

WELCOME TO THE ETHICS COMMISSION MEETING

Please sign in at the testimony table.

As a courtesy, please silence your cell phone.



Date: August 15, 2018
Time: 11:30 a.m.
Place: Kapālama Hale
925 Dillingham Boulevard
1st Floor Conference Room

ORDER OF BUSINESS

I. Call to Order, Public Notice, Quorum



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II. NEW BUSINESS

A. Chair's Report

1. Announcements, Introductions, Correspondence, and Additional Distribution



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II.A. CHAIR'S REPORT (cont'd)

2. For Action: Approval of Open Session Minutes of July 18, 2018
3. For Action: Approval of Executive Session Minutes of July 18, 2018

[exec/session if needed, HRS §92-5(a)(4)]



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II.B. EXECUTIVE DIRECTOR AND LEGAL COUNSEL'S (EDLC) REPORT

1. Staff Work Reports Summary

- Sr. Clerk
- Legal Clerk III (TA)
- Investigator
- Associate Legal Counsel



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II.B.1. STAFF WORK REPORTS – HIGHLIGHTS SENIOR CLERK

- Assisting with EC meeting administration, uploading docs to website
- Compiled data for FY18 reporting
- Processing lobbyist forms
- Assisting with legal clerk functions, attending staff and other meetings



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II.B.1. STAFF WORK REPORTS – HIGHLIGHTS LEGAL CLERK III (TA)

- Finalizing all-City ethics training (FY16–FY18)
- Processing meeting minutes/materials, case intake, UIPA log
- Assisting investigations, drafting correspondence; compiling data for FY18 statistics
- Managing front-office, phones
- Updating and uploading content to website
- Training Sr. Clerk



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II.B.1. STAFF WORK REPORTS – HIGHLIGHTS INVESTIGATOR

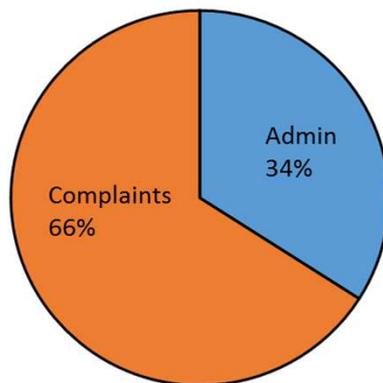
- Managing case load (interviews, investigation, research/analysis, reporting)
- Prepping for and attending case management meetings
- Coordinating and assisting with multiple case review by ETH and other agencies



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II.B.1. STAFF WORK REPORTS SUMMARY INVESTIGATOR



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II.B.1. STAFF WORK REPORTS – HIGHLIGHTS ASSOCIATE LEGAL COUNSEL (ALC)

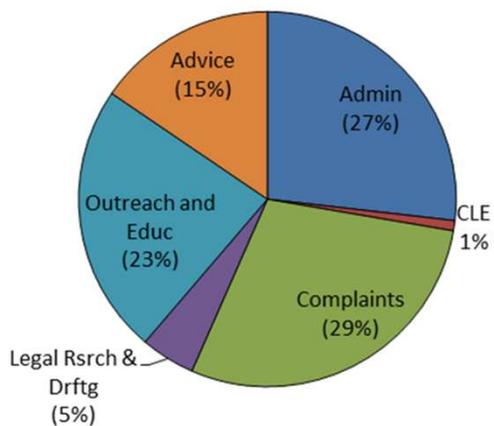
- Handling ongoing admin responsibilities
- Investigating cases, strategy, training Investigator and Legal Clerk III (TA)
- Conducting education sessions, outreach, multi-jurisdictional research; tweeting
- Drafting financial disclosures legislation
- Managing requests for advice
- Preparing program of work for UH law student
- Creating new biennium ethics program



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II.B.1. STAFF WORK REPORTS SUMMARY ASSOCIATE LEGAL COUNSEL



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II.B.2 STATISTICS

a. Website Sessions

- June 2018 - 468



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II.B.3 BUDGET

b. For Discussion:

FY2020 Operating Budget Request



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II.B.4. EDUCATION AND OUTREACH

a. Ethics Training Program

- Feedback
- Developing course for next biennium
- New HPD captains training (Aug); new emp'ee training (Sep)
- Working w/ City IT Dept. to host board, commission member training on non-domain (private) user interface



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II.B.4. EDUCATION AND OUTREACH

a. Ethics Training Program

- Board/Commission members (Mindflash)
176/183 (as of August 10)
- City Officers/Employees
6,775 (as of August 10)



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II.B.7. EDUCATION OPPORTUNITIES

- ### a. Will Weinstein Ethics Conversation Series
- (Feedback - *Fraud and Its Recent Giants; Legal Ethics; Ethics in Politics*)

State Campaign Spending Commission
October 17, 2018 (10:15 a.m. – 11:15 a.m.)



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II.B.7. EDUCATION OPPORTUNITIES

- b. Society of Corporate Compliance and Ethics (SCCE), Compliance & Ethics Institute
October 21–24, 2018 (Las Vegas, NV)

- c. Council on Governmental Ethics Laws (COGEL),
COGEL Conference
December 9–12, 2018 (Philadelphia, PA)

[End – EDLC Report]



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III. EXECUTIVE SESSION

- A. For Discussion:
Kealoha vs. Tutto



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III. EXECUTIVE SESSION

C. For Discussion:

Executive Director and Legal Counsel –
Annual Evaluation Feedback



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III. EXECUTIVE SESSION

D. For Action:

Request for a Motion to Approve and Adopt
Staff's Draft Advisory Opinion No. 2018-2
Regarding Alleged Violation of RCH Sec. 11-104
Against a City Officer



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III. EXECUTIVE SESSION

E. For Action:

Request for a Motion to Approve and Adopt
Staff's Draft Advisory Opinion No. 2018-3
Regarding Alleged Violation of ROH Sec. 3-
8.4(b)(2) Against a City Officer



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IV. STRATEGIC PLANNING

For Discussion:

A. Media Policy

1. Ethics Commission Media Policy (June 20, 2018)
2. City of San Jose Media Policy (Revised Date June 21, 2016)



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IV. STRATEGIC PLANNING

For Discussion:

B. Crisis Management

- 1. C&C of Honolulu Government Function During Emergencies and Disasters, Mayor's Directive No. 13-1 Dated March 1, 2013**
- 2. Emergency Operations, Standard Operating Guideline Dated May 1, 2014**



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V. OPEN FORUM

A. For Discussion:

Case Administration



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V. ADJOURNMENT

Next Meeting: September 19, 2018
October 17, 2018

Website: www.honolulu.gov/ethics Email: ethics@honolulu.gov

 Twitter: @HonEthicsComm



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**Agenda Item IV.A.2.,
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[City of San Jose Media
Policy, Revised Date June 21,
2016]**

Email sent on July 18, 2018

Chair Marks and Director Yamane,

For next month's meeting, or whenever we next take up the media policy, I'm planning to refer to the media policy of the city of San Jose:

<https://www.sanjoseca.gov/DocumentCenter/View/16106>

This six-page document is a great model, but for our Commission's purposes, the most relevant part is subsection 4 (Departments). If you'd like to distribute this to the commissioners for reading in advance of the meeting, I'd recommend calling their attention to that section in particular.

One of the features of the San Jose policy is the existence and role of a communications office under the city manager that coordinates media response with city departments. I'm going to be out of town July 20-27, but after I get back, I'd be glad to try to find out who at Honolulu Hale I can ask about coordinating our media policy and efforts with those of the City and County. (If you know, maybe you can save me some research.)

Aloha,

David Monk

Media Policy**Section 6.1.3****1. PURPOSE**

To ensure that the public is informed about all aspects of City government by maintaining positive media relations; encouraging media coverage of the services and accomplishments of the City; and responding to the media with accurate and timely information.

2. POLICY**2.1 RELATIONSHIP WITH NEWS MEDIA**

The news media are an important component of the City's ability to communicate with and serve the public, accomplish public policy goals, and provide high quality and responsive municipal services.

Inquiries from the news media are a high priority and must be responded to by the appropriate department or person as quickly and efficiently as possible. Every effort will be made to meet media deadlines and to ensure that all information released is accurate.

The City does not centralize media information requests through any one office. Reporters may request interviews and seek information directly from any City department or office, and departments should respond consistent with this policy and with departmental policies.

2.2 WHAT IS NEWS MEDIA

In general, the City should respond to reporters fairly regardless of the type of media outlet represented by a reporter.

News media has experienced radical changes in recent years, and reporters now represent a wide range of news outlets. Although traditional media such as print and broadcast remain important, new types of media such as independent bloggers, community or citizen journalists, corporate online newsrooms, online news outlets, and social media and neighborhood platforms have also emerged as essential channels for disseminating public information.

2.3 PROACTIVE MEDIA RELATIONS

It is the goal of the City of San José to keep the public informed about achievements and efforts of the City and staff. The City seeks opportunities to proactively communicate by notifying local, national, professional, trade media and news media outlets about City achievements, awards, accomplishments, and innovations.

Media Policy**Section 6.1.3****2.4 OPEN GOVERNMENT**

The business conducted by the City of San José is generally public and therefore is accessible as public information. Inquiries regarding pending litigation, matters involving a significant exposure to litigation, and certain personnel-related information are exceptions under state law and City policy. The City's commitment to transparency is contained in the [Open Government Ordinance](#), Chapter 12.21 in the San Jose Municipal Code (https://www2.municode.com/library/ca/san_jose/codes/code_of_ordinances?nodeId=TIT12ETOPGOPR_CH12.21OPGO). The Open Government Manager in the City Manager's Communications Office and the City Attorney's Office should be consulted if there are questions whether or when certain information must be made available to the media or to the public. The City's [Public Records Policy](#) also provides guidance (<http://www.sanjoseca.gov/DocumentCenter/View/24722>)

2.5 CITY RESPONDS ONLY ON BEHALF OF THE CITY

City and departmental communications staffs represent only the City itself. For this reason, City staff will not respond to news media inquiries on behalf of other agencies, businesses, or organizations regarding policy, operations, or incidents. Communications staff, however, should endeavor to be helpful to reporters by referring such inquiries to other organizations as the situation requires and coordinate responses as appropriate.

2.6 SOCIAL MEDIA POSTING, ON-LINE MONITORING, AND RESPONSE

Increasingly reporters are using a variety of social media platforms to report, update, and share news stories. The City's [Web-Based Communications Policy](#) provides a framework for the City, including both the City Manager's Communications Office and departmental communicators, to disseminate information to the media and correct misinformation (www.sanjoseca.gov/DocumentCenter/View/16045).

City communications staff will proactively post to and actively monitor social media and on-line news and commentary sites relevant to the City issues and operations. When online commentary becomes inaccurate, unhelpful for customers and public, or detrimental to the City and its personnel, communications staff will work with the City Manager's Communications Office to determine when or whether it is appropriate to participate in an on-line discussion or submit a correction, or develop a response suitable for the specific discussion site and issue.

2.7 NO "PAY-TO-PLAY" MEDIA

Occasionally representatives from certain trade, business, or commercial media seek commitments for City advertising or access to lists of contractors or vendors in consideration for publishing a story. The City will not participate in any "pay to play" media proposal, and it will not provide lists of vendors or other potential advertising contacts to publications or other media as a condition for publication of a story.

Media Policy**Section 6.1.3****2.8 LANGUAGE ACCESS AND MEDIA**

Because of the diversity of the San José community, the City and its departments should consider steps to provide news and information in languages appropriate for residents with limited English proficiency. In addition, when appropriate and where practical, the City should develop the capacity to respond to news media inquiries that are not in English.

3. CITY MANAGER'S COMMUNICATIONS OFFICE**3.1 ROLE**

The City Manager's Communications Office is responsible for the coordination of Citywide media relations and for ensuring accuracy, consistency, and quality in the City's overall responses to media. The Communications Office assists departments as necessary in responding to and aiding news media, and it will refer news media inquiries it receives to departments as appropriate.

3.2 CONSULTING ASSISTANCE AND TRAINING

The Communications Office is available for advice and consultation with departments on media relations matters. Training in media relations policy, procedures, and techniques is periodically coordinated by the Communications Office.

4. DEPARTMENTS**4.1 DEPARTMENTAL MEDIA POLICIES**

Department directors, or a department's communications staff, will develop specific media policies for their departments that ensure that the appropriate persons respond to news media inquiries with accurate and timely information.

Departmental policies should designate which employees may respond to media inquiries, and under what circumstances. Policies also establish procedures to ensure that the department director and the City Manager's Communications Office are informed of media inquiries (see Section 4.4, Notifications and Referrals).

Departmental policies must be reviewed annually and updated as necessary, and updates must be regularly submitted to the City Manager's Communications Office.

Media Policy**Section 6.1.3****4.2 DEPARTMENT POLICY-RELATED INQUIRIES**

News media inquiries on departmental policy issues should be answered by the department director or the director's designee for the issue. Although every effort should be made to meet reporters' deadlines, information should be released only when it is confirmed to be factually accurate.

4.3 DEPARTMENT OPERATIONAL INQUIRIES

With the approval of a supervisor or manager, news media inquiries regarding operations within a department may be answered by a departmental employee who has the most relevant knowledge and experience.

Although every effort should be made to meet reporter's deadlines, information should be released only when it is confirmed to be factually accurate. When in doubt, check with a manager at the department's Executive Staff level or higher, or with the City Manager's Communications Office.

4.4 NOTIFICATIONS AND REFERRALS BY DEPARTMENTS

- a. Whenever a news media inquiry concerns a matter of broad community significance, is likely to result in controversy, could have a practical and/or political impact on a large segment of the community, or relates to an emergency situation, the City Manager's Communications Office will be notified immediately.
- b. When a department receives an inquiry from the news media regarding issues involving more than one department, responses will be coordinated with the other relevant department(s) and with the City Manager's Communications Office.

4.5 NEWS CONFERENCES/EVENTS PLANNING

News conferences or other efforts to attract media attention about a departmental issue or event should be coordinated with the City Manager's Communications Office. Depending on the issue or event, the Mayor's Public Information Officer and/or the affected City Councilmember(s) should also be included in the coordination.

Requests from the office of the Mayor and/or a City Councilmember for assistance with, or participation in, a news conference or other efforts to attract media attention should be coordinated with the City Manager's Communications Office. When in doubt, check with the City Manager's Communications Office.

Media Policy**Section 6.1.3****5. PUBLIC RECORDS REQUESTS**

Requests from the media for public records should be handled promptly and consistent with the City's Public Records Policy. When there are questions about whether the information requested can be released, departments should consult with the City Attorney's Office and the Open Government Manager in the City Manager's Office.

In addition, the City Manager's Communications Office should be notified whenever such a request is an unusual, extensive, affects multiple departments, or appears to be related to a news media investigative effort. This requirement is in addition to any notification requirements contained in the City's Public Records Policy (www.sanjoseca.gov/DocumentCenter/View/24722).

6. CORRECTIONS, COMMENTARY, LETTERS

The City has an obligation to help the news media provide accurate information to the public. Therefore, factual errors should be corrected in an appropriate and timely way.

Commentary, opinion columns, and letters to the editor that are written to represent the City's view regarding operations, policies, or City positions must be coordinated with the City Manager's Communications Office.

Individual City employees may express personal opinions with "letters to the editor," but not as representatives of the City unless they have prior approval by their department director and the City Manager's Communications Office.

7. MAYOR AND COUNCIL ROLES**7.1 MAYOR AND COUNCIL OFFICES AS A MEDIA RESOURCE**

The Mayor and City Councilmembers can be valuable resources for providing policy and political perspectives in response to specific news media inquiries; helping to disseminate City news and information to constituents and identifying stakeholders who should be informed; participating in news media events; and providing statements for news releases.

Departments should coordinate their requests for participation from the City Council with the Mayor's Public Information Officer or the relevant Council office.

7.2 NOTIFICATIONS

Whenever a major event of unusual significance occurs, either citywide or for a Council district, the City Manager's Office should be notified immediately. As much as practical, notification must be made to a live body; voicemail, email, or text messages can supplement that notification. The notifying party and the City Manager's Office will coordinate appropriate and timely notifications to the Mayor and appropriate Councilmembers.

Media Policy**Section 6.1.3**

Events of citywide or district significance have or could have a substantial practical or political impact on the city as a whole, on a significant portion of the community, or on a neighborhood. This includes but is not limited to any incident or issue that is likely to attract substantial news media interest, including major police and fire incidents.

7.3 MEDIA INQUIRIES TO THE MAYOR'S OFFICE

Media inquiries are frequently directed to the Mayor's Public Information Officer. When such a request involves operational issues; the Mayor's Office refers calls to the CMO Communications Office or to appropriate department staff. In responding to such a referral, the department should comply with its media policy and ensure the request is responded to with accurate and timely information.

8. EMERGENCY PUBLIC INFORMATION

In the event of an emergency, the City's *Emergency Operations Plan* designates the City Manager's Director of Communications as the Emergency Public Information Officer. The plan also designates a line of succession to this responsibility when the Director of Communications is absent or when additional shifts are required.

As part of their normal responsibilities, communications staff in the departments are also members of the City's Emergency Public Information Team. The City Manager's Communications Office coordinates regular training and exercises for staff involved in the emergency public information function.

Department directors should ensure that departmental emergency operations plans address the essential communications component of any departmental vulnerabilities. Plans should address who speaks for the department in an emergency, off-hour availability and contact information of key staff, and training. Departmental plans also should include the development of fact sheets and similar materials on operations, issues, and services that are likely to be of concern in an emergency.

Approved:

/s/ David Vossbrink
David Vossbrink
Director of Communications

June 21, 2016
Date

Approved for Posting:

/s/ Jennifer Schembri
Jennifer Schembri
Director of Employee Relations
City Manager's Office

June 21, 2016
Date

Agenda Item IV.B.1.,

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**[C&C of HNL Gov't Function
During Emergencies and
Disasters, Dated 03-01-13]**

DEPARTMENT OF EMERGENCY MANAGEMENT
CITY AND COUNTY OF HONOLULU
650 SOUTH KING STREET • HONOLULU, HAWAII 96813
PHONE: (808) 723-8960 • FAX: (808) 523-3439

KIRK CALDWELL
MAYOR



MELVIN N. KAKU
DIRECTOR

PETER J.S. HIRAI
DEPUTY DIRECTOR

May 20, 2013

TO: All Department and Agency Heads
FROM: Melvin N. Kaku, Director
Department of Emergency Management
SUBJECT: Distribution of Mayor's Directive Number 13-1 Dated March 1, 2013

Melvin N. Kaku 5/20/13

The attached Directive replaces Mayor's Directive 06-01. It compliments the City Emergency Operations Plan and is effective upon receipt. The Department of Emergency Management has sent courtesy copies to the Hawaii Government Employees Association and the United Public Workers.

Please remove previous copies of Directive 06-01 from your files, insert Mayor's Directive 13-1 and ensure all employees are aware of the new directive's contents. Should you have any questions on this matter, please do not hesitate to call Peter Hirai, Deputy Director at 723-8960.

Attachment

13 MAY 21 48:48
MAYOR'S OFFICE
CITY & COUNTY
HONOLULU

DISTRIBUTION LIST:

Mayor's Office
Managing Director's Office
Budget and Fiscal Services
Corporation Counsel
Ethics Commission
Customer Services Department
Department of Community Services
Department of Design and Construction
Department of Enterprise Services
Department of Facility Maintenance
Department of Human Resources
Department of Information Technology
Department of Parks and Recreation
Department of Planning and Permitting
Department of Transportation Services
Honolulu Emergency Services Department
Honolulu Fire Department
Honolulu Police Department
Liquor Commission
Medical Examiner Department
Royal Hawaiian Band
Board of Water Supply
Neighborhood Commission Office
Office of Culture and Arts
Office of Economic Development
Office of Housing

**OFFICE OF THE MAYOR
CITY AND COUNTY OF HONOLULU**

530 SOUTH KING STREET, ROOM 300 * HONOLULU, HAWAII 96813
PHONE: (808) 768-4141 * FAX: (808) 768-4242 * INTERNET: www.honolulu.gov



KIRK CALDWELL
MAYOR

EMBER LEE SHINN
MANAGING DIRECTOR
GEORGETTE T. DEEMER
DEPUTY MANAGING DIRECTOR

DIRECTIVE NO. 13-1
March 1, 2013

MEMORANDUM

TO: ALL DEPARTMENT AND AGENCY HEADS
FROM: KIRK CALDWELL, MAYOR *Kirk Caldwell*
SUBJECT: CITY AND COUNTY OF HONOLULU GOVERNMENT FUNCTION
DURING EMERGENCIES AND DISASTERS

Purpose

To establish Emergency Management policies and procedures applicable to planning, preparedness, response, and recovery operations, and to outline and provide for Department, Agency, and individual assignments during impending or actual emergencies and disasters. This Directive supersedes Mayor's Directive 06-01, dated April 25, 2006.

I. **SUMMARY**

- All government employees of the executive branch, whether Civil Service or Exempt, support Emergency Management and Public Safety operations during emergencies or major disasters
- All employees will further be categorized as either "Disaster Response Workers" or "Disaster Support Workers"
- Each Department and Agency of the City and County of Honolulu (hereafter referred to as the "City") is a supportive element of our Emergency Management system
- Every Department and Agency of the City must be fully prepared to scale and adapt its operations to meet the diverse requirements that will develop within the dynamic nature of emergencies and disasters

II. POLICY

Each Department and Agency in the City shall identify critical functions consistent with each respective Department/Agency Continuity of Operations (COOP) plan. These COOP plans must be maintained, will be implemented during times of impending or actual emergencies and disasters. In addition, all City Departments and Agencies are responsible to create and maintain operational response plans or standard operating guidelines (SOG).

Departments/Agencies will pre-designate employees to staff critical functions. These employees, known as "**Disaster Response Workers**", will assume their designated roles during times of emergencies and disasters in order to facilitate planning, preparedness, response, and recovery operations within their Departments or Agencies.

All other employees who are not pre-assigned to response and recovery operations by their respective departments or agencies are categorized as "**Disaster Support Workers**", and will be assigned to augment various City functions in emergency operations. Such assignments may be made by their respective Department or Agency, or by the Department of Emergency Management (DEM). Most will be called upon to assist in shelter operations; however, assignment to other functions during emergencies and disasters may also be required.

Access or functional needs will be considered when making such assignments, as well as specialized skills and experience.

III. GENERAL

The Mayor of the City and County of Honolulu is directly responsible for planning, preparedness, response, and recovery operations for the City. These functions are managed by the DEM and include:

1. Maintenance of an effective public information, notification, and warning system
2. Preparation and issuance of emergency instructions for public safety
3. Coordination of Police, Fire, Rescue, Emergency Medical, and other emergency services and actions for the preservation of life, incident stabilization, the protection of property and the environment, and to meet basic human needs

To carry out these responsibilities, it is incumbent on each Department and Agency of the City to be fully prepared, not only to continue its normal functions, but to scale its operations to meet the diverse challenges that will develop under emergency and disaster conditions.

All government employees of the Executive Branch, whether Civil Service or Exempt, are considered Emergency Management workers and each Department and Agency are supportive elements of our Emergency Management system. Time will be made available from normal duties to allow employees to participate in scheduled Emergency Management training programs and exercises.

An important element in maintaining public safety is the timely initiation of preventive measures that are derived from regular daily functions, programs, and services.

IV. PROCEDURES

The President of the United States may declare an emergency or major disaster – in keeping with the National Response Framework – when conditions warrant such action. In the case of an emergency or major disaster, the Presidential Declaration would be issued at the request of the Governor of Hawaii through the U.S. Secretary of Homeland Security.

The Governor may proclaim a Major Disaster or a State of Emergency as authorized by Hawaii Revised Statutes Chapters 127 and 128, which will be binding on all counties and activities throughout the State, except for Federal Armed Forces.

Prior to a State or Federal declaration, the Mayor may declare a state of disaster or emergency in accordance with Article 11, Chapter 41, Revised Ordinances of Honolulu, 1990, in the event of a major peacetime disaster or the onset of an enemy attack.

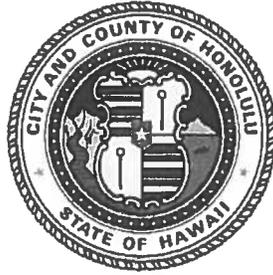
V. RESPONSIBILITIES

Each Department and Agency of the City is assigned specific duties and responsibilities in the City and County of Honolulu Emergency Operations Plan (EOP) and its annexes and appendices. In addition, all Departments and Agencies are required to:

1. Understand and periodically review, and update the City EOP as approved by the Mayor, with special attention to responsibilities assigned to the respective Department/Agency.
2. Continually review, update, and understand Department/Agency operations plan as prepared by the Department/Agency, with special attention to critical functions that must be operating continuously or reinstated immediately.
3. Identify those Department and Agency employees who are Disaster Response Workers and are pre-assigned to services that are critical to continuing operations and/or essential services during impending or actual emergencies or disasters (refer to Appendix 5 of the City EOP Basic Plan and the respective Department/Agency COOP Plan).
4. Designate a Departmental Emergency Coordinator (DEC) and a minimum of two Alternate Emergency Coordinators (AEC) for their organization with responsibility for coordination of emergency planning and liaison with DEM. Provide a copy of this list to DEM and update it whenever there is a change.

5. Assign Department/Agency DEC or AEC to the City's Emergency Operations Center (EOC) and other functions as outlined in the City EOP.
6. Maintain a listing of Disaster Response Workers, including employee name, position, day / night contact telephone numbers, e-mail and physical address. Ensure that Disaster Response Workers are aware of their assigned responsibilities and are properly trained and qualified to perform such duties on a continuing basis.
7. Maintain a listing of Disaster Support Workers, including employee name, position, day / night contact telephone numbers, e-mail and physical address. Work with the DEM to assign such employees to shelter operations duties and designate time for the training of such employees.
8. Furnish personnel, equipment, and facilities to support active emergency or disaster operations of other Departments/Agencies if not otherwise being utilized.
9. Ensure that each employee knows what action to take upon receipt of an alert or warning message, or in the event of an emergency or disaster. Employees, whether Disaster Response Worker or Disaster Support Worker, should be briefed on what to do and where to report should an emergency or disaster prevent effective communications (i.e. to work or to the nearest yard or shelter)
10. Prepare, maintain, and exercise plans for continuity or deferment of government functions in times of emergency or disaster; including respective Department/Agency COOP and Continuity of Government (COG) plans and programs.
11. Prepare, maintain, and exercise plans, standard operating guidelines, and checklists as needed to fully implement all required emergency responsibilities and duties.
12. Ensure time is allotted for all employees to participate in scheduled training and exercises commensurate with their roles during a disaster or emergency.
13. Ensure all government employees of the Executive Branch, whether Civil Service or Exempt, complete at minimum, Incident Command System (ICS) training through the Federal Emergency Management Agency (FEMA), Independent Study Program course "Introduction to the Incident Command System, ICS 100" (IS-100.b) and "National Incident Management System (NIMS) An Introduction" (IS-700a). These courses provide a basic understanding of ICS that is used by the City to plan, prepare for, respond to, and recover from emergencies and disasters. These and other courses are available online, free-of-charge, through the Federal Emergency Management Agency's (FEMA) Independent Study Program at <http://training.fema.gov/IS/NIMS.asp>.

**Agenda Item IV.B.2.,
Page 3
[Emergency Operations,
Standard Operating
Guideline Dated May 1, 2014]**



**Office of the Mayor
Office of the Managing Director**

CITY AND COUNTY OF HONOLULU

Emergency Operations

STANDARD OPERATING GUIDELINE

May 1, 2014

OFFICES OF THE MAYOR AND MANAGING DIRECTOR
STANDARD OPERATING GUIDELINE

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OFFICES OF THE MAYOR AND MANAGING DIRECTOR
STANDARD OPERATING GUIDELINE

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OFFICES OF THE MAYOR AND MANAGING DIRECTOR
STANDARD OPERATING GUIDELINE

I. PURPOSE

Establish guidelines for notification, activation, operations, and deactivation of the Office of the Mayor (MAY) and the Office of the Managing Director (MDO).

II. APPLICABILITY

This standing operating guideline (SOG) pertains to the offices of the Mayor, Managing Director, Economic Development, Neighborhood Commission, Culture and the Arts, and Office of Housing.

III. AUTHORITY

- A. Charter of the City and County of Honolulu
- B. Revised Ordinances of the City and County of Honolulu
- C. Hawaii Revised Statutes Chapter 128
- D. DHR Administrative Directive 220

IV. RESPONSIBILITIES

- A. Mayor: As the Senior Elected Officer of the City and County of Honolulu (City), the Mayor is statutorily responsible for the safety and security of the residents and non-residents of the City. The Mayor will make executive decisions to protect and preserve life and property, and minimize the effects of emergencies and disasters in the City.
- B. Managing Director (MD): Assist the Mayor, and is designated as Acting Mayor in the absence of the Mayor. During extended operations, the MD will alternate with the Mayor to serve as the Chief Executive within the City Emergency Operations Center.
- C. Mayor's Cabinet: The Departmental Directors and Deputies are responsible, by the authorities of the City Emergency Operations Plan (EOP), to execute their departmental responsibilities. If they are not directly involved in this execution in their respective Departmental Operations Center (DOC), they will report to the Mayor's Conference Room in Honolulu Hale or to another designated location to support disaster operations.
- D. Executive Directors: The executive directors of the Office of Economic Development (OED), Neighborhood Commission Office (NCO), Office of Housing (HOU) and Mayor's Office of the Culture and the Arts (MOCA) all provide administrative support to the Cabinet during an emergency or disaster, in the Mayor's Conference Room or at another location designated by the Mayor or designee.
- E. Department Emergency Coordinator/Alternate Coordinator(s): The coordinators are responsible for day-to-day planning and liaison with the Department of Emergency Management and for directing MAY/MDO staff during an emergency or disaster as assigned by Mayor or designee.
- F. Employees of the Mayor's and Managing Director's Offices: All employees in both offices will support the Mayor and Managing Director at

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the City EOC or will support the Cabinet in the Mayor's Conference Room or another designated location. The amount of employees required will depend upon the scope of the disaster and will be determined based on the amount of support or response required.

V. CONCEPT OF OPERATIONS

A. DISASTERS AND EMERGENCIES

The scope and scale of the disaster or emergency will determine what level of staffing is required of the Mayor's and Managing Director's Offices.

1. Most small disasters occur at the local level, and will typically not require any presence. The Mayor will be briefed by DEM, and may go to the City EOC accompanied by one or two persons to receive a briefing or provide guidance.
2. Medium level disasters, such as major flooding or a damaging storm, may require additional staffing and may cause a team from the Mayor's Office to activate. In this case the Department Coordinators will determine the level of staffing based on the situation.
3. A large scale disaster will necessitate full EOC activation, most often for a tsunami warning. The Mayor will establish control in the EOC and all personnel will be called and activated to work from the City EOC; depending upon the expected event duration staff may be split into pre-designated A and B shifts.
4. In the most severe cases, most likely a hurricane or large terrorist attack, it will be necessary not only to activate all staff, but to automatically activate pre-designated A and B shifts.

B. SENIOR POLICY GROUP (SPG)

1. The senior policy group will be convened by the Mayor or designated representative, and will meet at the onset of a medium or larger disaster to develop a common set of objectives, an initial action plan, and priorities of response.
2. The group consists of the director/chief of the following:
 - Mayor & Managing Director
 - Mayor's chief of staff
 - Corporation Counsel
 - Emergency Management
 - Police
 - Fire
 - Emergency Services
 - Facility Maintenance
 - Environmental Services
 - Transportation Services
 - Board of Water Supply

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3. If the Director/Chief is unavailable, only the deputy director(s) or deputy chief(s) of the above departments will sit on the SPG
4. The SPG meets in an available conference room adjacent to the City EOC, or in available rooms within Honolulu Hale. It would not meet in either the Mayor's Conference Room or the City EOC to ensure privacy and to engender frank discussion and strategic decisions.
5. The Mayor will determine if additional persons need to be invited to the SPG.

C. EMERGENCY OPERATIONS CENTER (EOC)

*Any person designated to support EOC operations should automatically report in physically to the EOC in the event of a total loss of communications or if the event is (or may become) catastrophic. Some examples include a large earthquake or terrorist attack.

1. During a short term EOC operation (expected duration of 12 hours or less), the Mayor and senior staff will provide executive leadership and support to the EOC; the Mayor will lead operations with the Managing Director and two or three senior communications staff assisting. The Department Emergency Coordinator will determine any additional staffing needs and recall them as necessary off the telephone roster.
2. During extended EOC operations (expected duration of more than 12 hours), executive leadership in the EOC will be split between the Mayor and the Managing Director by designating an A Team (Mayor) and a B Team (Managing Director). Each Team will rotate 12-hours on shift, then 12-hours off shift with a 1 hour transition overlap. That will allow for executive decisions to be made at all times and ensure continuity of government during extended operations. The executive staff supporting the Mayor will also be designated into the A and B Teams to allow for 24-7 support.
3. Mayor: The Mayor is the executive lead for the City and will be responsible for the major decisions in the City. Although responders and other leaders may make recommendations, only the Mayor/MD will make these decisions. Some major decisions include:
 - ✓• Evacuating parts or all of the City
 - ✓• Major sheltering or refuge operations
 - ✓• Workforce release or excusal
 - ✓• Activating all Disaster Support Workers
 - ✓• Declaring an Emergency for the City

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4. Managing Director: Second in line by City Charter to succeed the Mayor, and will take executive lead for the decisions above during the B Team shift.
5. Department Emergency Coordinator/Alternate Coordinator(s): The coordinators will assess the level of MAY/MDO participation required in the EOC, and recall staff as appropriate. Also institute pre-designated A and B Team staffing and coordinate shift change briefings.
6. MAY/MDO Staff: The executive staff will be pre-designated into A and B Teams to maximize support to executive decision making. If a response is predicted to extend beyond 12 hours, a decision will be made to release one shift in order to preserve staff for extended operations.
7. Absence of the Mayor: If the Mayor is absent from the City or unable to assume leadership, the MD will take executive lead of the A Team and the Director of Budget and Fiscal Services will become the executive lead of the B Team.
8. Absence of the Mayor and the Managing Director: In the event of the absence or inability to contact either the Mayor or MD, the Director of Budget and Fiscal Services will become the executive lead of the A Team, and the Deputy Managing Director will be the executive lead of the B Team. In the event the Mayor or MD presents themselves to the EOC, they automatically assume the executive lead for the City.

D. CABINET AND OTHER APPOINTED OFFICIALS

*Cabinet members should automatically report in physically to the Mayor's Conference Room in the event of a total loss of communications or if the event is (or may become) catastrophic. Some examples include a large earthquake or terrorist attack. Exceptions are the Police Chief, Fire Chief, and any other executive who is designated to report to their Department Operations Center (DOC).

1. Cabinet and appointees: If Department Directors, Deputies, and other appointees aren't involved directly in response or recovery operations, they will report to the Mayor's Conference Room in Honolulu Hale (or another designated location) to provide support and assistance. Directors and/or Deputies can also direct operations from the Conference Room through their Coordinators in the EOC.
2. Executive staff: Executive staff shall be pre-designated to provide

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support operations from the Mayor's Conference Room. Some of the duties may include:

- Providing updates to the City Council Chair, Prosecuting Attorney, and State Legislature (as appropriate)
- Providing updates to social network sites
- Providing a ready staffing pool to relieve EOC personnel

E. STRATEGIC COMMUNICATIONS

1. The Mayor, as the City's chief executive, is solely responsible for all strategic communications. This includes messaging through press releases, press conferences, press statements, social media, but doesn't include pre-formatted messages issued through the Emergency Alert System (EAS).

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THIS SECTION MAY BE REMOVED FROM THIS SOG AND DUPLICATED FOR USE DURING EACH EVENT

ACTION	INITIATING/ COORD DEPT	DATE/TIME COMPLETE	CHECK/ INITIAL
1. Report to EOC	MAY/MDO		
2. Notify MAY/MDO Staff, activate A &/or B Team	MAY/MDO		
3. Determine initial/ongoing situation	MAY/MDO		
4. Determine approximate timeline (how many hours before onset?)	DEM		
5. Ensure Common Operating Picture (COP) is posted for Mayor/MD	DEM		
6. Ensure adequate EOC staffing for the operation by Depts./Agencies (see att 1, key departmental roles)	DEM		
7. Initiate liaison for City Council Chair & Prosecuting Attorney	MAY/MDO		
8. Determine timing for key actions:			
• Activate Warning Sirens & Emergency Alert System (EAS)	DEM		
• Evacuate high-hazard areas	HPD		
• Emplace roadblocks at key intersections	HPD		
• Release and/or excuse workforce	DHR/COR		
• Mayor's Declaration of Emergency	COR/MAY/MDO		
• Activate Response Workers; determine Support Worker needs	DHR/COR/DEM		
9. Determine Incident Action Plan	DEM		
10. Determine need for support at Mayor's Conference Room; activate as necessary and recall Dept/Agency heads and Appointees	NCO/OED/ MOC/A/HOU		
11. Assist with Emergency Public Information (EPI) via media:	MAY/DEM/CSD		
• What does the public need to know?			
• When and where does the public need to evacuate?			
• What refuge or shelter locations are open?			

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ACTION	INITIATING/ COORD DEPT	DATE/TIME COMPLETE	CHECK/ INITIAL
<ul style="list-style-type: none"> • Who should remain-in-place or shelter-in-place? 			
<ul style="list-style-type: none"> • When should the public expect onset of hazardous conditions? 			
12. Assign social media update person(s)	MAY/MDO		
13. Initiate workforce release and/or excusal:	MAY/DHR/COR		
<ul style="list-style-type: none"> • Determine timing, based on evacuation & onset of hazard 			
<ul style="list-style-type: none"> • Administrative time off? Union contract issues? 			
<ul style="list-style-type: none"> • Letter template in Z:/COR 			
<ul style="list-style-type: none"> • Determine need for Disaster Support Workers w/ Depts 			
<ul style="list-style-type: none"> • Coordinate Federal Executive Board (FEB) & State Dept of Human Resource Development (DHRD) decisions 			
<ul style="list-style-type: none"> • Coordinate decision with largest corporate entities 			
14. Maintain liaison for City Council Chair, Prosecuting Attorney, Legislature	MAY/MDO		
15. Initiate planning for Damage Assessment/Rapid Needs Assessment	DEM/DPP/DDC		
<ul style="list-style-type: none"> • Executive flyover by HPD/HFD helicopter post-disaster 	HPD/HFD/DEM		
<ul style="list-style-type: none"> • Ensure all public & private property is addressed 	DPP/DDC		
<ul style="list-style-type: none"> • Ensure critical facilities are addressed 	BWS/ENV		
<ul style="list-style-type: none"> • Cover roads, bridges, dams if earthquake or explosion, etc 	DDC		
16. Initiate Declaration of Emergency: Charter section 13-112	COR		
<ul style="list-style-type: none"> • Letter template in Z:/COR 			
17. Determine need for additional shifts A & B Team	MAY/MDO		
18. Maintain liaison for City Council Chair & Prosecuting Attorney	MAY/MDO		
19. Determine immediate actions post-disaster:	MAY/DEM		

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	ACTION	INITIATING/ COORD DEPT	DATE/TIME COMPLETE	CHECK/ INITIAL
	• Remove roadblocks, release Responders back to stations	DEM/HPD		
	• Search & rescue for injured	HFD/HPD/EMS		
	• Recover deceased	MED/HFD/HPD		
	• Aerial Rapid Needs Assessment (RNA) using helicopter	HFD/HPD/DEM		
	• Release public from shelters/refuge, announce safe travel	MAY/DEM/CSD		
	• Restrict travel to damaged/stricken/contaminated areas	DEM/HPD		
	• Set up congregate care shelters for those with destroyed homes	DEM/ARC/DPR		
	• Set up Points of Distribution (POD) for food/water/medicine distro	DEM/ARC/DPR		
	• Determine status of water, sewer, electricity, gas, communication networks	DEM/BWS		
20.	Post-disaster Emergency Public Information:	MAY/DEM/CSD		
	• Safe areas to travel, and dangerous areas to avoid			
	• Congregate care shelters for those without homes to return			
	• Food, sewer, and water availability, advisories			
	• Points of Distribution (POD) if needed for food/water/meds			
21.	De-activation of EOC, returning to normal operations	MAY/DEM		
22.	Final press releases	MAY/DEM/CSD		
23.	After Action Review, i.e. "Hotwash"	DEM		
24.	Recognition of responders, volunteers	MAY/DEM		
25.	Appointing City Recovery Manager iaw National Recovery Framework	MAY/DEM/OED		

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Disaster responsibilities by City Department/Agency

Attachment 1

Dept	Tier	DOC?	Major Disaster Functions
BWS	I	YES	<ul style="list-style-type: none"> • Maintain or restore water service • Control, safeguard, and fix water infrastructure • Coordinate emergency water • Keep hydrant system running
BFS	III	No	<ul style="list-style-type: none"> • Provide City budget and impact of disaster resources • Provide emergency procurement • Assist DIT with damage assessment (real property values)
CCL	III	No	<ul style="list-style-type: none"> • Enact ordinances for emergencies/disasters • Approve requests for emergency expenditures/acquisitions
DCS	II	No	<ul style="list-style-type: none"> • Assist in notification of homeless through providers • Assist in planning emergency housing for victims • Assess disaster impacts on elderly and physically challenged
COR	II	No	<ul style="list-style-type: none"> • Draft emergency proclamations and ordinances • Provide legal advice and represent City officials • Develop "hold harmless" and other legal documentation • Assist in preparing and executing contracts
CSD	II	No	<ul style="list-style-type: none"> • Assist in disseminating emergency instructions/information • Assist in EOC information center/call center • Coordinate interpreter support • Monitor news media release/broadcast • Preserve essential City records
DDC	II	No	<ul style="list-style-type: none"> • Assist in engineering support • Notify contractors to take protective measures on City projects • Assess damages to City facilities and infrastructure • Coordinate contracting, engineering, and construction management

Tiers:

I: Emergency responder or public works; always responds to any level emergency

II: Essential service, periodically responds to larger disasters

III: Other service, only would respond to full scale disaster scenario

DOC=Departmental Operations Center. If yes, there is a dedicated DOC where the director and senior staff would operate.

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Disaster responsibilities by City Department/Agency

Attachment 1

Dept	Tier	DOC?	Major Disaster Functions
DEM	I	No	<ul style="list-style-type: none"> • Activate and operate City EOC • Advise Mayor • Maintain Emergency Operations Plan, assist other City entities in disaster planning • Ensure COOP and COG • Conduct/coordinate exercises and training • Disseminate emergency public information and press releases • Liaise with state, federal, and private partners
HESD	I	Yes	<ul style="list-style-type: none"> • Provide emergency medical services • Assume incident command if applicable • Provide lifeguard services, evacuate beaches • Coordinate emergency medical services with private providers • Coordinate medical response planning and chemical/ biological/ radiological/ nuclear planning
DES	II	No	<ul style="list-style-type: none"> • Provide facilities for sheltering, refuge, or resource use • Protect zoo
ENV	I	No	<ul style="list-style-type: none"> • Maintain or restore sewer service • Control, safeguard, and fix sewer infrastructure • Coordinate emergency sewer service • Keep sewage treatment plants running • Coordinate debris management operations
DFM	I	No	<ul style="list-style-type: none"> • Coordinate emergency road clearance and repairs • Maintain outdoor siren warning system • Provide heavy equipment support to responders • Preserve, protect, and deploy City vehicle fleet • Preserve and protect all public buildings, esp FMB • Keep FMB and other essential City buildings running • Keep City streams and culverts clear

Tiers:

I: Emergency responder or public works; always responds to any level emergency

II: Essential service, periodically responds to larger disasters

III: Other service, only would respond to full scale disaster scenario

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Disaster responsibilities by City Department/Agency

Attachment 1

Dept	Tier	DOC?	Major Disaster Functions
HFD	I	Yes	<ul style="list-style-type: none"> • Maintain firefighting operations • Assume incident command if applicable • Assist in notifying the public with public address systems • Provide helicopter support to the City & County of Honolulu • Provide search and rescue after a disaster • Assist in providing emergency medical services
HART	II	No	<ul style="list-style-type: none"> • Provide engineer support to EOC • Evacuate and protect construction site/equipment
DHR	III	No	<ul style="list-style-type: none"> • Plan for and implement Volunteer Processing Centers • Develop and maintain occupational inventories of workers • Assist in scheduling disaster training
DIT	II	No	<ul style="list-style-type: none"> • Data processing and IT support to EOC operations • Assist in collating damage assessment information • Safeguard City critical files and systems • Maintain public safety radio system
MAY/ MDO	II	No	<ul style="list-style-type: none"> • Direct emergency operations • Provide executive decisions • Provide strategic communications • Provide staffing via MOCA, OED, NCO, HOU
MED	I	No	<ul style="list-style-type: none"> • Recover and process remains • Establish temporary morgues • Coordinate recovery and identification of the dead • Provide procedures for handling remains • Collect vital records and statistics on deceased
DPR	I	No	<ul style="list-style-type: none"> • Provide shelter managers • Provide facilities for shelters, refuge, and other uses • Assess damage to parks facilities
DPP	II	No	<ul style="list-style-type: none"> • Provide community damage assessment
HPD	I	Yes	<ul style="list-style-type: none"> • Provide law and traffic enforcement • Assume incident command if applicable • Provide roadblocks • Provide evacuation assistance (public address) notices

Tiers:

I: Emergency responder or public works; always responds to any level emergency

II: Essential service, periodically responds to larger disasters

III: Other service, only would respond to full scale disaster scenario

DOC=Departmental Operations Center. If yes, there is a dedicated DOC where the director and senior staff would operate.

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Disaster responsibilities by City Department/Agency

Attachment 1

Dept	Tier	DOC?	Major Disaster Functions
RHB	III	No	<ul style="list-style-type: none"> • Assist in shelter operations
DTS	I	No	<ul style="list-style-type: none"> • Provide TheBus and HandiVan evacuation • Provide traffic control center operations • Restore traffic signals post-disaster

Tiers:

I: Emergency responder or public works; always responds to any level emergency

II: Essential service, periodically responds to larger disasters

III: Other service, only would respond to full scale disaster scenario

DOC=Departmental Operations Center. If yes, there is a dedicated DOC where the director and senior staff would operate.

Department Operation Centers (DOC) locations and contact

Dept	Location	Contact numbers
BWS	Board of Water Supply Information Technology (IT) Annex Engineering Building courtyard level 630 South Beretania Street Honolulu, Hawaii 96813	748-5791 748-5792 748-5793 748-5794 748-5795 748-5796
HESD	HESD Conference Room 3375 Koapaka Street, 2 nd floor Room F238	Conference room: 723-7836 Chief Patty Dukes: 864-2096 Asst Chief Wayne Kruse: 864-7739
HFD	HFD Headquarters Second Floor 636 South Street Honolulu, Hawaii 96813-5007	723-7069 723-7068
HPD	HPD Alapai Police Headquarters Fourth Floor Executive Conference Room 801 South Beretania Street Honolulu, Hawaii 96813	Telephones installed upon demand; none exists, call Chief's office or Chief's cell phone