

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

January 2022

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

Contact Person/Phone: Lenora Fisher/586-0600

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 Leave Modernization Project – involves replacing the existing Payroll System and implementing a statewide Time and Leave System.

(1) Past Year Accomplishment

Participated in the implementation and post-implementation transition activities for the Group 2 rollout of the Time and Leave System.

(2) One Year

Participate in the implementation and post-implementation transition activities for the Group 3 rollout of the Time and Leave System.

Participate in the transition of the Time and Leave System from the ETS Project Team to ETS ERB and DAGS Accounting.

Participate in the implementation of the maintenance and support phase of the Time and Leave System.

(3) Two Year

Participate in the maintenance and support activities of the Time and Leave System.

(4) Five Year

Participate in the maintenance and support activities of the Time and Leave System.

- b. New Financial System Project – involves replacing the existing Financial Systems.

(1) Past Year Accomplishment

The Uniform Chart of Accounts (UCOA) was completed. UCOA requirements were included in the Request for Proposal (RFP) for the new Financial System.

Participated in the evaluation of vendor RFPs and selection of the new Financial System.

(2) One Year

Participate in the design and development of the new Financial System.

(3) Two Year

Continue to participate in the design and development of the new Financial System and participate in the implementation process activities.

(4) Five Year

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

c. Financial Datamart System

(1) Past Year Accomplishment

Maintained the efficiency and the functional performance of the Financial Datamart System to ensure that department users could consistently access the system.

(2) One Year

Continue maintenance of the Financial Datamart system to ensure system performance in providing required functionality for the department users. The need for future enhancements will be evaluated and based on the functionality and readiness of the new Financial System, to ensure the best use of personnel and financial resources.

(3) Two Year

Continue maintenance of the Financial Datamart system to ensure system performance and providing required functionality for the department users.

Evaluate the conversion of the Financial Datamart system from an active database to an archive database system in preparation for the migration to the new financial system.

(4) Five Year

Continue maintenance of the Financial Datamart system as an archive database to ensure system performance and providing required functionality for department users.

- d. ACH Vendor Payment Project – migrate from paper checks to electronic payments to vendors.

- (1) Past Year Accomplishment

- Participated in the evaluation, design, and development of an ACH payment program.

- (2) One Year

- Participate in the enhanced development and implementation of the ACH payment program.

- Participate in the maintenance of the ACH program.

- (3) Two Year

- Participate in the maintenance of the ACH program.

- Participate in the migration from the current ACH program to the new Financial System ACH program.

- (4) Five Year

- Participate in the maintenance of the new Financial System ACH program.

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

- Maintained the Check Image Storage and Retrieval System needed for the reconciliation process of checks issued by the Comptroller.

(2) One Year
Install system upgrades and maintain the performance and functionality of the Check Image Storage and Retrieval System.

(3) Two Year

Install system upgrades and maintain the performance and functionality of the Check Image Storage and Retrieval System.

(4) Five Year

Install system upgrades and maintain the performance and functionality of the Check Image Storage and Retrieval System.

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) Data Integrity and System Security

2. Implementation Timetable

a. Past year Accomplishment

Maintained and enforced systems security protocols for existing accounting systems to ensure users were authorized to access systems to enter data, review data, or retrieve data.

b. One Year

Evaluate the Time and Leave system accounting controls to ensure that the system processes transactions properly and complies with overarching governance guidelines.

Develop a program for the new Financial System accounting controls to ensure that the system processes transactions properly and complies with overarching governance guidelines.

c. Two Year

Maintain the Time and Leave system accounting controls to ensure that the system processes transactions properly and complies with overarching governance guidelines.

Evaluate the new Financial System accounting controls to ensure that the system processes transactions properly and complies with overarching governance guidelines.

d. Five Year

Continue to maintain the Time and Leave System and Financial System accounting controls to ensure that these systems process transactions properly and complies with overarching governance guidelines.

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 2022

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 stabilization of the new time and attendance system and the implementation and development 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 payroll memos.
 - b. One Year – Review and implement any changes resulting from the implementation of the new Time & Attendance program. Assist in the implementation and development 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 2022

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 Annual Comprehensive Financial Report.

II. Objectives and Policies

- A. #1 - The issuance of the State's Annual Comprehensive Financial Report (ACFR) in conformance with generally accepted accounting principles (GAAP). This also includes the submission of the State's ACFR 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 ACFR 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 2020 ACFR including the government-wide accrual basis financial statements and the discussion and analysis of the financial statements. The FY 2020 ACFR was issued in December 2020.

- b. The State of Hawaii received the Government Finance Officers Association (GFOA) Certificate of Achievement for Excellence in Financial Reporting for the ninth consecutive year.
 - 3. One Year
 - a. Prepare FY 2021 CAFR under GASB Statements, including GASB Statement number 84 Fiduciary Activities.
 - b. Continue accounting policy and procedure changes needed to implement GASB Statements, including the accounting of Agency and Custodial funds and the way they are presented on the annual report.
 - 4. Two Years
 - a. Evaluate any new GASB statements and their impact on the accounting policies and procedures, including GASB Statement number 87 Leases.
 - 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.
- b. Participated in the initial steps of procuring and vendor selection of a new accounting system.

3. One Year

- a. Continue to review current process and utilizing the State's intranet to improve processing and dissemination of financial information.
- a. Assist in the implementation of a new financial accounting system.

4. Two Years

- b. Participate in various training/meetings with functional and operational process group.
- c. Continue to 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 ACFR 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 ACFR 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 ACFR 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 2022

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 22 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. 9 of 22 departments and agencies identified 35 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. 10 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. 9 of the 10 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. 102 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 January 18, 2018, the total amount of invoices submitted to the Comptroller for payment by the Honolulu Authority for Rapid Transportation (HART) totaled \$1,499,782,781, of which 15 certification letters have been issued for 602 invoices totaling \$1,065,245,466, were verified in compliance with the capital cost requirements of HRS §46-16.8 (e). This amount 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, 2021, 4 certification statements totaling \$261,852,422, were verified in compliance with the capital cost requirements of HRS §46-16.8 (e).
 - iii. As of July 31, 2021, 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 \$790,161, 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, 2021, 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 22 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 22 audit reports of departments and agencies performed by external auditors and 10 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

January 2022

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

Contact Person/Phone: 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, as follows:

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 State and county 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 2021, when this plan was prepared, the COVID-19 pandemic continued worldwide with new variants. Although tourists had started returning and federal assistance had been received, Hawaii's economy continued to struggle, and substantially lower tax revenues have been projected for several years into the future. Due to staffing shortages, OIP's backlog increased significantly in FY 2021 and continued the uptrend in FY 2022. It is against this background and uncertainty that OIP's Action Plan was developed.

B. Legal Guidance and Assistance

1. Past Year Accomplishments

- a. OIP received 874 total requests for assistance in FY 2021, 95% (828) of which were resolved in the same fiscal year, and 82% (719) were informal requests typically resolved the same day through OIP's Attorney of the Day (AOD) service.
- b. In late March-early April 2021, OIP was exempted from the State's hiring freeze and allowed to fill two of three vacancies in 8.5 total positions.
- c. OIP successfully advocated for passage of Act 220, SLH 2021 that will allow Sunshine Law boards to conduct remote online meetings effective January 1, 2022, and therefore, OIP revised the training materials on its website.
- d. OIP continued to add historical materials to the new "Legislation" page at oip.hawaii.gov, namely Act 220, SLH 2021, amending the Sunshine Law. Here, OIP has 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.
- b. 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.
- c. In light of emergency restrictions on gatherings and OIP's limited resources, focus on preparing and improving online training and communication to reflect

the changes in the Sunshine Law allowing boards to conduct remote hearings online, as will become effective on January 1, 2022.

3. Year 2 Action Plan

- a. 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, conditioned on the prior completion of the Attorney General's legal review of OIP's draft rules.
- b. Assuming adoption, implement OIP's new administrative rules, including the creation of new training materials and a revised UIPA Record Request Log.
- c. Update and improve OIP's online training materials, as may be necessary.
- d. 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. Evaluate recently implemented rules and determine whether additional rules or revisions are necessary.
- 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.

B. Investigations and Dispute Resolution

1. Past Year Accomplishments

- a. OIP received a total of 874 formal and informal requests for assistance in FY 2021, and OIP resolved 95% of them in the same year and typically resolved 82% within the same day.
- b. Of the 155 formal cases opened in FY 2021, 109 (70%) were resolved in the same fiscal year.
- c. Of the 93 cases that remained pending at the end of FY 2021, 46 (49.5%) were opened in FY 2021 and 47 (50.5%) were opened in FY 2020 or earlier, one of which is still pending in litigation.

2. Year 1 Action Plan

- a. Obtain approval to hire and train new employees to fill vacancies.
- b. Strive to resolve all formal cases filed before FY 2021, 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 2021, 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.
- 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. 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 and has at least five trained staff attorneys.
- 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.

C. Open Data

1. Past Year Accomplishments

- a. Prepared UIPA Record Request Log reports summarizing results for FY 2020 from 199 State and 85 county agencies, including the Governor's office, Lt. Governor's office, Judiciary, Legislature, UH, OHA, all Mayors' offices, and all county councils.
- b. Distributed 27 *What's New* articles to keep government personnel and the general public informed of open government issues, including proposed legislation.
- c. Received 29,273 unique visits from Hawaii to OIP's website and 101,170 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 vacancies.
- b. Encourage and assist State and county agencies to electronically post open data, including the results of their UIPA Record Request Logs.
- c. Complete data and prepare reports of the Log results for FY 2021 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 the 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 (RRS)

1. Past Year Accomplishments

- a. For FY 2021, State and county agencies reported 28,612 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 2021, OIP successfully obtained passage of SB 1034, SD 1, HD 2, CD 1, which was signed by Governor David Ige and enacted into law as Act 220, SLH 2021. Effective January 1, 2022, Act 220 amends the Sunshine Law to allow boards to remotely conduct online hearings.
- b. Additionally, in FY 2021, OIP reviewed and monitored 161 bills and resolutions and testified on 41 of them.
- c. In FY 2021, OIP monitored 45 cases in litigation, of which 13 were new cases.

2. Year 1 Action Plan

- a. Obtain approval to hire and train new employees to fill vacancies.

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.

4. Year 5 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.

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 OIP 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; 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 percentage of formal or informal requests for assistance resolved in the same year of the request and the number of formal cases pending at the end of each fiscal year.

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

January 2022

Program ID/Title: AGS-111DA/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. Manage the Hawaii State Digital Archives 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 176.75 cubic feet of records and special collections; retrieved 10,449 records for researchers; translated 556 pages of Hawaiian language records; serviced 3,360 researchers; scanned 43,924 images; uploaded 3,011,763 records for public access; and received 42,246 unique website visitors to Archives online resources.
- 2. Records Center: received 1,840 cubic feet of records; completed 852 records requests; 42 record series scheduled or revised; and

3,604 microfiche with 47,356 images completed scanning process (scan, audit, and quality assurance).

3. Digital Archives: Revised implementation of Digital Pipeline services; developed web-based user interface to access digital archives catalog, including basic Hawaiian language support; installed 480TB storage sub-system.

B. One Year

1. Archives: Accession 100 cubic feet of records; appraise, arrange, and describe 25 cubic feet of records; retrieve 20,000 records for researchers; translate 200 pages of Hawaiian language records; service 8,000 researchers; upload 1,500,000 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; improve support for Hawaiian language records, improve search functionality and the general user experience of the public web-based interface into the Digital Archives, in consultation with State Agencies and interested public.

C. Two Years

1. Archives: Accession 200 cubic feet of records appraise, arrange, and describe 50 cubic feet of records; retrieve 40,000 records for researchers; translate 400 pages of Hawaiian language records; service 16,000 researchers; upload 3,000,000 new images (records) to the Archives' website; 60,000 unique web visitors to the Archives' research portal website.
2. Records Center: schedule 40 records series; receive 6,000 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 100,000 records for researchers; translate 1,000 pages of Hawaiian language records; service 40,000 researchers; upload 7,500,000 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 15,000 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 2022

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.*

Starting FY22, the OETS budget will be consolidated under AGS131, which will include activities, positions, and funds from AGS130. As OETS has integrated all functions from the formerly separate OIMT and ICSD organizations, maintaining the separate AGS131 and AGS130 account structure is no longer necessary. Using two accounts has proven to be cumbersome, unwieldy, and inefficient, requiring tedious duplicate fiscal and personnel reporting. Combining the two accounts will more accurately reflect OETS programs, organizational structure, and functions, and will allow for effective use of program resources.

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 systems software support and programming, database management and operational support for the Enterprise Mainframe System (z) and all Third-Party Software, Enterprise Power System , Enterprise Spectrum Protect Backup and Restore System, mainframe user access management and disaster recovery. Manage accurate 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-premises and Cloud applications.

Client Services Branch — Provide applications 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).

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. Replaced the UPS batteries for the two large units supporting the data center.

Systems Services Branch — To maintain security, operational capability and comply with regulatory standard/requirement, the Mainframe Systems operating system has been upgraded to the next supported version. The mainframe system is currently hosting major departmental applications such as welfare administration, unemployment and disability compensation, child support and financial and asset management. To leverage on new features and functionality delivered only in the updated release, the Mainframe Adabas Software has been upgraded to the next supported version. The mainframe database systems are being used for major departmental applications such as welfare administration, unemployment and disability compensation and child support. The ETS Team has started the technical upgrade of the Power Systems infrastructure that is currently hosting Departmental applications related to public safety, business registration and professional certifications, digital archiving and enterprise backup and restore. Procurement of the new and consolidated infrastructure that includes compute, storage and network equipment has been completed. The ETS Team has provided technical and managerial support to DHS, DLIR and CSEA during the audit engagement conducted by the IRS. ETS ensured that the infrastructure and processes for mainframe application hosting services comply with IRS Publication 1075 and resolve audit findings according to risk category. The MFaaS Team successfully conducted the Mainframe Disaster Recovery System Test at the IBM Omaha Data Center. The operating systems, database systems as well as application software of the mainframe host systems were verified to be operational. The testing was done to ensure that ETS and DHS have the operational capability to fail over to the disaster recovery site in case of real disaster that could happen at the existing ETS Kalanimoku Data Center. System logs were verified and downloaded. The system logs will be used as reference to document a comprehensive Mainframe Disaster Recovery Process. The MFaaS

Team attended Change Management Workshop to establish process for normal change and emergency change. The MFaaS Team has implemented the process using the available productivity tools. The adaption of the process enabled management to regain control of all changes happening in the mainframe environment.

Technology Support Services Branch — Completed migration of Department of Taxation to Office 365 which completes migration for the entire Executive branch. Decommissioned legacy Lotus Notes & Active Directory environments. Migrated ETS to Teams Calling from Hawaiian Telecom phone lines, which provided cost savings and better communication abilities for teleworking with external parties. Increased adoption amongst departments of M365 (particularly Teams, license management, Unified Security Risk and Quality Assessments). Coordinated Microsoft Azure training & certifications across the Executive Branch. Replaced backup solution, completed a major software stack upgrade, and continued to research hybrid cloud options for ETS-managed local private Cloud service (Hawai'i Government Private Cloud). Continued hardening the State's Active Directory infrastructure. Made further progress on the research and implementation of a citizen identity solution with more departments interested and starting to use it for various public facing systems. Moved TSSB hosted websites behind Cloudflare security services and secured external access with cloud identity and access management services. Progressed on implementing full HTTPS for all hosted websites. Supported the technical development and operations of the State of Hawaii Safe Travels program and Attorney General's Quarantine Exemption program. Continued support for various pandemic related initiatives and the enablement of telework technologies. Implemented the Hawaii SMART Health Card feature.

Client Services Branch — The branch assisted the Department of Labor and Industrial Relations (DLIR), Unemployment Insurance (UI) Division with the implementation of the following programs: 1) Federal Pandemic Unemployment Compensation (FPUC), 2) Pandemic Emergency Unemployment Compensation (PEUC), 3) Low Earnings Act (LWA), 4) Multi Earner Unemployment Compensation (MEUC), 5) Pandemic Unemployment Act (PUA extension), 6) Extended Benefits (EB20) and 7) American Rescue Plan Act (ARPA). In addition, for DLIR UI, the branch aided with data and business analysis, and data conversion for the new Hawaii Unemployment Modernization (HUIMod) System. For the Campaign Spending Commission (CSC), the branch implemented a re-write of the Candidate Filing System (CFS), Candidate Filing Public System (CFSPublic) and the CSC Mass Email System (CSCEmail). The applications were re-written using an updated platform which will provide better support and security going forward. The branch also provided support for the new Salesforce

application of the Department of Commerce and Consumer Affairs (DCCA), Professional and Vocational Licensing Division (PVL). Support included assistance with preparations for the June 2021 renewal of nurses, private detectives, guards, and plumbers.

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, Payroll, and financial data sources. Successfully implemented Time & Leave applications for the Executive and non-Executive branches. Implemented HR in HIP for LEG, OHA, and Stadium.

Network Branch — Added 6 new sites into the State's Institutional Network (INET) providing high-speed connectivity to sites on the Big Island and Oahu. Replaced equipment at key locations with greater capacity while requiring less space and power. Established 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. Established a framework for enterprise WiFi connectivity. 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.

Security Branch — Aligned priorities to address mitigations for most frequent cybersecurity attacks. Performed enterprise-wide compromise assessments and emphasized cyber hygiene concerns. Exercised detection and response capabilities.

Enterprise Architect Branch — Published statewide IT roadmaps to facilitate transparency in the IT planning, budgeting, procurement, and maintenance processes. Initiated enterprise application portfolio management (APM) throughout the Executive Departments. Strengthened governance procedures and implemented technical architecture improvements for the statewide internet portal providing digital services for constituents. Worked with the departments and established clear goals and metrics for the statewide IT portfolio governance improvement. The IT Portfolio Working Group continues to meet with the goal of improving the statewide guidance and governance. For Business Architecture, as

part of the overall enterprise architecture and IT portfolio governance improvement, the EA Branch continues to work with the departments to establish a business architecture framework for the state - with each department's IT systems continuously recategorized for the business capabilities they serve. In the roadmap meetings with the departments the department-level application ("IT system") portfolio is frequently revisited for each application's business criticality and functional business fit. For Solution Architecture guidance, the EA Branch continued to refine the overall IT project portfolio and the spend request process. Triple data entry related to the ETS-205 form was eliminated, and the quality of the requests is now clearly improving and becoming more benefits-oriented and in general justified by measurable business value estimates. The EA Branch recently simplified the roadmapping and project portfolio guidance at <https://ets.hawaii.gov/it-governance/> and published a simple but hopefully clear public IT roadmap at <https://ets.hawaii.gov/state-of-hawaii-it-portfolio-management/>. For Technical Architecture guidance, the statewide application portfolio is continuously assessed for technical fit in meetings with the departments – and the evergreen architecture opportunities are repeatedly discussed – including guidance towards automated testing and automated deployment. This is clearly starting to resonate with the departments and the footprint of Salesforce and utilization of PaaS platforms – AWS, GCP and Azure - is continuously expanding. Any requests for legacy, state-owned and managed infrastructure spending is systematically redirected to not just IaaS but rather PaaS and SaaS.

Program Management Branch — As part of DAGS Accounting Division's Enterprise Payroll and Time & Attendance Modernization (HawaiiPay) project, accomplished successful payroll Go-Live implementation for Groups 1 (DAGS and DHRD) and 2 (all other remaining jurisdictions, departments, and agencies – except UH and DOE) to the new Cloud-enabled services environment.

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.

Systems Services Branch — Continue to improve uptime availability and security of the Enterprise Mainframe System z, Enterprise Power System and Backup and Restore infrastructures. Complete the host migration and transitional processes of the Mainframe System from the current on-premised environment to an off-premised environment. Develop an inventory of all mainframe applications and track departmental plans for the migration off the Mainframe System.

Develop a plan to cross train and re-tool staff that will be affected by the sunsetting of the Mainframe computing platform.

Technology Support Services Branch — Increase adoption amongst departments of M365 (particularly Teams, license management, Unified Security Risk and Quality Assessments). Continue hardening the State's Active Directory infrastructure. Assist other departments and offices with their requests to implement Teams Calling. Lead a proof-of-concept project for mobile device management across several departments. Research hybrid solutions and managed service options for ETS-managed local private Cloud service (Hawai'i Government Private Cloud). Continue working with the departments to expand a citizen and B2C identity solution and evaluate fraud protection and identity-proofing services. Implement a state web site template redesign and full HTTPS for all hosted websites. Provide support in securing the elections' infrastructure for the 2022 Elections. Support for various pandemic related initiatives and the enablement of telework technologies.

Client Services Branch — Continue to reprogram the Non-candidate portion of the Campaign Spending Commission's systems and assist the DLIR-UI in the replacement of their mainframe systems. 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, Payroll, and Time & Leave systems including interfaces, reporting, security, and transaction processing. Improve on current processes to improve transaction efficiency and data use. Assist with integrations to/from the new Financial Management System.

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. Assist DOT Airports and other users with transitioning to HIWIN for interoperable communications. Maintain radio facilities and infrastructure.

Security Branch — Implement solutions to get visibility and measures on State assets to ensure secure configuration and operation. Provide broad and effective security software to prevent information systems from compromise and misuse. Disseminate standards, guidance, and security awareness training to increase department capabilities to be more resilient against cybersecurity attacks.

Enterprise Architect Branch — Publish initial statewide IT enterprise architecture framework. 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, DLIR UI Modernization, DCD eCMS Modernization, and AGS KEIKI modernization. Continue planning and strategy refinement for procurement of new contract for the Statewide Internet Portal provider.

Program Management Branch — Execute the second phase of the enterprise modernization efforts to include the implementation of the Time and Leave system extended to all jurisdictions and departments serviced for payroll processing in the Hawaii Information Portal (HIP) system. Continue work streams to stabilize payroll operations and required support for departments and third parties (benefit administrators, unions, etc.) and successfully transition to operations, with support from the contractor through the managed services arrangement provided through the contract. Additionally, the branch will begin to extend program/project management services in support of enterprise projects across State departments following the establishment of a working group to solicit feedback, priorities, and interests from departments.

Two 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 — Establish a fully operational business disaster recovery process in coordination with major mainframe user departments that will include documentation and periodic departmental testing Acquire Power System maintenance services to enhance security and keep the version of operating system software current in compliance with regulatory requirements.

Technology Support Services Branch — Implement the next phase including the standing up of a hybrid cloud environment and research replacement hardware for ETS-managed local private Cloud service (Hawai'i Government Private Cloud. 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 Adobe Sign, 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 HR, Payroll, and Time & Leave for all departments and agencies

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, deployment of software-defined (SD) wide area network (WAN) technologies. 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 — Prioritize cybersecurity initiatives based on risk and impact. Increase collaboration with federal and local infrastructure partners to provide whole of community approach to cybersecurity.

Enterprise Architect Branch — Refine statewide IT enterprise architecture framework. Refine statewide IT enterprise applications portfolio and roadmaps; continue to demonstrate effectiveness of IT planning, review, approval, procurement, and implementation processes. Continue to provide enterprise architecture assistance to Departmental initiatives such as the DHS technology modernization, DLIR UI Modernization, DCD eCMS Modernization, and AGS KEIKI modernization. Prepare for release of Request for Proposal for new contract for the Statewide Internet Portal provider.

Program Management Branch — Under the Hawaii Modernization effort we plan to continue the enterprise system to include the financial system modernization and other related modules. Establish and expand transition plans to transfer from project implementation to operational units within the State for Time and Leave as there will be departments transitioning in the four deployment groups. Continue efforts to provide advisory support of other enterprise projects with key project management rigor and best practices and lessons learned to be shared with other departments seeking project support.

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 gradually decrease the costs of operation until all the applications have been migrated off the Mainframe System. Develop a plan for the Enterprise Power System and Backup and Restore infrastructure in anticipation of the completion of current lease agreement.

Technology Support Services Branch — Assist executive branch departments in maximizing Office 365, Adobe Sign, 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 (Hawai'i 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, Payroll, and Time & Leave applications for all departments and agencies. Implement successful systems in support of phase two deployment of DAGS Accounting Division's HawaiiPay project and the Financial Management System 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 payroll and time and attendance. 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 roadmapping processes.

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

January 2022

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 \$14.9 mil, an increase of \$3.2 mil from FY 20. 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 \$7.5 million per occurrence. The premiums increased from \$2.5 million in FY 20 to \$3.3 million in FY 21, an increase of \$800,000. The liability self-insured retention is 5 million per occurrence. The crime insurance policy was purchased with the same limits as FY 20; \$10 million per occurrence. The premium was \$115,753 in FY 21, an increase of \$11,000 from FY20.
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 fourth year of the contract. In FY 21, the annual flat fee was \$483,246 which included additional services such as a captive feasibility study.
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 244 Statements of Self-Insurance for various agencies which facilitated the use of non-State facilities or equipment, a decrease of 165, from FY 20. This decrease was due to lower activities due to the pandemic.
7. Completed a captive feasibility study.
8. Continue to conduct property surveys to determine accurate replacement cost values for State assets.

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 final year of 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. Further analyze marketplace data for a state captive 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 469 tort claims in FY 21, a decrease from FY 20 (23), and received 244 pothole claims (included in the tort total) in FY 21, a decrease from FY 20 (20).
2. The program received 180 claims from auto accidents in FY 21, a decrease from FY 20 (101).

3. The program received 111 property claims in FY 21, an increase from FY 20 (12).
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.
9. 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 with the addition of requesting \$12 million to \$15 million additional GF as the annual appropriation since insurance policy costs has increased accordingly.
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.

2. Review other information systems that could potentially enhance the productivity of the program.

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 2022

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 half of the staff working remotely, the Division was able to maintain a high completion rate of description of lands, shoreline certifications, and quiet title reports. Services to the general public was provided mostly over the phone and by email.

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

Supervisors regularly provide one-on-one training for the staff. Due to the pandemic, external training was limited to virtual classes and workshops.

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

Approximately 1,000 survey maps, descriptions, and related documents were scanned. The shoreline certification maps, and photo collection were added to the Program's website. This collection includes over 9,000 digital files of certified shoreline maps with photos from 1970 through present day.

A 5-year lease of a new wide format print, copy, and scan-to-file system was acquired with a net monthly savings of \$400 per month.

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.
- 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 2022

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 – 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 2021 and August 2021 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 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. Completed 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 to provide a New Aloha Stadium Entertainment District Stadium Project.
 - iii. Initiated efforts to develop and issue an RFP for the New Aloha Stadium Entertainment District Real Estate Project.
 - iv. Accomplished significant portions of Phase II planning for the Relocation of Oahu Community Correctional Center, Oahu, which includes consideration for innovative project delivery. When completed Phase II will provide the business case and due diligence to shape the anticipated Request for Information, Request for Qualifications, and Request for Proposals.
 - v. 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.
 - vi. 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.

- vii. Instituted use of Indefinite Quantity Indefinite Duration contracting for provision of consultant construction management services to address operational funding and internal staffing shortfalls at the District Offices.
- 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. Improving the overall project delivery process by initiating projects at an earlier stage, and implementing 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. Improving the consultant selection process, including implementation of changes to facilitate efficiencies in the overall selection process.
 - iii. Ensuring 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. Ensuring quality PWD work products, continuing to employ processes to review and, as necessary, revise and/or reinforce procedures, based in part on the knowledge gained in training (refer above to c.iii.).
 - v. Instituting numerous new processes and innovations to respond to conditions posed by the COVID-19 pandemic, including provision

of teleworking capability for all affected staff, implementing use of remote meeting applications, expanding the use of electronic documents distribution and validation, and other new processes and practices.

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 boilerplate specifications for the Electronic Procurement System (HlePRO) electronic bidding system. Participate in evaluation of the feasibility of the HlePRO procurement system for construction projects and develop recommendations for potential changes to HlePRO to make it more amenable to construction projects.
3. Two years – Test the efficacy of HlePRO for construction project bidding for eligible and appropriate projects using, to replace or supplement the current hard copy sealed bid system. Determine appropriate alternative procurement methods for various situations. Provide customer service training for staff. Obtain outside resources 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 platforms 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 2021.
- b. The following energy efficiency/conservation related projects were under construction and/or completed during FY 2021:
 - 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 were in planning and design during FY 2021 and will be seeking LEED Silver certification:
 - i. New Veterans Home, Oahu, LEED Silver goal.
 - ii. Wahiawa Civic Center, 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 planning, design and construction phases of selected projects.
 - b. Review/evaluate/assess “lessons learned” from ESPC projects and LEED projects , 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 Procedures 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, value, 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 2022

Program ID/Title: AGS-223/Office Leasing
Contact person/phone: Thomas Backman/586-0508

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

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

- Past Year's Accomplishments:
 - Reduced the average number of days from 270 to 245, with third-quarter loss of 75 percent of the program's staff due to retirements and a resignation.
 - Discussion with PB, creation of a Real Property Branch to consolidate the functions of the Leasing Services Branch with the associated space authorization and assignment functions now performed by PWD Planning Branch, in order to achieve greater efficiency in both leasing and planning functionality.
 - Tracking of Lease Requests – 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, 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.

- One Year
 - Develop procedures to advise landlords that need to apply for and secure HCE compliance before leases are executed, renewed, terminated, or sold, to prevent delays in document and payment processing.
 - Initiate improvements to the program's policies and procedures to improve the speed and timeliness of lease processing and ensure consistency with the policies of DAGS Fiscal Office, Pre-Audit Branch, and the Attorney General/Land and Transportation Division, as procedural improvements are instituted.
 - Continue to 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.
- Two Years
 - Coordinate with PWD Planning Branch to pursue office relocations from lease space to available space at multiple leased locations and within DAGS controlled office buildings that become available for occupancy.
 - All new requests for space in private sector state office buildings will be distributed to branch resources in a manner optimizing internal communication, efficiencies, using new forms developed in collaboration with PWD, PB and LB.
 - Have Americans with Disabilities Act (ADA) site surveys completed for commercial properties which may be considered for lease.
- Five Years
 - 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.

- Seek new and creative ways to encourage landlords to begin the Hawaii Compliance Express (HCE) process sooner in order to obtain their tax clearance compliance from the State and Federal tax offices.

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

- Past Year's Accomplishments
 - Implemented a recently-developed exhibit to executed leases 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 access to the leased space. This is because construction of improvements by the landlord may take longer than expected, which delays access to the space, and pushes back the lease start date and any rent step-up dates. The new exhibit eliminates the requirement for staff to quickly prepare and execute a formal amendment to the lease when access is delayed.
 - Continued to work with the branch secretary to update branch policies and procedures, and the Leasing Information form PWD 500 to improve the branch's Access data base program.
 - Pursues and collects delinquent asbestos inspection /surveys reports from landlords that were supposed to be completed and attached to our leases as an Exhibit C.
 - 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.
 - Upgraded Office Equipment – In response to pandemic-related conditions, equipped all authorized staff to enable teleworking, and instituted related policies and practices.

- One Year
 - Revise branch policies and procedures as necessary, to keep branch operations current. 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 the program's Access data base program. The updated policies and procedures will also serve as training material for new staff.
 - 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 unbudgeted building operating expenses, or common area maintenance (CAM) expenses 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.
 - Conduct the second phase for pursuing delinquent asbestos inspection/survey reports for month-to-month leases.
 - Crosstrain an employee (from Public Works Division) on C-41 contract encumbrances, lease payments, purchase orders, and P-Card processing.
 - Recruit for and fill all vacant authorized positions.
 - Crosstrain an employee (from Public Works Division) on C-41 contract encumbrances, lease payments, purchase orders and P-Card purchasing.
- Two Years
 - Complete the documentation of all branch policies and procedures with respect to the leasing process, data collection, and the lease encumbrance and payment process.

- Collaboration with DAGS-PWD, Planning Branch to create a dual purpose departmental request form letter to be used by Planning Branch and Leasing Branch. The form will be prepared for submittal by the department directors to the Comptroller via the PWD website, detailing program needs and action to be taken by Planning Branch/Leasing Branch.
 - 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.
- Five Years
 - Continue to minimize office storage requirements by eliminating or reducing unnecessary architectural plans & specifications for our various lease locations.

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 become fully staffed and able to discharge branch functions. 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 2022

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. The Custodial Program continues to follow 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 have been distributed to all facilities under the jurisdiction of DAGS. Distribution and refilling of the sanitizing stations continues, as needed.
3. Planning continues with the Public Works Division to determine the feasibility of the relocation of the Building Manager's offices.
4. The move by the Department of Public Safety into the Keoni Ana Building has been completed.
5. The keying schedules for the facilities included in the DAGS Re-keying Project have been completed for the Kalanimoku Building, King Kalakaua Building, Kakuhihewa Building, State Archives, Kinau Hale, OR&L Building, Kekuanao'a Building and the Waipahu Civic Center.
6. The contract to inspect the fire extinguishers in DAGS facilities has been awarded to National Fire Protection.
7. A new memorial plaque donated by the veterans of the National Association of Letter Carriers has been installed at the World War II Memorial that is

located on the corner of King and Punchbowl streets. The Office of Veterans' Services is coordinating a dedication ceremony.

8. A program to develop in-house training for the custodial staff continues.
9. The modernization of the two elevators at the Keelikolani Building has been completed and the work has started on the modernization of the elevators at the State Capitol.
10. 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

1. 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 2022

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, including the use of separate vehicles by crew members, and the wearing face masks.
2. Power Mower Unit III, which was created by the 2020 Legislature continues 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. The new refuse truck has been delivered and put into service.
4. Bid documents have been prepared for the removal of a bayan tree and two pine trees located at the Wahiawa Civic Center. These trees were damaged during a fire that destroyed three (3) cottages on the property and are being removed based on the findings of a certified arborist.
5. Based on the recommendation of a certified arborist, a large ear pod tree was removed from the grounds of the State Capitol.
6. The program continues to retain the services of certified arborists to inspect large trees at various facilities to determine their health and viability.

7. Renovation of the tennis court and landscaping at Washington Place has been completed.
8. Completed the trimming of large trees, coconuts, and other palms at assigned facilities.

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

1. 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

1. 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 2022

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, vacancies, 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 FY2022 through on-site visitations, as safe and feasible.

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 2022

Program ID/Title: AGS 240/State Procurement

Contact Person/Phone: Bonnie Kahakui/587-4701

I. Goals

The goals of the State Procurement Office (SPO) are 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 taxpayers' monies, and successfully implement programs.

II. Objectives and Policies

A. Procurement Training

Subject to appropriated funds, the SPO plans to 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 ensure that 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 demonstrating comprehension of the subject through 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.

In 2021, the SPO partnered with the Department of Human Resource Development's (DHRD) LMS for hosting procurement workshops. Through the DHRD's LMS, Executive Department employees has access to all the existing SPO trainings, and other department workshop, in a single sign on portal.

B. Electronic Procurement Systems

The goals of the SPO's electronic procurement systems are to:

- 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 Hawaii Revised Statutes (HRS) Chapter 103D and 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 HRS Chapter 103D, Hawaii Public Procurement Code, the 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.

Through the passage of ACT 188 (HB526, HD1, SD2, CD1), SLH 2021, the SPO will develop guidance and administrative rules to administer a past performance database for Competitive Sealed Bids, Competitive Sealed Proposals, and Sole Source Procurement. Continue reviewing Hawaii Administrative Rules (HAR), specifically HAR 3-120 through 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 HiePRO, 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 178 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.	Prepare a questionnaire, requirements documents, and associated rules towards the development of the past performance database.
b.	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.
c.	Continue to review legislative bills and develop testimonies.
d.	Continue to respond and make recommendations to Chief Procurement Officers requests which are submitted by the Executive Branch.
e.	Continue to provide guidance through Procurement Circulars.
f.	Continue to process SPO-043, Report of Procurement Protest Form.
g.	Continue to respond to questions from government agencies and the public on HCE compliance.
h.	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.
i.	Continue to consult with other departments and agencies regarding implementation of procurement policy.
j.	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. Complete past performance questionnaire, administrative rules, guidance manual.
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 provide Procurement Circulars on Suspension and Debarment.
f. 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 1785 state property transfers valued at \$9,299,808.4
b. Processed 22718 inventory transactions
c. Processed addition inventory transactions valued at \$583,998,683.2
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

A Travel & pCard	
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.
b.	Gathered information for transition to new pCard program.
2. One Year	
a.	Complete implementation of new pCard program.
b.	Continue assisting travelers and coordinators with travel arrangements and calculations of per diem, travel time-off, and reimbursements.
c.	Update procurement circulars to be in line with changes in collective bargaining agreements.
d.	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.	Provided acquisition support as part of ESF-7 Logistics to purchase \$64 million of personal protective equipment (PPE) and industrial hygiene in response to SB 126 (SLH 2021) and SB 75 (SLH 2021) CARES Act. Provided acquisition support as part of ESF-7 Logistics to purchase \$45 million of PPE and other life-saving items and COVID-19 testing kits for DOH-DOD.
b.	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.
c.	Publish statewide contracts to support the Governor's three priorities to protect public health, revive the economy and strengthen the community and to be utilized as the backbone to the eMarketplace phase of the new eProcurement system..
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 2022

Program ID / Title: AGS 244/Surplus Property Management

Contact Person/Phone: Bonnie Kahakui/587-4701

I. Goals

To effectively and efficiently provide customers (donees) with surplus property items and continue to be fiscally solvent with revenues equaling or exceeding expenditures.

II. Objectives and Policies

- A. Intensify training available to eligible and participating donees to enable interaction with the entire spectrum of program features and to improve donee probability of obtaining needed items.
- B. Maintain financial viability through increasing promotion on use of the utilization and donation programs by enhancing promotion and marketing of the surplus property program to enable donees to benefit from the varied surplus property available to them at significantly reduced prices.
- C. Streamline processes and improve operational efficiencies and compliance with regards to the State Plan of Operation for the Federal Surplus Property Donation Program.

III. Action Plan with Timetable

- A. Intensify training available to eligible and participating donees to enable interaction with the entire spectrum of program features and to improve donee probability of obtaining needed items.
 - 1. Past Year Accomplishments
 - a. Transferred \$15,269.00 brand new equipment to Hawaii State Hospital for \$200.00 fee (1.3% of original acquisitions cost).
 - b. Maintained and stored over 100 pallets of personal protective equipment for HIEMA.
 - c. Stayed current with the federal requirements and learned best practices to support Surplus operations.

2. Year One
 - a. Continue to create Surplus on-demand on-line training class.
 3. Two Years
 - a. Continue to scan business environments for promoting Surplus to potential donees, for example: increase communication with eligible, but non-participating donees on file.
 4. Five Years
 - a. Increase contributions to zero-waste or other sustainability initiatives. Multiple methods of redistribution, resale, and disposal help divert waste from landfills and extend the useful life of assets.
- B. Maintain financial viability through increasing promotion on use of the utilization and donation programs by enhancing promotion and marketing of the surplus property program to enable donees to benefit from the varied surplus property available to them at significantly reduced prices.
1. Past Year Accomplishments
 - a. FY 2021 - Acquisition Cost of Surplus Property Transferred to Donees is \$6.2 Million (including \$1,204,088.40 for the FEMA Meals, Water, and Infant Toddler Kit for Hawaii Food Bank to distribute back to our community).
 - b. FY 2021 - Service & Handling fee of Surplus Property Transferred to Donees is \$517,485.
 2. One Year
 - a. Continue to use of social media to promote the program
 - b. Educate and implement the Veterans Small Business Enhancement Act of 2018 with Veteran-Owned Small Businesses that are interested in participating.
 3. Two Years
 - a. Promote new internet auction platforms.
 4. Five Years
 - a. Extend the useful life of assets and generate revenue by exploring multiple methods of disposal including but not limited to counter sales, online auction, and web surplus.
 - b. Monitor and adjust the program's website to improve customer satisfaction.

C. Streamline processes and improve operational efficiencies and compliance with regards to the State Plan of Operation for the Federal Surplus Property Donation Program.

1. Past Year Accomplishments

- a. Executed HlePRO solicitation to acquire Federal Surplus Property Management Software.

2. One Year

- a. Execute and implement the Federal Surplus Property Management Software to:
 - Reach an efficient and effective donation process with the new system.
 - Streamline daily operation.
 - Automatically generate GSA required reports for compliance and utilization.
- b. Continue to update State Plan of Operation
- c. Continue to work on supplying program information on our website.

3. Two Years

- a. Implement new accounting system.

4. Five Years

- a. Automate new and renew “Application for Eligibility” process.

IV. Performance Measures

- A. Customer Satisfaction measure - Perform trend analyses on the customer base of the Surplus Property Management program to include number of participating donees and percentage of participating donees.
- B. Performance Standard measure - Perform trend analysis on distribution of surplus property to donees.
- C. Cost Effectiveness measure - Perform long-term and comprehensive trend analyses annually of the financial net gain or loss of the Surplus Property Management program.

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

January 2022

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 Electric and Hybrid Vehicles and Chargers within budget.
- 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 2022

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 – Installed 4 Electric Vehicle Chargers located at the Kalanimoku and Capitol Garages.
- b. One Year – Plan Lot W Waipahu, Pave Lot L (DOH public parking) and Lot M. (DCCA)
- c. Two Years –Complete Lot L Lot M pave jobs
- 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. Update and revise state lot parking fees.

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 – Installed Kalanimoku and Capitol Electric Vehicle Chargers.
 - 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 2022

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)
Audrey Hidano/586-0400(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) hours during working 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 CIP Project Tracking 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 past year posed significant challenges due to the COVID-19 pandemic, numerous key vacancies, a hiring freeze, and the abolishment

and defunding of positions by the legislature. Despite those challenges the neighbor island program as a whole has generally managed to meet the goals and objectives contained in the SLA. The neighbor islands continued to assist 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 continued to assist the DOE with the implementation of the Job Order Contracting (JOC) project delivery method 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. The hiring freeze was lifted at the start of the fiscal year, and recruitments have been ongoing to fill the vacancies as soon as possible. Of particular concern is Maui District, which currently has vacancies for the District Engineer as well as the heads of the Public Works and Central Services branches for the district. The program will work to support the district by drawing upon the resources of other districts and branches within DAGS until the vacancies are filled. This strains the program as a whole, but the primary focus will be to meet the indicators set forth in the SLA. Efforts will continue to be made to keep the number of backlogged work orders to a minimum. The program will continue to work with DOE representatives to assure that work performed is prioritized appropriately at the district level to ensure that essential needs 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 any 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 2022

Program ID/Title: AGS-881 KA/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

Past Year Accomplishments

- 1. The Kamehameha statue Lei Draping ceremony in Honolulu was held in a socially distanced format due to COVID-19. The commission conducted the lei ceremony at the statue to commemorate Kamehameha Day, but the public did go to the statue on their own as we managed the site through reservation with timed presentation. In addition, several royal organizations and held private ceremonies utilizing social distancing and placed lei and

flowers. Painted and refurnished office which had not been updated for at least 20 plus years.

2. The 105th annual King Kamehameha Floral parade in Honolulu which normally would have begun at 'Iolani Palace at 9 a.m. on Saturday June 12, 2021 and traversed through Waikīkī and end at Kapi'olani Park was cancelled once again due to COVID-19.
3. Instead of these activities for Honolulu we conducted a statewide campaign featuring video vignettes that covered a variety of subjects related to the holiday festivities including: Pā'u, Statewide Statues, etc. Maui, Kaua'i, Moloka'i and Hawai'i Island each had their own segments representing the festivities on their individual island. All of these vignettes aired on local TV programming and were showcased on social media feeds. These video vignettes now become useful educational tools documenting the history and activities that comprise the celebrations. These following are the links to the video vignettes:

Honolulu Lei Draping: Aired on 'Ōlelo channel 53 for both Spectrum and Hawaiian Tel, and 'Ōlelo channel 1053(HD) on Hawaiian Tel on

6/23/2021-6:00pm

6/24/2021-8:00am

6/25/2021-4:00pm

6/27/2021-10:00pm

HAWAII NEWS NOW SEGMENTS:

Moloka'i

<https://www.hinowdaily.com/palaau-celebrates-the-history-and-legacy-of-king-kamehameha/>

O'ahu

<https://www.hinowdaily.com/the-ahahui-kaahumanu-of-honolulu-celebrate-king-kamehameha-day/>

Pā'u

<https://www.hinowdaily.com/how-pau-riders-became-a-staple-of-the-kamehameha-day-parade/>

Maui

<https://www.hinowdaily.com/pau-riders-and-mauis-na-kamehameha-parade/>

Hawai'i Island

<https://www.hinowdaily.com/king-kamehameha-day-and-hula-on-the-big-island/>

Kaua'i

<https://www.hinowdaily.com/kauai-museum-celebrates-kamehameha-and-pa%ca%bbu/>

Island Maui Nui Celebrations

Moloka'i Kamehameha Virtual Celebration

<https://www.facebook.com/events/188754889824598>

2021 Nā Kamehameha Commemorative Pā'ū Parade

<https://www.facebook.com/events/202977181627355>

2021 Nā Kamehameha Commemorative Ho'olaule'a

<https://www.facebook.com/events/325113855678519>

Social Media Feeds:

facebook.com/KingKamehamehaCelebration

Instagram @KingKamehamehaCelebration

A. 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 106th parade in 2022 in Honolulu.
4. Plan for the Lei Draping Ceremony in 2022 in Honolulu.
5. Execute the 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.

B. 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 107^h parade in 2023 in Honolulu.
4. Plan for the Lei Draping Ceremony in 2023 in Honolulu.
5. 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 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 2022

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 2021 Legislative Session, the Commission submitted eight (8) bills to the President of the Senate and the Speaker of the House for introduction of which three (3) were signed into law. They are as follow:

Act 204 (S.B. No. 400, SD1, HD1, CD1), Relating to Campaign Finance Reports. Amends HRS §11-340 to clarify that the higher minimum fine of \$300 per day applies to the preliminary reports due ten (10) calendar days before an election (i.e., 2nd Preliminary Primary Report and 2nd Preliminary General Report).

Act 205 (S.B. No. 402, HD1, CD1), Relating to Reimbursements for Expenditures by Committees. Amends HRS §11-333 and §11-335 to provide that, in addition to candidates, candidate committees may reimburse other individuals for costs advanced for expenditures and requires that these reimbursements be itemized in disclosure reports. The law also removes the ability of noncandidate committees to reimburse candidates for costs advanced since noncandidate committees are prohibited from receiving loans.

Act 207 (S.B. No. 405, SD1, HD1, CD1), Relating to Campaign Contributions. Amends HRS §11-364 to require candidate committees to return excess nonresident contribution(s) to the contributor(s) within thirty (30) days of the end of the election period. If not, the excess nonresident contribution(s) will escheat to the Hawaii Election Campaign Fund.

The Commission has been trying for many legislative sessions to amend the electioneering communications law in consideration of practical application without sacrificing transparency. We introduced a bill which was dramatically changed, vetoed by the Governor, and then overridden by the Legislature in a special session.

Act 3 (S.B. No. 404, HD2, CD1) (2021 Special Session on 07/06/2021, Veto Override), Relating to Electioneering Communications. Amends Hawaii Revised Statutes (“HRS”) §11-341 by excluding candidates from the requirement of filing statements of information for electioneering communication (“statements”). The law also lowers the threshold for

noncandidate committees and other persons for the filing requirement to kick in (from \$2,000 to \$1,000) and reduces the filing requirement to just the initial spending that reached the threshold, and nothing further. Thus, beginning with the 2022 elections, if a noncandidate committee (which includes Super PACs) or other person spends more than \$1,000 in the aggregate for electioneering communications in the primary election, it will have to file a statement of information. However, if the noncandidate committee or other person goes on to spend more money on political advertisements in the same calendar year, no further statements will need to be filed, no matter how much more money is spent. The law also amends the definition of “electioneering communication” so that the disclosure requirement will apply to all political advertisements sent by mail and not just those sent at a bulk rate.

In its original form, this bill did not exempt candidate committees from filing statements, recommended changing “disclosure date” to when the electioneering communication is publicly distributed rather than when the contract for the electioneering communication is executed, and increased the \$2,000 expenditure aggregate amount to \$5,000 before the filing of statements of information are required.

The following non-Commission sponsored bill was also passed this session.

Act 195 (S.B. No. 200, HD2, CD1), Relating to Elections. Amends HRS §11-338 by providing that contributions aggregating more than \$500 that are made to candidates within the period of fourteen (14) calendar days through four (4) calendar days before an election, must be reported in a late contribution report only if they are on the ballot in that election.

The four (4) remaining Commission bills that were not approved which the Commission will consider for reintroduction in the next legislative session are:

S.B. 399 / H.B. 139 – 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 (20) 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.

S.B. 401 / H.B. 141 – This bill has been introduced past sessions but has not passed. 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 in 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.

S.B. 403 / H.B. 143 – This bill provides that candidates do not need to file preliminary general reports if they are unsuccessful or are elected in the primary election. It also amends subsections (b) and (c) of HRS §11-339 to make them consistent with subsection (a) by aggregating contributions and expenditures in determining whether a committee need only file the final election period report.

S.B. 406 / H.B. 146 – This bill clarifies that Commission personnel includes staff, and that staff may initiate complaints on behalf of the Commission.

There were eighteen (18) Senate bills and twelve (12) House bills introduced by other parties which also did not get signed into law concerning additional reporting, political advertising, increasing fines and penalties including criminal prosecution, concerns over foreign influences, permitting use of campaign funds for childcare, campaign finance training, and public funding. Of particular concern was a bill (S.B. 1350, S.B. 1351, and H.B. 1341) that would have had the Commission, an executive branch agency, fall under a newly established legislative branch office called the Office of Public Accountability. This new office would assume oversight and administrative responsibility over the Commission as well as the Office of the Auditor, Office of the Ombudsman, Office of Information Practices, Hawaii State Ethics Commission, and the Legislative Reference Bureau. These bills did not proceed; however, the Commission was prepared to offer testimony in opposition as the consolidation of these diverse offices, each with different authority and missions, may ultimately result in higher costs, increased corruption, and weakened watchdog agencies, as was the experience in at least two other states.

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. Onsite training to candidate and noncandidate committees is typically planned and offered in anticipation of an election (i.e., last fiscal year). Notably, due to the government shut down and travel restrictions as a result of COVID-19 last fiscal year, the Commission pivoted and recorded our trainings which were then posted on the Commission's website for 24-hour remote access.

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 flow chart to illustrate when noncandidate committees and other persons need to file the Statement of Information for Electioneering Communications as it remained to be an area of much confusion. We also reviewed our commonly asked FAQs to accommodate for election year and non-election year questions.

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. We continue to evaluate our website and update it to include new links for First Time Candidates, commonly asked FAQs (election and non-election year), 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 200,954 “hits” to our website.

The Commission regularly uses e-blasts as well as Facebook and Twitter posts to inform and educate committees and the public 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 145 times and we have 979 total subscribers. Notably, subscribers are separated into three groups – candidates (392 subscribers), noncandidate committees (250 subscribers), and the public (337 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 255 tweets with a total tally of over 77,807 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 35,472 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 1,087 times during this period. This 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 replaced 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. There were no advisory opinions requested during this period.

- **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 continued its work 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.

During this fiscal year, the Commission worked towards completing the rewrite of the candidate filing system and scheduling the rewrite of the noncandidate committee system. The target date for the rewrite of these two systems to be completed is in the next fiscal year in preparation for the 2022 election.

Also, during this period, there were changes to the Commission's existing 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.

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 its own contract to host its datasets on the Commission's designated open data site which provides data to its dashboards through the 2020 election and has completed the redevelopment of these dashboards on the OpenGov platform during this fiscal year as a contingency 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 2,453 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 248 payments via PayPal totaling \$75,957, which included payments for administrative fines and escheats.

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.

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. Fifteen (15) matters were referred to this office in this fiscal year for collections and enforcement.

As for complaints in this fiscal year, which was an election year, there were 55 which resulted in a total of \$3,208.33 in assessed administrative fines.

- o 37 complaints yielded a preliminary determination of a campaign finance violation resulting in \$3,208.33 in assessed administrative fines;
- o 1 complaint was referred for criminal prosecution (and is pending);
- o 5 complaints were deferred and later dismissed due to eligibility and approval of a conciliation agreement;
- o 6 complaints were withdrawn or dismissed due to compliance in paying the administrative fine;
- o 1 complaint was not acted upon because it was not notarized; and
- o 4 complaints were dismissed due to insufficient evidence or no violation.

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.

During this fiscal year, a total of \$37,413.04 was assessed in administrative fines and \$115,371.42 was escheated to the HECF due to campaign finance violations. There were 132 conciliation agreements resulting in reduced fines totaling \$34,222.71. The majority of the conciliation agreements concerned the late filing and/or failure to file reports (61) as well as the late filing and/or failure to file the Statements of Information of Electioneering Communications (56) followed by excess contribution violations (11) and advertisement disclaimer violation (1). Three (3) agreements were recalled due to respondents opting out of a conciliation agreement. Further, seven (7) of these agreements resulted in a complaint due to respondents failing to comply with the terms of the conciliation agreement.

Most of the campaign finance violations were a result of late or unfiled reports. Specifically, there were 223 late or unfiled reports of which 125 did not involve a conciliation agreement or complaint for a total of \$40,381.37 in assessed administrative fines. There was a total of 77 candidate committees who failed to timely file 85 reports and 36 noncandidate committees who failed to timely file 40 reports.

Other campaign finance violations that occurred during this period include:

- o 78 failures to file or late filing of the Statement of Information for Electioneering Communications resulting in \$23,000 in fines;

- o 32 insufficient advertisement disclaimers resulting in \$1,075 in fines;
 - o 23 failures to timely deposit contributions resulting in \$575 in fines;
 - o 15 failures to report contributions resulting in \$3,750 in fines;
 - o 10 excess contributors resulting in \$4,950 in fines;
 - o 6 prohibited expenditures resulting in \$1,760.05 in fines;
 - o 5 late fundraiser notices resulting in \$300 in fines;
 - o 2 failures to report expenditures resulting in \$500 in fines;
 - o 2 excess nonresident contributions resulting in \$1,500 in fines; and
 - o 2 failure to amend the Organizational Report resulting in \$100 in fines.
- o **One Year** – Continue to pursue enforcement actions to encourage compliance as well as offer conciliation agreements (where appropriate) to expedite campaign finance violators.
 - o **Two Year/Five Year** – Identifying other strategies to increase and encourage compliance.

F. Goal – To ensure organizational and institutional sustainability.

- o **Past Year Accomplishments**

Monitor funding and develop proposals to stabilize funding as needed. The Commission's beginning balance at the close of fiscal year 2020 was \$1,226,089.81. In fiscal year 2021, a total of \$252,800.87 in revenue was realized (i.e., \$128,538 in tax check-offs; \$114,116.99 in escheats of excess, false name, surplus, and anonymous contributions; and \$10,145.88 in other revenue) and a total of \$85,526.42 in expenditures/encumbrances was incurred (i.e., \$85,361.97 in public funding and \$164.45 in PayPal fees for escheat payments), thereby closing fiscal year 2021 with a balance of \$1,393,364.26.

Notably, this was the fourth fiscal year that the Commission's operating expenses including salaries and administrative expenses were 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 2020 was supposed to be held in Atlanta, Georgia. Due to COVID-19, the conference was conducted remotely thereby permitting the Commissioners and staff the opportunity to attend.

In January 2021, Associate Director Baldomero and General Counsel Kam received certifications as investigators by completing an intensive 2-week National Certified Investigator & Inspector Training (“NCIT”) program. This program provided sessions on investigatory processes, guidance, and developments to assist staff’s investigatory work on campaign finance law violations. The training covered professional conduct, principles of administrative law, principles of evidence, evidence collection, tagging and storage, investigator safety, overview of inspections, investigative process, interviewing techniques, report writing, and testifying in administrative and criminal proceedings.

Develop and implement plans for continuity of operations. The Commission is composed of five volunteers representing the general public who are appointed by the governor from a list of at least ten nominees submitted by the judicial council. In late November 2020, Victor “Vic” Bonfiglio was selected to serve on the Commission. Commissioner Bonfiglio’s term expires on June 30, 2024. And, on June 30, 2021, Commissioner Maryellen Markley’s term expired; however, in July 2021, Governor Ige reappointed her to serve her second and final 4-year term to expire on June 30, 2025. The Commission continues its efforts to have Boards and Commissions more timely work with the Governor to fill Commission positions.

At the end of May 2021, the Commission’s Elections Assistant left the Commission for another job. Fortunately, we were able to obtain permission from the governor to hire another assistant who started with the office on July 16, 2021.

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. Notably, at the June 23, 2021 Commission public meeting, the Commission reviewed the strategic plan to see whether it required any adjustments. The Commission voted to approve it without any changes.

- **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.

- A. Customer Satisfaction measure – For the past 9 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 the following 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; (6) questions related to the HECF, Super PACs and independent expenditures; and (7) COVID-19 closure issues, 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 and innovative ways to work more efficiently and implement changes accordingly.

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

January 2022

Program ID/Title: AGS 879/Office of Elections

Contact Person/Phone: Aulii Tenn/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 2021. 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. Provide support to the special needs advisory committee

Act 213, SLH 2021 established a special needs advisory committee to ensure equal and independent access to voter registration, casting of ballots, and all other Office of Elections services.

I. 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 (FY2021)

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 conduct Hawaii's first statewide vote by mail elections in 2020. All registered voters were automatically mailed a ballot beginning with the 2020 Primary Election.
3. 2021 Reapportionment Commission. The 2021 Reapportionment Commission formed in April 2021 for the purposes of redrawing the congressional and legislative electoral district boundaries.

B. One-Year (FY2022)

1. To have completed the implementation of automatic voter registration.
2. To have provided support to the Reapportionment Commission as they complete their task of redrawing the congressional and legislative electoral districts.
3. To have conducted re-precincting based on the redistricting conducted by the Reapportionment Commission in 2021
4. To have conducted candidate filing for interested individuals to appear on the 2022 Election ballots.
5. To reserve facilities for counting center operations and training to conduct the 2022 Elections.

6. To recruit volunteers to serve as counting center officials, official observers, and election information service specialists for the 2022 Elections.

C. Two-Year (as of June 30, 2023)

1. To have implemented a new voting and vote counting system.
2. To have promoted a voter education and awareness campaign for 2022 Elections.
3. To have conducted payroll for the volunteers who serve as counting center officials, official observers, and election information service specialist during the 2022 Elections.

D. Five Years (as of June 30, 2026)

1. To have conducted and reviewed and evaluated the 2024 Elections.
2. To have assessed and implemented new procedures for the 2026 Elections.
3. To have maintained and monitored 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 2022

Program ID/Title: AGS-881/LA/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 (2021)**

Continued implementation of the SFCA 2019-2023 Strategic Plan

- **CULTURE**

- *Mai ho 'ohuli i ka lima i ka luna*, an exhibit at the Hawai'i State Art Museum, features Hawaiian art from the Art in Public Places Collection, curated by Native Hawaiians.
- Folk and Traditional Arts Apprentice Mentoring Culture Grants of Native Hawaiian cultural arts and practices that are unique in the state; hula ki'i, 'ukeke and ulana 'ie.
- Awarded Cultural Preservation Grants to the State of Hawai'i Museum of Natural and Cultural History (Bishop Museum) and the State of Hawai'i Museum of Monarchy History (Iolani Palace).
- Funding support provided for the 175th Anniversary of Washington Place exhibition at Washington Place, celebrating historic sites.

- **ENGAGEMENT**

- King Kamehameha Celebration Commission (KKCC) was contracted in support of engagement around the Kamehameha I sculptures in Kohala and Honolulu through the Kamehameha Day Celebrations. SFCA contracts annually for the conservation of these monuments.
- Adapted Hawai'i 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.
- Biennium Grant category for Community Arts expanded to include Community Development, Arts and Healing, Pre-K Arts Education and Digital Media.
- Biennium Grants awarded 43 non-profit arts and cultural organizations in FY21
- Distributed \$615,000 in American Rescue Plan Act to Organizations awards to 41 eligible culture and arts organizations throughout the state.
- Launched redesigned website for State Foundation on Culture and the Arts
- Developed Anti-Bias Video Training for all Panelists participating in SFCA application review process

- **EDUCATION**

- Artists in the Schools program reached 105 schools statewide in FY21
 - Provided professional development for 1,553 teaching artists and classroom teachers statewide.
 - Increased and diversified Teaching Artist Roster through new application process.
 - Developed Teaching Artist Mentor Program launching in FY22 along with professional development opportunities.
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- 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 Young Artists of Hawai‘i at HiSAM.
- **THE ARTS**
 - Continued to support grantee organizations efforts to provide excellent virtual experiences.
 - Acquired 60 works of art for the Art in Public Places collection.
 - Opened four new exhibits at HiSAM.
 - Exhibition visits by Acquisition Award Selection Committees (AASC) continued to attend exhibitions and select works of art for the Art in Public Places (APP) Collection virtually, including SFCA’s sponsored call for art created during the pandemic.
 - Hawai‘i State Art Museum hired Wall-to-Wall Studios Inc. to help with brand positioning and messaging (and ultimate rebranding).
 - The coordination of SFCA’s youth exhibitions *Scholastics* and *Young Artists of Hawai‘i* in FY22 awarded to The Native Imaginative, a Native Hawaiian owned organization based in Honolulu, Hawai‘i.
 - APP’s Museum Without Walls program (installation and rotation of works of art from the APP collection to State Buildings) remained in effect including rotations in the state capitol.
 - Commissioned works of art initiated for Kapi‘olani Community College Culinary Arts building, University of Hawai‘i West-Oahu Gateway and Women’s Correctional Center in Kailua (Oahu)

A. One Year (2022)

Continue implementation of the SFCA 2019-2023 Strategic Plan. Update and establish new metrics for measuring all areas of the strategic plan.

- **CULTURE**
 - Build cultural capacity and public awareness for three Native Hawaiian practices that are not robust; hula ki‘i, ‘ukeke and ulana ‘ie.
 - Develop support areas for King Kamehameha Celebration Commission, newly added to State Foundation on Culture and the Arts program structure in FY22.
 - Administering \$1,346,000 in Coronavirus State Fiscal Recovery Funds of American Rescue Plan Act to Bishop Museum (\$626,00) and Iolani Palace (\$720,000)
 - **ENGAGEMENT**
 - Develop an enhanced web page and event calendar for King Kamehameha Celebration Commission on SFCA’s website; <https://sfca.hawaii.gov/>
 - Distribute \$144,500 American Rescue Plan Act to Individuals awards to 20 Individual Artists and Cultural Practitioners throughout the state for public impact projects.
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- Continue to evaluate Biennium Grants Program and Application Processes to ensure accessibility to more culture and arts applicants from neighbor islands and underserved communities.
 - Statewide Cultural Extension Program outreach to adults and children with services offered to; homeless, public housing, elderly and corrections.
 - **EDUCATION**
 - Restructure and assess Art Bento Museum Education Program with in-house administration of the program
 - Continue to increase and diversify Teaching Artist Roster.
 - Develop and launch Teaching Artist Mentor/Mentee program
 - Create a body of arts and creativity lessons online for use by DOE and charter schools.
 - **THE ARTS**
 - Host Honolulu Triennial at the Hawai'i State Art Museum inclusive of exhibitions and pop-up chefs in the Café area at HiSAM.
 - Rebrand HiSAM to increase public awareness and engagement in the arts.
 - Curate and open three new exhibits at HiSAM.
 - Dedicate Commissioned Work of Art at Kea'au Elementary School on Hawai'i Island.
 - B. Two Years (2023)**
 - Final implementation phase of 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.
 - Initiate work on new SFCA Strategic Plan
 - **EDUCATION**
 - Evaluate and expand Art Bento Museum Education Program for greater impact with schools and students.
 - 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.
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- THE ARTS
 - Deploy rebranding 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.
 - 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.
 - Establish state-wide Individual Artists Grants Program
 - C. Five Years (2021-2025)**
 - 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.
 - Expand Art Bento Museum Education Program for greater impact with schools and students.
 - 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.
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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 Poetry Out Loud and 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 2022

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 and planning for the New Aloha Stadium Entertainment District (NASED) with consideration and emphasis on cost efficiency, productivity, and customer service.

B. Engineering and Maintenance Branch

To ensure that the stadium property is safe, clean, and comfortable for conducting events.

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 entire stadium property against crime; and continue awareness, and education of potential criminal and terrorist-type activity.

E. Events Branch

Participate and provide input into the planning effort towards completion of the NASED project by ensuring that operational and logistical concerns are addressed.

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. Continue to review and update Rules and Regulations of the Stadium Authority and provide recommendations that will benefit both the general public and the Stadium Authority.
5. Continue review of the contracts and bid document process to ensure a balance between revenue maximization and the provision of public service is achieved.
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. Continue implementing repair and maintenance programs and projects to minimize deterioration of the property caused by normal wear and aging.
2. Continue working closely with HART's design and construction team to ensure that patrons will be able to optimally utilize this new transit option.
3. Serve on the Hawaii Interagency Council for TOD that coordinates TOD work on state owned properties.
4. Design, build, and install signage and other social distancing messages around the property to ensure adherence to social distancing requirements and minimize the spread of the COVID-19 virus.

C. Box Office Branch

1. Research and monitor new and innovative ticketing systems that will enhance NASED customer experience and 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 the neighboring community and maintain updated information on Homeland Security and terrorist alerts.
6. Maintain informational relationships with the “street element” factor 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 proper procedures in addressing a wide range of patrons to minimize the spread of the COVID-19 virus.

E. Events Branch

1. Continue training of events personnel in customer service to enhance the guest experience and satisfaction.
2. Continue evaluating events personnel to insure they meet the operational standards of Events Branch.
3. Continue briefing of events personnel before 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.
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. Develop policies and procedures to address event day interaction between patrons 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 and modified contracts and bid documents to ensure maximization of revenues to the agency. This is an ongoing process.
 - c. Implemented COVID-19 mitigation plans and pivoted operations to focus on event efficiency in the parking lot. Maximizing opportunities to host COVID-19 events while ensuring compliance with emergency proclamations and orders.
 - 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. Partnered with the Hawaii Community Development Authority to continue ongoing dialogue and feedback on development of a new stadium facility and entertainment district.
 - g. 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 participate, advise, and evaluate options for the future of the stadium and its real estate development based on research, reports, and studies.

- c. Reorganize and evaluate an interim-transition management plan, a mid-term plan, and a long-term plan on operating NASED.
- 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.
- g. Research for other sources of funding available to support and subsidize the stadium operation while functioning under COVID-19 conditions.
- h. Develop a new comprehensive Aloha Stadium business model that provides direction and includes various revenue streams and resource requirements.
- i. Coordinate with DAGS-PWD to identify, support, and obtain an allocation for general obligation funding from the State Legislature for various capital improvement projects.
- j. 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 to minimize impact to patrons.
- k. Work with HART on design and construction of station interface with stadium facility. Coordinate implementation of startup and operation of Station as interim terminus.
- l. Continue participation with various other government agencies, including the Hawaii Interagency Council for Transit-Oriented Development.

3. Two Years

- a. Continue to assess, monitor, furnish, and implement essential technological tools necessary to improve efficiency and equip the administrative offices with the essential business tools that will support and keep it up to date with the business technology environment.
- b. Assess, plan, and evaluate events and operations staffing requirements against current operations.
- c. Continue to review applicability and effectiveness of the Rules and Regulations of the Stadium Authority for consideration to update.
- d. Continue to work with other government agencies and 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.
- e. 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 federal funding.
- f. 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 to minimize impact to patrons.
- g. Coordinate with HART on design and construction of station interface with stadium facility. Coordinate implementation of startup and operation of Station as interim terminus.
- h. Continue participation with various other government agencies, including the Hawaii Interagency Council for Transit-Oriented Development.

4. Five Years

- a. Continue to review applicability and effectiveness of the Rules and Regulations of the Stadium Authority for consideration to update.

- b. Continue participation with various other government agencies, including the Hawaii Interagency Council for Transit-Oriented Development.

B. Engineering and Maintenance Branch

1. Past Year Accomplishment

- a. Repaired potholes in the parking lots (ongoing)
- b. Repaired irrigation lines, sewer and water piping (ongoing)
- c. Replaced broken asphalt curbing with concrete curbs in parking areas (ongoing monitoring and repair).
- d. Repaired broken and rusted parking lot lighting (ongoing as needed).
- e. 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 with a focus on the parking lot asset to minimize property deterioration caused by normal wear and aging.
- b. Throughout the year, assess the condition of the property, and based on this assessment, develop a list of repair and maintenance projects to address.
- c. Initiate decommissioning of the stadium facility and address the removal of inventoried and non-inventoried items for proper processing and/or disposal.
- d. Implement shutdown plan for the movement of staff/equipment.
- e. Implement parking lot-maintenance and repair with prioritization of projects that focus on repair of asphalt, curbing, electrical lines, landscape, including a coordinated logistical movement of existing resources.

- f. Throughout the year, perform emergency repairs as needed, including maintenance work to rectify health, safety, and/or operational deficiencies.
 - g. Implement additional capital improvement program requirements, initiate steps to obtain authorizations and budgets to implement needed projects.
 - h. Update employee safety program and procedures through assessment, evaluation, and implementation of procedures that are consistent with Occupational Health Safety standards.
 - i. Continue research and install items to minimize the spread of the COVID-19 virus.
- 3. Two Years
 - a. Implement repair and maintenance programs and projects to minimize property deterioration caused by normal wear and aging.
 - b. Continue research and install items to minimize the spread of the COVID-19 virus.
- 4. Five Years
 - a. Coordinate with Stadium developer on preventive maintenance programs and projects to minimize facility deterioration caused by normal wear.
 - b. Continue to provide support to the developers, consultants, and other parties involved in the design and construction of a new stadium while focusing on a seamless transition from the existing facility to a new facility.
 - c. Review status of the right-of-entry for the HART station.
 - d. Evaluate and begin the planning process for an effective interface with stadium facility and report findings to the Stadium Authority Board.
 - e. Continue research and install items to minimize the spread of the COVID-19 virus.

Box Office Branch

1. Past Year Accomplishment
 - a. Have automated various daily tasks.
 - b. Box office policies and procedures have been updated to reflect changes in procedures with the University of Hawaii's computerized ticketing system.
 - c. Continued printing of all parking passes internally 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.
 - d. Prints parking passes for most stadium events to save on outside printing costs.
 - e. 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.
 - b. Continue to review and analyze various daily tasks within the next six months and recommend to stadium management how tasks can be improved or enhanced.
 - c. Continue to update box office policies and procedures.
 - d. 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.

- 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.
- f. Review and analyze ticketing best practices and develop box office business plan for NASED.

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. Maintenance of additional security surveillance cameras and equipment.
- e. Increased anti-terrorism and customer service training to vendors operating on stadium property.
- f. Updated and implemented policies incorporating best practices when conducting bag-check screening of patrons.
- g. Updated procedures on service animals that are consistent with ADA. Ensured initial points of contact have been informed of the updated procedures.
- h. Coordinated security and law enforcement resources to ensure proper law enforcement was provided to the multitude of concert events at the Aloha Stadium.
- i. Addressed and implemented requirements and procedures as it relates to security office personnel and handling of patrons 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 patrons 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. Continue to seek grants to upgrade stadium security portable radios to 700 MHz system.
- c. Continue to address and implement requirements and procedures as it relates to security office personnel and handling of patrons in ways that would minimize potential spread of the COVID-19 virus.
- d. Researching best practices on district security operations and oversight with interface between Licensee, the Authority, developer, and lessees, to address the issues that they may encounter in the operational implementation process.
- e. Implementation of an incident command center that incorporates and monitors all district activities and provides a location to consolidate and coordinate emergency response and stadium operations personnel.

4. Five Years

Continue to coordinate and collaborate with law enforcement and other participating entities on the operation of an incident command center that incorporates and monitors all district activities and provides a location to consolidate emergency response and stadium operations personnel.

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 COVID-19 safe and compliant events this past year with UH football Halloween drive through, Christmas light show, food drives, and many other licensees.
- e. Revised Employee & Policy handbook.
- f. Trained events personnel on Emergency and Evacuation Procedures.
- g. Assisted Security Branch in installing additional security cameras.
- h. Developed policies and procedures to address event day interaction between participants, staff, and licensee that would minimize the spread of the COVID-19 virus.
- i. Participation in request for proposal (RFP) specifications, and requirements.
- j. Researched, explored, and pursued opportunities within a COVID-19 environment to host events and generate revenue.

2. One Year

- a. Continue review and identify revenue generating opportunities.

- 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 COVID-19 compliant events on the Aloha Stadium property.
 - 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 support a collaborative relationship and enhance service and security for the general public and licensees.
 - h. Continue to address and implement requirements and procedures relating to patron participation and interactions and handling of spectators in ways that would minimize potential spread of the COVID-19 virus.
- 3. Two Years
 - a. The above-mentioned items are ongoing projects and will be performed on a continuing basis.
 - b. Participate in the development of a strategic plan for the future operations of the new Aloha Stadium.
- 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.
- 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 maximization of 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 Legislative appropriation for Operational Repair and Maintenance budget.

3. Cost Effectiveness Measure

Annual costs will be co-monitored by the 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.

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 2022

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 Enhanced 9-1-1 Fund (the Fund) disbursements pay 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 2021)

1. The Board collected revenues totaling \$11,022,672.90
 - a. \$9,563,025.45 Wireless Revenue
 - b. \$1,444,285.29 VoIP Revenue
 - c. \$15,362.16 Interest Revenue
2. The Board incurred expenditures and encumbrances totaling \$8,911,408.94
 - a. \$7,917,484.32 PSAP reimbursements.
 - b. \$750,250.00 Department of Budget and Finance special fund assessments.

- c. \$151,485.45 Payroll.
- d. \$63,757.73 Wireless Service Provider (WSP) cost recovery.
- g. \$28,431.44 Other Board administrative expenses.

3. The Board developed and implemented an FY 2022-26 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 2020 and is currently in the audit process for FY 2021.
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 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 (2022)

1. The Board will continue to monitor and modify, as needed, the 5-year Strategic Budget Plan through FY2026.
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 service.
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. However, 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 FY 2023.

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 (2022-2023)

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 recommend necessary adjustments to the Fund and the monthly surcharge fee to the legislature.
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 implementing the Next Generation 9-1-1 technologies that will enable the public to send texts, photos, and videos data in the interest of public safety.
6. The Board will establish 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 utilize the services of APCO training for its Certified Training program for the county PSAPs statewide and continue the Certification training classes for new and existing call takers and dispatchers.

D. Five Years (2022 to 2026)

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 2022 through 2026.
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 2022 through 2026.
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 and videos, and other data in the interest of public safety.
7. The Board will establish 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 this Board's nature, 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 2022

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

Contact Person/Phone No.: Meoh-Leng Silliman/586-0696

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 biennium 2021-2023.
 - e. Administered the purchasing card (pCard) program which includes all eligible divisions, staff offices, district offices, and attached agencies. For FY 21, average monthly pCard purchase transactions represented 62% (or approximately 829 purchase transactions) of total purchase transactions.
 - f. 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 continue to fine-tune procedures and business practices to process payroll in the new environment.
 - g. Staff participated in the Request for Proposal activities for the new Enterprise Financial System.
 - 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 continue to support the SharePoint website as the virtual inbox/outbox to process fiscal documents to support department staff who have returned to the office, who continue to telework, and who work as a hybrid of both from the office and from home.
2. Personnel Office
- a. Processed personnel transactions on a timely basis to ensure that employees properly and promptly received compensation, benefits, and other employment services. September/October 2020 was the bulk processing of retroactive pay increases as a result of collective bargaining negotiations. In FY21, two of three transactions positions were defunded, which posed a serious challenge and caused other areas to be delayed.
 - b. Hiring freeze since 4/3/20; low recruitment activity with hiring mainly in special funded positions and a few that received Governor's approval to fill. Classification position defunded in FY21; classification actions were kept mainly to extensions and UAC changes.
 - c. Advised programs on grievances, contract interpretations, consultations with unions, investigations of employee incidents, disciplinary actions, substandard performance, safety issues,

personal services contracts, family leave, leave share, reasonable accommodation, temporary assignment, and light duty. There was a slight increase in family leave and leave share requests. Received several employee complaints, which are still pending due to the Labor Relations position being defunded in FY21.

- d. Leave balances for G-2s are now queried through the Time & Leave/HIP for employees separating either through resignation, retirement, or transfer. Processing of leave share and other extended leaves are still being worked through the Time & Leave system. Reverted back to faxing address changes to EUTF due to several employees not receiving their health cards.
- e. Continue to prioritize the filling of multiple key positions for the Accounting Division, where turnover and internal movements continued into FY21.
- f. COVID-19 continues to generate a need for numerous communications, reports, tracking, and filing. Employee (voluntary) vaccination at assigned Point of Dispensary based on Tier system was coordinated in FY21.
- g. Worked with ASO and S&PO to create an electronic workflow for programs to submit Temporary Assignment (TA) Notifications. Generated instructions for submitting an electronic TA form through eSign. Eliminates the need for programs to purchase carbon forms and paper-based distribution.
- h. 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; annual Occupational Safety and Health Administration (OSHA) Report to the Department of Labor and Industrial Relations; annual IT security survey; review and report errors in monthly unemployment reports; monthly HGEA new hire query to DHRD; annual background check for CDL employees; annual open enrollment for EUTF; coordinate Wellness Program activities; and department liaison for the State's 2020 Census count.

3. Systems and Procedures Office

- a. Redesigned the Public Works Division's Purchase Order System from a legacy IBM mini-computer application to a web-based PC server application system with laser printed PO forms.
- b. Created a Daily Available Allotment System to provide the ASO Fiscal Office with an estimate amount of monies that a DAGS agency can currently use.
- c. Provided primary IT support for DAGS programs to be able to work remotely by teleworking throughout 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 timely 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 internal controls and pre-auditing for procurement compliance, and provide operational research and program review/evaluation.
 - 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. Continue to 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 vacant positions and train new hires; continue to provide opportunities internally for staff to learn other areas of human resources for coverage.
- 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. Prioritize efforts in recruitment to fill long standing vacancies due to the hiring freeze, which have recently received approval to fill.

3. Systems and Procedures Office

- a. Redesign of the Automotive Management Division's Parking Control computer application system currently residing on the IBM iSeries mini-computer to be a web-based application residing on a PC server.
- b. Redesign the departmental Purchase Order System from a legacy IBM mini-computer application to a web-based PC server application system with laser printed PO forms.
- c. Provide technical support for the department as the new statewide financial system is being phased into production.

C. Year 2

- 1. Administrative Services Office - Continuation of items a to e in Year 1.

2. Personnel Office – Continuation of items a to e in Year 1.
3. Systems and Procedures Office
 - a. Redesign of the Automotive Management Division's Motor Pool computer application system as web-based applications residing on a PC server.
 - b. Retire the Public Works Division mainframe-based Project Accounting System (MCD).
 - c. Provide technical support for the department as the new statewide financial system is being phased into production.

D. Year 5

1. Administrative Services Office – Continuation of items a to e 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.
 - c. Provide technical support for the new statewide financial system that should be in production.

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.
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.