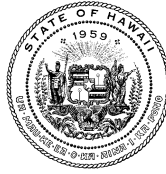


DAVID Y. IGE
GOVERNOR



DEPT. COMM. NO. 130

CURT T. OTAGURO
COMPTROLLER

AUDREY HIDANO
DEPUTY COMPTROLLER

**STATE OF HAWAII
DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES**

P.O. BOX 119, HONOLULU, HAWAII 96810-0119

December 7, 2020

VIA ELECTRONIC MAIL

The Honorable Ronald D. Kouchi,
President and Members of the Senate
Thirty-First State Legislature
State Capitol, Room 409
Honolulu, Hawaii 96813

The Honorable Scott K. Saiki, Speaker
and Members of the House of
Representatives
Thirty-First State Legislature
State Capitol, Room 431
Honolulu, Hawaii 96813

Dear President Kouchi, Speaker Saiki, and Members of the Legislature:

For your information and consideration, I am transmitting a copy of the State of Hawaii Department of Accounting and General Services Annual Report on Goals and Objectives for the Period July 1, 2019 through June 30, 2020, pursuant to Act 100, Session Laws of Hawaii 1999, Part II. In accordance with Section 93-16, Hawaii Revised Statutes, a copy of this report has been transmitted to the Legislative Reference Bureau and the report may be viewed electronically at: <http://ags.hawaii.gov/reports/legislative-reports/>.

Sincerely,

A handwritten signature in black ink, appearing to read "C. Otaguro".

CURT T. OTAGURO
Comptroller

Enclosure

STATE OF HAWAII
DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES
ANNUAL REPORT ON GOALS AND OBJECTIVES
FOR THE PERIOD JULY 1, 2019 THROUGH JUNE 30, 2020

SUBMITTED TO
THE THIRTY-FIRST STATE LEGISLATURE
IN RESPONSE TO ACT 100, SLH 1999, PART II

**STATE OF HAWAII
DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES**

ANNUAL REPORT ON GOALS AND OBJECTIVES

January 2021

**Submitted to the Thirty-First State Legislature
(As required by Act 100, SLH 1999, Part II)**

The goal of the Department of Accounting and General Services (DAGS) is to strive for quality and consistency in the delivery of essential support services to other state departments and agencies. The department's activities reflect a continuing commitment towards cost efficiency, productivity, relevancy and timeliness of services.

Individual program goals, objectives, policies and action plans follow in this annual report for the twenty-seven programs comprising DAGS. Every program has also identified performance measurements in the following key areas: customer satisfaction, program standard and cost effectiveness. In addition, all programs have included their past year accomplishments. The 27 DAGS programs are as follows:

Government-Wide Support

AGS 101	Accounting System Development and Maintenance
AGS 102	Expenditure Examination
AGS 103	Recording and Reporting
AGS 104	Internal Post Audit
AGS 111	Archives-Records Management
AGS 130	Enterprise Technology Services – Governance and Innovation
AGS 131	Enterprise Technology Services –Operations and Infrastructure Maintenance
AGS 203	State Risk Management and Insurance Administration
AGS 211	Land Survey
AGS 221	Public Works-Planning, Design and Construction
AGS 223	Office Leasing
AGS 231	Central Services-Custodial
AGS 232	Central Services-Grounds Maintenance
AGS 233	Central Services-Building Repairs and Alterations
AGS 240	State Procurement
AGS 244	Surplus Property Management
AGS 251	Automotive Management-Motor Pool
AGS 252	Automotive Management-Parking Control
AGS 871	Campaign Spending Commission
AGS 879	Office of Elections
AGS 891	Enhanced 911 Board
AGS 901	General Administrative Services

Formal Education

AGS 807 School Repair and Maintenance-Neighbor Island Districts

Culture and Recreation

AGS 818 King Kamehameha Celebration Commission

AGS 881 State Foundation on Culture and the Arts

AGS 889 Spectator Events and Shows-Aloha Stadium

Individual Rights

AGS 105 Enforcement of Information Practices

In support of a continuing improvement effort, the Comptroller as head of the department welcomes any questions or comments regarding any of the DAGS program's goals and objectives.

GOVERNMENT-WIDE SUPPORT

AGS 101	Accounting System Development and Maintenance
AGS 102	Expenditure Examination
AGS 103	Recording and Reporting
AGS 104	Internal Post Audit
AGS 111	Archives-Records Management
AGS 130	Enterprise Technology Services – Governance and Innovation
AGS 131	Enterprise Technology Services –Operations and Infrastructure Maintenance
AGS 203	State Risk Management and Insurance Administration
AGS 211	Land Survey
AGS 221	Public Works-Planning, Design, and Construction
AGS 223	Office Leasing
AGS 231	Central Services-Custodial
AGS 232	Central Services-Grounds Maintenance
AGS 233	Central Services-Building Repairs and Alterations
AGS 240	State Procurement
AGS 244	Surplus Property Management
AGS 251	Automotive Management-Motor Pool
AGS 252	Automotive Management-Parking Control
AGS 871	Campaign Spending Commission
AGS 879	Office of Elections
AGS 891	Enhanced 911 Board
AGS 901	General Administrative Services

FORMAL EDUCATION

AGS 807 School Repair and Maintenance-Neighbor Island Districts

CULTURE AND RECREATION

AGS 818	King Kamehameha Celebration Commission
AGS 881	State Foundation on Culture and the Arts
AGS 889	Spectator Events and Shows-Aloha Stadium

INDIVIDUAL RIGHTS

AGS 105 Enforcement of Information Practices

DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES
ANNUAL REPORT ON GOALS, OBJECTIVES AND POLICIES

January 2021

Program ID/Title: AGS-101/Accounting System Development and Maintenance

Contact Person/Phone: Bryan Shigezawa/586-0613

I. Goal

The goal of the program is to satisfy the following requirements:

- A. Making changes and modifications in the accounting system (including the design and implementation of an adequate system of internal controls to encompass the changes or modifications in the accounting system) that appears to be in the best interest of the State and counties, as promulgated by Section 40-2 of the Hawaii Revised Statutes (HRS).
- B. Determining the forms required to adequately supply accounting data for the State government, maintaining the applicability, relevancy and uniformity (i.e., classification, numbering and standardization of such forms in terms of design, dimension, color and grade of paper) of accounting forms in Statewide use, and recording such forms in a catalogue of Statewide accounting forms, as promulgated by Section 40-6 of the HRS.
- C. Providing the only cost efficient and feasible means of developing and implementing changes or modifications in the Statewide Accounting System (which includes the Financial Accounting and Management Information System or FAMIS, Payroll System, Central Warrant Writing System, Warrant Reconciliation System, and Financial Datamart) to enhance or improve the functionality and/or internal controls of the system.

II. Objectives and Policies

- A. Systems Development and Implementation - Develop and implement new Statewide accounting applications and/or major enhancements to existing Statewide accounting applications to correct accounting deficiencies (i.e., non-compliance with Generally Accepted Accounting Principles or GAAP), improve operational efficiency by providing accounting applications with greater functionality or improved capabilities, and comply with changes in applicable State and Federal laws, and management policies.
- B. Systems Maintenance - Maintain existing Statewide accounting applications to improve operational efficiency and/or usability through continued monitoring of the system's performance in providing useful and timely information, and collaboration with users on a Statewide basis to identify, develop and implement system

modifications due to changes in applicable State or Federal laws, or management policies that will benefit all system users.

- C. Statewide Accounting Controls - Establish and maintain proper internal control over Statewide accounting functions through the use of Statewide Accounting Manuals to safeguard assets against loss or waste, and provide reasonable assurance that the financial information generated from the Statewide Accounting System can be relied upon to fairly present the financial position of the State for a given accounting period by prescribing the accounting policies of the State and standardizing the accounting methods and practices of the State.

This function also controls the content, format, flow and timing of accounting information required by applications comprising the Statewide Accounting System using Statewide Accounting Forms (SAFORMs). Use of standardized accounting forms promotes operational efficiency through maintenance of applicable, uniform and consistent information.

III. Action Plan with Timetable

A. Objective/Policy #1 - Systems Development and Implementation

- 1. Required Actions – The following major actions/tasks are usually required to develop and implement new Statewide accounting applications and/or major enhancements to existing Statewide accounting applications to correct accounting deficiencies. Custom software is developed only when the purchased software cannot properly satisfy the requirements of the new system, and interfaces are developed only when the new system is required to share data with other systems.
 - a. Project Management of State Resources
 - b. System Scope and Requirements Definition
 - c. Purchased Software Installation, Configuration, and Testing
 - d. Gap Analysis and System Functional Design Development
 - e. System Process and Document Re-engineering
 - f. Custom Software Requirements Definition, Programming, and Testing
 - g. System Interface Requirements Definition, Programming, and Testing
 - h. User Manual and Training Documentation Development

- i. User Training
 - j. Pilot Implementation
 - k. Statewide Deployment
2. Implementation Timetable
- a. Statewide Time and Attendance Modernization Project – involves replacing the existing Time and Attendance System.
 - (1) Past Year Accomplishment

Participated in the implementation and post-implementation transition activities for the initial rollout of the new Time and Attendance System.
 - (2) One Year

Participate in the remaining implementation and transition activities of the new Time and Attendance System.
 - (3) Two Year

Participate in the maintenance and support activities of the Time and Attendance System.
 - (4) Five Year

Participate in the maintenance and support activities of the Time and Attendance System.
 - b. New Financial System Project – involves replacing the existing Financial Systems.
 - (1) Past Year Accomplishment

Participated in the development of a Unified Chart of Accounts for the entire State and identifying requirements to be included in the Request for Proposal (RFP) for the new Financial System.
 - (2) One Year

Participate in the evaluation of proposals and selection of the new Financial System. Assist in the design and development of the new Financial System.
 - (3) Two Year

Continue participation in implementation activities for the new Financial System.

(4) Five Year

Participate in the maintenance and support activities for the new Financial System.

c. Financial Datamart System

(1) Past Year Accomplishment

Enhancements were made to improve the efficiency of the Financial Datamart system and provide improved functionality for the departments.

(2) One Year

Continue enhancing the Financial Datamart system by improving system performance and providing more data and functionality for the departments.

(3) Two Year

Continue maintenance of the Financial Datamart system to ensure system performance and providing required functionality for the departments. Enhancements will be evaluated considering the functionality and readiness of the new Financial System so that data continues to be correctly reflected in Datamart.

(4) Five Year

Continue maintenance of the Financial Datamart system to ensure system performance and providing required functionality for the departments if needed.

B. Objective/Policy #2 - Systems Maintenance

1. Required Actions – The following systems maintenance functions are required to maintain all Statewide accounting applications:
 - a. User Support
 - b. System Modification and Enhancement
 - c. System Analysis and Re-engineering
2. Implementation Timetable
 - a. Check Image Storage and Retrieval System
 - (1) Past Year Accomplishment

Enhanced the Check Image Storage and Retrieval System needed for the reconciliation process of checks issued by the Comptroller.
 - (2) One Year

Continue enhancing the Check Image Storage and Retrieval System by improving system performance.
 - (3) Two Year

Continue enhancing the Check Image Storage and Retrieval System by improving system performance.
 - (4) Five Year

Continue enhancing the Check Image Storage and Retrieval System by improving system performance.
 - b. User Support for Statewide Accounting System

Assist and support all users of the Statewide Accounting System (which includes FAMIS, Payroll System, Central Warrant Writing System, Warrant Reconciliation System, and Financial Datamart). These are ongoing activities and are applicable to all year categories – past year, one year, two year and five years.

c. Systems Maintenance and Enhancement

Provide ongoing systems maintenance, trouble shooting and resolving problems, and making necessary improvements to the Statewide Accounting System.

These are ongoing activities and are applicable to all year categories – past year, one year, two year and five years.

C. Objective/Policy #3 – Statewide Accounting Controls

1. Required Actions

a. Statewide Accounting Controls are required to ensure that the accounting policies and procedures of the State:

- (1) Comply with the Generally Accepted Accounting Principles (GAAP) and pronouncements from GASB.
- (2) Include adequate accounting controls for all Statewide accounting applications.
- (3) Reflect management's expressed authorization about the treatment of a given accounting event and processing of accounting transactions related to that event.

b. The three areas of Statewide Accounting Controls are:

- (1) Statewide Accounting Manual Revisions
- (2) Other User Manual Revisions
- (3) Forms Control

2. Implementation Timetable

a. Past year Accomplishment

Revised existing PDF SAFORMS into savable format and placed them on the State's Form Central web site, which can now be used in place of preprinted forms.

b. One Year

Continue creating more single part and multipart SAFORMS in PDF fillable format and place them on the State's Form Central web site for departments to download and use. Revise existing PDF SAFORMS into a savable format.

c. Two Year

Continue creating more single part and multipart SAFORMS in PDF fillable format and place them on the State's Form Central web site for departments to download and use. Revise existing PDF SAFORMS into a savable format.

d. Five Year

Continue creating more single part and multipart SAFORMS in PDF fillable format and place them on the State's Form Central web site for departments to download and use. Revise existing PDF SAFORMS into a savable format.

IV. Performance Measures

- A. Customer Satisfaction measure – Key departments are involved with the development of new systems and/or major enhancements to existing systems to provide input into the design and functionality of the systems. Departments are also contacted periodically to inquire on needs and changes that would impact them.
- B. Program Standard measure – Percentage of projects completed for development of new Statewide accounting systems and enhancement/maintenance to existing Statewide accounting systems. Percentage of projects completed for maintenance of accounting manuals and forms.
- C. Cost Effectiveness measure – Greater utilization of the Statewide accounting systems. Expenditures not exceeding budget amounts.

DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES
ANNUAL REPORT ON GOALS, OBJECTIVES AND POLICIES

January 2021

Program ID/Title: AGS-102/Expenditure Examination

Contact Person/Phone: Lenora Fisher/586-0600

I. Goal

The primary goal of the program is to ensure that the State's payments conform to established standards of propriety and legality and are made promptly.

II. Objectives and Policies

- A. To ensure that payments conform to existing laws, administrative rules, executive orders, and are proper.
- B. To ensure that payments are made promptly, the program will explore various options that may expedite the payments to contractors, vendors, employees, and third party payees.

III. Action Plan with Timetable

- A. Objective/Policy #1 – The program has determined that knowledge of existing laws, administrative rules, and executive orders is not the standard in all departments due to staffing reductions and retirements.
 - 1. Required Action – The program will update training materials for contract processing.
 - a. Consult with State Procurement Office staff to confirm program's application of the Hawaii Administrative Rules as they pertain to source selection, use of HIePRO, etc.
 - b. Consult with the Department of Attorney General's staff responsible for contracts and contract forms for the purpose of replacing existing Comptroller's Memorandums related to contracts.
 - c. Consult and meet with the Department of Accounting and General Services Administrative staff to determine issues that should be addressed in the updating of the training materials.

2. Required Action – The program will review State and Federal laws for any changes to reporting requirements and will participate in the development and implementation of the new payroll, time and attendance and financial systems.
 - a. Determine if Comptroller’s Memorandums need to be issued to inform departments and agencies of any changes to implement any new requirements.
 - b. Determine if changes in reporting requirements involve form revisions to allow for new reporting requirements which would be met by AGS 101 – Accounting System Development and Maintenance Program.
 - c. Determine how current policies, procedures and processes will be impacted with the new payroll, time and attendance and financial systems.
3. Implementation Timetable
 - a. Past Year Accomplishment – The program has been reviewing problems/issues relating to contract processing. Due to staffing issues, the program has not completed its review. Participated in the go-live of the Time and Leave payroll modernization phase II and stabilization of the enterprise payroll system Hawaii Information Portal (HIP). Participated in the standardization of the Uniform Chart of Accounts (UCOA) to assist in the implementation of the new financial accounting system.
 - b. One Year – Consult with the Department of the Attorney General’s staff and review the revised contract forms to determine if any changes to contract encumbrance, payment and reporting procedures are required. Implement any changes and provide training as required with the implementation of the new payroll system. Participate in the development and implementation of the new time and attendance system and the procurement of the new financial accounting system.
 - c. Two Years –Participate in trainings and meetings with functional and operational process groups for the new financial accounting system.
 - d. Five Years – Perform global review of existing contract and vendor payment processing procedures to confirm existing laws, rules, and orders are being complied with and reporting procedures are met. Develop business processes for the new financial accounting system.
- B. Objective/Policy #2 – Prompt payment of the State’s contractors, vendors, third party payees, and State employees.

1. Required Actions – The program will continue to maintain five working day turnaround for the State’s contractors and vendors.
 - a. Determine whether current pre-audit procedures need to be revised for any changes impacting the program’s “Objective/Policy #1”and formulate changes that may be required by the new financial system.
 - b. Implement any changes in pre-audit procedures that do not negatively impact pre-audit’s responsibility.
2. Required Actions – The program will develop policies and procedures to accept electronic invoices. The program will also develop policies and procedures relating to acceptance of electronic signatures on contracts.
 - a. Determine how current pre-audit procedures will need to be revised for any changes due to the new payroll and probable financial systems.
 - b. Implement any changes in pre-audit procedures that do not negatively impact pre-audit’s responsibility and are required by the new payroll, Time and Attendance and accounting financial systems.
3. Implementation Timetable
 - a. Past Year Accomplishments – Released Comptroller’s Memorandums on updated compliance and revised business processes. Provided continuous training and reinforcements of new payroll processes and compliance through monthly Teams meetings.
 - b. One Year – Review and implement any changes resulting from the implementation of the new Time & Attendance program. Assist in the procurement and requirements for the new financial accounting system.
 - d. Two Years – Monitor and update business processes and provide training resulting from the implementation of the Time & Attendance program. Assist in the implementation of the new financial accounting system.
 - e. Five Years- Establish statewide payroll and payment policies and procedures and provide training for conformity for the payroll, Time & Leave and the new financial accounting system.

IV. Performance Measures

- A. Customer Satisfaction measure – Departmental personnel responsible for contracting and vouchering will be provided clear and consistent guidelines and hopefully reduce resubmission from rejected contracts and payments.

- B. Program Standard measure – Number of “Audit Correction Slips” issued after issuance of new policies and procedures. The Audit Correction Slip is a notification to the department to validate why the contract, vendor payment, forms, etc. were returned and could not be processed.
- C. Cost Effectiveness measure – Timely contract encumbrances and reduction in late interest payments. In addition, reduction of salary overpayments.

DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES
ANNUAL REPORT ON GOALS, OBJECTIVES AND POLICIES

January 2021

Program ID/Title: AGS-103/Recording and Reporting

Contact Person/Phone: Ladea Nash/586-0599

I. Goal

The program goal is the prompt and proper recording of the State's financial transactions. The goal includes the timely processing of documents and issuing of reports, including the publication of the State's Comprehensive Annual Financial Report.

II. Objectives and Policies

- A. #1 - The issuance of the State's Comprehensive Annual Financial Report (CAFR) in conformance with generally accepted accounting principles (GAAP). This also includes the submission of the State's CAFR to the Government Finance Officers Association of the United States and Canada (GFOA) Certificate of Achievement in Excellence in Financial Reporting program.
- B. #2 - Enhancements to the processing and accessing of financial information in the Financial Accounting and Management Information System (FAMIS), the State's official accounting system. The procurement and implementation of a new financial accounting system including the creation of a new Uniform Chart of Accounts.

III. Action Plan with Timetable

- A. Objective/Policy #1 - The issuance of the CAFR in conformance with GAAP.
 - 1. Required Action - Implementation of Governmental Accounting Standards Board Statements (GASB Statements) that require accrual basis government-wide financial statements including infrastructure capital assets, and depreciation of all capital assets except for land and land improvements.
 - 2. Past Year Accomplishments
 - a. Prepared FY 2019 CAFR including the government-wide accrual basis financial statements and the discussion and analysis of the financial statements. The FY 2019 CAFR was issued in December 2019.

- b. The State of Hawaii received the Government Finance Officers Association (GFOA) Certificate of Achievement for Excellence in Financial Reporting for the eighth consecutive year.
 - 3. One Year
 - a. Prepare FY 2020 CAFR under GASB Statements.
 - b. Continue accounting policy and procedure changes needed to implement GASB Statements.
 - 4. Two Years
 - a. Evaluate any new GASB statements and their impact on the accounting policies and procedures.
 - b. Continue evaluation of the accounting system and preparation of financial statements under the existing GASB statements and any new GASB statements.
 - 5. Five Years
 - a. Evaluate future GASB statements and the impact on the accounting policies and procedures.
 - b. Continue evaluation of the current accounting system and preparation of financial statements and make changes as needed by GASB statements.
- B. Objective/Policy #2 - Enhancements to the processing and accessing of financial information in FAMIS and the procurement and implementation of a new financial accounting system including a new Uniform Chart of Accounts.
 - 1. Required Action - Enhancements to the processing and accessing of financial information in FAMIS requires the review of the current process and utilizing the State's intranet to improve processing and dissemination of financial information. Participation in a new financial accounting system would include establishing requirements, assist in procurement, evaluation of proposals and selection, and implementation. Participation in creating a new uniform chart of accounts would require compiling department requirements, to ensure usability by all.

2. Past Year Accomplishments

- a. Worked alongside various entities to create a new uniform chart of accounts to be available to all departments for new system implementations.

3. One Year

- a. Continue to review current process and utilizing the State's intranet to improve processing and dissemination of financial information.
- b. Provide assistance and support in the procurement, vendor selection and requirements for a new financial accounting system.

4. Two Years

- a. Participate in various training/meetings with functional and operational process group.
- b. Assist in the implementation of a new financial accounting system.

5. Five Years

- a. Establish business process for the new financial accounting system.

IV. Performance Measures

- A. Customer Satisfaction measure – GFOA's awarding of its Certificate of Achievement in Excellence in Financial Reporting to the State's CAFR and the number of departments utilizing the new financial system as its primary system of information.
- B. Program Standard measure - The publication within six months after the fiscal year is closed for the CAFR and the prompt processing of the accounting data and reports and the implementation within five years of a new financial accounting system.
- C. Cost Effectiveness Measure - Cost effectiveness is measured by the amount of overtime incurred to complete the CAFR and to process accounting data and reports. The implementation of a new financial accounting system on budget.

DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES
ANNUAL REPORT ON GOALS, OBJECTIVES AND POLICIES

January 2021

Program ID/Title: AGS-104/Internal Post-Audit

Contact Person/Phone: Ron T. Shiigi/586-0360

I. Goal

To achieve compliance with State laws by the State's Executive departments, agencies and other entities on accounting procedures and internal control systems and other audit requirements of State laws through financial, compliance and verification audits performed by external auditors and the Audit Division.

II. Objectives and Policies

- A. #1 – To ensure that the State's Executive departments and agencies maintain the accounting and internal control systems and that the systems function effectively as designed and; as applicable to certain State departments and other entities based on State laws, to ensure that such State departments and other entities comply with the accounting and internal control policies and procedures and related State laws applicable to such State departments and other entities.
- B. #2 –To schedule an adequate audit cycle to ensure that every department in the executive branch will be audited at least once every six years.
- C. #3 - To establish verification procedures to comply with the certification requirements of HRS §40-81.5 related to the invoices for the capital costs of a locally preferred alternative for a mass transit project. As deemed necessary, based on the nature of the costs of the rapid transportation authority, develop the appropriate verification policies and procedures to determine compliance with the capital cost requirements of HRS §46-16.8 (e).

III. Action Plan and Timetable

- A. Objective/Policy #1 – To ensure that the State's Executive departments and agencies maintain the accounting and internal control systems and that the systems function effectively as designed and; as applicable to certain State departments and other entities based on State laws, to ensure that such State departments and other entities comply with the accounting and internal control

policies and procedures and related State laws applicable to such State departments and other entities.

1. Required Actions.

- a. Define the target group.
- b. Establish for the fiscal year a plan for the desk reviews of audits of financial statements conducted by external auditors and for the financial and compliance audits to be performed by the Audit Division.
- c. Report the results of the desk reviews of the audited financial statements of departments and agencies conducted by external auditors and the audits conducted by the Audit Division.

2. Past Year Accomplishments.

- a. The target group was defined.
- b. Conducted desk reviews of 18 audits of departments and agencies performed by external auditors during the fiscal year. The Audit Division completed desk reviews of the audited financial statements and related reports of such audits. Additional information is provided in c. below.
- c. 11 of 18 departments and agencies identified 51 findings of noncompliance with the accounting system or internal controls including noncompliance with Federal award program compliance requirements. The departments and agencies have responded to these findings and have or are in the process of implementing corrective actions.
- d. 18 audits including 4 certification statements related to the certification requirements of HRS §40-81.5 were completed by the Audit Division during the fiscal year. Additional information is provided in e. though g. below.
- e. 18 of the 18 audits excluding the results from the 4 certification statements completed identified noncompliance with the departments' and other entities' accounting system or internal control policies and procedures.

- f. 397 audit findings were reported for the fiscal year. Responses to these findings were received indicating that corrective actions were implemented or were in the process of implementation.
- g. With respect to the certification requirements of HRS §40-81.5, the following results and other matters are noted:
 - i. Since October 16, 2020, the total amount of invoices submitted to the Comptroller for payment by the Honolulu Authority for Rapid Transportation (HART) totaled \$1,081,675,060, of which 11 certification statements have been issued for 379 invoices totaling \$803,393,044, were verified in compliance with the capital cost requirements of HRS §46-16.8 (e). This amount of \$803,393,044, which was remitted to the City and County of Honolulu was limited by the amount of available funds in the Mass Transit Special Fund in accordance with the requirements of HRS §248-2.7.
 - ii. For the fiscal year June 30, 2020, 4 certification statements totaling \$336,452,770, were verified in compliance with the capital cost requirements of HRS §46-16.8 (e).
 - iii. As of July 31, 2020, the amount that DAGS Audit Division determined were not qualifying as capital costs under requirements of HRS §46-16.8 (e) or required additional information from HART totaled \$56,654,161, and, accordingly, were not reimbursed to the City and County of Honolulu from the Mass Transit Special Fund.
 - iv. As disclosed in Note 3 to the Comptroller's Certification dated July 31, 2020, adjustments may be made to reduce the amount of future reimbursements to HART for prior invoices certified by the Comptroller that are found to be in error due to fraud, illegal activities or other violations of laws and regulations. This policy was implemented in response to HART being served by 3 separate subpoenas by the United States Attorney for the District of Hawaii and a resolution passed by the City Council of the City and County of Honolulu (City) for the Office of the City Auditor to select an independent auditor to ensure that no City or HART employee, consultant, or contractor exploited the City's or HART's internal control weaknesses to misappropriate public assets or commit illegal actions.

As further noted in the Comptroller's Certification the objective of the procedures performed by the Audit Division

were limited to verifying that the invoices submitted by HART complied with a specific law. Accordingly, the verification procedures were not designed to detect fraud or other illegal activities.

3. One Year

- a. Define the target group.
- b. Monitor the progress of the plan for the desk reviews of audited financial statements performed by external auditors and for the audits to be performed by the Audit Division.
- c. Perform desk reviews of the completed audit reports as to noncompliance with established accounting procedures and internal controls and that written policies and procedures are functioning as designed and noncompliance with Federal requirements.
- d. Report the results of the desk reviews of the audits of financial statements of departments and agencies conducted by external auditors and the financial and compliance audits conducted by the Audit Division.
- e. Conduct follow-up inquiries, as necessary, on the results of the audits.

4. Two Years – Continue the implementation timetable of the first year.

5. Five Years – Continue the implementation timetable of the prior years.

B. Objective/Policy #2 –To schedule an adequate audit cycle to ensure that every department in the executive branch will be audited at least once every six years.

1. Required actions.

- a. Define the target group.
- b. Monitor and conduct desk reviews of the audited financial statements of executive departments and agencies performed by external auditors.
- c. Establish a plan for the audits to be performed by the Audit Division.
- d. Report the results of the monitoring and audits.

2. Past Year Accomplishments.

- a. The target group to be audited was defined.
- b. Planned for the review of 11 financial and compliance audits to be performed by external auditors and 18 financial, compliance and verification audits to be performed by the Audit Division were established.
- c. Conducted desk reviews of 18 audit reports of departments and agencies performed by external auditors and 18 audits were completed by the Audit Division during the fiscal year.
- d. Conducted follow-up inquiries, as necessary, on the audit findings identified by external auditors and the Audit Division.

3. One Year

- a. Define the target group to be audited.
- b. Establish a plan for the desk reviews of audits conducted by external auditors and audits to be conducted by the Audit Division.
- c. Conduct desk reviews of audit reports of planned audits performed by external auditors and perform audits by the Audit Division.
- d. Determine if the average number of years between audits for the target group is 6 years or less.
- e. Conduct follow-up inquiries as to scheduled audits not completed on time.

4. Two Years – Continue the implementation timetable of the first year.

5. Five Years – Continue the implementation timetable of the prior years.

- C. Objective/Policy #3 – To establish verification procedures to comply with the certification requirements of HRS §40-81.5 related to the invoices for the capital costs of a locally preferred alternative for a mass transit project. As deemed necessary, based on the nature of the costs of the rapid transportation authority, develop the appropriate verification policies and procedures to determine compliance with the capital cost requirements of HRS §46-16.8 (e).

1. Required Actions

- a. Define the target group.
 - b. Develop an understanding of the accounting and expenditure processes and procedures of the rapid transportation authority.
 - c. Develop a general and detailed verification plan and related procedures for complying with the verification section of the Act.
 - d. Develop the certification statement and related supporting documents to comply with the certification requirements of the Act.
 - e. Perform the verification procedures and report the results in the certification statement.
2. Past Year Accomplishments
 - a. The target group has been identified.
3. One Year
 - a. Define the target group.
 - b. Develop an understanding of the accounting and expenditure processes and procedures of the rapid transportation authority.
 - c. Develop a general and detailed verification plan and related procedures for complying with the verification section of the Act.
 - d. Develop the certification statement and related supporting documents to comply with the certification requirements of the Act.
 - e. Perform the verification procedures and report the results in the certification statement.
4. Two Years – Continue the implementation timetable of the first year.
5. Five Years – Continue the implementation timetable of the prior years.

IV. Performance Measures

- A. HRS §40-81.5 - Program has standard measures of performance based on the number of verifications and related certification statements issued for each fiscal year.

- B. Program Standard Measure – Program standard will be the completion of desk reviews of audited financial statements performed by external auditors of departments and agencies with follow-up, if necessary, by the Audit Division and the completion of planned audits performed by the Audit Divisions.
- C. Cost Effective Measure – Cost to conduct the audits by the program will be monitored to ensure that they are reasonable and fair and do not exceed budgeted costs and comparable audit fees.

DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES
ANNUAL REPORT ON GOALS, OBJECTIVES AND POLICIES

Program ID/Title: AGS 105/Enforcement of Information Practices

Contact Person/Phone No: Cheryl Kakazu Park/586-1400

Goals, Objectives, and Action Plan

Pursuant to Act 100, SLH 1999, as amended by Act 154, SLH 2005, the state Office of Information Practices (OIP) presents its Goals, Objectives, and Action Plan for One, Two, and Five Years, including a report on its performance in meeting previously stated goals, objectives, and actions.

OIP's Mission Statement

“Ensuring open government while protecting individual privacy.”

I. Goals

OIP's primary goal is to fairly and reasonably construe and administer the Uniform Information Practices Act (Modified), Chapter 92F, HRS (UIPA) and the Sunshine Law, Part I of Chapter 92, HRS, in order to achieve the common purpose of both laws:

In a democracy, the people are vested with the ultimate decision-making power. Government agencies exist to aid the people in the formation and conduct of public policy. Opening up the government processes to public scrutiny and participation is the only viable and reasonable method of protecting the public's interest. Therefore, the legislature declares that it is the policy of this State that the formation and conduct of public policy—the discussions, deliberations, decisions, and action of government[al] agencies—shall be conducted as openly as possible.

With the passage of the Open Data Law, OIP adopted another goal to assist the Office of Enterprise Services to properly implement Hawaii's Open Data policy, which seeks to increase public awareness and electronic access to non-confidential and non-proprietary data and information available from state agencies; to enhance government transparency and accountability; to encourage public engagement; and to stimulate innovation with the development of new analyses or applications based on the public data made openly available by the State.

II. Objectives and Policies

- A. Legal Guidance and Assistance.** Provide training and assistance to members of the public and all state and county agencies and boards to promote compliance with the UIPA and Sunshine Law.

1. Provide accessible training guides, audio/visual presentations, and other materials online at oip.hawaii.gov and supplement OIP's online training with customized live training for government entities.
 2. Provide prompt informal advice and assistance to members of the public and government entities through OIP's Attorney of the Day (AOD) service.
 3. Adopt and revise administrative rules, as necessary.
- B. Investigations and Dispute Resolution.** Assist the general public, conduct investigations, and provide a fair, neutral, and informal dispute resolution process as a free alternative to court actions filed under the UIPA and Sunshine Law, and resolve appeals under section 231-19.5(f), HRS, arising from the Department of Taxation's decisions concerning the disclosure of the text of written opinions.
1. Focus on reducing the age and number of OIP's backlog of formal cases in a manner that is fair to all requesters.
- C. Open Data.** Assist ETS and encourage all state and county entities to increase government transparency and accountability by posting open data online, in accordance with the UIPA, Sunshine Law, and the State's Open Data Policy.
1. Post all of OIP's opinions, training materials, reports, and *What's New* communications at oip.hawaii.gov, which links to the State's open data portal at data.hawaii.gov.
 2. Encourage state and county agencies to electronically post appropriate data sets onto data.hawaii.gov and to use the UIPA Record Request Log to record and report their record requests.
- D. Records Report System.** Maintain the RRS and assist agencies in filing reports for the RRS with OIP.
1. Promote the use of the RRS to identify and distinguish private or confidential records from those that are clearly public and could be posted as open data on government websites.
- E. Legislation and Lawsuits.** Monitor legislative measures and lawsuits involving the UIPA and Sunshine Law.
1. Provide testimony or legal intervention, as may be necessary, to uphold the requirements and common purpose of the UIPA and Sunshine Law.

III. Action Plan with Timetable

As of October 2020, when this plan was prepared, the COVID-19 pandemic continued to devastate Hawaii's economy, resulting in substantially lower tax revenues being projected for several years into the future. State budget cuts and employee furloughs were anticipated but not yet finalized and a general hiring freeze was in place at a time when OIP uncharacteristically had three vacancies due to retirement and personal reasons. Despite OIP's success in FY 2019, when it was fully staffed, in reducing its formal case backlog to the lowest level in over a decade, OIP's backlog increased significantly in FY 2020 as new cases continued to be filed while OIP waited for approval to fill one-third of its 8.5 positions. It is against this background and uncertainty that OIP's Action Plan was developed.

B. Legal Guidance and Assistance

1. Past Year Accomplishments

- a. Received 1,168 total requests for assistance in FY 2020, 96% of which were resolved in the same fiscal year, and 85% (990) were informal requests typically resolved the same day through OIP's AOD service.
- b. Despite the temporary suspension of OIP's powers and duties due to COVID-19 emergency proclamations, reduced OIP's formal case backlog by over 18% to 67 pending cases, which is the lowest level in more than a decade.
- c. Issued 24 formal or informal opinions.
- d. Conducted 6 live training sessions for state and county agencies and boards before the COVID-19 pandemic restricted in-person gatherings.
- e. Added or updated 11 training materials on OIP's website regarding changes to the laws that OIP administers, including guidance on "virtual" online meetings allowable under the Governor's emergency proclamations during the COVID-19 pandemic.
- f. Created a new "Legislation" page at oip.hawaii.gov where OIP compiled for easy public access the legislative history leading to the enactment or amendment of the UIPA, Sunshine Law, and tax statute allowing appeals to OIP from challenges to the disclosure of written tax opinions.

2. Year 1 Action Plan

- a. Obtain approval to hire and train new employees to fill one Administrative Assistant and two Staff Attorney positions.
- b. Conduct informational briefings and a public hearing to obtain government and public input on OIP's new administrative rules and revisions to its

existing rules, obtain all necessary approvals, prepare training for agencies and boards on the new rules, and revise OIP's forms and training materials, including the UIPA Record Request Log, before the end of FY 2021, conditioned on the completion of the Attorney General's legal review of OIP's draft rules.

- c. Continue to promptly provide general legal guidance through OIP's AOD service, so that approximately 80% of requests for OIP's assistance can be informally resolved within one workday.
- d. Focus OIP's limited resources on preparing and improving online training and communication to cost-effectively provide services to the greatest potential number of people and increase compliance by more government agencies, particularly because in-person events may continue to be restricted by the COVID-19 pandemic.

3. Year 2 Action Plan

- a. Implement OIP's new administrative rules, including the creation of a revised UIPA Record Request Log.
- b. Update and improve OIP's online training materials, as may be necessary.

4. Year 5 Action Plan

- a. Evaluate recently implemented rules and determine whether additional rules or revisions are necessary.

B. Investigations and Dispute Resolution

1. Past Year Accomplishments

- a. OIP received a total of 1,168 formal and informal requests for assistance in FY 2020, and OIP resolved 96% of them in the same year and typically resolved 85% within the same day.
- b. OIP resolved 990 AOD inquiries in FY 2020, which is 85% of total requests for assistance (1,168) received by OIP.
- c. Of the 178 formal cases opened in FY 2020, 130 (73%) were resolved in the same fiscal year.
- d. Of the 67 cases that remained pending at the end of FY 2020, 48 (72%) were opened in FY 2020, 16 (24%) were opened in FY 2019, 1 was opened in FY 2018, 1 was opened in FY 2017, and one case filed in FY 2015 was still pending in litigation.

2. Year 1 Action Plan

- a. Obtain approval to hire and train new employees to fill critical legal or administrative vacancies.
- b. Strive to resolve all formal cases filed before FY 20, if they are not in litigation or filed by requesters who have had two or more cases resolved by OIP in the preceding 12 months.

3. Year 2 Action Plan

- a. Strive to resolve all formal cases filed before FY 21, if they are not in litigation or filed by requesters who have had two or more cases resolved by OIP in the preceding 12 months.

4. Year 5 Action Plan

- a. Strive to resolve all formal cases within 24 months of filing, if they are not in litigation or filed by requesters who have had two or more cases resolved by OIP in the preceding 12 months and provided that OIP is fully staffed.

C. Open Data

1. Past Year Accomplishments

- a. Prepared Log reports summarizing results for FY 2019 from 188 state and 88 county agencies, including the Governor's office, Lt. Governor's office, Judiciary, Legislature, UH, and OHA.
- b. Distributed 26 *What's New* articles to keep government personnel and the general public informed of open government issues, including proposed legislation.
- c. Received 29,678 unique visits from Hawaii to OIP's website and 87,892 website page views (excluding OIP's and home page hits).

2. Year 1 Action Plan

- a. Obtain approval to hire and train new employees to fill critical legal or administrative vacancies.
- b. Encourage state and county agencies to electronically post open data, including the results of their Logs.

- c. Complete data and prepare reports of the Log results for FY 2020 from all state and county agencies.
 - d. Utilize Log data to develop and evaluate proposed OIP rules concerning the UIPA record request process and fees.
 - e. Post information on OIP's website at oip.hawaii.gov to provide transparency and obtain public input on the rule-making process.
- 3. Year 2 Action Plan
 - a. Continue to assist state and county agencies to electronically post open data and report on their results of state and county agencies' Logs.
 - b. Revise UIPA Record Request Log and related training materials, if new administrative rules are adopted.
- 4. Year 5 Action Plan
 - a. Continue to assist state and county agencies to electronically post open data and report on the results of state and county agencies' Logs.

D. Records Report System

- 1. Past Year Accomplishments
 - a. For FY 2020, state and county agencies reported 29,762 record titles on the RRS.
- 2. Year 1 Action Plan
 - a. Continue to train and advise state and county agencies on how to use the access classification capabilities of the RRS to uniformly identify and protect private or confidential records, while promoting open access to public data that may be disclosed.
- 3. Year 2 Action Plan
 - a. Continue to train and advise state and county agencies on how to use the access classification capabilities of the RRS to uniformly identify and protect private or confidential records, while promoting open access to public data that may be disclosed.
- 4. Year 5 Action Plan

- a. Continue to train and advise state and county agencies on how to use the access classification capabilities of the RRS to uniformly identify and protect private or confidential records, while promoting open access to public data that may be disclosed.

E. Legislation and Lawsuits

1. Past Year Accomplishments

- a. In FY 2020, OIP reviewed and monitored 146 bills and resolutions and testified on 25 of them.
- b. In FY 2020, OIP monitored 45 cases in litigation, of which 11 were new cases.

2. Year 1 Action Plan

- a. Obtain approval to hire and train two new employees to fill critical legal or administrative vacancies.
- b. For FY 2021, OIP will continue to monitor legislation and lawsuits affecting the UIPA, Sunshine Law, open data, or OIP.

3. Year 2 Action Plan

- a. Continue to monitor legislation and lawsuits and to take appropriate action on matters affecting the UIPA, Sunshine Law, open data, or OIP.
- b. Obtain sufficient funding and position authorizations to recruit, train and retain OIP staff so as to keep up with anticipated increases in OIP's workload while reducing the formal case backlog.

4. Year 5 Action Plan

- a. Continue to monitor legislation and lawsuits and to take appropriate action on matters affecting the UIPA, Sunshine Law, or OIP.
- b. Obtain sufficient funding and position authorizations to recruit, train, and retain legal and administrative personnel to ensure the long-term stability and productivity of OIP.

IV. Performance Measures

- A. Customer Satisfaction Measure – Monitor evaluations submitted by participants after training or informational sessions as well as comments or complaints made to the office in general, and take appropriate action.

- B. Program Standard Measure – Measure the number of formal cases and AOD inquiries received and resolved; opinions issued; lawsuits monitored; legislative proposals monitored; unique visits to OIP’s website; live training sessions and public presentations; training materials added or revised; and public communications.
- C. Cost Effectiveness Measure – Considering the number and experience levels of OIP personnel in comparison to similar agencies, monitor the total numbers of requests for assistance and the numbers of state or county agencies or the general public who are assisted by OIP; the types of services provided by OIP; the number of state and county agencies submitting the UIPA Record Request Log; and the overall Log results.

DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES
ANNUAL REPORT ON GOALS, OBJECTIVES AND POLICIES

January 2021

Program ID/Title: AGS-111/Archives-Records Management

Contact Person/Phone: Adam Jansen/586-0310

I. Goals

- A. Increase access to the State Archives collections.
- B. Promote efficient and effective management of government records including the preservation of the State's permanent electronic records.

II. Objectives and Policies

- A. Collect and preserve permanent government records of enduring legal, historical or fiscal value from government agencies.
- B. Make records available for access via the internet.
- C. Develop and revise records retention and disposition schedules for the executive branch and continue to operate the State Records Center for the storage of non-current, non-permanent government records.
- D. Implement the building of the Hawaii State Digital Archives through a phased approach including hardware implementation and documentation and software development to ensure the preservation and access to electronic records of long-term value.

III. Action Plan with Timetable

- A. Past Year Accomplishments
 - 1. Archives: Accessioned 366 cubic feet of records and special collections; appraised, arranged and described 18.5 cubic feet of paper records for public use; retrieved 24,448 records for researchers; translated 136 pages of Hawaiian language records; serviced 4,994 researchers; scanned 1,437,191 images; and received 37,801 unique website visitors to Archives online resources.

2. Records Center: received 3,938 cubic feet of records; completed 9,419 records requests; 186 record series scheduled or revised; 6770 reels of microfilm returned; and 9,809 microfiche scanned.
3. Digital Archives: Revised implementation of Digital Pipeline services; developed web-based user interface to access digital archives catalog; installed 500TB storage sub-system.

B. One Year

1. Archives: Accession 100 cubic feet of records; appraise, arrange, and describe 65 cubic feet of records; retrieve 20,000 records for researchers; translate 225 pages of Hawaiian language records; service 8,000 researchers; upload 3,000,000 new images (records) to the Archives' website; 30,000 unique web visitors to the Archives' research portal website.
2. Records Center: schedule/revise 20 records series; receive 3,500 cubic feet of records; service 7,000 records requests; and coordinate destruction of expired records.
3. Digital Archives: Continue development of the system's Information Model by identifying, modeling and implementing new services required by State Agencies; develop and implement approaches for gathering system parameters, performance metrics; perform ongoing maintenance and upgrades of the digital repository hardware, software and storage sub-systems; and in consultation with State Agencies and interested public, develop the public web-based interface into the Digital Archives.

C. Two Years

1. Archives: Accession 200 cubic feet of records; appraise, arrange, and describe 100 cubic feet of records; retrieve 40,000 records for researchers; translate 450 pages of Hawaiian language records; service 15,000 researchers; upload 5,500,000 new images (records) to the Archives' website; 150,000 unique web visitors to the Archives' research portal website.
2. Records Center: schedule 40 records series; receive 7,000 cubic feet of records; service 13,000 record requests; and coordinate destruction of expired records.
3. Digital Archives: Ongoing maintenance and development of the Digital Archives' system including replacement of hardware, and

storage sub-systems, along with upgrades to software infrastructure; onboard additional partner agencies beyond Executive Branch agencies; develop additional user functionality (e.g. personalization, saved searching, new record alerts, target searching, etc.) based on feedback; and roll out functionality necessary to preserve additional format types of records (e.g. GIS systems, social media, streaming audio/video, dynamic databases, and web-based systems); and research and develop roadmap for all upcoming state systems, projects or technologies that may impact the Digital Archives;

D. Five Years

1. Archives: Accession 500 cubic feet of records; appraise, arrange, and describe 450 cubic feet of records; retrieve 80,000 records for researchers; translate 675 pages of Hawaiian language records; service 35,000 researchers; upload 8,500,000 new images (records) to the Archives' website; 150,000 unique web visitors to the Archives' research portal website.
2. Records Center: schedule 80 records series; receive 30,000 cubic feet of records; service 25,000 record requests; and coordinate destruction of expired records.
3. Digital Archives: Ongoing maintenance and development of the Digital Archives' system including replacement of hardware, and storage sub-systems; continue developing additional user functionality based on feedback; Develop and implement services and tools utilizing Artificial Intelligence, Data Mining and Machine Learning for Digital Preservation Pipeline and services that support Record Consumers' needs; and roll out functionality necessary to preserve additional format types of records.

IV. Performance Measures

- A. Customer Satisfaction measure: Monitor website use by the general public and their interest in information presented by analyzing statistical data on number of hits to what pages. Use information to improve the "look and feel" and information presented on the website. If there are suggestions and/or complaints, develop survey to evaluate customer satisfaction with the website.
- B. Program Standard measure: In-house standards regulate service to the public and status-reports measure the output and effectiveness of our

public service activities.

- C. Cost Effectiveness measure – Compare records managements costs with private sector, in particular storage costs.

DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES
ANNUAL REPORT ON GOALS, OBJECTIVES AND POLICIES

January 2021

Program ID/Title: AGS-130 / Enterprise Technology Services – Governance and Innovation*

AGS-131 / Enterprise Technology Services – Operations and Infrastructure Maintenance*

**Pursuant to HRS 27-43, all functions of the programs formerly associated with AGS-130 (ex-Office of Information Management and Technology) and AGS-131 (ex-Information and Communication Services Division) are consolidated within the new Office of Enterprise Technology Services as led by the Chief Information Officer, effective July 2, 2016.*

Contact Person/Phone: Douglas Murdock, Chief Information Officer
586-6000

I. Goals

Identify, prioritize and advance programs and projects with the greatest potential to increase efficiency, reduce waste, and improve transparency and accountability in State of Hawai‘i government.

Provide efficient, effective and available information technology (IT) enterprise services and support in the areas of data center, cybersecurity, computing (mainframe and open systems), telecommunications, application development, and web-based services for the purpose of assisting State government agencies in fulfilling their current and future business mission and objectives.

II. Objectives and Policies

Program objectives are arranged by branch under proposed organizational structure:

Production Services Branch — Schedule, execute and monitor production jobs for State departments and agencies, as well as monitor the State networks and maintain the operation of the State data center.

Systems Services Branch — Provides operating systems programming, third-party software maintenance, storage management, database management and host systems operational support for the Enterprise Mainframe System (z) computing platform. Provides operating systems programming, storage management, and host systems operational support for the Enterprise Unix/AIX Power System computing platform as well as the Enterprise Spectrum Protect Backup and

Restore System. Provides mainframe user access management, managed file transfer and disaster recovery services. Provides operational support to existing charge back system as well as maintain compliance to audit standards set by IRS, SSA and State Auditor.

Technology Support Services Branch — Provide support, maintenance and development of hardware, software and infrastructure for on-premise and Cloud applications.

Client Services Branch — Provide systems development, enhancement, maintenance, technical support, and consultant services for State departments and agencies to meet their business objectives.

Enterprise Systems Branch — Provide ongoing operational maintenance and management support for enterprise systems (e.g., enterprise payroll and human resources systems). Assist with implementation of statewide Time and Leave applications.

Network Branch — Provide statewide telecommunication services (e.g., data network, radio network, and telephone systems) for daily business operations of the State of Hawaii's executive, legislative, and judicial branches, including telecommunications interfaces to federal and county governments; provide land mobile radio communications for public safety entities and radio microwave network connection interfaces to other county and federal agencies for first responder and emergency communications; provide technical support on voice and telephone systems to State government entities.

Security Branch — Manage the statewide cybersecurity program to secure and protect electronic assets and data stored on State computer systems or transported through the State's networks.

Enterprise Architect Branch — Develop and implement statewide technology policies, guidance, and standards; provide Departmental guidance for Business and IT decisions that supports the State's strategic plan and investments and improves the ability to deliver responsive, cost-effective government functions and services.

Program Management Branch — Provide management, business consulting services, and business applications support to agencies to effectively develop and maintain new technology applications and improve service delivery through effective integration of technology solutions; provide program management

development support for enterprise technology programs and projects (e.g., enterprise payroll, time and leave and finance).

III. Action Plan with Timetable

Past Year Accomplishments

Production Services Branch — Effectively managed production jobs for State departments and agencies, monitored the State networks, and maintained the operation of the State data center.

Systems Services Branch — Maintained high availability of the Enterprise Mainframe System (z) computing platform, Enterprise Unix/AIX Power System computing platform and the Enterprise Spectrum Protect Backup and Restore System. The Customer Information Control System (CICS) on the mainframe system that provides online transaction management and connectivity for applications was upgraded to the current version. For disaster recovery, updated the software codes and configuration of the DASD and Tape Systems and maintained the consistency of data replication to the Disaster Recovery Site. Upgraded the zVM virtual server management. Administered maintenance subscriptions and update of all Mainframe Third-Party Software. Maintained hosting and user account management for Mainframe System Access and Managed File Transfer (MFT-Axway) services. Updated the documentation for the mainframe hardware and network systems. Upgraded the software for the Managed File Transfer System (Axway). Implemented RACF Security for all Adabas/Natural transactions. Conducted training for the RACF and Adabas/Natural backup administrators. Worked with IRS, SSA and State Auditors and remained generally compliant to audit standards.

Technology Support Services Branch — Completed the migration of Department of Taxation to Office 365 which completes migration for the entire Executive branch. Decommissioned legacy Lotus Notes & Active Directory environments. Implemented a centralized identity manager to integrate between the Payroll system and the State's Active Directory infrastructure. Released a new Open Data platform and provided user training through the migration. Moved TSSB hosted websites behind Cloudflare security services and secured external access with cloud identity and access management services. Purchased and deployed an enterprise mass notification system for statewide employee alerts. Purchased and installed hardware for a new backup solution for the ETS-managed local private cloud service (Government Private Cloud). Provided support, training, and guidance for the secured use of remote work technologies. Continued to increase adoption of O365 amongst departments, particularly Teams trainings to be used as a critical communication and collaboration tool for telework. Furthermore,

implemented Teams outbound calling for various departments. Purchased and configured a virtual desktop solution to allow secured remote access to critical internal state systems. Provided tooling, support and training for virtual Sunshine Law meetings. Supported the deployment of the State's Safe Travels and Quarantine Exemption web applications. Provided support in securing the elections' infrastructure for the 2020 Elections.

Client Service Branch — The branch assisted the Department of Labor and Industrial Relations (DLIR), Unemployment Insurance (UI) Division by automating processes related to expanded benefits provided under the Coronavirus Aid, Relief, and Economic Security (CARES) Act. These processes included the 1) \$600+ payments of Federal Pandemic Unemployment Compensation (FPUC), 2) 13-week extension of Pandemic Extended Unemployment Compensation (PEUC), 3) assisting with expanded coverage to self-employed individuals under Pandemic Unemployment Assistance (PUA), 4) \$300 additional benefits for Lost Wages Assistance (LWA), 5) implementation of the Hawaii Extended Benefits (EB) program and 6) aided with replication of databases residing on the State's mainframe for use on the UI web application portal. The branch also completed a full rewrite of the Candidate Filing System, Candidate Filing Public System and (mass) email system for the Campaign Spending Commission (CSC). In addition, the branch assisted the Department of Commerce and Consumer Affairs (DCCA), Professional and Vocational Licenses (PVL) Division to work with Pacific Point Consulting to replace the current Applicant/Licensee Integrated Automated system (ALIAS) running on an Oracle Forms product with a modern web-based Salesforce platform.

Enterprise Systems Branch — Ongoing maintenance and support of the Enterprise Human Resources Management System (HRMS) and Payroll systems, also known as Hawaii Information Portal (HIP). Built, maintained, and supported interfaces to all agency HR and Payroll data sources. Actively implementing statewide Time and Leave applications.

Network Branch — Added 5 new sites into the State's Institutional Network (INET) providing high-speed connectivity to sites and the Internet. Replaced equipment at key locations with greater capacity while requiring less space and power. Maintained a public cloud exchange for connectivity between the State network and public clouds i.e. Microsoft Azure. Provided assistance with establishing redundant connectivity between the State and county networks. Increased the reliability of the State's radio systems by performing network topology changes. Added Hawaii Wireless Interoperability Network (HIWIN) Land Mobile Radio (LMR) coverage/connectivity to Kona Judiciary. Project doubling HIWIN LMR system capacity nearly complete. Executed Memorandum of Agreement (MOA) with DOT Airports to serve their radio communication

needs using the HIWIN system. Maintained radio facilities and infrastructure. Upgraded radio microwave backhaul to Ethernet standard format which will facilitate increased connectivity and redundant routes. Adapted network infrastructure to support telework needs as the COVID-19 pandemic dramatically changed in-person workplace environments.

Security Branch — Aligned priorities to address mitigations with most frequent cybersecurity attacks. Performed enterprise-wide compromise assessments and emphasized cyber hygiene concerns. Exercised detection and response capabilities. Executed periodic simulated phishing exercises to educate end users on how to spot real phishing attacks and to gauge effectiveness of current security awareness programs. Implemented new security protections against email and end point threats improving the State's security posture. Deployed IT asset management tools enterprise-wide to assess asset health and provide mechanisms to keep assets up to date. Worked with agencies to conduct assessments and implement best practices.

Enterprise Architect Branch — Published new IT enterprise applications portfolio using LeanIX. Maintained and managed statewide IT enterprise applications portfolio and roadmaps; demonstrated effectiveness of IT planning, review, approval, procurement, and implementation processes. Provided enterprise architecture assistance to Departmental initiatives such as the DHS technology modernization, AGS KEIKI modernization, and other similar projects for DLIR, DAGS, EUTF, and DOH. Executed two-year extension of existing the Statewide Internet portal contract, and continued planning and strategy refinement for procurement of new contract for the Statewide Internet Portal provider.

Program Management Branch — Established Executive Governance Committee (EGC) and Change Management Board (CMB) across the state to govern and evaluate policies, procedures and practices to be modernized through system enhancements or business process improvements. As part of DAGS Accounting Division's Enterprise Payroll and Time & Attendance Modernization (HawaiiPay) project, launched Phase II Time & Leave and completed first group go-live in May 2020 for Governor's Office, Lieutenant Governor's Office and DAGS. Subsequent modernization projects are now managed under the Hawaii Modernization (HiMod) Office

One Year

Production Services Branch — Maintain effective and efficient day-to-day operations of production job execution and monitoring of the State network and data center. Work on the replacement of the two Uninterruptible Power Supply (UPS) units and design of electrical upgrades within the data center. This

includes new electrical panels or Power Distribution Units (PDU) and wiring to the equipment.

Systems Services Branch — Continue to provide high availability of the Enterprise Mainframe System (z) computing platform, Enterprise Unix/AIX Power System computing platform and the Enterprise Spectrum Protect Backup and Restore System. Upgrade the operating system and middleware to remain compliant with audit standards. Address the risk of upcoming hardware end-of-support life (EOSL) and mitigate the deficient business disaster recovery process of the mainframe system. Optimize current hardware infrastructure platforms, i.e., Enterprise Mainframe System (z) by hosting the physical hardware to a Managed Hosting Services using the Mainframe as a Service (MFaaS) as a model of service and acquire an on-premise Enterprise Power and Spectrum Protect Infrastructure.

Technology Support Services Branch — Research hybrid cloud options and research replacement hardware for ETS-managed local private cloud service (Government Private Cloud). Complete the replacement of the backup solution for the Government Private Cloud. Research and implement an identity management solution for Business-to-Customer identities. Maintain and further enhance the State's Active Directory infrastructure. Assist executive branch departments in maximizing and securing O365 and other Microsoft products used across the state. Increase adoption of the State's electronic signature platform. Research and test the possibility of a managed web infrastructure for hosted websites. Implement full HTTPS for all hosted sites and complete a website redesign. Continue adoption for the State's enterprise mass notification system. Continue support for remote work tools, systems and platforms. Continue support for the State's Safe Travels web application and related initiatives.

Client Services Branch — Continue to support the DLIR-UI with the automation of processes related to the CARES act, as well as, the evaluation and implementation of a full replacement for the existing UI mainframe systems. A full rewrite of the CSC Non-Candidate Filing System and Non-Candidate Public System. Assist with the implementation of the new DCCA/PVL ALIAS application using the Salesforce platform. Implement Treasury-related input application for the Department of Budget and Finance (DBF). Create or participate in pilot projects and proof of concepts to gain experience in new technologies and determine potential applicability within the State.

Enterprise Systems Branch — Maintain and support the Enterprise HR and Payroll systems including interfaces, reporting, security, and transaction processing. Improve on current processes while working towards the new implementation of Time and Leave applications.

Network Branch — Increase the number of sites with broadband connectivity, provide network redundancy between agencies and the State’s network, assist with the deployment of enterprise WiFi, and expand the use of the public cloud exchange. Expand radio microwave and LMR networks by adding new sites at no additional site development costs through the use of MOAs. Maintain radio facilities and infrastructure.

Security Branch — Improve visibility and measures on State assets to ensure secure configuration and operation. Disseminating standards, guidance, and security awareness training to increase department capabilities to be more resilient against cybersecurity attacks. Partnering to mitigate cybersecurity issues within Departments.

Enterprise Architect Branch — Expand IT enterprise applications portfolio using LeanIX. Maintain and manage statewide IT enterprise applications portfolio and roadmaps; demonstrate effectiveness of IT planning, review, approval, procurement, and implementation processes. Provide enterprise architecture assistance to Departmental initiatives such as the DHS technology modernization, AGS KEIKI modernization, and other similar projects for DLIR, DAGS, EUTF, and DOH. Continued planning and strategy refinement for procurement of new contract for the Statewide Internet Portal provider.

Program Management Branch — Complete Time & Leave Go-Live deployments for remaining groups. Release the finance system Request for Proposal and select a vendor/system integrator to launch the statewide finance modernization initiative. Expand and mature statewide governance efforts under the Enterprise Change Management Board (CMB) and Executive Governance Committee (EGC). Continue to identify opportunities for statewide enterprise licensing and shared products and services.

Two Years

Production Services Branch — Maintain effective and efficient day-to-day operations of production job execution and monitoring of the State network. Replace the two UPSs and do electrical upgrades within the data center.

Systems Services Branch — Establish a fully operational disaster recovery process that will include documentation and periodic departmental testing. Work with major mainframe users such as DAGS, DHS, DLIR and AG-CSEA to create a roadmap to modernize Mainframe-based applications and improve internal processes of supporting the Enterprise Mainframe System z.

Technology Support Services Branch — Implement the next phase including the standing up of a hybrid cloud environment and research upgrade hardware for ETS-managed local private cloud service (Government Private Cloud). Research multi-cloud management tools for public cloud environments. Continue implementation of a statewide identity management system for Business-to-Consumer identities. Maintain and further enhance the State's Active Directory infrastructure, assist executive branch departments in maximizing and securing O365 and other Microsoft products used across the state (with a focus on remote work tools, security and access management), increase adoption of the State's electronic signature platform, and further implement the new web platform for the State.

Client Services Branch — Expedite the development of quality application systems by utilizing new/improved application development platforms and tools.

Enterprise Systems Branch — Ongoing updates for post go-live deployment of HIP Payroll for all departments and agencies and initiate the Time & Attendance Phase of DAGS Accounting Division's HawaiiPay project.

Network Branch — Continue to increase the number of sites with broadband connectivity, increase network redundancy between agencies and the State's network, continue with assisting with the deployment of enterprise WiFi. For the radio microwave and LMR networks, revise existing partnership agreements or develop new partnerships for mutual benefit with entities such as the County of Hawaii, County of Maui, University of Hawaii, and the U.S. Marine Corps. Transition DOT Highways onto HIWIN to provide their first responders with improved response times during natural disasters utilizing HIWIN's ubiquitous coverage on Oahu and interoperable communications between various first responder agencies. Establish microwave radio data connectivity to State Office Buildings to utilize during emergency situations when terrestrial connections or other communication links may become inoperable.

Security Branch — Continuing to expand the risk program across the Enterprise to address new threats that arise. Increase collaboration with federal and local infrastructure partners to provide whole of community approach to cybersecurity.

Enterprise Architect Branch — Expand IT enterprise applications portfolio using LeanIX. Maintain and manage statewide IT enterprise applications portfolio and roadmaps; demonstrate effectiveness of IT planning, review, approval, procurement, and implementation processes. Provide enterprise architecture assistance to Departmental initiatives such as the DHS technology modernization, AGS KEIKI modernization, and other similar projects for DLIR, DAGS, EUTF, and DOH. Manage new contract for the Statewide Internet Portal provider.

Program Management Branch — Complete Phase II time and attendance deployment and continue to work on operational procedures and practices to stabilize enterprise support for the newly-modernized enterprise resource planning (ERP) systems. Leverage opportunities for data governance across the enterprise systems and other department-owned systems that share common data elements and uses. Implement statewide licensing agreements and require procurement and adoption of shared products and services.

Five Years

Production Services Branch — Maintain effective and efficient day-to-day operations of production job execution and monitoring of the State network.

Systems Services Branch — Sustain the operation of the Enterprise Mainframe System z and Enterprise Unix Power System to improve the services rendered to all departments. Work and collaborate with all the departments and continue with Mainframe Application Modernization either using the “rip and replace” or redirection technique.

Technology Support Services Branch — Assist executive branch departments in maximizing Office 365, the State’s electronic signature platform, and the new State web platform, and maintain and further enhance the State’s Active Directory infrastructure. Continue implementing enhancements to the ETS-managed local private cloud service (Government Private Cloud).

Client Services Branch — Evaluate and refine technologies, processes, and services.

Enterprise Systems Branch — Ongoing updates for post go-live deployment of HIP Enterprise Human Resources and Payroll applications for all departments and agencies. Implement successful systems in support of phase two deployment of DAGS Accounting Division’s HawaiiPay project.

Network Branch — Improve the State’s telecommunications networks through the addition of high-speed connectivity and network redundancy. Migration to software defined wide area networks. For radio microwave and LMR networks, enact projects to affordably provide the entire State with interoperable radio coverage.

Security Branch — Develop pipeline to onboard workforce earlier in their career and expand expertise of in-house cybersecurity team.

Enterprise Architect Branch — Refine statewide IT enterprise architecture framework. Maintain statewide IT roadmaps and demonstrate effectiveness of IT review and approval process. Provide enterprise architecture assistance to Departmental initiatives such as the DHS technology modernization and AGS KEIKI modernization. Provide oversight and management over the new contract for the Statewide Internet Portal provider.

Program Management Branch — Formalize enterprise support operations for enterprise systems to include the statewide finance system. Further mature governance models for data standardization, data sharing and business process re-engineering and alignment. Continue to identify other opportunities for enterprise application support for the Departments; initiate program management support for such opportunities. Continue to implement statewide licensing agreements and require procurement and adoption of shared products and services.

Production Services Branch — Maintain effective and efficient day-to-day operations of production job execution and monitoring of the State network.

Systems Services Branch — Sustain the operation of the Enterprise Mainframe System z and Enterprise Unix Power System to improve the services rendered to all departments. Work and collaborate with all the departments and continue with Mainframe Application Modernization either using the “rip and replace” or redirection technique.

Technology Support Services Branch — Assist executive branch departments in maximizing Office 365, the State’s electronic signature platform, and the new State web platform, and maintain and further enhance the State’s Active Directory infrastructure. Continue implementing enhancements to the ETS-managed local private cloud service (Government Private Cloud).

Client Services Branch — Evaluate and refine technologies, processes, and services.

Enterprise Systems Branch — Ongoing updates for post go-live deployment of HIP Enterprise Human Resources and Payroll applications for all departments and agencies. Implement successful systems in support of phase two deployment of DAGS Accounting Division’s HawaiiPay project.

Network Branch — Improve the State’s telecommunications networks through the addition of high-speed connectivity and network redundancy. Migration to software defined wide area networks. For radio microwave and LMR networks, enact projects to affordably provide the entire State with interoperable radio coverage.

Security Branch — Develop pipeline to onboard workforce earlier in their career and expand expertise of in-house cybersecurity team.

Enterprise Architect Branch — Refine statewide IT enterprise architecture framework. Maintain statewide IT roadmaps and demonstrate effectiveness of IT review and approval process. Provide enterprise architecture assistance to Departmental initiatives. Provide oversight and management over the new contract for the Statewide Internet Portal provider.

Program Management Branch — Formalize enterprise support operations for enterprise systems to include the statewide finance system. Further mature governance models for data standardization, data sharing and business process re-engineering and alignment. Continue to identify other opportunities for enterprise application support for the Departments; initiate program management support for such opportunities. Continue to implement statewide licensing agreements and require procurement and adoption of shared products and services.

IV. Performance Measures

Customer Satisfaction measure (if applicable)

Production jobs executing as scheduled.

Number of new and/or improved application services implemented, adopted and used.

Number of requests completed within timeframe.

Time to respond to help desk and assistance center inquiries.

Average incident response time for system and network outages.

Average time to review and approve IT spending request.

Program Standard measure

Timely reporting of network outages to the appropriate staff, ensuring the State data center is operational.

Ease of use and delivery of modern flexibility.

Number of connections completed and number of sites supported by enterprise Wi-Fi.

Collection of IT roadmaps from all applicable departments and continuous refinement.

Cost Effectiveness measure

Return on value and total cost of ownership.

Alignment to IT roadmap and Operational Expenditure Plan.

Cost-efficiencies achieved through IT governance and road mapping processes.

DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES
ANNUAL REPORT ON GOALS, OBJECTIVES, AND POLICIES

January 2021

Program ID/Title: AGS-203/State Risk Management and Insurance
Administration

Contact person/phone: Tracy Kitaoka/586-0550

I. Goal

The program will endeavor to protect the State against catastrophic losses and to minimize the total cost of risk.

II. Objectives and Policies

- A. Identify and analyze the State's loss exposures to determine risks that should be self-insured versus commercially insured and purchase applicable Statewide property, liability, cyber and crime insurance policies at cost effective terms.
- B. Coordinate loss control and cost containment activities to minimize accidental and fortuitous losses.
- C. Settle informal tort claims (up to \$25,000), adjust automobile claims (up to \$25,000) and property losses fairly and promptly.
- D. Manage the Risk Management revolving fund to assure the availability of funds for the purchase of insurance policies, payment of self-insured and insured losses, and other administrative costs of the risk management program.
- E. Operate and maintain a risk management information system with current information to identify and analyze loss exposures to determine frequency and severity of losses, to forecast losses, and to determine the most economical method of financing losses.

III. Action Plan with Timetable

- A. Identify and analyze the State's loss exposures to determine risks that should be self-insured versus commercially insured and purchase applicable Statewide property, liability, and crime insurance policies at cost effective terms.

Past Year Accomplishments

1. Purchased property insurance policy with named windstorm, earthquake and flood limits of \$200 million per occurrence. The premium was \$11.7 mil, an increase of \$2.7 mil from FY 19. The property all other peril (AOP) deductible remained at \$1 million per occurrence. The deductible for the catastrophic losses (hurricane, earthquake, and flood, including tsunami) remained at 3% of the value of the building and contents. The excess liability policy was purchased with limits of \$9 million per occurrence. The premiums increased from \$2.3 million in FY 18 to \$2.5 million in FY 20, an increase of \$200,000. The liability self-insured retention increased to 5 million per occurrence. The crime insurance policy was purchased with the same limits as FY 19; \$10 million per occurrence. The premium was \$105,247 in FY 20, a decrease of \$35 from FY19.
2. Continued with the fixed fee contract with Marsh USA, Inc. The agreement is a three (3) year term with annual fixed fee with two (2) additional twelve (12) month periods to be negotiated. Currently, the State is in its third year of the contract. In FY 20, the annual flat fee continues to be \$434,555.
3. Continue with the annual actuarial review of the risk management revolving fund which addresses the sufficiency of fund.
4. Continue to provide corrective measures to the risk management database, when applicable, to achieve optimal efficiency.
5. Continued to work with the AG to establish a curriculum to train deputy AGs and contract administrators with revised minimum insurance requirements for contracts with the State.
6. Issued 409 Statements of Self-Insurance for various agencies which facilitated the use of non-State facilities or equipment, a decrease of 109, from FY 19. This decrease was due to lower activities due to the pandemic.
7. Initiated a captive feasibility study.

One Year

1. Maintain or improve prior year's insurance coverage with increased limits and more advantageous terms and conditions if it is cost beneficial and within budget constraints.

2. Continue with the fixed fee contract with Marsh USA Inc.
3. Continue property valuations of the State's physical assets, such as buildings and contents.
4. Continue to conduct property loss control inspections.
5. Continue with the actuarial sufficiency review of the revolving fund.
6. Continue with corrective actions to the risk management data base
7. Review and update the standard contract minimum insurance limits for certain procurement contracts and evaluate how to track compliance from the vendors.
8. Continue to improve on claims handling evaluation measures.
9. Evaluate coordination and if possible, consolidating insurance coverages or policies within State government.
10. Analyze the information from captive feasibility study and implement if applicable.

Two Years

Continue the One Year goals and objectives.

Five Years

Continue the One Year goals and objectives.

- B. Coordinate loss control and cost containment activities to minimize accidental and fortuitous losses.

Past Year Accomplishments

1. Conducted training sessions:
 - a) Provide insurance requirement advice to state department and agencies.
2. Produced quarterly claims reports that assisted the departments in managing their risks by making them aware of the losses and trends of concern.

One Year

1. Assist with risk evaluations when requested of State facilities such as airports, schools, convention center, hospitals and other public facilities.
2. Maintain or increase preventable loss deductible program and evaluate the feasibility of the program.
3. Re-establish training sessions for SPO and departmental risk management coordinators via on-demand training sessions covering the following subject areas: insurance requirements for contracts, loss control, and claims processing. Place all training information on the Risk Management web site.
4. Refine contract insurance requirements and start to train state employees with new information.
5. Update the Risk Management web site as needed.

Two Years

Continue the One Year goals and objectives.

Five Years

Continue the One Year goals and objectives.

- C. Settle informal tort and automobile claims (up to \$25,000) and property, crime and cyber losses fairly and promptly.

Past Year Accomplishment

1. The program received 492 tort claims in FY 20, a decrease from FY 19 (64), and received 264 pothole claims (included in the tort total) in FY 20, an increase from FY 19 (112).
2. The program received 291 claims from auto accidents in FY 20, a decrease from FY 19 (74).
3. The program received 99 property claims in FY 20, a decrease from FY 19 (39).
4. The Program processed claim payments through automated interfaces between the Program's claims management system, Financial

Management System (FMS), and Financial and Management Information System (FAMIS).

One Year

1. Update the Risk Management Manual.
2. Continue to process all tort and auto claims up to \$25k and other claims minimizing the cost of processing claims without compromising quality and productivity.
3. Review and update the program's procedures.
4. Training departmental risk management coordinators in the procedures for handling claims will continue to be conducted with the assistance of the state insurance broker. Annual informal training will continue as changes occur or new coordinators are added. In addition, new information will be placed on the Risk Management Office website.

Two Years

Continue Year One goals and objectives.

Five Years

Continue One and Two Years goals and objectives.

- D. Manage a revolving fund to assure the availability of funds for the purchase of insurance policies, payment of self-insured and insured losses, and administrative costs to the risk management program.

Past Year Accomplishment

1. The Program funded the purchase of the Statewide insurance policies (which covers the large and catastrophic losses) including a Cyber Liability policy, the payment of claims made against or for the State, and covered administrative costs.
2. Agencies were billed for their share of the Program's costs based on the cost allocation process which also included a charge for Cyber Liability insurance.
8. Continued to effectuate the passing of Act 062 which amended HRS 41-D to allow the Comptroller, through the risk manager, to acquire insurance

broker services on a fixed fee basis authorized the program to execute an applicable fixed fee insurance broker contract.

One Year

1. Continue the items in the Past Year Accomplishments.
2. Monitor and reevaluate the methodology of the cost allocation process.
3. Reevaluate the amount to be assessed in the risk management cost allocation for the next fiscal biennium.

Two Years

Continue One Year goals.

Five Years

Continue One and Two Years goals

- E. Operate and maintain a risk management information system with current information to identify and analyze loss exposures to determine frequency and severity of losses, to forecast losses, and determine the most economical method of financing losses.

Past Year Accomplishment

1. Refine the web based database system with the assistance of the Department of Accounting and General Services (DAGS) Systems and Procedures Office.

One Year

1. Continue to review the DAGS Systems and Procedures Office's work to make all claim forms fillable and web based and enhance the system to make the Risk Management Office more efficient.

Two Years

Continue One Year goals.

Five Years

Continue One Year goals.

IV. Performance Measures

- A. Customer Satisfaction measure - The program receives feedback from training evaluations to improve performance. The training evaluations consistently are rated as valuable. The sessions involving the insurance requirements for contracts have assisted agencies in identifying the types of insurance required for their contracts and have provided tools to determine if the vendor has met the contract requirements.
- B. Program Standard measure – Monitor the Measures of Effectiveness for timely resolution of claims and payments, as well as the timely purchase of the State's property, excess liability, and crime insurance.
- C. Cost Effectiveness measure - Establish acceptable deductibles or self-insured retentions for the property, excess liability, and crime insurance. In addition, consider revising and adding additional deductibles for claims based upon frequency or cause, such as preventable automobile accidents. Investigate ways to contain and/or minimize the frequency and severity of losses that have greatest impact on total cost of risk.

DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES
ANNUAL REPORT ON GOALS, OBJECTIVES AND POLICIES

January 2021

Program ID/Title: AGS-211/Land Survey

Contact Person/Phone: Reid K. Siarot/586-0390

I. Goal

The Land Survey Division performs field and office land survey work statewide for various government agencies; provides mathematical and field check as mandated in the statutes for the Land Court and File Plan systems; provides map and field check as mandated in the administrative rules for shoreline certification; and serves as an official depository of all government survey and other survey information.

II. Objective and Policies

- A. #1 - Continue to provide survey services to government agencies, provide services to the general public and protect the interest of the State of Hawaii in land matters.
- B. #2 - Provide training for employees to enable them to perform the functions of the Program effectively.
- C. #3 – Continue to maintain the shoreline certification web page regularly.
- D. #4 – Digitize 100% of the State’s official maps and related documents and make the electronic copies accessible on the Program’s website.

III. Action Plan with Timetable

- A. Objective/Policy #1 – Continue to provide survey services to government agencies, provide services to the general public and protect the interest of the State of Hawaii in land matters.

- 1. Required Action

- Continue to provide survey services to government agencies and services at a high rate of completion and evaluate and monitor the Program’s effectiveness.

2. Past Year Accomplishment

Despite limited staff and three and a half months stay home order to end the fiscal year, the Division was able to maintain a high completion rate of shoreline certifications, File Plan review and quiet title reports. A lot of staff time was spent conducting research, analyzing data, preparing reports and exhibits, advising Deputy AGs, and preparing for depositions and oral testimony for trial.

3. Implementation Timetable

- a. One year – Maintain a high completion rate of mandated functions i.e. shoreline certification, Land Court and File Plan map reviews and quiet title actions and evaluate the Program's effectiveness. Continue remote work for employees.
- b. Two to Five years – Continually assess the workload and evaluate the Program's effectiveness to develop procedures in carrying out the Program's functions more effectively. Provide training where needed. Convert remote work employees to the State telework program.

B. Objective/Policy #2 – Provide training for employees to enable them to perform the functions of the Program effectively.

1. Required Action

Provide in-house training and offer external training for employees. Recommend and encourage employees to attend appropriate training for their position.

2. Past Year Accomplishment

Division surveyors attended the Hawaii Surveying and Mapping Conference, which is a 2-day conference offering workshops on surveying topics. Supervisors regularly provide one-on-one training for the staff.

3. Implementation Timetable

- a. One year – Provide in-house training, recommend and encourage employees to attend appropriate classes offered by the Department of Human Resources Development (DHRD) as well as appropriate external training.

- b. Two to Five years – Recommend and encourage employees to attend appropriate training for their position.

C. Objective/Policy #3 – Continue to maintain the shoreline certification web page.

1. Required Action

Continue to maintain the shoreline certification web page regularly. Scan new shoreline maps and photos received from DLNR and make them available online for public review. Regularly update maps and photos, inspection schedule, application and certification notifications, and important shoreline links.

2. Past Year Accomplishment

The Division continues to maintain the shoreline certification webpage regularly.

3. Implementation Timetable

- a. One year – Continue to maintain current shoreline maps and photos, inspection schedule, application and certification notifications, and important shoreline links on the Program's website.
- b. Two to Five years – Continue to maintain shoreline certification web page and explore ways to improve access to shoreline data and streamline the shoreline certification process.

D. Objective/Policy #4 – Digitize 100% of the State's official maps and related documents and make the electronic copies accessible on the Program's website.

1. Required Action

Continue to scan the Program's official maps and related documents and make the files available online.

2. Past Year Accomplishment

Over 2,000 survey files were scanned.

3. Implementation Timetable

- a. One year – Inventory, assess, and prioritize the State’s official maps. Continue to scan maps and related documents according to priority and add them to the Program’s website as they are completed. Acquire a five year lease of a new wide format print, copy and scan-to-file system to reduce costs.
- b. Two to Five years – Continue to scan maps and related documents according to priority and make the files accessible on the Program’s website as they are completed. Explore and take advantage of opportunities and partnerships to help scan survey maps and related documents.

IV. Performance Measures

- A. Customer Satisfaction measure – The Land Survey Division program’s effectiveness is measured by its completion rate and duration of its major functions. An evaluation of the program by Survey’s customers will be conducted annually and areas of concerns will be addressed.
- B. Program Standard measure – In-house status reports measure the output of the various survey functions. Standards comparable to the private sector will be developed to monitor the program’s effectiveness and to address areas of deficiencies.
- C. Cost Effectiveness measure – Annual cost of operation compared to output will be assessed to determine cost effectiveness and comparison will be made with the private sector’s costs. However, mandated functions that cannot be privatized and have no alternative measures will be given serious consideration to assess fees to offset actual costs to government.

DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES
ANNUAL REPORT ON GOALS, OBJECTIVES AND POLICIES

January 2021

Program ID/Title: AGS 221/Public Works – Planning, Design, and Construction

Contact Person/Phone Christine L. Kinimaka/586-0526

I. Goal

Improve the quality of design, construction and renovation of facilities.

II. Objectives and Policies

A. #1 – Acquire quality design for construction and renovation of facilities.

1. Continue to update requirements for design consultants contained in the Design Consultant Criteria Manual (DCCM). Implement new requirements mandated by policies, laws, codes and regulations, etc.
2. Continue to educate users, consultants, suppliers, contractors, and others on DAGS standards, project specifications, budgetary constraints, policies and procedures to promote clear understanding of requirements and realistic expectations, based on functional and financial analyses, for projects. Meet with professional architectural/engineering and construction industry organizations on a regular basis to obtain technical and administrative feedback.
3. Expand use of database and collaboration software for a document review, storage, retrieval and management system that will facilitate coordination and tracking of DAGS-PWD/user agency design phase work tasks such as design submittal reviews. Target improvement objectives:
 - a. Electronic Plan File Room (Platform)
 - b. Project Files/Documents
 - c. Digitizing paper documents

B. #2 – Improve design and construction performance

1. Continue to consider alternative procurement methods for construction awards with consideration given to bidders' experience and qualifications, past performance, capacity to do the work, and other criteria rather than base awards primarily on low bid.

2. Closely monitor and advise consultants and contractors of desired outcomes to enable satisfactory or better performance.
 3. Initiate more efficient and paperless communication, verification, and archiving per the Governor's eSign initiative and improving on the way government conducts business.
 4. Implement changes to existing processes and procedures with the goal of improving on project delivery based on the triple constraints of scope, schedule and budget.
- C. #3 – Subject to the results of cost analysis of payback, present value and other financial analysis techniques, continue to recommend and undertake energy efficiency/conservation projects for DAGS buildings and for other user agency facilities as mandated or requested and as funding permits.

III. Action Plan with Timetable

A. Objectives/Policy #1 – Acquire high quality design for construction and renovation of facilities.

1. Past Year Accomplishments

- a. Objective #1.1 – Updated the DCCM in March 2020 and August 2020 with the goal of assuring consultants incorporate the latest DAGS practices into their project documents.
- b. Objective #1.2 – Continued meetings and discussions with the General Contractors Association (GCA), the Building Industry Association (BIA), the Associated Builders and Contractors, Inc. (ABC), the Subcontractors Association of Hawaii (SAH), the American Council of Engineering Companies of Hawaii (ACECH), City and County of Honolulu Department of Planning and Permitting, and other government agencies to share information and update parties on policies and procedures regarding design and construction matters.
- c. Objective #1.3 – Implemented the following:

Instituted efforts to improve the accuracy, reliability and usability of the electronic plans system. Provided training on the electronic system to staff and management.

2. One year – Bi-annual update of DCCM to improve project delivery timeliness, quality, cost and efficiency on design and construction performance. Continue to update the PWD internet website to provide user-friendly access to forms, instructions and information for clients and

contractors. Continue staff, consultant, contractor and client training in utilizing the project collaboration platform. Expand use of archiving platform to other types of Public Works documents.

3. Two years – Continue to improve website information tailored to the needs of the design and construction communities. Continue to refine DCCM. Utilize the project collaboration platform for all projects initiated by DAGS Public Works Division.
4. Five years – Continue to upgrade the computerized automated project database and recordkeeping systems. Continue to evolve the website according to industry standards.

B. Objectives/Policy #2 – Improve construction performance

1. Past Year Accomplishments

- a. Objective #2.1 – Continued to explore other construction procurement methods as alternatives to the low bid method. Statewide ESPC encompassing additional Oahu state office buildings and neighbor island State office buildings is ongoing.
 - i. Continued design and construction activities under a design-build contract for the Hawaii State Hospital New Patient Facility.
 - ii. Issued a Request for Qualifications and completed identification of three priority listed respondents for a Public-Private Partnership redevelopment of the Aloha Stadium site to provide a New Aloha Stadium Entertainment District.
 - iii. Completed Phase I and began Phase II planning for the Relocation of Oahu Community Correctional Center, Oahu, which includes consideration for innovative project delivery. Phase II will provide the business case and due diligence to shape the anticipated Request for Information, Request for Qualifications, and Request for Proposals.
 - iv. Continued use of “Indefinite Quantity Contracting” for the installation of Disaster Warning and Communication System Devices (sirens) statewide with geographic contracts. The geographic contracts were procured to allow for the most competitive pricing for each geographic region rather than doing a statewide contract.
 - v. Public Works Division staff continue to participate in online on-demand workshops on State Procurement procedures to assure

compliance with State Procurement Office requirements and departmental requirements.

- b. Objective #2.2 – Continued implementation of a quality control process to assess overall project performance on selected projects based on review of change orders and other documentation using the triple constraints of scope, schedule and budget to assess performance. Implementation includes identifying “lessons learned” events and situations to improve future project performance by all involved in the project delivery process including consultants and contractors.
 - c. Objective #2.4 – Implemented the following initiatives:
 - i. To facilitate improvement in the overall project delivery process by initiating projects at an earlier stage, implemented a request process via an annual Comptroller’s Memorandum to all user agencies to initiate their project requests to the Public Works Division as soon as possible.
 - ii. To strengthen the consultant selection process, implemented changes to facilitate improvements and efficiencies in the overall selection process.
 - iii. To ensure staff remain up to date in planning, design, project management and construction management processes and practices, continued using an on-line, on-demand training program. Specific topics covered have included scheduling and use of schedule software, risk management, project management, construction claims analysis, and proper use of tax-exempt general obligation bond funds. Other topics including quality controls, time impact analysis, alternate project delivery methods, and other subjects relevant to PWD’s functions and services will be covered as part of the overall training program.
 - iv. To ensure quality PWD work products, continued to employ a process to review and, as deemed necessary, revise and/or reinforce procedures, based in part on the knowledge gained in training (refer above to c.iii.). Changes to date in the process of implementation include a focus on risk management and a reemphasis on project schedules.
2. One year – Continue to consider alternative procurement methods to low-bid awards. Continue to establish and refine instructions for staff, consultants, and contractors on using a boilerplate specification for use of the Electronic Procurement System (HiePRO) electronic bidding system.

Participate in evaluation of the feasibility of the HiePRO procurement system for construction projects.

3. Two years – Bid out all eligible and appropriate projects using an electronic procurement system to replace or supplement the current hard copy sealed bids. Determine appropriate alternative procurement methods for various situations. Provide customer service training for staff. Obtain outside trainers for in-house staff training if necessary.

Complete transactions for all appropriate project business processes with online archiving and services.

4. Five years – Increase utilization of online collaboration project management and construction management platform to expedite the decision-making process and overall project delivery process from bidding out projects, initiating projects in the planning stage, implementing the design process, improving construction management, and ensuring quality control.

C. Objective/Policy #3 – Continue to plan, design and implement energy efficiency/conservation projects for DAGS buildings and for other user agency facilities as funding permits.

1. Past Year Accomplishments:

- a. Continued construction of DAGS Facilities, incorporating energy efficiency improvements, where feasible, during FY 2020.
- b. The following energy efficiency/conservation related projects were under construction during FY 2020:
 - i. Hawaii State Hospital New Patient Facility, LEED Silver goal.
 - ii. Kona Judiciary Complex, LEED Silver goal.
- c. The following energy efficiency/conservation related project completed construction during FY 2020 and are seeking LEED Silver certification:
 - i. Kona Judiciary Complex, LEED Silver goal.
- d. Continued to utilize a process for financial analysis of proposed projects utilizing both payback and discounted cash flow analysis techniques.

2. One year:
 - a. Continue to refine energy efficiency projects that incorporate financial analysis techniques such as payback and present value methods and processes during the design and construction phases of selected projects.
 - b. Review/evaluate/assess “lessons learned/results” from ESPC projects and projects that incorporated LEED, building commissioning, during the design and construction phases to determine benefits and costs.
 - c. Continue working on the Statewide ESPC program that includes other Oahu State facilities and neighbor island State facilities.
3. Two years – Continue to plan, design and construct energy and cost-efficient buildings. Refine design requirements, methodology, incorporate new technology and material. Subject to funding, implement the recommendations of the retro-commissioning investigations conducted for the public libraries. Develop and implement an Energy Conservation Implementation Plan in conjunction with the Central Services Division. The DAGS Public Buildings, Statewide, Energy Conservation Planning project was started for this purpose.
4. Five years – Develop and implement revised Policies and Procedure and/or changes to the DCCM on the use of LEED/energy initiatives and building commissioning and retro-commissioning processes as appropriate during the design and construction phases for other projects. Retro-commission public buildings every five (5) years as required by HRS §196-30 (Act 155, SLH 2009), subject to funding availability.

IV. Performance Measures

A. Customer Satisfaction Measure

Acquire high quality construction and renovation of facilities.

1. Review, evaluate and measure user and staff ratings of consultants and for all projects through customer satisfaction surveys and polling.
2. Obtain, analyze and record evaluations from user agencies on the performance of consultants and project results.
3. Follow-up with consultants and contractors with less-than-satisfactory ratings and results.

B. Program Standard Measure

Acquire good quality construction and renovation of facilities.

1. Obtain feedback from users on the quality of workmanship.
2. Obtain feedback from users on the amount of maintenance required post-construction/renovation compared with maintenance prior to construction.
3. Continue to measure and evaluate the number and types of change orders.
4. Measure and evaluate the project schedules.

C. Cost Effectiveness Measure

Acquire high quality construction and renovation of facilities.

1. Continue to evaluate changes in the number, value, and types of change orders during construction.
2. Measure and evaluate the number of projects that are completed on schedule and within budget.

DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES
ANNUAL REPORT ON GOALS, OBJECTIVES AND POLICIES

January 2021

Program ID/Title: AGS-223/Office Leasing
Contact person/phone: Bridget Sawai/586-0505

I. Goal

Improve the office leasing services provided to user departments.

II. Objectives and Policies

- A. #1 - Reduce the average number of days to complete lease requests to one hundred fifty (150) working days.
- B. #2 - Improve various areas of the Leasing Branch's operations.

III. Action Plan with Timetable

- A. Objective/Policy #1 - Reduce the average number of days to complete lease requests to one hundred fifty (150) working days.

1. Past Year's Accomplishments:

- a. Completed hiring of the permanent Leasing Specialist position 2020. This will help us to catch up on our lease renewal backlog and continue our support of user departments for their office leasing needs.
- b. A new exhibit has been established and incorporated to our lease to secure approval from the Attorney General's office, in advance of any delays to the early occupancy date, which occasionally results from the landlord's delay in providing our access to the leased space. This is because construction of improvements by the landlord may take longer than expected, which delays our access to the space, and pushes back the lease start date and any rent step-up dates. This will also avoid our staff from having to quickly prepare and execute a formal amendment to the lease.

- c. Tracking of Lease Requests – We continued to utilize the lease tracking system to track the status of user requests for new leases, leases pending renegotiations, as well as tracking of incoming and outgoing branch correspondence. Additionally, we used this tracking system to retrieve data to determine the number of lease requests completed, and the number of days to complete leases. The report continues to be a management tool to account for each lease request, and track its progress.
- d. Educational and Networking Opportunities – Our staff attended an annual presentation organized by various real estate and tourism related organizations on forecasting various sectors of the real estate market, including commercial real estate. These presentations provided valuable staff training, as well as opportunities for networking with industry professionals, including property managers and landlords' broker representatives.

2. Required Actions

- a. Continue providing training the new Leasing Specialist on leasing policies and procedures, and bill payment matters.
- b. Initiate improvements to our branch policies and procedures that are consistent with the policies of DAGS Fiscal Office, Pre-Audit Branch, and the Attorney General/Land and Transportation Division, and seek procedural improvements which can help expedite the leasing process.
- c. Work with the Attorney General's office to develop a policy to determine which division of the Attorney General's office will perform lease reviews for office space in DAGS controlled state facilities, leased to private and non-profit tenants.
- d. Continue to coordinate with the PWD, Planning Branch to pursue lease consolidations into any available state buildings to create operational efficiencies for user agencies, and to reduce our lease inventory and related leasing costs.
- e. Restore the Leasing Specialist position which was abolished in 2009 due to the Reduction in Force (RIF) action.
- f. Have Americans with Disabilities Act (ADA) site surveys completed for commercial properties which can be considered for lease.
- g. Seek new and creative ways to encourage landlords to begin the HCE process sooner in order to obtain their tax clearance compliance from the State and Federal tax offices.

- h. Due to COVID-19, assist the various State agencies who are downsizing their staff and/or the termination of their programs, requiring smaller leased spaces or need to early termination of leases. In addition, there are addition unbudgeted building operating expenses, or common area maintenance (CAM) being charged by Landlords/Property Management Companies for increased labor and supplies needed to disinfect the interior and common areas of the buildings. We are working closely with the State agencies and the Landlords/Property Management Companies to resolve issues relating to COVID-19, which includes but not limited to negotiation for smaller spaces, early termination of leases and monetary penalties for early termination of leases. There also may be a need to research and locate new spaces for the State agencies, depending on their situations.

3. Implementation Timetable

- a. One Year – Get landlords to apply for and secure HCE tax clearances before leases are executed, to prevent delays in the lease start date.

Pursue any needed revisions/updates to our branch policies and procedures and seek improvements to streamline the leasing process.

Complete the training for the Leasing Specialist.

- b. Two Years – Coordinate with PWD, Planning Branch to pursue office relocations from lease space to available space at the Keoni Ana building, Kaneohe State Office Building and any other DAGS controlled office building that becomes available for occupancy.
- c. Five Years (or less) - Using the ADA site surveys, develop a state-wide list of commercial office properties which meet the State's minimum ADA requirements.

Pursue restoration of the Leasing Specialist position which was abolished in 2009 due to the Reduction in Force (RIF) action.

Provide input and coordinate with the Office of the Attorney General, Administration Division, in working out a policy to address which division of the Attorney General's office, provides services to review leases to private entities and non-profit organizations, for DAGS controlled state facilities.

- B. Objective/Policy #2 - Improve on various areas of the Leasing Branch's operations.

1. Past Year's Accomplishments

- a. Working with AG's office for the preparation of document to cancel the Certificate of Participation (COP) lease (No. 1 Capitol Building formerly known as Hemmeter Building), which expired on 5/1/2020.
- b. Continued to work with our branch secretary to update branch policies and procedures, and the Leasing Information form PWD 500 to improve our branch's Access data base program.
- c. Pursued delinquent asbestos inspection /surveys reports from landlords that were supposed to be completed and attached to our leases as an Exhibit C.
- d. Upgrade Office Equipment – We replaced 4 outdated computers and monitors.
- e. Due to COVID-19, employees are allowed to telework, thus, laptops were purchased for the staff.

2. Required Actions

- a. Revise and update the standard form lease, and branch policies and procedures whenever situations arise which impact current conditions, or cause disruption, so that operational improvements are ongoing.
- b. Update the branch's policies and procedures with respect to the leasing process, data collection/input, and the lease encumbrance and payment process. Continue working with DAGS Systems and Procedures Office (S&PO) to assist with any necessary updates to our Access data base program. The updated policies and procedures will also serve as training material for new staff.
- c. Collaboration with DAGS-PWD, Planning Branch to create a departmental request form letter, which will serve as dual purpose for Planning Branch and Leasing Branch. The form letter will be submitted by the department directors to the Comptroller via the PWD website. This form letter will have a section for the departments to state what the program needs are and the type of action to be taken by Planning Branch/Leasing Branch. This form letter will also expedite the review time of the space comp forms by Planning Branch. If there are no changes to the space comp information, then Planning Branch will reiterate the space comps authorized at any earlier date, and any additional information to the programs by way of the departmental form letter.

- d. Follow up with any landlords who are delinquent in completing their asbestos inspection/survey reports.
- e. Continue to minimize office storage requirements by eliminating or reducing unnecessary architectural plans & specifications for our various lease locations.
- f. Crosstrain an employee (from Public Works Division) on C-41 contract encumbrances, lease payments, purchase orders and P-Card purchasing.

3. Implementation Timetable

- a. One Year – Continue revising or adding new branch policies and procedures as necessary, to keep branch operations current.

Conduct the second phase for pursuing delinquent asbestos inspection/survey reports for month-to-month leases.

Work with the Attorney General's office to have any needed revisions and updates approved for our standard form lease.

Review all office renovation plans in storage and retain or destroy, as applicable.

Crosstrain an employee (from Public Works Division) on C-41 contract encumbrances, lease payments, purchase orders, and P-Card processing.

- b. Two Years – In order to update our Access data base program, complete the documentation of all branch policies and procedures with respect to the leasing process, data collection, and the lease encumbrance and payment process.
- c. Five Years (or less) – Continue to work with PWD, Planning Branch to expedite the review time of the space comp forms by creating a departmental form letter, which will be added to the PWD space comp website. If there is no change, then Planning Branch will reiterate the space comps authorized at any earlier date, and any additional information to the programs by way of the departmental form letter.

IV. Performance Measures

A. Customer Satisfaction Measure

1. Pursue evaluations from user departments concerning improvements to our leasing forms and instructions, the effectiveness of our website, and how it has helped in preparing and/or submitting leasing forms/requests more easily and efficiently.
2. Obtain evaluations of our branch's leasing services after we are successful at restoring the Leasing Specialist position. Areas identified by user departments which require attention, will be addressed immediately.

B. Program Standard Measure

1. Seek measures of comparison with other States, and applicable branches of State, County or Federal governments who perform office leasing services.
2. Evaluate the program's efficiency in reducing the average amount of time needed to complete new lease requests, relative to program staffing.

C. Cost Effectiveness Measure

1. Compare the actual cost per square foot for our leases in specific locations, with the published asking rates for lease space in similar areas.
2. Determine the extent of lease savings created from any revisions to the DAGS Office Space Standards.

DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES
ANNUAL REPORT ON GOALS, OBJECTIVES AND POLICIES

January 2021

Program ID/Title: AGS-231/Central Services-Custodial Program

Contact Person/Phone: James Hisano/831-6734

I. Goal

The goal of the Custodial Program is to deliver timely and quality services, while continuously seeking the needed feedback to improve its services to users and occupants of its assigned buildings.

II. Objectives and Policies

As a means of attaining the stated goal, the program will implement the following objectives:

- A. As a short-term objective, the program will maintain an 80% or higher customer satisfaction rating as measured through semi-annual surveys of building occupants. The 80% percentile has been selected to align with the program's annual variance report, Part II "Measures of Effectiveness."
- B. Within a five-year period, policies will be implemented to improve the satisfaction to a level of 85% or better.
- C. In order to realize the stated goal and objectives, the following action plan has been developed.
 - 1. Implement on-going training for each custodian to improve efficiency productivity and effectiveness in order to attain a satisfaction level of 85% or better.
 - 2. Develop a training program for the Janitor II and Janitor III positions to make them effective in performing minor repairs and groundskeeping.
 - 3. Collect and evaluate semi-annual customer satisfaction surveys for all buildings on Oahu.
 - 4. Investigate ways to streamline support procedures to allow staff to concentrate on customer service and responsiveness, instead of paperwork.
 - 5. Continually develop and refine the program's measures of effectiveness to determine how well the program is delivering services.

6. To implement the inspection checklist for worksites by the Janitor III's and to follow up on deficiencies.
7. Investigate ways to better coordinate repair requests with trades staff from the Building Repair and Alterations Program.
8. Refine in-house training program to include formal classroom training, as available.
9. Improvement of the workforce through the refinement of the employee selection process by focusing on good customer service skills, supervisory potential and strong custodial and building maintenance skills.

III. Action Plan and Timetable

A. Past Years Accomplishments

Highlights of the past year's program activities are as follows:

1. Following the protocol developed by the Center of Disease Control, a response plan has been developed and implemented to ensure the safety of the staff and general public. Included are the disinfecting of common touch points, washing hands frequently, maintaining social distancing and encouragement of wearing face masks.
2. Sanitizing stations with stands and refills, disposable gloves, and face masks have been ordered through the Hawaii Emergency Management Agency (HI-EMA).
3. Planning to initiate in-house training has started. Blood Borne Pathogens will be the first training subject that will begin in July 2020.
4. Demolition has begun of the cottages that were destroyed by fire at the Wahiawa Civic Center.
5. Planning has begun in preparation of the move by the Department of Public Safety into the Keoni Ana Building.
6. Bids solicited for the installation of cipher locks and deadbolts at the State Capitol.
7. Participated in the planning of Children and Youth Day at the State Capitol on October 6, 2019.
8. Soffit repair project started on the Diamond Head side of the State Capitol.

9. Removal and replacement of the concrete coating on the Diamond Head parapet at the Kalanimoku Building has started.
10. Provided assistance with the project to secure the underground parking lot at the Kalanimoku Building.
11. Design work for the re-keying of DAGS buildings has been completed
12. Contract to modernize the two elevators at the Keelikolani Building, Phase II has been awarded and work is scheduled to start during the first half of fiscal year 2020.
13. The program continues to systematically replace aging custodial equipment as funds are available.

B. One Year

In addition to the above, work continues in the following areas:

1. Continue to expand the use of environmentally friendly cleaning products and procedures in facilities serviced by the division.
2. Continue to refine surveys as a method to measure the level of satisfaction of building occupants with the services being provided.
3. Continue to monitor building operations as related to improving energy efficiency, and the utilization of other resources.

C. Two Years

Increasing participation and improving the skill level of the custodial staff in accomplishing minor building repairs.

D. Five Years

1. The program will continue to refine objectives that were previously Identified, such as training in custodial and building maintenance skills, broadening the involvement of the custodians in the area of building maintenance and the streamlining of procedures to reduce paperwork.
2. The program will follow-up on unfinished objectives and any new initiatives that may be identified. As needed, priority items will be expedited.

IV. Performance Measures

A. Customer Satisfaction Measure

Semi-annual user surveys are utilized to obtain feedback to determine the Program's effectiveness, and to identify areas that require improvement. Follow-up action will be taken to assure satisfaction whenever and wherever possible.

B. Program Standard Measure

Using the private sector as a model, performance standards have been established and used to base worker performance, expectations, and to conduct and verify internal inspections.

C. Cost Effectiveness Measure

Costs will be obtained from private sector sources and used as a guideline to determine the competitiveness of the program. Comparisons will be based on the concept of "prevailing wages".

DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES
ANNUAL REPORT ON GOALS, OBJECTIVES AND POLICIES

January 2021

Program ID/Title: AGS-232/Central Services-Grounds Maintenance

Contact Person/Phone: James Hisano/831-6734

I. Goal

The program will strive for quality and consistency in the delivery of groundskeeping, tree trimming, and refuse pickup services. Program activities will reflect a continuing commitment towards cost efficiency, productivity, relevancy, and timeliness of services.

II. Objectives and Policies

As a means of attaining the stated goal, the program will implement the following objectives:

- A. Maintain an 80% or higher customer satisfaction rating as measured through surveys of groundskeeping, tree trimming and refuse pickup services.
- B. Within a five-year period, incrementally move from a baseline 80% rating to a 90% or higher rating in meeting established standards.
- C. In order to meet the stated goals and objectives, the program has, or will implement the following action plan which has been developed.
 - 1. Create and maintain standards for affected program activity. Validate standards against industry comparable or other public sector agencies.
 - 2. Develop internal inspection standards and processes to confirm that standards are being maintained and conduct periodic user surveys to gauge customer satisfaction.
 - 3. Conduct training for groundskeeping staff to assure proper knowledge of program standards and effective work technique.
 - 4. Implement and maintain a planned beautification program to revitalize assigned grounds.
 - 5. Implement systematic repair/renovations of irrigation systems at assigned facilities.

6. Develop a tangible record keeping system, i.e., use of work orders or work tickets to validate the type and quantity of work performed by staff.
7. Develop a process to periodically evaluate standards and validate the internal inspection process.
8. Identify the types of equipment that will facilitate workflow and increase productivity, e.g., larger mowers, blowers, etc.
9. Develop a cyclical replacement program for equipment and vehicles to assure that the necessary tools are available to support program activity.
10. Through the Internet, develop and maintain a customer satisfaction survey for different program activities.

III. Action Plan and Timetable

A. Past Years Accomplishments

Highlights of the past year's program activities are as follows:

1. Following the protocol developed by the Center of Disease Control, a response plan has been developed and implemented to ensure the safety of the staff and general public. Included are the disinfecting of common touch points, washing hands frequently, maintaining social distancing and encouragement of wearing face masks.
2. The newly formed Power Mower Unit III started to service the six (6) Oahu cemeteries that have been assigned to the division.
3. A contract to purchase a new refuse truck was awarded.
4. New trash bins with securable covers have been purchased as replacements for older bins that are no longer repairable.
5. The program continues to retain the services of certified arborists to inspect large trees at various facilities to determine their health and viability.
6. Completed the trimming of large trees, coconuts and other palms at Assigned facilities.
7. Continue efforts to fill vacant Landscape Architect and other groundskeeping positions.

B. One Year

In addition to the above, work continues in the following areas:

1. Based on the availability of funds, continue the program of renovating irrigation systems and landscaping at various assigned facilities.
2. Replacement of aging grounds maintenance equipment continues.

C. Two Years

Continued refinement of the internal inspection process to identify areas that require additional attention and to validate performance levels of the groundskeeping staff.

D. Five Years

The program will follow-up on unfinished objectives and any new initiatives that may be identified. As needed, priority items will be expedited.

IV. Performance Measures

A. Customer Satisfaction Measure

A semi-annual written survey/evaluation for the program's target groups will be distributed. Any areas of concern identified through this survey will be immediately addressed.

B. Program Standard Measure

Standards comparable to the private sector will be formulated and monitored through internal staff inspections. Areas of concern will be corrected through established response criteria.

C. Cost Effectiveness Measure

Private sector costs will be solicited and maintained to assure competitiveness. Additionally, annual costs will be monitored and any significant variance in expenditures shall be evaluated and corrective measures implemented as needed.

DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES
ANNUAL REPORT ON GOALS, OBJECTIVES AND POLICIES

January 2021

Program ID/Title: AGS-233/Central Services-Building Repairs and Alterations

Contact Person/Phone: Dean Shimomura/831-6730

I. Goal

The program will strive to provide timely, responsive, quality, cost effective and innovative repair and maintenance services to public buildings, libraries, and health centers statewide and focus on reducing building operating costs for DAGS' facilities.

II. Objectives and Policies

- A. Maintain an 80% or higher customer satisfaction rating as measured through quality assurance checks for scheduled minor repairs and for staff initiated major repairs (in-house work and 3-quote contracts).
- B. Incrementally increase the 80% satisfaction rating to a 90% or higher rating during a five-year period. This more realistic 90% percentile target has been selected in lieu of the previously reported 98%. This reduction is based on the subjective nature of survey responses.
- C. In order to meet the stated goal and objectives, the program has, or will implement the following action plans.
 - 1. Annually, complete \$175,000 of in-house repairs. These projects will be done during normal workday and overtime hours.
 - 2. Generate a minimum total of \$220,000, as funds are available, in vendor contracts annually to conduct timely repairs in assigned facilities statewide.
 - 3. Annually, accomplish \$65,000 or more of emergency repairs by doing it in-house or contracting out.
 - 4. Maintain a program of scheduled maintenance for minor repairs to assure that each assigned facility receives adequate coverage.
 - 5. Develop a comprehensive plan, thru an asset management software, to identify and initiate major repair projects in assigned public buildings, libraries, and health centers statewide.

6. Formalize procedures to work closely with Building Coordinators and with the Custodial Program's Building Managers to provide technical advice to building occupants on office renovation and to sequence minor and emergency repairs in the most efficient manner possible.
7. Work with private sector vendors to identify quality and efficient building materials which will last longer and require less maintenance. Subsequently, develop and maintain appropriate pricelists to procure such products.
8. Identify and provide tools and equipment that will facilitate work flow and increase productivity through review of literature, attendance at trade shows, and field tests.
9. Maintain the on-line customer satisfaction survey with a feedback mechanism, i.e., publication of response statistics.
10. Provide new and refresher training for program staff to maintain a high awareness of work place safety and proper work procedures.
11. Introduce and maintain program automation by training key program staff on the use of appropriate computer software and mini-computer applications.
12. Maintain a standard operating procedures manual to provide continuity in purchasing, paperwork, and to facilitate the retraining of newly hired or promoted staff.

III. Action Plan with Timetable

A. Past Year's Accomplishments

Items Nos. 1-4 and 6-12 have been completed and are being periodically refined. A summary of activities follows:

1. The program has continued to concentrate on improving the quality of its services by using an online quality assurance survey program which is directly connected to the work order system. This allows the program to initiate timely corrective action and provide better services to our customers, the building occupants.
2. The program has initiated a project that will create a process and the procedures to provide the tools to collect and manage its asset information. This should greatly improve and simplify the storage of asset information and the storage, prioritizing and reporting of backlog projects.

3. Due to the COVID-19 pandemic, numerous challenges included, stay-at-home orders, adjustments to include proper social distancing, financial limitations, and an increase in vandalism to our properties. The program adjusted by completing smaller in-house preventative maintenance projects on DAGS facilities and operated with a focus to “keep everything safe and operating”.
4. Program staff has continued to attend training and have looked at different technologies which may be used to improve maintenance, durability, and energy and operating efficiency.

B. One Year

1. The program will continue to identify energy efficient projects per the requirements of Act 96, SLH 2006, which mandates and focuses the state’s efforts on energy efficiency, conservation, and energy alternatives.
2. The program will continue the process to create and implement the procedures to collect, prioritize and manage its asset and backlog information.
3. The program will continue to seek and identify funding, on a five-year cycle, to retro-commission all DAGS facilities, on Oahu, per the requirements of Section 11 of Act 155, as amended in SLH 2009.

C. Two Years

1. The program is also planning to continue to update the major repair backlog by capturing major building operating components and using component lifecycle guidelines to evaluate its existing useful life.
2. The objectives as outlined in the above Items Nos. 1-12 will continue to be refined.
3. Identify and prioritize CIP projects for FY2021 through on-site visitations.

D. Five Years

1. The program will follow-up on unfinished objectives and any new initiatives that may be identified. As needed, priority items will be expedited.
2. The program hopes to have a functioning and updated work order and asset management database.

IV. Performance Measures

A. Customer Satisfaction Measure

Customer satisfaction surveys are sent to the customer for each major repair project that is completed by program staff. All customer satisfaction surveys for minor repairs will be included in the custodial surveys. Results will be tabulated and any comments warranting concerns will be immediately addressed.

B. Program Standard Measure

Standards and practices comparable to the private sector will be formulated and monitored through internal staff inspections. Areas of concern will be corrected through established response criteria.

C. Cost Effectiveness Measure

Private sector costs will be solicited and maintained to assure competitiveness. Additionally, annual costs will be monitored and any significant variance in expenditures shall be evaluated and corrective measures implemented as needed.

DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES
ANNUAL REPORT ON GOALS, OBJECTIVES AND POLICIES

January 2021

Program ID/Title: AGS 240/State Procurement

Contact Person/Phone: Sarah Allen/587-4700

I. Goals

To best serve the taxpayers of Hawaii and stakeholders in State and County agencies by providing effective and efficient procurement and inventory management practices, with quality, timeliness, maximizing competition, and maintaining integrity. To achieve the greatest value from procurement resources while creating a procurement environment and framework which nurtures a strong vendor community and peak vendor performance; to uplift the procurement career field across the State with a training and certification program to enhance the services and products provided to the citizens of the State of Hawaii, protect tax-payer's monies and successfully implement programs.

II. Objectives and Policies

A. Procurement Training

Develop a Hawaii State Procurement Certification process that will guide the career field within the State, to allow for certified levels of trained journeymen and experts. A statewide procurement training and certification learning management system (LMS) is a vital tool to ensuring the State of Hawaii develops a proficient workforce of procurement professionals who expend public funds in a manner that is compliant with applicable statutes, rules, and policies. The LMS will allow state and county procurement personnel to register online, take relevant procurement courses on-demand, and receive certification by passing quizzes. The LMS will further improve SPO's training program by:

- Offering a centralized source of learning,
- Automating data-keeping and reporting procedures,
- Bolstering knowledge retention with evaluation capabilities, and
- Simplifying the learning process.

The SPO is in the process of joining with the Department of Human Resource Development's LMS. Through the DHRD's LMS, Executive Department employees will have access to all the existing SPO trainings, and other department workshop, in a single sign on portal.

B. Electronic Procurement Systems

Integrate electronic purchasing to automate procurement processes, reduce procurement cycle times, and increase the competition for goods, services and construction.

Consolidate procurement notice and award databases with an eProcurement System for the following purposes: 1) create a more user-friendly single point of access for state procurement personnel; 2) create a more user-friendly single point of access for vendors and the public searching for opportunities to do business with the state and searching contract awards; 3) create a single source for accessing procurement data for analysis to enable strategic sourcing.

Develop an eMarketplace available to all State agencies, including local government entities and institutions of higher education to purchase goods and services in a quick and efficient manner.

Develop a One-Stop-Shop site, which will pull all solicitation and notice information from across the 21 Chief Procurement Officer Jurisdictions to one page that can be accessed by all interested vendors in order to enable business growth and economic development in Hawaii. Not only will this create a more responsive vendor market, but it will also give the State meaningful business analytics on the state of procurement across Hawaii.

C. Purchasing Card (pCard) Program.

Provide a robust program for the State of Hawaii, which will allow the State to manage the purchasing card program and individual departments to pro-actively manage and control pCard spend. Deploy a state-of-the art program without the need for special hardware or software, which will use an improved technology and business process for all users. The electronic processes will increase efficiency, reduce costs and with mobile connectivity eliminate paper-based processes.

D. Procurement Resources

Provide a variety of price and vendor list contracts that agencies benefit by receiving discounts on goods and services due to volume purchases. Additional advantages to cooperative contracts are efficiency savings – the administrative, procurement and contract management realized by each agency or jurisdiction, rather than having to solicit individual contracts, resulting in multiple contracts for the same commodity or service. Instead, these processes are managed by the SPO, and all participating jurisdictions and agencies are the beneficiaries of cooperative purchasing.

Provide consultation and advisory services to departments, its user agencies and other jurisdictions as the subject matter experts on the State Procurement Code. Additionally, the SPO provides procurement services to individual stakeholders by

conducting procurement that impacts the State that results in systemic value to the State's business activity.

Assist, advise, guide, and train purchasing agencies relating to planning and procuring health and human services. Review and process Executive Branch requests for chief procurement officer approval and protest requests for reconsideration. Conduct reviews and investigations of procurements of health and human services, as necessary. Maintain databases: 1) awards/contracts; 2) request for proposals; 3) requests for chief procurement officer approval; and 4) planned purchases reports. Prepare HRS Chapter 103F legislation and amendments to its administrative rules, as applicable.

E. Procurement Compliance & Legislative Actions

To provide Policy and Compliance consultation to State agencies and the public on policies and guidance on statewide procurement procedures, standards, and guidelines to ensure compliance with all procurement statutes, rules, directives and policies. As stewards of the Procurement Code, SPO shall continue to actively participate in the legislative process by preparing legislation and advising on revision to the procurement code.

The Policy and Compliance section of SPO strives to maximize their efforts in the reviewing of bills during each legislative session, provides guidance to properly implement the provisions of the legislation through drafting of administrative rules. The following is a list of other objectives that the Policy and Compliance Section is engaged in: conducting investigations due to public complaint, reviewing Hawaii Product applications, creating contract log statistics for the Executive Department, development of Protest Statistics, Chief Procurement Officers requests for approvals for Sole Source, Procurement Exemptions, Emergency Procurement, Restrictive Specifications, Contract Extensions, Procurement Violation Investigations, Delegation and Training, Contractors Suspension and Debarment and Hawaii Compliance Express.

Continue reviewing Hawaii Administrative Rules, specifically HAR 3-120 to 3-131, for clarity, consistency and adherence with procurement statutes and best practices.

F. Inventory

Continue to ensure accurate inventory reporting and compliance with policies and procedures pertaining to the management and recording of State property. Maintain the acquisition and transfer of property document files to confirm and verify the transferring of property between State agencies is properly documented. Review property disposal applications submitted by the executive departments, excluding Department of Education, Hawaii Health Systems Corporation, Office of Hawaiian Affairs, and University of Hawaii, to ensure conformance to the requirements of the rules and policies and procedures pertaining to proper disposal of State property.

G. Travel

Provide consistent policies and procedures for coordination and arrangement of travel for authorized business travel. Assist, guide, and train state personnel relating to travel coordination and arrangements. Conduct procurements relating to travel including, car rental and inter-island airfare.

H. Agile Acquisition

To best serve the State Agencies and Executive Branch Departments by researching and supporting agile acquisition initiatives that streamline processes and create a more efficient and effective procurement system. To actively work on increasing and improving communications across State Agencies, to share and incorporate best practices, and share lessons learned. To actively work on improving the culture of discussion and cooperation between State Agencies to offer consistent practices, cost savings and enhance timeliness of procurements. To participate in strategic actions to enhance the economic growth of Hawaii and support innovative, sustainable programs that enhance the lives of the people of Hawaii.

III. Action Plan with Timetable

A. Procurement Training	
1. Past Year Accomplishments	
a.	Continued on-demand training
b.	Perpetuated training programs for employees and vendors
c.	Reviewed and updated training class descriptions/synopsis
d.	Reviewed and updated training materials, forms and website
e.	Reviewed amended chapters 103D and 103F, Hawaii Revised Statutes (HRS), other related HRS such as chapters 103, 92F, 84, and applicable administrative rules for updates to training materials
f.	Researched and procured Training Development, Modification, and Delivery contract
g.	Researched and procured training content authoring software
h.	Converted existing training into a format compatible with LMS
i.	Completed implementation of LMS
j.	Developed Cost and Pricing training
k.	Uploaded Contract Law Fundamentals and Procurement pricing training to the LMS
2. One Year	
a.	Obtain reference materials and training for SPO staff in the most current procurement trends and procedures, including IT procurement and intellectual property
b.	Begin basic training on procurement life cycle statewide for procurement staff

c. Present at UH Business, Accounting and Law classes; start researching recruitment methods
d. Revise Contract Management training and upload to the LMS
e. Establish and implement training on government procurement and other relevant procedures for nonprofit organizations that offer homeless outreach services or manage homeless housing programs in rural areas of the State, as required by Act 162.
f. Develop grants guidance for service providers and state procurement buyers on complying with the Uniform Guidance (2 CFR § 200).
g. Migrate to a shared LMS with DHRD to allow for a uniformed training experience throughout the state and a streamlined registration for state employees
3. Two Years
a. Scan business, training and other environments for new training platforms, models and processes
b. Complete basic training on procurement life cycle Create Reference Library Structure and begin moving materials
c. Develop course in procurement planning
d. Begin planning for internship program
4. Five Years
a. Create SPO Training Division and Statewide Acquisition Academy & Center of Excellence
b. Create 1 position - Training and Development Director
c. Develop and hire two Training & Development Officers (total staff 3)
d. Create a certification program
e. Develop Intern policy
f. Implement full on-line Resource and Best Practices Library
g. Complete updating older training with a more interactive format
h. Complete implementation of testing for core procurement courses
i. Develop and implement Certification program
j. Develop and implement courses in Negotiations and IT Procurements
k. Develop and implement full-blown blended learning programs, encompassing scheduled courses, webinars, on-demand interactive training and in-person training
l. Develop and begin implementation of metrics reporting on effectiveness of training programs
m. Develop online community to discuss procurement issues and attract talent
n. Revisit departments to assess progress and needs and provide technical assistance
o. Scan business, training and other environments for new training platforms, models and processes
p. Begin development of a "Learning Concierge," a digital librarian that can assist procurement staff in finding relevant information, such as training modules, forms or sample materials they are unsure how to find and assist in determining which information is the most relevant

B. Electronic Procurement Systems	
1. Past Year Accomplishments	
a.	Enhanced HlePRO, including: amending Divisions to DAGS, DBEDT and DoTax for easier access. Adding help videos for Department Admins. Adding department admin functionality for User Management, Approval paths, Instructions and Announcements. Adding easier access to help video transcript from video file.
b.	Enhanced HANDS including: Giving departments the ability to view all archived CPO requests within their department.
c.	Began first stages of the HCE redesign.
d.	Continue market analysis for online catalogues
e.	Developed acquisition strategy for new eProcurement System
f.	Developed specifications for a new eProcurement System
2. One Year	
a.	Complete HCE Redesign.
b.	Complete review of additional eProcurement functionality needed and new technologies in eProcurement.
c.	Solicit proposals for an eMarketplace to include a new eProcurement system, funded by vendor collected fees from the eMarketplace.
d.	Create eMarket Place to fund the eProcurement System
e.	Begin implement of a new eProcurement system with a pilot program with the Department of Transportation/Airport Division.
f.	Work in tangent with DAGS for the integration of a new Financial system.
3. Two Years	
a.	Begin implementation on new eProcurement system for other executive branch agencies.
b.	Continue development and implementation of online catalogue shopping.
c.	Begin development of specifications for contract tracking system to provide dashboards for vendors, state personnel and the public.
4. Five Years	
a.	Continue implementing new eProcurement System for departments statewide.
b.	Continue training on new eProcurement system.
c.	Begin data analysis and reports from system.

C. Procurement Compliance & Legislative Actions	
1. Past Year Accomplishments	
a.	Reviewed approximately 117 legislative bills and resolutions that affected procurement.
b.	Responded to Chief Procurement Officer requests which are submitted by the Executive Branch. Request reviewed: 48 Procurement Violations; 39 Protest submittals (SPO-043) and 444 Chief Procurement Reviews (CPO) consisting of Sole Source Requests, Procurement Exemptions, Emergency Procurement requests, Restrictive Specifications, Contract Extension Requests, OIP requests, and unblocking of pCard purchases.
c.	Provided guidance through Procurement Circulars. Procurement Circulars written in FY20: 18.
d.	Protest Statistics. Processed SPO-043, Report of Procurement Protest Form, in order for Agencies to submit consistent/standardized data and track Executive Departments and CPO Jurisdictions Protests. Responded to questions from government agencies and the public on HCE compliance.
e.	Small Business Assistance Initiative, ACT 42, SLH 2017: The SPO contracted with Solutions Pacific, to provide outreach to small business and have them register as a small business in HANDS. Due to the lack of legislative funding support for the initiative, the contract with Solutions Pacific were terminated early for convenience. However, the SPO has chosen to continue the development of the Small Business Data Base, if in the future, the legislature decides to once again fund the Small Business Assistance Initiative.
f.	Consulted with numerous departments and agencies on proposed legislative initiatives that would involve procurement on policy, compliance, and implementation concerns.
g.	Effective January 4, 2016, SPO has taken the step to move our state government toward a more efficient “paperless” environment, by accepting only Chief Procurement Officer (CPO) review packages as digital submittals via email. Many of the departments have been submitting CPO reviews with department head’s electronic signatures to support government efficiency. In addition, internally set up process for procurement specialist to submit CPO reviews to the SPO administrator for e-signature.

h. Recent audits show that many departments are not maintaining a contract log, therefore on January 11, 2016, the SPO requested from all executive departments a detailed contract log, pursuant to HRS 103D-212, Collection of Data Concerning Public Procurement. The log captures information of each department's contracts by division, the procurement officer responsible for the contract, contract description, the awarded amount and funds added through modifications. Keeping a contract log will hopefully prevent departments from experiencing lapsing of contracts, contractors working at risk, and potential violations of the procurement code. Procurement Circular 2018-05, Amendment 1, issued on April 29, 2019, informed the departments to consider which contract can be a commodity
i. Continued reviewing Hawaii Administrative Rules, 3-120 to 3-131 for clarity and consistency. Sent completed sections to Department of Attorney General for preliminary review.
2. One Year
a. Finalize a SPO Investigation Standard Operating Policy to establish clear and well-defined procedures on recording and investigating possible procurement violations and procurement reviews. This policy will lead to greater efficiency and consistency while conducting investigations and audits. In order to accomplish this goal, standard criteria and charting the procedures need to be developed as well as gathering stakeholder input through emails, meetings, and phone calls.
b. Continue to review legislative bills and develop testimonies.
c. Continue to respond and make recommendations to Chief Procurement Officers requests which are submitted by the Executive Branch.
d. Continue to provide guidance through Procurement Circulars.
e. Continue to process SPO-043, Report of Procurement Protest Form.
f. Continue to respond to questions from government agencies and the public on HCE compliance.
g. Suspension and Debarment. Successfully issue Procurement Circulars, as needed, to notify Agencies/CPO Jurisdictions, which Vendors have been suspended/debarred and the suspension period of each Vendor. Issue Procurement Circulars, on behalf of DLIR, to notify Agencies/CPO Jurisdictions, which Vendors have been suspended pursuant to 104, Wages and Hours of Employees on Public Works.
h. Continue to consult with other departments and agencies regarding implementation of procurement policy.
i. Continue reviewing Hawaii Administrative Rules, HAR 3-120 to 3-131 for clarity & consistency. Collaborate with Department of the Attorney General

3. Two Years
a. Continue to review legislative bills and develop testimonies.
b. Continue to respond and make recommendations to Chief Procurement Officers requests which are submitted by the Executive Branch.
c. Continue to provide guidance through Procurement Circulars
d. Continue to provide Procurement Circulars on Suspension and Debarment.
e. Continue reviewing Hawaii Administrative Rules, HAR 3-120 to HAR 3-122. Send to the Department of the Attorney General office for review and present preliminary changes to Procurement Policy Board.
4. Five Years
a. Continue to review legislative bills and develop testimonies.
b. Continue to respond and make recommendations to Chief Procurement Officers requests which are submitted by the Executive Branch.
c. Continue to provide guidance through Procurement Circulars.
d. Continue to provide Procurement Circulars on Suspension and Debarment.
e. Submit to legislature small business advisory group's final report of all the recommendations, observations, and metrics elated to the small business assistance initiative, pursuant to Act 42 SLH 2017.
f. Continue reviewing Hawaii Administrative Rules, HAR 3-122 to HAR 3-131. Present changes to the Procurement Policy Board, conduct public hearings, implement changes.

D. Inventory
1. Past Year Accomplishments
a. Processed 894 state property transfers valued at \$3,376,700
b. Processed 26,402 inventory transactions
c. Processed addition inventory transactions valued at \$854,633,554
2. One Year // Two Years // Five Years
a. Continue to process state property transfers
b. Continue to process inventory transactions
c. Continue to process addition inventory transactions

E. Travel	
1. Past Years Accomplishments	
a.	Assisted travelers and travel coordinators in making travel arrangements and calculations of per diem, travel time off, and miscellaneous reimbursements; Reviewed and extended Intra-State Car Rental Contract and the Intra-State Airfare agreement.
2. One Year	
a.	Continue assisting travelers and coordinators with travel arrangements and calculations of per diem, travel time-off, and reimbursements.
b.	Update procurement circulars to be in line with changes in collective bargaining agreements.
c.	Coordinate with DAGS Accounting with the new Financial project which may include a Travel Expense Reporting Component.
3. Two Years	
a.	Update on-demand training.
b.	Amend HAR 3-10 to update language.
c.	Audit departments for travel procedure compliance.
4. Five Years	
a.	Conduct market research for the feasibility of a travel management contract.
b.	Conduct market research for online travel approvals.
c.	Update on-demand training.
d.	Continue assisting travelers and travel coordinators.

F. Agile Acquisition	
1. Past Year Accomplishments	
a.	Collaborated with Hawaii Emergency Management Agency (HI-EMA) and other entities by 1). Creating a digital purchase requisition and purchase order to contract needed goods and services in response to an emergency, i.e. COVID-19, 2) providing procurement expertise in sourcing, negotiating and contracting as part of ESF-7 Logistics, 3) creating templates and training for FEMA
b.	Educating SPO Procurement Specialists on Procuring Sustainably.
c.	Conducted strategic planning on three large public-private partnerships for the State.
d.	Conducted a business process reengineering review of DOT Airports for more efficient alignment to eProcurement System.
2. One Year	
a.	Update Procurement Wizard with easy-edit facility.
b.	Enhance Disaster Preparedness by, 1) offering continued guidance, and 2) adding to the comprehensive list of interested vendors who have the capabilities the State would need in a disaster situation(s). Develop standard operating procedures for declared emergency procurements that align to FEMA requirements.
d.	Conduct a business process reengineering review of Department of Human Services and two more large departments for more efficient alignment to eProcurement System.
e.	Publish statewide contracts to support the Governor's three priorities to protect public health, revive the economy and strengthen the community.
3. Two Years	
a.	Conduct a business process reengineering review of five medium departments for more efficient alignment to eProcurement System.
b.	Continue to support sustainable, economically viable programs across the State.
c.	Incorporate upload able library feature in Procurement Wizard to enable Knowledge Management state-wide.
4. Five Years	
a.	Implement eProcurement system for the Executive Branch.
b.	Continue to support sustainable, economically viable programs across the State.
c.	Continue to work with the CIO regarding the IT Transformation State-wide Initiative.
d.	Create a trained, ready workforce that can manage contingency contracting during a disaster. Integrate a working plan to partner with Alaska procurement specialists in Contingency exercises.

IV. Performance Measures

A. Customer Satisfaction Measures

1. Data from customer satisfaction surveys are collected with attendees of procurement training presentations.
2. Other stakeholder surveys are conducted as needed.
3. Program target groups (including purchasing jurisdictions serviced via cooperative purchasing price and vendor list contracts, statewide inventory accounts, number of agencies issuing health and human service solicitations, and number of purchasing card holders) are being measured annually.

B. Program Standard Measures

1. Program reviews are being done on SPO's training program and HlePRO as well as on other procurement and inventory functions. For example, other reviews cover compliance of inventory reporting in the State's financial statements and number of purchasing jurisdictions serviced by cooperative purchasing price and vendor list contracts.
2. pCard usage and expenditures are analyzed using reports from the pCard system to review the number of purchasing cards being used by the agencies and the dollar value of pCard purchases annually. Also reviewed is the ratio of pCard transactions over purchase order transactions.

C. Cost Effectiveness Measures

1. Reviews are being done on monetary savings resulting from the awarding of contracts using the HlePRO. Similarly, trend analyses are being accomplished for monetary savings stemming from the awarding of price and vendor list contracts.
2. Monetary savings from the transfer of State property between custodians are being measured.
3. Rebates received for purchasing card transactions provides an actual total of funds returned to the State.

DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES
ANNUAL REPORT ON GOALS, OBJECTIVES AND POLICIES

January 2021

Program ID/Title: AGS-251 / Automotive Management - Motor Pool

Contact Person/Phone: Brian Saito/586-0343

I. Goals

Furnish a safe, dependable, and well-maintained motor pool fleet; and provide light duty vehicle repair service to all state agencies on the islands of Maui and Oahu.

Maintain a positive revolving fund balance.

II. Objectives and Policies

Manage the acquisition, operation, maintenance and disposal of state motor vehicles to consolidate and minimize the number and cost of owning and operating state vehicles.

- A. #1 – Work within budget restrictions and provide vehicles that are safe and reliable for state agencies.
- B. #2 - Provide state motor vehicle services at lower cost than comparable private commercial motor vehicle services.

III. Action Plan with Timetable

- A. Objective/Policy #1 - Work within budget restrictions and provide vehicles that are safe and reliable for state agencies.
 - 1. Required Actions
 - a. Continue to identify state agencies whose vehicles were scheduled to be replaced. Continue fleet replacement planning which has been playing catchup due to multi-year curtailment from previous budget cycles.
 - b. Review affected agency vehicles to prolong operating life due to past budget restriction and inability to acquire new vehicles.

2. Implementation Timetable

- a. Past Year Accomplishment – Fleet replacement of aging Fleet is meeting fleet replacement goal of 10-12-year turnaround time
- b. One Year – Continue to adhere to budget to replace aging vehicles in fleet. Purchase and Test Electric Vehicles to determine range and cost feasibility.
- c. Two Years – Evaluate fleet planning and replacement schedule.
- d. Five Years – Re-evaluate customer satisfaction target of 90% and evaluate feasibility of revising motor pool program services if target objectives have not been achieved.

B. Objective/Policy #2 - Provide state motor vehicle services at lower cost than comparable private commercial motor vehicle services.

1. Required Actions

- a. Identify specific types of motor vehicle services provided by the state motor pool program.
- b. Identify comparable motor vehicle services available from private commercial services.
- c. Establish standards of performance to evaluate services provided by the motor pool for comparison with private commercial services.
- d. Evaluate costs of providing motor pool services against the cost of comparable private commercial services.

- e. Procure private commercial motor vehicle services which are more cost effective (cheaper) than state motor pool services.

2. Implementation Timetable

- a. Past Year Accomplishment – Changed out older fleet due to which was curtailed due to past budget restrictions. Program getting on track for 10-12 year replacement schedule.
- b. One Year – Continue to offer motor pool services to state agencies. Offer our services and expertise in fleet planning and vehicle maintenance.
- c. Two Years – Continue to evaluate costs of services provided by motor pool with cost of private commercial services.
- d. Five Years – Evaluate feasibility of revising motor pool program if costs of motor vehicle services provided is not cost effective.

IV. Performance Measures

- A. Customer Satisfaction measures – Survey developed and distributed to user agencies. Any areas of concern identified through the survey will be addressed immediately.
- B. Program Standard measure – Standards of performance to evaluate services provided by the motor pool established for comparison with private commercial services. Any areas of concern will be corrected through established procedures.
- C. Cost Effectiveness measure – Evaluate the cost of providing motor pool services against the cost of comparable private commercial services. Procure private commercial motor vehicle services, which are lower than the motor pool services.

DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES
ANNUAL REPORT ON GOALS, OBJECTIVES AND POLICIES

January 2021

Program ID/Title: AGS-252 / Automotive Management - Parking Control

Contact Person/Phone: Brian Saito/586-0343

I. Goal

Assess and collect fees to construct, operate, improve, and maintain parking facilities for state employees and the public on State Lands under the jurisdiction of the Comptroller.

II. Objectives and Policies

- A. #1 - Provide safe and convenient parking for employees and the public to access state government buildings.
- B. #2 - Control, operate and maintain state parking facilities with revenues from parking fees. Continue to generate revolving fund revenue necessary to construct, operate, improve, and maintain parking facilities.
- C. #3 - Maintain a 100% utilization of employee parking stalls and a 50% utilization of public metered stalls.

III. Action Plan with Timetable

- A. Objective/Policy #1 - Provide safe and convenient parking for employees and the public to access state government buildings.

- 1. Required Actions

- a. Evaluate the parking needs for each state building based on building code and program operational requirements.
 - b. Construct or provide safe and convenient parking facilities to meet the parking demand for each state building under the control of the Comptroller.

2. Implementation Timetable

- a. Past Year Accomplishment – Kalanimoku Security Gate Project completed. Completed smart meter install 3 lots. Vineyard, Kalanimoku and Iolani Palace facilities.
- b. One Year – Plan Lot W Waipahu, Lot L DOH , Lot M pave and restripe job.
- c. Two Years –Complete Lot W Waipahu, Lot L Lot M pave job..
- d. Five Years – Continue to update parking facility inventory and install new safety, security and convenience improvements to parking facilities.

B. Objective/Policy #2 - Control, operate and maintain state parking facilities with revenues from parking fees. Continue to generate revolving fund revenue necessary to construct, operate, improve, and maintain the parking facilities.

1. Required Actions

- a. Establish and enforce rules and regulations for managing and controlling the use of state parking facilities.
- b. Continue to identify all construction, operating and maintenance costs of state parking facilities.
- c. Develop and assess a parking fee schedule for various types of parking stalls which shall be used to generate revenues necessary to sustain the state parking program.

2. Implementation Timetable

- a. Past Year Accomplishments –Staff hired to actively patrol and enforce facilities. Preventive Maintenance program for gate operator and readers extend life of systems.
- b. One Year – Continue to monitor and evaluate the demand and utilization of existing parking spaces.

- c. Two Years – Review budget for the state parking program and initiate changes to parking fees if necessary to balance revenues with expenditures.
 - d. Five Years – Monitor the parking revolving fund balance and implement measures to maintain a positive fund balance.
- C. Objective/Policy #3 - Maintain a 100% utilization of employee parking stalls and a 50% utilization of public metered stalls.
 - 1. Required Actions
 - a. Monitor the utilization of state parking facilities and implement measures necessary to provide safe, convenient and economical parking to meet parking demand.
 - b. Establish equitable procedures for assignment of parking stalls for employees.
 - c. Evaluate the utilization pattern and demand for public parking and adjust the ratio of public stalls to employee stalls to maximize revenues and utilization.
 - 2. Implementation Timetable
 - a. Past Year Accomplishment – Kalanimoku Security Project planned and completed. Smart meters installed
 - b. One Year – Evaluate additional Pay Station Lots / Smart Meter for feasibility.
 - c. Two Years – Continue to monitor parking utilization rates for all parking facilities.
 - d. Five Years – Re-evaluate procedures and parking facilities if utilization percentages are not achieved.

IV. Performance Measures

- A. Customer Satisfaction measure – Provide employees and public with a form to encourage customer comments. Any areas of concern identified through these comments will be addressed immediately.
- B. Program Standard measure – Enforce rules and regulations for managing and controlling the use of state parking facilities and update policies and procedures as necessary.
- C. Cost Effectiveness measure – Monitor the parking revolving fund balance and implement measures as required to maintain a positive fund balance.

DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES
ANNUAL REPORT ON GOALS, OBJECTIVES AND POLICIES

January 2021

Program ID/Title: AGS-807/School Repair and Maintenance – Neighbor
Island Districts

Contact Person/Phone: Mari Joy Angsioco/974-6400(Hawaii)
Eric Akena/274-3033(Kauai)
Wade Shimabukuro/873-3504(Maui)

I. Goal

The program will strive to provide timely, responsive, quality, cost effective, and innovative repair and maintenance services to public schools on the islands of Hawaii, Kauai, Maui, Molokai, and Lanai.

II. Objectives and Policies

- A. Objectives and policies have been established in the Service Level Agreement (SLA) between the Department of Education (DOE) and the Department of Accounting and General Services (DAGS) dated August 12, 2015. The indicators are as follows:
1. Percent of outstanding work orders versus three (3) weeks of incoming work orders with a target of less than 100%.
 2. Emergency Work Orders Objective: greater than 90% responded within two (2) during work hours.
 3. T-calls: greater than 90% of T-calls responded within forty-eight (48) hours (excluding weekends).
 4. Four (4) month old work orders: greater than 90% of regular work orders less than four (4) months old.
 5. The performance objectives outlined above are based on the following assumptions:
 - a. The “roles and responsibilities” outlined in Appendix A of the SLA are adhered to by all parties.
 - b. DAGS is not required to perform in-house major R&M or staff contract projects during this time period.

- b. Number of emergency, t-calls and regular Work Orders received during any time period are similar to average historic number of Work Orders received during same time period.
 - c. Sufficient funds are available to purchase materials and supplies, hire contractors.
 - 6. Monitor U fund expenditures and adjust U fund budget amounts as necessary.
 - 7. Continue the cycle maintenance program at schools.
 - 8. Administer service contracts such as refuse collection, elevator maintenance, air conditioning maintenance, grease trap maintenance, septic system maintenance, tree trimming, fire alarm, and program bell maintenance, etc.
 - B. Utilize, maintain, and update the DOE Maximo work order system.
 - C. Utilize and update the DOE repair and maintenance project backlog in the DOE Caspio system.
 - D. Reduce accidents and injuries by providing safety equipment and training to employees.
 - E. Promote the use of modern tools and procedures to maximize worker productivity and efficiency.
 - F. Replace computer hardware and software as needed to prevent obsolescence as funds permit.
 - G. Reduce the number of outstanding minor repair work orders.
 - H. Work to maximize limited program funds. Obtain the best values when purchasing services, materials, and supplies. Work overtime at distant locations such as Hana to avoid or minimize consecutive trips.
- III. Action Plan and Timetable
- A. Past Years Accomplishments
- The neighbor island program has continued to improve in consistently meeting and achieving the goals and objectives contained in the SLA. The

program also assisted the schools with the installation of plexiglass barriers in response to the COVID-19 pandemic. The neighbor islands also assisted the DOE in working with the Hawaii 3Rs (Repair, Remodel, and Restore) program to address various repair and maintenance needs at the schools. The program also assisted the DOE with the implementation of a new Job Order Contracting (JOC) project delivery method intended to help increase the efficiency and expediency of completing larger projects at the public schools.

B. Year One

The program will continue to concentrate on accomplishing and refining objectives A through H, listed above, despite significant anticipated budget restrictions due to COVID-19. The primary focus will be to meet the indicators set forth in the SLA. Additionally, efforts will be made to keep the number of backlogged work orders to a minimum. DOE and DAGS representatives will work closely to assure that work performed is prioritized appropriately at the district level to ensure that the available funding is maximized and that essential needs of individual schools are met. The program will also continue to assist the DOE in working with Hawaii 3Rs and in implementing JOC to meet the needs of the schools.

C. Year Two through Five

The program will continue with any unfinished objectives and any new initiatives that may be identified, with additional emphasis made on planning and prioritization due to the anticipated budget shortfalls and lasting economic impacts of COVID-19. The indicators outlined in the SLA will be used to measure the progress towards achieving the program goals and objectives. The program will also continue to support the DOE through implementation of JOC and working with Hawaii 3Rs.

IV. Performance Measures

A. Customer Satisfaction Measure

Monthly reports indicating work completed for the month and fiscal year to date compared with performance shall be submitted to DOE. Meetings with DOE and DAGS representatives will be held periodically to discuss compliance with the SLA and amend if necessary. Feedback will be obtained from schools with regard to quality of work, timeliness of repairs, and courtesy of DAGS employees.

B. Program Standard Measure

Standards and practices comparable to the private sector will be formulated and monitored through internal staff inspections. Areas of concern will be corrected through established response criteria.

C. Cost Effectiveness Measure

Private sector costs will be solicited and maintained to assure competitiveness. Additionally, annual costs will be monitored and any significant variance in expenditures shall be evaluated and corrective measures implemented as needed.

DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES
ANNUAL REPORT ON GOALS, OBJECTIVES AND POLICIES

January 2021

Program ID/Title: AGS-818/King Kamehameha Celebration Commission

Contact Person/Phone No.: Amy Hammond/586-0333/223-6040

I. Goal

On December 22, 1871 King Kamehameha V established June 11 as a national holiday in memory of his grandfather and founder of the Hawaiian Kingdom, King Kamehameha I. The first celebration was held on June 11, 1872 and the holiday has been observed ever since. In 1939 the legislature of the Territory of Hawaii established the King Kamehameha Celebration Commission, which formalized the events' planning and coordination by the Hawaiian nobility. Upon statehood in 1959, the holiday was the first to be recognized in the Hawai'i state constitution.

The commission's goal is to commemorate the legacy of King Kamehameha I through culturally appropriate and culturally relevant celebrations that are coordinated throughout various venues statewide.

II. Objectives and Policies

- A. Lei-draping – to dress the statues of Kamehameha in Honolulu, Hāwī, and Hilo with lei in a ceremony marked by Hawaiian tradition, language and culture.
- B. Parade – to hold parades in Honolulu, Hāwī, Kailua-Kona, Lahaina, & Kapa'a that celebrate Kamehameha's life and legacy, ensuring participants' and public safety.
- C. Ho'olaulea – to hold festivals in Honolulu, Hāwī, Kailua-Kona, Lahaina and Kapa'a that promote Hawaiian tradition, food, and culture.

III. Action Plan and Timetable

A. Past Year Accomplishments

- 1. The Kamehameha statue Lei Draping ceremony in Honolulu was cancelled due to COVID-19. The commission put representation lei on the statue to commemorate Kamehameha Day but did not conduct festivities, however, the public did go to the statue on their own, as well as several royal organizations and held private ceremonies utilizing social distancing and placed lei and flowers. The following day the lei and flowers were removed

and the statue area cleaned by the Executive Director and volunteers while practicing social distancing.

2. The 104th annual King Kamehameha Floral parade in Honolulu which normally would have began at 'Iolani Palace at 9 a.m. on Saturday June 13, 2020 and traversed through Waikīkī and end at Kapi'olani Park was cancelled due to COVID-19.
3. Instead of these activities for Honolulu we conducted a statewide social media campaign featuring a series of Hawaiian music concerts that took place on our social media feeds.

B. Year 1

1. Work with already-established neighbor island celebrations and O'ahu Ho'olaule'a committee to coordinate statewide planning.
2. Seek sponsorship monies from private businesses and organizations to help fund celebration events on all islands.
3. Plan for the 105th parade in 2021 in Honolulu.
4. Plan for the Lei Draping Ceremony in 2021 in Honolulu.
5. Create activities that will take place in art galleries and museums celebrating the 150th Anniversary of King Kamehameha Day.
6. Develop alternative plans for social distancing in the event that COVID-19 continues to impact community gatherings including the possibility of creating a retrospective video reviewing the history and happenings related to the celebrations that can air on a network television station.

C. Year 2

1. Work with already-established neighbor island celebrations and O'ahu Ho'olaule'a committee to coordinate statewide planning.
2. Seek sponsorship monies from private businesses and organizations to help fund celebration events on all islands.
3. Plan for the 106th parade in 2022 in Honolulu.
4. Plan for the Lei Draping Ceremony in 2022 in Honolulu.
5. Execute activities that will take place in art galleries and museums celebrating the 150th Anniversary of King Kamehameha Day.

6. Develop alternative plans for social distancing in the event that COVID-19 continues to impact community gatherings including the possibility of creating a retrospective video reviewing the history and happenings related to the celebrations that can air on a network television station.

D. Year 5

1. Work with already-established neighbor island celebrations and O`ahu Ho`olaule`a committee to coordinate statewide planning.
2. Seek sponsorship monies from private businesses and organizations to help fund celebration events on all islands.
3. Plan for the parade in Honolulu.
4. Plan for the Lei Draping Ceremony in Honolulu.

IV. Performance Measures

A. Customer Satisfaction Measure

1. Percentage of general public surveyed for satisfaction. (Goal: 25)
1. Percentage of general public surveyed who were satisfied. (Goal: 100)
2. Percentage of vendors surveyed for satisfaction. (Goal: 100)
3. Percentage of vendors surveyed who were satisfied. (Goal: 75)

B. Program Standard Measure

1. Percentage of all events coming in at, or below, budget. (Goal: 100)
2. Percentage of all accidents or injuries arising from celebration events. (Goal: 0)
3. Percentage increase of attendance at Honolulu parade. (Goal: 5)
4. Percentage increase of participation in the Honolulu parade. (Goal: 5)
5. Percentage of program compliance with State of Hawai'i rules, including procurement, contract management, and personnel. (Goal: 100)

C. Cost Effectiveness Measure

1. Percentage of all media write-ups will include Hawaiian language. (Goal: 100)
2. Percentage of all media write-ups that will utilize correct Native Hawaiian grammar, syntax. (Goal: 100)
3. Percentage of all celebration events that will have over 75% of activities grounded in native Hawaiian tradition, culture. (Goal: 100)
4. Percentage (25% for each major island) of at least one event that will be held on each major Hawaiian island. (Goal: 100)

DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES
ANNUAL REPORT ON GOALS, OBJECTIVES AND POLICIES

January 2021

Program ID/Title: AGS 871/Campaign Spending Commission

Contact Person/Phone: Kristin Izumi-Nitao, Executive Director / 586-0285

I. Goals

- A. Goal - To improve campaign finance laws and rules to increase transparency, compliance, and ensure the integrity of the campaign finance process.
- B. Goal - To provide training, education, and access to committees for purposes of compliance with, and increasing awareness of, campaign finance laws and rules.
- C. Goal – To increase education, awareness, and access for the public.
- D. Goal – To explore, examine, and implement technological advances and capacities to improve access, reduce paperwork, and increase compliance.
- E. Goal – To obtain compliance with campaign finance laws and rules through enforcement actions.
- F. Goal – To ensure organizational and institutional sustainability.

II. Objectives and Policies

- A. Goal - To improve campaign finance laws and rules to increase transparency, compliance, and ensure the integrity of the campaign finance process.
 - Review existing laws as well as propose and submit legislation as needed.
 - Review existing rules and procedures as well as propose administrative rules as needed.
- B. Goal - To provide training, education, and access to committees for purposes of compliance with, and increasing awareness of, campaign finance laws and rules.
 - Offer and provide training on campaign finance laws and rules.
 - Provide educational and informational materials on how to comply with campaign finance laws and rules.
 - Evaluate the effectiveness of and explore (and implement as needed) new methods of training, education, and communication of information.

- Direct the committees to the Commission's website and continue to improve web-based information as well as other social media applications.
 - Encourage the committees to contact the Commission and/or visit the Commission's office to assist in compliance with campaign finance laws and rules.
 - Issue advisory opinions as requested.
- C. Goal – To increase education, awareness, and access for the public.
- Inform and educate the public about campaign finance laws and rules.
 - Explore and implement improvements to the Commission's online presence and other media applications to provide the public with campaign finance committee data and information.
- D. Goal – To explore, examine, and implement technological advances and capacities to improve access, reduce paperwork, and increase compliance.
- Increase the Commission's capability to process and analyze reported data.
 - Maintain awareness of newer technology, including electronic filing systems and hardware/software or applications, for consideration of integration and/or implementation.
 - Maintain awareness of the implications of technological changes on all aspects of campaign finance.
- E. Goal – To obtain compliance with campaign finance laws and rules through enforcement actions.
- Develop escalating penalties for repeat and gross violations, and disseminate information about the penalties.
 - Seek enforcement of the campaign finance laws and rules against violators.
- F. Goal – To ensure organizational and institutional sustainability.
- Monitor funding and develop proposals to stabilize funding as needed.
 - Provide Commissioner and staff development.
 - Develop and implement plans for continuity of operations.

- Monitor compliance with the strategic plan and annually report to the Commission, committees, and the public.

III. Action Plan with Timetable

A. **Goal - To improve campaign finance laws and rules to increase transparency, compliance, and ensure the integrity of the campaign finance process.**

- **Past Year Accomplishments**

Review existing laws as well as propose and submit legislation as needed. For the 2020 Legislative Session, the Commission submitted six (6) bills to the President of the Senate and the Speaker of the House for introduction, of which none were signed into law, but were in fact stalled due to the COVID-19 government shut down. The Commission will consider reintroduction of all deferred measures for the 2021 legislative session. The six (6) Commission bills that did not pass were:

H.B. 1708 / S.B. 2149 – This bill was introduced last session (H.B. 164/S.B. 139) but did not pass. It amends Hawaii Revised Statutes (“HRS”) §11-341 by changing “disclosure date” to when the electioneering communication is publicly distributed rather than when the contract for the electioneering communication is executed. Also, it re-tolls the \$2,000 expenditure aggregate amount before the filing of additional statements of information are required and includes advertisements sent by mail at any rate in the definition of electioneering communication by deleting “bulk rate.” Lastly, it deletes “communications that constitute expenditures by the expending organization” from the exceptions to the definition of “electioneering communications” to make it clear that candidate and noncandidate committees are required to file statements of information.

H.B. 1707 / S.B. 2148 – This bill was introduced last session (H.B. 162/S.B. 137) but did not pass. It amends HRS §11-410 by raising the amount of fine that can be assessed against a Super PAC (that has received at least one contribution of more than \$10,000 or spent more than \$10,000 aggregate in an election period) from \$1,000 to \$5,000 and to permit the fine to be up to three times the amount of the unlawful contribution or expenditure. Also, it allows the Commission to order that the payment of the fine assessed against a noncandidate committee, or any portion, be paid from the personal funds of an officer of the noncandidate committee.

H.B. 1706 / S.B. 2147 – This bill was introduced last session (S.B. 643) but did not pass. It amends HRS §11-364 by requiring nonresident contributions exceeding 30% of the total contributions received by a candidate committee for each election period to escheat to the Hawaii election campaign fund if not returned to the contributor within thirty days.

H.B. 1705 /S.B. 2146 – This bill amends HRS §11-340(c) to make clear that the increased fine (not to exceed \$300 per day) for the late-filing of preliminary reports only applies to the reports due ten days before a primary, general, or special election. This measure was deemed necessary due to the additional preliminary reports mandated by the Legislature in the 2019 session.

H.B. 1704 / S.B. 2145 – This bill amends HRS §11-410 by (1) amending subsection (b) to provide that a person waives the right to a contested case hearing if the person fails to request a contested case hearing within twenty days of receipt of the Commission’s preliminary determination, and (2) amending subsection (d) to provide that a final order of the Commission may be filed in the First Circuit Court for confirmation as a civil judgment, enforceable and collectible as any other judgment issued in the circuit courts.

H.B. 1703 / S.B. 2144 – This bill amends HRS §11-333(b) by amending paragraph (3) by adding “committee reimbursements to the candidate or other individuals” to the list of expenditures that need to be itemized. As currently written, only candidate reimbursements need to be itemized. In many instances, individuals other than the candidate are being reimbursed for campaign costs advanced by those individuals. Those reimbursements to other individuals should also be itemized.

There were five (5) House bills and nine (9) Senate bills submitted by other parties which also did not get signed into law concerning reporting, a campaign finance reform study, public funding, concerns over foreign influences, increasing fines and penalties, permitting child care as a lawful campaign expense, and increasing the tax check-off and expenditure limits.

Review existing rules and procedures as well as propose administrative rules as needed. There were no changes to the Commission’s administrative rules and procedures during this fiscal year.

- **One Year** – Draft and submit legislation seeking technical revisions to the campaign finance laws for purposes of clarity, consistency, and style as well as to seek substantive changes as needed.
- **Two Year/Five Year** – Continue to update the law and monitor whether changes to the Commission’s rules and procedures are needed.

B. Goal - To provide training, education, and access to committees for purposes of compliance with, and increasing awareness of, campaign finance laws and rules.

- **Past Year Accomplishments**

Offer and provide training on campaign finance laws and rules. The Commission planned and scheduled onsite training to candidate and noncandidate committees in May and June 2020 in anticipation of the 2020 election, but were prevented from execution due to the government shut down and travel restrictions as a result of COVID-19. We pivoted and recorded the trainings on Zoom to post on the Commission's website for remote access. However, we were able to deliver a training to about 14 Kuleana Academy participants in November 2019 and conduct a remote training to the Hawaii Republican Party in June 2020 to about 30 participants. In recognition that we have been seeing a larger number of new candidates in the past elections, we offered and delivered a new candidate training on February 24, 2020 which had 30 participants.

Provide educational and informational materials on how to comply with campaign finance laws and rules. In preparation for the 2020 election, the Commission reviewed and revised its training modules which are all available on the Commission's website (i.e., guidebooks, manuals, cyber-learning videos, and PowerPoint presentations). We also developed a color-coded system to illustrate what track a candidate was on to show which disclosure reports they would need to file (i.e., Track 1 is red to identify reports a candidate only in the Primary Election would file, Track 2 is blue to identify reports a candidate only in the General Election would file, Track 3 is yellow to identify reports a candidate in the Primary and General Elections would file, Track 4 is green to identify reports a candidate running in the election(s) who was \$1,000 or less would file, and Track 5 is purple to identify reports a candidate not running in the 2020 election would file). These color codes were helpful in explaining to candidates and their committees which reports were due and when. We also revamped the Commission's website and provided a new link to First Time Candidates, commonly asked FAQs, and a payment link to pay fines.

Evaluate the effectiveness and explore (and implement as needed) new methods of training, education, and communication of information. Current efforts to communicate with committees have been successful – especially, our website, e-blasts, and tweets. We have noticed that oftentimes our tweets get retweeted. The Commission will continue to identify other mechanisms to communicate with multi-generational audiences and employ such tools as needed or if appropriate.

The Commission continues to work with the Office of Elections and county clerks in providing informational packets to give to candidates who file their nomination papers. When candidates file their nomination papers, Office of Elections has included on their Candidate Profile worksheet a section that the candidate initials acknowledging that he/she understands that they need to register with the Commission and file reports. This has been very beneficial. Prior to each election, the Commission meets with Office of Elections and county clerks to address any new concerns/issues as well as to ensure that the process of certifying candidates' compliance with campaign finance laws is operating properly so that the winning candidates are able to be sworn into office.

Direct the committees to the Commission's website and continue to improve web-based information as well as other social media applications. For purposes of transparency, much of the Commission's operations, business, and finances are posted on the Commission's website including Commissioners' biographies, meeting agendas and minutes, newsletters, advisory opinions, Hawaii Election Campaign Fund ("HECF") trust fund information, annual reports, campaign finance statistics, and the Strategic Plan. During this fiscal year, we updated our website and included new links to First Time Candidates, commonly asked FAQs, a payment link to pay fines, and election summaries. Information of current interest is constantly identified and posted on the Commission's website including statute and rule changes, legislation, reporting deadlines, enforcement issues, and new informational and technological tools. There are also links for viewing reports, filing reports, seeking guidance including cyber-learning presentations, forms, guidebooks, and qualifying for public funding. Based on the results of our annual online survey, we understand that our website continues to be our strongest resource in providing stakeholders and interested parties with campaign finance information. As such, we continue to fine-tune our website with a focus on building more efficient and user-friendly navigation tools which includes a searchable database of all the campaign finance data filed by committees. We have also included a section on our home page for our latest tweets and highlighted the candidate and noncandidate committee data visualization apps. These updates are done at zero cost to the Commission. During this period, we had 124,083 "hits" to our website.

The Commission regularly uses e-blasts as well as Facebook and Twitter accounts to inform and educate committees on campaign finance topics. We have found the e-blasts to be especially effective in sending out time sensitive information such as reporting deadline reminders and changes in the law. It also permits us to notify interested parties about registering for training classes, publication of new educational tools, and other campaign finance information. Efforts to not overuse the email system and reserve it for distribution of important announcements is always a consideration. During this period, the CSC email system was employed 66 times and we have 1,079 total subscribers. Notably, subscribers are separated into three groups – candidates (483 subscribers), noncandidate committees (261 subscribers), and the public (335 subscribers), thereby permitting us to target relevant audiences with the e-blast.

Since July 2011, we have been employing social media tools such as Facebook and Twitter to leverage our capabilities to increase, enhance, and supplement our communication efforts to inform the public of important and time sensitive campaign finance information. During this fiscal year, we issued 413 tweets with a total tally of over 250,500 impressions or times a tweet has been seen.

Furthermore, the Commission has an ongoing partnership with the State of Hawaii's Office of Enterprise Technology Services ("ETS") to improve the Commission's two statutorily required electronic filing systems for candidate committees and noncandidate committees which provides us with the campaign spending data that we use to provide transparency in elections to the public.

The candidate committee dashboard app was launched at the end of fiscal year 2018 which consolidated campaign spending data filed by candidates and provided for better comparative analyses of the data by office, party, and reporting period, continues to be very helpful and was viewed 8,676 times during this period. Its success helped the Commission to seek funding to build the noncandidate committee dashboard counterpart which we launched on March 18, 2020, and was viewed 2,343 times during this period. This new dashboard app is a powerful addition to the candidate dashboard app which consolidates campaign spending data filed by noncandidate committees including Super PACs and provides for better analyses of the data. This particular app replaces the Commission's Noncandidate Committee Data Visualization app which was in use since 2014, and will permit the public to see in a more visually engaging and interactive way how noncandidate committees are stacking up against one another in the area of contributions received, contributions made to candidates, expenditures and independent expenditures made.

Encourage the committees to contact the Commission and/or visit the Commission's office to assist in compliance with campaign finance laws and rules. This position has always been emphasized. The Commission handles numerous phone calls, walk-ins, and inquiries daily. A computer is located in our office for committees to file their reports and to seek our assistance. With the COVID-19 government shut-down, staff members commenced teleworking, but had phones rerouted to cell phones. Internal and external communications were issued informing committees and the public that although the Commission had to physically close its office in March 2020, Commission staff was working continuously and remotely to service the 700+ committees and that the Commission was committed to maintaining the integrity and transparency of the 2020 election.

Issue advisory opinions as requested. On May 5, 2020, the Commission received a request for an advisory opinion from Covington and Burling, LLP. The Commission issued Advisory Opinion No. 20-01 on July 15, 2020 at the beginning of FY 2021 which concerned the application of HRS §11-355, the state ban on political contributions from government contractors, to pharmaceutical discount agreements.

- **One Year** - Continue to drive the public to our website and utilize social media applications as well as employ our email system to inform and educate. Revise and update guidebooks, manuals, and cyber learning videos. Issue advisory opinions as requested.
- **Two Year/Five Year** – Plan, organize, and host trainings in election years. Continue to identify mechanisms to increase education, awareness and access to the committees.

C. Goal – To increase education, awareness, and access for the public.

- **Past Year Accomplishments**

Inform and educate the public about campaign finance laws and rules. The Commission disseminates to the public information concerning campaign finance by posting anything new/interesting on our website under “What’s New,” publishing biannual newsletters, and e-blasting, tweeting, and posting on Facebook. New laws, legislation, guidance, updates to the guidebooks and manuals, updates to the electronic filing systems, and new forms are examples of what the Commission e-blasts, tweets, and posts.

Explore and implement improvements to the Commission’s online presence and other media applications to provide the public with campaign finance committee data and information. The Commission continues to promote its searchable database, data visualization applications, candidate committee dashboard, and noncandidate committee dashboard which are available to anyone on the Commission’s website. The candidate committee and noncandidate committee data visualization applications permit viewers to see the data reported by over 700 committees in a more visually attractive, user-friendly, and dynamic way for a particular election period. These applications were conceived to provide greater transparency and accountability in political campaigns to enable the public to follow the money of candidate committees’ and noncandidate committees’ participation in Hawaii elections. The candidate and noncandidate committee dashboards further help the public (and committees) to see contributions and expenditures from candidates and/or noncandidate committees (including Super PACs) in a comparative format. For candidates, the format is arranged by office, party, and reporting period. For noncandidate committees, the format is arranged by noncandidate committee type (standard, ballot issue, independent expenditure, political party) and the area, scope, or jurisdiction of a noncandidate committee.

Further, at the close of each election, election data is compiled, sorted, analyzed, and summarized in charts, top 10 lists, and cost per vote. These election summaries are all available and posted on the Commission’s website under a designated link.

- **One Year** - Continue to work and meet with ETS to identify areas and ways to further this goal including developing visualizations and graphics to our data and examining other applications to increase, supplement, and enhance communication with candidates, committees, and the public. Evaluate current systems, hardware, and software to determine whether upgrades are needed. Update all systems to conform with new laws.
- **Two Year/Five Year** - As ETS is able to complete our work orders with respect to our electronic filing systems, we will continue to collaboratively identify analyses capability of contributions and expenditures data. In recognition that technology plays a critical role in communicating, it is important to remain abreast of newer applications and social media which will

enable us to more effectively improve access, increase compliance, and meaningfully engage stakeholders and interested parties.

D. Goal – To explore, examine, and implement technological advances and capacities to improve access, reduce paperwork, and increase compliance.

○ **Past Year Accomplishments**

Increase the Commission’s capability to process and analyze reported data.

During this period, the Commission worked with ETS on a rewrite of the Commission’s electronic filing systems using a new code generator software called ScriptCase which is a replacement to CodeCharge currently being used by ETS. This new software allows ETS to rewrite the filing systems in the most current version of the PHP language and enhance some of the system’s features such as creating a single data entry point for entering transactions into our schedules, auto filling names when data is entered, and allowing Commission staff to add reporting deadlines to reporting schedules based on a candidate or noncandidate committee's reporting track.

The Commission completed final testing of the email system rewrite in June 2020 and implemented this system in July 2020. The Commission also completed a few rounds of testing of the candidate filing system and plans to work with ETS on rewriting the noncandidate committee system once final testing is completed on the candidate system. The target date for the rewrite of these two systems to be completed is in the second half of 2021 in preparation for the 2022 election.

Also, during this period, there were changes to the Commission’s electronic filing systems to support the data visualization capabilities of the dashboards and to ensure that the correct reports were being filed by candidate and noncandidate committees by providing the Commission with the capability to assign applicable reports to their reporting schedules. This change was made as a result of legislative enactments to improve transparency and disclosure by requiring more reports to be filed by candidate and noncandidate committees. Other changes were also made by adding in reports and creating additional forms to address the Special Election in April 2019.

The Commission continues to rely on its searchable database to run queries on various campaign finance issues. Providing a searchable database to the public is a statutory mandate so to comply with this, the Commission has posted its candidate and noncandidate committee datasets on the State’s open data platform provided by Socrata since 2012. However, as a result of the State phasing out the Socrata contract in August 2020 and switching to OpenGov which is the new provider of the State’s open data platform, it became necessary for the Commission to add its candidate and noncandidate committee datasets (searchable database) to this new site which it did with the launch of the OpenGov site on May 13, 2020.

The Commission continues to work with Socrata under our own contract to host our datasets on the Commission's designated open data site which provides data to our dashboards at least through the 2020 election, and will continue to work on contingencies for the future of our dashboards.

Maintain awareness of newer technology, including electronic filing systems and hardware/software or applications, for consideration of integration and/or implementation. The Commission works closely with ETS and as a result has benefitted from their expertise and assistance in scaling and maximizing our hardware/software applications.

The Commission continues its employment of eSign forms for committees to use as an additional and alternative way to submit forms. The tool was made available through ETS' commitment to employ new technology to improve government efficiency, services, and communication. The success of eSign is tremendous especially given the COVID-19 pandemic. During the reporting period, we have received and processed 1,019 eSign documents.

Effective January 2018, the Commission extended an alternative payment method for those committees fined to achieve a higher level of compliance and offer better convenience to the committees. Specifically, committees who were assessed an administrative fine were informed that they would have the option to pay their fine not only by check, money order, or cash, but with a credit card online via PayPal using their PayPal account or a guest account. The committees were informed that there would be no fee to use this alternative option and that the Commission opted to absorb the fee of 2.9% of the total payment plus \$0.30. The Commission however noted that if at any point in time the Commission was unable to afford these fees or the fees were approaching the state procurement threshold, it would notify the committees that it would have to stop accepting online payments. During this fiscal year, the Commission received 61 payments via PayPal totaling \$10,697.

The annual COGEL conference is another source from which we learn about other campaign finance systems and technology. During this period, however, there were no plans nor funding to alter our electronic filing systems. The Commission works closely with ETS and as a result has benefitted from their expertise and assistance in scaling and maximizing our hardware/software applications.

Maintain awareness of the implications of technological changes on all aspects of campaign finance. The annual COGEL conference has been a great venue for the Commission to learn about technological changes or advances employed by other campaign finance offices. During this fiscal year, there were no technological changes that the Commission deemed viable for employment in Hawaii; however, we remain receptive to all new ideas.

- **One Year** - Update guidebooks, manuals, and cyber learning videos.
Continue to work closely with the Office of Elections concerning certification

of elected officials. Renew our instructor certification with Board of Accountancy.

- **Two Year/Five Year** – Explore other avenues for training and disseminating information.

E. Goal – To obtain compliance with campaign finance laws and rules through enforcement actions.

- **Past Year Accomplishments**

Develop escalating penalties for repeat and gross violations, and disseminate information about the penalties. The Commission continues to find that there are some candidate and noncandidate committees who do not file their reports. As such, the Commission has been invoking administrative fines pursuant to HRS §11-410(a) as a means to take a stronger punitive stance to those committees who completely fail to file reports by the statutory deadline or violate campaign finance laws. The Commission further finds that there are some candidate and noncandidate committees who do not comply with Commission orders when a campaign finance violation has been determined. To this extent, the Attorney General’s Office – Civil Recoveries Division has been assisting the Commission to obtain judicial enforcement of Commission orders. Three (3) matters were referred to this office in this fiscal year for collections and enforcement.

As for complaints in this fiscal year, which was not an election year, there were 17 which resulted in a total of \$23,986.97 in assessed administrative fines.

- 10 complaints yielded a preliminary determination of a campaign finance violation resulting in \$22,786.97¹ in assessed administrative fines;
- 2 complaints were referred for criminal prosecution (and are pending);
- 1 complaint was withdrawn or dismissed due to compliance resulting in a \$200 administrative fine;
- 2 complaints were dismissed due to insufficient evidence or no violation; and
- 2 complaints are pending and are anticipated to be resolved in the next fiscal year.

Pursuant to Hawaii Administrative Rules (“HAR”) §3-160-73(d), this annual report is the means in which the Commission reports the amount of fines paid by persons thereby furthering the dissemination of information concerning the penalties. This rule also requires that the Commission adopt a Schedule of Fines for violations which is posted on the Commission’s website and is referred to in all fine letters to the committees.

Seek enforcement of the campaign finance laws and rules against violators.

¹ There was one complaint from FY 2019 (i.e., Docket No. 19-17) that was pending last fiscal year, but was resolved in this fiscal year so the fine assessed is accounted for in this total (i.e., \$15,714.99).

During this fiscal year, a total of \$40,853.14 was assessed in administrative fines and \$11,000 was escheated to the HECF due to campaign finance violations. There were 15 conciliation agreements resulting in reduced fines totaling \$2,683.33. The majority of the conciliation agreements concerned the late filing of the Supplemental Report (14) and there was an excess non-resident contribution violation (1).

Most of the campaign finance violations were a result of late or unfiled reports. Specifically, there were 76 late or unfiled reports of which 54 did not involve a conciliation agreement or complaint (i.e., 14 were conciliation agreements and 8 were complaints) for a total of \$14,160.28 in assessed administrative fines. There were a total of 61 candidate committees and 15 noncandidate committees that failed to file or filed late reports.

Other campaign finance violations that occurred during this period include:

- o 11 failures to report contributions resulting in \$3,750 in fines;
- o 9 failures to report expenditures resulting in \$2,250 in fines;
- o 8 late fundraiser notices resulting in \$525 in fines;
- o 4 prohibited expenditures resulting in \$702.87 in fines;
- o 1 excess nonresident contributions resulting in \$1,000 in fines;
- o 1 failure to file the Statement of Electioneering Communications resulting in \$1,250 in fines;
- o 4 insufficient advertisement disclaimers resulting in \$100 in fines; and
- o 1 excess contributor resulting in \$1,000 in fines.

Lastly, this fiscal year, the Commission handled a contested case hearing in which it procured an administrative hearings officer to address Docket No. 19-13 – In the Matter of Friends of Trinette Furtado and Trinette Furtado. This complaint was filed against a candidate and her candidate committee for an excess contribution, the filing of two false reports, the prohibited use of campaign funds, the late filing of the 2nd Preliminary Primary Report (July 1-July 27, 2018), and the failure to timely repay a loan. The complaint was considered by the Commission at its October 17, 2018 meeting. The candidate did not appear at the meeting. The Commission preliminarily ordered the escheat of the \$1,800 excess contribution, assessed fines of \$500 for each false report and ordered the filing of corrected reports, assessed a \$950 fine and the personal reimbursement to the campaign account for the prohibited use of campaign funds, assessed a \$300 fine for the late filing of the 2nd Preliminary Primary Report, and ordered the candidate to use campaign funds to pay off the loan. The candidate timely requested a contested case hearing to challenge the Commission's preliminary determination. On July 29, 2020, the candidate and the Commission entered into a Settlement Agreement and Mutual Release which finally settled the matter.

- o **One Year** – Continue to pursue enforcement actions to encourage compliance as well as offer conciliation agreements (where appropriate) to expedite campaign finance violators.

- **Two Year/Five Year** – Identifying other strategies to increase and encourage compliance.

F. Goal – To ensure organizational and institutional sustainability.

- **Past Year Accomplishments**

Monitor funding and develop proposals to stabilize funding as needed. The Commission's beginning balance at the close of fiscal year 2019 was \$1,086,159.96. In fiscal year 2020, a total of \$142,479.85 in revenue was realized (i.e., \$90,641 in tax check-offs and \$51,838.85 in other revenue) and a total of \$2,550 in expenditures/encumbrances was incurred, thereby closing fiscal year 2020 with a balance of \$1,226,089.81.

Notably, this was the third fiscal year that the Commission's operating expenses including salaries and administrative expenses were absorbed general funded. It is expected that this will permit HECF trust funds to replenish and provide a healthier base to pay for public funding for qualified candidates in the upcoming elections. That said, it was a challenging year for the Commission when the Governor restricted spending for all departments and agencies. However, the Commission was able to successfully seek an exemption from the budgetary restrictions thereby permitting it to use most of the funds allocated for this fiscal year. Moving forward, budgets are likely to be severely restricted and reduced as a result of the impact COVID-19 continues to have on the State of Hawaii.

Provide Commissioner and staff development. Commissioners are regularly updated on any new or developing issues and provided information from annual COGEL conferences. This year's COGEL conference in December 2019 was held in Chicago, Illinois, and was attended by Commissioners Bryan Luke and Gregory Shoda as well as Executive Director Kristin Izumi-Nitao and Associate Director Tony Baldomero.

Develop and implement plans for continuity of operations. On June 30, 2019, the Commission was facing the end of a four-year term for Commissioners Bryan Luke and Kenneth Goodenow. Governor Ige reappointed Commissioner Bryan Luke to serve another 4-year term which expires on June 30, 2023, and appointed new Commissioner Russell Tsuji who resigned on October 24, 2019. In January 2020, Governor Ige appointed Commissioner Neal Herbert to serve in this position for the remainder of the term which expires on June 30, 2023.

On June 30, 2020, the Commission was facing yet again the end of a 4-year term for Commissioner Stanley Lum and the end of an 8-year term (or two 4-year terms) for Commissioner Gregory Shoda. Governor Ige reappointed Commissioner Stanley Lum to serve another 4-year term which expires on June 30, 2024, and has not yet selected a fifth Commissioner to replace the vacancy on June 30, 2020. The Commission continues its efforts to have Boards and Commissions more timely work with the Governor to fill Commission positions.

The transition from trust fund to general funds operations continue to go smoothly.

Monitor compliance with the strategic plan and annually report to the Commission, committees, and the public. Records are organized and kept to satisfy this requirement internally. The annual report is typically prepared and presented in a public Sunshine meeting in the fall to the Commissioners for their consideration and approval. Once approved, the annual report is posted on the Commission's website.

- **One Year** – Monitor trust fund monies. Continue to add processes and procedures to each position binder to provide smoother transitions in the future.
- **Two Year/Five Year** – Monitor Commission operations to assess whether there are sufficient general funds to cover operating costs as well as trust funds to cover public funding. Implement, oversee, and annually report on the Commission's strategic plan.

IV. Performance Measures

- A. Customer Satisfaction measure – For the past 8 years, in September/October, the Commission invites candidates, committees, email subscribers, and the public to participate in an online survey to help the Commission evaluate and improve the effectiveness of operations and communications. The survey is divided into five areas: 1) general background information of the survey taker; 2) communication with or access to the Commission; 3) education and training provided by the Commission; 4) compliance and enforcement; 5) public funding; and 6) questions related to the HECF, Super PACs and independent expenditures, as well as a general comment question. The results of the survey are assembled and shared with the Commission at a public meeting. Once presented, the survey is then posted on the Commission's website.
- B. Program Standard measure – The number of serious campaign spending law violations should decline as compliance increases as a result of the Commission's widely-publicized investigations, as training sessions increase, as enforcement remains proactive and stable, as public use of the Commission's website increases including employment of more user friendly tools such as graphics of the data contained in our electronic filing systems.
- C. Cost Effectiveness measure – We believe we can be cost effective if we can continue to carry out our duties and responsibilities without increasing costs significantly. We continually look for new ways to work more efficiently and implement changes accordingly.

DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES
ANNUAL REPORT ON GOALS, OBJECTIVES AND POLICIES

January 2021

Program ID/Title: AGS 879/Office of Elections

Contact Person/Phone: Jasmine Ko/453-8683

I. Goal

To provide secure, accessible, and convenient election services to all citizens statewide.

II. Objectives and Policies

To maximize voter participation in the electoral process by developing policies and procedures that encourages registration and turnout.

A. Direct and coordinate election services statewide and assist counties with county elections.

1. Provide election services statewide.
2. Prepare, procure, and control inventory of election ballots for state and concurrently conducted county elections statewide.
3. Provide secure, accessible, and convenient voting services to all eligible voters statewide.
4. Process, tabulate, and distribute election results statewide.
5. Provide computer support services (hardware and software applications) for elections (state and county) and related agencies.
6. Provide logistical and warehousing support for elections (state and county) and related agencies.

B. Provide voter registration services to qualified citizens.

1. Maximize voter registration statewide.
2. Equalize voter registration between districts statewide.

The Office of Elections coordinates its activities to maximize and equalize voter registration in close participation with the Offices of the City/County Clerks.

- C. Provide public education with respect to voter registration and information.

Election information must be made more available to the public. We foresee continued utilization of the Internet and print and electronic media to provide voter education and candidate information.

- D. Maintain data relating to registered voters, elections, apportionment, and districting.

We strive to increase accessibility of information by making statistical data readily available to the general public. We will continue to post election reports, results, and other pertinent information on our office Internet website.

- E. Serve as secretary and furnish all necessary technical services to the Reapportionment Commission.

The Reapportionment Commission convened in 2011. The Office of Elections is responsible for providing administrative and technical support to the Reapportionment Commission. The office has worked with the Department of Census Bureau to ensure records are maintained and updated for the reapportionment.

- F. Provide staff support to the Elections Commission

The Office of Elections shall provide staff support to the Elections Commission as requested. The duties of the Elections Commission are to hold public hearings, investigate and hold hearings for receiving evidence of any violations and complaints, adopt rules pursuant to chapter 91, employ a full-time chief election officer, and advise the chief election officer relating to elections.

- G. Provide staff support to the Board of Registration

We shall continue to provide staff support to the Board of Registration. The purpose of the Board is to hear and decide appeals that arise from a voter challenge or from an appeal of a clerk's decision regarding voter registration.

H. Conduct elections in compliance with all federal and state laws.

This includes, but not limited to, the Help America Vote Act (HAVA), Voting Rights Act (VRA), National Voter Registration Act (NVRA), Uniformed and Overseas Citizens Absentee Voting Act (UOCAVA), Voting Accessibility for the Elderly and Handicapped Act, and American with Disabilities Act (ADA).

III. Action Plan with Timetable

A. Past Year Accomplishments (FY2020)

1. Voter Education. The Office of Elections implemented a voter education and awareness campaign for the transition to elections by mail and promoting the 2020 Elections.
2. Implemented Act 136 2019. We worked collaboratively with the Offices of the City/County Clerk to plan and prepare for the transitions to elections by mail including rafting Hawaii Administrative rules and coordinate ballot mailing statewide.
3. Procure supplies and equipment. The Office of Elections procured supplies and equipment for the 2020 Election to implement elections by mail, and to prevent, prepare and respond to COVID-19.
4. Candidate filing. The candidate filing period for the 2020 Elections begins in February 2020.

B. One-Year (FY2021)

1. To have implemented and conducted the 2020 Elections by mail.
2. To provide support to the Reapportionment Commission.
3. Conduct stand-down activities from the 2020 Primary and General Elections. Review, assess and evaluate 2020 activities.

C. Two-Year (as of June 30, 2022)

1. To have provided support to the Reapportionment Commission to conduct the 2021 Reapportionment based on the 2020 Census data.
2. To have conducted re-precincting based on the redistricting conducted by

the Reapportionment Commission in 2021.

3. The Office of Elections will begin a voter education and awareness campaign for promoting the 2022 Elections.
4. Procure supplies, and equipment. The Office of Elections will be procuring supplies and equipment for the 2022 Elections.

D. Five Years (as of June 30, 2025)

1. To have conducted and reviewed and evaluated the 2024 Elections.
2. To have assessed and implemented new procedures for the 2026 Primary and General Elections.
3. To maintain and monitor Statewide Voter Registration System.

IV. Performance Measures

A. Customer Satisfaction Measure

The number of complaints and challenges we receive, on or following each election. This data is important to determine how effectively voters have been informed of their rights and responsibilities and how effectively we have served their communities.

B. Program Standard Measure

The number of people who continue to register to vote and cast their vote on Election Day.

C. Cost Effectiveness Measure

No effective measurement of benefit is available except for feedback from voters and expenditures not exceeding budget amount.

DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES
ANNUAL REPORT ON GOALS, OBJECTIVES AND POLICIES

January 2021

Program ID/Title: AGS-881/State Foundation on Culture and the Arts

Contact Person/Phone: Jonathan Johnson, Executive Director/586-0300

I. Goals

The State Foundation on Culture and the Arts (SFCA) goals are outlined in our current [Strategic Plan](#) which includes strategic priorities, vision, mission and values. The plan is effective July 1, 2018 through June 30, 2023 as required by the agency's federal partnership with the National Endowment for the Arts. The priorities adopted are reflective of broad community input of the SFCA Commissioners and staff. In implementing the plan's priorities and accompanying strategies, SFCA intends to strengthen existing programs and services, pursue new initiatives, embrace a culture of transparency and accountability, and set and meet benchmarks that communicate our intentions clearly to our staff, partners, and the broader community.

Vision

We envision a thriving and vibrant Hawai'i enriched by culture and the arts.

Mission

Promote, perpetuate and preserve culture and the arts in Hawai'i.

Values

1. We celebrate and emphasize the cultural richness and diversity of Hawai'i.
2. We believe in equitable access, transparency, and community-based decision-making.
3. We share in the responsibility to perpetuate the Native Hawaiian culture and the arts.
4. We view art and cultural engagement as critical to the educational, economic, and social well-being of individuals, communities, and the State of Hawai'i.

II. Objectives and Policies (Strategic Priorities-per the 2018-2023 Strategic Plan)

1. CULTURE: Support, foster and celebrate the artistic expressions of Hawaii's diverse cultures and communities.
2. ENGAGEMENT: Enhance public engagement in culture and the arts.
3. EDUCATION: Strengthen arts education for all learners.
4. THE ARTS: Enrich the public sphere through the arts.

III. Action Plan with Timetable

- **Past Year Accomplishments (2020)**

- Continue implementation of the SFCA 2019-2023 Strategic Plan

- **CULTURE**

- Established the Hawai‘i State Art Museum (HiSAM) as host venue for the 13th Festival of Pacific Arts & Culture (FESTPAC) in June 2020.
 - Awarded 8 Folk & Traditional Arts Apprentice Mentoring grants including Hawaiian, Filipino and Okinawan grant projects.
 - ‘Ie‘ie pieces completed under the auspices of the SFCA Folk & Traditional Arts program exhibited at the Bailey House Museum from August through December 2020.

- **ENGAGEMENT**

- Forty children currently living temporarily at the Institute for Human Services or in long-term housing at Kahauiki Village participated in HiSAM Museum Education programming experiences.
 - Adapted Hawaii State Art Museum public programming and events to social media and video conferencing platforms in response to stay-at-home orders and social distancing during COVID-19 pandemic.
 - Partnered with the UH Outreach College in support of Statewide Cultural Extension Program (SCEP) which provides free outreach activities with culture and arts presentations statewide and open to the public in libraries, senior centers, prisons and public housing.
 - Distributed \$427,500 in CARES Act awards to qualified culture and arts organizations throughout the state.

- **EDUCATION**

- Expanded Artists in the Schools program statewide to 113 schools.
 - Provided professional development for 15,191 teaching artists and classroom teachers statewide.
 - Collaborated with Teaching Artists to develop online content and classes for Department of Education (DOE) public and charter schools to accommodate stay-at-home orders during COVID-19 pandemic.
 - Hosted the Annual Hawai‘i Regional Scholastic Art Awards Exhibition and Ceremony at HiSAM.
 - Dedicated commissioned works of art project at Kualapu‘u Public Conversion Charter School on Moloka‘i

- **THE ARTS**

- Support grantee organizations efforts to provide excellent virtual experiences.
 - Acquired 79 works of art for the Art in Public Places collection.
 - Dedicated two commissioned works of art projects at Keahuolu Courthouse on Hawai‘i Island and one at the Hawaii State Art Museum (HiSAM).
 - Opened four new exhibits at HiSAM.
 - Increased to 51 public programs at HiSAM.
-

A. One Year (2021)

- Implement the SFCA 2019-2023 Strategic Plan. Update and establish new metrics for measuring all areas of the strategic plan.
- CULTURE
 - *Mai ho 'ohuli i ka lima i ka luna*, guest curated exhibit at HiSAM, features Hawaiian art from the Art in Public Places Collection.
 - Build cultural capacity and public awareness for three Native Hawaiian practices that are not robust; hula ki'i, 'ukeke and ulana 'ie.
- ENGAGEMENT
 - Reevaluate Biennium Grants Program and Application Process to attract more culture and arts applicants from neighbor islands and underserved areas.
 - Expand Statewide Cultural Extension Program outreach to more than 7,000 adults and children with services offered to; homeless, public housing, and corrections.
 - Launch redesigned website for State Foundation on Culture and the Arts
 - Identify and deploy new HiSAM programming for delivery on virtual platforms.
- EDUCATION
 - Expand Artists in the Schools program statewide to 117 schools (approximately 75% are rural and/or Title I).
 - Increase and diversify Teaching Artist Roster through new application process.
 - Create a body of arts and creativity lessons online for use by DOE and charter schools.
- THE ARTS
 - Rebrand HiSAM to increase public awareness and engagement in the arts.
 - Deploy web-based enhancements to the public art collection including virtual tours, artist interviews and real time location searchable public research database.
 - Curate and open three new exhibits at HiSAM.

B. Two Years (2022)

- Implement the SFCA 2019-2023 Strategic Plan.
 - CULTURE
 - Explore how to further engage cultural practitioners statewide.
 - Increase acquisition of works of art by Native Hawaiian artists.
 - ENGAGEMENT
 - Annually increase SFCA's partnership with the Statewide Cultural Extension Program (SCEP) to reach underserved communities, including public housing and homeless shelter children and youth and corrections through in person and virtual experiences.
 - Provide virtual programming for HiSAM on a wide variety of platforms.
-

- **EDUCATION**
 - Expand opportunities for Teaching Artists who conduct arts residencies in the public and charter schools and are on the Artistic Teaching Partners Roster through Artists in the Schools (AITS) grants, Art Bento @ HiSAM museum education residencies and Artists in Residence (AIR).
 - Adopt a new strategic plan for the Arts First Partnership.
- **THE ARTS**
 - Deploy rebranding HiSAM to increase public awareness and engagement in the arts.
 - Increase the number of artworks acquired from venues and artists not previously supported.
 - Increase the number of venues where Art in Public Places works of art are exhibited including traveling, “pop-up” and experimental exhibition models.

C. Five Years (2020-2024)

- Implement the SFCA 2019-2023 Strategic Plan. Initiate work on the SFCA 2024-2028 Strategic Plan.
 - **CULTURE**
 - Increase number of grants awarded to projects that encourage public awareness, access, appreciation, learning, participation, and preservation of Native Hawaiian cultural arts, practices, history and heritage.
 - Establish cohorts for cultural practices that are not robust, taught or shared in the living cultures in Hawai‘i.
 - Host venue for the Festival of Pacific Arts & Culture to be held on Oahu in June 2024.
 - **ENGAGEMENT**
 - Annually increase SFCA’s partnership with the Statewide Cultural Extension Program (SCEP) to reach underserved communities, including public housing and homeless shelter children and youth and corrections.
 - Hold needs-sensing events in rural an underserved communities.
 - **EDUCATION**
 - Expand to 120 Artists in the Schools in public and charter schools with targeted numbers and permanent works of art to 26 sites statewide and increased private support.
 - Establish professional learning communities and apprenticeships.
 - **THE ARTS**
 - Promote the Arts in Hawai‘i with a strong online presence.
 - Update the Collections Management Policy of the Art in Public Places Program.
-

IV. Performance Measures

A. Customer Satisfaction measure – Customers are the public (resident and visitor), artists and cultural practitioners, schoolchildren and arts educators, arts organizations and institutions, and state government agencies.

- Public art installations in state facilities
- Grants and projects implemented in communities
- Arts education residencies in schools and out-of-school (includes public and private school students, Poetry Out Loud, student exhibitions)
- Professional development of arts educators and cultural practitioners
- Access to arts and culture information – activities and opportunities both in-person and virtual platforms.

B. Program Standard measure - Assess effectiveness of strategic plan implementation through formal and facilitated benchmarking process. Align agency and grants projects with the strategic priorities, National Endowment for the Arts (NEA) goals for use of federal funds, and the ARTS FIRST Partners strategic plan. Assess competitiveness of federal partnership application based on panelist comments received from the NEA as well as an internal staff review to ensure quality of NEA partnership application. Participation with and research assistance from the National Assembly of State Arts Agencies for best practices for state arts agencies. The SFCA provides the NEA with federal descriptive reports, documenting use of federal funds and interpreting effectiveness.

C. Cost Effectiveness measure - Continue to provide programs and services capable of reaching a broad-based constituency; assess and effect the administrative and coordinating efficiency of staff to provide culture and arts program services; monitor audience and participant group attendance at SFCA supported/sponsored events; target specific underserved populations such as rural, incarcerated, immigrant and low income families, youth/students, older adult communities, and persons with disabilities. Provide NEA with federal descriptive reports, documenting use of grant funds.

DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES
ANNUAL REPORT ON GOALS, OBJECTIVES, AND POLICIES

January 2021

Program ID/Title: AGS-889/Spectator Events & Shows/Stadium Authority

Contact Person/Phone: Russell Uchida/483-2753

I. Goals

A. Office of the Manager and the Administrative Services Office

Continuing commitment to overall management of the Aloha Stadium with consideration and emphasis on cost efficiency, productivity, and customer service.

B. Engineering and Maintenance Branch

To provide a facility that is safe, clean, and comfortable for conducting sporting and recreational events.

To provide a smooth transition to either a new or refurbished stadium with little or no effect on patrons attending events at the stadium.

To provide a smooth integration of the new HART rail transit station towards ensuring that patrons will be able to optimally utilize this new transit option.

C. Box Office Branch

Continued effort to improve ticket selling services to the general public, as well as, continued review of internal controls and efficiency of box office operations.

D. Security Branch

Ensure the safety of employees, licensees, participants, spectators, and VIP's; ensure the security of the facility against crime; and continue awareness, and education of potential criminal and terrorist-type activity.

E. Events Branch

Continue to coordinate and provide events in a pleasant, safe, and enjoyable environment.

II. Objectives and Policies

A. Office of the Manager and the Administrative Services Office

1. Ensuring proper oversight and management of the operations of the Aloha Stadium, including its branches, and offices.
2. Continue to evaluate all options to address the existing stadium facility, development of a new facility, and development and maximization of its existing property in concert with transit oriented development.
3. Streamlining processes through computerization and automation of program functions to increase productivity and reduce costs.
4. Continuing review of Rules and Regulations of the Stadium Authority and provide recommendations that will benefit both the general public and the Stadium Authority.
5. Continuing review of contracts and bid document process to ensure a balance between revenue maximization and the provision of public service is achieved by the agency.
6. Continuing conversion to a paperless/digital office environment.
7. Address and implement measures to comply with requirements to minimize spread of the COVID-19 virus.

B. Engineering and Maintenance Branch

1. Continuing implementation of repair and maintenance programs and projects to minimize and retard facility deterioration caused by normal wear and aging.
2. Continuing implementation of capital improvement projects to ensure facility conformance with current health, safety, and operational requirements.
3. Continue to coordinate and communicate with the Stadium Authority Board committee(s) on work required to provide a smooth transition to either a new or refurbished stadium and to minimize any inconvenience to patrons attending events at the stadium.
4. Continue working closely with HART's design and construction team to ensure that patrons will be able to optimally utilize this new transit option.

5. Serve on the Hawaii Interagency Council for TOD that coordinates TOD work on state owned properties.
6. Design, build, and install around the facility, various social distancing items to minimize the spread of the COVID-19 virus.

C. Box Office Branch

1. Continuing implementation of computerization and automation of various daily tasks to increase productivity and reduce costs.
2. Continuing to update box office policies and procedures.
3. Increase ticket distribution points and methods by which customers may purchase tickets to increase ticket sales.
4. Research and implement a web-based ticketing system for all events to provide convenience, streamline payment, and reduce the cash handling process.
5. Implement ticket selling and handling procedures that will minimize the spread of COVID-19 virus.

D. Security Branch

1. Improve security and emergency procedures and continue education and training on terrorist-type activities and concerns, as well as emergency preparedness in the event of varying levels of disaster.
2. Increase training involving the Americans with Disabilities Act (ADA) policies to prevent any discriminatory issues from arising.
3. Train and update contract security on the rules and policies associated with the stadium that includes the provision of courteous and professional customer service. Additional training in recognizing suspicious persons, vehicles, and items in relation to terrorism.
4. Emphasize customer service policies while enforcing the Rules and Regulations of the Stadium Authority.
5. Maintain and improve working relationships, communication, and training with other public safety agencies and maintain updated information on Homeland Security and terrorist alerts.

6. Maintain informational relationships with the “street element” to be in position to receive advance notice of potential problems at the stadium that may include gang fights, graffiti, theft, vandalism, auto break-ins, etc.
7. Train security staff on handling spectators that would minimize the spread of the COVID-19 virus.

E. Events Branch

1. Continue training of events personnel in customer service.
2. Continue evaluating events personnel to insure they meet the operational standards of Events Branch.
3. Continue briefing of events personnel before major events to insure information needed to serve our customers is understood by all events personnel.
4. Provide latest safety equipment and training to events personnel.
5. Provide latest communication equipment to events personnel.
6. Improve pre-event planning, operational programs, and critiquing events with licensees to increase attendance and success of events.
7. Continue to improve working relationships with other state, county, and applicable federal agencies.
8. Continue to improve Americans with Disabilities Act (ADA) parking accommodations for applicable patrons.
9. Continue customer service improvements to enhance guest experience and satisfaction.
10. Continue to utilize and refine the web-based Incident Management System.
11. Develop policies and procedures to address event day interaction between spectators, staff, and licensee that would minimize the spread of the COVID-19 virus.

III. Action Plan with Timetable

A. Office of the Manager and the Administrative Services Office

1. Past Year Accomplishment

- a. Reviewed and completed assessment of program functions to determine and address feasibility of computerizing program functions. This is an ongoing activity.
- b. Reviewed contracts and bid documents to ensure maximization of revenues to the agency. This is an ongoing process.
- c. Addressed procurement for various priority items.
- d. Participated in ongoing discussions and meetings involving Honolulu Authority for Rapid Transportation (HART) and its impact that the rail guideway and transit stop have on Stadium operations. Conducted extensive review, monitoring, and oversight of the right-of-entry for various components of the rail project and its effect on stadium property.
- e. Participated in ongoing discussions and meetings involving the development and maximization of property surrounding the Aloha Stadium facility and provide and recommend specifications toward completion of the Request for Proposal and the eventual development of a new Aloha Stadium entertainment district.
- f. Successfully hosted a large-scale concert event involving nationally known artists and hosted a multi-date monster truck event.
- g. Partnered with the Hawaii Community Development Authority to proceed with development of a new stadium facility and entertainment district.
- h. Addressed and implemented policies and procedures to minimize the spread of the COVID-19 virus. Remained up to date on all materials, emergency proclamations, and emergency orders relating to controlling spread of the COVID-19 virus. Sought out federally funded personal protective equipment (PPE) and funds to combat the virus.

2. One Year

- a. The above-mentioned objectives and policies are ongoing projects and will be performed on a continual basis. Special emphasis will be on items d., e., and g. as well as multi-year contracts that are in line for re-bid.
- b. Continue to evaluate options for the future of the stadium and its property based on research, reports, and studies.
- c. Continue to coordinate, pursue and refine the year around recruitment process to recruit for part-time intermittent positions at the Aloha Stadium.
- d. Continue to review applicability and effectiveness of the Rules and Regulations of the Stadium Authority for possible areas requiring updated language.
- e. Continue to keep the Stadium Authority Board and the Comptroller apprised of Stadium operations including the outcome of plans and studies appropriated by the Legislature. This is an ongoing process.
- f. Continue to refine, monitor, and implement policies and procedures to minimize spread of the COVID-19 virus. Remain up to date on all materials, emergency proclamations, and emergency orders relating to controlling spread of the COVID-19 virus. Seek out available federally funded PPE inventory and funds to control spread of the virus.

3. Two Years

- a. Continue to assess, monitor, furnish, and implement essential technological tools necessary to improve efficiency and marketability of the Stadium and to equip the administrative offices with the essential business tools that will support and keep it up to date with the business technology environment.
- b. Continue close administrative involvement with items d., e., and g., along with updating the Stadium Authority Board and Comptroller, as applicable.
- c. Continue to evaluate year around recruitment program to determine effectiveness and feasibility of the program.

- d. Continue to review applicability and effectiveness of the Rules and Regulations of the Stadium Authority for consideration to update.
- e. Continue to work with other government agencies, consultants, to evaluate options for the future of the stadium and its property based on the availability of research data, reports, and studies available through consultants, and various other means.
- f. The above-mentioned objectives and policies are ongoing projects that will be performed on a continuing basis.
- g. Continue to refine, monitor, and implement policies and procedures to minimize spread of the COVID-19 virus. Remain up to date on all materials, emergency proclamations, and emergency orders relating to controlling spread of the COVID-19 virus. Continue to seek out federally funded PPE and funding.

4. Five Years

- a. Continue close administrative involvement with items d. and e. The above-mentioned objectives and policies are ongoing projects and will be monitored and performed on a continuing basis.
- b. Continue to evaluate options for the future of the stadium and its property based on research, reports, and studies.
- c. Continue to review applicability and effectiveness of the Rules and Regulations of the Stadium Authority for consideration to update.
- d. Continue to refine, monitor, and implement policies and procedures to minimize spread of the COVID-19 virus. Remain up to date on all materials, emergency proclamations, and emergency orders relating to controlling spread of the COVID-19 virus.

B. Engineering and Maintenance Branch

1. Past Year Accomplishment

- a. Repaired potholes in the parking lots (ongoing)
- b. Repaired rusted storm drain, sewer and water piping (ongoing)
- c. Replaced broken asphalt curbing with concrete curbs in parking areas (ongoing monitoring and repair).

- d. Repair deteriorated and/or damaged spectator seats (ongoing with implementation in phases).
 - e. Beautification of grounds project initiated. Landscaped areas surrounding the front sculpture.
 - f. Repaired broken and rusted parking lot lighting (ongoing as needed).
 - g. Repaired spalling in stands and concrete ceiling over North Tunnel and Deadwood Storage areas. (Note this is an ongoing project.)
 - h. Reinforced areas of seat stands as an additional precautionary measure to ensure safety.
 - i. Design, build, and install various social distancing items around the facility to minimize the spread of the COVID-19 virus.
2. One Year
- a. Within available funding, continuing to implement repair and maintenance programs and projects to minimize facility deterioration caused by normal wear and aging.
 - 1) Throughout the year, assess condition of the facility, and based on this assessment, develop list of repair and maintenance projects.
 - 2) Replace broken and obsolete equipment and tools with new more energy efficient equipment and tools.
 - 3) Throughout the year, perform emergency repairs as needed, including maintenance work to rectify health, safety, and/or operational deficiencies.
 - 4) Continuing implementation and monitoring of capital improvement projects needed to ensure safe operation of the facility.
 - 5) Implement additional capital improvement program requirements, initiate steps to obtain authorizations and budgets to implement needed projects.

- 6) Implement workforce efficiency adjustments to streamline workforce and maximize use of existing part-time intermittent workers.
 - b. Continue to improve landscaping at various locations within the stadium complex.
 - c. Continue to monitor conditions of seats and initiate action to replace unsafe seats, as needed.
 - d. Coordinate repair and continue liaison activities with the Department of Accounting and General Services Public Works Division (DAGS-PWD) on any potential capital improvement projects.
 - e. Continue to seek comments and direction from the Stadium Authority Board on options for design and construction of a new stadium.
 - f. Work with HART on design and construction of station interface with stadium facilities.
 - g. Update employee safety program and procedures through assessment, evaluation, and implementation of procedures that are consistent with Occupational Health Safety standards.
 - h. Continue research and install items to minimize the spread of the COVID-19 virus.
3. Two Years
- a. Continue to oversee the upkeep and maintenance of the field turf system.
 - b. Continue to identify worn and obsolete equipment and tools and where possible replace with new more energy efficient, safe, and proper working tools.
 - c. Coordinate with DAGS-PWD to identify, support, and obtain an allocation for general obligation funding from the State Legislature for various capital improvement projects.
 - d. Implement repair and maintenance programs and projects to minimize and retard facility deterioration caused by normal wear and aging.

- e. Participate and work with the Request for Proposals (RFP) Committee on design and construction of a new stadium as well as development of the Stadium property to optimize and provide best use for the property while closely coordinating work so as to minimize impact to patrons.
 - f. Work with HART on design and construction of station interface with stadium facility. Coordinate implementation of startup and operation of Station as interim terminus.
 - g. Continue participation with various other government agencies, including the Hawaii Interagency Council for Transit-Oriented Development.
 - h. Continue research and install items to minimize the spread of the COVID-19 virus.
4. Five Years
- a. Continue to monitor and preserve the useful life of the Aloha Stadium's field turf.
 - b. Coordinate and liaison with DAGS – PWD to address new and ongoing capital improvement projects.
 - c. Monitor and coordinate the repair and maintenance programs and projects to minimize facility deterioration caused by normal wear and aging.
 - d. Continue to provide support to the RFP Committee, consultants, and other parties involved in the design and construction of a new stadium while focusing on a smooth transition from the existing facility to a new facility.
 - e. Review status of the right-of-entry for the HART station.
 - f. Evaluate and begin the planning process for an effective interface with stadium facility and report findings to the Stadium Authority Board.
 - g. Continue research and install items to minimize the spread of the COVID-19 virus.

C. Box Office Branch

1. Past Year Accomplishment

- a. Continue to share in the use of the University of Hawaii's computerized ticketing system that has facilitated ticket selling services to the general public and tightened internal controls and efficiency of box office operations. Scanning of tickets has strengthened security measures to detect counterfeit and duplicate tickets.
- b. Have automated various daily tasks.
- c. Box office policies and procedures have been updated to reflect changes in procedures with the University of Hawaii's computerized ticketing system.
- d. Continued use of University of Hawaii's outlets and on-line ticketing services has provided the general public with various options in purchasing tickets. The system has proven to eliminate long lines to purchase tickets by providing the "print-at-home" option. Scanning of tickets at most entry gates has also proven to move people into the stands at a quicker pace.
- e. Continued printing of all parking passes internally for the UH football season with real-time barcode scanning capabilities. This process has helped to improve and strengthen internal parking controls and has decreased the possibility of duplicate parking passes. This has also reduced the preparation and printing costs of parking passes for the stadium as well as the Licensee.
- h. Prints parking passes for most stadium events to save on outside printing costs.
- i. Worked with event promoters and ticketing agencies to accommodate several large-scale events as well as, monster truck show(s).
- j. Addressed and implemented requirements and procedures as it relates to box office ticketing that would minimize spread of the COVID-19 virus.

2. One Year

- a. Computerization and automation of various daily tasks to increase productivity and reduce costs.
 - 1) Continuing to review and analyze various daily tasks within the next six months.
 - 2) Continue to recommend to stadium management how various daily tasks can be improved and/or enhanced.
- b. Continue to update box office policies and procedures. Update policies and procedures within the next year to reflect changes in using UH's computerized ticketing system.
- c. Continue to evaluate and refine upgraded scanning equipment to allow tickets purchased via smartphones to be scanned at all turnstiles, thereby eliminating the need for customers to stand in line at the box office. Another positive feature will enable customers to email additional tickets via smartphone to guests who would be arriving later during an event.
- d. Continue to monitor and evaluate the integration of Stadium's computerized parking pass system with the University of Hawaii's computer system allowing UH to print reserved parking passes on site to promote greater efficiency and expedite turnaround time for purchasers to receive their passes.
- e. Continue to address and implement requirements and procedures as it relates to box office ticketing that would minimize spread of the COVID-19 virus.

D. Security Branch

Projects are ongoing and continuous.

1. Past Year Accomplishment

- a. Trained with various agencies to address homeland security, emergency preparedness, and interoperability communications.
- b. Maintained contacts with various military, federal, state, county, and non-governmental agencies to include names and communication access to improve infrastructure security and disaster response.

- c. Evaluated and revised Emergency and Evacuation Procedures.
 - d. Installation of additional security surveillance cameras and equipment.
 - e. Continue computerization of various tasks and forms to increase productivity and reduce costs.
 - f. Implemented automated fan text messaging system.
 - g. Increased anti-terrorism and customer service training to vendors operating on stadium property.
 - h. Updated and implemented policies incorporating best practices when conducting bag-check screening of patrons.
 - i. Updated procedures on service animals that are consistent with ADA. Ensured initial points of contact have been informed of the updated procedures.
 - j. Coordinated security and law enforcement resources to ensure proper law enforcement was provided to the multitude of concert events at the Aloha Stadium.
 - k. Addressed and implemented requirements and procedures as it relates to security office personnel and handling of spectators in ways that would minimize the potential spread of the COVID-19 virus.
2. One Year
- a. Continue to review, analyze, and improve access control points, operations and procedures, and infrastructure security during event and non-event hours. With available funding, implement installation of access control devices.
 - b. Review and refine placement of security cameras and subject to availability of funding, implement expanded camera network and recording system for other critical entry and vantage point areas.
 - c. Continue to address and implement requirements and procedures as it relates to security office personnel and handling

of spectators in ways that would minimize potential spread of the COVID-19 virus.

3. Two Years

- a. Continue to develop and refine the surveillance camera system network and installation of access control devices for key entry and vantage points. Evaluate previous year outcomes and adjust goals and objectives as is necessary.
- b. Given adequate budget funding, renovation or construction improvement of the security office area. Evaluate previous year and adjust goals and objectives as is necessary.
- c. Continue to seek grants to upgrade stadium security portable radios to 700 MHz system.
- d. Continue to address and implement requirements and procedures as it relates to security office personnel and handling of spectators in ways that would minimize potential spread of the COVID-19 virus.

4. Five Years

- a. Installation or construction of a Command Center to monitor all event activities and to provide an area to consolidate emergency response and stadium operations personnel. Evaluate previous year and adjust goals and objectives as necessary.
- b. Continue to address and implement requirements and procedures as it relates to security office personnel and handling of spectators in ways that would minimize potential spread of the COVID-19 virus.

E. Events Branch

1. Past Year Accomplishment

- a. Reviewed and augmented briefing program for parking attendants, ushers, and scoreboard personnel.
- b. Reviewed and assessed safety programs at venue.
- c. Produced additional Public Service Announcements for PA Announcers and Scoreboard.

- d. Planned and/or operated successful events this past year with the UH, Hawaii Bowl, ILH, OIA, HHSAA, and many other licensees.
- e. Revised Employee & Policy handbook.
- f. Trained events personnel on Emergency and Evacuation Procedures.
- g. Reviewed program functions that were manually accomplished, automated functions where possible and as budget permitted.
- h. Where applicable, provided training for non-events staff in customer service and assistance.
- i. Assisted Security Branch in installing additional security cameras.
- j. Continue to implement new parking pass procedures for UH football.
- k. Continue to install new and replacement scoreboard equipment.
- l. Assisted UH with a student parking plan for UH football games.
- m. Review facilities accommodations to the Skybox, Press box, and Field Suites to enhance guest experience for VIPs and sponsors, and to assist in generating additional revenue.
- n. Implementation of web-based Incident Management System to record, monitor, and report on various event and facility related incidents.
- o. Coordinated a series of major concert events as well as a monster truck event, majority of which were sell-outs or close to sell-out events.
- p. Developed policies and procedures to address event day interaction between spectators, staff, and licensee that would minimize the spread of the COVID-19 virus.

2. One Year

- a. Continue review of existing and available equipment to improve the efficiency of Events Branch.
- b. Continue to train events personnel in customer service and assistance. Where applicable, extend training to entire stadium staff.
- c. Continue to plan and operate events at Aloha Stadium with licensees and enhance relationships with licensees.
- d. Continue to revise and upgrade Employee & Policy handbook.
- e. To ensure the safety of the public, participants, and staff, continue to review, refine, and upgrade Emergency Response Plan and Evacuation Procedures.
- f. Continue to review existing operational procedures for various types of events to enhance service to our licensees while reducing costs to our private and public sector partners (licensees).
- g. Continue to foster inter-agency cooperation with Department of Transportation, Honolulu Police Department, etc. to enhance service and security for the public and licensees.
- h. Continue to review facilities to enhance guest experience and to assist in generating revenue for the stadium.
- d. Continue to address and implement requirements and procedures relating to spectator participation and interactions and handling of spectators in ways that would minimize potential spread of the COVID-19 virus.

3. Two Years

The above-mentioned items are ongoing projects and will be performed on a continual basis.

4. Five Years

The above-mentioned items are ongoing projects and will be performed on a continual basis.

IV. Performance Measures

A. Administrative Services Branch

1. Customer Satisfaction Measure

- a. Review of Rules and Regulations of the Stadium Authority. New amendments are in effect from calendar year 2019.
- b. Review of contracts and bid documents to ensure maximization of revenues while supporting program efficiencies.
- c. Implementation of both guest and licensee surveys to track program and service satisfaction.

2. Program Standard Measure

Program standards comparable to private sector will be developed and monitored. Areas of concern will be corrected through established response procedures.

3. Cost Effectiveness Measure

- a. Computerization and automation of program functions to increase productivity and reduce costs.
- b. Review of Rules and Regulations of the Stadium Authority.
- c. Review of contracts and bid documents to ensure maximizing revenues to the agency.

B. Engineering and Maintenance Branch

1. Customer Satisfaction Measure

Number of complaints from spectators ranging from broken seats, water roof leaks, backed up plumbing and water puddles on the concourses are consistent with the condition of the aged stadium.

2. Program Standard Measure

Staff Standard Operating Procedures (SOP) is to address the issues either real-time and/or within a few days depending on the depth of repairs required. Labor Costs during event mode is a charge back to

Licensee. Non-event mode labor costs are part of Legislature allocated Operational Repair and Maintenance fiscal budget.

3. Cost Effectiveness Measure

Annual costs will be co-monitored by Administrative Branch to ensure expenditures are within reason and will be evaluated and corrective measures, where possible, will be implemented.

4. Interface Standards (New Stadium and HART Station)

Ascertain how timely and effectively our interface has worked with the entities responsible for the above facilities, and review patrons' response to above facilities.

C. Box Office Branch

1. Customer Satisfaction Measure

No complaints were received from the public on upgrading of the ticketing system.

2. Program Standard Measure

Service provided is current with industry standards.

3. Cost Effectiveness Measure

Purchase of updates to the computerized ticketing system is relatively costly and no effective measure on benefits is available at this time. However, without this purchase, there would be a considerable decrease in service to the public.

D. Security Branch

1. Customer Satisfaction Measure

Number of complaints received from the general public regarding security measures were considerably fewer than previous year as the public became more familiar with increased security measures taken as a result of 9-11. Program did not receive any complaints from other agencies regarding joint-task operations.

2. Program Standard Measure

Security services provided to the public are consistent with those for other large public-sector facilities. Input received from other agencies has not indicated any areas lacking in procedures or policies.

3. Cost Effectiveness Measure

There has not been any considerable increase in cost associated with security measures. Most of the costs if any have been passed onto the licensees as the cost of doing business in a large spectator venue. This is consistent with other large facilities across the nation.

E. Events Branch

1. Customer Satisfaction Measure

Positive feedback from customers has outweighed the negative feedback. Fewer complaints received via stadium's "Anonymous Guest Hotline" during stadium events.

In-game fan surveys have recorded that 85% of guests reported that the service experience was good to excellent.

2. Program Standard Measure

None available.

3. Cost Effectiveness Measure

Training and purchase of equipment has been costly, no effective measurement of benefit is available except for feedback from customers and their attendance to events.

DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES
ANNUAL REPORT ON GOALS, OBJECTIVES, AND POLICIES

January 2021

Program ID/Title: AGS-891/Enhanced 911 Board

Contact Person/Phone No.: Courtney Tagupa/391-7971

I. Goal

The goal of the State of Hawaii Enhanced 9-1-1 Board (the Board) is to provide adequate cost recovery for the wireless service providers (WSP), Voice Over Internet Protocol (VoIP), and 9-1-1 public safety answering points (PSAPs) to provide enhanced 9-1-1 service for public access as stipulated in Act 168, SLH 2011 signed into law by the Governor June 27, 2011.

II. Objectives and Policies

The Board's objective is to administer the monthly 9-1-1 surcharge collection to ensure adequate funding to deploy and sustain enhanced 9-1-1 service and develop and fund new and emerging enhanced 9-1-1 technology. The disbursements from the Enhanced 9-1-1 Fund (the Fund) pays for the reasonable costs to lease, purchase, or maintain all necessary equipment. This includes computer hardware, software, and database provisioning, required by the public safety answering point to provide technical functionality for the wireless enhanced 9-1-1 service, including any expenses associated with the planning phases and training of personnel in any new and emerging technologies according to the Federal Communications Commission order and the Congressional New and Emerging Technologies Act.

III. Action Plan with Timetable

The Board's action plan is to develop and implement the policies and procedures to meet the Board's goals and objectives.

A. Past Year Accomplishments (FY 2020)

1. The Board collected revenues totaling \$11,118,248.00
 - Wireless Revenue - \$9,350,424.00
 - VoIP revenue - \$1,429,358.00
 - Interest earned – \$338,466.00
2. The Board incurred expenditures and encumbrances totaling –
 - a. \$5,220,596.00 PSAP reimbursements.
 - b. \$732,135.00 Department of Budget and Finance special fund assessments.

- c. \$203,608.00 Payroll.
 - d. \$68,270.00 Wireless Service Provider (WSP) cost recovery.
 - e. \$19,106.00 Board and Committee member interisland travel.
 - f. \$228,640.00 Next Generation Consultants
 - g. \$27,119.00 Other Board administrative expenses.
3. The Board developed and implemented an FY 2021-25 Strategic Budget Plan for the Enhanced 9-1-1 Fund.
 4. The Board completed the annual Independent CPA audit of the Enhanced 911 Fund for FY 2019 and is currently in the audit process for FY 2020.
 5. The Board completed the State Auditor review for their five-year required review of the Enhanced 911 Special Fund.
 6. The Board completed the selection of the NG911 Consultant to develop the NG9-1-1 State Plan. The consultants will analyze the estimated costs for an i3 compatible Core Services, GSI, and ESInet technologies to transition to NG911.
 7. The Oahu PSAP move to the Joint Traffic Management Center (JTMC) new facility was completed. The expenses associated with the move will amount to slightly more than \$500,000 paid by the E911 Fund.

B. Year 1 (2021)

1. The Board will continue to monitor and modify as needed, the 5-year Strategic Budget Plan through FY2025.
2. The Board will continue to assist PSAPs in planning and facilitating current and future emerging technologies advancements to improve the public's 9- 1-1 services.
3. Due to COVID-19, the Board will temporarily discontinue community outreach efforts and conference travel for the PSAPs.
4. The Board will develop and plan to make recommendations to the legislature on amendments to Chapter 138, HRS to ensure statewide coordination for 9-1-1 services and further improve the IP network implementation advancements for the Next Generation of 9-1-1. This action is predicated on possible limitations on legislative availability due to the budgetary crisis.
5. The Board will continue to promote public education of Text-to-911 wireless mobile phone service, which allows the public to use this technology to protect the lives of victims of an active shooter and domestic violence. It will also provide better 911 emergency access to the hearing impaired.

6. The Board will move forward with the Next Generation 911 (NG911) State Plan by the end of the FY 2021.
7. The Board will plan and prepare for the successful completion of the annual CPA audit.
8. The Board will initiate the training program to establish certification training programs for its county PSAPs statewide.
9. COVID-19 has resulted in the loss of one staff member, and the possibility of the downsizing of the State systemwide will result in several challenges for the E911 Board.

C. Two Years (2021-2023)

1. The Board will continue to provide PSAP and WSP reimbursements from the 9-1-1 Fund to provide technical functionality for statewide NG911 9-1-1 services.
2. The Board will evaluate the long-term financial needs and make recommendations to the legislature on necessary adjustments to the Fund and the monthly surcharge fee.
3. The Board will assist the PSAPs in planning and facilitating current and future technological advances to modernize and improve 9-1-1 services for the State of Hawaii.
4. The Board will monitor and modify as needed, the current and future 5-year Strategic Budget Plan.
5. The Board will develop and make recommendations to the legislature on modifications to Chapter 138 to assure statewide coordination for 9-1-1 services and move the State towards the implementation of the Next Generation 9-1-1 technologies that will enable the public to send texts, photos, videos, and other data.
6. The Board will establish and implement policies and procedures for collecting prepaid wireless mobile phone surcharge fees should the legislature pass related legislation.
7. The Board will continue to work for the successful deployment of FirstNet and its interoperability with the PSAPs statewide.

8. The Board will review and approve the NG9-1-1 State Plan and begin the process of procuring the hardware and software as recommended in the approved NG911 State Plan.
9. The Board will complete the development of its curriculum for its Certified Training program for the county PSAPs statewide and begin the Certification training classes for new and existing call takers and dispatchers.

D. Five Years (2021 to 2025)

1. The Board will continue to provide PSAP and WSP reimbursements from the 9-1-1 Fund to provide technical functionality for statewide NG 9-1-1 services.
2. The Board will reintroduce prepaid legislation as part of the Governor's administrative budget that allows the Board to collect a surcharge fee of 1.5% at point-of-sale on prepaid wireless mobile phone service to establish parity with surcharge fees collected among post-paid wireless and Voice over Internet Protocol (VoIP) users to ensure the continuity of modernization of PSAP computer hardware and software with new and emerging technologies. If the bill passes, the Board will consider a plan to adjust the rates, if warranted, on the post-paid and prepaid surcharge fees consistent with the 5-year Strategic Budget Plan from FYs 2021 through 2025.
3. The Board will continue to evaluate its long-term financial needs and make recommendations to the legislature on necessary adjustments to the Fund and the monthly surcharge fee.
4. The Board will continue to monitor and modify as needed, the 5-year Strategic Budget Plan from FYs 2021 through 2025.
5. The Board will assist PSAPs in planning and facilitating current and future technological advances to modernize and improve 9-1-1 services for the State of Hawaii.
6. The Board will develop and make recommendations to the legislature on a modification to Chapter 138 to ensure statewide coordination for 9-1-1 services and move the State towards implementing the Next Generation 9-1-1 technologies that will enable the public to send text photos, videos, and other data.
7. The Board will establish and implement policies and procedures for collecting prepaid wireless mobile phone surcharge fees should the legislature pass related legislation.
8. The Board will plan and prepare for the successful completion of the annual CPA audits.

9. The Board will be tracking the progress of the telecommunications service providers in satisfying the FCC mandates for location accuracy in locating cell phone users outdoors or indoors for first responder rescues.
10. The Board will continue to work for the successful deployment of FirstNet and its interoperability with the PSAPs statewide.
11. The Board will complete the transition to NG9-1-1 for all four county PSAPs.

IV. Performance Measures

The Board developed the following measures of effectiveness, which were reported under the annual performance measure review:

- A. Number of Wireless/VoIP/Wireline 911 calls to county PSAPs.
- B. Number of Public Educational Outreach Programs during the fiscal year.
- C. Percent of E911 Funds Disbursed for New Technology for PSAPs.

Furthermore, by the nature of this Board, the standard performance measures of Customer Satisfaction, Program Standard, and Cost Effectiveness are not applicable.

- A. Customer Satisfaction Measure – NA
- B. Program Standard Measures – NA
- C. Cost-Effective Measure - NA

DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES
ANNUAL REPORT ON GOALS, OBJECTIVES AND POLICIES

January 2021

Program ID/Title: AGS-901/General Administrative Services

Contact Person/Phone No.: Meoh-Leng Silliman/586-0690

I. Goal

The goal of the General Administrative Services program is to provide efficient and effective executive management of the department, internal management and fiscal services, human resources management services, and to streamline and reengineer work processes through computerization, networking and greater utilization of Internet technology.

II. Objectives and Policies

The major objectives of the General Administrative Services program are to enhance program effectiveness and efficiency by formulating policies, allocating resources, administering operations and personnel, and providing DAGS employees with immediate access to information to support their job functions by supplying departmental knowledge database and computer application systems to enhance their work experience and customer service.

III. Action Plan with Timetable

The General Administrative Services program's action plan is to continue to provide executive, administrative, personnel and information technology services as required to meet the goals and objectives of the department.

A. Past Year Accomplishment

1. Administrative Services Office

- a. Continuously processed encumbrances and payments on a timely basis to ensure the employees are paid on time and that vendors are paid promptly.
- b. Maintained the system of accounts in accordance with the State Accounting System.
- c. Coordinated, prepared, and submitted annual reports to the legislature.

- d. Compiled and submitted required departmental biennium budget documents for the fiscal year 2021.
 - e. Administered the purchasing card (pCard) program which includes all eligible divisions, staff offices, district offices, and attached agencies. For FY 20, average monthly pCard purchase transactions represented 51% (or approximately 11,816 purchase transactions) of total purchase transactions.
 - f. As one of the two groups designated to be in the first phase of the statewide payroll system conversion, continued to adapt the new business processes resulting from the implementation of the Hawaii Pay payroll system. Payroll personnel continued to participate in monthly subject-matter-expert (SME) meetings conducted by the Hawaii Pay team.
 - g. As one of the three groups designated to be in the first phase of the statewide Time and Attendance modernization project (also known as Time & Leave, T&L), Payroll personnel participated in training and working meetings to process payroll in the new environment.
 - h. Replaced and trained key personnel capably and efficiently to ensure a smooth transition for succession planning.
 - i. Due to the COVID-19 pandemic, program staff built a SharePoint website, equipped fiscal staff with the necessary resources to function effectively online, and provided instructions for the electronic processing of payroll, vendor payments, and other essential fiscal processes to support department staff that worked from their office location, worked from home, and continued to work from home.
2. Personnel Office
- a. Continuously processed personnel transactions on a timely basis to ensure that employees properly and promptly received compensation, benefits and other employment services. Audited each employee's Form 7 as of 12/31/19 (annual activity) and again as of 4/30/20 due to deploying to HIP/Time and Leave on 5/4/2020 in order to ensure accurate leave balances in the system.
 - b. Completed 70 recruitment actions. Completed 153 position classification actions.

- c. Advised programs on grievances, contract interpretations, consultations with unions, investigations of employee incidents, disciplinary actions, substandard performance, safety issues, recruitment and selection, compensation, personal services contracts, family leave, leave share, reasonable accommodation, temporary assignment, and light duty. In addition, due to HGEA bargaining units going into arbitration, various data requests from DHRD and B&F were completed.
- d. In preparation for the HIP/Time and Leave Group 1 deployment, Reports To and Dept ID records needed to be identified/corrected/input into the HRMS system by December 2019. Audited each employee's Form 7 as of 4/30/20 in order to verify accurate leave balances input into the Time and Leave system prior to going live on 5/4/20. Researched, resolved, and/or placed HIP tickets for Time and Leave issues post deployment (e.g., a Human Resources Specialist logged 269 changes from 5/4/20 to 6/30/20).
- e. Prioritized the establishment and filling of multiple key positions for the Accounting Division. Due to a hiring freeze effective 4/3/20, a rush to onboard those applicants where commitments were made as well as coordinate closing of recruitments in various phases. There was also a rush to obtain approval for 89-day appointments that were beyond their second appointment.
- f. COVID-19 generated a need for numerous communications, reports, tracking, and filing. Activities that were not planned for but had to be accomplished included: identifying essential and non-essential workers, deployment of employees, administrative leave, teleworking, purchasing equipment and safety supplies, and administering the Families First Coronavirus Response Act: Employer Paid Leave (FFCRA).
- g. Collected and compiled Quarterly Staffing Reports to the Department of Budget & Finance; quarterly Grievance Reports to the Department of Human Resources Development (DHRD); Annual Vacation and Sick Leave Accruals to DAGS – Accounting Division, and annual Occupational Safety and Health Administration (OSHA) Report to the Department of Labor and Industrial Relations

3. Systems and Procedures Office

- a. Rewrote the Central Services Division' Work Order System from a legacy IBM mini-computer application to a web-based PC server application system.
- b. Converted all IBM mainframe computer application reports to be stored and accessed in PDF format.
- c. Configured and programmed laptops for multiple DAGS agencies to be able to remote telework during COVID-19.

B. Year 1

1. Administrative Services Office - Provide continuous administrative support to the department by:

- a. The timely processing of encumbrances and payments to ensure the employees are paid on time and that vendors are paid promptly to avoid any late vendor payment interest charges. Maintenance of a system of accounts in accordance with the prescribed State Accounting System.
- b. The coordination, preparation, and submission of annual reports to the Legislature.
- c. The preparation and coordination of departmental budgets for the Department of Budget and Finance and the Legislature.
- d. The administration of the pCard program for the department. Transition the department to the new pCard vendor selected by the State Procurement Office for the pCard program.
- e. In-house staff to perform the internal control and procurement compliance audit on selected DAGS programs instead of engaging the services of a CPA firm.
- f. The continuation of a comprehensive in-house staff training program to improve its operations and to provide training skills for the supervisors.
- g. The continuation of efforts to utilize electronic formats for document storage and retrieval; replace paper-intensive processes where appropriate.

2. Personnel Office

- a. Continue to process personnel transactions on a timely basis to meet the needs of employees and programs. Due to office staffing, prioritizing will need to be done causing some transactions to be delayed.
- b. Ensure that the Department continues to comply with all State and Federal employment laws, rules, and regulations; and collective bargaining agreements in the most efficient and effective manner. Update employment notices on employee bulletin boards.
- c. Continue to participate in the statewide program and policy development efforts to ensure that the department's human resource needs, concerns, and wants are addressed.
- d. Fill remaining vacant position and continue to coach staff in their fairly new capacities; continue to encourage staff to take training courses pertinent to their functional areas and attend professional development and networking opportunities.
- e. Document and organize paper and electronic files for more efficient searching; archive or destroy paper and electronic files according to the Records Retention Schedule.
- f. Work on pay adjustments and corrections from the HGEA collective bargaining unit agreements that are retroactive to 7/1/19. Identify and recalculate monthly and hourly pay rates due to the retroactive pay adjustments.
- g. Assist the department's planning, implementation, and adjustment(s) for a potential furlough.

3. Systems and Procedures Office

- a. Start the redesign of the Automotive Management Division's computer application systems currently residing on the IBM iSeries mini-computer to be web-based applications residing on a PC server.
- b. Rewrote all Lotus Notes scripted applications to PHP applications and retired the Lotus Notes Domino server.

C. Year 2

1. Administrative Services Office - Continuation of items a to d in Year 1.
2. Personnel Office – Continuation of items a to e in Year 1.
3. Systems and Procedures Office
 - a. Complete the redesign of the Automotive Management Division's computer application systems as web-based applications residing on a PC server.
 - b. Retire the Public Works Division mainframe-based Project Accounting System (MCD).

D. Year 5

1. Administrative Services Office – Continuation of items a to d in Year 1.
2. Personnel Office – Continuation of items a to e in Year 1.
3. Systems and Procedures Office
 - a. Develop and implement a departmental cost control system that will utilize the office staff and open source software for this project. This system is intended for management to better monitor their expenditures.
 - b. Design, configure and implement a departmental data warehouse that will hold data from all the various computer application systems pertaining to DAGS. Management will be able to extract data to support future plans or decisions. For example, management could query the data warehouse to find out the payroll costs to maintain the Kalanimoku Building on an ongoing basis.

IV. Performance Measures

- A. Customer Satisfaction Measure – If there are suggestions and/or complaints, an annual written survey/evaluation for agencies affected by each office will be developed and distributed. The results will then be evaluated and any area of concern identified by the users will be addressed.

B. Program Standard Measure

1. Administrative Services Office – Monitor the number of days to internally process vendor payments to achieve the performance standard of seven working days, number and amount of instances of interest paid for late vendor payments as compared to other state departments, and timeliness and accuracy of budget submissions to the Department of Budget and Finance.
2. Number of Request for Personnel Actions (classification and recruitment) received and processed. within a reasonable time period. Number of complaints, grievances, investigations, and needs improvement performance evaluations assisted with and/or conducted. Number or work-related accidents/injuries, reasonable accommodation, W/C, light duty and RTWPP cases filed.
3. Systems and Procedures Office – Number of user requests completed by the desired completion date. Number of man-hours saved due to implementation or enhancement of computer system. Number of DAGS' users with e-mail and Internet access. Number of hits per month to the departmental intranet site.

C. Cost Effectiveness Measure

1. Administrative Services Office – Reduction of interest on late vendor payments. Continue to monitor funding requirements of DAGS' programs to ensure compliance with appropriation limits; office expenditures not exceeding budget amount.
2. Personnel Office – Provide programs and services with little or no additional cost. Office expenditures not exceeding budget amount. May need to look at cost savings/reductions and impact to providing operational support with reduced budgets.
3. Systems and Procedures Office – Job assignments completed within projections. Greater utilization of electronic routing and filing of documents. Office expenditures not exceeding budget amount.