



New Mexico Regulation and Licensing Department

Robert “Mike” Unthank, Superintendent

Legislative Finance Committee

Senator John Arthur Smith, Chairman

Representative Jimmie C. Hall, Vice Chairman



Regulation & Licensing Accomplishments

- RLD agency General Fund revenue for FY 16 - \$37.3 Million
- RLD appropriated General Fund budget for FY 16 - \$13.4 Million
- Overall agency vacancy rate of 18%
- RLD consists of six (6) divisions including Boards and Commissions which is comprised of 53 boards, commissions and funds
- RLD agency total active licensees – 460,424
- RLD currently has MOU's with the Nursing, Medical, Engineering and Gaming Control boards to provide IT services and support for their licensing activities
- Agency has implemented a fully functional disaster recovery program



Board and Commissions Accomplishments

- 30 Boards & Commissions
 - 121,206 Licensees
 - 376 Complaints
 - 32 NCAs Issued
 - 140 NCAs Pending
- Senate Bill 263
 - The medical professional licensing boards adopted rule changes that fully implements the states reporting into The Prescription Monitoring Program (PMP).
 - PMP now capturing VA and Indian Health Services
- We have aggressively placed numerous boards for online licensure and renewals



Securities Accomplishments

- General Fund Revenue
 - \$22.1 million generated by licensing, mutual funds filings, renewals and examination fees are stable and increased by \$2.2 million year over year
- The Securities Division's investor outreach program has expanded with a focus on elder financial exploitation
 - Developing material to provide free continuing education to Bankers, Lawyers, Certified Public Accounts, and Pharmacists, to detect and report incidents of elder financial exploitation
- The Division has initiated a collaborative agreement (MOU) with Aging and Long Term Services
 - Providing additional resources to address incidents of financial exploitation.
 - SEC has agreed to assist ALTSD by investigating and/or prosecuting referrals of financial exploitation
- Investor education program is a model for other states
 - Leader received a national award for her efforts in this area



AGD Accomplishments

- General Fund revenue
 - \$4 million generated by new licenses, license renewals and fines
 - Increase of \$400,000 year over year
- Industry growth over FY16:
 - Issued
 - 38 restaurant beer & wine licenses
 - 17 new small brewers
 - 4 new winegrowers
 - 1 fraternal club
 - 4 governmental
 - 3 wholesaler licenses
- Industry compliance over FY16:
 - Issued/received
 - 540 citations
 - resolved 444
 - resulting in collection of \$454,990 in fines
- Implemented on-line renewals for liquor licensees



FID Accomplishments

- General Fund revenues
 - \$3.47 Million generated by licensees, fees, and fines
- During the 2016 Legislative session
 - Passage of the Uniform Money Services Act – Licensing of money services industry
- The Division completed 844 examinations of state chartered financial institutions and licensed financial entities.
- The Division issued 2,428 new licenses in FY 16
 - A large increase in mortgage loan originators
 - Also includes new mortgage companies and collection agencies
- The Division renewed 8,360 licenses in FY 16
 - This includes renewals from collection agencies, and agency branches, small loan companies, mortgage companies, mortgage loan originators and escrow licenses



CID/MHD Accomplishments

- General Fund Revenue
 - \$7.18 Million generated from Licensing, fees and fines
 - An increase of \$1.5 Million due to the new Accela software
 - Decommissioned old permitting system
- CID has completed approximately 51,952 inspections to date this fiscal year
- MHD has completed approximately 5,295 inspections to date this fiscal year
- Multi-discipline license
 - 27 inspectors successfully went through the certification process of training and testing to become multi-discipline inspectors
 - Those 27 inspectors combined achieved 41 new inspector certifications
- CID reduced licensing classifications & scopes



RLD General Fund Revenues

Program	Division	FY14	FY15	FY16	FY 15 / FY 16 Revenue Difference
P599	Construction Industries	4,407,019	6,138,473	7,657,490	1,519,017
P600	Financial Institutions	3,208,678	3,433,408	3,470,729	37,321
P601	Alcohol & Gaming	3,833,393	3,614,205	4,037,770	423,565
P617	Securities	20,550,015	19,870,210	22,104,065	2,233,855
Total General Fund Revenue per Fiscal Year		\$ 31,999,104	\$ 33,056,295	\$ 37,272,070	\$ 4,215,776



RLD Reversions

- Request for RLD to maximize FY16 reversion for the benefit of the states budget
 - Increased FY 16 Reversions by \$338,146

Program	Division	FY14	FY15	FY16	FY 15 / FY 16 Reversion Difference
P599	Construction Industries	10,000	30,777	65,212	34,435
P600	Financial Institutions	85,036	0	76,080	57,002
P601	Alcohol & Gaming	30,970	6,852	36,169	29,317
P602	Program Support	39,862	8,781	76,419	67,638
P617	Securities	n/a	19,078	149,754	149,754
Total Reversion Amount per Fiscal Year		\$ 165,868	\$ 65,488	\$ 403,635	\$ 338,146



Current Agency Vacancy Rate

- Current Overall Agency vacancy rate is 18%
- Agency increased vacancy rate from November 2015 thru November 2016 by 2%.

Program	Budgeted FTE	Vacancies November 18, 2015	Vacancies November 10, 2016	Nov 2015 - Nov 2016 Vacancy Difference	Current Vacancy Rate
Construction Industries	118	14	17	2%	14%
Financial Institutions	34	8	7	(4%)	21%
Securities	25	10	9	(4%)	36%
Alcohol & Gaming	15	4	3	(7%)	20%
Program Support	34	4	7	8%	21%
Boards and Commissions	83.4	10	13	4%	16%
Total	309.4	50	56	2%	18%



FY 18 Appropriation Request Highlights

- Agency reduced Appropriation Request by 5% of the FY17 Operating Budget
 - Will hold vacancies longer
 - Hold key senior positions vacant
 - To ensure divisions have the ability to fill key positions

RLD	Division	FY 17 OpBud	FY 17 OpBud W/ 5.5% Reduction	FY 18 Adjusted Request with 5% Cut	Difference
P599	Construction Industries Division	8,250.2	7,796.0	7,827.7	(422.3)
P600	Financial Industries Division	1,059.3	1,001.0	1,059.3	0.0
P601	Alcohol & Gaming Division	922.8	872.0	922.8	0.0
P602	Program Support Division	1,377.2	1301.5	1,324.5	(52.7)
P617	Securities Division	1,036.5	979.5	828.5	(208.0)
P616	Boards and Commissions Division	415.7	392.9	445.6	-
Total		13,061.7	12,343.3	12,408.4	(653.3)