

Office of the
Legislative Fiscal Analyst

FY 2002 Budget Recommendations

Joint Appropriations Subcommittee for
Commerce and Revenue

Department of Commerce

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1.0 Department of Commerce

Summary

The Utah Department of Commerce is the licensing and registration agency for Utah’s professional and corporate community. Business registrations, professional licensing, consumer protection and education, oversight of public utilities and the monitoring of the real estate and securities industries all fall within the scope of the Department.

	Analyst FY 2002 Base	Analyst FY 2002 Changes	Analyst FY 2002 Total
Financing			
Federal Funds	\$138,400	\$0	\$138,400
Dedicated Credits Revenue	366,800	39,000	405,800
GFR - Cert Nurse Midwife Ed. & Enf	10,000		10,000
GFR - Commerce Service	14,350,100	397,700	14,747,800
GFR - Factory Built Housing Fees	104,400		104,400
Real Estate Education and Recovery	2,000		2,000
Beginning Nonlapsing	138,800		138,800
Closing Nonlapsing	(138,900)		(138,900)
Total	\$14,971,600	\$436,700	\$15,408,300
Programs			
Administration	\$1,473,400	\$0	\$1,473,400
Occupational & Professional Licensir	5,391,100		5,391,100
Securities	1,119,700	67,000	1,186,700
Consumer Protection	697,900		697,900
Corporations and Commercial Code	1,567,700	217,000	1,784,700
Real Estate	999,700	152,700	1,152,400
Public Utilities	2,858,600		2,858,600
Committee of Consumer Services	640,200		640,200
Building Operations and Maintenance	223,300		223,300
Total	\$14,971,600	\$436,700	\$15,408,300
FTE/Other			
Total FTE	239	4	243
Vehicles	32		32

Funding for the Department is primarily from the Commerce Service Fund. This is made up of fees collected by the Department. By statute, fees collected over the amount appropriated to the Department are to be deposited into the General Fund. Every year, an unused portion of the Commerce Service Fund is added to the General Fund. The Department also receives revenue from Dedicated Credits, Trust Funds, and a small amount of Federal Funds.

Department Mission Statement

The mission statement of the Department reads: “The Utah Department of Commerce mission is to protect public interest by ensuring fair commercial and professional practices.

Utah Tomorrow

The Utah Department of Commerce has been involved with Utah Tomorrow since its inception. Areas affected include Economic Development, Free Enterprise and Regulatory Systems. The Department contributes to the State business climate and the free enterprise opportunities for growth and expansion within the State. It works jointly with other State Departments, including the Department of Community and Economic Development, the Public Service Commission, and the Utah State Tax Commission.

The Department has established an elaborate system of goals, outcome measures and tracking items. Some of these are listed with the respective budgets.

Department Revenue

The Utah Department of Commerce generates a large amount of revenue through fees and penalties. This revenue goes to the Commerce Service Fund. Unallocated amounts of projected revenue is added to the General Fund. It has become a significant source of revenue to the General Fund. The chart below compares the last few years of revenue verses appropriations to the Department.

Department of Commerce			
Fiscal Year	Revenue	Appropriation	Difference
FY 1998	\$19,241,746	\$12,748,500	\$6,493,246
FY 1999	\$22,244,025	\$13,170,700	\$9,073,700
FY 2000	\$20,618,524	\$14,090,100	\$6,528,424

2.0 Issues: Department of Commerce

2.1 HB 107 (2000 General Session) Fiscal Note

House Bill 107, Utah Residential Mortgage Practices Act was passed by the 2000 Legislature with a fiscal note of \$219,500 the first year (FY 2001) and \$418,400 for FY 2002. An addition of \$113,700 from the Commerce Service Fund and \$39,000 from Dedicated Credits is required to bring the Department up to full funding for this activity. Additional revenue is generated to both the Commerce Service Fund and to Dedicated Credits Revenue by the provisions of the bill. The Analyst recommends full funding of this legislation.

Commerce Service Fund \$113,700
Dedicated Credit Revenue \$ 39,000

2.2 Securities Examiner II

The Utah Securities Industry has grown about 5,000 to 8,000 brokers a year for the last several years. There are over 85,000 brokers and approximately 2,000 dealers being monitored by two examiners and one supervisor at the present time. The Securities Division generates a significant amount of revenue, most of which goes to the General Fund. The Analyst recommends funding of \$67,000 from the Commerce Service Fund.

Commerce Service Fund \$67,000

2.3 Office Technicians for the Division of Corporations

The Division of Corporations has been most significantly impacted by the failures of the Department's Licensing Enforcement System (LES). The Department seems to be making progress in finalizing the system development and implementation. The recommendation will address two related problems, a mandated workload increase and a backlog due to technical system failure.

The Analyst recommends three additional FTE funded with \$117,000. A two business-day turn-around of rejections is required which must include detailed reasons for rejection. Additional funding of \$100,000 from Beginning Balances is also recommended to address the data entry and processing backlog through contractual services.

Commerce Service Fund \$117,000
Beginning Balances \$100,000

3.1 Programs: Department of Commerce - Administration

Recommendation The Analyst recommends funding of \$1,473,400 from the Commerce Service Fund.

	2000	2001	2002	Est/Analyst
	Actual	Estimated	Analyst	Difference
Financing				
GFR - Commerce Service	\$1,290,500	\$1,491,000	\$1,473,400	(\$17,600)
Transfers	330,000			0
Beginning Nonlapsing	300,000	735,000		(735,000)
Closing Nonlapsing	(735,000)			0
Lapsing Balance	360,100			0
Total	\$1,545,600	\$2,226,000	\$1,473,400	(\$752,600)
Expenditures				
Personal Services	\$1,111,000	\$1,256,100	\$1,193,500	(\$62,600)
In-State Travel	800	1,000	1,000	0
Out of State Travel	2,700	2,000	2,000	0
Current Expense	305,400	251,900	206,500	(45,400)
DP Current Expense	110,300	683,500	70,400	(613,100)
DP Capital Outlay	5,600	31,500		(31,500)
Capital Outlay	9,800			0
Total	\$1,545,600	\$2,226,000	\$1,473,400	(\$752,600)
FTE/Other				
Total FTE	20	20	20	

Purpose The Administration provides overall management and oversight to the Department of Commerce. Administration includes centralized accounting, payroll, personnel, and budgeting functions. Information Technology Management is mostly centralized under Administration. The various law proceedings of the Department are coordinated through Administration.

Goals and Performance Measures Continue identifying and taking appropriate steps to eliminate laws and rules unnecessary for the public’s protection, particularly those which are unduly burdensome on legitimate businesses and professionals. *Performance Measure: Number of laws and rules streamlined or eliminated during the past fiscal year.*

Provide outstanding internal and external customer service by providing timely, knowledgeable, easily accessible, and courteous responses to consumer complaints, requests for information, and licensure applications or renewals. *Performance Measures: a) Number of complaints as a percentage of licensees, as reported via customer satisfaction surveys, response cards, and online complaints. b) Average complaint resolution time. b) Reduction in number of Commerce functions requiring in-person transactions. c) Reduction in licensure and renewal turn-around times.* The Department has been unable to determine these indicators due to the implementation of a new computer system.

Assist professions in complying with laws and rules through communication and education. Performance Measures: Number of public presentations, news releases, brochures distributed, and newsletter circulation.

Take appropriate and timely action against violators or regulatory laws. Performance Measures: Percent of complaints resulting in formal investigation and licensee actions as a percent of total licensees.

LAST YEAR'S PERFORMANCE MEASURES:

1. *Commerce-related laws streamlined or eliminated in past fiscal year: Approximately 20.*
2. *Outreach efforts in FY 2000 compared with FY 1999: 107 public presentations, 71,700 newsletters distributed.*

3.2 Programs: Department of Commerce - Division of Occupational and Professional Licensing

Recommendation

The Analyst recommends an ongoing budget of \$5,391,100. The primary source of funding is the Commerce Service Fund. Funding is recommended from two additional General Fund Restricted Accounts. Funds are collected, but authorization must be given by appropriation to make them available to be spent.

	2000	2001	2002	Est/Analyst
	Actual	Estimated	Analyst	Difference
Financing				
General Fund	\$35,000			
Dedicated Credits Revenue	290,000	\$294,400	\$293,600	(\$800)
GFR - Cert Nurse Midwife Ed. & Enf			10,000	10,000
GFR - Commerce Service	5,202,100	5,204,100	4,983,200	(220,900)
GFR - Factory Built Housing Fees			104,400	104,400
Beginning Nonlapsing	90,200	138,800	138,800	
Closing Nonlapsing	(138,800)	(138,800)	(138,900)	(100)
Lapsing Balance	(693,900)			
Total	\$4,784,600	\$5,498,500	\$5,391,100	(\$107,400)
Expenditures				
Personal Services	\$3,637,900	\$4,144,400	\$4,071,000	(\$73,400)
In-State Travel	46,900	62,500	62,500	0
Out of State Travel	32,300	70,000	70,000	0
Current Expense	894,400	993,500	942,400	(51,100)
DP Current Expense	126,700	179,600	202,200	22,600
DP Capital Outlay	27,500	48,500	43,000	(5,500)
Other Charges/Pass Thru	18,900		0	0
Total	\$4,784,600	\$5,498,500	\$5,391,100	(\$107,400)
FTE/Other				
Total FTE	90	90	90	
Vehicles		24	24	

Purpose

The Division of Occupational and Professional Licensing is responsible for the licensing and regulation of approximately fifty-five occupations and professions. Licensure of an occupation or profession is established by law through legislative action.

In addition to issuing and renewing licenses, the Division establishes minimum requirements for licensure, investigates unlawful or unprofessional conduct, and conducts administrative proceedings against individuals who allegedly engage in unlawful or unprofessional conduct.

The Division oversees the Medical Malpractice Prelitigation Hearing Program, the Uniform Building Code Act, the Residence Lien Recovery Fund, the Construction Standards for Manufactured Housing.

Legislative Task Force

The Legislature, during the 2000 General Session, established a legislative / citizen committee to evaluate requests for licensure. This task force has been meeting and has recommended several pieces of legislation for the 2001 General Session.

Residence Lien Recovery Fund Report

The Residence Lien Recovery Fund was established to assist residents and subcontractors to recover unpaid/reimbursed costs associated with building a structure without exceptional costs of time and litigation. The Residence Lien Recovery Fund is required to report annually to the Legislature. The following is FY 2000 information:

1) Amounts received by the Fund	\$625,000
2) Disbursements from the Fund	\$388,828
3) Interest earned and credited to the Fund	\$183,107
4) The Fund balance as of December 1, 2000	\$3,296,373

The Analyst is reporting the following additional information:

1) Claims filed	254
2) Completed claims	96
3) Total value of claims paid	\$388,838
4) Average amount of paid claim	\$4,050

The fund is solvent and seems to be accomplishing the purpose for which it was established.

Performance Measures

The Investigations performance measures are:

FY 1999	FY 2000	Indicator
❖ 4,413	5,776	- Complaints Received
❖ 2,859	5,048	- Investigations Opened
❖ 2,858	2,127	- Investigations Resolved
❖ 979	1,033	- Citations Issued

The Licensing performance measures:

FY 1999	FY 2000	Indicator
❖ 19,657	20,796	- New license applications received
❖ 97,093	44,628	- Renewal packages printed and mailed to licensees
❖ 95,224	53,500	- Licenses printed and mailed to licensees

3.3 Program: Department of Commerce - Division of Securities

Recommendation The Analyst recommends funding of \$1,186,700 from the Commerce Service Fund. The recommendation is a flat budget. Retirement and internal service funds are the only adjustments.

	2000	2001	2002	Est/Analyst
	Actual	Estimated	Analyst	Difference
Financing				
GFR - Commerce Service	\$1,081,800	\$1,147,300	\$1,186,700	\$39,400
Lapsing Balance	(39,900)			0
Total	<u>\$1,041,900</u>	<u>\$1,147,300</u>	<u>\$1,186,700</u>	<u>\$39,400</u>
Expenditures				
Personal Services	\$922,200	\$1,034,100	\$1,066,600	\$32,500
In-State Travel	500	2,200	2,200	0
Out of State Travel	8,400	7,800	7,800	0
Current Expense	71,800	54,100	55,700	1,600
DP Current Expense	39,000	42,000	41,500	(500)
DP Capital Outlay			12,900	12,900
Capital Outlay		7,100		(7,100)
Total	<u>\$1,041,900</u>	<u>\$1,147,300</u>	<u>\$1,186,700</u>	<u>\$39,400</u>
FTE/Other				
Total FTE	20	20	21	1
Vehicles		2	2	

Purpose The Division of Securities administers and enforces the Utah Uniform Securities Act. They license broker-dealers, agents, investment advisors, investment adviser representatives, and certified dealers. They review registration and exemption filings made by entities issuing securities. The Division investigates violations of the securities act and initiates administrative actions to deny, revoke or suspend licenses or registration where appropriate to stop unlawful activities. They also refer investigations to State or local prosecutors for civil or criminal court action.

Securities Examiner The Utah Securities Industry has grown about 5,000 to 8,000 brokers a year for the last several years. There are over 85,000 brokers and approximately 2,000 dealers being monitored by two examiners and one supervisor at the present time. The federal securities laws changed in 1996 realigning responsibilities between the federal and state governments. The Federal government Securities and Exchange Commission (SEC) is responsible for firms managing \$20 million in assets or more. The State has responsibility for the firms managing less than \$20 million. Most of the problems in the industry are in the smaller firms.

The Securities Division generates a significant amount of revenue, most of which goes to the General Fund. The Division has not had an increase in personnel since 1994. The Analyst recommends one FTE and funding of \$67,000 from the Commerce Service Fund for a securities examiner.

Performance Measures

The following performance measures were reported by the Department of Commerce for this area.

Performance Measure	FY 1998	FY 1999	FY 2000
Securities licenses	71,545	74,902	88,994
Securities Professionals new licenses	7,050	3,406	14,092
Investigative cases closed	103	160	66
Filings registered	4,733	4,652	5,076
Audits performed	44	31	20
Average number of days from complaint to resolution	180	180	180
Cases resulting in criminal charges	18	24	50
Criminal convictions	16	23	28

3.4 Program: Department of Commerce - Division of Consumer Protection

Recommendation The Analyst recommends funding of \$697,900 from the Commerce Service Fund.

	2000	2001	2002	Est/Analyst
	Actual	Estimated	Analyst	Difference
Financing				
GFR - Commerce Service	\$686,300	\$715,200	\$697,900	(\$17,300)
Lapsing Balance	(138,500)			0
Total	\$547,800	\$715,200	\$697,900	(\$17,300)
Expenditures				
Personal Services	\$486,000	\$652,500	\$637,500	(\$15,000)
In-State Travel	200	300	300	0
Out of State Travel		1,000	1,000	0
Current Expense	37,000	37,000	34,700	(2,300)
DP Current Expense	24,600	24,400	24,400	0
Total	\$547,800	\$715,200	\$697,900	(\$17,300)
FTE/Other				
Total FTE	14	14	14	
Vehicles		1	1	

Purpose The Division of Consumer Protection is responsible for assisting consumers and businesses in dealing with dishonest business practices. The Division has authority under thirteen separate statutes.

Goals and Objectives The Utah Division of Consumer Protection responds to consumer complaints, prevents and corrects unfair and deceptive business practices, provides relief for consumers and promotes consumer education programs. The goal is to help create a business climate where consumers are knowledgeable and sophisticated and legitimate businesses can flourish.

Performance The major activity of this budget is the resolution of complaints. The following table lists the activity related to complaints.

Activity Measure	FY 1997	FY 1998	FY 1999	FY 2000
Complaints received	2,869	4,135*	2,285	2,439
Complaints assigned	1,172	1,398	1,661	1,763
Complaints closed (through investigation)	946	1,135	2,101	1,493
Complaints closed (thru voluntary compliance)			857	428

* Several large victim cases, including one which had 1,300 victims.

Activity Highlights:

- ❖ 25,000 plus telephone inquiries resulting in 1,763 assigned incidents;
- ❖ 235 incidents closed through administrative, civil, or criminal action;
- ❖ 25 consumer alerts and press releases warning Utahns against fraud.

3.5 Program: Department of Commerce - Division of Corporations and Commercial Code

Recommendation The Analyst recommends funding of \$1,784,700 from the Commerce Service Fund.

	2000	2001	2002	Est/Analyst
	Actual	Estimated	Analyst	Difference
Financing				
GFR - Commerce Service	\$1,524,600	\$1,593,500	\$1,784,700	\$191,200
Lapsing Balance	(66,400)			0
Total	<u>\$1,458,200</u>	<u>\$1,593,500</u>	<u>\$1,784,700</u>	<u>\$191,200</u>
Expenditures				
Personal Services	\$1,062,800	\$1,114,400	\$1,186,100	\$71,700
In-State Travel	400	500	500	0
Out of State Travel	4,800	5,500	6,600	1,100
Current Expense	316,000	310,800	391,400	80,600
DP Current Expense	74,200	157,800	159,600	1,800
DP Capital Outlay		4,500	40,500	36,000
Total	<u>\$1,458,200</u>	<u>\$1,593,500</u>	<u>\$1,784,700</u>	<u>\$191,200</u>
FTE/Other				
Total FTE	33	32	35	3

Purpose The Division is the State’s filing office and repository of all corporations, commercial code, business registration, limited partnerships, limited liability companies, notaries public, collection agencies, trademarks, and agricultural liens. The Division serves all business enterprises by providing registration and informational assistance, expediting customer needs and making available its repository of records and data for public research.

The Division also registers corporate annual reports. The Utah Notary Public Act, and the Utah Commercial Code, and the Uniform Commercial Code are administered by the Division.

Office Technicians and Data Entry Support The Division of Corporations has been most significantly impacted by the failures of the Department’s Licensing Enforcement System (LES). This has created a backlog of business licensing and registration. The Department has taken measures to address the problem with moderate success. The Division has communicated with the business community and has authorized overtime to address the system demands. They have been working closely with the vendor and seem to have the situation under control at the moment.

The Analyst recommends three additional FTE funded with \$117,000. A two business-day turn-around of rejections is required which must include detailed reasons for rejection. Additional funding is also recommended to address the data entry and processing backlog, possibly through contractual services.

Commerce Service Fund \$117,000
Beginning Balances \$100,000

Performance Measures

Activity and performance measures were reported by the Division:

Activity / Performance Measure	FY 1998	FY 1999	FY 2000
Transactions processed for the public	360,000	300,000	268,910
New business names registered	14,853	15,516	16,457
New corporations registered	9,731	9,673	10,270
New liability companies registered	6,924	8,567	9,152
Telephone calls received from the public	150,000	184,999	206,253

3.6 Program: Department of Commerce - Division of Real Estate

Recommendation

The Analyst recommends funding of \$1,152,400. Funding is primarily from the Commerce Service Fund. This includes an additional \$113,700 from the Commerce Service Fund and \$39,000 from Dedicated Credit Revenue to fully fund the provisions of House Bill 107, the Utah Residential Mortgage Practices Act. The bill generates its own revenue.

	2000	2001	2002	Est/Analyst
	Actual	Estimated	Analyst	Difference
Financing				
Dedicated Credits Revenue	\$71,100	\$75,300	\$112,200	\$36,900
GFR - Commerce Service	775,100	944,600	1,040,200	95,600
Lapsing Balance	(5,100)	0	0	0
Total	\$841,100	\$1,019,900	\$1,152,400	\$132,500
Expenditures				
Personal Services	\$632,800	\$714,500	\$777,500	\$63,000
In-State Travel	4,000	6,500	6,500	0
Out of State Travel	6,500	16,000	14,000	(2,000)
Current Expense	104,100	171,300	209,500	38,200
DP Current Expense	27,500	30,900	29,200	(1,700)
DP Capital Outlay	0	5,400	1,400	(4,000)
Other Charges/Pass Thru	66,200	75,300	114,300	39,000
Total	\$841,100	\$1,019,900	\$1,152,400	\$132,500
FTE/Other				
Total FTE	16	16	16	
Vehicles		1	1	

Purpose

The Division of Real Estate is responsible for the regulation of the Real Estate industry in Utah. The Division provides public protection in the real estate marketplace through education and licensure. The Division licenses all brokers, sales persons, and appraisers. Complaints are investigated and where necessary, disciplinary proceedings are conducted. The Division screens all subdivided lands and time-share projects and insures full disclosure in offerings. The Division audits broker trust accounts and sales and appraisal practices are monitored to insure they are fair and reasonable. The Division also administers the Utah Residential Mortgage Practices Act and registers mortgage professionals and companies. This function was enhanced with the passage of House Bill 107 “Utah Residential Mortgage Practices Act” (2000).

Funding for House Bill 107 from the 2000 General Session

House Bill 107, Utah Residential Mortgage Practices Act was passed by the 2000 Legislature with a fiscal note of \$219,500 the first year (FY 2001) and \$418,400 for FY 2002. An addition of \$113,700 from the Commerce Service Fund and \$39,000 from Dedicated Credits is required to bring the Department up to full funding for this activity. The activities of the bill generate additional revenue to both the General Fund and Dedicated Credit Revenue.

Commerce Service Fund \$113,700
Dedicated Credit Revenue \$ 39,000

Performance

The following table lists the activities reported by the Division through FY 2000. They are primarily activity oriented rather than outcome oriented measures:

Activity Measure	FY 1998	FY 1999	FY 2000
Utahns licensed with the Division	16,142	16,586	16,405
Seminars given through the State	16	12	12
Licensing exams given	2,639	2,830	2,629
Investigations closed	207	189	275
Newsletters issued	8	8	10

3.7 Program: Department of Commerce - Real Estate Education and Recovery Fund

Recommendation The Analyst recommends funding of \$157,400 from the Real Estate Education and Recovery Fund. This is dedicated revenue which cannot be shifted for other programs or purposes.

	2000	2001	2002	Est/Analyst
	Actual	Estimated	Analyst	Difference
Financing				
Real Estate Education and Recovery	\$145,500	\$148,600	\$148,400	(\$200)
Beginning Nonlapsing	23,500	17,100	9,000	(8,100)
Closing Nonlapsing	(17,100)	(9,000)		9,000
Total	\$151,900	\$156,700	\$157,400	\$700
Expenditures				
Personal Services	\$90,600	\$92,400	\$92,400	
In-State Travel	100	2,800	2,800	
Out of State Travel	4,000	4,600	4,600	
Current Expense	56,500	52,400	50,800	(\$1,600)
DP Current Expense	700	4,500	5,800	1,300
Total	\$151,900	\$156,700	\$157,400	\$700
FTE/Other				
Total FTE	2	2	2	

Purpose Title 61, Chapter 2a of the Utah Code Annotated establishes the Real Estate Recovery Fund. The fund is to reimburse the public for damages up to \$10,000, which are incurred by real estate licensees. A balance of \$100,000 is to remain in the fund to satisfy claims. The Fund can also be appropriated "... to provide revenue for improving the real estate profession through education and research with the goal of making real estate salespeople more responsible to the public." The Real Estate Education Program is funded from the balance in the restricted account in excess of the \$100,000. The FY 2000 ending balance in the fund was \$815,350.

3.8 Program: Department of Commerce - Division of Public Utilities

Recommendation The Analyst recommends funding of \$2,858,600. Approximately 94 percent of this budget is from the Commerce Service Fund. A small amount of funding is from the Federal Pipeline Safety Grant.

	2000	2001	2002	Est/Analyst
	Actual	Estimated	Analyst	Difference
Financing				
Federal Funds	\$141,400	\$138,400	\$138,400	\$0
GFR - Commerce Service	2,759,500	2,783,600	2,720,200	(63,400)
Lapsing Balance	(224,200)			0
Total	\$2,676,700	\$2,922,000	\$2,858,600	(\$63,400)
Expenditures				
Personal Services	\$2,415,800	\$2,552,900	\$2,497,800	(\$55,100)
In-State Travel	8,400	14,200	14,200	0
Out of State Travel	42,100	48,800	48,800	0
Current Expense	137,200	197,900	189,000	(8,900)
DP Current Expense	73,200	91,200	98,700	7,500
DP Capital Outlay		17,000	10,100	(6,900)
Total	\$2,676,700	\$2,922,000	\$2,858,600	(\$63,400)
FTE/Other				
Total FTE	38	38	38	

Purpose The Division of Public Utilities is responsible for the administration and execution of the rules and orders of the Public Service Commission and State law relative to public utilities. Regulation of utilities is carried out through the oversight of the Division and the quasi-judicial and rule making roles of the Public Service Commission. Regulation substitutes for the normal economic competition among non-regulated business.

There are approximately 55 public utilities operating in Utah. The Division monitors and evaluates the performance of the utilities and their compliance with the law and rulings of the Commission. The Division is charged with insuring the financial health of the utilities while also representing the interest of all classes of rate payers. The issues facing the Division are more complex as utilities seek deregulation and a more competitive market environment.

Pipeline safety is also a key element. The Department’s four wheel drive vehicles are used by inspectors for off-road inspection requirements. The Division is also heavily involved with the Legislative task forces looking at the electric industry and deregulation.

Public Utility Regulatory Fee (PERF) The Division prepares the assessment of utility companies to collect the regulatory fee. The PERF is estimated to cover the regulation expenses of the Department and Public Service Commission. See the next page summary.

3.9 Program: Department of Commerce - Division of Public Utilities - Professional and Technical

Recommendation The Analyst recommends an appropriation of \$116,800, of which two thirds is from the Commerce Service Fund.

	2000	2001	2002	Est/Analyst
	Actual	Estimated	Analyst	Difference
Financing				
GFR - Commerce Service	\$100,000	\$100,000	\$100,000	\$0
Beginning Nonlapsing	146,800	66,700	16,800	(49,900)
Closing Nonlapsing	(66,700)	(16,800)		16,800
Total	<u>\$180,100</u>	<u>\$149,900</u>	<u>\$116,800</u>	<u>(\$33,100)</u>
Expenditures				
Total	<u>\$180,100</u>	<u>\$149,900</u>	<u>\$116,800</u>	<u>(\$33,100)</u>
FTE/Other				

Purpose The Division of Public Utilities hires expert witnesses to appear in rate cases before the Public Service Commission. These funds have traditionally been nonlapsing and have been appropriated in a separate line item.

There is a large carry-over balance for FY 2000. The study of deregulation of the electric industry may use much of the available funds during the next year. It is estimated that most of the carry-over funds will be used by the end of FY 2001.

3.10 Program: Department of Commerce - Committee of Consumer Service

Recommendation The Analyst recommends funding of \$697,900 from the Commerce Service Fund.

	2000	2001	2002	Est/Analyst
	Actual	Estimated	Analyst	Difference
Financing				
GFR - Commerce Service	\$686,300	\$715,200	\$697,900	(\$17,300)
Lapsing Balance	(138,500)			0
Total	\$547,800	\$715,200	\$697,900	(\$17,300)
Expenditures				
Personal Services	\$486,000	\$652,500	\$637,500	(\$15,000)
In-State Travel	200	300	300	0
Out of State Travel		1,000	1,000	0
Current Expense	37,000	37,000	34,700	(2,300)
DP Current Expense	24,600	24,400	24,400	0
Total	\$547,800	\$715,200	\$697,900	(\$17,300)
FTE/Other				
Total FTE	14	14	14	
Vehicles		1	1	

Purpose The Committee of Consumer Services represents the interests of residential, small business and agricultural rate payers before the Public Service Commission. Its purpose is to represent consumers who might not otherwise have an effective voice before the Commission. The Committee meets as a policy board and determines the cases in which it will participate. The Committee has nine staff members and one Assistant Attorney General.

Intent Language The Analyst again recommends the following intent language:

It is the intent of the Legislature that unused funding for the Committee on Consumer Services be transferred to the Committee’s Professional and Technical Services fund and be nonlapsing.

The purpose for this is to authorize Committee operational savings to be used for additional technical assistance for the caseload they anticipate over the next 18 months. Two major issues: 1) the deregulation of the electric industry; and 2) the merger between Pacificorp and Scottish Power consume a significant amount of resources.

3.11 Program: Department of Commerce - Committee of Consumer Services - Professional and Technical

Recommendation

The Analyst recommends funding of \$335,000. This is primarily from General Fund Restricted Commerce Service Fund. These funds come from the Public Utility Regulatory Fee (PERF). The appropriation continues the increase originally made by the 1999 Legislature. This is an effort to strengthen the utility market in light of events in surrounding states.

	2000	2001	2002	Est/Analyst
	Actual	Estimated	Analyst	Difference
Financing				
GFR - Commerce Service	\$335,000	\$335,000	\$335,000	\$0
Transfers		163,900	0	(163,900)
Beginning Nonlapsing	197,800	46,300	0	(46,300)
Closing Nonlapsing	(46,300)	0	0	0
Total	<u>\$486,500</u>	<u>\$545,200</u>	<u>\$335,000</u>	<u>(\$210,200)</u>
Expenditures				
Out of State Travel	\$4,100			
Current Expense	482,400	\$545,200	\$335,000	(\$210,200)
Total	<u>\$486,500</u>	<u>\$545,200</u>	<u>\$335,000</u>	<u>(\$210,200)</u>
FTE/Other				

Purpose

The Committee of Consumer Services hires expert witnesses to appear in rate cases before the Public Service Commission. These funds have traditionally been nonlapsing and have been appropriated in a separate line item. Several major issues have contributed to the increased caseload. The issues related to the deregulation of the electric industry and the merger between Pacificorp and Scottish Power have required additional resources for the Committee and this technical assistance.

3.12 Program Department of Commerce - Building Operations and Maintenance

Recommendation The Analyst recommends funding of \$223,300. This continues the lease at the same rate as FY 2000. Funding is from the General Fund Restricted - Commerce Service Fund with a \$2,000 addition from Trust Accounts.

	2000	2001	2002	Est/Analyst
Financing	Actual	Estimated	Analyst	Difference
GFR - Commerce Service	\$221,300	\$221,300	\$221,300	\$0
Real Estate Education and Recovery	2,000	2,000	2,000	0
Total	\$223,300	\$223,300	\$223,300	\$0
Expenditures				
Current Expense	\$223,300	\$223,300	\$223,300	\$0
Total	\$223,300	\$223,300	\$223,300	\$0
FTE/Other				

Purpose The Department of Commerce is primarily located at the Heber M. Wells Building off of Third South and First East in Salt Lake City. The building is owned and operated by the Division of Facilities and Construction Management (DFCM) of the State Department of Administrative Services.

Performance Measures No performance measures reported for this area.

4.0 Additional Information

4.1(a) Tables: Department of Commerce – General Regulation

	1998	1999	2000	2001	2002
Financing	Actual	Actual	Actual	Estimated	Analyst
General Fund			\$35,000		
Federal Funds	\$138,100	\$141,700	141,400	\$138,400	\$138,400
Dedicated Credits Revenue	234,300	310,900	361,100	369,700	405,800
GFR - Cert Nurse Midwife Ed. & Enf					10,000
GFR - Commerce Service	13,068,200	13,525,400	14,179,900	14,756,000	14,747,800
GFR - Factory Built Housing Fees					104,400
Real Estate Education and Recovery	2,000	2,000	2,000	2,000	2,000
Transfers	45,000	26,400	330,000	(163,900)	
Beginning Nonlapsing	180,100	358,700	390,200	1,037,700	138,800
Closing Nonlapsing	(358,700)	(390,200)	(1,037,700)	(138,800)	(138,900)
Lapsing Balance	(76,100)	(645,800)	(807,900)		
Total	\$13,232,900	\$13,329,100	\$13,594,000	\$16,001,100	\$15,408,300
Programs					
Administration	\$1,278,500	\$1,522,700	\$1,545,600	\$2,226,000	\$1,473,400
Occupational & Professional Licensin	5,104,000	4,680,100	4,784,600	5,498,500	5,391,100
Securities	959,300	924,100	1,041,900	1,147,300	1,186,700
Consumer Protection	551,500	555,400	547,800	715,200	697,900
Corporations and Commercial Code	1,325,800	1,420,900	1,458,200	1,593,500	1,784,700
Real Estate	714,900	770,400	841,100	1,019,900	1,152,400
Public Utilities	2,546,400	2,681,500	2,676,700	2,922,000	2,858,600
Committee of Consumer Services	529,200	550,700	474,800	655,400	640,200
Building Operations and Maintenance	223,300	223,300	223,300	223,300	223,300
Total	\$13,232,900	\$13,329,100	\$13,594,000	\$16,001,100	\$15,408,300
Expenditures					
Personal Services	\$9,891,100	\$10,214,600	\$10,699,000	\$12,057,200	\$12,000,400
In-State Travel	61,000	57,400	63,200	93,200	93,200
Out of State Travel	106,500	113,500	105,100	171,100	170,200
Current Expense	2,029,700	1,979,800	2,112,300	2,264,800	2,276,600
DP Current Expense	572,000	541,500	486,400	1,223,800	643,500
DP Capital Outlay	502,200	332,200	33,100	108,600	110,100
Capital Outlay	25,400	50,800	9,800	7,100	
Other Charges/Pass Thru	45,000	39,300	85,100	75,300	114,300
Total	\$13,232,900	\$13,329,100	\$13,594,000	\$16,001,100	\$15,408,300
FTE/Other					
Total FTE	234	237	240	239	243
Vehicles				32	32

4.1(b) Tables: Department of Commerce – Real Estate Education

	1998	1999	2000	2001	2002
Financing	Actual	Actual	Actual	Estimated	Analyst
Dedicated Credits Revenue	\$2,500				
Real Estate Education and Recovery	138,000	\$141,400	\$145,500	\$148,600	\$148,400
Beginning Nonlapsing		2,600	23,500	17,100	9,000
Closing Nonlapsing	(2,600)	(23,500)	(17,100)	(9,000)	
Total	\$137,900	\$120,500	\$151,900	\$156,700	\$157,400
Programs					
Real Estate Education	\$137,900	\$120,500	\$151,900	\$156,700	\$157,400
Total	\$137,900	\$120,500	\$151,900	\$156,700	\$157,400
Expenditures					
Personal Services	\$83,600	\$89,800	\$90,600	\$92,400	\$92,400
In-State Travel	2,200	200	100	2,800	2,800
Out of State Travel	4,900	2,400	4,000	4,600	4,600
Current Expense	47,200	28,000	56,500	52,400	50,800
DP Current Expense		100	700	4,500	5,800
Total	\$137,900	\$120,500	\$151,900	\$156,700	\$157,400
FTE/Other					
Total FTE	2	2	2	2	2

4.1(c) Tables: Department of Commerce – Division of Public Utilities - Professional and Technical Services

	1998	1999	2000	2001	2002
Financing	Actual	Actual	Actual	Estimated	Analyst
GFR - Commerce Service	\$100,000	\$100,000	\$100,000	\$100,000	\$100,000
Beginning Nonlapsing	205,800	165,100	146,800	66,700	16,800
Closing Nonlapsing	(165,100)	(146,900)	(66,700)	(16,800)	
Total	<u>\$140,700</u>	<u>\$118,200</u>	<u>\$180,100</u>	<u>\$149,900</u>	<u>\$116,800</u>
Programs					
Professional & Technical Services	\$140,700	\$118,200	\$180,100	\$149,900	\$116,800
Total	<u>\$140,700</u>	<u>\$118,200</u>	<u>\$180,100</u>	<u>\$149,900</u>	<u>\$116,800</u>
Expenditures					
Current Expense	\$140,700	\$118,200	\$180,100	\$149,900	\$116,800
Total	<u>\$140,700</u>	<u>\$118,200</u>	<u>\$180,100</u>	<u>\$149,900</u>	<u>\$116,800</u>
FTE/Other					

4.1(c) Tables: Department of Commerce – Committee of Consumer Services - Professional and Technical Services

	1998	1999	2000	2001	2002
Financing	Actual	Actual	Actual	Estimated	Analyst
GFR - Commerce Service	\$235,000	\$235,000	\$335,000	\$335,000	\$335,000
Transfers				163,900	
Beginning Nonlapsing	414,400	289,500	197,800	46,300	
Closing Nonlapsing	(289,500)	(197,800)	(46,300)		
Total	\$359,900	\$326,700	\$486,500	\$545,200	\$335,000
Programs					
Professional & Technical Services	\$359,900	\$326,700	\$486,500	\$545,200	\$335,000
Total	\$359,900	\$326,700	\$486,500	\$545,200	\$335,000
Expenditures					
Out of State Travel		\$1,600	\$4,100		
Current Expense	\$359,900	325,100	482,400	\$545,200	\$335,000
Total	\$359,900	\$326,700	\$486,500	\$545,200	\$335,000
FTE/Other					

4.2 Federal Funds: Department of Commerce

Program		FY 1999 Actual	FY 2000 Estimated	FY 2001 Analyst
Division of Public Utilities	Federal	\$141,700	\$138,000	\$138,400
Pipe Safety Grant	Required State Match	70,900	69,000	69,200
	Total	212,600	207,000	207,600
TOTAL	Federal	141,700	138,000	138,400
	Required State Match	70,900	69,000	69,200
	Total	\$212,600	\$207,000	\$207,600

**Future Impact of
Current Federal
Fund Decisions**

Federal funding is minimal for this Department. The one federal fund grant has been relatively stable and there is no expectation that this will change in the foreseeable future.

4.3 Fees: Department of Commerce

The following pages are a listing of fees for Legislative approval.

Department of Commerce Fee Title	Current FY 2000-01	Proposed FY 2001-02	Difference	FY 2001 Units	Projected Revenue
Occupational and Professional Licensing					
Certified Public Accountant					
Individual CPA Application Filing	75.00	75.00			
Individual License/ Certificate Renewal	50.00	50.00			
CPA Firm Application for Registration	80.00	80.00			
CPA Firm Registration Renewal	40.00	40.00			
Examination Record Fee	30.00	30.00			
Acupuncturist					
New Application	100.00	100.00			
Renewal	50.00	50.00			
Alarm Company					
FBI Fingerprint File Search	24.00	24 or cost			
BCI Fingerprint File Search	10.00	15 or cost			
Company Application Filing	300.00	300.00			
Company Renewal	100.00	100.00			
Agent Application Filing	40.00	40.00			
Agent Renewal	20.00	20.00			
Alternative Dispute Resolution Providers					
Application Filing	75.00	75.00			
License Renewal	50.00	50.00			
Architect					
Application Filing	100.00	100.00			
License Renewal	50.00	50.00			
Education and Enforcement Surcharge	10.00	10.00			
Boxing Commission					
Promoters - Application Filing	100.00	100.00			
Professional Contestant - License Renewal	25.00	25.00			
Professional Contestant - Application Filing	25.00	25.00			
Judges and Referees - License Renewal	25.00	25.00			
Judges and Referees - Application Filing	25.00	25.00			
Managers and Seconds - License Renewal	25.00	25.00			
Managers and Seconds - Application Filing	25.00	25.00			
Contest Registration Fee	250.00	250.00			
Promotions (percent of total)	0.05	0.05			
Audiologist					
Application Filing	60.00	60.00			
License Renewal	35.00	35.00			

Department of Commerce Fee Title	Current FY 2000-01	Proposed FY 2001-02	Difference	FY 2001 Units	Projected Revenue
Deception Detection					
FBI Fingerprint File Search	24.00	24 or cost			
BCI Fingerprint File Search	15 or cost	15 or cost			
Examiner Application Filing	40.00	40.00			
Examiner Renewal	20.00	20.00			
Intern Application Filing	25.00	25.00			
Intern Renewal	20.00	20.00			
Dentist					
Application Filing	100.00	100.00			
License Renewal	50.00	50.00			
Anesthesia Upgrade	50.00	50.00			
Dental Hygienist					
Application Filing	50.00	50.00			
License Renewal	25.00	25.00			
Anesthesia Upgrade	25.00	25.00			
Certified Dietician					
Application Filing	50.00	50.00			
License Renewal	25.00	25.00			
Electrician					
Application Filing	100.00	100.00			
License Renewal	50.00	50.00			
Electrologist					
Application Filing	40.00	40.00			
License Renewal	20.00	20.00			
Professional Employer Organization					
Initial Application Fee	2,000.00	2,000.00			
Annual Renewal Fee	2,000.00	2,000.00			
Professional Engineer					
Professional Engineer - Application Filing	100.00	100.00			
Professional Engineer - License Renewal	50.00	50.00			
Professional Structural Engineer - Application Fi	100.00	100.00			
Professional Structural Engineer - License Renev	50.00	50.00			
Exam Record Fee	30.00	30.00			
Education and Enforcement Surcharge	10.00	10.00			
Environmental Health Scientist					
Application Filing	50.00	50.00			
License Renewal	25.00	25.00			
Funeral Services					
Director Application Filing	150.00	150.00			
Director License Renewal	75.00	75.00			
Apprentice Application Filing	25.00	25.00			
Apprentice License Renewal	20.00	20.00			
Establishment Application Filing	100.00	100.00			
Establishment License Renewal	100.00	100.00			

Department of Commerce Fee Title	Current FY 2000-01	Proposed FY 2001-02	Difference	FY 2001 Units	Projected Revenue
Health Care Assistant					
Application Filing	20.00	20.00			
License Renewal	10.00	10.00			
Health Facility Administrator					
Application Filing	60.00	60.00			
License Renewal	40.00	40.00			
Hearing Instrument Specialist					
Application Filing	100.00	100.00			
License Renewal	50.00	50.00			
Hearing Instrument Intern					
Application Filing	25.00	25.00			
Landscape Architects					
Application Filing	100.00	100.00			
License Renewal	50.00	<u>60.00</u>	<u>10.00</u>	<u>256.00</u>	<u>2,560.00</u>
Examination Fee Record	30.00	30.00			
Education and Enforcement Surcharge	10.00	10.00			
Professional Land Surveyor					
Application Filing	100.00	100.00			
License Renewal	50.00	50.00			
Fundamentals of Land Surveying Examination R	30.00	30.00			
Education and Enforcement Surcharge	10.00	10.00			
Factory Built Housing					
Dealer - Application Filing	30.00	30.00			
Dealer - License Renewal	30.00	30.00			
On-site plant inspection	50/hr+exp	50/hr+exp			
Education and Enforcement Fee	75.00	75.00			
Marriage and Family Therapist					
Application Filing	75.00	75.00			
License Renewal	65.00	65.00			
Coursework Review Fee	25.00	25.00			
Massage					
Therapist - Application Filing	50.00	89.00	<u>39.00</u>	<u>700.00</u>	<u>27,300.00</u>
Therapist - License Renewal	40.00	40.00			
Apprentice - Application Filing	25.00	25.00			
Apprentice - License Renewal	25.00	25.00			
Naturopathic Physician					
Application Filing	100.00	100.00			
License Renewal	50.00	50.00			

Department of Commerce Fee Title	Current FY 2000-01	Proposed FY 2001-02	Difference	FY 2001 Units	Projected Revenue
Nurses					
Licensed Practical Nurse (L.P.N.) - Application I	50.00	50.00			
Licensed Practical Nurse (L.P.N.) - License Rene	40.00	40.00			
Registered Nurse (R.N.) - Application Filing	50.00	50.00			
Registered Nurse (R.N.) - License Renewal	40.00	40.00			
Advanced Practice R.N. - Application Filing	60.00	<u>90.00</u>	<u>30.00</u>	<u>205.00</u>	<u>6,150.00</u>
Advanced Practice R.N. - License Renewal	40.00	<u>50.00</u>	<u>10.00</u>	<u>659.00</u>	<u>6,590.00</u>
Advanced Practice R.N. - Intern Application	25.00	25.00			
Certified Nurse Anesthetist - Application Filing	60.00	<u>90.00</u>	<u>30.00</u>	<u>14.00</u>	<u>420.00</u>
Certified Nurse Anesthetist - License Renewal	40.00	<u>50.00</u>	<u>10.00</u>	<u>143.00</u>	<u>1,430.00</u>
Educational Program approval/Initial site visit	500.00	500.00			
Educational Program approval/Follow-up site vis	250.00	250.00			
Occupational Therapist					
Occupational Therapist - Application Filing	60.00	60.00			
Occupational Therapist - License Renewal	35.00	35.00			
Occupational Therapist Assistant - Application F	60.00	60.00			
Occupational Therapist Assistant - License Rene	35.00	35.00			
Optometrist					
Application Filing	100.00	<u>130.00</u>	<u>30.00</u>	<u>23.00</u>	<u>690.00</u>
License Renewal	50.00	<u>80.00</u>	<u>30.00</u>	<u>329.00</u>	<u>9,870.00</u>
Osteopathic Physician & Surgeon					
Application Filing	150.00	<u>180.00</u>	<u>30.00</u>	<u>23.00</u>	<u>690.00</u>
License Renewal	100.00	<u>120.00</u>	<u>20.00</u>	<u>175.00</u>	<u>3,500.00</u>
Pharmacy					
Pharmacist - Application Filing	100.00	100.00			
Pharmacist - License Renewal	50.00	50.00			
Pharmacy Intern - Application Filing	25.00	25.00			
Pharmacy - Application Filing	100.00	100.00			
Pharmacy - License Renewal	50.00	50.00			
Pharmaceutical Manufacturer - Application Filing	100.00	100.00			
Pharmaceutical Manufacturer - License Renewal	50.00	50.00			
Pharmaceutical Wholesaler/Distributor - Applica	100.00	100.00			
Pharmaceutical Wholesaler/Distributor - License	50.00	50.00			
Veterinary Pharmaceutical Outlet - Application F	100.00	100.00			
Veterinary Pharmaceutical Outlet - License Rene	50.00	50.00			
Pharmaceutical Researcher - Application Filing	100.00	100.00			
Pharmaceutical Researcher - License Renewal	50.00	50.00			
Pharmaceutical Dog Trainer - Application Filing	100.00	100.00			
Pharmaceutical Dog Trainer - License Renewal	50.00	50.00			
Pharmaceutical Teaching Organization - Applica	100.00	100.00			
Pharmaceutical Teaching Organization - License	50.00	50.00			
Euthanasia Agency - Application Filing	100.00	100.00			
Euthanasia Agency - License Renewal	50.00	50.00			

Department of Commerce Fee Title	Current FY 2000-01	Proposed FY 2001-02	Difference	FY 2001 Units	Projected Revenue
Analytical Laboratory - Application Filing	100.00	100.00			
Analytical Laboratory - License Renewal	50.00	50.00			
Pharmacy Technician Application Fee	50.00	50.00			
Pharmacy Technician License Renewal	35.00	35.00			
Pharmaceutical Administration Application Filing	100.00	100.00			
Pharmaceutical Admin. License Renewal	50.00	50.00			
Physical Therapist					
Application Filing	60.00	60.00			
License Renewal	35.00	35.00			
Physician/Surgeon					
Application Filing	150.00	<u>180.00</u>	<u>30.00</u>	<u>404.00</u>	<u>12,120.00</u>
License Renewal	100.00	<u>120.00</u>	<u>20.00</u>	<u>6,485.00</u>	<u>129,700.00</u>
Physician Assistant					
Application Filing	100.00	<u>130.00</u>	<u>30.00</u>	<u>96.00</u>	<u>2,880.00</u>
License Renewal	50.00	<u>75.00</u>	<u>25.00</u>	<u>344.00</u>	<u>8,600.00</u>
Plumber					
Application Filing	100.00	100.00			
License Renewal	50.00	50.00			
Podiatric Physician					
Application Filing	100.00	<u>130.00</u>	<u>30.00</u>	<u>14.00</u>	<u>420.00</u>
License Renewal	50.00	<u>80.00</u>	<u>30.00</u>	<u>167.00</u>	<u>5,010.00</u>
Pre-Need Funeral Arrangement					
Provider - Application Filing	100.00	100.00			
Provider - License Renewal	50.00	50.00			
Sales Agent - Application Filing	40.00	40.00			
Sales Agent - License Renewal	30.00	30.00			
Private Probation Provider					
Application Filing	75.00	75.00			
License Renewal	50.00	50.00			
Professional Counselor					
Application Filing	75.00	75.00			
License Renewal	65.00	65.00			
Coursework Review Fee	25.00	25.00			
Psychologist					
Psychologist - Application Filing	100.00	100.00			
Psychologist - License Renewal	50.00	50.00			
Radiology Technologist/Practical Technician					
Application Filing	60.00	60.00			
License Renewal	35.00	35.00			
Recreational Therapist					
Master/Therapeutic Recreation Specialist - Appli	60.00	60.00			
Master/Therapeutic Recreation Specialist - Licens	35.00	35.00			
Therapeutic Recreation Technician - Application	60.00	60.00			
Therapeutic Recreation Technician - License Ren	35.00	35.00			

Department of Commerce Fee Title	Current FY 2000-01	Proposed FY 2001-02	Difference	FY 2001 Units	Projected Revenue
Residence Lien Recovery Fund Registrants					
Initial Assessment	195.00	195.00			
Noncontractor Registration	25.00	25.00			
Post-claim laborer assessment	20.00	20.00			
Claim Application Fee - Nonlaborers	75.00	75.00			
Claim Application Fee - Laborers	15.00	15.00			
Reinstatement of Lapsed Registration	100.00	100.00			
Respiratory Care Practitioner					
Application Filing	50.00	50.00			
License Renewal	40.00	40.00			
Security Services					
FBI Fingerprint File Search	24.00	24 or cost			
BCI Fingerprint File Search	15 or cost	15 or cost			
Contract Security Company Application Filing	300.00	300.00			
Contract Security Company Renewal	100.00	100.00			
Replace/Change Qualifier	40.00	40.00			
Education Program Approval	300.00	300.00			
Education Program Approval Renewal	100.00	100.00			
Alarm Response Runner Application Filing	40.00	40.00			
Alarm Response Runner Renewal	20.00	20.00			
Armed Private Security Officer Application Filing	40.00	40.00			
Armed Private Security Officer Renewal	20.00	20.00			
Unarmed Private Security Officer Application Filing	40.00	40.00			
Unarmed Private Security Officer Renewal	20.00	20.00			
Social Work					
Clinical Social Worker - Application Filing	75.00	75.00			
Clinical Social Worker - License Renewal	65.00	65.00			
Certified Social Worker - Application Filing	75.00	75.00			
Certified Social Worker - License Renewal	65.00	65.00			
Social Service Worker - Application Filing	75.00	75.00			
Social Service Worker - License Renewal	65.00	65.00			
Speech Pathologist/Audiologist					
Speech Pathologist - Application Filing	60.00	60.00			
Speech Pathologist - License Renewal	35.00	35.00			
Audiologist - Application Filing	60.00	60.00			
Audiologist - License Renewal	35.00	35.00			
Licensed Substance Abuse Counselor					
Application Filing	75.00	75.00			
License Renewal	65.00	65.00			
Veterinarian					
Application Filing	100.00	100.00			
License Renewal	50.00	50.00			
Veterinarian Intern					
Application Filing	25.00	25.00			

Department of Commerce Fee Title	Current FY 2000-01	Proposed FY 2001-02	Difference	FY 2001 Units	Projected Revenue
Securities Division					
Securities Registration					
Qualification Registration	300.00	300.00			
Coordinated Registration	300.00	300.00			
Notification Registration	300.00	300.00			
Securities Exemptions					
Investment Companies	500.00	500.00			
All Other Securities Exemptions	60.00	60.00			
Transactional Exemptions					
Transactional Exemptions	60.00	60.00			
No-action and Interpretative Opinions	120.00	120.00			
Licensing					
Agent	45.00	45.00			
Broker/Dealer	75.00	75.00			
Investment Adviser (new and renewal)	75.00	75.00			
Investment Adviser Representative (new and renewal)	30.00	30.00			
Certified Dealer					
New and Renewal	500.00	500.00			
Covered Securities Notice Filings					
Investment Companies	500.00	500.00			
All Other Covered Securities	60.00	60.00			
Federal Covered Adviser					
New and Renewal	75.00	75.00			
Consumer Protection Division					
Charitable Solicitation Act					
Charity	100.00	100.00			
Professional Fund Raiser	250.00	250.00			
Telephone Solicitation					
Telemarketing Registration	50.00	<u>250.00</u>	<u>200.00</u>	<u>30.00</u>	<u>6,000.00</u>
Health Spa	100.00	100.00			
Credit Services Organization	50.00	<u>100.00</u>	<u>50.00</u>	<u>12.00</u>	<u>600.00</u>
Business Opportunity Disclosure Register					
Exempt	100.00	100.00			
Approved	200.00	200.00			
Personal Introduction Service	100.00	100.00			

Department of Commerce Fee Title	Current FY 2000-01	Proposed FY 2001-02	Difference	FY 2001 Units	Projected Revenue
Corporations and Commercial Code					
Articles of Incorporation					
Domestic Profit	50.00	50.00			
Domestic Nonprofit	20.00	20.00			
Foreign Profit	50.00	50.00			
Foreign Nonprofit	20.00	20.00			
Corporate Sole	20.00	20.00			
Requalification/Reinstatement					
Profit	50.00	50.00			
Nonprofit	20.00	20.00			
Changes of Corporate Status					
Amend/Restate/Merge - Profit	25.00	25.00			
Amend/Restate/Merge - Nonprofit	15.00	15.00			
Amendment - Foreign	35.00	35.00			
Annual Report					
Profit	10.00	10.00			
Nonprofit	5.00	5.00			
Limited Partnership	10.00	10.00			
Limited Liability Company	10.00	10.00			
Change Form	10.00	10.00			
Late Fee	10.00	10.00			
Certification					
Corporate Standing - In House	10.00	10.00			
Corporate Standing - Long Form	20.00	20.00			
Corporation Search					
In House	10.00	10.00			
Limited Partnership					
Certificate	50.00	50.00			
Reinstate/Requalify	50.00	50.00			
Amend/Restate/Merge	25.00	25.00			
DBA					
Registration	20.00	20.00			
Renewals	20.00	20.00			
Trademark					
Registration	20.00	20.00			
Assignments	5.00	5.00			
Renewals	20.00	20.00			
Limited Liability Company					
Articles of Organization	50.00	50.00			
Reinstate/Requalify	50.00	50.00			
Amend/Merge	35.00	35.00			

Department of Commerce	Current	Proposed		FY 2001	Projected
Fee Title	FY 2000-01	FY 2001-02	Difference	Units	Revenue
Miscellaneous Transactions					
Summons	10.00	10.00			
Out of State Motorist Summons	5.00	5.00			
Collection Agency Bond	30.00	30.00			
Foreign Name Registration	20.00	20.00			
Statement of Certification	10.00	10.00			
Corporation Name Reservation	20.00	20.00			
Telecopier Transmittal	5.00	5.00			
Telecopier Transmittal (per page)	1.00	1.00			
Commercial Code Lien Filings					
UCC Filings with or without ID	10.00	10.00			
Assignment/Amendment	10.00	10.00			
CFS - 1	10.00	10.00			
CFS - 3	10.00	10.00			
CFS - 2	5.00	5.00			
CFS - 4	25.00	25.00			
Lien Search					
Search	10.00	10.00			
Notary					
Bond and Certificate	20.00	20.00			
Bond Rider	5.00	5.00			
Certificate	5.00	5.00			
Workshop Registration	10.00	10.00			
Digital Signatures					
Certification Authority Licensing	500.00	500.00			
Recognition of repository	250.00	250.00			
Real Estate Division					
Broker/Sales Agent					
New Application (2 year)	100.00	100.00			
Finger printing	39 or cost	39 or cost			
Renewal	50.00	50.00			
Appraisers					
Licensed & Certified - Application	200.00	200.00			
Licensed & Certified - Renewal	200.00	200.00			
Registered Appraisers - Renewal	200.00	200.00			
National Register (Pass through)	50.00	50 or cost			
Temporary Permit	100.00	100.00			
Appraiser Expert Witness Fees	200.00	200.00			

Department of Commerce Fee Title	Current FY 2000-01	Proposed FY 2001-02	Difference	FY 2001 Units	Projected Revenue
Residential Mortgage Providers					
<u>Entities (per 2 years)</u>	<u>0.00</u>	<u>200.00</u>	<u>200.00</u>	<u>150.00</u>	<u>30,000.00</u>
<u>Individuals (per 2 years)</u>	<u>0.00</u>	<u>200.00</u>	<u>200.00</u>	<u>1,500.00</u>	<u>300,000.00</u>
<u>Criminal Background Check (1st Reg. Only)</u>	<u>0.00</u>	<u>39.00</u>	<u>39.00</u>	<u>1,650.00</u>	<u>64,350.00</u>
Miscellaneous					
Activation	15.00	15.00			
New Company	25.00	25.00			
Branch Office	25.00	25.00			
Company Broker Change	15.00	15.00			
Service Fees					
Duplicate License	10.00	10.00			
Certifications/Histories (up to 5 years)	10.00	10.00			
Certifications/Histories (more than 5 years)	50.00	50.00			
License/Registration Reinstatement	50.00	50.00			
No Action Letter	120.00	120.00			
Subdivided Land					
Exemption - HUD	100.00	100.00			
Exemption - Water Corporation	50.00	50.00			
Temporary Permit	100.00	100.00			
Application	500.00+	500.00+			
per unit charge over 30	3.00	3.00			
Inspection Deposit	300.00	300.00			
Consolidation	200.00+	200.00+			
per unit charge	3.00	3.00			
Renewal Report	200.00	200.00			
Timeshare and Camp Resort					
Salesperson - New and Renewal	50.00	50.00			
Registration	500.00+	500.00+			
per unit charge over 100	3.00	3.00			
Inspection Deposit	300.00	300.00			
Consolidation	200.00+	200.00+			
per unit charge	3.00	3.00			
Temporary Permit	100.00	100.00			
Renewal Report	200.00	200.00			
Supplementary Filing Fee	200.00	200.00			

Department of Commerce Fee Title	Current FY 2000-01	Proposed FY 2001-02	Difference	FY 2001 Units	Projected Revenue
Real Estate Education					
Broker/Dealer	1.00	1.00			
Agent	1.00	1.00			
Certifications					
Real Estate Prelicense Course Certification	25.00	25.00			
Appraiser Prelicense Course Certification	25.00	25.00			
Real Estate Continuing Ed. Course Certification	35.00	35.00			
Real Estate Prelicense Instructor Certification	15.00	15.00			
Real Estate Continuing Ed. Instructor Certificatic	15.00	15.00			
Appraiser Prelicense Instructor Certification	15.00	15.00			
TOTAL NEW UNITS AND REVENUE				14,034	\$634,025