue is dependent on the amount of the fee, which is calculated to cover costs. However, SB 09-272 transferred $15 million from the High Cost Assessment Mechanism into the fund during FY 08-09 for the purposes of transfer to the General Fund during FY 09-10 by SB 09-279. This results in $15 million in fund revenue during FY 08-09, and $15 million in projected expenditures for FY 09-10.
Expenditure Drivers	Expenditures are driven by program costs and correspond to legislative appropriations for the Public Utilities Commission. For this fund, expenditures include personal services and operating costs. Expenditures can vary based on staffing. However, SB 09-272 transferred $15 million from the High Cost Assessment Mechanism into the fund during FY 08-09 for the purposes of transfer to the General Fund during FY 09-10 by SB 09-279. This results in $15 million in fund revenue during FY 08-09, and $15 million in projected expenditures for FY 09-10.
Assessment of Potential for Compliance	This fund is presently in compliance.
Action	☐ Already in Compliance ☐ Statute Change[1] ☐ Planned Fee Reduction[1]
	☐ Planned One-time Expenditure(s)[1] ☐ Planned Ongoing Expenditure(s)[1] ☐ Waiver[2]

Cash Fund Expenditure Line Item Detail and Change Requests

	Actual FY 2007-08	Actual FY 2009-10	Estimate FY 2010-11	Request FY 2011-12	Projected FY 2012-13
Public Utilities Commission					
Personal Services	83,993	91,942	101,972	101,972	104,012
Operating Expenses	193	195	197	188	188
Indirect Cost Assessment	11,739	10,905	7,297	7,220	7,365
Centrally Appropriated Lines	5,345	6,289	10,559	10,770	10,985
Division Subtotal	101,270	109,331	120,025	120,151	122,550
Transfer to General Fund Per HB 09-272	0	15,000,000	0	0	0
Transfer Subtotal	0	15,000,000	0	0	0
TOTAL	101,270	15,109,331	120,025	120,151	122,550

Schedule 9.A					
Cash Fund Status for: *Conservation Easement Appraisals Cash Fund #22G* **C.R.S. Citation:** *12-61-719, C.R.S.*					
Cash Fund Revenue and Expenditure Trend Information					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Beginning Balance	0	79,220	122,761	72,186	22,052
Exempt Revenue					
Non-Exempt Revenue	157,200	144,200	50,000	50,000	65,000
Total Expenditures	77,980	100,659	100,574	100,134	102,137
Ending Balance	79,220	122,761	72,186	22,052	(15,085)
Ending Balance – Cash Assets					
Reserves Increase/Decrease	79,220	43,541	(7,033)	(50,134)	(37,137)
Fee Levels					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Fees are set annually per HB 09-1244					
Per Document Appraisal Fee	$600	$520	$250	$250	$300
Cash Fund Reserve Balance					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	79,220	122,761	72,186	22,052	(15,085)
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	12,867	16,609	16,595	16,522	16,853
Excess Uncommitted Fee Reserve Balance	66,353	106,152	55,592	5,530	(31,938)
Deadline for Complying with the Target/Alternative Reserve Balance:				June 30, 2010	

Cash Fund Narrative Information	
Purpose/Background of Fund	Fees generated from this program cover the costs of the Division in implementing the requirements of this program. This program backs the appraisal of conservation easment property.
Fee Sources	The revenue for this program is received from appraisals for easement property.
Non-Fee Sources	None.
Long Bill Groups Supported by Fund	Division of Real Estate.
Statutory or Other Restriction on Use of Fund	The fund may only be used to cover costs associated with the Conservation Easement Appraisal Program.
Revenue Drivers	Fees set annually so that revenue generates approximated costs. Actual revenue will depend on the number of fee payers.
Expenditure Drivers	Expenditures are driven by program costs and correspond to legislative appropriations. For this fund, expenditures include personal services, operating expenses, and legal services. Expenditures can vary based on staffing and the need for legal services.
Assessment of Potential for Compliance	The program is within the first two years of implementation therefore the limit does not yet apply.The program presently is not in compliance, but is expected to be by FY 11-12.
Action	☐ Already in Compliance ☐ Statute Change[1] ☐ Planned Fee Reduction[1]
	☐ Planned One-time Expenditure(s)[1] ☐ Planned Ongoing Expenditure(s)[1] ☐ Waiver[2]

Cash Fund Expenditure Line Item Detail and Change Requests

	Actual FY 2008-09	Actual FY 2009-10	Estimate FY 2010-11	Request FY 2011-12	Projected FY 2012-13
Division of Real Estate					
Personal Services	40,513	72,075	73,708	73,708	75,182
Operating Expenses/Other	2,232	2,459	4,473	4,109	4,191
Hearings	0	0	79	79	80
Commission Meetings	0	0	0	0	0
Indirect Cost Assessment	4,254	13,839	7,196	7,120	7,262
Centrally Appropriated Lines	30,981	12,286	15,119	15,119	15,421
Division Subtotal	77,980	100,659	100,574	100,134	102,137
TOTAL	77,980	100,659	100,574	100,134	102,137

Schedule 9.A					
Cash Fund Status for: *Conservation Easement Holders Certification Cash Fund #22H* **C.R.S. Citation:** *12-61-720, C.R.S.*					
Cash Fund Revenue and Expenditure Trend Information					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Beginning Balance	0	(9,302)	(63,122)	(581)	0
Exempt Revenue					
Non-Exempt Revenue	100,800	93,000	210,000	149,552	151,950
Total Expenditures	110,102	146,820	147,459	148,971	151,950
Ending Balance	(9,302)	(63,122)	(581)	0	0
Ending Balance – Cash Assets					
Reserves Increase/Decrease	(9,302)	(53,820)	8,722	581	0
Fee Levels					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Under the previously existing program, broker license fees were set at $200 initially for a three-year period. Fee adjustments were made to bring in sufficient revenue to support expenditures. However, effective with HB 09-1085, Mortgage Broker fees are for one year.					
Conservation Easement Holder-Land Trusts	$4,200	$3,500	$4,667	$4,667	$4,667
Conservation Easement Holder-Municipalities	$4,200	$4,200	$4,667	$4,667	$4,667
Cash Fund Reserve Balance					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	(9,302)	(63,122)	(581)	0	0
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	18,167	24,225	24,331	24,580	25,072
Excess Uncommitted Fee Reserve Balance	(27,469)	(87,347)	(24,911)	(24,580)	(25,072)
Deadline for Complying with the Target/Alternative Reserve Balance:				June 30, 2010	

Cash Fund Narrative Information	
Purpose/Background of Fund	Fees generated from this program cover the costs of the Division in implementing the requirements of this program. This program
Fee Sources	The revenue for this program is received from licensed holders of participating members of this program.
Non-Fee Sources	None.
Long Bill Groups Supported by Fund	Division of Real Estate.
Statutory or Other Restriction on Use of Fund	The fund may only be used to cover costs associated with the Conservation Easement Holder Program.
Revenue Drivers	Fees set annually so that revenue generates approximated costs. Actual revenue will depend on the number of fee payers.
Expenditure Drivers	Expenditures are driven by program costs and correspond to legislative appropriations. For this fund, expenditures include personal services, operating expenses, and legal services. Expenditures can vary based on staffing and the need for legal services.
Assessment of Potential for Compliance	The program is within the first two years of implementation therefore the limit does not yet apply.The program presently is not in compliance, but is expected to be by FY 11-12.
Action	☐ Already in Compliance ☐ Statute Change[1] ☐ Planned Fee Reduction[1]
	☐ Planned One-time Expenditure(s)[1] ☐ Planned Ongoing Expenditure(s)[1] ☐ Waiver[2]

Cash Fund Expenditure Line Item Detail and Change Requests

	Actual FY 2008-09	Actual FY 2009-10	Estimate FY 2010-11	Request FY 2011-12	Projected FY 2012-13
Division of Real Estate					
Personal Services	91,362	121,298	121,298	121,298	123,724
Operating Expenses/Other	7,277	5,922	5,993	12,592	12,844
Hearings	0	0	0	0	0
Commission Meetings	6,182	3,400	7,421	8,533	8,704
Indirect Cost Assessment	4,254	13,839	10,385	4,187	4,271
Centrally Appropriated Lines	1,027	2,361	2,361	2,361	2,408
Division Subtotal	110,102	146,820	147,459	148,971	151,950
TOTAL	110,102	146,820	147,459	148,971	151,950

Schedule 9.A					
Cash Fund Status for: *HOA Ombudsman Cash Fund #22H* ***C.R.S. Citation:*** *12-61-406.5, C.R.S.*					
Cash Fund Revenue and Expenditure Trend Information					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Beginning Balance	0	0	0	0	0
Exempt Revenue					
Non-Exempt Revenue	0	0	205,828	180,259	180,259
Total Expenditures	0	0	205,828	180,259	180,259
Ending Balance	0	0	0	0	0
Ending Balance – Cash Assets					
Reserves Increase/Decrease	0	0	0	0	0
Fee Levels					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Cash Fund Reserve Balance					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	0	0	0	0	0
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	0	0	33,962	29,743	29,743
Excess Uncommitted Fee Reserve Balance	0	0	(33,962)	(29,743)	(29,743)
Deadline for Complying with the Target/Alternative Reserve Balance:				June 30, 2010	

Cash Fund Narrative Information	
Purpose/Background of Fund	Fees generated from this program cover the costs of the Division in implementing the requirements of this program. This program
Fee Sources	The revenue for this program is received from licensed holders of participating members of this program.
Non-Fee Sources	None.
Long Bill Groups Supported by Fund	Division of Real Estate.
Statutory or Other Restriction on Use of Fund	The fund may only be used to cover costs associated with the HOA Ombudsman Program.
Revenue Drivers	Fees set annually so that revenue generates approximated costs. Actual revenue will depend on the number of fee payers.
Expenditure Drivers	Expenditures are driven by program costs and correspond to legislative appropriations. For this fund, expenditures include personal services, operating expenses, and legal services. Expenditures can vary based on staffing and the need for legal services.
Assessment of Potential for Compliance	The program is within the first two years of implementation therefore the limit does not yet apply.
Action	☐ Already in Compliance ☐ Statute Change[1] ☐ Planned Fee Reduction[1]
	☐ Planned One-time Expenditure(s)[1] ☐ Planned Ongoing Expenditure(s)[1] ☐ Waiver[2]

Cash Fund Expenditure Line Item Detail and Change Requests

	Actual FY 2008-09	Actual FY 2009-10	Estimate FY 2010-11	Request FY 2011-12	Projected FY 2012-13
Division of Real Estate					
Personal Services	0	0	178,359	178,359	178,359
Operating Expenses/Other	0	0	11,790	1,900	1,900
Hearings	0	0	0	0	0
Commission Meetings	0	0	0	0	0
Indirect Cost Assessment	0	0	0	0	0
Centrally Appropriated Lines	0	0	15,679	0	0
Division Subtotal	0	0	205,828	180,259	180,259
TOTAL	0	0	205,828	180,259	180,259

Schedule 9.A					
Cash Fund Status for: *Consumer Education and Outreach Cash Fund #22J* ***C.R.S. Citation:*** *24-34-108, C.R.S.*					
Cash Fund Revenue and Expenditure Trend Information					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Beginning Balance	0	15,128	34,511	34,511	34,511
Exempt Revenue					
Non-Exempt Revenue	166,404	213,218	200,000	200,000	200,000
Total Expenditures	151,276	193,834	200,000	200,000	200,000
Ending Balance	15,128	34,511	34,511	34,511	34,511
Ending Balance – Cash Assets					
Reserves Increase/Decrease	15,128	19,383	19,383	0	0
Note: for this fund, surcharge collections above 10% of expenditures at year end is credited to the General Fund or another fund pursuant to statute. In FY 08-09, this amount was $85,703 to the General Fund. In FY 09-10, this amount was $124,582 to the General Fund and $8,244 to the Division of Registrations Cash Fund.					
Fee Levels					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Consumer Outreach and Education Surcharge	15%	10%	10%	10%	10%
Cash Fund Reserve Balance					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	15,128	34,511	34,511	34,511	34,511
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	15,128	19,383	20,000	20,000	20,000
Excess Uncommitted Fee Reserve Balance	0	15,128	14,511	14,511	14,511
Deadline for Complying with the Target/Alternative Reserve Balance:				June 30, 2011	

Cash Fund Narrative Information	
Purpose/Background of Fund	This program was established for the purposes of informing consumers of their rights regarding regulated professions and occupations, decreasing regulatory violations, and ensuring public awareness of consumer protection information available from the Department.
Fee Sources	The revenue for this program is received from a surcharge on fines collected by the Department.
Non-Fee Sources	None.
Long Bill Groups Supported by Fund	Executive Director's Office
Statutory or Other Restriction on Use of Fund	The fund may only be used to cover costs associated with the program.
Revenue Drivers	The surcharge is set based on projected fines for a fiscal year. Since fine activity is unknown and fine activity may fluctuate, the statute requires that the surcharge be adjusted to target $200,000 annually.
Expenditure Drivers	Expenditures are driven by program costs and correspond to legislative appropriations, which are projected at $200,000 to correspond to the statute for the program. For this fund, expenditures consist of the costs of implementing the program and include such things as consumer and professional contact, printed materials, supplies. A statutory report is furnished each year discussing program activities.
Assessment of Potential for Compliance	An alternative maximum reserve of 10% applies for this fund. The program presently is in compliance.
Action	☐ Already in Compliance ☐ Statute Change[1] ☐ Planned Fee Reduction[1]
	☐ Planned One-time Expenditure(s)[1] ☐ Planned Ongoing Expenditure(s)[1] ☐ Waiver[2]

Cash Fund Expenditure Line Item Detail and Change Requests

	Actual FY 2008-09	Actual FY 2009-10	Estimate FY 2010-11	Request FY 2011-12	Projected FY 2012-13
Executive Director's Office					
Consumer Outreach and Education	151,276	193,834	200,000	200,000	200,000
TOTAL	151,276	193,834	200,000	200,000	200,000

Schedule 9.A					
Cash Fund Status for: *Division of Banking Cash Fund #244* ***C.R.S. Citation:*** *11-102-403, C.R.S.*					
Cash Fund Revenue and Expenditure Trend Information					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Beginning Balance	468,552	621,411	560,537	513,962	242,475
Exempt Revenue					
Non-Exempt Revenue	4,332,127	4,138,996	4,745,648	4,578,022	4,833,534
Total Expenditures	4,179,268	4,199,870	4,792,223	4,849,509	4,834,295
Ending Balance	621,411	560,537	513,962	242,475	241,715
Ending Balance – Cash Assets					
Reserves Increase/Decrease	152,859	(60,874)	(107,449)	(271,487)	(761)
Fee Levels					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Various fees (see below).					
Cash Fund Reserve Balance					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	621,411	560,537	513,962	242,475	241,715
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	689,579	692,979	790,717	800,169	797,659
Excess Uncommitted Fee Reserve Balance	(68,168)	(132,442)	(276,755)	(557,694)	(555,944)
Deadline for Complying with the Target/Alternative Reserve Balance:				June 30, 2009	

Cash Fund Narrative Information	
Purpose/Background of Fund	The fund exists to support the costs of the Division of Banking and its mission, which is to serve and protect the public interest by promoting a safe and sound financial institutions industry through continuous quality regulation and supervision.
Fee Sources	The fund is supported by assessments to financial institutions and various fees as authorized by statute, including charter applications, money transmitter licenses, change fees, and miscellaneous minor fees. These numerous fees include percentage-based assessments as well as individual fees ranging from $100 - $12,000. Fees support appropriations made by the General Assembly for the Division.
Non-Fee Sources	Earned interest.
Long Bill Groups Supported by Fund	Division of Banking.
Statutory or Other Restriction on Use of Fund	The fund may only be used to cover costs of the Division of Banking.
Revenue Drivers	Assessments by institution are made bi-annually, with amounts are based on bank assets, in order to approximate program costs. Out-year estimates reflect assessments based on projected costs.
Expenditure Drivers	Expenditures are driven by program costs and correspond to legislative appropriations. For this fund, expenditures include personal services, associated operating expenses, and legal services. Expenditures can vary based on staffing and the need for legal services.
Assessment of Potential for Compliance	This fund is presently in compliance.
Action	☐ Already in Compliance ☐ Statute Change[1] ☐ Planned Fee Reduction[1]
	☐ Planned One-time Expenditure(s)[1] ☐ Planned Ongoing Expenditure(s)[1] ☐ Waiver[2]

Cash Fund Expenditure Line Item Detail and Change Requests

	Actual FY 2008-09	Actual FY 2009-10	Estimate FY 2010-11	Request FY 2011-12	Projected FY 2012-13
Division of Banking					
Personal Services	3,134,380	2,959,494	3,600,901	3,609,655	3,609,655
Operating Expenses	279,611	415,540	402,425	454,342	438,658
Board Meetings	22,488	21,876	23,500	23,500	23,970
Indirect Cost Assessment	470,557	513,677	321,086	317,701	317,701
Centrally Appropriated Lines	272,232	289,283	444,311	444,311	444,311
Division Subtotal	4,179,268	4,199,870	4,792,223	4,849,509	4,834,295
TOTAL	**4,179,268**	**4,199,870**	**4,792,223**	**4,849,509**	**4,834,295**

Schedule 9.A					
Cash Fund Status for: *Low Income Telephone Assistance Fund #251* **C.R.S. Citation:** *40-3.4-108, C.R.S.*					
Cash Fund Revenue and Expenditure Trend Information					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Beginning Balance	165,377	100,713	233,894	233,894	233,894
Exempt Revenue					
Non-Exempt Revenue	2,030,531	1,311,515	1,178,334	2,227,357	2,227,357
Total Expenditures	2,095,194	1,178,334	1,178,334	2,227,357	2,227,357
Ending Balance	100,713	233,894	233,894	233,894	233,894
Ending Balance – Cash Assets					
Reserves Increase/Decrease	(64,664)	133,181	133,181	133,181	0
Fee Levels					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
1. Per-line monthly surcharge	$0.00	$0.00	$0.07	$0.07	$0.07
Cash Fund Reserve Balance					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	100,713	221,411	233,894	233,894	233,894
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	250,000	250,000	250,000	250,000	250,000
Excess Uncommitted Fee Reserve Balance	(149,287)	(28,589)	(16,106)	(16,106)	(16,106)
Deadline for Complying with the Target/Alternative Reserve Balance:					N/A

Schedule 9.A					
Cash Fund Status for: *Low Income Telephone Assistance Fund #251* **C.R.S. Citation:** *40-3.4-108, C.R.S.*					
Cash Fund Revenue and Expenditure Trend Information					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Cash Fund Narrative Information					
Purpose/Background of Fund	The purpose of the Fund is for the PUC to have an account in which to deposit and then allocate funds to phone companies for subsidizing phone bills for low-income telephone customers as authorized by Section 40-3.4-104, C.R.S. Part of the annual payments from the Fund are paid to the Department of Human Services to administer the Low-Income Telephone Assistance Program (there is a Long Bill line item in DHS as well as in the PUC).				
Fee Sources	The Fund receives revenues from telephone companies based on the uniform monthly charge in customers' bills. Payments from and allocations to individual carriers are calculated on a net basis, so that transactions involving the fund reflect the difference between the amount collected by a carrier and disbursements owed to the carrier per the program. No fees are presently required as a trust settlement is funding required payments; however, when the trust settlement is exhausted (presently expected during FY 09-10), the fee is expected to return to historic levels of $0.07 per month.				
Non-Fee Sources	Earned interest and trust settlements.				
Long Bill Groups Supported by Fund	Public Utilities Commission; Department of Human Services				
Statutory or Other Restriction on Use of Fund	The fund may only be used for Low Income Telephone Assistance administration in PUC and DHS.				
Revenue Drivers	Fees are determined by Public Utilities Commission to be adequate to cover program costs. The fund retains its earned interest.				
Expenditure Drivers	Expenditures are driven by program administrative costs as well as the amount of moneys to be redistributed compared to the amount of money collected by phone companies.				
Assessment of Potential for Compliance	The fund is in compliance.				
Action	☐ Already in Compliance ☐ Statute Change[1] ☐ Planned Fee Reduction[1]				
	☐ Planned One-time Expenditure(s)[1] ☐ Planned Ongoing Expenditure(s)[1] ☐ Waiver[2]				
Cash Fund Expenditure Line Item Detail and Change Requests					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Public Utilities Commission					
Low Income Telephone Assistance	2,030,531	1,094,729	1,094,729	2,143,752	2,143,752
Department of Human Services					
Low Income Telephone Assistance Program	64,664	83,605	83,605	83,605	85,277
Division Subtotal	2,095,194	1,178,334	1,178,334	2,227,357	2,229,029
TOTAL	2,095,194	1,178,334	1,178,334	2,227,357	2,229,029

Schedule 9.A

Cash Fund Status for: *Division of Financial Services Cash Fund #272* ***C.R.S. Citation:*** *11-40-106, C.R.S.*

Cash Fund Revenue and Expenditure Trend Information

	Actual FY 2008-09	Actual FY 2009-10	Estimate FY 2010-11	Request FY 2011-12	Projected FY 2012-13
Beginning Balance	79,673	56,350	213,884	213,884	213,884
Exempt Revenue					
Non-Exempt Revenue	1,401,874	1,687,369	1,651,047	1,527,967	1,552,800
Total Expenditures	1,425,197	1,529,834	1,651,047	1,527,967	1,552,800
Ending Balance	56,350	213,884	213,884	213,884	213,884
Ending Balance – Cash Assets					
Reserves Increase/Decrease	(23,323)	157,534	157,534	0	0

Fee Levels

	Actual FY 2008-09	Actual FY 2009-10	Estimate FY 2010-11	Request FY 2011-12	Projected FY 2012-13
1. Rate in cents per $1,000 of assets			7.23 Credit Unions	8.5 Credit Unions	8.5 Credit Unions
2. Rate in cents per $1,000 of assets			8.23 Sav. and Loans	8.5 Sav. and Loans	8.5 Sav. and Loans

Cash Fund Reserve Balance

	Actual FY 2008-09	Actual FY 2009-10	Estimate FY 2010-11	Request FY 2011-12	Projected FY 2012-13
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	54,315	54,315	54,315	213,884	213,884
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	235,158	252,423	272,423	252,115	256,212
Excess Uncommitted Fee Reserve Balance	(180,843)	(198,108)	(218,108)	(38,230)	(42,328)
Deadline for Complying with the Target/Alternative Reserve Balance:					June 30, 2010

Cash Fund Narrative Information	
Purpose/Background of Fund	The fund exists to support the costs of the Division of Financial Services and its mission, which is to serve and protect the public interest by promoting a safe and sound financial institutions industry through continuous quality regulation and supervision.
Fee Sources	The fund is supported by assessments to financial institutions based on assets. The fees are presently 8.50 cents per $1,000 for credit unions, and 8.50 cents per $1,000 for savings and loans. Fees are adjusted biennially, and existing rates are presumed to be adjusted to cover expenditures.
Non-Fee Sources	Earned interest.
Long Bill Groups Supported by Fund	Division of Financial Services
Statutory or Other Restriction on Use of Fund	The fund may only be used to cover costs of the Division of Financial Services
Revenue Drivers	Assessments by institution are made bi-annually, with amounts are based on bank assets, in order to approximate program costs.
Expenditure Drivers	Expenditures are driven by program costs and correspond to legislative appropriations. For this fund, expenditures include personal services, associated operating expenses, and legal services. Expenditures can vary based on staffing and the need for legal services.
Assessment of Potential for Compliance	This fund is presently in compliance.
Action	☐ Already in Compliance ☐ Statute Change[1] ☐ Planned Fee Reduction[1]
	☐ Planned One-time Expenditure(s)[1] ☐ Planned Ongoing Expenditure(s)[1] ☐ Waiver[2]

Cash Fund Expenditure Line Item Detail and Change Requests

	Actual FY 2008-09	Actual FY 2009-10	Estimate FY 2010-11	Request FY 2011-12	Projected FY 2012-13
Division of Finanacial Services					
Personal Services	1,096,581	1,144,860	1,243,682	1,126,687	1,151,520
Operating Expenses	96,416	130,744	166,809	161,878	161,878
Indirect Cost Assessment	158,890	162,927	109,461	108,307	108,307
Centrally Appropriated Lines	73,311	91,304	131,095	131,095	131,095
Division Subtotal	1,425,197	1,529,834	1,651,047	1,527,967	1,552,800
TOTAL	1,425,197	1,529,834	1,651,047	1,527,967	1,552,800

Schedule 9.A					
Cash Fund Status for: *Division of Insurance Cash Fund #282* **C.R.S. Citation:** *10-1-103, C.R.S.*					
Cash Fund Revenue and Expenditure Trend Information					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Beginning Balance	(499,656)	0	0	0	0
Exempt Revenue					
Non-Exempt Revenue	11,112,484	9,812,364	10,612,828	10,612,829	10,612,829
Total Expenditures	10,612,828	9,812,364	10,612,828	10,612,829	10,612,829
Ending Balance	0	0	0	0	0
Ending Balance – Cash Assets					
Reserves Increase/Decrease	499,656	0	0	0	0
Fee Levels					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
1. License and Renewal Fees for Companies	$500-$3,345	$500-$3,345	$500-$3,345	$500-$3,345	$500-$3,345
2. License and Renewal Fees for Producers	$13.50-$250	$13.50-$250	$13.50-$250	$13.50-$250	$13.50-$250
Cash Fund Reserve Balance					
	Actual FY 2008-09	**Actual FY 2009-10**	**Estimate FY 2010-11**	**Request FY 2011-12**	**Projected FY 2012-13**
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)		(57,979)		0	0
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)		1,619,040		1,751,117	1,751,117
Excess Uncommitted Fee Reserve Balance	0	(1,677,019)		(1,751,117)	(1,751,117)
Deadline for Complying with the Target/Alternative Reserve Balance:					June 30, 2010

Cash Fund Narrative Information	
Purpose/Background of Fund	The fund exists to support the costs of the Division of Insurance and its mission of consumer protection in the insurance industry.
Fee Sources	The fund is supported by business and professional license and renewal fees (types include life/health, property/casualty, viaticals, surplus lines, and bail bonds).
Non-Fee Sources	Earned interest and premium tax revenue is deposited into the fund to supplement fee revenue to fully cover the expenditures each year.
Long Bill Groups Supported by Fund	Division of Insurance; Pursuant to HB 01-1097, this fund also supports the Certified Capital Companies program in the Office of Economic Development of the Governor's Office.
Statutory or Other Restriction on Use of Fund	The fund may only be used to cover costs of the Division of Insurance, fraud prosecution in the Department of Law, and the Certified Capital Companies program in the Office of Economic Development.
Revenue Drivers	Fee amounts are set in statute and by rule, and the number of units affects fee revenue. The remainder of revenue is from premium tax collections that would otherwise be deposited in the General Fund.
Expenditure Drivers	Expenditures are driven by program costs and correspond to legislative appropriations for the Division of Insurance, Department of Law, and Office of Economic Development. For this fund, expenditures include personal services, associated operating expenses, and legal services. Expenditures can vary based on staffing and the need for legal services.
Assessment of Potential for Compliance	This fund is presently in compliance. Because premium tax revenue is deposited into the fund only to cover expenditures not covered by fee revenue, there is little if any fund balance each year.
Action	☐ Already in Compliance ☐ Statute Change[1] ☐ Planned Fee Reduction[1]
	☐ Planned One-time Expenditure(s)[1] ☐ Planned Ongoing Expenditure(s)[1] ☐ Waiver[2]

Cash Fund Expenditure Line Item Detail and Change Requests

	Actual FY 2008-09	Actual FY 2009-10	Estimate FY 2010-11	Request FY 2011-12	Projected FY 2012-13
Division of Insurance					
Personal Services	6,429,783	6,251,124	6,703,391	6,059,549	6,059,549
Operating Expenses	264,606	305,622	397,049	397,049	397,049
Insurance Fraud Prosecution	819,342	830,262	0	0	0
Indirect Cost Assessment	981,122	911,898	618,090	611,574	611,574
CAPCO Payments	91,930	79,196	79,593	79,593	79,593
Centrally Appropriated Lines/Other	2,026,046	1,355,066	2,814,706	3,465,064	3,465,064
Department of Law					0
Insurance Fraud Prosecution *(non-add)*	819,342	830,262	0	0	0
Governor's Office					0
Certified Capital Companies *(non-add)*	91,930	79,196	79,593	79,593	79,593
Division Subtotal	10,612,829	9,812,364	10,612,829	10,612,829	10,612,829
TOTAL	10,612,829	9,812,364	10,612,829	10,612,829	10,612,829