



SUBJECT: Capital Improvement Projects Planning and Pre-Design Process	PAGE <u> 1 </u> OF <u> 7 </u> .
	NUMBER: 21-CAM-08
RULE/CODE REFERENCE:	SUPERSEDES: 21-CAM-08 dated 03/02/15
RELATED ACA STANDARDS:	EFFECTIVE DATE: November 7, 2016
	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 guidance for Capital Improvement Projects Planning and Pre-Design procedures for the Ohio Department of Rehabilitation and Correction (DRC). The procedures will guide all DRC staff members involved in planning and pre-design phase work of all capital improvement projects and to ensure adequate maintenance of the facility.

III. APPLICABILITY

This policy applies to all Ohio Department of Rehabilitation and Correction staff members involved in the planning and pre-design phases of all capital improvement projects and the maintenance of the facility.

IV. DEFINITIONS

ARTEMES (Automated Runs To Enhance Maintenance & Ensure Safety) - A term used to reference any computer tracking program used to monitor preventative maintenance, cycles, assigned tasks, trends and related due dates in order to curtail predictive maintenance costs and energy consumption.

Biennium - A two (2) year period that begins July 1st and ends twenty-four (24) months later on June 30th.

C-1 Form - A form located on DBA On-Line that is to be completed with the project’s description, project justification, design, and estimated construction cost including equipment and contingency. All facilities in DRC shall submit this form to the Bureau of CAMS when requesting capital improvements to be included in the capital budget for their facility.

Capital Projects Planning - A process used to prepare the biennium request for capital improvement funds in accordance with ORC 153.

Construction Trade - To distinguish and identify the related work as electrical, plumbing, general construction, security, heating and ventilation, etc.

Controlling Board - Comprised of the Director of the Office of Budget and Management or his/her designee, and six (6) members of the Ohio General Assembly. The board provides legislative oversight over certain capital and operating expenditures by state agencies and has approval authority over various other state fiscal and purchasing activities.

Funds Release - Spending authority authorized by the Controlling Board for our agency.

Local Administration Project - Ohio Revised Code 153 provides our agency with authority to administer the contracts for a capital project when the estimated cost, including design fees, construction, equipment and contingency is less than \$ 1.5 Million.

Ohio Facilities Construction Commission (OFCC) Administered Projects - A commission that administers capital facilities projects when the estimated cost including design fees, construction, equipment and contingency amounts are equal to or exceed \$1.5 Million.

Original Appropriation - The amount appropriated in the original appropriations act through a capital improvement bill passed by the legislature.

Pre-Design Process - A process containing the capital projects planning and the advertising for Architect/Engineering service, short listing, interviewing and final selection of A/E firm for a particular project.

Preventative Maintenance Manager - The Bureau of Construction, Activation, Maintenance and Sustainability (CAMS) designee responsible for the implementation, training and oversight of the preventative maintenance program.

Unplanned Capital Request Form - An electronic form, DRC1725, which is to be utilized when requesting capital projects that have not been previously requested during the Department's capital budget submissions.

Work Order Log - A log used to manage maintenance projects and work orders.

V. POLICY

It is the policy of the Ohio Department of Rehabilitation and Correction (DRC) that the Capital Projects Planning and Pre-Design procedures shall be followed by the Bureau of CAMS staff, deputy director of the Office of Administration, managing directors, institution managing officers, and other key staff.

VI. PROCEDURES**A. Project Initiation Procedure****1. Work Order Logs**

- a. Each facility's maintenance department supervisor shall maintain an electronic work order log that includes at a minimum:
 - i. Date of work order requests;
 - ii. Date of work order receipts by maintenance;
 - iii. Completion date of actual work;
 - iv. Name of staff member requesting work;
 - v. Brief description of work to be completed;
 - vi. Identification of work orders related to life-safety or life-threatening issues; and
 - vii. A method that illustrates how work orders assignments are prioritized.
- b. All facilities shall develop a written plan for preventative maintenance of the physical plant and the plan shall include provisions for emergency repairs or replacement in life-threatening situations. All facilities shall incorporate the utilization of the ARTEMES program or a computerized tracking system to assist with proper adherence to and monitoring of their written preventative maintenance plan.
- c. The building maintenance superintendent shall provide a weekly work order progress report to the managing officers that are responsible for the institution's fiscal and operations areas. This report shall include an updated, completed work order list.
- d. The building maintenance superintendent shall meet with the managing officer's designees that are responsible for institution's fiscal and operations areas on a quarterly basis to review the completed work and to chart the outlook projection plan for the upcoming quarter. This shall include the review of the work order log, monthly recap including numbers of completed and pending work orders and/or projects, the progress of maintenance projects, completed and outstanding maintenance, preventative maintenance responsibilities, and a list of outstanding critical pending work with their related delay justifications.
- e. Upon receipt of the Fire/Safety/Sanitation Monthly Inspection Report (DRC1257) provided by the Safety & Health Coordinator, the building maintenance superintendent shall accept the DRC1257 as a work order. Any items listed on the DRC1257 requiring correction shall be entered into the electronic work order log. If the items on the work order (DRC1257) requires routine preventative maintenance follow-up, the items shall be incorporated into the preventative maintenance computerized system.
- f. All preventative maintenance tasks shall be logged electronically and assigned a maintenance cycle that reflects a frequency schedule, task location, task description

with detailed instructions, date task last performed, the division, and the person(s) assigned to complete the task(s).

2. Facility Responsibilities with Capital Improvement Projects
 - a. The managing officer shall appoint a capital planning committee consisting of the managing officer, deputy wardens/designee, maintenance superintendent, and safety and health coordinators. The project manager shall be available for assistance upon request.
 - b. The institution capital planning committee is responsible to meet at least once every year and complete the C-1 Form as required by Ohio law every other year for each project (DRC Table C-1). The Table C-1 shall include scope, cost estimates and justification.
 - c. Institution shall prioritize their capital projects request.
 - d. C-1 submittal via DBA on Line shall be due August 1st of every capital improvement biennium.
 - e. The institution shall maintain a record of all meetings and all involved information, and enter Table C-1 in DBA on Line.
3. Bureau of Construction, Activation, Maintenance and Sustainability Level
 - a. The Bureau chief shall appoint a review committee consisting of CAMS staff who will evaluate all capital project requests submitted by the institutions.
 - b. The review committee shall submit their recommendations to the CAMS chief by September 15th every biennium.
 - c. The CAMS chief shall submit these recommendations to the deputy director of the Office of Administration.
 - d. The review committee shall maintain a report of all recommendations.
4. Administrative Deputy Director Level
 - a. The deputy director of the Office of Administration shall appoint a capital planning committee including regional directors, CAMS chief, CAMS operation manager and chief of DBA to review CAMS committee's recommendations and finalize the capital project requests for submittal to the Office of Budget and Management (OBM) by deadline date given.
 - b. The capital planning committee shall provide their final report including approved and disapproved projects to chief of CAMS who shall maintain this report in DBA on Line.

5. Unplanned Capital Request

- a. The authority (institution's managing officer/designee) shall fill out an Unplanned Capital Request (DRC1725) and forward it to the regional director, deputy director of the Office of Administration and the chief of CAMS for review and processing.
- b. The CAMS chief shall coordinate with designated staff to assess needs (i.e., assign project manager, project evaluation, required funding, etc.).
- c. Joint approval to proceed (i.e., confirm scope, funding source(s), etc.).
- d. If A/E services are needed, readily available firm(s) shall be contacted depending on project type.
- e. Contractors shall be contracted with as soon as possible to remedy the situation.

B. Design Procedures - Project Initiation and Scope

1. Project Initiation

Upon approval and enactment of a capital improvement bill, the Bureau of CAMS shall prioritize the projects and develop a proposed schedule for their implementation.

2. Project Assignment

- a. The CAMS chief shall provide Table C-1 information, budget availability and administrative authority status (Local or OFCC) to the CAMS operation manager.
- b. The CAMS operation manager shall review scope and funding then forward the C-1 to the project manager.
- c. The project manager shall review and confirm the scope and funding.
- d. The project manager shall develop a project implementation plan for each project. Upon approval by the chief of CAMS, the project implementation schedule shall be used to monitor progress on each project.
- e. If the funds or scope are not adequate, the project manager shall forward the project file to the chief of CAMS with a request for needed modifications.

3. Associate/Engineer Selection

a. Advertising and Rating Applications

- i. The project manager shall forward the approved scope and budget information to the CAMS operation manager.

- ii. The CAMS operation manager shall develop a request to OFCC for either authority for local administration or OFCC administration.
 - iii. The CAMS operation manager shall provide “request for professional design services” to OFCC (Local or OFCC administration), which includes scope of work, project cost, and associate criteria/trade for A/E advertisement and a proposed schedule.
 - b. Applications submitted by A/E firms are received and rated utilizing Ohio OFCC Form 330.
 - i. Local Administration - A rating committee consisting of design services, institution representative, and a project manager/their designee, shall review the applications and develop the “short list” for the CAMS chief’s approval, Consultant Selection Rating Form (DRC1741) and the Architect/Engineer Interview Ranking Form (DRC1740). The scoring of the 330’s is to be completed within twenty-one (21) business days of the scorer receiving them.
 - ii. OFCC Administration - A rating committee will review the 330’s consisting of two (2) OFCC personnel and two (2) DRC staff. The DRC personnel shall be designated by the CAMS chief, consisting of design section and/or a project manager, and/or institution staff to develop the “short list” for OFCC processing, utilizing OFCC Forms. The scoring of the 330’s is to be completed within twenty-one (21) business days of the scorer receiving them.
- 4. Architect/Engineering (A/E) Interview process
 - a. CAMS’s design section shall generate the “short list” letter, which shall include interview date, location, time, and duration for Local Administration projects. OFCC and CAMS’s design section shall perform this function together for OFCC administered projects. The interview committee shall consist of the same members as the rating committee.
 - b. Interviews shall be conducted for the selection of A/E firm.
- 5. Final Architect/Engineer Selection
 - a. Local Administration
 - i. The design section shall generate a letter of recommendation of the selected A/E, for CAMS chief’s approval.
 - ii. The design section shall generate a letter of notification to the selected firm. This letter shall include a request for the submission of a technical proposal.
 - b. OFCC Administration – OFCC shall generate a letter of the selected A/E, for approval.

6. Fee Negotiation

- a. Local Administration – The design section, in consultation with the CAMS operation manager, contract administrator and project manager, shall review technical proposal and conduct fee negotiations with the associate.
- b. OFCC Administration – OFCC in consultation with DRC CAMS operation manager and project manager shall review technical proposal and conduct fee negotiation.

C. Controlling Board and Contract Administration

- 1. The operation manager shall prepare a capital request submissions form for the Controlling Board administrator.
- 2. The Controlling Board administrator shall prepare the Controlling Board request for release of funds for design services contract.
- 3. The contract administrator shall prepare and process “Professional Design Services” agreement for local administration projects and OFCC shall perform this function for OFCC administered projects.
- 4. The contract administrator shall forward the executed contract to the associate firm with a Notice of Commencement Letter (DRC1478) for local administration projects and OFCC shall perform this function for the OFCC administered projects.

Related Department Forms:

Fire/Safety/Sanitation Monthly Inspection Report	DRC1257
Notice of Commencement letter	DRC1478
Unplanned Capital Project Request	DRC1725
Architect/Engineer Interview Ranking Form	DRC1740
Consultant Selection Rating Form	DRC1741