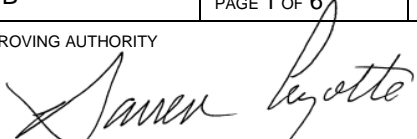
 Corrections and Community Supervision DIRECTIVE	TITLE Functions of the Division of Facilities Planning and Development		NO. 2119
			DATE 11/3/2023
SUPERSEDES DIR #2119 Dtd. 05/10/23	DISTRIBUTION A B	PAGES PAGE 1 OF 6	DATE LAST REVISED
REFERENCES (Include but are not limited to) DOB Budget Bulletins B-300, B-300A; Directives #2121, #2122, #2123, #3051, #3052, #3053, #3054, #3055, #3056, #3057, #3111, #4071, #4908; Facility BLUE Books		APPROVING AUTHORITY 	

- I. DESCRIPTION:** The Division of Facilities Planning and Development is a Central Office unit responsible for the capital planning, budgeting, construction, and rehabilitation of the Department's correctional facilities, as well as Central Office oversight of the plant operation and maintenance at each facility.

The Division is categorized into four functional and support units responsible for meeting the goals and needs of the Department. These units and their respective functions are listed below.

<u>Facilities Planning</u>	<u>Finance</u>	<u>Technical Services</u>	<u>Security Systems Support</u>
<ul style="list-style-type: none"> • Capital Budget Process • Minor Rehabilitation • Project Management • Field Checks • Site Visits • Form #1612, "Alteration/Construction Request" • Five-Year Capital Planning • BLUE Book Maintenance • Capital Asset Management • Emergency Assistance 	<ul style="list-style-type: none"> • Budget Submission • Financial Accounting • Budget Journals • Staff Housing 	<ul style="list-style-type: none"> • Energy Conservation • Environmental Compliance • Emergency Assistance • Enterprise Asset Management (EAM) System • Building Code Compliance • State and Federal Codes • Fire Alarm Systems • Technical Assistance • Staffing and Training • Oversight of Facility Plant Operations and Maintenance • Water and Wastewater Treatment Oversight • Municipal/Utility Negotiations 	<ul style="list-style-type: none"> • Perimeter Security and CCTV Systems • Product Evaluation Committee • Maintenance of Perimeter Fences • Locking and Detention Hardware • Intercom, Public Address, Incarcerated Individual Radio/TV, and Nurse Call Systems • Civilian Personal Alarms • Emergency Assistance

- II. FACILITIES PLANNING:** The Facilities Planning Unit is comprised of Facility Planner 3 and Facility Planner 2 positions. Each Facility Planner 2 is assigned a group of facilities and is responsible for carrying out the functions listed above. The Facility Planner 3s supervise the Facility Planner 2s and perform additional functions relating to the Capital Construction Program.
- A. Capital Budget Process: The capital budget process is designed to add, delete, modify, or rehabilitate the State's capital assets that are under the supervision and use of the Department of Corrections and Community Supervision (DOCCS). A capital asset is defined as a fixed asset or asset of a long-term tangible character (e.g., land, buildings, and improvements).
 - B. Minor Rehabilitation Process: The minor rehabilitation process is similar to the capital budget process but usually involves work with a total construction value of \$50,000 or less. The work performed is typically minor in nature and administered by the facility utilizing facility maintenance staff or local vendors/contractors.
 - C. Project Management: The Facility Planner 2 is responsible for initial project scope, schedule, budget, project tracking, coordination with the project stakeholders, and project close-out (via Form #OGS-391) for all capital construction and rehabilitation projects for their assigned facilities. The Office of General Services (OGS) Division of Design and Construction performs the design and construction activities for DOCCS capital projects.
 - D. Field Checks: Field checks are made to monitor project progress and to ensure projects are completed in accordance with DOCCS standards and operation procedures.
 - E. Site Visits: Periodic site visits are made to monitor the DOCCS Capital Construction and Minor Rehabilitation Programs. Site visits include a review of all active design and construction projects and physical plant changes at each assigned correctional facility. Monitoring projects includes, but is not limited to, attending OGS project meetings, reviewing construction schedules and contractor performance, verifying compliance with DOCCS standards, tracking change orders and project alteration requests, and developing/scoping projects to be included in the facility capital budget request. Facility Planners also review and assist with compliance of applicable Department directives pertaining to the Capital Construction Program, including but not limited to:
 - 1. Directive #3052, "Request for Maintenance Work"
 - 2. Directive #3053, "Alterations/Construction Request"
 - 3. Directive #3057, "Construction Permits"
 - 4. Directive #4071, "Guidelines for Construction Projects"
 - F. Form #1612, "Alterations/Construction Request": Alterations/construction requests (Form #1612) require review and approval of all changes to the physical plant of each facility as described in Directive #3053. Facilities Planning staff review and coordinate the disposition of Form #1612 submissions.

- G. Five-Year Capital Plan: The Five-Year Capital Plan is a multi-year list of capital projects projected for the next five fiscal years, including the current budget cycle. The purpose of the list is to permit the Governor's Office, State Legislature, and DOCCS to anticipate capital needs and expenditures. Facility Planners monitor and update the Five-Year Capital Plan for each assigned facility based upon changing needs and priorities of the facility and/or Department.
- H. BLUE Book Maintenance: Facilities Planning staff are responsible for maintaining and updating all facility Building and Land Use Evaluation (BLUE) Books to reflect accurate and up-to-date information concerning facility layout and building interior configurations. Physical changes to a facility's BLUE Book which result from capital projects, minor rehabilitation projects, or the Form #1612 process can only be coordinated through Facilities Planning and Development. No changes to the facility BLUE Books are permitted at the facility level.
- I. Capital Asset Management: Facilities Planning monitors, records, and reports on DOCCS capital assets involving buildings and lands.
- J. Emergency Assistance: Either Facilities Planning or Technical Services personnel are reachable 24 hours per day, seven days a week to assist with emergency situations involving facility infrastructure systems and/or physical plant equipment. Security Systems Support personnel are also reachable 24 hours per day, seven days a week to assist and coordinate emergency response in connection with security systems that do not involve the physical plant.

III. FINANCE: The Finance Unit is comprised of an Associate Budgeting Analyst, Senior Budgeting Analyst, and administrative support staff positions. The Finance Unit provides management, oversight, and disbursement of the Department's capital funds.

- A. Budget Submission: The Finance Unit prepares the capital budget component of the Department's annual budget request.
- B. Financial Accounting: The Finance Unit establishes appropriate accounting codes for DOCCS capital and minor rehabilitation projects to enable the monitoring of capital expenditures and disbursements.
- C. Budget Journals: The Finance Unit is responsible for the transmittal of budget journals to fund capital and minor rehabilitation projects.
- D. Staff Housing: The Finance Unit calculates maintenance rental rates per the Division of Budget (DOB) Bulletin B-300 and/or B-300A for Department-owned staff housing. The unit also tracks the occupants and turnover in each housing unit.

IV. TECHNICAL SERVICES: The Technical Services Unit consists of the Supervisor of Technical Services, a Professional Engineer 1 (Environmental), three Plant Superintendent B positions, and an Energy Conservation Technical Specialist. Each Plant Superintendent B is responsible for specific facilities and regions of the State. A Plant Superintendent C assigned to the New York City facilities also supports the Technical Services Unit. The Technical Services Unit provides support to the ongoing capital budget process and direct technical assistance to each assigned facility. The Technical Services Unit also provides support on a wide range of multi-disciplined technological issues to the Department.

- A. Energy Conservation: The Energy Conservation Technical Specialist administers and maintains the DOCCS Energy Conservation Program by initiating energy conservation projects, monitoring energy and utility consumption, identifying renewable energy opportunities, researching new energy saving measures, staying informed on energy conservation trends and products, and working with other State agencies, authorities, and private firms.
- B. Environmental Compliance: The Professional Engineer 1 (Environmental) administers the DOCCS Environmental Compliance Program and maintains knowledge of applicable State and Federal environmental regulations, monitors environmental performance of each facility, develops proactive programs designed to prevent environmental violations, and initiates remediation projects to mitigate environmental concerns and liabilities.

Environmental Compliance Checklists are completed monthly by each facility and copies are forwarded electronically to the Professional Engineer 1 (Environmental) using the form located within the "V" drive (V:\AA Environmental Forms\Environmental Checklists). All negative responses are identified and accompanied with explanations and proposals to correct the deficiencies. This information is shared with appropriate Executive staff for review and follow-up action, as necessary.

- C. Emergency Assistance: Either a Facility Planner or a Technical Services representative is reachable 24 hours per day, seven days a week to assist with emergency situations involving facility infrastructure systems and/or physical plant equipment. Security Systems Support Unit personnel are also reachable 24 hours per day, seven days a week to assist and coordinate emergency response in connection with the Security Systems Support personnel that do not involve the physical plant. The Technical Services Unit also coordinates purchases, maintains, and deploys the DOCCS portable emergency equipment (i.e., generators, boilers, light towers, pumps, heaters, etc.).
- D. Enterprise Asset Management (EAM): Technical Services personnel monitor, train, and assist facilities in the utilization of the EAM system for the maintenance, powerhouse, and vehicle maintenance operations.
- E. Building Code Compliance: Appropriate staff within Facilities Planning are designated as the DOCCS Code Enforcement Officer. These staff review construction plans, issue building permits, coordinate construction inspections, and provide the final Certificate of Occupancy for small in-house projects performed by individual facilities under the Minor Rehabilitation Program.
- F. State and Federal Codes: Facilities Planning personnel review and provide guidance on various State codes and Federal regulations, including: New York State Department of Health (drinking water standards), New York State Department of Labor (Boiler Codes, applicable Public Employees Safety and Health regulations), New York State Department of Environmental Conservation, New York State Public Service Commission (gas and electricity), United States Environmental Protection Agency, applicable United States Labor Department (Occupational Safety and Health Administration) standards, United States Department of Energy, and United States Army Corps of Engineers (wetlands).

- G. Technical Assistance: Technical Services personnel assist Facility Planners during the capital budget process by identifying critical projects related to the physical plant and facility infrastructure systems. Direct assistance is also provided to each facility, upon request, for issues related to the operation and maintenance of the building and powerhouse systems.
- H. Staffing and Training: Technical Services personnel identify critical staff shortages, assist in the development and maintenance of standardized staffing plans, and perform individual, regional, or statewide training of facility maintenance and powerhouse staff.
- I. Plant Operations and Maintenance Oversight: Technical Services personnel provide Central Office review and oversight of all maintenance and powerhouse operations. Periodic site visits are made to review the physical plant and infrastructure to ensure it is properly maintained and operating efficiently. Technical Services personnel also review and assist with compliance of applicable Department directives relating to the physical plant infrastructure, including but not limited to:
 - 1. Directive #2121, "Personal Protective Equipment"
 - 2. Directive #2122, "Permit-Required Confined Space Entry Procedures"
 - 3. Directive #2123, "Lockout/Tagout - Control of Hazardous Energy"
 - 4. Directive #3051, "Energy Conservation"
 - 5. Directive #3052, "Request for Maintenance Work"
 - 6. Directive #3054, "Emergency Generator and Portable Equipment"
 - 7. Directive #3055, "Incarcerated Individual Labor Projects"
 - 8. Directive #3056, "Refrigerants-Compliance with the Clean Air Act"
 - 9. Directive #3111, "Scheduled Maintenance/Reports"
- J. Water and Wastewater Treatment Plant Oversight: Technical Services personnel review plant operational data, performance standards, compliance objectives and achievements, and make recommendations for operational or capital improvements as necessary.
- K. Municipal/Utility Negotiations: Technical Services personnel provide technical input to the Office of Counsel to facilitate the development of legal agreements associated with water, wastewater, storm water systems, and electrical and natural gas contracts with corporate entities.
- L. Fire Alarm Systems: The Technical Services Unit assists in the preparation and bid of statewide fire alarm testing and maintenance contracts. Working closely with the Department's Fire and Safety Coordinator, annual inspections of the facility fire alarm systems are completed. This unit provides input to and works with OGS during the design and construction of new fire alarm systems and assists facilities with minor rehabilitation projects to repair and upgrade existing equipment that has become obsolete.

- V. SECURITY SYSTEMS SUPPORT UNIT:** The Security Systems Support Unit is comprised of a Facility Planner 3, a Facility Planner 2, and five Electronic Equipment Engineers. This unit monitors and repairs fire detection systems, perimeter security systems, incarcerated individual radios, public address, and closed-circuit television (CCTV) and audio monitoring systems.
- A. Perimeter Security and CCTV Systems: To comply with Directive #4908, "Facility Arsenals," Electronic Equipment Engineers inspect, test, and adjust Security/CCTV systems. Technical assistance is provided to facilities to maintain and repair electronic security systems. Capital projects are initiated to provide new systems that are required by the Department. Minor rehabilitation projects are initiated to upgrade system components to replace obsolete technology or perform minor repairs when necessary.
 - B. Product Evaluation Committee: The Security Systems Support Unit personnel work with other Department disciplines to review various types of emerging technology for potential use and/or implementation by the Department.
 - C. Maintenance of Perimeter Fences: The Security Systems Support Unit personnel coordinate and assist each facility with minor rehabilitation projects to maintain and repair fencing and vehicle/pedestrian sally port gates.
 - D. Locking and Detention Hardware: The Security Systems Support Unit personnel provide technical assistance for the repair of locking and detention hardware and assist with the coordination of minor rehabilitation projects to repair existing systems and devices. The unit is the primary contact for OGS during the design of projects involving new locking systems.
 - E. Intercom, Public Address, Incarcerated Individual Radio/TV, and Nurse Call Systems: The Security Systems Support Unit assists facilities with repairs and initiates minor rehabilitation projects and/or OGS projects to upgrade existing systems.
 - F. Civilian Personal Alarms: The Security Systems Support Unit personnel assist facilities with the repair of existing systems and facilitate the development of minor rehabilitation projects and/or OGS projects to replace or upgrade existing systems.
 - G. Technical support is available 24 hours per day, seven days a week to assist and coordinate emergency response in connection with the Security Systems Support Unit personnel that do not involve the physical plant.