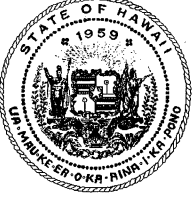


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|  | DEPARTMENT OF CORRECTIONS AND REHABILITATION DEPARTMENT ADMINISTRATION POLICY AND PROCEDURES | EFFECTIVE DATE: MAY 20 2024 | POLICY NO.: ADM.01.03 |
| | | SUPERSEDES (Policy No. & Date): ADM.01.03 & June 12, 2020 | |
| | SUBJECT: EFFECTING ORGANIZATIONAL AND FUNCTIONAL STATEMENT CHANGES | | Page 1 of 6 |

1.0 PURPOSE

To update and establish procedures by which changes in organization and function may be made in the Department of Corrections and Rehabilitation (DCR).

2.0 SCOPE

This policy applies to all Divisions, Sections, Branches, Programs, Units, and Staff Offices within the Department.

3.0 REFERENCES, DEFINITIONS & FORMS

.1 References

- a. Governor's Administrative Directive No. 24-02, Policy and Procedures for Effecting Organizational and Functional Statement Changes, April 26, 2024.
- b. Hawaii Revised Statutes (HRS), § 26-38, Powers and Duties of Heads of Departments.
- c. State Constitution, Article V, The Executive, Section 6, Executive and Administrative Offices and Departments.

.2 Definitions

- a. Reorganization or change in organizational structure is defined as:
 1. Creation of a new organizational segment or the abolishment of an existing one.
 2. Rearrangement or regrouping of existing organizational segments involving the reassignment or redistribution of functions and positions affected by these changes.
 3. Creation of a new supervisory level or the deletion of an existing one.

A reorganization or change in organizational structure requires preparing and reviewing a reorganization proposal, obtaining the appropriate approvals, and providing documentation of the approved reorganization.

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b. Organizational segments are defined below:

1. Department. Responsible and accountable for major program areas as determined by statute and the Governor.
2. Division. Responsible and accountable for accomplishing a major component of the department's mission and/or a series of program objectives as determined by the department director. A division is always the first organizational level that reports directly to a departmental director. Departmental staff offices, boards, commissions, authorities, councils, etc., are considered to be at the same level as a division (e.g., Stadium Authority, Employees' Retirement System, and Hawaii Employer-Union Health Benefits Trust Fund)
3. Branch. Responsible and accountable for direct administration of one or more programs as determined by the department director. Typically reports to a division chief.
4. District. Responsible and accountable for direct administration of one or more programs within a defined geographical area as determined by the department director. Districts may be: 1) a subdivision of a division where they are equivalent to a branch; 2) a subdivision of a branch where they are equivalent to a section; or 3) organized as required by a department to manage programs.
5. Section. Responsible and accountable for direct operation of one or more programs, or for providing supervision to a functionally related grouping of units as determined by the department director. Typically reports to a branch chief.
6. Unit. Responsible and accountable for direct operation of a single program, or other clearly defined area of work or for providing supervision to a functionally related grouping of subunits as determined by the department director. Typically reports to a section chief.
7. Subunit. Responsible and accountable for direct operation of one or more components of a program as determined by the department director.

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8. Team/Crew. Responsible and accountable for the direct provision of a specific service or an operation that requires close coordination of individual members to achieve. For efficiency, teams/crews may be a subdivision of a section where they are equivalent to a unit, or a subdivision of a unit where they are equivalent to a subunit.

9. Offices. Segments providing administrative or other support (e.g., "staff" support) to segments involved in direct program operations. Generally, offices should not be involved in direct program operations (i.e., performing "line" functions), although they can be used for this purpose if no other organizational designation is appropriate. Offices may also consist of a single position providing specialized support as determined by the department director. Offices may be subdivided regardless of whether they exist on the department, division or branch level. In order of organizational hierarchy, the subdivisions are as follows:
 - a) Staff (e.g., Personnel or Fiscal Staff). Use when there are limited positions performing support functions within an office, of which one has supervisory function over the others.
 - b) Section (e.g., Accounts Receivable Section). Use when there are a number of positions performing a specific function within an office, and positions are divided among different supervisors.
 - c) Unit (e.g., Accounts Receivable Unit #1). Use to further delineate specific support functions being performed by a number of positions within a section.

- c. Functional Statement consists of a brief overview statement of a segment's purpose, mission, program objectives, and operating relationship to the parent and subordinate segments, along with a series of specific statements describing its major functions.

.3 Forms

- a. DCR 1510, Request to Initiate Organizational And Functional Statement Change
- b. DCR 1511, Final Approval Request for Organizational and Functional Statement Change

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4.0 POLICY

It shall be the policy of this Department to:

- .1 Apply sound management principles to achieve program objectives. It is equally important that plans of organization be regularly appraised and updated to meet the State's changing needs and conditions.
- .2 Certain basic concepts of good management need to be considered and applied to fulfill our managerial responsibilities, including:
 - Change. Change is normal and to be expected. Therefore, organizational structure and assignments should not be static and should be modified from time to time as circumstances warrant.
 - Coordination. The Executive Branch is a unified organization with all departments coordinated to provide mutual support of the Administration's programs and goals.
 - Effectiveness. The organization should be designed to effectively and economically execute department programs. It should also contribute to employees' high morale, personal/career development, job satisfaction, and motivation.
 - Organizing. Organizing is a fundamental administrative responsibility. Every manager, from department director to first line supervisors, is responsible for providing adequate direction and leadership to their personnel by utilizing the most effective organizational structure possible to accomplish the work.
 - Organizational Principles. Every effort should be made to incorporate sound organizational principles in developing and implementing organizational plans.
- .3 Organizational and functional changes may be implemented subject to the approval of the director under the following conditions:
 - a. Any functional and/or organizational changes must comply with the applicable statutes and policies and procedures set forth in the current applicable Governor's Administrative Directive.

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- b. Any changes in classification shall be consistent with Statewide classification policies and procedures established by the Department of Human Resources Development (DHRD).
- c. All costs associated with any organizational and/or functional changes shall be cost neutral at the program ID level and shall be the responsibility of the program from its existing budgeted funds. Cost neutral changes should be sustainable through current and future biennium. Budget requests reflecting necessary tradeoffs and transfers shall be included in the department's subsequent budget request.
- d. For organizational and/or functional changes that are not cost neutral at the program ID level or would create, abolish or change the organizational structure of a division, the Administrative Services Office, with the director's approval, shall first obtain approval to proceed from the Governor via the Department of Budget and Finance (B&F).
- e. Position variances arising from an organizational or functional change in a program may be approved by the director, provided that all additional costs associated with the change shall be borne by the program from existing budgeted funds within the respective program ID, provided such position variances do not result in cost differences exceeding 20% of the authorized budgeted amounts or as otherwise allowed by the current budget execution policies. Governor's approval through B&F is required for all other position variances.

5.0 PROCEDURES

- .1 Programs desiring to effect organizational and functional statement changes, shall access and adhere to instructions provided in the Reorganization Section of the DCR Administration Division's intranet website and this P&P.
- .2 Questions on the reorganization process may be referred to the Administrative Services Office.

APPROVAL RECOMMENDED:

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 Deputy Director for Administration

5/14/24

 Date

APPROVAL RECOMMENDED:



May 14, 2024

 Deputy Director for Correctional Institutions

 Date

APPROVAL RECOMMENDED:



5/16/2024

 Deputy Director for Rehabilitation Services and Programs

 Date

APPROVED:



5/20/24

 DIRECTOR

 Date

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**Inter-Office
MEMORANDUM**

DEPARTMENT OF PUBLIC SAFETY

No. _____

Suspense: _____

April 29, 2024

TO: XXX XXXX, Director

THROUGH: (Name) , Deputy Director of ()
XXXXX X. XXXX, Business Management Officer

FROM: (Name) , (Program)

SUBJECT: REQUEST TO INITIATE ORGANIZATIONAL AND FUNCTIONAL
STATEMENT CHANGE

Purpose:

Reference(s): This request for organizational and/or functional statement meets the requirements outlined in State of Hawaii Administrative Directive 24-02, Policy and Procedures for Effecting Organizational and Functional Statement Changes.

Brief Program Rationale and Justification:

Position(s) Affected:

| <u>Position Number</u> | <u>Current Classification</u> | <u>Salary Range</u> | <u>BU</u> | <u>FTE</u> | <u>Vacant/Filled</u> |
|------------------------|-------------------------------|---------------------|-----------|------------|----------------------|
|------------------------|-------------------------------|---------------------|-----------|------------|----------------------|

Major Program Segment(s) and Functions Affected

Point of Contact:

Recommend Initiation of Organizational Change:

RECOMMEND:

APPROVED DISAPPROVED

XXXXX X. XXXXXX
Business Management Officer

Date

RECOMMEND:

APPROVED DISAPPROVED

(Name)
Deputy Director of { }

Date

APPROVED DISAPPROVED

XXX XXXXX
Director

Date

**Inter-Office
MEMORANDUM**

DEPARTMENT OF PUBLIC SAFETY

No. _____

Suspense: _____

April 29, 2024

TO: XXXXXXXX, Director

THROUGH: (Name), Deputy Director of ()
XXXX X. XXXXX, Business Management Officer

FROM: (Name), (Program)

SUBJECT: FINAL APPROVAL REQUEST FOR ORGANIZATIONAL AND
FUNCTIONAL STATEMENT CHANGE

_____ Delegated Change
_____ Non-Delegated Change

Purpose:

Reference(s): This request for final approval complies with the State of Hawaii Administrative Directive 24-02, *Effecting Organizational and Functional Statement Change*.

Detailed Program Rationale and Justification:

Position(s) Affected:

Position Number Current Classification Salary Range BU FTE Vacant/Filled

Major Program Segment(s) and Functions Affected:

Resource Requirements and Funding Source Explanation:

Alternatives Considered:

Programmatic Impact:

Budget Data and Draft Changes:

Point of Contact:

Recommendation and final approval of proposed Organizational Change:

