	<b>DEPARTMENT OF PUBLIC SAFETY</b>  <b>DEPARTMENT ADMINISTRATION</b> <b>POLICY AND PROCEDURES</b>	<b>EFFECTIVE DATE:</b> <b>JUN 19, 2008</b>	<b>POLICY NO.:</b> <b>ADM.01.01</b>
		<b>SUPERSEDES (Policy No. &amp; Date):</b> <b>ADM.01.01 of 10/30/97</b>	
<b>SUBJECT:</b> <b>POLICY COORDINATION AND CONTROL</b>		<b>Page 1 of 12</b>	

## 1.0 PURPOSE

To establish a system of controls governing the development, implementation, maintenance, compliance with, and training in Department policy and procedures.

## 2.0 REFERENCE & DEFINITIONS

### .1 Reference

- a. Hawaii Revised Statutes (HRS), §353C-2, Director of Public Safety, Powers and Duties of the Director.
- b. Department Policy ADM.01.02, Department Directive System.
- c. Uniform Information Practices Act (modified), HRS, §92F.

### .2 Definitions

- a. Type A Policies - Policies providing procedural guidelines for one or more divisions.

These are policies, which establish standards for one or more divisions. Normally, only procedural guidelines are provided and it is the responsibility of each affected division or branch to develop the detailed procedures to implement the policy within the framework of the guidelines provided.

This type of policy is always signed by the Director and the Deputy Director responsible for the functional area.

- b. Type B Policies - Policies which implement a Department policy.

These policies are developed by a division or branch to implement a Type A Policy. The policy may be tailored to the resources and capabilities of the particular division or branch but within the framework of the guidelines or parameters provided by the Department policy. The policy only provides procedures for the staff within a particular branch or division and does not apply to any other branch or division.

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Policies of this type that apply to a division are signed by the division administrator, the respective Deputy Director, and the Director. Policies that apply only to a branch are signed by the branch administrator.

c. Type C Policy - Policies applicable only to a division or branch.

These policies are developed by a division or branch, which are unique to that division or branch and apply to no other division or branch. They may be developed under the following circumstances:

1. When no department policy exists to provide guidance in addressing a particular situation, a policy and procedure may be developed to guide their operations.
2. When the functions performed by the division or branch are unique to that organization; no other division or branch functions in that capacity. These functions may be governed by statutes.

Policies of this type that apply to a division are signed by the division administrator, the respective deputy director, and the Director. Policies that apply only to a branch are signed by the branch administrator.

d. Internal Controls - The organizational structure, operating procedures, and administrative practices of an organization.

### 3.0 POLICY

- .1 The plans that an organization develops to achieve its goals and objectives are normally implemented through policy and procedure. To promote the implementation of those plans, an organizational structure must be established which will support the effective development of policy and procedures. Only through a well-organized system for the development and control of policy and procedures can the Department effectively achieve its goals and objectives.

A system shall be established within the Department, which will coordinate and control the development, implementation, maintenance, compliance with, and training in Department policy and procedure. The system shall be organized and responsibilities established in accordance with the provisions of this policy.

- .2 All Type A policies shall be approved by the Director. The deputy directors shall recommend approval of those Type A policies that affect their area of responsibility.

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### Administration

All Type A policies that govern functions common to all staff offices, divisions, and branches within the Department shall be signed by all Deputy Directors and the Director.

### Law Enforcement

All Type A policies that govern administrative and operational functions within all divisions of law enforcement shall be signed by the Deputy Director for Law Enforcement and the Director.

### Corrections

All Type A policies that govern administrative and operational functions within all divisions under the Deputy Director for Corrections shall be signed by the Deputy Director for Corrections and the Director.

## **4.0 SYSTEM COMPONENTS**

The Department policy and procedures coordination and control system shall consist of seven (7) control functions.

### **.1 Policy Development Control**

All Types A, B, or C policies and procedures developed within the Department shall be reviewed prior to signature and promulgation for completeness and clarity. A control authority in Department administration shall coordinate and control this function.

The purpose of this review shall be:

- \* To ensure the policy complies with the standard Department format, procedures are clearly written, there is compliance with the Department policy and statute where applicable, and responsibility for performance of functions are clearly established.
- \* To ensure any new and/or revised P&P be routed to the Department P&P Coordinators for review. The Department P&P Coordinator will make the determination if the new and/or revised P&P warrants labor union or Attorney General involvement.

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- \* To ensure there has been consultation with the labor unions, where applicable, and this coordination has been properly documented.
- \* To ensure there has been documented coordination with the Attorney General if a legal opinion is required concerning the subject matter.
- \* To ensure the confidentiality status of the policy is properly identified and consistent with the Office of Information Practices guidelines.

**.2 Implementation Control**

Department policy (Type A) normally provides guidelines for implementation. It is the responsibility of those organizational segments within the Department that are affected by the policy to develop the necessary detailed procedures, which will implement Department policy within the framework of the guidelines provided.

A control authority within the Department administration shall monitor implementation to ensure compliance with Department policy in this respect. All affected organizational segments shall be given 30 calendar days to complete implementation.

**.3 Monitoring Control**

A monitoring system shall be established to ensure all Department operations and programs are operating in accordance with applicable statutes and established Department policy. The provisions of the Department Management Control and Assessment System (MCAS) shall provide this control function (reference Department policy ADM.01.11).

**.4 Maintenance Control**

Annually, all policies and procedures shall be reviewed to ensure they are operationally viable and reflect current Department policy and practices. A control authority within Department administration shall coordinate these functions to ensure compliance.

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.5 Inter-Office Memorandum (IOM) Control

A memorandum issued by the Director or a Deputy Director shall be reviewed by a control authority within Department administration to determine if the memo affects current policy or establishes new policy. The appropriate offices shall be notified to change current policy and procedure or develop new policy and procedure where applicable.

A memorandum issued by a division or branch administrator, which affects policy within that division or branch, shall also be reviewed by a control authority within the division or branch to determine the need to revise or develop policy for the division or branch.

.6 Training Control

Staff cannot be held accountable for their actions if they are not aware of Department policy and procedures. To ensure continued staff knowledge of those specific policies and procedures that are relevant to their job, periodic training sessions shall be held. New personnel shall be given special instruction and orientation in this respect.

The training program shall be designed to provide each staff member with both classroom and on-the-job training experiences in not only those policies and procedures, which are pertinent to their specific job, but all policies, and procedures for their functional unit. This shall include all security and emergency policies and procedures.

Training in policies and procedures shall become an on-going process since new policies and procedures are developed or existing ones revised.

A control authority in Department administration shall be responsible for establishing and maintaining this control function.

.7 System Coordination

A control authority within Department Administration shall be responsible for the overall coordination and control of all the system components outlined above. This coordination and control may take place through development of policy and procedures or establishment of internal controls as deemed necessary. In addition, some of the control functions this authority shall be responsible for are:

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- a. Ensure master files are maintained in a secure location of all policy and procedures developed within the Department.
- b. Provide guidance, direction, and training in the development of policy and procedures and the establishment of manuals.

## 5.0 **SYSTEM ORGANIZATION AND RESPONSIBILITIES**

The Department policy and procedures coordination and control system shall be organized and responsibilities established according to the following provisions.

### .1 Department Policy Coordinator

A Department Policy Coordinator shall be established within Department administration. The responsibilities of this position shall be:

- a. To ensure all internal controls within the Department necessary for the operation of all components of the Department directive system are established and maintained.
- b. To function as the authority for the Department concerning the development and maintenance of policy and procedures.
- c. To ensure all Department policies and procedures undergo consultation with labor unions and the Attorney General where applicable.
- d. To ensure the confidentiality status of all Department policies are clearly identified and consistent with the Office of Information Practices guidelines.
- e. To maintain controls over policy revision and supersession.
- f. To ensure all Types A, B, and C policies developed or revised within the Department comply with the standard department format, procedures are clearly written, there is compliance with Department policy and statutes where applicable, and responsibility for performance of functions are clearly established.

### .2 Policy Coordinators for Divisions and Branches

Each of the following divisions shall assign a person to function as the policy coordinator for their organization:

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- \* Corrections Division
- \* Law Enforcement Division
- \* Administration Division
- \* Public Affairs Office
- \* Civil Rights Compliance Office
- \* Litigations Coordination Office
- \* Internal Affairs Office
- \* Inspections and Investigations Office

The responsibilities of the division or branch policy coordinators shall be:

- a. Control the issuance of policy numbers for Types B and C policies within their organization.
- b. Review all initial drafts of Types B and C policies developed or revised within their organization prior to forwarding the draft to the Department Policy Coordinator for further review and acceptance. The purpose of this review shall be to:
  1. Ensure the policy draft complies with the standard Department format.
  2. Ensure the procedures are clearly written.
  3. Ensure all procedures comply with applicable Department policy and statutes.
  4. Ensure the confidentiality status of the policy is identified.
  5. Ensure responsibility is clearly established for all procedures.
  6. Ensure any revisions are clearly indicated according to established format.
- c. Ensure the master copies (the original with the administrator's signature) of all Types B and C policies developed by their organization are maintained in a secure location.
- d. Coordinate Types B and C policy master copy maintenance and policy revision control within their organization to ensure these functions are properly performed.
- e. Review all IOMs issued by their division or branch administrator to determine if branch or division policy needs to be developed or revised and make assignments accordingly.

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## 6.0 PROCEDURES

All policies (Type A, B, or C) are not to be signed by any authority until they have first been reviewed by the Department Policy Coordinator in accordance with the following provisions.

### .1 Type A Policies - Development or Revision

#### a. Originators

Any organization within the Department, which develops or revises a Type A policy shall develop and process the policy according to the following provisions.

1. Consult with the Department Policy Coordinator for guidance and direction in policy development, if necessary.
2. Promulgate a draft of the policy for comment and concurrence to all administrative units within the Department who may have interest in or be affected by the policy.
3. Where applicable, ensure consultation with labor unions and the Attorney General on the policy has been conducted and retain documented results of these consultations.
4. After review of all comments, prepare a final policy draft and forward it to the Department Policy Coordinator through their chain-of-command. Form PSD 1008, Policy Development Control (Attachment A), shall be attached to the policy draft, and the appropriate policy development activities checked off. The purpose of this form is to ensure all provisions of the policy development process have been complied with.

#### b. Department Policy Coordinator

Upon receipt of a Type A policy draft, the Department Policy Coordinator shall:

##### 1. Review

- a) Ensure all necessary consultation with labor unions and the Attorney General, where applicable, have taken place and documented.



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- b) Ensure procedures are clearly written.
- c) Ensure the policy complies with all applicable Department policy and statutes.
- d) Ensure the correct Department format for policy and procedure is employed.
- e) Ensure confidentiality status is identified properly.
- f) Coordinate with any applicable administrative units within the Department for comment, if necessary.

2. Finalize

- a) Prepare a package for signature by the appropriate Deputy Director and Director. The package shall include:
  - 1) Policy ready for signature.
  - 2) Policy cover memo which specifies, where applicable, that all organizations affected by the policy shall have 30 calendar days to implement the policy through development of procedures within the guidelines provided.
- b) Forward the policy package through the appropriate division administrators to the Deputy Director and Director for signature and promulgation.

.2 Type B or C Policies - Development or Revision

a. Originator

Any organization within the Department, which develops or revises a Type B or C policy shall develop and process the policy according to the following provisions:

- 1. Consult with their organization's policy coordinator or Department Policy Coordinator for guidance and direction in policy development, if necessary.

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2. Upon completion of the policy draft, forward a copy to their Division or Branch policy coordinator for review.

b. Division or Branch Policy Coordinators

Division or Branch Policy Coordinators shall:

1. Assign a policy number.
2. Review the policy to ensure:
  - a) Procedures are clearly written, understandable, and responsibilities clearly established for performing all functions.
  - b) The policy complies with all applicable Department policy and statutes.
  - c) The correct Department format for policy and procedure is used.
  - d) The confidentiality status is identified and consistent with the Office of Information Practices guidelines.
  - e) The labor unions and Attorney General have been consulted on the policy where applicable.
3. Transmit the policy draft to the Department Policy Coordinator for further review and acceptance through their division or branch administrator. A checklist, Form PSD 1008, Policy Development Control (Attachment A), shall be attached to the policy draft, and the appropriate policy development activities checked off.

For correctional facilities, all proposed policies must be forwarded to the Department Policy coordinator through the warden even if the policy governs functions outside the jurisdiction of the warden. In these cases, the policy would be forwarded through two authorities, the warden and the branch administrator having jurisdiction over the affected functions.

c. Department Policy Coordinator

Upon review and acceptance of the policy by the Department Policy Coordinator, it shall be forwarded for signature by the appropriate administrative authorities and returned to the policy coordinator of the

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originating organization. If found unacceptable, it shall be returned to the division or branch through the Policy Coordinator for further work.

.3 Policy Maintenance

The Department Policy Coordinator shall be responsible for coordinating and controlling the maintenance and revision functions of all Department policies and procedures.

a. Master Copy Maintenance

The following offices shall be responsible for maintaining the master copy (the copy which contains the original signatures of approving authorities) and their revision as directed by the Department Policy Coordinator. These offices shall also be responsible for maintaining all rescinded and superseded policies.

1. Offices Services Staff

The Office Services Staff of the Management Services Office under the Deputy Director for Administration shall be responsible for maintaining the master of all Type A, B, and C policies that have been signed by the Director.

2. Correctional Facility Policy Coordinators

Each correctional facility policy coordinator shall be responsible for maintaining the master of all Types B and C policies, including those signed by two or more branch administrators.

b. Revision Control

1. A revised policy shall show the new effective date and the supersedes section of the title block properly completed. The effective date is the date the approving authority signs the policy. The superseded policy shall be removed from the manual, destroyed, and the latest policy inserted in its place.

2. Those offices responsible for maintaining the master copy of policies shall also be responsible for maintaining a master table of contents, which shows the latest effective date of each policy in their manual. Each quarter, these offices shall send a copy of their master table of

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contents to all those to whom they promulgate policy so that they may check to ensure their manual is up-to-date.

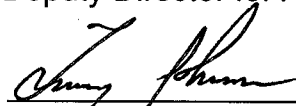
**7.0 SCOPE**

This policy applies to all staff offices, divisions and branches within the Department.

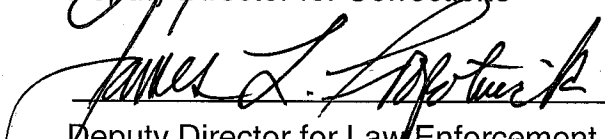
APPROVAL RECOMMENDED:

  
 Deputy Director for Administration

6/6/08  
 Date

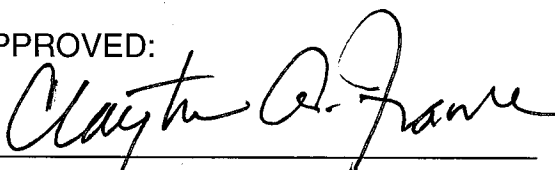
  
 Deputy Director for Corrections

6/18/08  
 Date

  
 Deputy Director for Law Enforcement

6-19-08  
 Date

APPROVED:

  
 Director

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 Date