

STATE OF OHIO



DEPARTMENT OF REHABILITATION
AND CORRECTION

SUBJECT: Construction/Renovation Review and Approval Process for Community Based Correctional Facilities and Halfway Houses	PAGE <u> 1 </u> OF <u> 8 </u> NUMBER: 106-BCS-02
RULE/CODE REFERENCE: Executive Order 92-52 2301.51 – 2301.5	SUPERSEDES: 106-BCS-02 dated 07/05/04
RELATED ACA STANDARDS	EFFECTIVE DATE: August 28, 2014
	APPROVED:

I. AUTHORITY

This policy is issued in compliance with Ohio Revised Code 5120.01 which delegates to the Director of the Department of Rehabilitation and Correction the authority to manage and direct the total operations of the Department and to establish such rules and regulations as the Director prescribes.

II. PURPOSE

The purpose of this policy is to provide a mechanism for the review of planning documents for the State funded construction/renovation community-based correctional facilities and halfway houses submitted to the Bureau of Community Sanctions.

III. APPLICABILITY

This policy applies to the staff of the Bureau of Community Sanctions, Construction, Activation, Maintenance and Sustainability (CAMS) project manager, local governmental officials, community-based correctional facility and halfway house planners and architects.

IV. DEFINITIONS

American Correctional Association Standards for Adult Community Residential Services - Standards for adult community residential corrections programs administered by the American Correctional Association for accreditation.

Associate for Community-Based Correctional Facilities - An architect hired by the Facility Governing Board or other review board to assist in planning and developing construction documents.

Associate for Halfway Houses - An individual hired by the Ohio Facilities Construction Commission to assist in planning and developing construction documents.

Community-Based Correctional Facility (CBCF) - A secure facility used to confine persons referred and/or admitted by the common pleas courts of Ohio. It provides twenty-four hour living accommodations for not less than fifty or more than two hundred offenders and provides programming in compliance with Ohio Revised Code §2301.51 through §2301.58.

Community-Based Correctional Facility Planner - An individual hired by the county(ies) to assist in planning and development of a CBCF. This individual is the liaison to the county and the Facility Governing Board or other review board. The CBCF Planner shall assist in planning the CBCF program and construction through the five-phase process indicated in the Design Guide for Ohio's Community-Based Correctional Facilities.

Design Guide - A manual designed to provide a baseline of design and construction requirements in order to achieve compliance with certain minimum standards for community-based correctional facilities.

Facility Governing Board (FGB) – The legal entity comprised of members appointed by the Judicial Advisory Board and the board or boards of county commissioners of the member counties that is responsible for the local oversight of community-based correctional facilities per section 2301.51 of the Revised Code.

Final Walk-Through - A walk-through of the facility by the CBCF/HWH facility planner, Ohio Department of Rehabilitation and Correction (DRC) CAMS project manager and BCS staff to verify construction compliance with the approved planning documents.

Halfway House (HWH) - Any private non-profit agency licensed to operate a residential facility that has a current contract with the Department of Rehabilitation and Correction.

Halfway House Planner - An individual hired by the halfway house to assist in planning the halfway house program and overseeing construction in collaboration with the associate for halfway houses.

Judicial Advisory Board (JAB) - The legal entity comprised of common pleas court judges that provide advice to the Facility Governing Board per section 2301.51 of the Revised Code.

Occupancy Permit - A document issued by industrial compliance, the governmental entity certifying compliance of applicable statutes and regulations permitting occupancy of a building or a stipulated portion thereof for its designated use. (from the American Institute of Architects (AIA) Handbook of Professional Practice).

DRC Cams Project Manager - An individual hired by ODRC to assist in reviewing the development of CBCF/HWH plans presented by the CBCF/HWH facility planner and associate on behalf of the facility governing board or other review board. The DRC CAMS project manager will assist BCS staff in the programming and five-phase construction process.

Punch List - A list prepared prior to substantial completion of items to be completed or corrected by the contractor and approved by the CBCF/HWH facilities planner.

Review Staff - The review staff shall consist of DRC CAMS project manager and BCS staff.

State of Ohio Standard Requirements for Public Facility Construction – Standard requirements to assist state agencies in the development of capital projects.

Substantial Completion - The point in time, certified by the architect, when the facility or a designated portion of the facility is sufficiently complete, in accordance with the contract documents, so the owner may occupy the facility or designated portion thereof for the use for which it is intended (from The American Institute of Architects (AIA) Handbook of Professional Practice).

V. POLICY

It is the policy of the Ohio Department of Rehabilitation and Correction that the Bureau of Community Services (BCS) staff and the DRC Bureau of Construction, Activation and Maintenance and Sustainability (CAMS) project manager shall provide a thorough and prompt review of planning documents relating to the construction of new facilities, additions to or alterations of such existing facilities. The Bureau stresses the need for sound planning to ensure that the facility's selected site, design and capacity meet both current and future community needs. This review is intended to ensure that construction, renovation, additions, or alterations to facilities comply with the Design Guide for Community-Based Correctional Facilities and that facilities will be capable of operating within the specifications of the minimum standards.

VI. PROCEDURES

A. Proposal for Construction or Renovation of a Facility

CBCF facility planners are responsible for providing planning documents approved by Facility Governing Boards or other review board to the Bureau of Community Sanctions. The following outlines the steps for submitting planning documents to BCS:

1. The BCS Chief or designee shall apprise the Facility Governing Board or other review board of the planning process.
2. The Facility Governing Board or other review board shall notify the BCS of any planned physical changes proposed to ensure that such changes will not adversely affect compliance with the American Correctional Association Standards for Adult Community Residential Services.
3. In the case of renovation, alteration, or additions to existing facilities, the BCS Chief or designee in conjunction with the CBCF facility planner shall discuss proposals to determine to what extent, if any, the planning approval process should be implemented. The decision shall be documented in writing to the Facility Governing Board or other review board.

B. Plans Review

Plans review is for BCS staff and the ODRC CAMS project manager to work in collaboration with the CBCF and HWH facility planner to complete a review of each planning phase to ensure consistency with the minimum standards and the Design Guide for Community-Based

Correctional Facilities and/or Halfway Houses. All facility planners shall submit two (2) sets of planning documents for each phase (at their expense) to BCS staff. The phase submittals are for both the CBCF and HWH, unless indicated otherwise. HWH construction or renovation shall be guided by the Ohio Facilities Construction Commission and the State of Ohio Standard Requirements for Public Facility Construction. Phase submittals are as follows:

1. Proposal
 - a. Demonstrated need (CBCF only).
 - b. Mission Statement by Judicial Corrections Facility Governing Board or other review board (CBCF only).
 - c. Goals and objectives (CBCF only).
 - d. Description of programming and services to be offered.
 - e. Documentation of projected facility capacity.
 - f. Architectural Statement of Design Objectives
 - i. List of all spaces including estimated net and gross square footage's.
 - ii. Statement of site analysis.
 - iii. Develop scenarios and staffing patterns (new projects).
 - iv. Estimated cost of construction.
 - v. Estimated cost of operation.
2. Phase 1
 - a. Schematic plans.
 - b. Revised estimation of projected construction costs.
 - c. Revised estimated operational budget.
3. Phase 2
 - a. Design development (detailed plans).
 - b. Interior and exterior elevation and/or sections.
 - c. Design objectives.
 - d. Outline of specifications for security materials, hardware and other special materials and furnishings.

- e. Revised estimation of projected construction costs.
 - f. Policy and procedure manual developed for BCS review.
4. Phase 3
- a. Complete set of construction documents-drawings, renderings and specifications.
 - b. Detailed estimate of project costs.
 - c. Final proposal of staff posts and total staffing level.
 - d. Revised staffing cost.
 - e. Revised estimation of annual operation costs.
 - f. Bid alternates must be submitted and approved.
5. Phase 4
- a. Bid addendum changes submitted to DRC.
 - b. Building code review and approval submitted to DRC when received.
 - c. Final review of policy and procedure manual.
 - d. Construction.
6. Phase 5
- a. Implement CBCF Activation Checklist as stated in the Design Guide for Ohio's Community-Based Correctional Facilities.
 - b. Staff training schedule.
 - c. Submit construction punch list to BCS.
 - d. BCS facility walk-thru.
 - e. Release of retainage.

C. BCS Review of Planning Documents for CBCF'S AND HWH'S

Upon receipt of the planning documents the BCS and DRC CAMS project manager shall:

- 1. Review the planning documents of the appropriate planning phase submitted to determine whether the documents contain all required information.

2. Review the criteria in the design guide to ensure the following areas have been addressed noting:
 - a. Particular items of non-compliance with the design criteria.
 - b. Significant omissions, which, if not properly addressed, could contribute to areas of non-compliance.
 - c. Particular items not consistent with design guide criteria.
 - d. An item(s) that must be more clearly detailed in future plans to ensure consistency with the criteria.
 - e. Other aspects of the design, which may hinder the safety and the security of effective operation of the proposed facility.
3. Any requested alterations or deviations
 - a. The specific design guide criteria section(s) for which a deviation is desired.
 - b. The specific reason(s) for the desired deviation.
 - c. The means by which the intent of the design guide criteria section(s) will be achieved.
 - d. The BCS Chief or designee shall approve all deviation requests.

D. Plans Review/Meeting Documentation (CBCF Only)

1. Each phase shall receive written correspondence from the BCS approval or disapproval.
2. Documented inconsistencies that are not resolved according to design guide criteria will prevent further phase approval.
3. Correspondence approving Phase 1 plans (schematic) must be signed by the Deputy Director of the Division of Parole and Community Services.

E. Field Visits

Periodic on-site visits for CBCF's and HWH's.

1. During the construction period, DRC CAMS project manager and BCS staff must periodically visit construction sites to ensure that work is proceeding consistent with approved plans and to update BCS records.
2. Site visits shall be coordinated between the CBCF/HWH facility planner and BCS staff to ensure timely and appropriate visits during construction. Site visits must also be

documented.

3. Any discrepancies to approved plans or other concerns will be addressed to the CBCF/HWH facilities planner.

F. Approval of Phase 4 (CBCF ONLY)

1. BCS staff and the DRC CAMS project manager will meet with the CBCF facility planner to discuss review of Phase 4 documents.
2. Phase 4 shall not receive written approval from the BCS until all inconsistencies are addressed. Upon receipt of Phase 4 approval letter, the CBCF facility planner shall notify local officials in writing that the facility was constructed consistently with approved plans and may become operational.

G. Final Walk-Through for CBCF'S AND HWH'S

1. After preparation of the punch list and before occupancy of the facility, the CBCF/HWH facility planner shall schedule an on-site review of the facility in conjunction with the DRC CAMS project manager and BCS staff.
2. The CBCF/HWH facility planner shall provide BCS staff with a copy of the life safety report and the occupancy permit issued by industrial compliance.
3. During the final walk through BCS staff and the DRC CAMS project manager shall prepare a punch list and submit the list to the CBCF/HWH facility planner and associate
4. If applicable, local officials shall be notified in writing of the implications of opening, occupying or using a new or renovated area without final Bureau of Community Sanctions approval.

H. Stopped, Discontinued, or Inactive Projects for CBCF's & HWH's:

For projects that have previously submitted planning phases, BCS staff shall:

1. After three months of inactivity (e.g. no subsequent phases have been submitted), BCS will contact the jurisdiction to determine the status of planning).
2. The contact shall be documented by a memo to file indicating the reason for inactivity and the potential to resume.

I. Record Keeping for CBCF'S AND HWH'S

1. The DRC CAMS project manager and BCS shall retain one copy of all submitted documents until completion of construction and final approval of Phase 3. Upon construction completion and final approval of Phase 3, the following documents will be retained:
2. One copy of Phase 3 and the certified final approved Phase 4 floor plans certified by the

State of Ohio Industrial Compliance or final approved 'as built' drawings.

3. All correspondence shall be retained in BCS files for five years.
4. Final drawings and sublease documents will be retained until the bond obligation associated with the project is retired (CBCF's only).