I. **DESCRIPTION**: The Division of Facilities Planning and Development is a Central Office unit which has responsibility for the capital planning, budgeting, construction, and rehabilitation of the Department’s Correctional Facilities Statewide, as well as operational oversight of the maintenance and plant operation departments at each facility.

The Division of Facilities Planning and Development is categorized into three (3) functional units and one (1) support unit responsible for meeting the goals and needs of the Department. These units include:

- **Facility Planning Unit**
  - Capital Budgeting
  - Minor Rehab
  - Project Management
  - Field Checks
  - Site Visits
  - Alteration and Construction (1612)
  - Five Year Capital Plan
  - BLUE Book Maintenance
  - Capital Asset Management

- **Finance Unit**
  - Budget Submission
  - Financial Accounting
  - Budget Journals
  - Staff Housing

- **Technical Services Unit**
  - Energy Conservation
  - Environmental Compliance
  - Emergency Response
  - Computerized Maintenance
  - Building Code Compliance
  - State and Federal Codes
  - Term Service Contracts
  - Technical Assistance
  - Staffing and Training
  - Plant Oper. and Maint. Oversight
  - Water Treatment and Waste - Water Treatment Oversight
  - Municipal/Utility Negotiations

II. **FACILITY PLANNING UNIT**: The Facilities Planning staff includes both Facility Planner 2s and Facility Planner 3s. Each Facility Planner 2 is assigned a group of facilities for which he or she is responsible to accomplish the Capital Budget functions as listed above. The Facility Planner 3s act as supervisors for the Facility Planner 2s as well as perform many special projects related to the Capital Construction Program.

A. **Capital Budget Process**: The Capital Budget Program is designed to add, delete, modify, or rehabilitate the State’s Capital Assets currently under the supervision and use of the Department of Corrections and Community Supervision (DOCCS). A Capital Asset is defined as fixed assets or assets of a long-term tangible character such as land, buildings, and improvements.

B. **Minor Rehab Process**: The Minor Rehab Process is similar to the Capital Budget Process but usually involves funding not in excess of $50,000. The funds are typically used by the facility to perform work minor in nature, with in-house staff or contracted out locally, for projects that do not fit easily into the Capital Budget Program.
C. **Project Management:** The Office of General Services (OGS) Division of Design and Construction performs the design and construction activities for DOCCS capital projects. The Facility Planner 2 is responsible for tracking, oversight, coordination with the facility Executive Team, and signing the Contract Closeout Report (Form #OGS-391) of all capital projects for their assigned facilities. The Facility Planner 2 is also responsible for reviewing, tracking, and overseeing construction and rehabilitation projects for leased spaces within their assigned area and coordinating with the Community Supervision Offices.

D. **Field Checks:** Field checks are made to monitor projects for progress and compliance to the intent of the project. In addition, field checks monitor OGS with their management of a project to assure compliance with all DOCCS standards and operation procedures.

E. **Site Visits:** Regular site visits are made to monitor and carry out the DOCCS Capital Construction and Minor Rehab Program. This shall include all construction projects and physical plant changes, performed either by outside contractors or in-house staff, at each assigned correctional facility. Means of monitoring the projects shall include for example: attendance at OGS bi-weekly project meetings, review of construction schedules and contractor performance, verification of compliance with DOCCS standards, tracking of change orders and project alteration requests, and development of projects to be included in the Capital Budget. Site visits should also review and assist with compliance of the Department’s directives. These include, but are not limited to:

- Directive #2121, “Personal Protective Equipment”
- Directive #2122, “Permit-Required Confined Space Entry Procedures”
- Directive #3051, “Energy Conservation”
- Directive #3052, “Request for Maintenance Work”
- Directive #3053, “Alterations/Construction Request”
- Directive #3055, “Inmate Labor Projects”
- Directive #3056, “Refrigerants-Compliance with the Clean Air Act”
- Directive #3057, “Construction Permits”
- Directive #3111, “Scheduled Maintenance/Reports”

F. **Alteration & Construction (1612):** Alterations/Construction Requests (1612) require review and approval of any and all changes to the physical plant of each facility. Refer to Directive #3053, “Alterations/Construction Request,” for more information.

G. **Five Year Capital Plan:** The Five Year Capital Plan is a multi-year list of capital projects projected for the next five (5) 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 expenditure levels for the immediate future. This list is continuously monitored and may be subject to annual updates based upon changing needs and priorities.

H. **BLUE Book Maintenance:** Maintains and updates all facility BLUE (Building and Land Use Evaluation) Books to reflect accurate and up-to-date information concerning facility layout and building interior configuration. Physical changes to a facility’s BLUE Book which result from a capital projects, minor rehab projects, or the 1612 process, “Alterations/Construction Request,” can only be made by Facilities Planning and Development. No changes to these books are permitted at the facility level.

I. **Capital Asset Management:** Monitors, records, and reports on DOCCS Capital Assets including buildings and lands.
III. FINANCE UNIT: The Finance Unit within Facilities Planning and Development provides management and oversight of the Department’s Capital Funds.

A. Budget Submission: The Finance Unit prepares the capital budget component to be included in the Department’s Budget annual request.

B. Financial Accounting: The Finance Unit establishes sufficient accounting codes for DOCCS minor rehab projects and OGS capital projects to enable the ongoing monitoring of capital expenditures and disbursements. The unit processes budget journals to fund OGS projects.

C. Budget Journals: The Finance Unit is responsible for the transmittal of budget journals requiring NYS Division of Budget approval.

D. Staff Housing: The Finance Unit calculates maintenance rental rates per Budget 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 UNIT: The Technical Services Unit within the Division of Facilities Planning and Development provides support to the ongoing Capital Budgeting Process as well as direct technical assistance to each facility. In addition to the Capital Program, the Technical Services Unit provides support on a wide range of multi-disciplined technological issues to the Department. The unit staff consists of the Supervisor of Technical Services, an Environmental Engineer, three (3) Plant Superintendents each responsible for specific facilities and regions of the State, an Energy Conservation Specialist, and a Plant Utility Engineer assigned to assist the New York City facilities.

A. Energy Conservation: Maintains and administers 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: Maintains and administers the DOCCS Environmental Compliance Program through continuous knowledge of applicable State and Federal environmental regulations, monitoring environmental performance of each facility, developing proactive programs designed to prevent environmental violations, and initiating remediation projects to resolve any environmental concerns. Environmental Compliance Checklists are to be completed each month and copies forwarded electronically to the Environmental Engineer at Facilities Planning and Development using the electronically editable form located within the “V” drive (V:\AA Environmental Forms\Environmental Checklists). All negative responses shall be identified and accompanied with explanations and proposals to correct the deficiencies. Facilities Planning and Development will share information with appropriate Deputy Commissioners for review and action if warranted.

C. Emergency Response: Technical Services personnel are on call and available 24 hours per day, 7 days a week to respond to emergency situations involving the failure of utility infrastructure systems and physical plant equipment. The Technical Services Unit also purchases, maintains, and deploys the DOCCS portable emergency equipment which includes: generators, boilers, light towers, pumps, heaters, etc.

D. Computerized Maintenance: Develops, monitors, and assists in the implementation and training for the DOCCS Computerized Maintenance Management Program, MP-2, for the maintenance, powerhouse, and vehicle maintenance operations.

E. Building Code Compliance: Performs the function of the DOCCS Code Enforcement Officer through review of construction plans, issuing Building Permits, arranging for construction inspections, and providing the final Certificate of Occupancy for small, in-house projects performed by individual facilities.
F. **State and Federal Codes:** Reviews and provides guidance on numerous State and Federal codes, including: New York State Department of Health (drinking water standards), New York State Department of Labor (Boiler Codes, 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, United States Labor Department (Occupational Safety and Health Administration), United States Department of Energy, and United States Army Corps of Engineers (wetlands).

G. **Term Service Contracts:** Implements and tracks work performed through the OGS Term Service Contracts.

H. **Technical Assistance:** Provides assistance during the Capital Budget Process to identify critical projects related to the physical plant and facility infrastructure systems. Gives direct assistance to each facility upon request for problems directly associated with the operation of the building and powerhouse systems.

I. **Staffing and Training:** Identifies critical staff shortages, develops and maintains standard staffing plans, and performs individual, regional, or Statewide training for maintenance and powerhouse staff.

J. **Plant Operations and Maintenance Oversight:** Provides Central Office review and oversight of all maintenance and powerhouse operations at each facility.

K. **Water and Waste Water Treatment Plant Oversight:** Reviews plant operational data, performance standards, and compliance objectives and achievements, making recommendations for operational or capital improvements as necessary.

L. **Municipal/Utility Negotiations:** Coordinates municipal and utility negotiations and develops legal agreements with Counsel’s Office for water, waste water, and storm water systems, as well as electrical and natural gas contracts with corporate entities.

V. **FIRE AND SECURITY SYSTEM SUPPORT UNIT:** The Fire and Security System Support Unit monitors and repairs fire detection systems, perimeter security systems, and closed circuit television systems (CCTV). Staffing in the unit includes a Facility Planner 3, which acts as the lead technician, and three Electronic Field Technicians that each have specific assigned facilities for which they are responsible.

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 assist in the proper repair and maintenance of systems. Technical support is available on a 24 hours per day, 7 days a week basis. Capital projects are initiated to provide new systems required by the Department. Minor Rehab projects are initiated to upgrade system components to replace obsolete technology or perform major repairs when necessary.

B. **Fire Alarm Systems:** Assist in the preparation and bid of Statewide fire alarm testing and maintenance contracts. Work closely with the Department’s Fire and Safety Coordinator in implementing annual inspections of facility fire alarm systems. Provide input and work with OGS during the specification and design of new fire alarm projects. Assist facilities with minor rehab projects to repair severe damage and upgrade existing equipment that is obsolete. Assist facilities with minor rehab projects to repair severe damage and upgrade existing equipment that is obsolete.

C. **Product Evaluation Committee:** Work with other Department disciplines in reviewing various types of emerging technology for use by the Department.

D. **Maintenance of Perimeter Fences:** Assist facility with minor rehab projects to maintain and repair fencing and vehicle/pedestrian sally port gates.

E. **Locking and Detention Hardware:** Assist facilities with repair and technical assistance as required. Assist with minor rehab projects to perform necessary repairs for existing systems and devices. Provide input and work with OGS during specification and design of new locking projects.

F. **Intercom and Public Address Systems:** Assist facilities with repair and technical assistance as required. Assist with generating minor rehab projects as required to upgrade existing systems.