

Appropriation Period: 2015-17 Activity Version: 2D - 2016 Supplemental 1 Recast Sort By: Activity

102 - Dept of Financial Institutions

A001 Agency Management and Administrative Services

The Division of Administration provides administrative and advisory services for the Department of Financial Institutions. These services include policy and legal advice, human resources, financial and budgeting functions.

Account	FY 2016	FY 2017	Biennial Total
FTE	8.8	8.8	8.8
300 Financial Services Regulation Account			
300-6 Non-Appropriated	\$1,209,000	\$1,229,000	\$2,438,000

Statewide Result Area: Prosperous Economy

Statewide Strategy: Regulate the economy to ensure fairness, security and efficiency

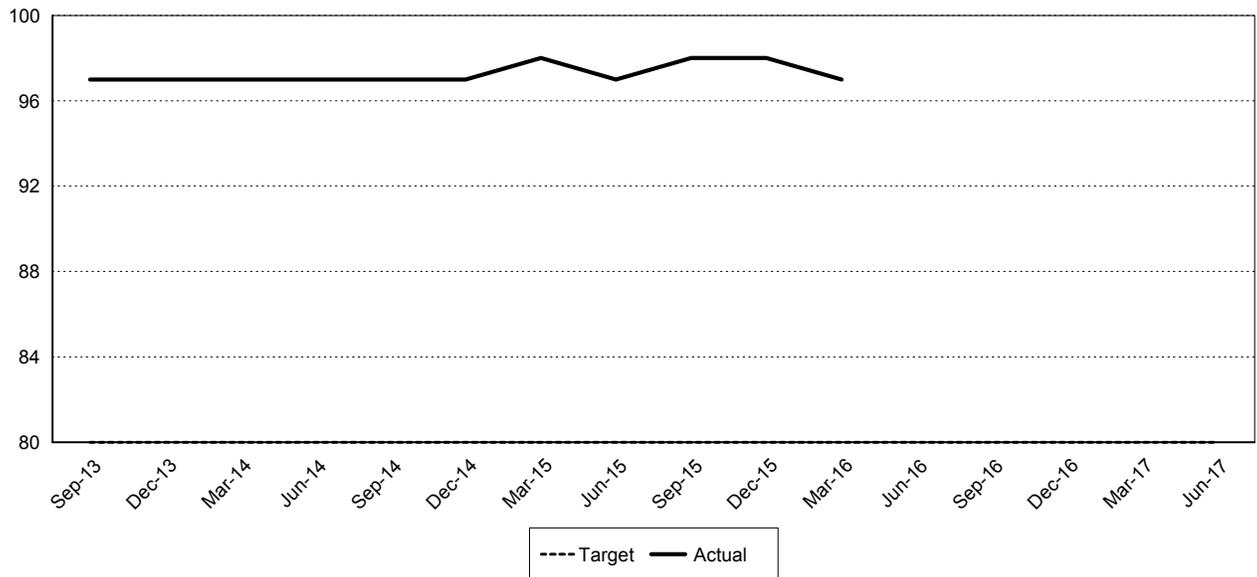
Expected Results

Provide quality leadership and administrative services in support of the agency's mission.

002484 Percentage of calls reaching a live person within 60 seconds.			
Biennium	Period	Actual	Target
2015-17	Q8		80%
	Q7		80%
	Q6		80%
	Q5		80%
	Q4		80%
	Q3	97%	80%
	Q2	98%	80%
	Q1	98%	80%
2013-15	Q8	97%	80%
	Q7	98%	80%
	Q6	97%	80%
	Q5	97%	80%
	Q4	97%	80%
	Q3	97%	80%
	Q2	97%	80%
	Q1	97%	80%

Appropriation Period: 2015-17 Activity Version: 2D - 2016 Supplemental 1 Recast Sort By: Activity

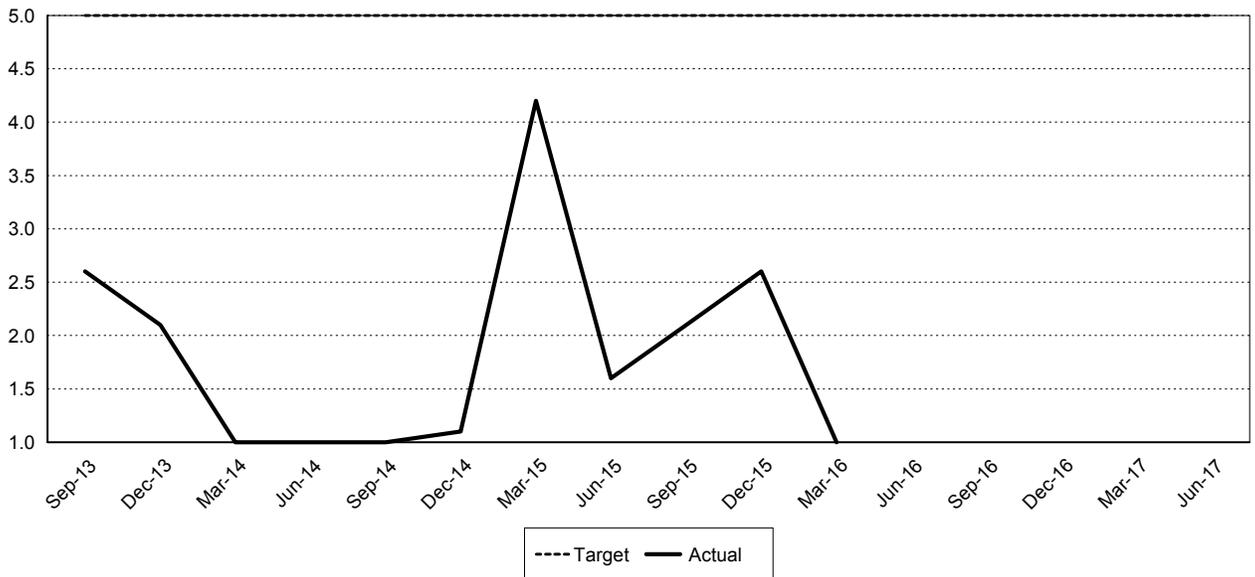
Percent 002484 - Percentage of Calls Reaching a Live Person Within 60 Seconds



002486 Percentage of employees who leave DFI to take a position with another employer.			
Biennium	Period	Actual	Target
2015-17	Q8		5%
	Q7		5%
	Q6		5%
	Q5		5%
	Q4		5%
	Q3	1%	5%
	Q2	2.6%	5%
	Q1	2.1%	5%
2013-15	Q8	1.6%	5%
	Q7	4.2%	5%
	Q6	1.1%	5%
	Q5	1%	5%
	Q4	1%	5%
	Q3	1%	5%
	Q2	2.1%	5%
	Q1	2.6%	5%

Appropriation Period: 2015-17 Activity Version: 2D - 2016 Supplemental 1 Recast Sort By: Activity

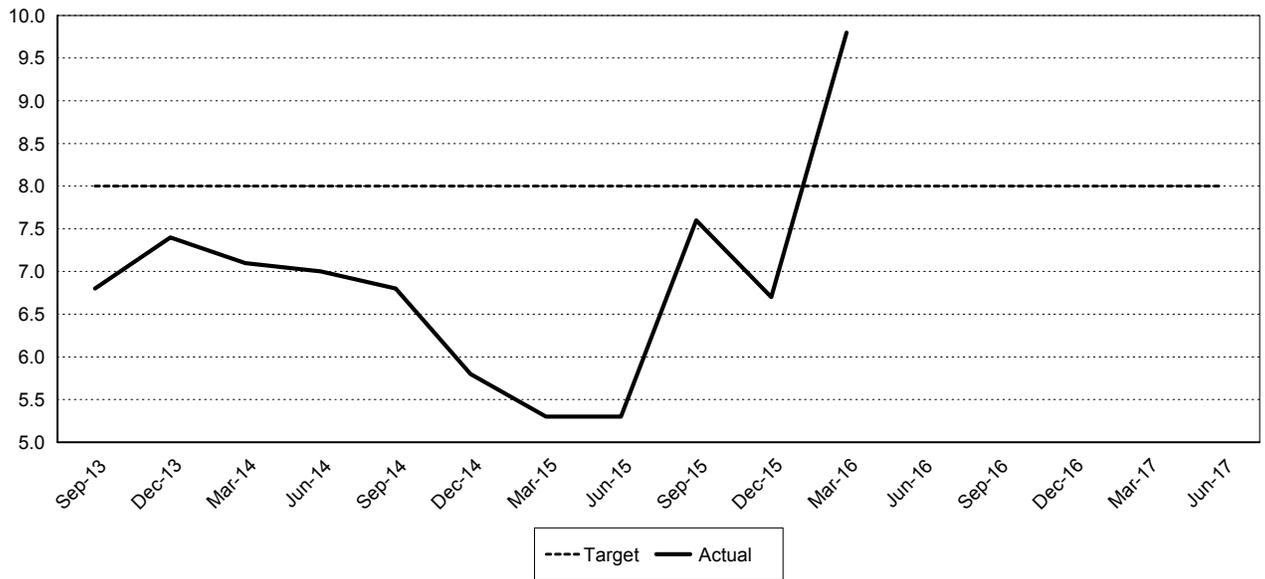
Percent 002486 - Percentage of Employees who Leave DFI to Take A Position With Another Employer



002488 Percentage of employees with disabilities in DFI's workforce.			
Biennium	Period	Actual	Target
2015-17	Q8		8%
	Q7		8%
	Q6		8%
	Q5		8%
	Q4		8%
	Q3	9.8%	8%
	Q2	6.7%	8%
	Q1	7.6%	8%
2013-15	Q8	5.3%	8%
	Q7	5.3%	8%
	Q6	5.8%	8%
	Q5	6.8%	8%
	Q4	7%	8%
	Q3	7.1%	8%
	Q2	7.4%	8%
	Q1	6.8%	8%

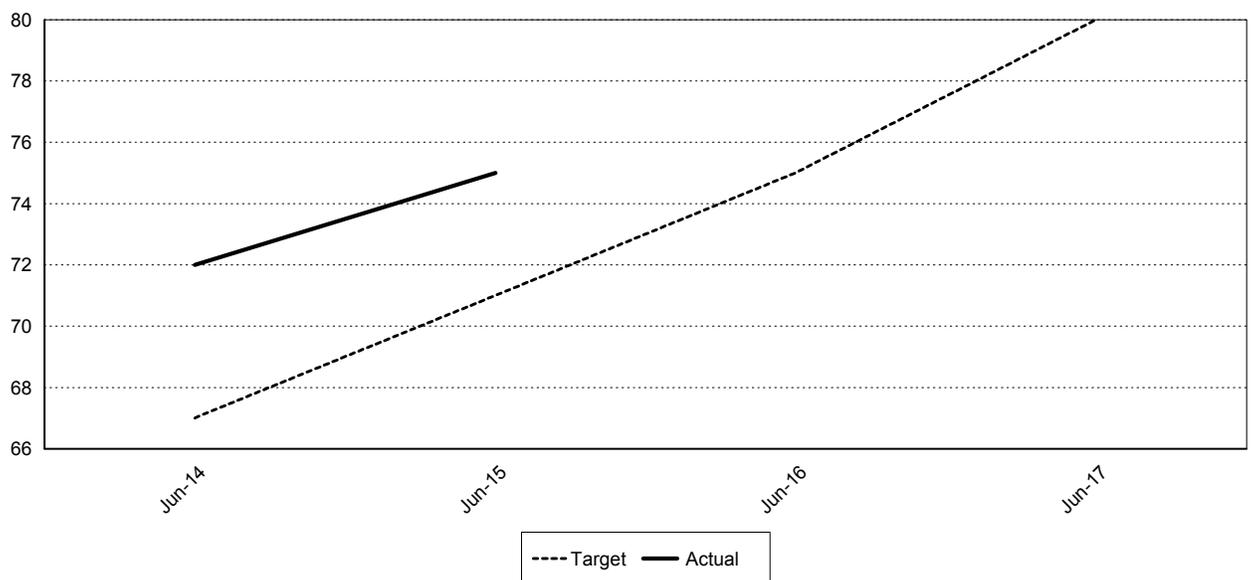
Appropriation Period: 2015-17 Activity Version: 2D - 2016 Supplemental 1 Recast Sort By: Activity

Percent 002488 - Percentage of Employees with Disabilities in DFI's Workforce



002483 Percentage of revenues collected from ACH and Credit Cards.			
Biennium	Period	Actual	Target
2015-17	A3		80%
	A2		75%
2013-15	A3	75%	71%
	A2	72%	67%

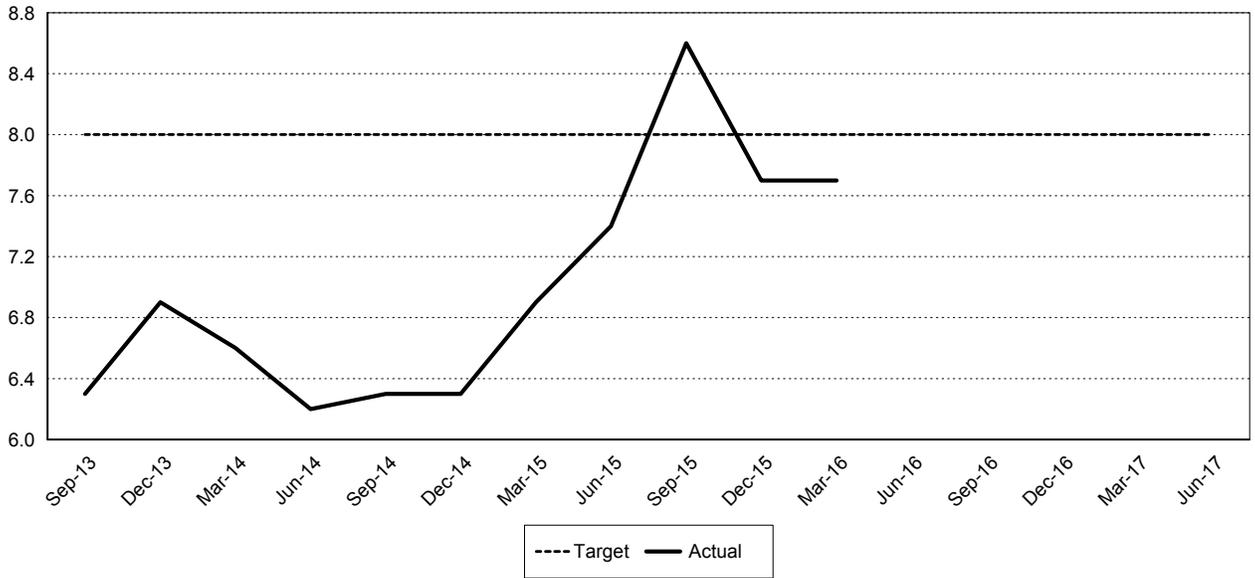
Percent 002483 - Percentage of Revenues Collected Electronically



Appropriation Period: 2015-17 Activity Version: 2D - 2016 Supplemental 1 Recast Sort By: Activity

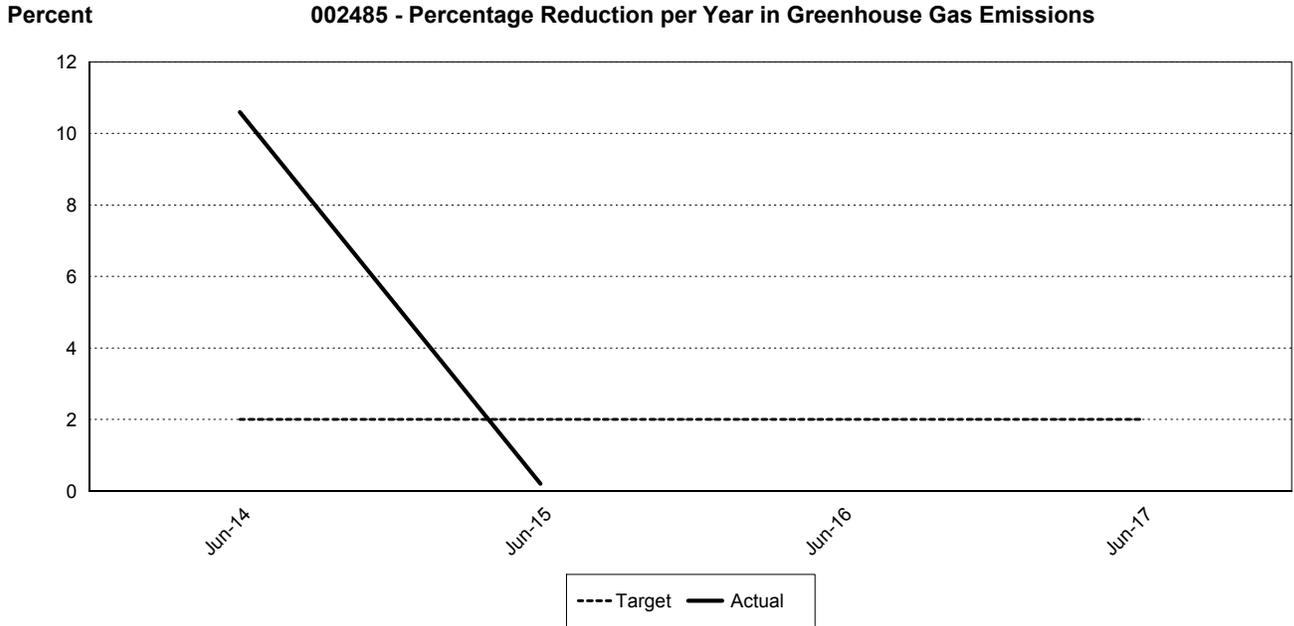
002487 Percentage of veterans in DFI's workforce.			
Biennium	Period	Actual	Target
2015-17	Q8		8%
	Q7		8%
	Q6		8%
	Q5		8%
	Q4		8%
	Q3	7.7%	8%
	Q2	7.7%	8%
	Q1	8.6%	8%
2013-15	Q8	7.4%	8%
	Q7	6.9%	8%
	Q6	6.3%	8%
	Q5	6.3%	8%
	Q4	6.2%	8%
	Q3	6.6%	8%
	Q2	6.9%	8%
	Q1	6.3%	8%

Percent 002487 - Percentage of Veterans in DFI's Workforce



Appropriation Period: 2015-17 Activity Version: 2D - 2016 Supplemental 1 Recast Sort By: Activity

002485 Percentage reduction per year in greenhouse gas emissions.			
Biennium	Period	Actual	Target
2015-17	A3		2%
	A2		2%
2013-15	A3	0.2%	2%
	A2	10.6%	2%



A002 Chartering, Licensing and Registration

The Department of Financial Institutions evaluates and approves new applications, mergers, conversions, branches, and corporate governance changes for banks and credit unions. The department also conducts licensing, registration, and exemption activities for financial entities, such as broker dealers, investment advisers, securities issuers, escrow officers, mortgage brokers and loan originators, payday lenders, money transmitters, currency exchangers, and consumer loan companies.

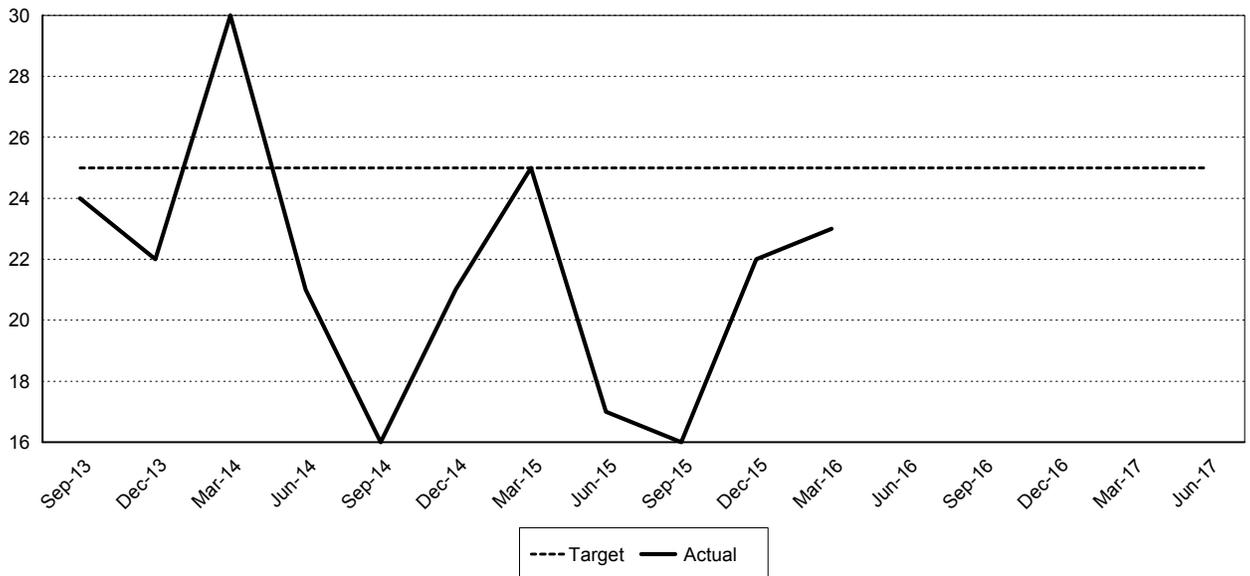
Account	FY 2016	FY 2017	Biennial Total
FTE	27.8	27.8	27.8
300 Financial Services Regulation Account			
300-6 Non-Appropriated	\$2,787,000	\$2,879,000	\$5,666,000

Statewide Result Area: **Prosperous Economy**
 Statewide Strategy: **Regulate the economy to ensure fairness, security and efficiency**

Expected Results

002475 Average number of business days to process and issue a main office consumer loan company license.			
Biennium	Period	Actual	Target
2015-17	Q8		25
	Q7		25
	Q6		25
	Q5		25
	Q4		25
	Q3	23	25
	Q2	22	25
	Q1	16	25
2013-15	Q8	17	25
	Q7	25	25
	Q6	21	25
	Q5	16	25
	Q4	21	25
	Q3	30	25
	Q2	22	25
	Q1	24	25

Number 002475 - Days to Process and Issue a Consumer Loan Company License

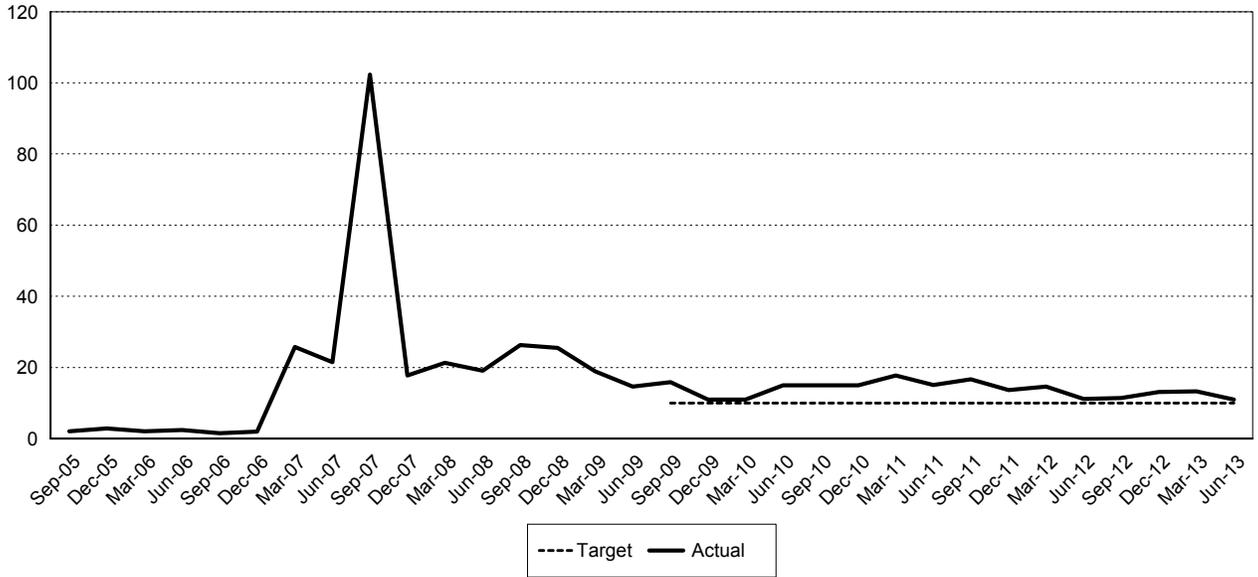


Appropriation Period: 2015-17 Activity Version: 2D - 2016 Supplemental 1 Recast Sort By: Activity

000752 Average number of business days to process and issue a license. Licenses are issued to mortgage brokers, loan originators, consumer loan companies, check cashers and sellers, payday lenders, money transmitters, and escrow agents and officers.

Biennium	Period	Actual	Target
2011-13	Q8	11	10
	Q7	13.3	10
	Q6	13.1	10
	Q5	11.4	10
	Q4	11.1	10
	Q3	14.6	10
	Q2	13.6	10
	Q1	16.7	10

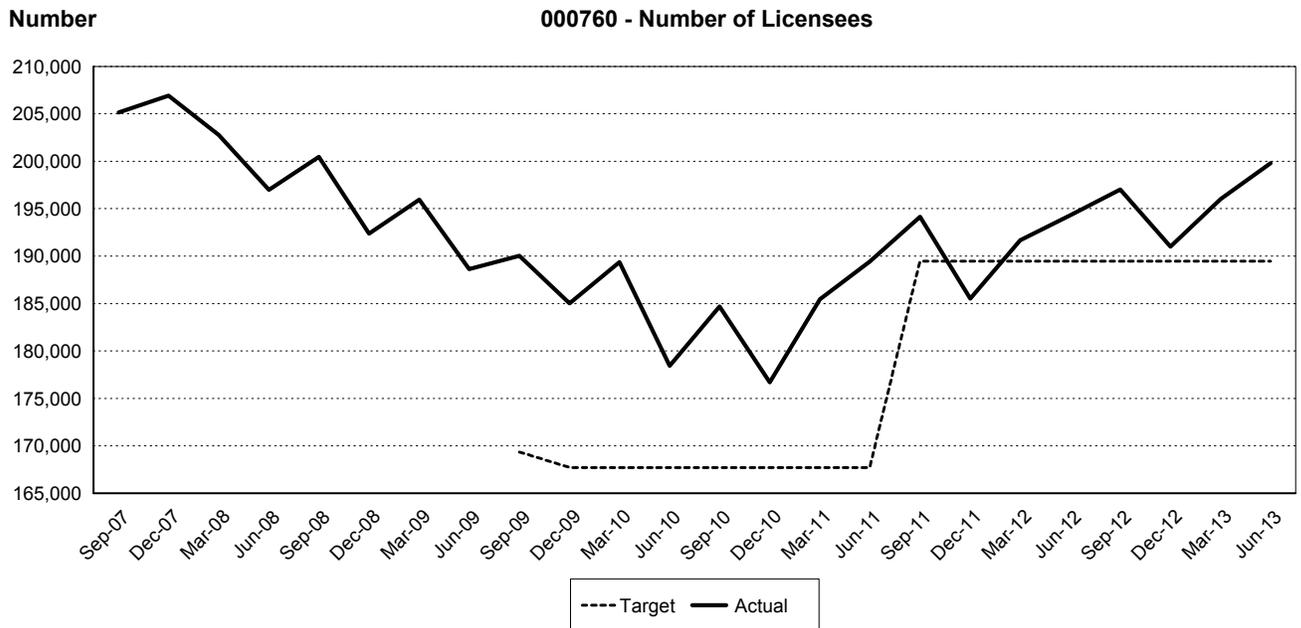
Number 000752 - Number of Days to Process & Issue a License



000760 Number of licensees.

Biennium	Period	Actual	Target
2011-13	Q8	199,808	189,443
	Q7	196,029	189,443
	Q6	191,021	189,443
	Q5	197,035	189,443
	Q4	194,307	189,443
	Q3	191,670	189,443
	Q2	185,509	189,443
	Q1	194,137	189,443

Appropriation Period: 2015-17 Activity Version: 2D - 2016 Supplemental 1 Recast Sort By: Activity

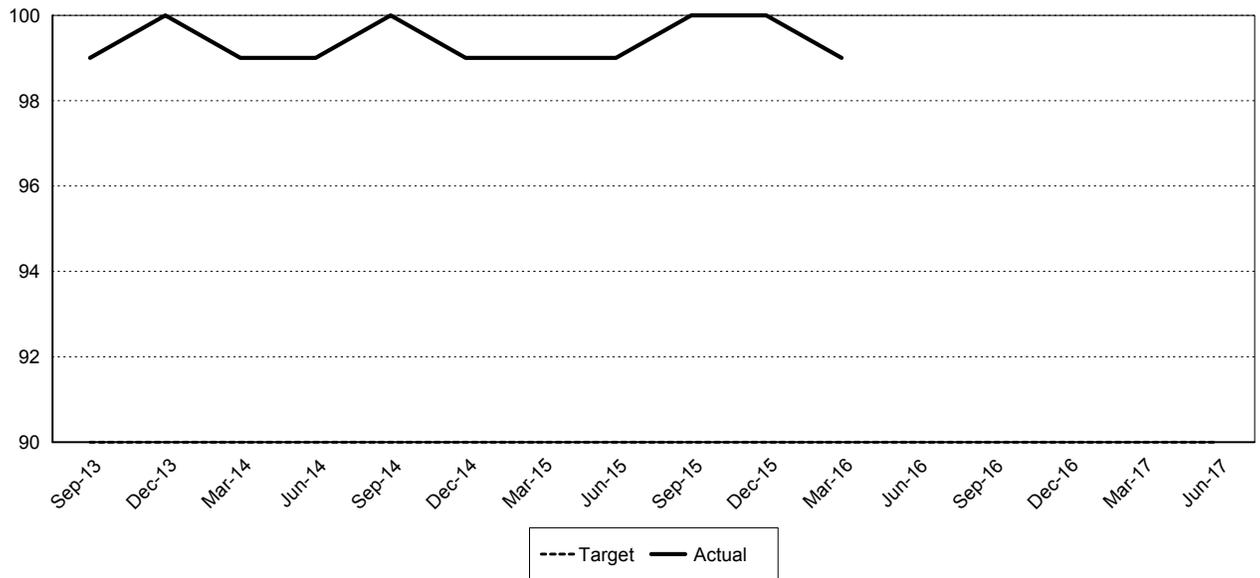


002478 Percentage of callers to the Department of Financial Institutions Consumer Services Licensing Unit who are "satisfied" or "very satisfied" with the quality of information they received.

Biennium	Period	Actual	Target
2015-17	Q8		90%
	Q7		90%
	Q6		90%
	Q5		90%
	Q4		90%
	Q3	99%	90%
	Q2	100%	90%
	Q1	100%	90%
2013-15	Q8	99%	90%
	Q7	99%	90%
	Q6	99%	90%
	Q5	100%	90%
	Q4	99%	90%
	Q3	99%	90%
	Q2	100%	90%
	Q1	99%	90%

Appropriation Period: 2015-17 Activity Version: 2D - 2016 Supplemental 1 Recast Sort By: Activity

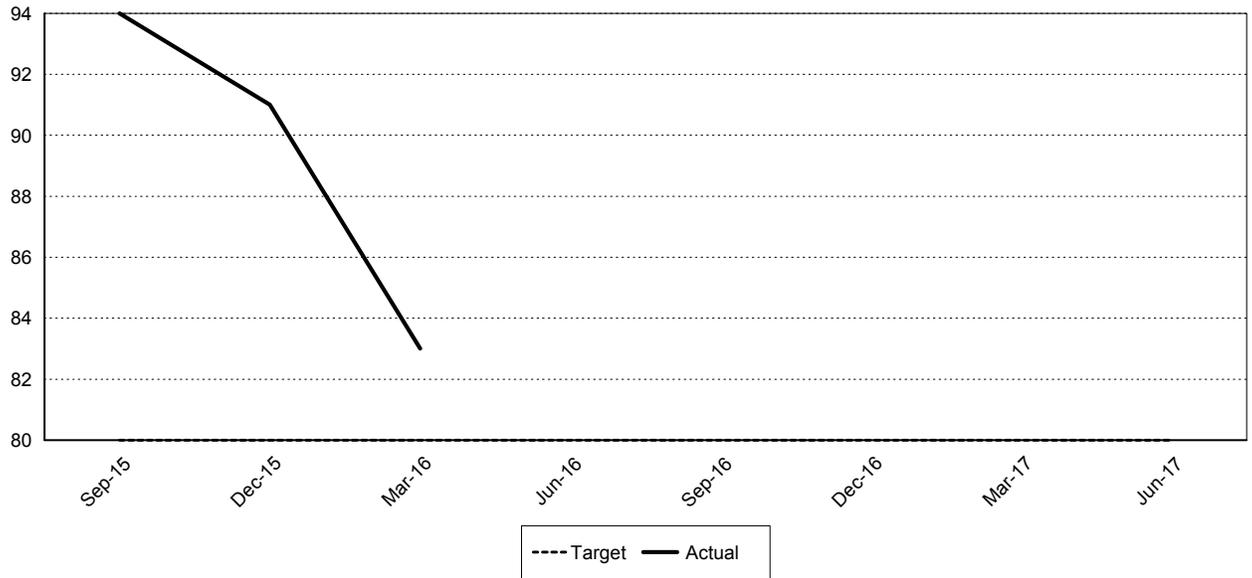
Percent 002478 - Percentage of Callers who are "Satisfied" or "Very Satisfied" with the Information they Received



002750 Percentage of Mortgage Loan Originator sponsorship applications approved within 5 days.			
Biennium	Period	Actual	Target
2015-17	Q8		80%
	Q7		80%
	Q6		80%
	Q5		80%
	Q4		80%
	Q3	83%	80%
	Q2	91%	80%
	Q1	94%	80%

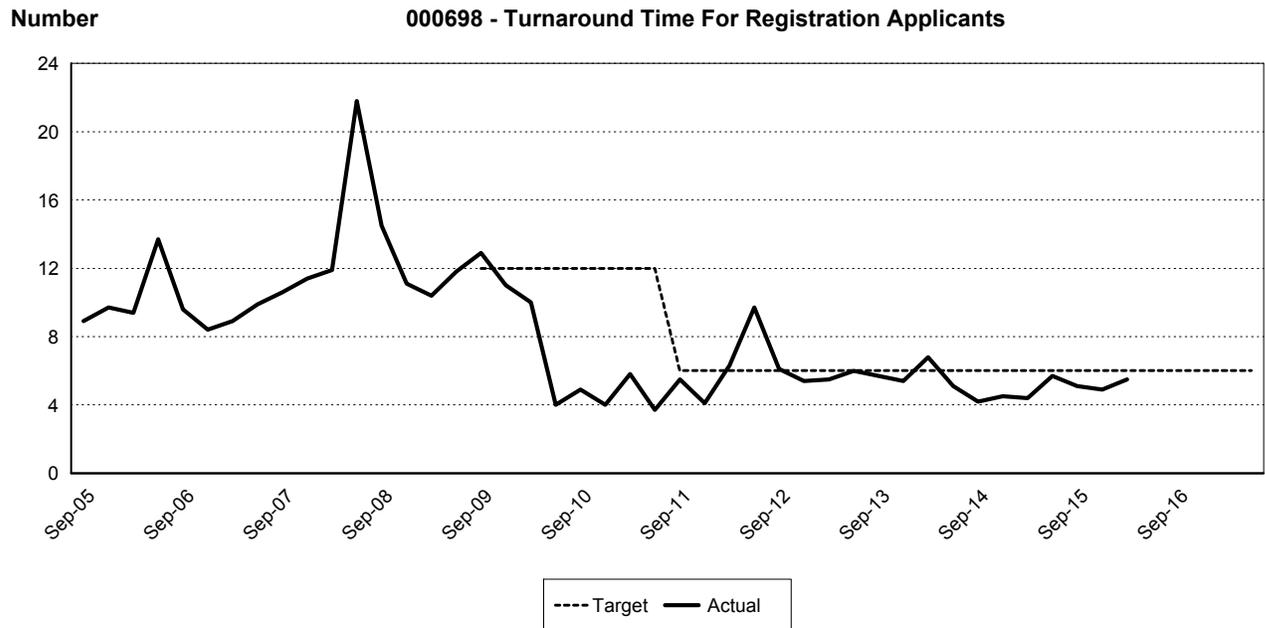
Appropriation Period: 2015-17 Activity Version: 2D - 2016 Supplemental 1 Recast Sort By: Activity

Percent 002750 - Percentage of Mortgage Loan Originator sponsorship applications approved within 5 days



Appropriation Period: 2015-17 Activity Version: 2D - 2016 Supplemental 1 Recast Sort By: Activity

000698 Turnaround time in business days for initial response to securities and franchise registration applicants.			
Biennium	Period	Actual	Target
2015-17	Q8		6
	Q7		6
	Q6		6
	Q5		6
	Q4		6
	Q3	5.5	6
	Q2	4.9	6
	Q1	5.1	6
2013-15	Q8	5.7	6
	Q7	4.4	6
	Q6	4.5	6
	Q5	4.2	6
	Q4	5.1	6
	Q3	6.8	6
	Q2	5.4	6
	Q1	5.7	6
2011-13	Q8	6	6
	Q7	5.5	6
	Q6	5.4	6
	Q5	6.1	6
	Q4	9.7	6
	Q3	6.3	6
	Q2	4.1	6
	Q1	5.5	6



A003 Education and Public Outreach

The Department conducts education and outreach activities for consumers and stakeholders. Activities include presentations, town meetings, and press conferences addressing consumer and industry concerns; Internet-based information; and interactive programs.

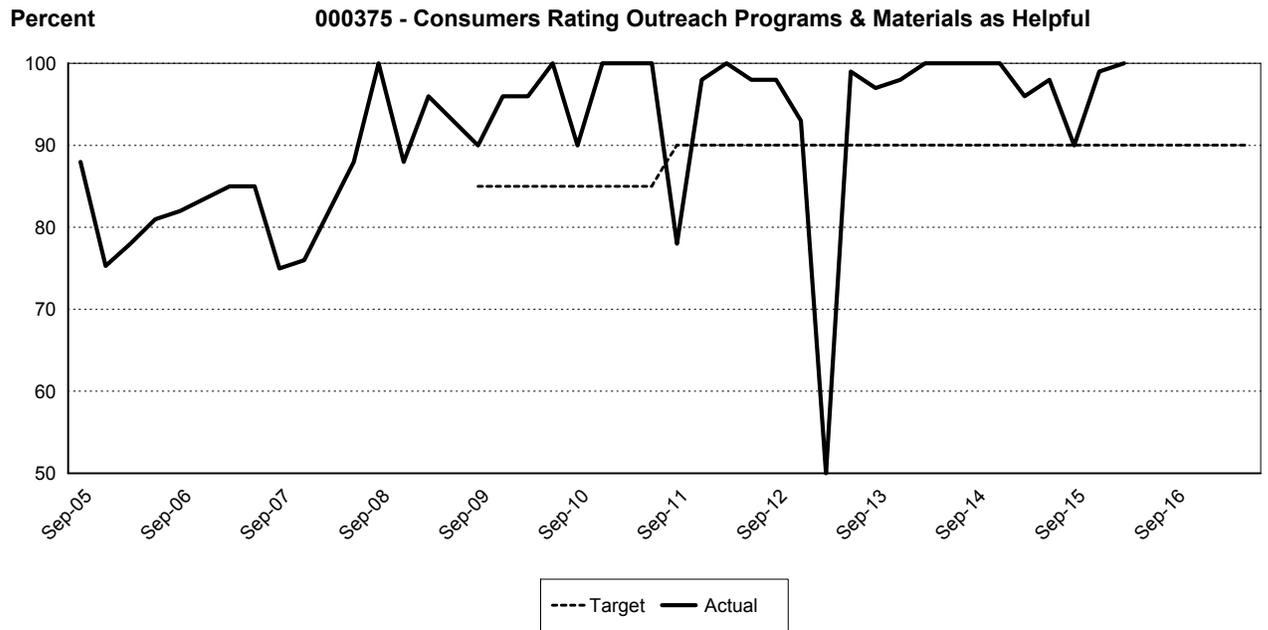
Account	FY 2016	FY 2017	Biennial Total
FTE	2.3	2.3	2.3
300 Financial Services Regulation Account			
300-6 Non-Appropriated	\$689,000	\$771,000	\$1,460,000
17L Foreclosure Fairness Account			
17L-6 Non-Appropriated	\$230,000	\$0	\$230,000

Statewide Result Area: **Prosperous Economy**

Statewide Strategy: Regulate the economy to ensure fairness, security and efficiency

Expected Results

000375 Percentage of consumers who rate Department of Financial Institutions outreach program and materials as helpful.			
Biennium	Period	Actual	Target
2015-17	Q8		90%
	Q7		90%
	Q6		90%
	Q5		90%
	Q4		90%
	Q3	100%	90%
	Q2	99%	90%
	Q1	90%	90%
2013-15	Q8	98%	90%
	Q7	96%	90%
	Q6	100%	90%
	Q5	100%	90%
	Q4	100%	90%
	Q3	100%	90%
	Q2	98%	90%
	Q1	97%	90%
2011-13	Q8	99%	90%
	Q7	50%	90%
	Q6	93%	90%
	Q5	98%	90%
	Q4	98%	90%
	Q3	100%	90%
	Q2	98%	90%
	Q1	78%	90%

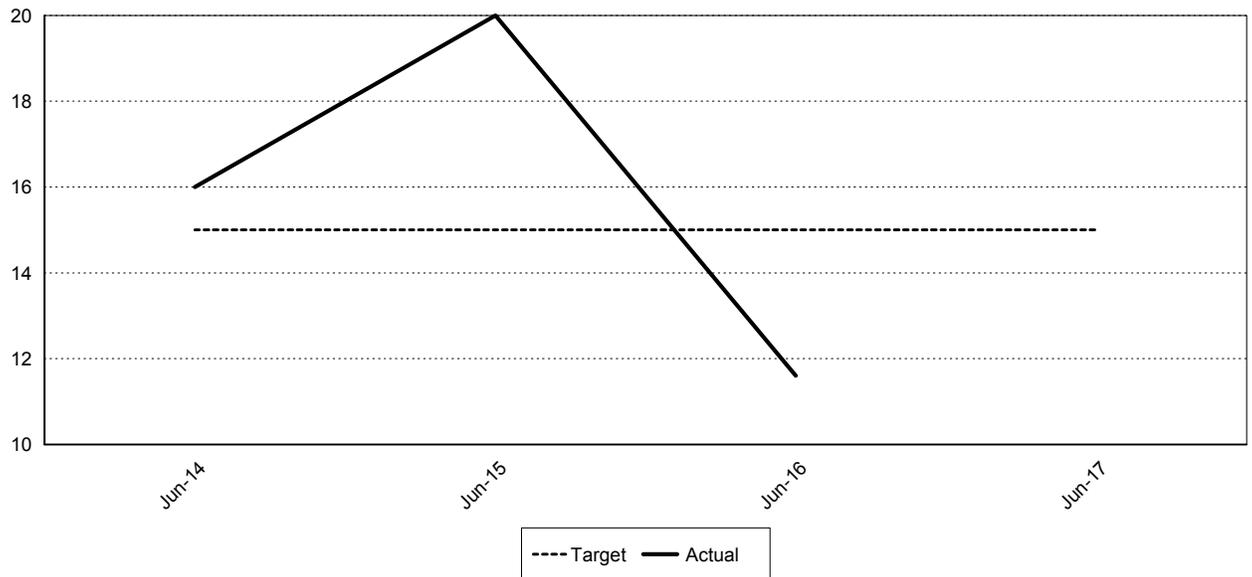


002482 Percentage of students demonstrating, through pre and post instruction testing, increased financial knowledge after completing a financial education curriculum.

Biennium	Period	Actual	Target
2015-17	A3		15%
	A2	11.6%	15%
2013-15	A3	20%	15%
	A2	16%	15%

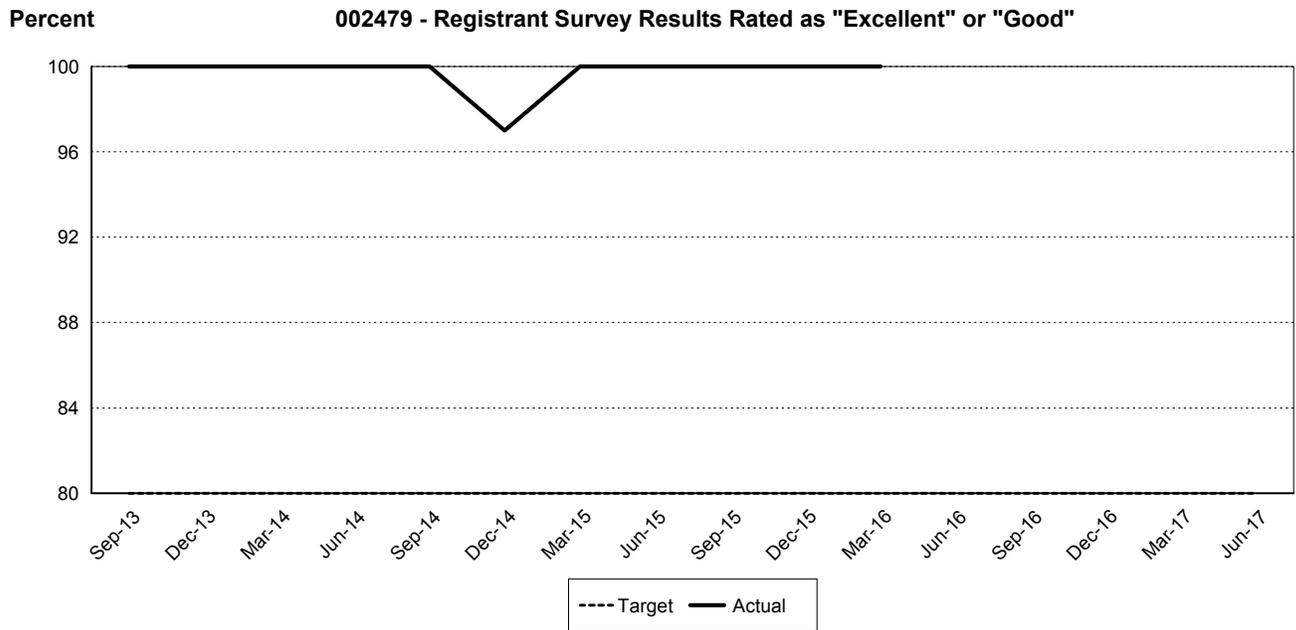
Appropriation Period: 2015-17 Activity Version: 2D - 2016 Supplemental 1 Recast Sort By: Activity

Percent 002482 - Percentage of Students Demonstrating Increased Financial Knowledge



002479 Percentage of survey results received from industry registrants that rated DFI's technical assistance visit as "Excellent" or "Good".			
Biennium	Period	Actual	Target
2015-17	Q8		80%
	Q7		80%
	Q6		80%
	Q5		80%
	Q4		80%
	Q3	100%	80%
	Q2	100%	80%
	Q1	100%	80%
2013-15	Q8	100%	80%
	Q7	100%	80%
	Q6	97%	80%
	Q5	100%	80%
	Q4	100%	80%
	Q3	100%	80%
	Q2	100%	80%
	Q1	100%	80%

Appropriation Period: 2015-17 Activity Version: 2D - 2016 Supplemental 1 Recast Sort By: Activity



A004 Enforcement

The Department conducts various types of supervisory, surveillance, and enforcement activities to detect and take corrective action for violations of the regulatory and anti-fraud statutes applicable to financial institutions. Activities include processing complaints, doing investigations, and taking appropriate actions against banks, credit unions, and other financial entities. Additional enforcement functions include coordination and assistance to other law enforcement agencies and prosecutors and providing testimony in courts of law.

Account	FY 2016	FY 2017	Biennial Total
FTE	47.7	47.7	47.7
300 Financial Services Regulation Account			
300-6 Non-Appropriated	\$6,036,000	\$6,191,000	\$12,227,000
07A Mortgage Lending Fraud Prosecution Account			
07A-6 Non-Appropriated	\$500,000	\$500,000	\$1,000,000
06J Securities Prosecution Account			
06J-6 Non-Appropriated	\$106,000	\$105,000	\$211,000

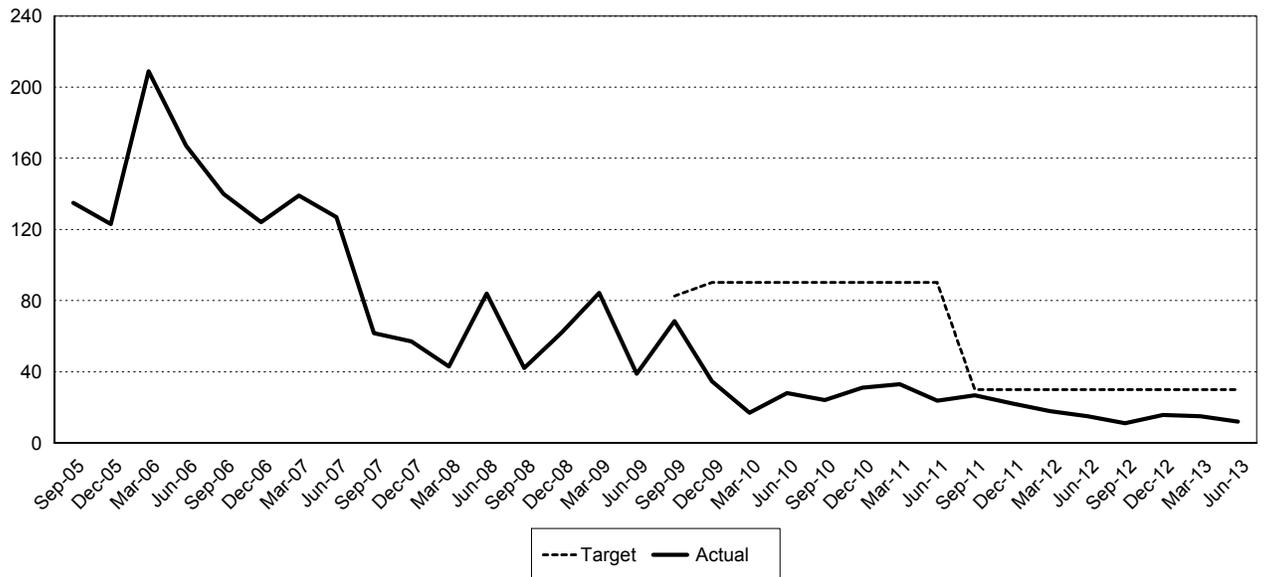
Statewide Result Area: **Prosperous Economy**
 Statewide Strategy: **Provide consumer protection**

Expected Results

Appropriation Period: 2015-17 Activity Version: 2D - 2016 Supplemental 1 Recast Sort By: Activity

000753 Average number of business days to review consumer complaints. Enhance protection for consumers engaging in investments and other financial transactions.			
Biennium	Period	Actual	Target
2011-13	Q8	12	30
	Q7	15	30
	Q6	15.7	30
	Q5	11	30
	Q4	15	30
	Q3	17.8	30
	Q2	22.1	30
	Q1	26.7	30

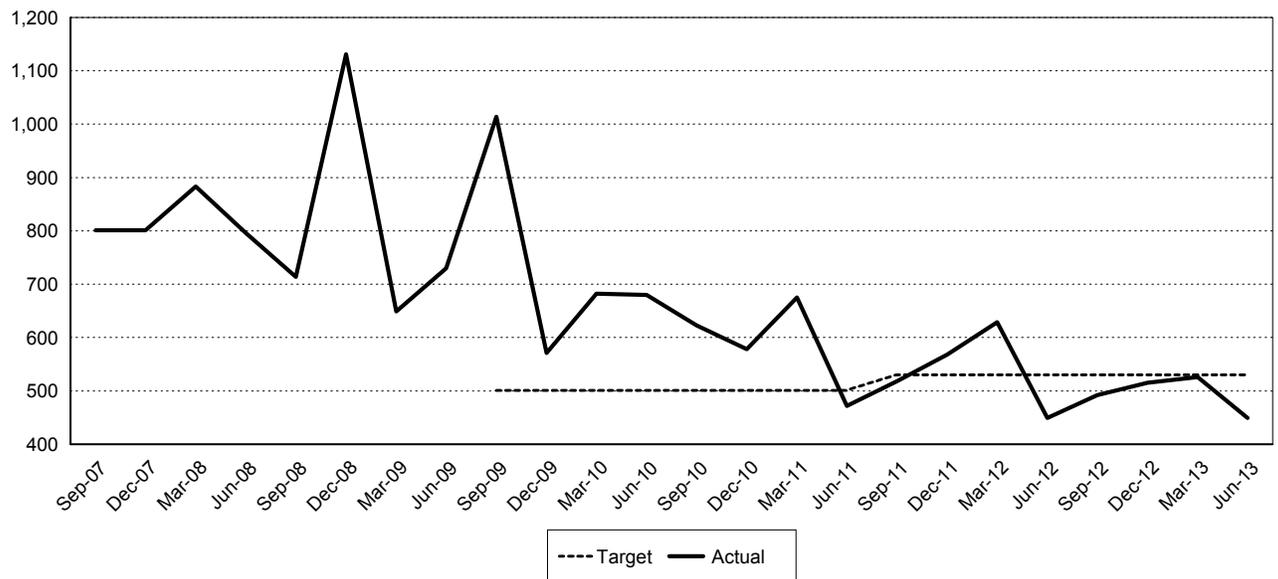
Number 000753 - Days to Review Consumer Complaints



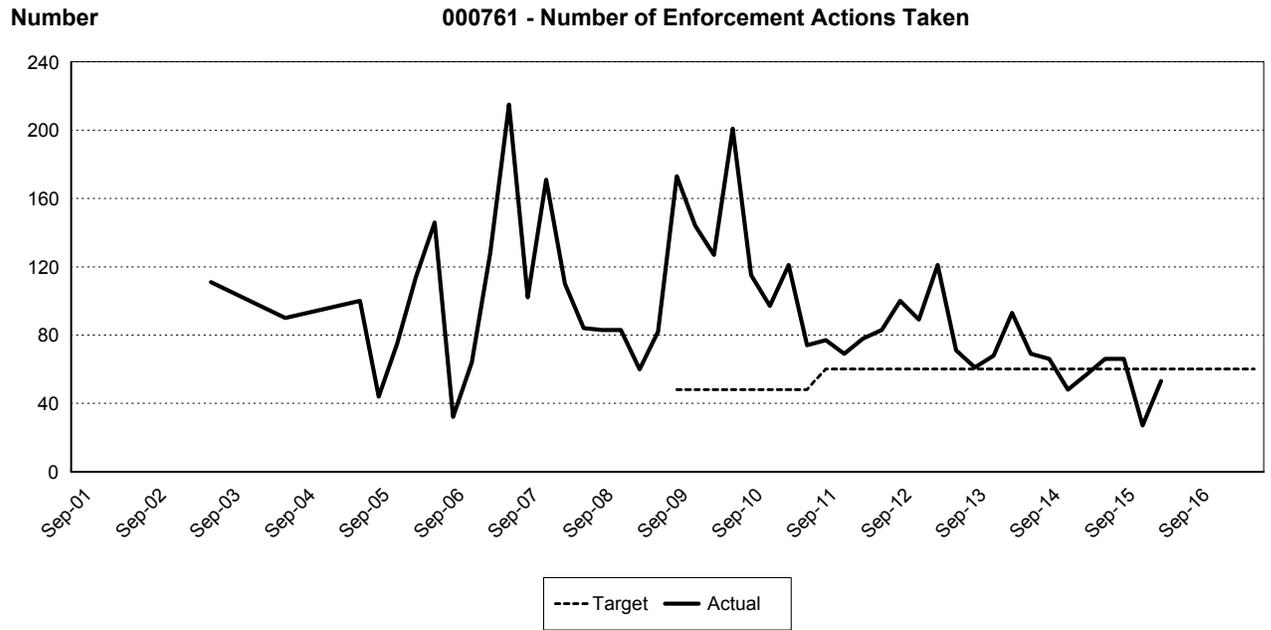
000762 Number of Complaints Received Per Quarter.			
Biennium	Period	Actual	Target
2011-13	Q8	449	530
	Q7	526	530
	Q6	515	530
	Q5	492	530
	Q4	449	530
	Q3	629	530
	Q2	568	530
	Q1	518	530

Appropriation Period: 2015-17 Activity Version: 2D - 2016 Supplemental 1 Recast Sort By: Activity

Number **000762 - Number of Complaints Received Per Quarter**



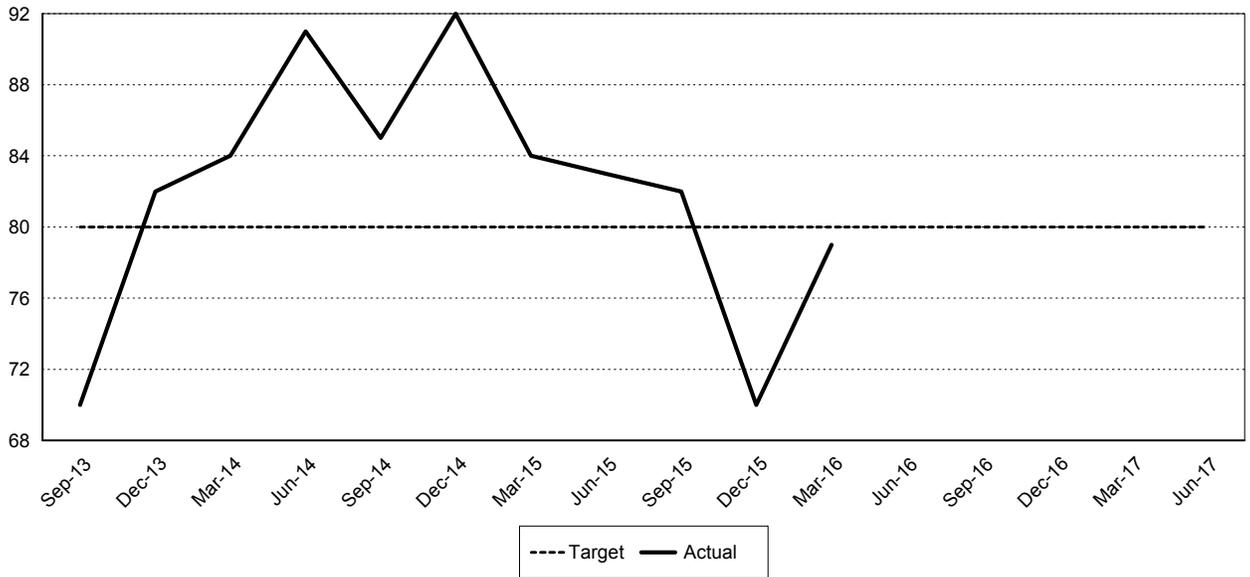
000761 Number of Enforcement Actions Taken Per Quarter.			
Biennium	Period	Actual	Target
2015-17	Q8		60
	Q7		60
	Q6		60
	Q5		60
	Q4		60
	Q3	53	60
	Q2	27	60
	Q1	66	60
2013-15	Q8	66	60
	Q7	57	60
	Q6	48	60
	Q5	66	60
	Q4	69	60
	Q3	93	60
	Q2	68	60
	Q1	61	60
2011-13	Q8	71	60
	Q7	121	60
	Q6	89	60
	Q5	100	60
	Q4	83	60
	Q3	78	60
	Q2	69	60
	Q1	77	60



Appropriation Period: 2015-17 Activity Version: 2D - 2016 Supplemental 1 Recast Sort By: Activity

002481 Percentage of complaints that are closed or moved to investigation within 90 days.			
Biennium	Period	Actual	Target
2015-17	Q8		80%
	Q7		80%
	Q6		80%
	Q5		80%
	Q4		80%
	Q3	79%	80%
	Q2	70%	80%
	Q1	82%	80%
2013-15	Q8	83%	80%
	Q7	84%	80%
	Q6	92%	80%
	Q5	85%	80%
	Q4	91%	80%
	Q3	84%	80%
	Q2	82%	80%
	Q1	70%	80%

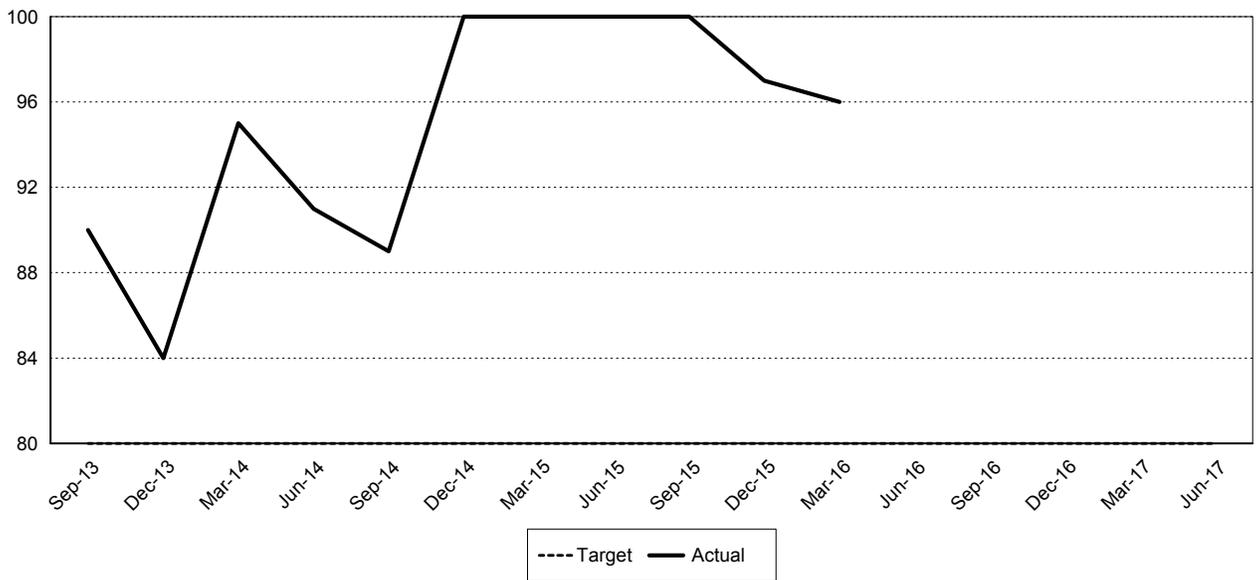
Percent 002481 - Percentage of Complaints That Are Closed or Moved to Investigation Within 90 Days.



Appropriation Period: 2015-17 Activity Version: 2D - 2016 Supplemental 1 Recast Sort By: Activity

002480 Percentage of consumer complaints closed within 60 calendar days of receipt.			
Biennium	Period	Actual	Target
2015-17	Q8		80%
	Q7		80%
	Q6		80%
	Q5		80%
	Q4		80%
	Q3	96%	80%
	Q2	97%	80%
	Q1	100%	80%
2013-15	Q8	100%	80%
	Q7	100%	80%
	Q6	100%	80%
	Q5	89%	80%
	Q4	91%	80%
	Q3	95%	80%
	Q2	84%	80%
	Q1	90%	80%

Percent 002480 - Percentage of Consumer Complaints Closed Within 60 Days



A005 Examinations

Appropriation Period: 2015-17 Activity Version: 2D - 2016 Supplemental 1 Recast Sort By: Activity

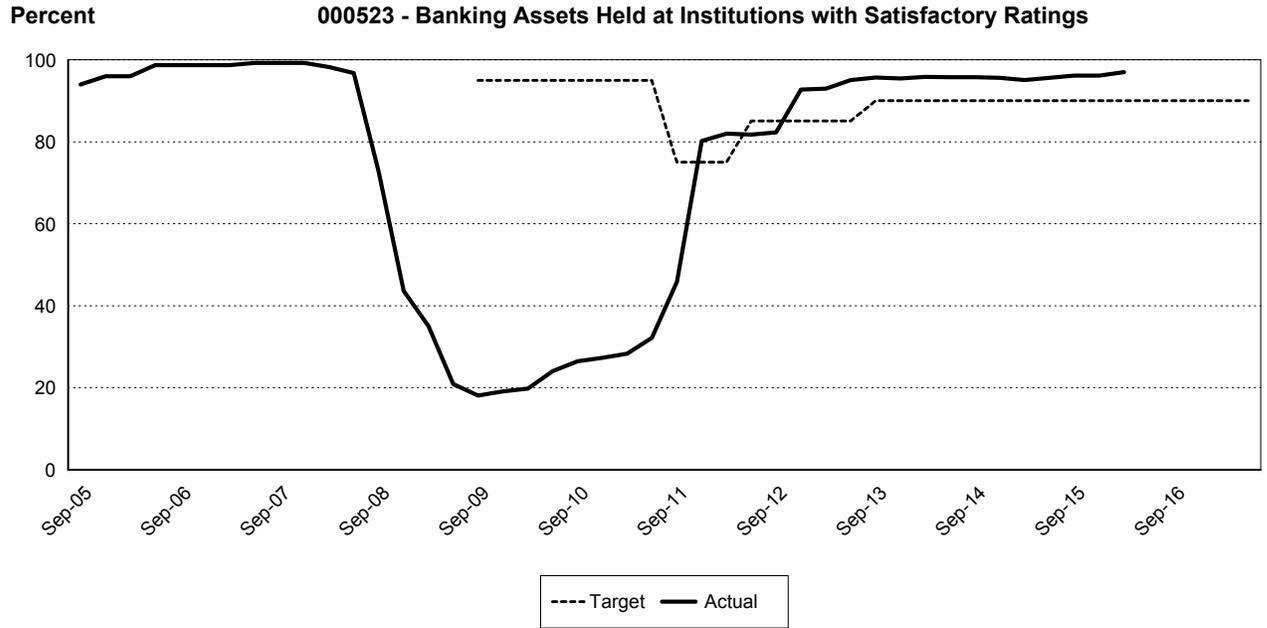
The department performs several types of examinations. The three primary examinations are compliance and for-cause examinations of financial entities; safety and soundness examinations of banks, credit unions, debenture companies, money transmitters, trust companies, Small Business Association (SBA) lenders, and industrial development corporations; and information system examinations of banks and credit unions.

Account	FY 2016	FY 2017	Biennial Total
FTE	112.3	112.0	112.2
300 Financial Services Regulation Account			
300-6 Non-Appropriated	\$13,977,000	\$14,584,000	\$28,561,000

Statewide Result Area: Prosperous Economy
Statewide Strategy: Regulate the economy to ensure fairness, security and efficiency

Expected Results

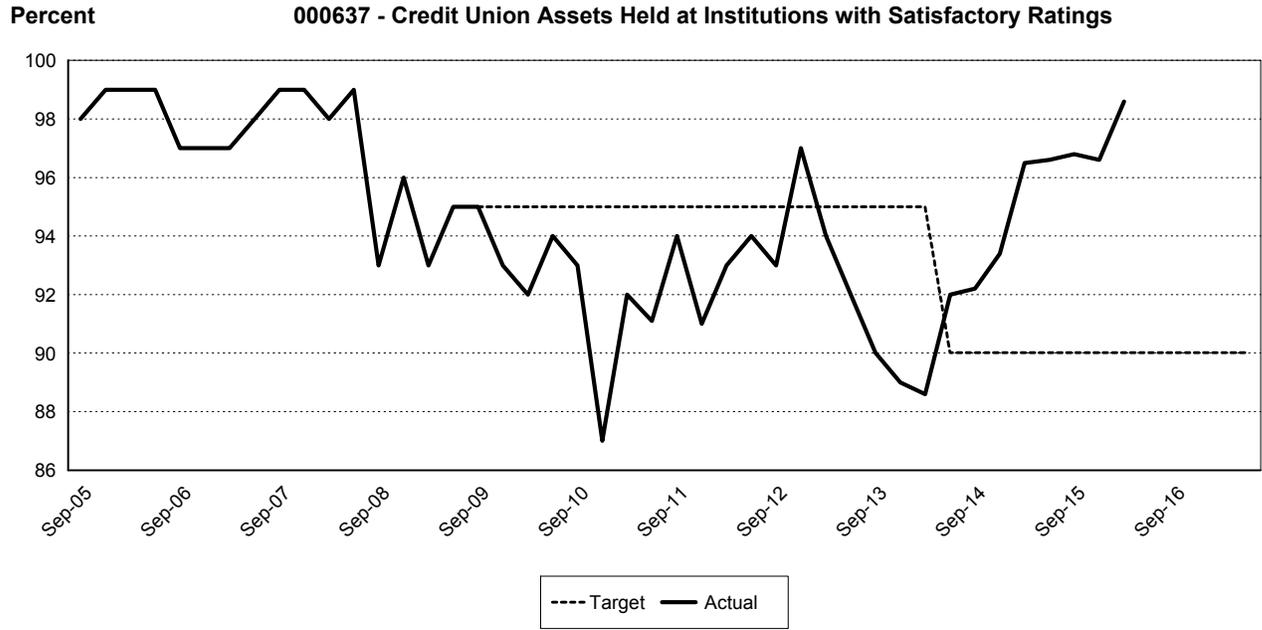
000523 Percentage of banking assets held at institutions with satisfactory ratings.			
Biennium	Period	Actual	Target
2015-17	Q8		90%
	Q7		90%
	Q6		90%
	Q5		90%
	Q4		90%
	Q3	97%	90%
	Q2	96.2%	90%
	Q1	96.2%	90%
2013-15	Q8	95.6%	90%
	Q7	95.1%	90%
	Q6	95.6%	90%
	Q5	95.8%	90%
	Q4	95.8%	90%
	Q3	95.9%	90%
	Q2	95.5%	90%
	Q1	95.7%	90%
2011-13	Q8	95.1%	85%
	Q7	93%	85%
	Q6	92.8%	85%
	Q5	82.3%	85%
	Q4	81.8%	85%
	Q3	82%	75%
	Q2	80.2%	75%
	Q1	45.9%	75%



Appropriation Period: 2015-17 Activity Version: 2D - 2016 Supplemental 1 Recast Sort By: Activity

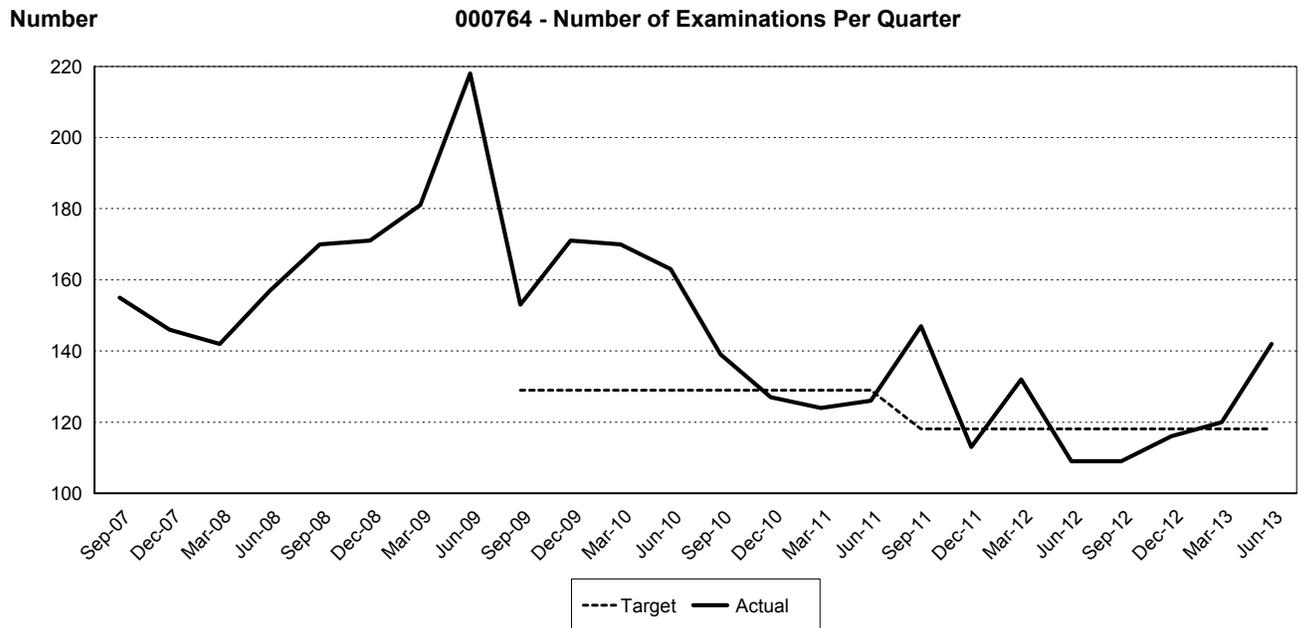
000637 Percentage of credit union assets held at institutions with satisfactory ratings.			
Biennium	Period	Actual	Target
2015-17	Q8		90%
	Q7		90%
	Q6		90%
	Q5		90%
	Q4		90%
	Q3	98.6%	90%
	Q2	96.6%	90%
	Q1	96.8%	90%
2013-15	Q8	96.6%	90%
	Q7	96.5%	90%
	Q6	93.4%	90%
	Q5	92.2%	90%
	Q4	92%	90%
	Q3	88.6%	95%
	Q2	89%	95%
	Q1	90%	95%
2011-13	Q8	92%	95%
	Q7	94%	95%
	Q6	97%	95%
	Q5	93%	95%
	Q4	94%	95%
	Q3	93%	95%
	Q2	91%	95%
	Q1	94%	95%

Appropriation Period: 2015-17 Activity Version: 2D - 2016 Supplemental 1 Recast Sort By: Activity



000764 Number of examinations per quarter.			
Biennium	Period	Actual	Target
2011-13	Q8	142	118
	Q7	120	118
	Q6	116	118
	Q5	109	118
	Q4	109	118
	Q3	132	118
	Q2	113	118
	Q1	147	118

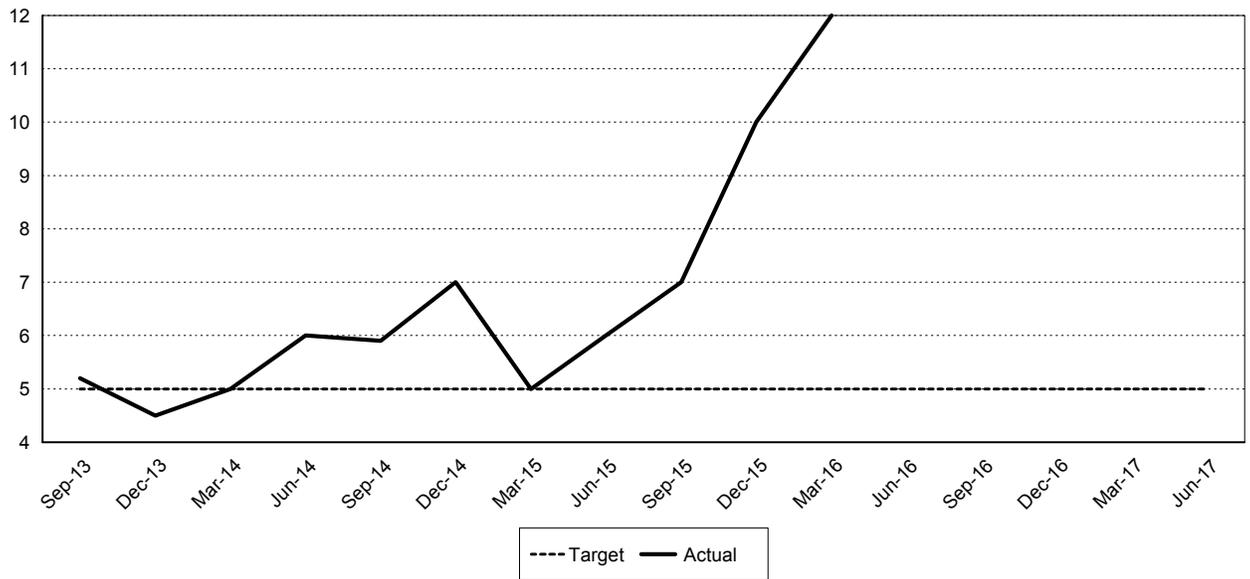
Appropriation Period: 2015-17 Activity Version: 2D - 2016 Supplemental 1 Recast Sort By: Activity



002477 Percentage of consumer services licensees examined per quarter.			
Biennium	Period	Actual	Target
2015-17	Q8		5%
	Q7		5%
	Q6		5%
	Q5		5%
	Q4		5%
	Q3	12%	5%
	Q2	10%	5%
	Q1	7%	5%
2013-15	Q8	6%	5%
	Q7	5%	5%
	Q6	7%	5%
	Q5	5.9%	5%
	Q4	6%	5%
	Q3	5%	5%
	Q2	4.5%	5%
	Q1	5.2%	5%

Appropriation Period: 2015-17 Activity Version: 2D - 2016 Supplemental 1 Recast Sort By: Activity

Percent 002477 - Percentage of DFI's Consumer Services Division Licensees Examined Per Quarter



Grand Total

	FY 2016	FY 2017	Biennial Total
FTE's	198.9	198.6	198.8
GFS	\$0	\$0	\$0
Other	\$25,534,000	\$26,259,000	\$51,793,000
Total	\$25,534,000	\$26,259,000	\$51,793,000

Appropriation Period: 2015-17 Activity Version: 2D - 2016 Supplemental 1 Recast Sort By: Activity

<u>Parameter</u>	<u>Entered As</u>
Budget Period	2015-17
Agency	102
Version	2D - 2016 Supplemental 1 Recast
Result Area	All Result Areas
Activity	All Activities
Program	All Programs
Sub Program	All Sub Programs
Account	All Accounts
Expenditure Authority Type	All Expenditure Authority Types
Theme	All
Sort By	Activity
Display All Account Types	Yes
Include Policy Level	Yes
Include Activity Description	Yes
Include Statewide Result Area	Yes
Include Statewide Strategy	Yes
Include Expected Results Text	Yes
Include Charts	Yes
Chart Type	Line
Include Parameter Selections	Yes
Version Source	OFM