

DEPARTMENT OF REGULATORY AGENCIES FY 2012-13 BUDGET REQUEST

Schedule 9 – Cash Funds Reports

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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 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
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 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
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 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	670	670	670	670	670
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	<input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹				
	<input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ²				
Cash Fund Expenditure Line Item Detail and Change Requests					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
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 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Beginning Balance	10,536	9,981	9,981	9,981	9,981
Exempt Revenue					
Non-Exempt Revenue	0	0	0	0	0
Total Expenditures	555	0	0	0	0
Ending Balance	9,981	9,981	9,981	9,981	9,981
Ending Balance – Cash Assets					
Reserves Increase/Decrease	(555)	0	0	0	0
Fee Levels					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
No fees are presently assessed for this fund.					
Cash Fund Reserve Balance					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	9,981	9,981	9,981	9,981	9,981
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	92	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	<input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹				
	<input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ²				
Cash Fund Expenditure Line Item Detail and Change Requests					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Division of Insurance					
Personal Services	555	0	0	0	0
Division Subtotal	555	0	0	0	0
TOTAL	555	0	0	0	0

Schedule 9.A					
Cash Fund Status for: <i>Insurance Fraud Cash Fund #16Z</i> C.R.S. Citation: 10-3-207.5 (2), C.R.S.					
Cash Fund Revenue and Expenditure Trend Information					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Beginning Balance	0	0	69,647	127,008	171,906
Exempt Revenue					
Non-Exempt Revenue	0	929,832	929,832	929,832	929,832
Total Expenditures	0	860,185	872,472	884,935	897,575
Ending Balance	0	69,647	127,008	171,906	204,163
Ending Balance – Cash Assets					
Reserves Increase/Decrease	0	69,647	57,360	44,898	32,257
Fee Levels					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
No fees are presently assessed for this fund.					
Cash Fund Reserve Balance					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	0	69,647	127,008	171,906	204,163
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	0	141,931	143,958	146,014	148,100
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		This fund exists to "provide adequate funds to the Colorado Department of Law for the investigation and prosecution of allegations of insurance fraud.			
Fee Sources		Each entity regulated by the Division of Insurance must pay a nonrefundable annual fee of \$561.			
Non-Fee Sources		Interest earnings.			
Long Bill Groups Supported by Fund		No appropriation in DORA. The Department of Law spends money from this fund.			
Statutory or Other Restriction on Use of Fund		The fund may only be used for purposes stated in 10-3-207.5 regarding the Department of Law's investigation and prosecution of insurance fraud.			
Revenue Drivers		The number of entities regulated by the Division of Insurance.			
Expenditure Drivers		Appropriations from the fund to the Department of Law.			
Assessment of Potential for Compliance		The Fund is presently in compliance. However, DORA does not manage this fund, control fund expenditures, or request appropriations from the fund. DORA only transmits revenue to the Department of Law. As such balance compliance provisions are the responsibility of the Department of Law. This Schedule 9 is being prepared only because the State Controller's Office has concluded that the fund resides in DORA. Statute specifies that the fund is to be used only for appropriations to Department of Law.			
Action	<input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹				
	<input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ²				
Cash Fund Expenditure Line Item Detail and Change Requests					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Division of Insurance					
Insurance Fraud Protection (non-appropriated)	0	860,185	872,472	884,935	897,575
Division Subtotal	0	860,185	872,472	884,935	897,575
TOTAL	0	860,185	872,472	884,935	897,575

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 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Beginning Balance	773,888	1,865,644	1,822,860	1,553,159	852,177
Exempt Revenue					
Non-Exempt Revenue	12,747,755	11,801,951	11,904,251	11,472,970	12,173,952
Total Expenditures	11,655,999	11,844,735	12,173,952	12,173,952	12,173,952
Ending Balance	1,865,644	1,822,860	1,553,159	852,177	852,177
Ending Balance – Cash Assets					
Reserves Increase/Decrease	1,091,756	(42,784)	(269,701)	(700,982)	0
Fee Levels					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
1. Fixed Utilities Assessment	12,208,588	11,728,676	11,904,251	11,472,970	12,173,952
Cash Fund Reserve Balance					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	1,865,644	1,822,860	1,553,159	852,177	852,177
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	1,923,240	1,954,381	2,008,702	2,008,702	2,008,702
Excess Uncommitted Fee Reserve Balance	(57,596)	(131,521)	(455,543)	(1,156,525)	(1,156,525)
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	<input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹				
	<input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ²				
Cash Fund Expenditure Line Item Detail and Change Requests					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Public Utilities Commission					
Personal Services	7,230,946	7,512,585	7,315,037	7,315,037	7,315,037
Operating Expenses	401,004	362,922	389,555	389,555	389,555
Expert Testimony	25,000	24,450	25,000	25,000	25,000
Indirect Cost Assessment	888,758	574,660	512,805	512,805	512,805
Centrally Appropriated Lines/OCC transfer/Other	3,110,291	3,370,118	3,931,555	3,931,555	3,931,555
Division Subtotal	11,655,999	11,844,735	12,173,952	12,173,952	12,173,952
TOTAL	11,655,999	11,844,735	12,173,952	12,173,952	12,173,952

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 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Beginning Balance	850,126	1,474,734	1,977,209	183,275	183,275
Exempt Revenue					
Non-Exempt Revenue	2,274,172	2,335,222	2,370,251	2,405,805	2,441,892
Total Expenditures	1,649,565	1,832,747	4,164,185	2,405,805	2,441,892
Ending Balance	1,474,734	1,977,209	183,275	183,275	183,275
Ending Balance – Cash Assets					
Reserves Increase/Decrease	624,608	502,475	(1,793,934)	0	0
Fee Levels					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
1. Annual identification fee	\$50	\$5	\$5	\$5	\$5
Cash Fund Reserve Balance					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	1,474,734	1,818,610	183,275	183,275	183,275
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	272,178	302,403	302,403	302,403	302,403
Excess Uncommitted Fee Reserve Balance	1,202,556	1,516,207	(119,129)	(119,129)	(119,129)
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 state identification fees from regulated motor carriers. Because the PUC has reduced the fee to \$5, State-controlled fees generate only \$200k in annual revenue, and over 90% of the fee revenue for this fund is generated by a fee that is not set by PUC or the State of Colorado.				
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. However, over 90% of the revenue comes from a federally established fee and the State has no legal ability to adjust this fee. As such, the Department will continue to maintain state-controlled fees at negligible levels, perform year-end transfers, and ensure spending levels in order to comply with the provisions of S.B. 98-194.
Action	<input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹
	<input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ²

Cash Fund Expenditure Line Item Detail and Change Requests					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Public Utilities Commission					
Personal Services	1,187,778	1,345,606	1,345,606	1,345,606	1,359,063
Operating Expenses	59,444	66,912	66,912	66,912	67,581
Indirect Cost Assessment	185,385	118,272	113,069	113,069	114,200
Centrally Appropriated Lines	216,957	301,957	301,957	301,957	304,977
Division Subtotal	1,649,565	1,832,747	1,827,544	1,827,544	1,845,820
Year-End Transfers			2,336,641	578,260	596,072
TOTAL	1,649,565	1,832,747	4,164,185	1,827,544	1,845,820

Schedule 9.B

Compliance Plan for: <i>Motor Carrier Fund #185 C.R.S. Citation: 40-2-110.5, C.R.S.</i>	
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. While the Department believes this revenue may be exempt from SB 98-194 since it is not a fee that is set by the PUC and cannot be controlled by the State, the revenue nevertheless appears as fee revenue in excess reserve calculations performed by the State Controller's Office. Over 90% of the revenue comes from a federally established fee and the State has no legal ability to adjust this fee which is set in federal rulemaking. As such, the Department will continue to maintain state-controlled fees at negligible levels, perform year-end transfers that will exhaust excess fund balance, and ensure spending levels in order to comply with the provisions of S.B. 98-194.
Assumptions and Calculations	State fee revenue is minimal based on significant fee reductions. Compliance will be achieved in concert with these minimal fees, as well as fund balance transfers pursuant to statute to achieve fund balance in the amount of 10% of actual expenditures (estimated using most recent actual year expenses of \$1.83 million).

	Fund Balance at Beginning of Fiscal Year	Revenue	Projected Expenditures	Projected Reserve for Fiscal Year	Projected 16.5% Target Reserve	Difference Over/(Under)
FY 2010-11	1,474,734	2,335,222	1,832,747	1,977,209	302,403	1,674,806
FY 2011-12	1,977,209	2,370,251	1,832,747	183,275	302,403	(119,129)
FY 2012-13	183,275	2,405,805	1,832,747	183,275	302,403	(119,129)

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 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Beginning Balance	40,000	0	0	0	0
Exempt Revenue					
Non-Exempt Revenue	140,940	159,960	159,960	163,159	166,422
Total Expenditures	180,940	159,960	159,960	163,159	166,422
Ending Balance	0	0	0	0	0
Ending Balance – Cash Assets					
Reserves Increase/Decrease	(40,000)	0	0	0	0
Fee Levels					
	Actual FY 2009-10	Actual FY 2010-11	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 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
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)	29,855	26,393	26,393	26,921	27,460
Excess Uncommitted Fee Reserve Balance	(29,855)	(26,393)	(26,393)	(26,921)	(27,460)
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	<input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹				
	<input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ²				
Cash Fund Expenditure Line Item Detail and Change Requests					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Department of Revenue					
MVBG Administration	0	0	0	0	0
Motor Carrier Services, Personal Svcs/Operating	27,491	4,168	4,168	4,251	4,336
Department of Public Safety					
Nuclear Materials Transportation	153,449	155,792	155,792	158,908	162,086
	0	0	0	0	0
Division Subtotal	180,940	159,960	159,960	163,159	166,422
TOTAL	180,940	159,960	159,960	163,159	166,422

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 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Beginning Balance	163,029	166,804	170,085	173,431	176,842
Exempt Revenue					
Non-Exempt Revenue	3,775	3,281	3,346	3,411	3,478
Total Expenditures	0	0	0	0	0
Ending Balance	166,804	170,085	173,431	176,842	180,320
Ending Balance – Cash Assets					
Reserves Increase/Decrease	3,775	3,281	3,346	3,411	3,478
Fee Levels					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
No fees exist for this fund.					
Cash Fund Reserve Balance					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	166,804	170,085	173,431	176,842	180,320
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	166,804	170,085	173,431	176,842	180,320
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 2011-12			
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	<input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹				
	<input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ²				
Cash Fund Expenditure Line Item Detail and Change Requests					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
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: <i>Hazardous Materials Safety Fund #188</i> C.R.S. Citation: 42-20-107(3), C.R.S.					
Cash Fund Revenue and Expenditure Trend Information					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Beginning Balance	3,146	8,573	600	0	0
Exempt Revenue					
Non-Exempt Revenue	311,961	259,326	259,326	259,326	259,326
Total Expenditures	306,535	267,298	259,926	259,326	259,326
Ending Balance	8,573	600	0	0	0
Ending Balance – Cash Assets					
Reserves Increase/Decrease	5,427	(7,973)	(600)	0	0
Fee Levels					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
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 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	8,573	600	0	0	0
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	50,578	44,104	42,888	42,789	42,789
Excess Uncommitted Fee Reserve Balance	(42,006)	(43,504)	(42,888)	(42,789)	(42,789)
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	<input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹				
	<input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ²				
Cash Fund Expenditure Line Item Detail and Change Requests					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Department of Revenue					
MVBG Administration	0	0	0	0	0
Hazardous Materials Permitting	191,917	160,027	160,398	160,398	160,398
Department of Public Safety					
Hazardous Materials Routing	111,471	98,699	98,928	98,928	98,928
Distribution to Local Governments	3,146	8,573	600	0	0
Division Subtotal	306,535	267,298	259,926	259,326	259,326
TOTAL	306,535	267,298	259,926	259,326	259,326

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 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Beginning Balance	724,656	2,331,402	2,230,156	1,084,401	1,528,840
Exempt Revenue					
Non-Exempt Revenue	25,088,398	23,984,637	22,008,238	23,598,432	23,598,932
Total Expenditures	23,481,652	24,085,883	23,153,993	23,153,993	23,153,993
Ending Balance	2,331,402	2,230,156	1,084,401	1,528,840	1,973,779
Ending Balance – Cash Assets					
Reserves Increase/Decrease	1,606,746	(101,245)	(1,145,755)	444,439	444,939
Fee Levels					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
1. There are numerous professional licensing fees for over 30 agencies in this fund. Please see the attached summary of major fees by board.					
Cash Fund Reserve Balance					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	2,331,402	2,230,156	1,084,401	1,528,840	1,973,779
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	3,874,473	3,974,171	3,820,409	3,820,409	3,820,409
Excess Uncommitted Fee Reserve Balance	(1,543,071)	(1,744,014)	(2,736,008)	(2,291,569)	(1,846,630)
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 to protect the public through effective licensure and enforcement for more than 31 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 shows information at the sub-account level and accumulates the total excess balances by board while excluding boards that are in compliance, such that the actual balance of the cash fund is often less than the excess balances that are reported. The Department does not seek omission of this level of detail, as the increased level of reporting is valuable for transparency purposes, as the individual 31 board sub-accounts of this fund routinely require adjustment for both deficit and excess fund balance. Fees for each non-compliant board are modified accordingly. But the fund balance is not out-of-compliance.				
Action	<input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹ <input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ²				
Cash Fund Expenditure Line Item Detail and Change Requests					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Division of Registrations					
Personal Services	12,354,416	13,130,561	13,845,200	13,845,200	13,845,200
Operating Expenses	1,309,991	1,278,576	1,419,979	1,419,979	1,419,979
Office of Expedited Settlement Program Costs	315,127	349,130	361,397	361,397	361,397
Hearings	215,768	256,617	307,075	307,075	307,075
Indirect Cost Assessment	4,005,665	3,408,835	1,277,687	1,277,687	1,277,687
Payments to Dept of HCPF	14,652	14,652	14,652	14,652	14,652
Legal Defense Account Transfers	273,117	194,289	200,000	200,000	200,000
Centrally Appropriated Lines/Other	4,992,916	5,453,224	5,728,003	5,728,003	5,728,003
Division Subtotal	23,481,652	24,085,883	23,153,993	23,153,993	23,153,993
TOTAL	23,481,652	24,085,883	23,153,993	23,153,993	23,153,993

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 (Barber/Cosmetology, Chiropractic, Electrical, Mental Health, Optometric, Outfitters, Passenger Tramway, and Massage Therapists) are projected to achieve compliance dates in 2012. For other non-compliant boards (Arch Engineers/Land Surveyors, Nursing, Pharmacy, Addiction Counselors and Landscape Architects) further adjustments have been made to target compliance in 2013.						
Plan Description	By board, the following descriptions apply:						
Addition Counselors Board: This board continues to be 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 13. Fees were decreased at fee setting for FY 12.							
Architects/Engineers Board: This board's fund balance will achieve compliance in 2013. Compliance had been projected by 2012 based on significant cuts to renewal fees (which were reduced by over 50%), but sustained new licensure populations have required further fee adjustment than was expected and those fees have been reduced as well.							
Barber/Cosmetology Board: This board's fund balance remains on track to achieve compliance by 2012 because renewal schedules did not permit adjustment for compliance in 2011. Fees were adjusted at the earliest opportunity.							
Chiropractic Board: This board's fund balance has been targeted for compliance in June 2012, because renewal schedules did not permit adjustment for compliance in 2011. Expenditures have declined, between FY 09 and FY 10. Fees were decreased at fee setting for FY 12.							
Electrical Board: This board's fund balance will achieve compliance in 2012. Compliance was expected in June 2011 and permit revenues were significantly reduced, but increases in construction activity partially offset this impact.							
Mental Health Board: This board is 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. Legislation was instituted per SB 11-187, which will greatly increase expenditures. Further adjustments will be made at the next fee setting if necessary.							
Nursing/Nurse Aides Board: This board's is non-compliant due to decreased expenditures and statutory changes that increased license volume more than anticipated (SB 10-129). This board's fund balance was targeted for compliance by FY 11, but due to increased licensee volume will occur in FY 2013. Fees were significantly decreased for all license types in FY 10 and FY 11.							
Optometric Board: This board's fund balance has been targeted for compliance during FY 2012. Fees were lowered since FY 09; however expenditures have trended lower than anticipated since FY 08-09, which increased the fund balance greater than anticipated. Fees were adjusted again in FY 11 and will achieve target compliance.							
Outfitters Board: This board's fund balance will achieve compliance in 2012. Significant fee reductions have been made for this board over several years and the excess balance has been almost entirely eliminated. No further fee adjustment is required.							
Passenger Tramway Safety Board: This board's fund balance was targeted for compliance in June 2011, but will occur in FY 12. Expenditures decreased more than expected. Fees were greatly lowered at fee setting for FY 12.							
Pharmacy Board: This board's fund balance has been targeted for compliance during 2011 in FY 12, but will occur in 2013. Fees have been reduced each FY since FY 09, but expenditures had decreased since then. Fees were greatly reduced in FY 12 to achieve compliance.							
Massage Therapists Board: This board had significantly greater licensee volume than originally anticipated when the bill was introduced in FY 08. The fund balance had been targeted for compliance during FY 13. However, due to a decline in licensees, this will occur in FY 12. Fees were lowered during the renewal cycle in FY 11.							
Landscape Architects Board: This board had significantly lower expenditures since FY 08. This was mainly due to vacancies and reduced travel. The fund balance has been targeted for compliance during FY 13. Fees were lowered in FY 11 and increased expenditures will allow the Board to maintain compliance. Fees were significantly reduced for 2012, but cannot be further reduced because a deficit would occur the following year based on the renewal cycle.							
	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	2,230,156	0	22,008,238	23,153,993	1,084,401	3,820,409	(2,736,008)
FY 2011-12	1,084,401	0	23,598,432	23,153,993	1,528,840	3,820,409	(2,291,569)
FY 2011-12	1,084,401	0	23,598,432	23,153,993	1,528,840	3,820,409	(2,291,569)

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 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Beginning Balance	274,379	105,755	167,695	33,238	142,347
Exempt Revenue	0	0	0	0	0
Non-Exempt Revenue	92,393	348,502	210,715	445,941	157,653
Total Expenditures	261,017	286,562	345,172	336,832	300,000
Ending Balance	105,755	167,695	33,238	142,347	(0)
Ending Balance – Cash Assets					
Reserves Increase/Decrease	(168,624)	61,940	(134,457)	109,109	(142,347)
Fee Levels					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
1. Assessment on licensees having prescriptive authority pursuant to statute.	\$7.50	\$7.50	\$9.00	\$9.00	\$9.00
Cash Fund Reserve Balance					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	105,755	167,695	33,238	142,347	(0)
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	43,068	47,283	56,953	55,577	49,500
Excess Uncommitted Fee Reserve Balance	62,687	(120,412)	23,716	(86,769)	49,500
Deadline for Complying with the Target/Alternative Reserve Balance:				June 30, 2012	

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. The compliance plan for this fund appears in the Schedule 9.B.			
Action	<input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹				
	<input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ²				
Cash Fund Expenditure Line Item Detail and Change Requests					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Division of Registrations - PDMP					
Prescription Drug Monitoring - Federal Funds	0	0	0	0	0
Prescription Drug Monitoring - Cash Funds	261,017	286,562	345,172	336,832	300,000
Division Subtotal	261,017	286,562	345,172	336,832	300,000
TOTAL	261,017	286,562	345,172	336,832	300,000

Schedule 9.B							
Compliance Plan for: Prescription Drug Monitoring Cash Fund #18S							
C.R.S. Citation	12-22-706, C.R.S.						
Action	Adjust 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, varying renewal dates dependent on each profession in a given year routinely require that fund balance be alternately higher and lower for reasons of solvency of the fund in each State fiscal year. Due to this, the fee will remain the same and be monitored.						
Assumptions and Calculations	There were 22,826 licensees among the various listed professions renewing in FY 11. In 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. 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 2011-12	167,695	0	210,715	345,172	33,238	56,953	(23,716)
FY 2012-13	33,238	0	445,941	336,832	142,347	55,577	86,769
FY 2013-14	142,347	0	157,653	300,000	(0)	49,500	(49,500)

Schedule 9.A					
Cash Fund Status for: <i>Viatical Settlements Cash Fund #18W</i> C.R.S. Citation: 10-7-619, C.R.S.					
Cash Fund Revenue and Expenditure Trend Information					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Beginning Balance	33,774	43,552	50,163	48,163	46,163
Exempt Revenue					
Non-Exempt Revenue	13,170	11,630	10,000	10,000	10,000
Total Expenditures	3,392	5,019	12,000	12,000	12,000
Ending Balance	43,552	50,163	48,163	46,163	44,163
Ending Balance – Cash Assets					
Reserves Increase/Decrease	9,778	6,611	(2,000)	(2,000)	(2,000)
Fee Levels					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
1. Per Company License Fees	\$500	\$500	\$500	\$500	\$500
2. Per Producer License Fees	\$30	\$30	\$30	\$30	\$30
Cash Fund Reserve Balance					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	43,552	50,163	48,163	46,163	44,163
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	560	828	1,980	1,980	1,980
Excess Uncommitted Fee Reserve Balance	42,992	49,335	46,183	44,183	42,183
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	<input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹				
	<input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ²				
Cash Fund Expenditure Line Item Detail and Change Requests					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Division of Insurance					
Personal Services	3,992	9,592	9,592	12,000	12,000
Division Subtotal	3,992	9,592	9,592	12,000	12,000
TOTAL	3,992	9,592	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 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Beginning Balance	(34,698)	0	1,242,847	570,501	625,853
Exempt Revenue					
Non-Exempt Revenue	3,240,552	4,529,894	2,785,234	3,848,397	3,793,045
Total Expenditures	3,205,854	3,287,046	3,457,580	3,793,045	3,793,045
Ending Balance	0	1,242,847	570,501	625,853	625,853
Ending Balance – Cash Assets					
Reserves Increase/Decrease	34,698	1,242,847	(672,346)	55,352	0
Fee Levels					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
1. Per-line monthly surcharge	\$0.12	\$0.20	\$0.12	\$0.17	\$0.14
Cash Fund Reserve Balance					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	0	1,242,847	570,501	625,853	625,853
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	528,966	N/A	N/A	N/A	N/A
Excess Uncommitted Fee Reserve Balance	(528,966)	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 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
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. Additional 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	<input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹ <input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ²				
Cash Fund Expenditure Line Item Detail and Change Requests					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Public Utilities Commission					
Disabled Telephone Users Fund Payments	2,009,738	1,890,099	2,104,126	2,439,591	2,439,591
Personal Services, Operating, Various pots	191,152	117,609	117,609	117,609	117,609
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	656,142	931,249	873,778	873,778	873,778
Transfer to the Commission for the Visually Impaired	98,822	98,089	112,067	112,067	112,067
Division Subtotal	3,205,854	3,287,046	3,457,580	3,793,045	3,793,045
TOTAL	3,205,854	3,287,046	3,457,580	3,793,045	3,793,045

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 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Beginning Balance	407,690	(168,994)	1,071,945	969,697	187,886
Exempt Revenue					
Non-Exempt Revenue	657,621	2,318,778	1,033,043	358,255	1,047,760
Total Expenditures	1,234,305	1,077,840	1,135,291	1,140,065	1,140,065
Ending Balance	(168,994)	1,071,945	969,697	187,886	95,581
Ending Balance – Cash Assets					
Reserves Increase/Decrease	(576,684)	1,240,939	(102,248)	(781,810)	(92,305)
Fee Levels					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
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	\$245	\$375/\$305	\$85/\$50	\$65/\$45	\$375/\$185
Mortgage Company Registration/Renewal Fee	\$0	600/\$0	\$165/\$100	\$100/\$95	\$600/\$385
Cash Fund Reserve Balance					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2011-12	Projected FY 2013-14
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	203,660	1,071,945	969,697	187,886	95,581
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	(203,660)	177,844	187,323	188,111	188,111
Excess Uncommitted Fee Reserve Balance	0	894,101	782,373	(224)	(92,530)
Deadline for Complying with the Target/Alternative Reserve Balance:					June 30, 2013

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 mortgage 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		This fund is presently out of compliance. The compliance plan for this fund appears in the Schedule 9.B.			
Action	<input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹				
	<input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ²				
Cash Fund Expenditure Line Item Detail and Change Requests					
	Actual FY 2009-10	Estimate FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Division of Real Estate					
Personal Services	433,707	437,937	474,737	474,737	474,737
Operating Expenses/Other	12,788	18,801	18,801	18,801	18,801
Hearings				0	0
Commission Meetings				0	0
Mortgage Broker Consumer Protection	304,252	305,312	303,770	308,544	308,544
Indirect Cost Assessment	85,160	54,950	53,210	53,210	53,210
Centrally Appropriated Lines	398,397	260,840	284,773	284,773	284,773
Department of Law					
Mortgage Broker Consumer Protection	304,252	305,312	303,770	308,544	308,544
Division Subtotal	1,234,305	1,077,840	1,135,291	1,140,065	1,140,065
TOTAL	1,234,305	1,077,840	1,135,291	1,140,065	1,140,065

Schedule 9.B							
Compliance Plan for: Mortgage Broker Registration Cash Fund #19U							
C.R.S. Citation	12-61-908(2), C.R.S.						
Action	Reduce 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 an unexpected sharp increase in the volume of mortgage brokers.						
Assumptions and Calculations	Fees for this board have already been adjusted and compliance is now expected by June 2013 (the earliest possible compliance date). Fees were significantly reduced, but licensee population for original registration of mortgage brokers unexpectedly and sharply increased; accordingly, fees will remain sufficiently low to achieve compliance by June 2013.						
	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 2011-12	1,071,945	0	1,033,043	1,135,291	969,697	187,323	782,373
FY 2012-13	969,697	0	358,255	1,140,065	187,886	188,111	(224)
FY 2013-14	187,886	0	1,047,760	1,140,065	95,581	188,111	(92,530)

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 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Beginning Balance	(1,047,045)	70,329	693,013	397,522	217,380
Exempt Revenue					
Non-Exempt Revenue	5,054,214	4,396,489	3,514,889	3,630,237	4,382,693
Total Expenditures	3,936,840	3,773,805	3,810,380	3,810,380	4,382,693
Ending Balance	70,329	693,013	397,522	217,380	217,380
Ending Balance – Cash Assets					
Reserves Increase/Decrease	1,117,374	622,684	(295,491)	(180,143)	0
Fee Levels					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
1. Broker Fees (Original/Renewal)	500/195	200/60	400/114	400/210	400/210
2. Appraiser Fees (Original/Renewal)	250/195-285	75/48-75	240/114-120	350/120-330	350/120-330
3. Subdivision Fees (Original/Renewal)	\$1000/\$287	1000/136	1000/222	\$1500/\$302	\$1500/\$302
Cash Fund Reserve Balance					
	Actual FY 2009-10	Estimate FY 2010-11	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)	557,879	693,013	397,522	217,380	217,380
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	649,579	622,678	628,713	628,713	723,144
Excess Uncommitted Fee Reserve Balance	(91,700)	70,335	(231,190)	(411,333)	(505,765)
Deadline for Complying with the Target/Alternative Reserve Balance:					June 30, 2012

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 out of compliance. The compliance plan for this fund appears in the Schedule 9.B.				
Action	<input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹				
	<input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ²				
Cash Fund Expenditure Line Item Detail and Change Requests					
	Actual FY 2009-10	Estimate FY 2010-11	Estimate FY 2010-11	Request FY 2011-12	Projected FY 2012-13
Division of Real Estate					
Personal Services	2,414,776	2,431,417	2,431,417	2,431,417	2,480,045
Operating Expenses	172,555	155,971	155,971	155,971	159,090
Hearings		1,808	1,808	1,808	1,844
Commission Meetings	13,430	18,601	18,601	18,601	18,973
CBI/FBI Record Checks	0				0
Indirect Cost Assessment	420,478	272,688	264,050	264,050	269,331
Centrally Appropriated Lines	915,601	893,320	938,533	938,533	957,304
Recovery Fund Payments	0				
Division Subtotal	3,936,840	3,773,805	3,810,380	3,810,380	3,886,587
TOTAL	3,936,840	3,773,805	3,810,380	3,810,380	3,886,587

Schedule 9.B							
Compliance Plan for: <i>Division of Real Estate Cash Fund #212</i>							
C.R.S. Citation	12-61-111.5(2)(b), C.R.S.						
Action	Reduce fees at earliest possible date.						
Plan Description	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.						
Assumptions and Calculations	Fees for this board have already been adjusted and compliance is now expected by June 2012 (the earliest possible compliance date). Fees were significantly increased in FY 09-10 in response to a large fund balance deficit brought about by a sharp decrease in the number of new licensees. Fees were subsequently lowered 50% in FY 10-11 to avert significant excess balances and spending in FY 11-12 is now projected to bring the fund into compliance.						
	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 2011-12	693,013	0	3,514,889	3,810,380	397,522	628,713	(231,190)
FY 2012-13	397,522	0	3,630,237	3,810,380	217,380	628,713	(411,333)
FY 2013-14	217,380	0	4,382,693	4,382,693	217,380	723,144	(505,765)

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 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Beginning Balance	287,450	617,992	477,175	415,571	178,373
Exempt Revenue					
Non-Exempt Revenue	3,559,549	3,260,062	3,901,855	3,901,855	4,221,834
Total Expenditures	3,229,008	3,400,879	3,963,459	4,139,053	4,221,834
Ending Balance	617,992	477,175	415,571	178,373	178,373
Ending Balance – Cash Assets					
Reserves Increase/Decrease	330,541	(140,816)	(61,604)	(237,198)	(0)
Fee Levels					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
1. Broker/Dealer and Firm Fees	69	60	85	85	95
2. Representative fees	14	10	20	20	22
Cash Fund Reserve Balance					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	617,992	477,175	415,571	178,373	178,373
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	532,786	561,145	653,971	682,944	696,603
Excess Uncommitted Fee Reserve Balance	85,205	(83,970)	(238,399)	(504,570)	(518,229)
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 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 in compliance.			
Action		<input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹ <input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ²			
Cash Fund Expenditure Line Item Detail and Change Requests					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Division of Securities					
Personal Services	1,856,638	1,985,468	2,314,531	2,314,531	2,360,822
Operating Expenses	70,421	52,921	73,009	73,009	74,469
Hearings	12,271	19,371	19,594	19,594	19,986
Board Meeting Costs	2,505	4,182	4,500	4,500	4,590
Securities Fraud Prosecution	473,028	493,081	720,638	727,638	742,191
Indirect Cost Assessment	238,960	160,809	173,499	166,071	169,392
Centrally Appropriated Lines	575,184	685,046	657,688	833,710	850,384
Department of Law					
Securities Fraud Prosecution (non-add)	473,028	493,081	720,638	727,638	742,191
Division Subtotal	3,229,008	3,400,879	3,963,459	4,139,053	4,221,834
TOTAL	3,229,008	3,400,879	3,963,459	4,139,053	4,221,834

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 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Beginning Balance	15,022,032	12,890	35,413	8,666	8,666
Exempt Revenue					
Non-Exempt Revenue	100,189	109,484	59,908	86,655	121,947
Total Expenditures	15,109,331	86,961	86,655	86,655	121,947
Ending Balance	12,890	35,413	8,666	8,666	8,666
Ending Balance – Cash Assets					
Reserves Increase/Decrease	(15,009,142)	22,523	(26,747)	0	0
Fee Levels					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
1. Provider Assessment	100,189	109,484	59,908	86,655	121,947
Cash Fund Reserve Balance					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	12,890	35,413	8,666	8,666	8,666
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	2,493,040	14,349	14,298	14,298	20,121
Excess Uncommitted Fee Reserve Balance	(2,480,150)	21,064	(5,633)	(5,633)	(11,456)
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	<input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹ <input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ²				
Cash Fund Expenditure Line Item Detail and Change Requests					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Public Utilities Commission					
Personal Services	91,942	71,389	71,389	71,389	72,817
Operating Expenses	195	66	66	66	66
Indirect Cost Assessment	10,905	6,957	6,651	6,651	6,784
Centrally Appropriated Lines	6,289	8,550	8,550	8,550	8,721
Division Subtotal	109,331	86,961	86,655	86,655	88,387
Transfer to General Fund Per HB 09-272	15,000,000	0	0	0	0
Transfer Subtotal	15,000,000	0	0	0	0
TOTAL	15,109,331	86,961	86,655	86,655	88,387

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 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Beginning Balance	79,220	122,761	87,890	7,785	10,071
Exempt Revenue					
Non-Exempt Revenue	144,200	74,794	31,500	112,000	111,908
Total Expenditures	100,659	109,664	111,605	109,714	111,908
Ending Balance	122,761	87,890	7,785	10,071	10,071
Ending Balance – Cash Assets					
Reserves Increase/Decrease	43,541	(34,871)	(80,105)	2,286	0
Fee Levels					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Fees are set annually per HB 09-1244					
Per Document Appraisal Fee	\$520	\$100	\$350	\$1,250	\$1,250
Cash Fund Reserve Balance					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	16,609	87,890	7,785	10,071	10,071
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	(16,609)	18,095	18,415	18,103	18,465
Excess Uncommitted Fee Reserve Balance	33,218	69,795	(10,630)	(8,032)	(8,393)
Deadline for Complying with the Target/Alternative Reserve Balance:				June 30, 2012	

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 easement 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 presently is in compliance, but is expected to be by FY 11-12. See Schedule 9.B			
Action	<input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹				
	<input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ²				
Cash Fund Expenditure Line Item Detail and Change Requests					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Division of Real Estate					
Personal Services	72,075	75,749	73,708	73,708	75,182
Operating Expenses/Other	2,459	289	4,473	4,109	4,191
Hearings	0	0	79	79	80
Commission Meetings	0	0	0	0	0
Indirect Cost Assessment	13,839	8,929	8,647	7,120	7,262
Centrally Appropriated Lines	12,286	24,698	24,698	24,698	25,192
Division Subtotal	100,659	109,664	111,605	109,714	111,908
TOTAL	100,659	109,664	111,605	109,714	111,908

Schedule 9.B							
Compliance Plan for: <i>Conservation Easement Appraisals Cash Fund #22G</i>							
C.R.S. Citation	12-61-719, C.R.S.						
Action	Decrease fees at earliest possible date						
Plan Description	This board's fund balance has been targeted for compliance in 2012. Fees were adjusted at the earliest opportunity.						
Assumptions and Calculations	The fee will be adjusted this fiscal year to ensure compliance by June 2012. In order to achieve compliance by 2011, the per-document appraisal fee was significantly cut to \$100 from \$520. However, legislation passed after fees were adjusted resulted in a one-time spike in document volume (a 50% increase).						
	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 2011-12	87,890	0	31,500	111,605	7,785	18,415	(10,630)
FY 2012-13	7,785	0	112,000	109,714	10,071	18,103	(8,032)
FY 2013-14	10,071	0	111,908	111,908	10,071	18,465	(8,393)

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 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Beginning Balance	(9,302)	(63,122)	1,802	24,194	6,235
Exempt Revenue					
Non-Exempt Revenue	93,000	179,150	80,600	46,726	65,978
Total Expenditures	146,820	114,226	58,208	64,684	65,978
Ending Balance	(63,122)	1,802	24,194	6,235	6,235
Ending Balance – Cash Assets					
Reserves Increase/Decrease	(53,820)	64,924	22,392	(17,958)	(0)
Fee Levels					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Conservation Easement Holder-Land Trusts	\$3,500	\$3,010	\$3,010	\$1,500	\$1,650
Conservation Easement Holder-Municipalities	\$4,200	\$3,500	\$3,010	\$1,500	\$1,650
Cash Fund Reserve Balance					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	24,225	1,802	24,194	6,235	6,235
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	(24,225)	18,847	9,604	10,673	10,886
Excess Uncommitted Fee Reserve Balance	48,451	(17,046)	14,590	(4,437)	(4,651)
Deadline for Complying with the Target/Alternative Reserve Balance:					

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 presently in compliance.				
Action	<input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹				
	<input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ²				
Cash Fund Expenditure Line Item Detail and Change Requests					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Division of Real Estate					
Personal Services	121,298	83,713	29,735	29,735	30,330
Operating Expenses/Other	5,922	3,995	4,016	12,592	12,844
Hearings	0	0	0	0	0
Commission Meetings	3,400	6,172	6,172	8,533	8,704
Indirect Cost Assessment	13,839	8,929	8,647	4,187	4,271
Centrally Appropriated Lines	2,361	11,417	9,637	9,637	9,830
Division Subtotal	146,820	114,226	58,208	64,684	65,978
TOTAL	146,820	114,226	58,208	64,684	65,978

Schedule 9.A					
Cash Fund Status for: <i>HOA Information and Resource Cash Fund #25Q</i> C.R.S. Citation: <i>12-61-406.5, C.R.S.</i>					
Cash Fund Revenue and Expenditure Trend Information					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Beginning Balance	0	0	3,629	8,108	20,021
Exempt Revenue					
Non-Exempt Revenue	0	57,923	135,587	143,021	131,108
Total Expenditures	0	54,293	131,108	131,108	131,108
Ending Balance	0	3,629	8,108	20,021	20,021
Ending Balance – Cash Assets					
Reserves Increase/Decrease	0	3,629	4,479	11,913	0
Fee Levels					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Original Registration-HOA	\$0	\$8	\$9	\$9	\$9
Cash Fund Reserve Balance					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	0	3,629	8,108	20,021	20,021
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	0	8,958	21,633	21,633	21,633
Excess Uncommitted Fee Reserve Balance	0	(5,329)	(13,525)	(1,612)	(1,612)
Deadline for Complying with the Target/Alternative Reserve Balance:					

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 provides information and resources regarding Home Owners Associations.			
Fee Sources		The revenue for this program is received from registrants (HOA's) 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	<input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹				
	<input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ²				
Cash Fund Expenditure Line Item Detail and Change Requests					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Division of Real Estate					
Personal Services	0	29,381	99,812	99,812	99,812
Operating Expenses/Other	0	2,315	2,315	2,315	2,315
Hearings	0	0	0	0	0
Commission Meetings	0	0	0	0	0
Indirect Cost Assessment	0	6,869	13,302	13,302	13,302
Centrally Appropriated Lines	0	15,728	15,679	15,679	15,679
Division Subtotal	0	54,293	131,108	131,108	131,108
TOTAL	0	54,293	131,108	131,108	131,108

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 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Beginning Balance	15,128	34,511	54,511	20,000	20,000
Exempt Revenue					
Non-Exempt Revenue	213,218	220,000	165,489	200,000	200,000
Total Expenditures	193,834	200,000	200,000	200,000	200,000
Ending Balance	34,511	54,511	20,000	20,000	20,000
Ending Balance – Cash Assets					
Reserves Increase/Decrease	19,383	20,000	(34,511)	0	0
<i>Note: for this fund, surcharge collections above 10% of expenditures at year end are credited to the General Fund or another fund pursuant to statute. In FY 09-10, this amount was \$124,582 to the General Fund and \$8,244 to the Division of Registrations Cash Fund. In FY 10-11, this amount was \$23,219 to the General Fund.</i>					
Fee Levels					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Consumer Outreach and Education Surcharge	10%	10%	8%	9%	9%
Cash Fund Reserve Balance					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	34,511	54,511	20,000	20,000	20,000
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	31,983	33,000	33,000	33,000	33,000
Excess Uncommitted Fee Reserve Balance	2,528	21,511	(13,000)	(13,000)	(13,000)
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 out of compliance.			
Action	<input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹				
	<input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ²				
Cash Fund Expenditure Line Item Detail and Change Requests					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Executive Director's Office					
Consumer Outreach and Education	193,834	200,000	200,000	200,000	200,000
TOTAL	193,834	200,000	200,000	200,000	200,000

Schedule 9.B							
Compliance Plan for: Consumer Education and Outreach Cash Fund #22J C.R.S. Citation: 24-34-108, C.R.S.							
C.R.S. Citation	12-61-719, C.R.S.						
Action	Decrease fees at earliest possible date						
Plan Description	The consumer outreach and education surcharge, presently 10% on fines collected by the Department, will be adjusted as necessary to achieve compliance this fiscal year (June 2012).						
Assumptions and Calculations	The surcharge will be reduced from 10% to achieve revenue reductions. Proportional fee levels are listed to achieve revenue of \$165k in FY 11-12, and then \$200k per year in FY 12-13 and FY 13-14. However, actual collections to date will affect how far the fee must be reduced.						
	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 2011-12	54,511	0	165,489	200,000	20,000	33,000	(13,000)
FY 2012-13	20,000	0	200,000	200,000	20,000	33,000	(13,000)
FY 2013-14	20,000	0	200,000	200,000	20,000	33,000	(13,000)

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 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Beginning Balance	621,411	560,537	484,421	511,544	511,544
Exempt Revenue					
Non-Exempt Revenue	4,138,996	4,241,862	5,142,568	5,115,445	5,211,987
Total Expenditures	4,199,870	4,317,978	5,115,445	5,115,445	5,203,210
Ending Balance	560,537	484,421	511,544	511,544	520,321
Ending Balance – Cash Assets					
Reserves Increase/Decrease	(60,874)	15,869	(109,867)	0	8,777
Fee Levels					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Various fees (see below).					
Cash Fund Reserve Balance					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	560,537	484,421	511,544	511,544	520,321
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	692,979	712,466	844,048	844,048	858,530
Excess Uncommitted Fee Reserve Balance	(132,442)	(228,045)	(332,504)	(332,504)	(338,209)
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	<input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹				
	<input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ²				
Cash Fund Expenditure Line Item Detail and Change Requests					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Division of Banking					
Personal Services	2,959,494	3,145,925	3,858,393	3,858,393	3,935,561
Operating Expenses	415,540	432,187	506,387	506,387	516,515
Board Meetings	21,876	19,167	23,500	23,500	23,970
Indirect Cost Assessment	513,677	309,464	315,930	315,930	315,930
Centrally Appropriated Lines	289,283	411,235	411,235	411,235	411,235
Division Subtotal	4,199,870	4,317,978	5,115,445	5,115,445	5,203,210
TOTAL	4,199,870	4,317,978	5,115,445	5,115,445	5,203,210

Schedule 9.A					
Cash Fund Status for: <i>Low Income Telephone Assistance Fund #251 C.R.S. Citation: 40-3.4-108, C.R.S.</i>					
Cash Fund Revenue and Expenditure Trend Information					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Beginning Balance	100,713	233,894	525,318	200,000	200,000
Exempt Revenue					
Non-Exempt Revenue	1,311,515	626,058	271,864	597,182	597,182
Total Expenditures	1,178,334	334,634	597,182	597,182	597,182
Ending Balance	233,894	525,318	200,000	200,000	200,000
Ending Balance – Cash Assets					
Reserves Increase/Decrease	133,181	359,941	99,287	99,287	0
Fee Levels					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
1. Per-line monthly surcharge	\$0.00	\$0.07/\$0.03	\$0.03/\$0.05	\$0.05	\$0.05
Cash Fund Reserve Balance					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	233,894	525,318	200,000	200,000	200,000
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	194,425	250,000	250,000	250,000	250,000
Excess Uncommitted Fee Reserve Balance	39,469	275,318	(50,000)	(50,000)	(50,000)
Deadline for Complying with the Target/Alternative Reserve Balance:					N/A

Schedule 9.A					
Cash Fund Status for: <i>Low Income Telephone Assistance Fund #251 C.R.S. Citation: 40-3.4-108, C.R.S.</i>					
Cash Fund Revenue and Expenditure Trend Information					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
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.				
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	An alternative maximum reserve of \$250,000 applies for this fund. The program presently out of compliance.				
Action	<input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹				
	<input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ²				
Cash Fund Expenditure Line Item Detail and Change Requests					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Public Utilities Commission					
Low Income Telephone Assistance	1,094,729	253,580	513,577	513,577	513,577
Department of Human Services					
Low Income Telephone Assistance Program	83,605	81,054	83,605	83,605	85,277
Division Subtotal	1,178,334	334,634	597,182	597,182	598,854
TOTAL	1,178,334	334,634	597,182	597,182	598,854

Schedule 9.B							
Compliance Plan for: <i>Low Income Telephone Assistance Fund #251 C.R.S. Citation: 40-3.4-108, C.R.S.</i>							
C.R.S. Citation	40-3.4-108, C.R.S.						
Action							
Plan Description	Fees are being adjusted to achieve compliance during FY 11-12 (by June 2012). In April 2011 fees were reduced by over 50% (\$0.07 per month to \$0.03 per month), but could not be reduced further due to expected cash flow needs in the first half of FY 11-12, and in fact fees will need to be increased by December 2011. However, the increase will be calculated to achieve fund balance compliance this fiscal year.						
Assumptions and Calculations	Spending and fees must be forecast based on the amount of net distributions going through the state fund as compared to distributions that are collected and retained by telecommunications carriers. As such, there is significant variability in expenditures for a given fiscal year. Present estimates are based on net distributions from FY 10-11.						
	Fund Balance at Beginning of Fiscal Year	Revenue		Projected Expenditures	Projected Reserve for Fiscal Year	Projected Target Reserve	Difference Over/(Under)
		Projected Earned Interest	Projected Assessments				
FY 2011-12	525,318	0	271,864	597,182	200,000	250,000	(50,000)
FY 2012-13	200,000	0	597,182	597,182	200,000	250,000	(50,000)
FY 2013-14	200,000	0	597,182	597,182	200,000	250,000	(50,000)

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 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Beginning Balance	56,350	213,884	407,774	138,935	138,935
Exempt Revenue					
Non-Exempt Revenue	1,687,369	1,583,236	1,340,093	1,608,933	1,641,112
Total Expenditures	1,529,834	1,389,346	1,608,933	1,608,933	1,641,112
Ending Balance	213,884	407,774	138,935	138,935	138,935
Ending Balance – Cash Assets					
Reserves Increase/Decrease	157,534	328,101	82,585	0	0
Fee Levels					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
1. Rate in cents per \$1,000 of assets		7.23 Credit Unions	7 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 Sav. and Loans	8.5 Sav. and Loans	8.5 Sav. and Loans
Cash Fund Reserve Balance					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	213,884	407,774	138,935	138,935	138,935
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	252,423	229,242	265,474	265,474	270,783
Excess Uncommitted Fee Reserve Balance	(38,538)	178,532	(126,539)	(126,539)	(131,849)
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 out of compliance. See Schedule 9.B.			
Action		<input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹			
		<input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ²			
Cash Fund Expenditure Line Item Detail and Change Requests					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Division of Financial Services					
Personal Services	1,144,860	1,078,188	1,218,367	1,218,367	1,242,734
Operating Expenses	130,744	95,719	161,788	161,788	165,024
Indirect Cost Assessment	162,927	105,499	99,767	99,767	101,762
Centrally Appropriated Lines	91,304	109,940	129,011	129,011	131,591
Division Subtotal	1,529,834	1,389,346	1,608,933	1,608,933	1,641,112
TOTAL	1,529,834	1,389,346	1,608,933	1,608,933	1,641,112

Schedule 9.B							
Compliance Plan for: <i>Division of Financial Services Cash Fund #272 C.R.S. Citation: 11-40-106, C.R.S.</i>							
C.R.S. Citation	11-40-106, C.R.S.						
Action							
Plan Description	Assessments for this Division are charged biannually, and fees set by the Division will be adjusted to achieve compliance by June 2012.						
Assumptions and Calculations	Assessments for this Division are based on institutional assets, and fund balance can be managed with sufficient precision to achieve compliance within the fiscal year. As such revenue is forecast with this assumption in mind.						
	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 2011-12	407,774	0	1,340,093	1,608,933	138,935	250,000	(111,065)
FY 2012-13	138,935	0	1,608,933	1,608,933	138,935	250,000	(111,065)
FY 2013-14	138,935	0	1,641,112	1,641,112	138,935	250,000	(111,065)

Schedule 9.A					
Cash Fund Status for: <i>Division of Insurance Cash Fund #282</i> C.R.S. Citation: <i>10-1-103, C.R.S.</i>					
Cash Fund Revenue and Expenditure Trend Information					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Beginning Balance	0	0	0	0	0
Exempt Revenue					
Non-Exempt Revenue	9,733,168	9,072,084	8,809,737	8,809,738	8,809,738
Total Expenditures	9,733,168	9,072,084	8,809,737	8,809,738	8,809,738
Ending Balance	0	0	0	0	0
Ending Balance – Cash Assets					
Reserves Increase/Decrease	0	499,656	0	0	0
Fee Levels					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
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 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
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)	1,605,973	1,496,894	1,453,607	1,453,607	1,453,607
Excess Uncommitted Fee Reserve Balance	(1,605,973)	(1,496,894)	(1,453,607)	(1,453,607)	(1,453,607)
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	<input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹				
	<input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ²				
Cash Fund Expenditure Line Item Detail and Change Requests					
	Actual FY 2009-10	Actual FY 2010-11	Estimate FY 2011-12	Request FY 2012-13	Projected FY 2013-14
Division of Insurance					
Personal Services	6,251,124	6,302,453	6,703,391	6,703,391	6,703,391
Operating Expenses	305,622	294,370	291,716	291,716	291,716
Insurance Fraud Prosecution	830,262	0	0	0	0
Indirect Cost Assessment	911,898	613,227	563,353	563,353	563,353
CAPCO Payments	79,196	79,593	80,281	80,281	80,281
Centrally Appropriated Lines/Other	1,355,066	1,782,441	1,170,997	1,170,997	1,170,997
Department of Law					
Insurance Fraud Prosecution (non-add)	830,262	0	0	0	0
Governor's Office					
Certified Capital Companies (non-add)	79,196	79,593	80,281	80,281	80,281
Division Subtotal	9,733,168	9,072,084	8,809,738	8,809,738	8,809,738
TOTAL	9,733,168	9,072,084	8,809,738	8,809,738	8,809,738