	DEPARTMENT OF CORRECTIONS AND REHABILITATION DEPARTMENT ADMINISTRATION POLICY AND PROCEDURES	EFFECTIVE DATE: January 01, 2024	POLICY NO.: ADM.06.01
		SUPERSEDES (Policy No. & Date): ADM.06.01 of June 08, 2018	
	SUBJECT: CAPITAL IMPROVEMENT PROJECT SUBMISSION PROCESS		Page 1 of 6

1.0 PURPOSE

To establish procedures for submitting Capital Improvement Project (CIP) requests for the Department of Corrections and Rehabilitation (DCR).

2.0 SCOPE

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

3.0 REFERENCES, DEFINITIONS & FORMS

.1 References

- a. ADM 06-01-1, Capital Improvement Justification Form Instruction
- b. Executive Memorandum, Memo 1980-2, dated February 22, 1980, Criteria for Distinguishing between a Capital Improvements Project and a Repairs and Maintenance Project.
- c. Governor's Executive Memorandum, Subject: Budget Execution Policies and Instructions, published annually, URL: <http://budget.hawaii.gov/statewide-policies/executivememorandums/>
- d. Hawaii Administrative Rules (HAR), Title 3, Department of Accounting and General Services, Subtitle 11, Procurement Policy Board, Chapters 120-132, Goods, Services & Construction.

.2 Definitions

- a. Capital Improvements Project: A Capital Improvements Project (CIP) is defined as expenditures necessary to provide a tangible asset that will be used and is capable of accruing benefits in future periods. The intent of the project may be either to provide new facilities or to increase the value of an existing fixed asset by increasing its capacity, and efficiency, or extending the original useful life. CIP projects are funded through the applicable HAR, HRS, and legislative processes and approved by the governor.
- b. Repair and Maintenance Project: A repair and maintenance project (R&M) is defined as expenditures necessary for preventative and routine maintenance purposes, preservation, or restoration of an existing facility to

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a good condition. A restoration that must be repeated or does not extend the original useful life of the facility must be considered an R&M project. R&M projects are funded with the facility's operating budget.

- c. "Remote Access" any user accessing the State DCR network through a network device or medium outside of DCR via Internet.
- d. "User" means all State employees in the DCR including all outside personnel. Outside personnel includes, but not limited to, volunteers, contractors, and vendors who are authorized to use or access State IT resources.

.3 Forms

DCR 1610, Capital Improvement Justification Form

4.0 POLICY

- .1 Establish and adhere to a formal CIP submittal process in order to support timely and responsible facility improvement initiatives and reduce the backlog of deferred maintenance across all DCR facilities and offices.
- .2 Encourage the submittal of capital improvement project requests that would support health and safety, security, efficiency in DCR facility and program operations, etc.
- .3 Requirements
 - a. Network access must be strictly controlled. Control will be enforced via password authentication.
 - b. ITS will create and manage all network operations and securities.
 - c. ITS will have available up-to-date anti-virus scanning software for the removal and scanning of suspected viruses.

5.0 PROCEDURES

- .1 During the course of each year, each facility/program should identify, list and prioritize potential CIP projects for the facility/program. The following is a summary of duties and responsibilities.

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- a. Director/Deputy Directors
 1. Review, approve/disapprove, and prioritize all CIP project requests submitted by the Chief Planner and/or CIP Coordinator for submission to the State Legislature.
 2. Delegate responsibilities to the Facility/Office Administrators to authorize and sign all CIP request submittals.
 3. Sign all CIP contracts and related documents (including all MOAs and MOUs) for the Department.

- b. Administrative Services Office (ASO)
 1. Establish and administer the Department's CIP program and CIP project submittal process.
 2. Provide guidance and assistance on CIP contractual matters.
 3. Review and process any required CIP documents for completeness. The use of any of the State's IT resources implies that the User accepts and agrees to all the terms and conditions contained in this policy.

- c. Administrators and Supervisors
 1. Ensure compliance with ADM.06.01.
 2. Ensure the proper submittal of CIP forms and ensure it is submitted in a timely manner (i.e., meet prescribed deadlines).
 3. Ensure that the supplemental instructions located in the Administration Division intranet website are adhered to.
 4. Ensure there is a bona fide need for the proposed CIP project.
 5. Review, properly complete, and sign the CIP submittal form.
 6. Participate in the CIP project submittal review and collaboration process.
 7. Document and retain all CIP submissions for future reference or resubmittal.

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- d. Departmental Employees
 - 1. Submit ideas and proposals for potential CIP projects to the immediate supervisor with a copy to the facility/program administrator.
 - 2. Adhere to policy ADM.06.01 instructions and the supplemental instructions located on the Administration Division Intranet website.
 - 3. Participate in the CIP project submittal review and vetting process, when requested. State as Owner, Custodian, and Licensee.
- .2 In June of each year, each facility/program should select a number of potential CIP projects from the list in paragraph 4.1 above that the facility shall submit for consideration by DCR Administration by completing DCR 1610, Capital Improvement Justification Form. Use DCR 1610, Capital Improvement Justification Form Instruction as a guideline for properly completing the form. The justification forms shall be completed and submitted to the Warden by June 30th of each year.
- .3 The Warden/Program Administrator shall review the form for completeness and accuracy. The Warden/Program Administrator, or designated representative, shall sign the form to represent his/her agreement with the information on the form and the validity of the proposed project.
- .4 During the month of July, a meeting to review the facility CIP project submittals (i.e., justification forms) will be scheduled by the Chief Planner and/or CIP Coordinator. The facility will use this meeting as a forum for facility staff to provide a better understanding of the merits of each project proposal to the Warden, Chief Planner, and/or CIP Coordinator.
 - a. In preparation for the meeting, the facility shall prepare hard copies of all project justification forms (including photographs and supporting data where applicable) for the Chief Planner/GIP Coordinator, in priority order. The hard copies of the justification forms must be provided to the Chief Planner/GIP Coordinator (7) business days ahead of the meeting schedule.
 - b. Attendees may include Security and Operations personnel, Maintenance personnel, administration personnel, and others who have a project proposal being discussed.
 - c. A record keeper, from the facility, shall be assigned to take minutes and ensure all attendees have signed the attendance sheet. The attendance

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sheet shall be included as part of the meeting minutes report, which shall capture all committed actions and due dates.


- d. Any revisions or adjustments or prioritizations or recommended committed actions to the project proposals arising out of the meeting shall be completed immediately following the meeting and captured in the minutes. The minutes should be issued within (3) business days with copies to the Warden, Chief Planner, CIP Coordinator, and facility program administrators.
- .5 The facility/program shall submit (via email) their finalized and signed Capital Improvement Justification Forms in electronic format to the CIP Coordinator by the first Friday in August of each year. No substitutions (e.g., Form A) for the Capital Improvement Justification Form will be accepted for review. A list that clearly conveys the facility's project priorities should accompany the submittals. No projects with the same priority preference. No action will be taken on unsigned forms.
- .6 Each year the facility shall submit a prioritized list of deferred maintenance items to the CIP Coordinator by the first Friday in August. Priority should be given to:
 - a. Fixing aging buildings and structures.
 - b. Replacement of equipment and infrastructure that is not working, breaking down often, or nearing the end of its life cycle.
 - c. Compliance with City & County, State, and Federal Requirements.
 - d. All submittals to the CIP Coordinator shall be sent via email in electronic format (preferably in MS Word or Excel format).
- .7 All submittals for programs not under the Institutions Division (i.e., Food Services, Education, Health Care, etc.) shall submit Capital Improvement Justification Forms containing project requests that may affect facility security and operations to the Wardens for concurrence prior to submitting the request to the CIP Coordinator.
- .8 Resources for CIP Projects
 - a. Instructions on how to complete the Capital Improvement Justification Forms can be found in the Administration Division intranet website, Capital Improvement Projects section.

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- b. A library of past submittals of Capital Improvement Justification Forms can be found on the Administration Division intranet website for reference. The library is maintained by the Planning and Research Unit of the ASO and updated annually.

APPROVAL RECOMMENDED:




Deputy Director for Administration **JAN 0 1 2024**
Date

APPROVAL RECOMMENDED:



Deputy Director for Corrections **JAN 0 1 2024**
Date

APPROVED:



DIRECTOR **JAN 0 1 2024**
Date

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