

Agency Summary And Certification

250 -- Finance, Department of

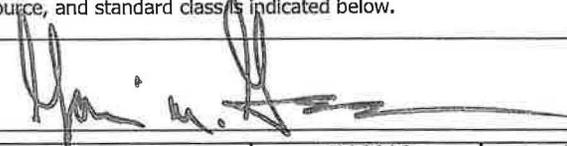
NOV 14 2016

Page 1 of 15 Pages

Original Submission or Rev No. _____

FY2018 Request

In accordance with 67-3503, Idaho Code, I certify the attached forms properly state the receipts and expenditures of the department (agency, office, or institution) for the fiscal years indicated. The summary of expenditures by major program, fund source, and standard class is indicated below.

Signature of Department Director : 

Date: 9/1/16

Function/Activity	FY 2016 Total Appropriation	FY 2016 Total Expenditures	FY 2017 Original Appropriation	FY 2017 Estimated Expenditures	FY 2018 Total Request
Department of Finance	7,750,000	7,255,200	8,170,300	8,170,300	8,358,100
Total	7,750,000	7,255,200	8,170,300	8,170,300	8,358,100
By Fund Source	Total Appropriation	Actual Expenditures	Original Appropriation	Estimated Expenditures	Total Request
D 0229-00 State Regulatory Fund	7,650,000	7,190,200	8,070,300	8,070,300	8,258,100
D 0229-26 Mortgage Recovery Fund	50,000	50,000	50,000	50,000	50,000
D 0325-27 Securities Investor Educ/Training Fund	50,000	15,000	50,000	50,000	50,000
Total	7,750,000	7,255,200	8,170,300	8,170,300	8,358,100
By Object	Total Appropriation	Actual Expenditures	Original Appropriation	Estimated Expenditures	Total Request
Personnel Costs	5,956,500	5,481,500	6,373,700	6,373,700	6,517,100
Operating Expenditures	1,732,100	1,689,600	1,723,100	1,723,100	1,757,200
Capital Outlay	61,400	84,100	73,500	73,500	83,800
Trustee And Benefit Payments	0	0	0	0	0
Lump Sum	0	0	0	0	0
Total	7,750,000	7,255,200	8,170,300	8,170,300	8,358,100
FTP Total	64.00	64.00	64.00	64.00	67.00

DEPARTMENT OF FINANCE
FISCAL YEAR 16
June 2016

#0001 GEE
Director of
Finance

FY16 FTP: 64
FTP Filled: 61
State Temps: 1
Vacancies 2
Total Employee Count: 64

#0014 L. BAKER
Administrative
Assistant 2

#0033 HUGHES
Bureau Chief
Financial Institutions
Bureau

#0036 BURNS
Bureau Chief
Securities Bureau

#0043 JENSEN
Bureau Chief
Supporting Services

#0003 LARSEN
Bureau Chief
Consumer Finance
Bureau

#0034 ENGLISH
Administrative
Assistant 1

#0085 ADCOCK
Office Specialist 2

#0060 HARPER
Program Info
Coordinator

#0022 TILLMAN
Securities
Technician

#0023 PETERSON-
PATE
Financial Spec

#0051 WICKHAM
Sys Integration
Analyst Sr.

#0081 WHITE
Administrative
Assistant 1

#0057 SHERRICK
Financial Institution
Examiner
Commissioned Sr
(Superv. Exam - Credit Unions)

#0068 BERGQUIST
Financial Institution
Examiner
Commissioned Sr
(Superv. Exam - Banks)

#0069 HIGHLEY
Financial Examiner
/Investigator 4

#0055 HODSON
Financial Examiner
/Investigator 4

#0017 JONES
HR Specialist

#0015 RODRIGUEZ
Web
Developer

#0046 SCHALER
Financial Examiner/
Investigator 4
(Superv Exam-Licensing)

#0047 POLIDORI
Financial Examiner/
Investigator 4
(Superv. Exam. - Exam)

#0027 FORTH
Financial Institution
Examiner
Commissioned, Sr.

#0024 REINHARDT
Financial Institution
Examiner
Commissioned

#0054 NEWGARD
Financial Institution
Examiner
Commissioned

#0018 BOSCHULTE
Financial Institution
Examiner
Commissioned

#0061 AX
Financial Examiner/
Investigator 3

#0059 MARTIN
Financial Examiner/
Investigator 3

#0074 VACANT
Office Specialist 2

#0052 R. BAKER
IT Prog Analyst
(Underfill Sr.)

#0038 MELTON
Administrative
Assistant 1

#0039 CLEMENT
Administrative
Assistant 1

#0067 TAROREH
Administrative
Assistant 1

#0044 LANHAM
Consumer Affairs
Officer

#0064 LINDSAY
Financial Institution
Examiner 3
Underfill Commiss

#0011 TUNCA
Financial Institution
Examiner
Commiss

#0007 VACANT
Financial Institution
Examiner 1
Underfill Commiss

#0071 WHITE
Financial Institution
Examiner
Commissioned

#0042 BITNER
Financial Examiner/
Investigator 3

#0028 FLORA
Financial Examiner/
Investigator 3

#9998 HUNDT
Office Specialist 2
(Temporary)

#0063 BANNER
Office
Specialist 2

#0073 SANDERS
Office
Specialist 2

#0065 KLINE
Financial Examiner/
Investigator 3

#0004 LITTLE
Financial Examiner/
Investigator 3

#0045 BERNARD
Financial Institution
Examiner 2
Underfill Commiss

#0025 CRUZ
Financial Institution
Examiner
Commissioned

#0082 TITUS
Financial Institution
Examiner
Commissioned

#0050 MERRITT
Financial Examiner/
Investigator 3

#0084 REAL
Financial Examiner/
Investigator 2
(Underfill FEI 3)

#0040 VanENGELEN
Financial Examiner/
Investigator 3

#0048 KOCHAN
Financial Examiner/
Investigator 3

#0078 GERRISH
Financial Examiner/
Investigator 3

#0049 NATE
Financial Examiner/
Investigator 3

#0026 QUINTERO
Financial Institution
Examiner 1
Underfill Commiss

#0008 MOORE
Financial Institution
Examiner 3
Underfill Commiss

#0032 BUTLER
Financial Examiner/
Investigator 1
(Underfill FEI 3)

#0080 COBURN
Financial Examiner/
Investigator 3

#0041 BERENGER
Financial Examiner/
Investigator 3

#0075 MORTIMER
Financial Examiner/
Investigator 3

#0076 CARPENTER
Financial Examner/
Investigator 3

#0066 VACANT
Financial Institution
Examiner 1
Underfill Commiss

#0070 GONZALES
Financial Institution
Examiner 1
Underfill Commiss

ATTORNEY GENERAL STAFF
Joseph Jones, Deputy Attorney General-Lead
Alan Conilogue, Deputy Attorney General
Brian Nicholas, Deputy Attorney General
Stephanie Sze, Paralegal

#0079 BOURN
Financial Examiner/
Investigator 1
(Underfill FEI 3)

#0077 LAINE
Financial Examiner/
Investigator 3

#0058 LYONS
Financial Examiner/
Investigator 1
(Underfill FEI 3)

FY 2018 Agency Budget - Request

Line Item Report

Agency: 250 Finance, Department of

Decision Unit	Priority	Agency Request		
		FTP	General	Total
Department of Finance				
12.01 IT Programmer Analyst	0	1.00	0	66,700
12.02 Financial Examiner / Investigator	2	1.00	0	82,300
12.03 Public Information Officer (PIO)	0	1.00	0	74,100
		3.00	0	223,100

FORM B12: ANALYSIS OF FUND BALANCES

Request for Fiscal Year : 2018

Agency/Department: Finance

Agency Number: 250

Original Request Date: September 1, 2016 or Revision Request Date: DEC 1 2 2016

Page 5a of 15

Sources and Uses: This State Regulatory Fund source includes various fees assessed to licensees working in the financial industry and are used to cover the cost of regulating the financial industry in Idaho. (§67-2701(f)). At the beginning of each fiscal year, those monies in the finance administrative account which exceed the current year's appropriation plus any residual encumbrances made against prior year's appropriations by twenty-five percent (25%) or more shall be transferred to the general account.

FUND NAME:	Finance	FUND CODE:	0229	FY 2014 Actual	FY 2015 Actual	FY 2016 Actual	FY 2017 Estimate	FY 2018 Estimate
1. Beginning Free Fund Balance				14,388,500	13,846,500	14,803,300	15,403,400	17,015,200
2. Encumbrances as of July 1				0	0	0	0	0
2a. Reappropriation (Legislative Carryover)				NA	NA	NA	0	0
3. Beginning Cash Balance				14,388,500	13,846,500	14,803,300	15,403,400	17,015,200
4. Revenues (from Form B-11)				12,006,200	12,590,700	13,057,400	13,182,100	0
			Money transmitter deposit in lieu of surety bond.					
5. Non-Revenue Receipts and Other Adjustments				41,600	13,500	(3,800)	0	0
6. Statutory Transfers in:			Fund or Reference:	0	0	0	0	0
7. Operating Transfers in:			Fund or Reference:	0	0	0	0	0
8. Total Available for Year				26,436,300	26,450,700	27,856,900	28,585,500	17,015,200
9. Statutory Transfers Out:			Fund or Reference:	5,934,900	4,957,800	5,240,700	3,500,000	3,500,000
10. Operating Transfers Out:			Fund or Reference:	0	0	0	0	0
11. Non-Expenditure Disbursements and Other Adjustments				30,800	25,000	22,600	0	0
12. Cash Expenditures for Prior Year Encumbrances				0	0	0	0	0
13. Original Appropriation				6,762,800	7,110,900	7,650,000	8,070,300	8,258,100
14. Prior Year Reappropriations, Supplementals, Rescissions				0	0	0	0	0
15. Non-cogs, Receipts to Appropriation, etc				0	0	0	0	0
16. Reversions				(138,700)	(446,300)	(459,800)	0	0
17. Current Year Reappropriation				0	0	0	0	0
18. Reserve for Current Year Encumbrances				0	0	0	0	0
19. Current Year Cash Expenditures				6,624,100	6,664,600	7,190,200	8,070,300	8,258,100
20. Ending Cash Balance				13,846,500	14,803,300	15,403,400	17,015,200	5,257,100
21. Prior Year Encumbrances as of June 30				0	0	0	0	0
22. Current Year Encumbrances as of June 30				0	0	0	0	0
22a. Current Year Reappropriation				NA	NA	0	0	0
23. Borrowing Limit				0	0	0	0	0
24. Ending Free Fund Balance				13,846,500	14,803,300	15,403,400	17,015,200	5,257,100
25. Budgetary Basis Expenditures (CY Cash Exp + CY Enc)				6,624,100	6,664,600	7,190,200	8,070,300	8,258,100
26. Outstanding Loans (if this fund is part of a loan program)								

Notes:

FORM B12: ANALYSIS OF FUND BALANCES

Request for Fiscal Year : 2018

Agency/Department: Finance

Agency Number: 250

Original Request Date: September 1, 2016 or Revision Request Date: DEC 1 2 2016

Page 5b of 15

Sources and Uses: Monies received by the state by reason of civil penalties and administrative fines collected pursuant to (§30-14-601 (e)) shall be deposited in this education and training fund up to but not exceeding \$50,000 per year.

FUND NAME:	Securities Investor Education and Training Fund	FUND CODE:	0325-27	FY 2014 Actual	FY 2015 Actual	FY 2016 Actual	FY 2017 Estimate	FY 2018 Estimate
1. Beginning Free Fund Balance				23,600	23,700	32,500	35,300	35,300
2. Encumbrances as of July 1				0	0	0	0	0
2a. Reappropriation (Legislative Carryover)				NA	NA	NA	0	0
3. Beginning Cash Balance				23,600	23,700	32,500	35,300	35,300
4. Revenues (from Form B-11)				50,000	23,100	17,500	50,000	50,000
5. Non-Revenue Receipts and Other Adjustments				0	0	0	0	0
6. Statutory Transfers in:		Fund or Reference:		0	0	0	0	0
7. Operating Transfers in:		Fund or Reference:		0	0	0	0	0
8. Total Available for Year				73,600	46,800	50,000	85,300	85,300
9. Statutory Transfers Out:		Fund or Reference:		0	0	0	0	0
10. Operating Transfers Out:		Fund or Reference:		0	0	0	0	0
11. Non-Expenditure Disbursements and Other Adjustments				(100)	(100)	(300)	0	0
12. Cash Expenditures for Prior Year Encumbrances				0	0	0	0	0
13. Original Appropriation				50,000	50,000	50,000	50,000	50,000
14. Prior Year Reappropriations, Supplementals, Rescissions				0	0	0	0	0
15. Non-cogs, Receipts to Appropriation, etc				0	0	0	0	0
16. Reversions				0	(35,600)	(35,000)	0	0
17. Current Year Reappropriation				0	0	0	0	0
18. Reserve for Current Year Encumbrances				0	0	0	0	0
19. Current Year Cash Expenditures				50,000	14,400	15,000	50,000	50,000
20. Ending Cash Balance				23,700	32,500	35,300	35,300	35,300
21. Prior Year Encumbrances as of June 30				0	0	0	0	0
22. Current Year Encumbrances as of June 30				0	0	0	0	0
22a. Current Year Reappropriation				NA	NA	0	0	0
23. Borrowing Limit				0	0	0	0	0
24. Ending Free Fund Balance				23,700	32,500	35,300	35,300	35,300
25. Budgetary Basis Expenditures (CY Cash Exp + CY Enc)				50,000	14,400	15,000	50,000	50,000
26. Outstanding Loans (if this fund is part of a loan program)								

Notes:

FORM B12: ANALYSIS OF FUND BALANCES

Request for Fiscal Year : 2018

Agency/Department: Finance

Agency Number: 250

Original Request Date: September 1, 2016 or Revision Request Date: **DEC 12 2016**

Page 5c of 15

Sources and Uses: Monies received upon application and renewal for mortgage broker, mortgage lender or mortgage loan originator license (§26-31-110 (1)) through NMLS. The fund is used to reimburse persons to whom an Idaho court awards actual damages resulting from acts constituting violations of this chapter. (§26-31-109 (2)). On an annual basis, the department may apply up to \$50,000 of monies accumulated in the mortgage recovery fund in excess of \$1,500,000 for expenses established in (§26-31-110 (4)).

FUND NAME:	Mortgage Recovery Fund	FUND CODE:	0229-26	FY 2014 Actual	FY 2015 Actual	FY 2016 Actual	FY 2017 Estimate	FY 2018 Estimate
1. Beginning Free Fund Balance				1,572,400	1,740,700	1,847,500	2,013,200	2,063,200
2. Encumbrances as of July 1				0	0	0	0	0
2a. Reappropriation (Legislative Carryover)				NA	NA	NA	0	0
3. Beginning Cash Balance				1,572,400	1,740,700	1,847,500	2,013,200	2,063,200
4. Revenues (from Form B-11)				168,300	145,100	209,600	100,000	100,000
5. Non-Revenue Receipts and Other Adjustments				0	0	0	0	0
6. Statutory Transfers in:		Fund or Reference:		0	0	0	0	0
7. Operating Transfers in:		Fund or Reference:		0	0	0	0	0
8. Total Available for Year				1,740,700	1,885,800	2,057,100	2,113,200	2,163,200
9. Statutory Transfers Out:		Fund or Reference:		0	0	0	0	0
10. Operating Transfers Out:		Fund or Reference:		0	0	0	0	0
11. Non-Expenditure Disbursements and Other Adjustments				0	(11,700)	(6,100)	0	0
12. Cash Expenditures for Prior Year Encumbrances				0	0	0	0	0
13. Original Appropriation					50,000	50,000	50,000	50,000
14. Prior Year Reappropriations, Supplementals, Rescissions				0	0	0	0	0
15. Non-cogs, Receipts to Appropriation, etc				0	0	0	0	0
16. Reversions				0	0	0	0	0
17. Current Year Reappropriation				0	0	0	0	0
18. Reserve for Current Year Encumbrances				0	0	0	0	0
19. Current Year Cash Expenditures				0	50,000	50,000	50,000	50,000
20. Ending Cash Balance				1,740,700	1,847,500	2,013,200	2,063,200	2,113,200
21. Prior Year Encumbrances as of June 30				0	0	0	0	0
22. Current Year Encumbrances as of June 30				0	0	0	0	0
22a. Current Year Reappropriation				NA	NA	0	0	0
23. Borrowing Limit				0	0	0	0	0
24. Ending Free Fund Balance				1,740,700	1,847,500	2,013,200	2,063,200	2,113,200
25. Budgetary Basis Expenditures (CY Cash Exp + CY Enc)				0	50,000	50,000	50,000	50,000
26. Outstanding Loans (if this fund is part of a loan program)								

Notes:

Rev 1

page 6 of 15

FY 2018 Agency Budget - Request

Detail Report

Agency: 250 - Finance, Department of
Function: 01 - Department of Finance

		<u>FTP</u>	<u>Personnel Cost</u>	<u>Operating Expense</u>	<u>Capital Outlay</u>	<u>Trustee/Benefit</u>	<u>Lump Sum</u>	<u>Total</u>
FY 2016 Total Appropriation								
1.00 FY 2016 Total Appropriation								
SB 1126								
0229-00	Dedicated	64.00	5,906,500	1,682,100	61,400	0	0	7,650,000
0229-26	Dedicated	0.00	0	50,000	0	0	0	50,000
0325-27	Dedicated	0.00	50,000	0	0	0	0	50,000
	Total	64.00	5,956,500	1,732,100	61,400	0	0	7,750,000
1.21 Net Object Transfers								
0229-00	Dedicated	0.00	0	(23,000)	23,000	0	0	0
0325-27	Dedicated	0.00	(50,000)	50,000	0	0	0	0
	Total	0.00	(50,000)	27,000	23,000	0	0	0
1.61 Reverted Appropriation Balances								
0229-00	Dedicated	0.00	(425,000)	(34,500)	(300)	0	0	(459,800)
0325-27	Dedicated	0.00	0	(35,000)	0	0	0	(35,000)
	Total	0.00	(425,000)	(69,500)	(300)	0	0	(494,800)
FY 2016 Actual Expenditures								
0229-00	Dedicated	64.00	5,481,500	1,624,600	84,100	0	0	7,190,200
0229-26	Dedicated	0.00	0	50,000	0	0	0	50,000
0325-27	Dedicated	0.00	0	15,000	0	0	0	15,000
	Total	64.00	5,481,500	1,689,600	84,100	0	0	7,255,200
FY 2017 Original Appropriation								
3.00 FY 2017 Original Appropriation								
SB 1371								
0229-00	Dedicated	64.00	6,127,300	1,603,300	0	0	0	7,730,600
OT 0229-00	Dedicated	0.00	196,400	69,800	73,500	0	0	339,700
0229-26	Dedicated	0.00	0	50,000	0	0	0	50,000
0325-27	Dedicated	0.00	50,000	0	0	0	0	50,000
	Total	64.00	6,373,700	1,723,100	73,500	0	0	8,170,300
FY 2017 Total Appropriation								
0229-00	Dedicated	64.00	6,127,300	1,603,300	0	0	0	7,730,600
OT 0229-00	Dedicated	0.00	196,400	69,800	73,500	0	0	339,700
0229-26	Dedicated	0.00	0	50,000	0	0	0	50,000
0325-27	Dedicated	0.00	50,000	0	0	0	0	50,000
	Total	64.00	6,373,700	1,723,100	73,500	0	0	8,170,300

Rev 1

Page 7 of 15

FY 2018 Agency Budget - Request

Detail Report

Agency: 250 - Finance, Department of

Function: 01 - Department of Finance

	FTP	Personnel Cost	Operating Expense	Capital Outlay	Trustee/Benefit	Lump Sum	Total
FY 2017 Estimated Expenditures							
0229-00 Dedicated	64.00	6,127,300	1,603,300	0	0	0	7,730,600
OT 0229-00 Dedicated	0.00	196,400	69,800	73,500	0	0	339,700
0229-26 Dedicated	0.00	0	50,000	0	0	0	50,000
0325-27 Dedicated	0.00	50,000	0	0	0	0	50,000
Total	64.00	6,373,700	1,723,100	73,500	0	0	8,170,300
Base Adjustments							
8.41 Removal of One-Time Expenditures							
OT 0229-00 Dedicated	0.00	(196,400)	(69,800)	(73,500)	0	0	(339,700)
Total	0.00	(196,400)	(69,800)	(73,500)	0	0	(339,700)
FY 2018 Base							
0229-00 Dedicated	64.00	6,127,300	1,603,300	0	0	0	7,730,600
OT 0229-00 Dedicated	0.00	0	0	0	0	0	0
0229-26 Dedicated	0.00	0	50,000	0	0	0	50,000
0325-27 Dedicated	0.00	50,000	0	0	0	0	50,000
Total	64.00	6,177,300	1,653,300	0	0	0	7,830,600
Program Maintenance							
10.11 Change in Health Benefit Costs							
0229-00 Dedicated	0.00	78,100	0	0	0	0	78,100
Total	0.00	78,100	0	0	0	0	78,100
10.12 Change in Variable Benefit Costs							
0229-00 Dedicated	0.00	(400)	0	0	0	0	(400)
Total	0.00	(400)	0	0	0	0	(400)
10.23 Contract Inflation							
MK/WGI Plaza lease. In 2016 we renewed our office space lease through 2021. There was a rent increase, a new charge for space that the previous building owners did not charge for, and we acquired space for a conference room. The total increase was \$41,063; of that \$15,821 was for the new conference room which the Department will absorb, leaving \$25,242 as contract inflation.							
0229-00 Dedicated	0.00	0	25,200	0	0	0	25,200
Total	0.00	0	25,200	0	0	0	25,200
10.31 Repair, Replacement Items/Alterations							
Software subscriptions and support for critical platforms including: AntiVirus, Data BackUp, Firewall & Filters, Encrypted Email, FileShare, and Microsoft Enterprise Agreement. 6 year Capital replacements of network PoE switches, and 10 workgroup printers							
OT 0229-00 Dedicated	0.00	0	69,700	78,400	0	0	148,100
Total	0.00	0	69,700	78,400	0	0	148,100

Per 1

4pg 8 of 15

FY 2018 Agency Budget - Request

Detail Report

Agency: 250 - Finance, Department of

Function: 01 - Department of Finance

		FTP	Personnel Cost	Operating Expense	Capital Outlay	Trustee/Benefit	Lump Sum	Total
10.61	Salary Multiplier - Regular Employees							
	0229-00 Dedicated	0.00	52,500	0	0	0	0	52,500
	Total	0.00	52,500	0	0	0	0	52,500
10.62	Salary Multiplier - Group and Temporary							
	0229-00 Dedicated	0.00	900	0	0	0	0	900
	Total	0.00	900	0	0	0	0	900

FY 2018 Total Maintenance

	0229-00 Dedicated	64.00	6,258,400	1,628,500	0	0	0	7,886,900
	OT 0229-00 Dedicated	0.00	0	69,700	78,400	0	0	148,100
	0229-26 Dedicated	0.00	0	50,000	0	0	0	50,000
	0325-27 Dedicated	0.00	50,000	0	0	0	0	50,000
	Total	64.00	6,308,400	1,748,200	78,400	0	0	8,135,000

Line Items

12.01 IT Programmer Analyst

Critical need of IT Programmer to develop new and support existing licensing and administrative databases. The Department, as a regulatory agency, operates 40 custom built databases for licensing, case management, exam tracking, exam scheduling, and other administrative functions. Grade K

	0229-00 Dedicated	1.00	62,900	2,000	0	0	0	64,900
	OT 0229-00 Dedicated	0.00	0	0	1,800	0	0	1,800
	Total	1.00	62,900	2,000	1,800	0	0	66,700

12.02 Financial Examiner / Investigator

Financial Examiner/Investigator 3 position to perform examinations and investigations in the new licensing and annual license renewal processes for non-depository licensees. Grade M (Underfill)

	0229-00 Dedicated	1.00	76,500	4,000	0	0	0	80,500
	OT 0229-00 Dedicated	0.00	0	0	1,800	0	0	1,800
	Total	1.00	76,500	4,000	1,800	0	0	82,300

12.03 Public Information Officer (PIO)

Provide information to the public and industry about the regulatory issues surrounding the 23 statutes we enforce, and provide direct education to industry and the citizens of Idaho. Grade L

	0229-00 Dedicated	1.00	69,300	3,000	0	0	0	72,300
	OT 0229-00 Dedicated	0.00	0	0	1,800	0	0	1,800
	Total	1.00	69,300	3,000	1,800	0	0	74,100

pg 8a of 15

FY 2018 Agency Budget - Request

Detail Report

Agency: 250 - Finance, Department of

Function: 01 - Department of Finance

		<u>FTP</u>	<u>Personnel Cost</u>	<u>Operating Expense</u>	<u>Capital Outlay</u>	<u>Trustee/Benefit</u>	<u>Lump Sum</u>	<u>Total</u>
FY 2018 Total								
0229-00	Dedicated	67.00	6,467,100	1,637,500	0	0	0	8,104,600
OT 0229-00	Dedicated	0.00	0	69,700	83,800	0	0	153,500
0229-26	Dedicated	0.00	0	50,000	0	0	0	50,000
0325-27	Dedicated	0.00	50,000	0	0	0	0	50,000
Total		67.00	6,517,100	1,757,200	83,800	0	0	8,358,100

FORM B8.1: PROGRAM REQUEST BY DECISION UNIT

Agency/Department: Finance
 Function/Division: _____
 Activity/Program: Regulatory

Request for Fiscal Year : 2018
 Agency Number: 250
 Function/Activity Number: _____
 Budget Unit: FIAA

Original Request Date: September 1, 2016
 Revision Request Date: _____

Page: 9 of 15

Decision Unit Number: 12.01 **Descriptive Title:** IT Programmer Analyst Grade K

Description	General	Dedicated	Federal	Other	Total
FULL TIME POSITIONS (FTP)					0.00
PERSONNEL COSTS:					
1. Salaries		\$41,000			\$41,000
2. Benefits		\$21,900			\$21,900
3. Group Position Funding					\$0
TOTAL PERSONNEL COSTS:	\$0	\$62,900	\$0	\$0	\$62,900
OPERATING EXPENDITURES by summary object:					
1. Training		\$2,000			\$2,000
2.					\$0
3.					\$0
OPERATING EXPENDITURES:	\$0	\$2,000	\$0	\$0	\$2,000
CAPITAL OUTLAY by summary object:					
1. OT Computer (6410)		\$1,000			\$1,000
2. OT Office Furniture (6710)		\$800			\$800
3.					\$0
TOTAL CAPITAL OUTLAY:	\$0	\$1,800	\$0	\$0	\$1,800
T/B PAYMENTS:					\$0
LUMP SUM:					\$0
GRAND TOTAL	\$0	\$66,700	\$0	\$0	\$66,700

Attach as many pages as

1. What is being requested and
2. What resources are necessary to implement this request?
 - a. List by position: position titles, pay grades, full or part-time status, benefit eligibility, anticipated dates of hire and terms of service.
 - b. Note any existing agency human resources that will be redirected to this new effort and how existing operations will be impacted.
 - c. List any additional operating funds and capital items needed.
3. Provide additional detail about
4. Who is being served by this

FY18 Decision Unit No: 12.01 – IT Programmer Analyst

12.01 - DU Priority: 1

1. What is being requested and why? What is the agency staffing level for this activity and how much funding, by source, is in the base?

The Department is asking for a full time IT Programmer Analyst

The Department, as a regulatory agency, operates 40 custom built databases for licensing, case management, exam tracking, exam scheduling, and other administrative functions such as records management and public records requests. We both add and consolidate databases each year.

The Department has a small IT staff of three (Systems Integration Analyst, Web Developer, Program Analyst - Senior).

Computerized licensing in the modern regulatory environment is absolutely critical; the computer is often the most important item on anyone's desk. We have undertaken major initiatives to reduce the licensing burden on our licensees by offering nearly all licensing and registration online, and available 24/7. In the last 2 years, we have created **proprietary** online licensing systems for about 51,000 Solicitors or Collectors (Collection Agents are 27% of our licensees) that formerly could only apply via paper license application. As a group, with collection agent changes and transfers, this licensing strata has over 65,000 licensing events each and every year. This segment represents our second largest licensing group and is responsible for over \$1.2 million in licensing intake per year.

There are several other **critical** licensing and web display database types throughout the Department that require constant Programmer Analyst support, here are major elements of a few:

Custom Case Management: track ongoing and historical exams and investigations in all areas, including dockets, victims, restitution, agreements and orders, related documents, case load management (and resourcing), historical records of principals and examiner / investigators, and unique reporting items (reports by time frame, etc.). Some historical data is input all the way back to the late 1960's.

Custom Licensing Databases: cover 181,000+ licensees in the 15 areas we regulate. Licensing is one of our core activities. Databases keep track of constantly shifting requirements: historical data, identify and track QPICs (Qualified Person in Charge), complaints from citizens, verify data from national systems, display data for our web site ("is this business licensed?"), internal licensee contact information, data for system generated correspondence (renewal reminders, termination process docs, complaint response), global reference data used in both "for cause" examinations and standard interval examinations, tie licensees to their brokers, manage and record licensee movement between brokers, and exam scheduling and billing.

Financial: Receipting, license verification, payments (EFT, check, etc), internal control for accounting, verification of licensing transactions.

Other Custom Databases: Complaints Database (including actions taken), Document Management, Web Display, Purchase Orders, Public Information Requests, Personnel.

Supporting these increasingly complicated systems, on both national and self-designed custom platforms, now consumes significant programming and maintenance hours. We need a second programmer.

We are a dedicated fund agency that self-funds its next fiscal year, and then transfers an average of \$5 million per year to the General Fund

2. What resources are necessary to implement this request?

Personnel, Operating, and Capital funds.

a. List by position: position titles, pay grades, full or part-time status, benefit eligibility, anticipated dates of hire and terms of service.

One IT Programmer Analyst, Grade K, Full Benefits, Hire in July 2017, Permanent

b. Note any existing agency human resources that will be redirected to this new effort and how existing operations will be impacted.

Existing employees will supplement and train the new IT Programmer Analyst

c. List any additional operating funds and capital items needed.

Ongoing funds for training and travel. One Time (OT) Capital for computer, desk, and chair

3. Provide additional detail about the request, including one-time versus ongoing. Include a description of major revenue assumptions, for example, whether there is a new customer base, fee structure changes, or anticipated grant awards.

This is an ongoing request, and would allow us to meet future requirements. We are a dedicated fund agency, and consistently transfer significant amounts to the General Fund. This request would not present a hardship to our budget OR our transfers to the General Fund

4. Who is being served by this request and what are the expected impacts of the funding requested? If this request is not funded who and what are impacted?

The citizens of the State of Idaho, worldwide licensees and users that do business in Idaho, and the 181,000 businesses or entities that the Department licenses or registers, will be served by this request. The funding will not result in an increase in fees to the industry due to the excess revenue generated from the existing industry fee structure. If the request is not funded, the Department will continue at an inadequate level of programming and database support, negatively impacting our ability to provide timely and quality public service.

FORM B8.1: PROGRAM REQUEST BY DECISION UNIT					
Agency/Department:	Finance			Request for Fiscal Year :	2018
Function/Division:				Agency Number:	250
Activity/Program:	Regulatory			Function/Activity Number:	
				Budget Unit:	FIAA
Original Request Date: September 1, 2016	Revision Request Date:			Page:	10 of 15
Decision Unit Number:	12.02	Descriptive Title:	Financial Examiner/Investigator (Possible underfill)		
Description	General	Dedicated	Federal	Other	Total
FULL TIME POSITIONS (FTP)					0.00
PERSONNEL COSTS:					
1. Salaries		\$52,300			\$52,300
2. Benefits		\$24,200			\$24,200
3. Group Position Funding					\$0
TOTAL PERSONNEL COSTS:	\$0	\$76,500	\$0	\$0	\$76,500
OPERATING EXPENDITURES by summary object:					
1. Training and Travel		\$4,000			\$4,000
2.					\$0
3.					\$0
TOTAL OPERATING EXPENDITURES:	\$0	\$4,000	\$0	\$0	\$4,000
CAPITAL OUTLAY by summary object:					
1. OT computer (6410)		\$1,000			\$1,000
2. OT Office Furniture (6710)		\$800			\$800
3.					\$0
TOTAL CAPITAL OUTLAY:	\$0	\$1,800	\$0	\$0	\$1,800
T/B PAYMENTS:					\$0
LUMP SUM:					\$0
GRAND TOTAL	\$0	\$82,300	\$0	\$0	\$82,300

Attach as many pages as necessary to respond to the following questions:

1. What is being requested and why? What is the agency staffing level for this activity and how much funding, by source, is in the base?
2. What resources are necessary to implement this request?
 - a. List by position: position titles, pay grades, full or part-time status, benefit eligibility, anticipated dates of hire and terms of service.
 - b. Note any existing agency human resources that will be redirected to this new effort and how existing operations will be impacted.
 - c. List any additional operating funds and capital items needed.
3. Provide additional detail about the request, including one-time versus ongoing. Include a description of major revenue assumptions, for example, whether there is a new customer base, fee structure changes, or anticipated grant awards.
4. Who is being served by this request and what are the expected impacts of the funding requested? If this request is not funded who and what are impacted?

FY18 Decision Unit No: 12.02 – Financial Examiner / Investigator 3

DU Priority: 2

1. What is being requested and why? What is the agency staffing level for this activity and how much funding by source is in the base?

The Consumer Finance Bureau (CFB) of the Department is requesting the addition of one Financial Examiner/Investigator 3 position to the CFB's Licensing Section to perform examinations/investigations in the licensing and annual license renewal processes for a non-depository base of 5,986 licensees as of July 31, 2016. CFB has a total of 15 Financial Examiner Investigators; two of those are FEI4 (supervisors), eleven are FEI3, and two are FIE1 underfils. The most recent addition to the examiner staff in the CFB's Licensing Section was in September of 2011, and since that time the CFB has seen a steady increase in business license/registration applications in all areas of its regulatory supervision; namely, mortgage, consumer finance, and the collection industry. Such increases equate to significant workload increases in, (i) the license "gate-keeping" function, (ii) ongoing license maintenance and amendment filings; (iii) compliance examinations and investigations; (iv) complaint processing; and (v) annual license renewal processes. The average percentage increases over the last five years is nearly 55 percent and over 104 percent in mortgage loan originators.

The current staffing level includes one examiner dedicated to new mortgage company license applications and mergers/acquisitions, one examiner dedicated to new mortgage loan originator license applications and annual license renewals, one examiner dedicated to handling the thousands of electronic license amendment filings received by the Department annually and annual license renewals for all company licensees, and one examiner dedicated to new regulated lender (which includes payday lenders, title lenders, and traditional consumer finance companies) company license applications, together with collection agency company license applications, hundreds of amendment filings annually for each license type remaining in the "paper" license format, and collection agent registrations. Current staffing also includes an examiner in training that has been responsible for analyzing annual report filings for regulated lenders and collection agencies while cross training in renewal and application processes. Please see the attached Memorandum (marked as Exhibit A) for a breakout of CFB licensee numbers by industry type, together with an explanation of licensee growth by industry and workload increases over the past five years.

In 2013 the Department became an accredited mortgage regulator under stringent standards of the American Association of Residential Mortgage Regulators (AARMR) and the Conference of State Bank Supervisors (CSBS). For re-accreditation in the next few years, the CFB has been advised that it must incorporate a financial analysis component in the mortgage license application and license renewal processes. The CFB is planning to incorporate this financial analysis component in its mortgage licensing processes beginning fiscal year 2018 (July 2017). This undertaking alone will add a significant workload layer on the CFB's already overwhelmed Licensing Section. The CFB has always taken pride in its responsiveness to the Department's licensees, including the review and approval of license applications and license renewals as timely as possible. Given the existing workload, the CFB's responsiveness in this area is suffering. Over the past few years examiner level CFB licensing staff are working an unacceptably

high number of overtime hours trying to stay abreast of increasing licensee-related workloads. This is not sustainable, nor does it allow the Department to provide the level of service desired by the Department and expected by fee-paying licensees and license applicants.

2. What resources are necessary to implement this request?

Personnel, Operating, and Capital funds.

a. List by position: position titles, pay grades, full or part-time status, benefit eligibility, anticipated dates of hire and terms of service.

One FEI 3, Grade M Underfill, Full Benefits, Hire in July 2017, Permanent

b. Note any existing agency human resources that will be redirected to this new effort and how existing operations will be impacted.

Existing examiners will supplement and train the new examiner (new examiner will also receive national training as existing examiners currently do).

c. List any additional operating funds and capital items needed.

Ongoing funds for increased exam travel, increased training travel, and training expenses. OT Capital for computer, desk, chair, files

3. Please break out fund sources with anticipated expenditures in the financial data matrix. (Please separate one-time vs. ongoing requests.) Non-General funds should include a description of major revenue assumptions: new customer base, fee structure changes, ongoing anticipated grants, etc.

This is an ongoing request, and would allow us to meet future requirements. We are a dedicated fund agency, and consistently transfer significant amounts to the General Fund. This request would not present a hardship to our budget OR our transfers to the General Fund.

4. Who is being served by this request and what are the expected impacts of the funding requested? If this request is not funded who and what are impacted?

Non-depository businesses and individuals seeking to do business in Idaho are impacted. These include (i) mortgage brokers/lenders; (ii) mortgage loan originators; (iii) mortgage servicers; (iv) consumer finance companies; (v) payday lenders; (vi) title lenders; (vii) collection agencies; (viii) credit repair organizations; and (ix) debt and credit counselors. The foregoing financial services-related businesses, together with their customers, will be served by the approval of the within request.

If the request is not funded, the Department's license application and license renewal turnaround times will continue to suffer under the strain of increased workloads. Companies desiring to do business in Idaho will be primarily negatively impacted.

MEMORANDUM

To: Gavin M. Gee, Director of the Idaho Department of Finance

From: Michael Larsen, Consumer Finance Bureau Chief

Date: August 17, 2016

Re: Request for an Additional Examiner-Level Staff Member in the CFB's Licensing Section

The most recent addition to the examiner staff in the Licensing Section of the Consumer Finance Bureau (CFB) was in September of 2011, and since that time the CFB has seen a steady increase in business license/registration applications in all areas of its regulatory supervision; namely, mortgage, consumer finance, and the collection industry. Such increases equate to significant workload increases in, (i) the license "gate-keeping" function, (ii) ongoing license maintenance and amendment filings; (iii) compliance examinations and investigations; (iv) complaint processing; and (v) annual license renewal processes.

The following table depicts the significant increases in overall licensee numbers from September 30, 2011, to July 31, 2016:

Regulated Industry	Sept 30, 2011 Licensee Totals	July 31, 2016 Licensee Totals	License Number Increase (Decrease)	Percentage Change
Mortgage brokers/lenders	630	839	209	33.17%
Mortgage loan originators	1,743	3,560	1,817	104.24%
Regulated lenders	709	830	121	17.06%
Collection ¹	785	757	(28) ²	(3.56%)
TOTALS	3,867	5,986	2,119	54.79%

¹ In addition to collection agency licensees, as of the end of July 2016 the Department had 50,711 registered collection agency solicitors/agents. This represents an increase of 8,737 such registrants since September of 2011.

² There has been a marked license workload increase in the collection area despite the licensee company decrease over the past five years. This is due, in part, because of mergers of licensees resulting in fewer licensees but larger companies – with a commensurate increase of 8,737 registered solicitors/agents over the past five years. Additionally, the Department registers, but does not license, collection agency *branches*, of which there are currently 555, an increase of 71.82% since September 30, 2011, when there were 323 branches. On the NMLS, the branch registration process involves as much work as required for *licensed* branches in the Department's other regulated industries. Consequently, the CFB has experienced a workload *increase* related to the collection industry despite a decrease of collection agency company licensees over the past five years.

Absent from the foregoing table is any quantification of the significant workload increase due to the Department's statutory amendment in 2013 permitting collection and consumer finance licensees a choice in their license application and maintenance; that is, utilizing either (i) the modernized internet-based Nationwide Multistate Licensing System (NMLS) or (ii) the antiquated and workload-intensive paper license application and annual renewal process. Recognizing the overall benefits of the NMLS, many licensees have opted to utilize this system for maintenance of their licenses.³ However, despite the Department's efforts to persuade companies to utilize the NMLS, many have not availed themselves of that system.⁴ Rather, they opt to utilize the "paper world" for licensing. Consequently, and by necessity, since 2013 the CFB has had to sustain and maintain dual licensing system databases, which has essentially doubled the workload of the CFB's licensing staff; without a corresponding staff increase.

The CFB's examiner-level licensing workload is at a critically high level given existing staff resources. CFB staff has always taken pride in its responsiveness to the Department's licensees, including the review and approval of license applications and license renewals as timely as possible. Given the existing workload, the CFB's responsiveness in this area is suffering. Additionally, from a managerial perspective, I am seeing signs of staff burnout. Over the past few years examiner level CFB licensing staff has worked an unacceptably high number of overtime hours trying to keep up on workloads; particularly during licensing "renewal season" which, because of our dual licensing system, mentioned above, lasts from six to eight months each year. This is not sustainable.

With current staffing, the CFB's ability to provide acceptable levels of service to licensees would be seriously curtailed with the loss of one or two key examiners in the CFB's Licensing Section, which seems more and more likely given existing "burnout" workload levels.

In light of the foregoing, this is to respectfully request the addition of one additional new examiner-level employee in the CFB's Licensing Section.

³ As of July 31, 2016, forty-two percent (42%) of the Department's collection agency licensees and fifty-eight percent (58%) of the Department's Regulated lender licensees have opted to utilize the NMLS as their system of choice for license maintenance

⁴ Approximately 439 collection agency licensees and approximately 349 regulated lender licensees have chosen not to utilize the NMLS as their system of choice for license maintenance

FORM B8.1: PROGRAM REQUEST BY DECISION UNIT

Agency/Department: Finance
 Function/Division: _____
 Activity/Program: Regulatory

Request for Fiscal Year : 2018
 Agency Number: 250
 Function/Activity Number: _____
 Budget Unit: FIAA

Original Request Date: September 1, 2016
 Revision Request Date: _____

Page: 11 of 15

Decision Unit Number: 12.03 **Descriptive Title:** Public Information Office (PIO) Grade L

Description	General	Dedicated	Federal	Other	Total
FULL TIME POSITIONS (FTP) PERSONNEL COSTS:					
1. Salaries		\$46,300			\$46,300
2. Benefits		\$23,000			\$23,000
3. Group Position Funding					
TOTAL PERSONNEL COSTS:		\$69,300			\$69,300
OPERATING EXPENDITURES by summary object:					
1. Training		\$3,000			\$3,000
2.					
3.					
TOTAL OPERATING EXPENDITURES:		\$3,000			\$3,000
CAPITAL OUTLAY by summary object:					
1. OT computer (6410)		\$1,000			\$1,000
2. OT Office Furniture (6710)		\$800			\$800
3.					
TOTAL CAPITAL OUTLAY:		\$1,800			\$1,800
T/B PAYMENTS:					
LUMP SUM:					
GRAND TOTAL		\$74,100			\$74,100

Attach as many pages as necessary to respond to the following questions:

1. What is being requested and why? What is the agency staffing level for this activity and how much funding, by source, is in the base?
2. What resources are necessary to implement this request?
 - a. List by position: position titles, pay grades, full or part-time status, benefit eligibility, anticipated dates of hire and terms of service.
 - b. Note any existing agency human resources that will be redirected to this new effort and how existing operations will be impacted.
 - c. List any additional operating funds and capital items needed.
3. Provide additional detail about the request, including one-time versus ongoing. Include a description of major revenue assumptions, for example, whether there is a new customer base, fee structure changes, or anticipated grant awards.
4. Who is being served by this request and what are the expected impacts of the funding requested? If this request is not funded who and what are impacted?

FY18 Decision Unit No: 12.03 – Public Information Officer

DU Priority: 3

1. What is being requested and why? What is the agency staffing level for this activity and how much funding, by source, is in the base?

The request is for one Public Information Officer (PIO) to 1) improve the delivery of Department media communications, 2) coordinate the Department's robust and growing consumer/industry education platform, and 3) serve as Department liaison for the many industry and education groups that the Department has relationships with. The Department has responsibility for providing financial literacy education for consumers and compliance related training for several industries overseen by the Department.

Until now, the Department has shared the oversight and delivery of its message and educational efforts among its various bureaus and professional staff. Over the last six years, the Department has averaged issuing 24 press releases per year (2 per month), while organizing, participating or speaking at approximately 150 financial education events that served over 15,000 Idaho consumers. These efforts now consume significant employee hours, thereby reducing staff resources committed to the oversight and examination of our growing and increasingly complex financial services providers. A more coordinated approach to education and our media message is necessary in today's digital marketplace and to ensure that we have sufficient examination resources for the industries that we oversee.

2. What resources are necessary to implement this request?

Personnel, Operating, and Capital funds.

a. List by position: position titles, pay grades, full or part-time status, benefit eligibility, anticipated dates of hire and terms of service.

One Public Information Officer (PIO), Grade L, Full Benefits, hire in July 2017, Permanent

b. Note any existing agency human resources that will be redirected to this new effort and how existing operations will be impacted.

Existing employees will work with and train the PIO (training will also be provided by the Department's national and state partner organizations, federal regulatory agencies, and other sources). However, as stated above, the PIO position will eventually result in current employee resources being directed to primary examination and investigation functions of the Department.

c. List any additional operating funds and capital items needed.

Ongoing funds for travel and increased training. One Time (OT) Capital for computer, desk, chair, etc.

3. Provide additional detail about the request, including one-time versus ongoing. Include a description of major revenue assumptions, for example, whether there is a new customer base, fee structure changes, or anticipated grant awards.

This is an ongoing request, and would allow us to meet future requirements. We are a dedicated fund agency, and consistently transfer significant amounts to the General Fund. This request would not present a hardship to our budget OR our transfers to the General Fund.

4. Who is being served by this request and what are the expected impacts of the funding requested? If this request is not funded who and what are impacted?

The citizens of the State of Idaho, our licensees and registrants, and Idaho customers of our licensees, will be served by this request. The funding will not result in an increase in fees to the industry due to the excess revenue generated from the existing industry fee structure. If the request is not funded, most likely the Department will need to limit its involvement in investor and consumer education due to the competing demand for experienced event planners, coordinators, speakers (examiners) who also must participate in the increasingly complex and greater number of examinations. Idaho consumers would not be as well educated regarding financial matters including how to avoid financial fraud and cybercrime.

Agency/Department: Department of Finance	Agency Number: 250
Function/Division: Department of Finance	Function/Activity Number:
Activity/Program: Department of Finance	Budget Unit: FIAA
	Fiscal Year: 2018
Original Request Date: 9/1/2016	Fund Name: State Regulatory
Revision Date: _____	Fund Number: 0229-00
Revision #: _____	Budget Submission Page # 12 of 15

PCN	CLASS CODE	DESCRIPTION	Indicator Code	FTP	FY 2017 SALARY	FY 2017 HEALTH BENEFITS	FY 2017 VAR BENEFITS	FY 2017 TOTAL	FY 2018 SALARY CHANGE	FY 2018 CHG HEALTH BENEFITS	FY 2018 CHG VAR BENEFITS	TOTAL BENEFIT CHANGES	
Totals from Wage and Salary Report (WSR):													
		Permanent Positions	1	60.00	4,083,264	734,400	863,923	5,681,587	(151,232)	73,200	(360)	72,840	
		Board & Group Positions	2		59,262	0	25,049	84,311					
		Elected Officials & Full Time Commissioners	3	0.00	0	0	0	0		0	0	0	
		TOTAL FROM WSR		60.00	4,142,526	734,400	888,972	5,765,899		73,200	(360)	72,840	
		FY 2017 ORIGINAL APPROPRIATION			6,323,700	64.00	4,543,281	805,447	974,973	6,323,700			
		Unadjusted Over or (Under) Funded:	Est Difference	4.00	400,754	71,047	86,000	557,801		Calculated overfunding is 8.8% of Original Appropriation			
		Adjustments to Wage & Salary:											
		Add Funded / Subtract Unfunded - Vacant or Authorized - Positions:											
		Retire Cd	Adjustment Description / Position Title										
0007	4415	R1	VACANT Fin Inst Examiner Comm to policy	1	1.00	48,354	12,240	10,241	70,835		1,220	(5)	1,215
0017	5141	R1	VACANT HR Specialist	1	1.00	51,272	12,240	10,859	74,371		1,220	(5)	1,215
0066	4413	R1	VACANT Fin Inst Examiner Senior Comm to policy	1	1.00	85,675	12,240	18,145	116,060		1,220	(9)	1,211
0074	1238	R1	VACANT OS 2 (WSR)	1	1.00	25,228	12,240	5,343	42,811		1,220	(3)	1,217
9997	1239	R1	VACANT OS 2 PT (WSR)	2	0.00	8,280	0	661	8,941		0	0	0
9998	1239	R1	VACANT OS 2 PT (WSR)	2	0.00	8,280	0	661	8,941		0	0	0
9999	1239	R1	VACANT OS 2 PT (WSR) 1385 w/Benefits	1	0.00	24,458	0	5,180	29,638		0	(2)	(2)
					0.00	0	0	0	0		0	0	0
Other Adjustments:													
0008	4415	R1	UNDER Fin Inst Examiner 3 to Policy + 2% CEC	1	0.00	13,839	0	2,931	16,770		0	(1)	(1)
0026	4415	R1	UNDER Fin Inst Examiner 1 to Policy + 2% CEC	1	0.00	28,649	0	6,068	34,717		0	(3)	(3)
0032	4439	R1	UNDER Fin Examiner Inv 1 to Policy + 2% CEC	1	0.00	15,474	0	3,277	18,751		0	(2)	(2)
0035	4415	R1	UNDER Fin Inst Examiner 1 to Policy + 2% CEC	1	0.00	28,649	0	6,068	34,717		0	(3)	(3)
0045	4415	R1	UNDER Fin Inst Examiner 2 to Policy + 2% CEC	1	0.00	20,869	0	4,420	25,289		0	(2)	(2)
0052	1618	R1	UNDER Prog Analyst to Senior	1	0.00	4,673	0	990	5,663		0	(0)	(0)
0058	4439	R1	UNDER Fin Examiner Inv 1 to Policy + 2% CEC	1	0.00	15,474	0	3,277	18,751		0	(2)	(2)
0064	4415	R1	UNDER Fin Inst Examiner 3 to Policy + 2% CEC	1	0.00	12,466	0	2,640	15,106		0	(1)	(1)
0079	4439	R1	UNDER Fin Examiner Inv 1 to Policy + 2% CEC	1	0.00	15,474	0	3,277	18,751		0	(2)	(2)
0084	4439	R1	UNDER Fin Examiner Inv 2 to Policy + 2% CEC	1	0.00	8,859	0	1,876	10,735		0	(1)	(1)
Estimated Salary Needs:													
		Permanent Positions	1	64.00	4,482,677	783,360	948,515	6,214,552		78,080	(400)	77,680	
		Board & Group Positions	2	0.00	75,822	0	26,370	102,193			0	0	
		Elected Officials & Full Time Commissioners	3	0.00	0	0	0	0		0	0	0	
		Estimated Salary and Benefits		64.00	4,558,499	783,360	974,885	6,316,745		78,080	(400)	77,680	
		Adjusted Over or (Under) Funding:	Orig. Approp	0.00	5,000	900	1,100	7,000		Calculated overfunding is .1% of Original Appropriation			
			Est. Expend	0.00	5,000	800	1,100	6,900		Calculated overfunding is .1% of Estimated Expenditures			
			Base	0.00	5,000	800	1,100	6,900		Calculated overfunding is .1% of the Base			
Personnel Cost Reconciliation - Relation to Zero Variance ---->													

DU		Original Appropriation	FTP	FY 17 Salary	FY 17 Health Ben	FY 17 Var Ben	FY 2017 Total		FY 18 Chg Health Bens	FY 18 Chg Var Bens	Total Benefit Change
3.00	FY 2017 ORIGINAL APPROPRIATION	6,323,700	64.00	4,563,619	784,223	975,959	6,323,700				
	Rounded Appropriation		64.00	4,563,500	784,200	976,000	6,323,700				
	Appropriation Adjustments:										
4.11	Reappropriation		0.00	0	0	0	0				
4.31	Supplemental		0.00	0	0	0	0				0
5.00	FY 2017 TOTAL APPROPRIATION		64.00	4,563,500	784,200	976,000	6,323,700				
	Expenditure Adjustments:										
6.31	FTP or Fund Adjustment		0.00	0	0	0	0				0

FORM B6: WAGE & SALARY RECONCILIATION

6.51	Transfer Between Programs		0.00	0	0	0	0				0
7.00	FY 2017 ESTIMATED EXPENDITURES		64.00	4,563,500	784,200		976,000				6,323,700
	Base Adjustments:										
8.31	Transfer Between Programs		0.00	0	0		0				0
8.41	Removal of One-Time Expenditures		0.00	(162,100)	0		(34,300)				(196,400)
8.51	Base Reduction		0.00	0	0		0				0
9.00	FY 2018 BASE		FTP	FY 18 Salary	FY18 Health Ben		FY 18 Var Ben				FY 2018 Total
			64.00	4,401,400	784,200		941,700				6,127,300
10.11	Change in Health Benefit Costs				78,100						78,100
10.12	Change in Variable Benefits Costs						(400)				(400)
	Subtotal CEC Base:	Indicator Code	64.00	4,401,400	862,300		941,300				6,205,000
10.51	Annualization			0	0		0				0
10.61	CEC for Permanent Positions	1.00%		43,300			9,200				52,500
10.62	CEC for Group Positions	1.00%		800			100				900
10.63	CEC for Elected Officials & Commissioners			0			0				0
11.00	FY 2018 PROGRAM MAINTENANCE		64.00	4,445,500	862,300		950,600				6,258,400
	Line Items:										
12.01	IT Programmer Analyst	1	1.00	41,018	21,866						62,884
12.02	Financial Examiner/Investigator 3 (Possible Underfill)	1	1.00	52,350	24,188						76,538
12.03	Public Information Officer	1	1.00	46,309	22,950						69,259
13.00	FY 2018 TOTAL REQUEST		67.00	4,585,177	931,304		950,600				6,467,081

FORM B6: WAGE & SALARY RECONCILIATION

7.00	FY 2017 ESTIMATED EXPENDITURES		0.00	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!			
	Base Adjustments:									
8.31	Transfer Between Programs		0.00	0	0	0	0			0
8.41	Removal of One-Time Expenditures		0.00	0	0	0	0			0
8.51	Base Reduction		0.00	0	0	0	0			0
9.00	FY 2018 BASE		FTP	FY 18 Salary	FY18 Health Ben	FY 18 Var Ben	FY 2018 Total			
			0.00	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!			
10.11	Change in Health Benefit Costs				0		0			0
10.12	Change in Variable Benefits Costs						0			0
	Subtotal CEC Base:	Indicator Code	0.00	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!			
10.51	Annualization			0	0		0			0
10.61	CEC for Permanent Positions	1.00%		#DIV/0!		#DIV/0!	#DIV/0!			#DIV/0!
10.62	CEC for Group Positions	1.00%		0			0			0
10.63	CEC for Elected Officials & Commissioners			0			0			0
11.00	FY 2018 PROGRAM MAINTENANCE		0.00	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!			
	Line Items:									
12.01										0
12.02										0
12.03										0
13.00	FY 2018 TOTAL REQUEST		0.00	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!			

Form B4: Part C - Contract Inflation

Agency: Finance

Division:

Program: Regulatory

Agency Number: 250

Function/Activity Number: _____

Request **2018**

Page 14 of 15

Original Submission or Revision No. _____

(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)
Part C: Contract (identify who and what)	FY 2014 Actual	FY 2015 Actual	FY 2016 Actual	FY 2017 Est. Exp.	Contract Date	Term of Contract (Year x of x)	FY 2018 Contractual % Change	FY 2018 Change	FY 2018 Total
MK/WGI Plaza Lease	309,330	309,330	309,330	350,393	08/2016	Year 1 of 5	7.20%	25,200	375,593
								-	-
								-	-
								-	-
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								-	-
								-	-
								-	-
Total	309,330	309,330	309,330	350,393			7.19%	25,200	375,593
FundSource							Proportion		
General	-	-	-	-				-	-
Dedicated	-	-	-	-			100.0%	25,200	375,600
Federal	-	-	-	-				-	-
Total	-	-	-	-			100.00%	25,200	375,600

Notes: In 2016, the Department renewed its office space lease through 2021. In addition to a rent increase, there was a new charge for space that was never charged for by the previous building owners . The Department also acquired space for a conference room. The total increase is \$41,063; of that \$15,821 is for the new conference room, which will absorb, leaving \$25,242 as contract inflation.

FORM B7: ONE-TIME OPERATING EXPENDITURES & ONE-TIME CAPITAL OUTLAY SUMMARY

Agency/Department: Finance
 Program (If applicable): _____

Request for Fiscal Year: 2018
 Agency Number: 250
 Function/Activity Number: _____

Original Request Date: 9/1/16
 Revision Request Date: _____

Priority Order	Program	DU	Fund	Sub-object Code	Item/Description	Mileage	Date Acquired	Quantity in Stock	Request Quantity Desired	Request Unit Cost	Request Total Cost
1	01	10.31	0229	5570	MS Enterprise Support Agreement		2012	1	1	22,000	22,000
2	01	10.31	0229	5570	Software Subscriptions (Averaged)		2006	12	12	2,200	26,400
3	01	10.31	0229	5570	BackUp System Renew		2014	2	2	5,100	10,200
4	01	10.31	0229	5574	Firewall Main Annual (@ Admin)		2014	1	1	4,500	4,500
5	01	10.31	0229	5600	Computer Supplies/Training/Ref		various	3	3	2,200	6,600
											0
1	01	10.31	0229	6415	Replace Office Workgroup Printers		2012	11	11	1,400	15,400
2	01	10.31	0229	6413	Replace Office IT Switches		2011	3	3	21,000	63,000
											0
											0
Subtotal of filtered items											\$148,100
Grand Total by Program											\$148,100
	01										148,100
											0
											0
											0
Grand Total by Decision Unit											\$148,100
		10.31									148,100
											0
											0
											0
Grand Total by Fund Source											\$148,100
			0229								148,100
											0
											0
											0
Grand Total by Category											\$148,100
				5570				33	33		58,600
				5574				15	15		4,500
				5600				1	1		6,600
				6413				3	3		63,000
				6415				3	3		15,400
								11	11		0
								0	0		0
								0	0		0
								0	0		0
								0	0		0

FIVE-YEAR FACILITY NEEDS PLAN, pursuant to IC 67-5708B

AGENCY INFORMATION

AGENCY NAME:	Idaho Department of Administration		
Division/Bureau:	Internal Support, OCIO, Purchasing, Rules Coordinator		
Prepared By:	Jill Peterson-Pate	E-mail Address:	jill.peterson-pate@finance.idaho.gov
Telephone Number:	208-332-8023	Fax Number:	208-332-8099
DFM Analyst:	Gideon Tolman	LSO/BPA Analyst:	Keith Bybee
Date Prepared:	8/22/2016	For Fiscal Year:	2018

FACILITY INFORMATION (please list each facility separately by city and street address)

Facility Name:	MK/WGI Plaza				
City:	Boise	County:	Ada	Zip Code:	83712
Street Address:	800 Park Blvd Ste 200				
Facility Ownership: (could be private or state-owned, use "X" to mark one):	Private Lease (use "X" to mark):	<input checked="" type="checkbox"/>	State Owned (use "X" to mark):	<input type="checkbox"/>	Lease Expires:

FUNCTION/USE OF FACILITY: Could be administrative use, client counseling, hearing rooms, field offices, etc. Address any specialized needs which require additional square feet.

Administrative Office

COMMENTS: Address reasons for expanding or relocating; amount of space leased to other state agencies, federal agencies, etc. & the amount of rent they pay for the use of your facility; or other comments which might be helpful.

SURPLUS PROPERTY: Facilities to be disposed of and funds re-utilized for building replacement or renovation of facilities. This could also include leased facilities if the leased facility is to be vacated prior to the expiration date of the lease.

FISCAL YR:	ACTUAL 2016	ESTIMATE 2017	REQUEST 2018	REQUEST 2019	REQUEST 2020	REQUEST 2021
Use "X" to mark the year facility would be surplus.						

WORK AREAS: Work areas are areas occupied by full-time employees, contractors, seasonal employees, auditors, etc. (3 people working in one building would be 3 work areas)

FISCAL YR:	ACTUAL 2016	ESTIMATE 2017	REQUEST 2018	REQUEST 2019	REQUEST 2020	REQUEST 2021
Total Number of Work Areas:	77	77	77	77	77	77
Full-Time Equivalent Positions:	66	70	70	70	70	70
Temp. Employees, Contractors, Auditors, etc.:	5	5	5	5	5	5

SQUARE FEET: Use "net rentable" sq ft if in a facility leased from a private party; use "usable" sq ft if in a State-owned facility. Typically, this will be the figure shown in the Lease Agreement if leased from a private party or in the MOU if state-owned.

FISCAL YR:	ACTUAL 2016	ESTIMATE 2017	REQUEST 2018	REQUEST 2019	REQUEST 2020	REQUEST 2021
Square Feet:	18,814	20,132	20,132	20,132	20,132	20,132

FACILITY COST: Include annual rent, plus any facility-related costs, such as utilities, janitorial service, property taxes or building maintenance which are not included in rent payment made to your Landlord. If improvements will need to be made to the facility and will be paid by the agency, this should be included as well. If the lease will be expiring and the future rent is not specified in the lease agreement, increase rent by 3%/yr. Increase all other facility-related costs by 3%/yr as well. Use "Calculation Sheet" tab below if necessary. Do not include telephone costs or rent discounts. If you anticipate moving to a new facility, you need to take into account any increase in sq ft leased and estimate a new market rate for the new facility. Do NOT use your old rate per sq ft – it may not be a realistic figure.

FISCAL YR:	ACTUAL 2016	ESTIMATE 2017	REQUEST 2018	REQUEST 2019	REQUEST 2020	REQUEST 2021
Total Facility Cost/Yr:	\$318,897.00	\$357,544.32	\$357,544.32	\$357,544.32	\$357,544.32	\$357,544.32

IMPORTANT NOTES:

1. Please fill in the white sections only! If you have any questions, please call Ruth @ 332-1933.
2. Upon completion, please send to Ruth Swan-Brown at the Division of Public Works via email to Ruth.Swan-Brown@adm.idaho.gov.
3. If you have five or more locations, please summarize the information on the Facility Information Summary Sheet and include this summary sheet with your submittal.
4. Attach a hardcopy of this submittal, as well as the Facility Information Summary Sheet, if applicable, with your budget request.

AGENCY NOTES:

Part I – Agency Profile

Agency Overview

The Department of Finance is a regulatory agency charged with the supervision and oversight of state-chartered financial institutions, regulated lenders, securities issuers, broker-dealers and stockbrokers, residential mortgage brokers, lenders, and originators, investment advisers and sales personnel, collection agencies, endowed care cemeteries, and others.

Core Functions / Idaho Code

The Department administers and enforces the following 23 regulatory statutes:

- | | |
|---|--|
| Idaho Bank Act § 26-101 | Idaho Credit Code § 28-41-101 |
| Idaho Bank Holding Company Act § 26-501 | Idaho Mortgage Company Act § 26-2801 |
| Idaho Interstate Banking Act § 26-2601 | Idaho Collection Agency Act § 26-2221 |
| Idaho Interstate Branching Act § 26-1601 | Idaho Securities Act (2004) § 30-14-101 |
| Idaho International Banking Act § 26-1701 | Idaho Residential Mortgage Practices Act § 26-31-101 |
| Idaho Trust Institutions Act § 26-3201 | Business Combination Act § 30-1701 |
| Idaho Savings Bank Act § 26-1801 | Control Share Acquisition Act § 30-1601 |
| Business And Industrial Development Corporation Act (BIDCO) § 26-2701 | Idaho Commodity Code § 30-1501 |
| Idaho Credit Union Act § 26-2101 | Endowment Care Cemetery Act § 27-401 |
| Idaho Money Transmitters Act § 26-2901 | Continuing-Care Disclosure Act § 26-3701 |
| Idaho Loan Broker Act § 26-2501 | Idaho Escrow Act § 30-901 |
| | Idaho Financial Fraud Prevention Act § 67-2750 |

Revenue and Expenditures

Revenue	FY 2013	FY 2014	FY 2015	FY 2016
State Regulatory Fund	\$12,679,217	\$12,006,160	\$12,590,659	\$13,057,412
Total	\$12,679,217	\$12,006,160	\$12,590,659	\$13,057,412
Expenditures	FY 2013	FY 2014	FY 2015	FY 2016
Personnel Costs	\$4,697,881	\$5,066,456	\$5,021,295	\$ 5,481,486
Operating Expenditures	\$1,422,986	\$1,505,300	\$1,504,996	\$ 1,624,593
Capital Outlay	\$106,333	\$52,301	\$138,400	\$ 84,105
Total	\$6,227,200	\$6,624,087	\$6,664,647	\$7,190,184

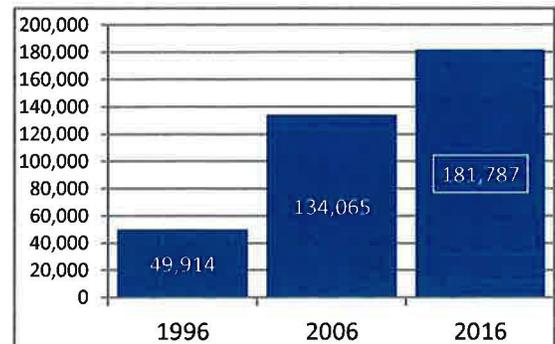
Profile of Cases Managed and/or Key Services Provided

Cases Managed and/or Key Services Provided	FY 2013	FY 2014	FY 2015	FY 2016
Business or Individuals Regulated	156,564	164,744	171,692	181,787
Transfers to General Fund	\$5,934,941	\$4,957,765	\$5,240,709	\$5,315,470

Performance Highlights

TOTAL transferred TO General Fund since 1994
\$88.2 Million

Businesses, Entities, or Individuals Regulated



Part II – Performance Measures

Performance Measure Standards

- Promote public and industry confidence in the banking and credit union systems through timely, reasonable and effective supervision and regulation.
- Enhance the financial institution examination process to monitor and evaluate internal and external conditions, address industry trends and ensure fiscal integrity.
- Maintain a strong state regulatory system for depository financial institutions.
- Promote public and industry confidence in the securities markets, Idaho investment professionals, endowment care cemeteries, escrow companies and money transmitters through the registration and examination processes.
- Promote public and industry confidence in Idaho consumer financial services through the licensing and examination process.
- Protect consumers from financial fraud through timely enforcement of Idaho's securities, mortgage, collection agency, and consumer credit laws.
- Promote the financial literacy of all Idahoans.

Performance Measure Benchmarks		FY 2013	FY 2014	FY 2015	FY2016	
1. % of state chartered banks examined within statutory timeframe	actual	100%	100%	100%		100%
	benchmark				Maintain 100%	
2. Demonstrate value of State over Federal charter to maintain # of State Charters*	actual	14*	12*	11*		11
	benchmark				Maintain or increase # of charters	
3. % of on-site exams of state-registered / Idaho-based investment advisers**	actual	37%	34%	39%		26%
	benchmark				Examine 33%	
4. Conduct 200 license compliance exams of Consumer Finance Bureau licensees. (Does NOT include "For Cause" examinations)	actual	240	207	352		209
	benchmark				Minimum of 200	

Performance Measure Explanatory Notes

* Two banks merged; one to another Idaho state bank, one to an out-of-state bank; another Idaho bank acquired an out-of-state bank; and one national bank converted to an Idaho state charter.

** Investment Adviser exam scheduling weighted to later part of calendar year – this will catch up by end of FY17.

For the FY19 Budget, we will change several of these metrics due to nationwide accreditation standards and other industry changes; at that time we will provide 4 years of data for the new metrics from FY14 to FY17.

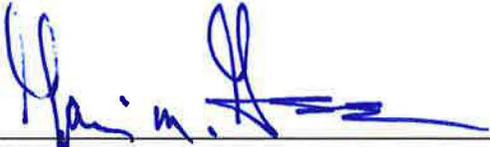
For More Information Contact

Gavin Gee
 Finance, Department of
 PO Box 83720
 Boise, ID 83720-0031
 Phone: (208) 332-8010
 E-mail: ggee@finance.idaho.gov

Director Attestation for Performance Measurement Report

In accordance with *Idaho Code* 67-1904, I certify the data provided in the Performance Measurement Report has been internally assessed for accuracy, and, to the best of my knowledge, is deemed to be accurate.

Department: Finance



Director's Signature

9/1/16

Date

Please return to:

Division of Financial Management
304 N. 8th Street, 3rd Floor
Boise, Idaho 83720-0032

FAX: 334-2438
E-mail: info@dfm.idaho.gov

FY 2018 Budget Request Revision for Statewide Cost Allocation

Fiscal Year: 2018
 Agency Code: 250
 Agency: Finance, Department of

Revision No. 1

OCT 31 2016

Budget Unit	Program Name	Fund Number	Base	Attorney General	Risk Management	State Controller	State Treasurer	BU/Fund Total	Percent of Base	Percent of Fund
			SWCAP	DU 10.41	DU 10.45	DU 10.46	DU 10.47			
FIAA	Finance Admin Acct	0229	0	(14,800)	3,100	(400)	(200)	(12,300)		100.00%
			0					0		0.00%
			0					0		0.00%
			0					0		0.00%
			0					0		0.00%
			0					0		0.00%
			0					0		0.00%
			0					0		0.00%
			0					0		0.00%
			0					0		0.00%
Decision Unit Total			0	(14,800)	3,100	(400)	(200)	(12,300)	0.00%	100.00%

I request that the FY 2018 Budget Request be revised to reflect the above adjustments for Attorney General fees, Risk Management fees, State Controller's fees, and State Treasurer fees.

Signed *Daniel* Title *SUPVCS BUD CHIEF* Date *10/31/16*

Instructions

Each year after the original budget submission deadline, the Division of Financial Management calculates the estimated amount of change from the current year to the budget year for certain Interagency Nonstandard Adjustment decision units related to the Statewide Cost Allocation Plan (SWCAP). It is your responsibility to distribute those changes equitably between programs (budget units) and fund sources.

- 1) Locate your agency on the Indirect Cost Recovery Budget Adjustments spreadsheet.
- 2) Sum the "FY Approp. Basis" columns for all categories (Treasurer, Controller Attorney General, Risk Management, and Facility Services) in cell E7.
- 3) Enter by budget unit and fund source the SWCAP appropriation basis in the column titled "Base SWCAP". The allocation should be the same as your actual expenditures by fund source for last year rounded to the nearest \$100.
- 4) Find "Request Adjustment" for each category noting "Statewide Accounting" and "Statewide Payroll" must be summed to calculate the Controller fees.
- 5) Identify the budget unit and fund source for each of the areas requiring adjustment.
- 6) Enter each budget unit in the column identified as Budget Unit. Flag any continuous budget units as "(Cont)". Repeat for each different fund.
- 7) In the column identified as Fund Number, place the number of the fund to which the increase or decrease in costs will be applied.
- 8) In the column identified as adjustment, place the dollar amount for each identified budget unit by fund. Round to nearest \$100.
- 9) Check that all totals match those on the Indirect Cost Recovery Budget Adjustment spreadsheet.
- 10) Sign and return a copy to each of your DFM and LSO analysts. *Thank you!*