

# Ohio

## Department of Rehabilitation & Correction

Planning / Approval Process (Effective April 1, 2016)



<http://www.drc.ohio.gov/>

John R. Kasich, Governor

Gary C. Mohr, Director

## **INTRODUCTION**

**This workbook is to be used when planning a new Jail Facility in the State of Ohio. The purpose of this workbook is to ensure that your jurisdiction, including the Facility Owner, the party responsible for the operation of the Facility and the Consultant / Architect / Planner assisting with the design of the Facility all clearly understand what basic information is required to design and operate a Jail Facility.**

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## **THE PLANNING APPROVAL PROCESS**

The **Planning Approval Process (PAP)** consists of five phases which must be successfully completed. Each phase is submitted to the Department of Rehabilitations & Corrections (DRC) for review for compliance with the “Minimum Standards for Jails in Ohio” and the “Construction-Renovation Criteria”. A phase must be approved by the DRC before the next phase can be submitted. Conditional approvals may be granted by the DRC if the information necessary for unconditional approval is such that it may be presented with the next phase without adversely affecting the design process. The five phases of the PAP are as follows:

**PHASE 1 - Operation/Functional Programming  
Architectural Programming  
Schematic Design**

**PHASE 2 - Design Development**

**PHASE 3 - Construction Documents**

**PHASE 4 - Construction Alterations**

**PHASE 5 - Transition Program/Final Walk-Thru**

The review process of the PAP is designed to expedite the review and approval of all submitted documents. All initial review will be conducted at a site that is agreeable to all parties. These Plans Review Conferences (PRC) are to be attended by, minimally:

- DRC Facilities Project Manager/Planning
- DRC Regional Jail Inspector
- Jail Administrator and/or Sheriff/Chief of Police
- Architect/Planner

When jurisdictions are ready for a review, they are to forward to the DRC Facilities Project/Manager/Planning and their Regional Jail Inspector a copy of all required documents for the phase to be reviewed. Upon receipt of these documents, the DRC will verify that all required elements have been submitted. Upon verification, the DRC will attempt to schedule a PRC within fifteen (15) working days of the receipt of the documents. Both the date of receipt of the documents and the date, time and location of the PRC will then be confirmed in writing.

At the conclusion of the PRC, the reviewers will render a verbal approval, conditional approval or disapproval of the submission. A formal PRC review letter will be mailed to all attendees of the PRC within ten (10) working days of the PRC. The review letter will confirm the PRC decision as well as document all items of non-compliance and/or areas of concern and suggestions noted by the DRC during the PRC.

Phase 4 and Phase 5 of the PAP require no PRC. The DRC will respond in a timely manner.

Information required for the Final Walk-Through may be sent to the DRC Facilities Project Manager/Planning prior to the date established for the Final Walk-Through or submitted at the time of the Final Walk-Through.

## **PLANNING SUBMISSION CHECKLIST**

The checklist format has been developed to serve as an aid for expediting the PAP by providing a clear and specific guide for verifying the inclusion of the required elements for each phase submittal. The checklists are designed to:

1. Aid planners in the development and compilation of materials to be submitted to the DRC.
2. Provide a method for planners to document their assurances that all required items have been addressed.

There is a separate Planning Submission Checklist for each phase of the PAP. Each checklist specifies the documents, materials and information required for the review of a given phase. The Planning Submission Checklist consists of three elements as follows:

### **I. REVIEW AND APPROVAL**

These are the primary items upon which the DRC approval/disapproval is based. All material in this element must be complete, consistent with all prior submittals, compliant with the “Minimum Standards for Jails in Ohio” and adhere to the “Construction-Renovation Criteria”.

### **II. REVIEW AND COMMENT**

This element requires information necessary for a comprehensive planning effort. While not strictly subject to DRC approval, the information provided in this element, when analyzed in conjunction with the **REVIEW AND APPROVAL** items could affect approval. For example, the facility design could dictate more staff than is estimated as needed. Such an analysis could result in either a recommendation for DRC for additional staff approval. The DRC will also offer comment where problems are noted or clarification is needed in areas which might affect approval of future submissions or in areas which might inhibit the safe and effective operation of the jail.

### **III. INFORMATION**

This element includes information designed to aid the DRC staff in understanding the project. By signing each submittal, all parties have agreed that they have reviewed, understand and agree with all information included in each phase.

## **CONSTRUCTION-RENOVATION CRITERIA**

The **Construction-Renovation Criteria** outlines the physical requirements necessary to achieve compliance with the “Minimum Standards for Jails in Ohio”. A wide variety of designs may be capable of satisfying the criteria. The DRC advocates the development of designs which attempt to normalize the jail environment, humanize its image and reduce the potentially negative effects of incarceration. It is emphasized, therefore, that while the **Construction-Renovation Criteria** establishes minimum standards which must be met, the DRC encourages planning and design efforts which exceed these criteria. The DRC believes that this type of effort will serve to increase the safety, security and effectiveness of the final product to the benefit of all users, be they inmates, staff or visitors. To this end, the **Construction-Renovation Criteria** contains design and construction options, identified by *italicized* type. These options are not required for approval, but they are offered for consideration as improvements to the minimum requirements. Options not noted in the **Construction-Renovation Criteria** that exceed the minimum requirements are also encouraged.

The purpose of the **Construction-Renovation Criteria** is to guide all who are involved in the Planning Approval Process through an objective and comprehensive presentation of design and construction criteria intended to implement the “Minimum Standards for Jails in Ohio”. Used in conjunction with the Construction–Renovation Criteria Checklist, the **Construction-Renovation Criteria** can aid planners and the DRC staff in making a thorough and objective review of design and construction documents in accordance with Section 5103.18 of the Ohio Revised Code, the “Minimum Standards for Jails in Ohio” and established DRC procedures. They are also intended to aid planners, architects and jurisdictions in the development of designs which contribute to the safe, secure and effective operation of a local adult detention facility.

## DEVIATION REQUEST

During the planning process, planners may desire to deviate from the requirements of the Construction-Renovation Criteria. If planners believe that sufficient cause exists to be relieved from one or more of the Construction-Renovation Criteria, approval of a **Deviation Request** may be sought. A **Deviation Request** should provide the following information:

1. The specific Construction-Renovation Criteria section(s) for which a deviation is desired.
2. The specific reason(s) for the desired deviation.
3. The means by which the intent of the Construction-Renovation Criteria section(s) will be achieved.

A deviation requested during a Plans Review Conference will be considered by the DRC reviewers present. If, in their opinion, the request has merit, they will present it to DRC Administrator at the earliest possible opportunity following the Plans Review Conference. The decision will be given in writing in the Plans Review Conference letter or, if more appropriate, a separate letter.

A desired deviation arising independent of a Plans Review Conference should be requested in writing from the Bureau Administrator and addressed as follows:

Bureau of Adult Detention  
Ohio Department of Rehabilitation and Corrections  
770 West Broad Street  
Columbus, Ohio 43222

An acknowledgement of receipt of the Deviation Request will be sent to the submitter with either a time frame for the decision or a request for additional information.

## POLICY

The Policy Statements and the Scenarios are the foundation for the arrangement and operation of the detention facility. They are the basis from which the design is originated, the staffing is determined and the Policy and Procedure Manual is developed.

### POLICY STATEMENT DEFINITION

A **Policy Statement** delineates in general terms the departmental philosophy and considerations for a function or activity of a detention facility. A **Policy Statement** describes what is to be achieved by the function or activity.

### SCENARIO DEFINITION

A **Scenario** is a detailed description of a function or activity of a detention facility. A **Scenario** describes who will be involved, how the activity will be accomplished, where the activity will occur in relation to other activities, when the activity will occur and what spaces and equipment will be needed to facilitate the activity.

## STAFFING

Adequate staffing is the single most important element in the safe and effective operation of a detention facility. Adequacy and excellence of the physical facility cannot overcome the shortcomings of an inadequate level of staff, of unqualified staff and of inadequately trained staff.

However, since staffing costs can be upwards of 80% of the total life cycle costs of a facility, it is the very area that tends to be scrutinized most closely in efforts to reduce costs. These efforts, unfortunately, often result in one or a combination of the following:

- Inadequate numbers of staff
- Inadequate trained staff
- Inadequate assigned staff
- Inadequate supervised staff

Such factors, singularly or in combination, will yield a facility that will not be able to properly, safely and/or effectively respond to day-to-day operational requirements or emergency situations.

A scarcity of monetary resources is a frequently cited reason for insufficient staffing efforts. While perhaps a valid and true argument, it stands against court decisions that have repeatedly emphasized that a lack of resources is insufficient reason for failure to meet constitutional minima. The courts have given scant support to arguments based upon expense.

## **SCHEDULE OF PROGRAMS AND SERVICES**

A schedule or description of a facility's programs and services, known also as a master activity schedule, provides early necessary information that is relevant to space planning, staffing levels, administrative needs, procedural requirements and operating costs. Such a schedule, performed during pre-design planning, is crucial to the establishment of the scope of the project, to the definition of design parameters and to the impact of preliminary staffing and operational decisions.

## **SITE SELECTION ANALYSIS**

Site selection is among the first in a sequence of tasks necessary in developing a program for the design of a law enforcement and detention facility. Consideration should be given to the entire list of criteria described herein during the site evaluation and selection process.

Capital costs, such as building construction and land acquisition for the law enforcement and detention facilities, are generally one-time expenditures that can be amortized over the life of the facility. Operating costs such as utilities, labor and maintenance are rapidly escalating expenses that continue to be incurred year after year. Careful consideration of certain operating aspects during site selection can minimize or even eliminate some costs and result in a reduction of overall facility costs.

The following criteria and considerations are offered in an effort to provide a safeguard against unanticipated factors which could lead to substantial cost impact.

## **SAMPLE CRITERIA**

- I. Facility Site Selection Criteria
  - A. Proximity to ancillary functions.
    1. Courts, other jails, service organizations, medical facilities, public access.
  - B. Relationship to existing and future county/municipal sites.
    1. The site's relationship to the overall county and/or municipal service delivery system.
  - C. Size and shape
    1. Appropriate acreage and proportions to support the facility with necessary amenities, circulation access and parking.
  - D. Site access
    1. Traffic control, curb cuts, street configuration, right-of-way, etc.
  - E. Ability to gain control of site
    1. Purchase, eminent domain, owned, etc.

## II. Construction Site Selection Criteria

### A. Topography

1. The site should, preferably, minimize the need for expensive cut, fill and other site preparation procedures.

### B. Street conditions

1. Access routes should be in good condition and capable of withstanding the necessary traffic density.

### C. Faults

1. Sites with discernible geologic faults should be avoided. If unavoidable, the site should accommodate a design that precludes any structure being built over the fault.

### D. Drainage

1. Drainage during and after construction should be good.
2. The water table should be a consideration since dewatering can increase construction costs.

### E. Flood plains

1. Avoid flood plains

### F. Soils

1. A soil survey should be conducted to aid in determining potential costly foundation considerations.

### G. Easements

1. Constraints may force design decisions impacting construction and future operating costs.

### H. Utilities

1. All utilities should be readily available to the site. Existing sanitary provisions should accommodate the additional effluents generated by the facility.

### I. Fire protection

1. Proximity to fire station(s) and emergency response providers should be considered as well as the availability of fire alarm communication.

### J. Compatibility with existing land use and zoning

### K. Current occupants of site and relocation

### L. Noise and visual impacts

- M. Water treatment, waste control, storm control
- N. Traffic impact
- O. Park and historic structure impact
- P. Wildlife and vegetation impact
- Q. Demolition and disposal
- R. Environmental concerns

## **PLANNING SUBMISSION CHECKLIST**

### **INSTRUCTIONS**

1. A completed Planning Submission Checklist must be submitted for each phase. Complete the Planning Submission Checklist by marking the boxes, signing and dating the Planning Submission Checklist.
2. All supporting documents, materials and information as specified in the Planning Submission Checklist must be included with the submittal.
3. The Planning Submission Checklist must include, on the designated line, the facility / project name.
4. The Planning Submission Checklist must be signed and dated by the Owner of the Facility, the Sheriff/Police Chief and the Consultant.
5. An incompletely executed Planning Submission Checklist will result in rejection of the submittal.
6. Each phase must be successfully completed and approved prior to submitting the following phase.

**PHASE 1  
OPERATIONAL/FUNCTIONAL PROGRAM  
ARCHITECTURAL PROGRAM  
SCHEMATIC DESIGN**

**SUBMISSION CHECKLIST**

**I. REVIEW AND APPROVAL**

- A. Operational/Functional Program Policies and Scenarios
- B. Architectural Program
- C. Schematic Design Floor Plans

**II. REVIEW AND COMMENT**

- A. Project jail capacity
  - 1. Have you considered adjustments for changes in practices or trends (incarceration practices, booking trends, legal trends, population trends, etc.)?
  - 2. Breakdowns for general population, special housing and holding. If your facility includes the following types of housing, list the number of beds for each type (Male and/or Male & Female).
- B. Estimate the staffing needs.

**III. INFORMATION**

- A. Estimated staffing costs (e.g., salaries, benefits, training).
- B. Preliminary cost estimate including building cost; site cost; fixtures, furniture and equipment; and contingency
- C. Preliminary estimate of total annual operating costs (staffing costs, utilities, maintenance, etc.)
- D. Site analysis and selection criteria
- E. Management Style

Facility/Project: \_\_\_\_\_

Submitted by: \_\_\_\_\_ Date \_\_\_\_\_  
OWNER

Submitted by: \_\_\_\_\_ Date \_\_\_\_\_  
SHERIFF/POLICE CHIEF

Submitted by: \_\_\_\_\_ Date \_\_\_\_\_  
CONSULTANT

**PHASE 1  
OPERATIONAL POLICIES  
Supplemental Checklist**

Note: Programming Spaces

- Full-Service: All times
- Twelve-Day: Omit item 4
- Twelve-Hour: Omit items 2, 3, 4, 5, 6, 8, 9, 12, 13

**A. OPERATIONAL/FUNCTIONAL POLICIES**

(See Note)

**POLICY**

- |     |   |     |
|-----|---|-----|
| 1.  | Inmate intake/release.....<br>(includes booking, holding, search, health/suicide<br>Screening, telephone calls, personal property,<br>Shower, clothing exchange and orientation)  | [ ] |
| 2.  | Inmate housing and security control.....<br>(classification, types and breakdown; i.e., general<br>population-maximum, medium, minimum security;<br>single cell, multiple occupancy, dormitory, disciplinary<br>segregation, administrative segregation, medical, etc.) | [ ] |
| 3.  | Visitation.....   | [ ] |
| 4.  | Work release program (if applicable).....<br>(receiving and releasing for work)   | [ ] |
| 5.  | Trustee program (if applicable).....<br>(supervision, responsibilities)   | [ ] |
| 6.  | Food service.....<br>(receiving, storage, meal preparation, delivery,<br>Scheduling, waste disposal)  | [ ] |
| 7.  | Medical, dental and mental health services.....<br>(emergency care, sick call, dispensing of medication,<br>examinations, use of personal physician, records, etc.)   | [ ] |
| 8.  | Recreation/exercise.....<br>(indoor and outdoor)  | [ ] |
| 9.  | Laundry.....<br>(bedding, jail clothing, personal clothing)   | [ ] |
| 10. | Packages.....<br>(incoming/outgoing)  | [ ] |
| 11. | Telephone calls.....  | [ ] |

- 12. Transportation..... [ ]  
(supervision, responsibilities)
- 13. Programs..... [ ]  
(religious services, alcohol/drug counseling, educational, commissary, library, etc.)
- 14. Fire safety, evacuation and retention..... [ ]

Note: The Operational and Functional Policies shall include all the items listed above that are required for your type of facility, i.e., Full Service, 12 day jails, and 12 hour jails.

**B. ARCHITECTURAL PROGRAM**

- 1. Name of space/area
  - a. Bubble diagram or preliminary space plan
  - b. Size of space/area
  - c. Number of spaces/areas
- 2. Design & Behavior
  - a. Significant design/architectural characteristics
- 3. Codes & Environment
  - a. Identify all applicable building codes, ADA standards, correctional standards, engineering/environmental requirements
- 4. Equipment & Furniture
  - a. Security furniture requirements, special engineering requirements, such as, stainless steel fixtures/floor drain flush valves, intercoms, etc.

**C. SCHEMATIC DESIGN**

- [ ] A. Schematic Floor Plans for jail and attached non-jail building areas, to scale with scale noted.
  - [ ] 1. Note net square footage of each housing area day space and housing unit capacity on Floor Plan.
  - [ ] 2. Note net square footage of each dormitory day space and sleeping areas and dormitory capacity on Floor Plan.

**PHASE 2  
DESIGN DEVELOPMENT  
SUBMISSION CHECKLIST**

**I. REVIEW AND APPROVAL**

- A. Detailed Plans to scale, including:
  - 1. Site Plan
  - 2. Floor Plans
  - 3. Security Perimeter Plans
  - 4. Exterior building elevations
  - 5. Interior elevations
    - a. Detox and holding cells, housing cells, dayroom fronts with glazing types (to indicate sight lines and observation fields).
    - b. All staff control posts.
    - c. Recreation area fronts, indoor/outdoor, with glazing types.
    - d. Visitation facilities/contact/non-contact/video visitation
    - e. Building cross sections.
    - f. Building wall sections, including security walls, security windows.
  - 6. Typical cells (detox, holding, housing) and dayroom floor plans, showing location and type of furnishings, equipment, etc.
  - 7. Reflected ceiling plans.
  - 8. Basic plans for plumbing, mechanical, electrical, interior and exterior lighting, fire protection, security and control equipment, telephone and intercom stations.
  - 9. Room finish schedule.
  - 10. Window and glazing schedule.
  - 11. Door, frame, hardware and lock schedule (including interlock capability).
  - 12. Preliminary specifications with catalog cuts of detention and security accessories, equipment, hardware, etc.

**II. INFORMATION**

- A. Updated Project Cost Estimate including building cost; site cost; fixtures, furniture and equipment; and contingency.
  
- B. Revised estimate of projected annual operation costs (salaries, benefits, utilities, maintenance, etc.)

Facility/Project: \_\_\_\_\_

Submitted by: \_\_\_\_\_ Date \_\_\_\_\_  
OWNER

Submitted by: \_\_\_\_\_ Date \_\_\_\_\_  
SHERIFF/POLICE CHIEF

Submitted by: \_\_\_\_\_ Date \_\_\_\_\_  
CONSULTANT

**PHASE 3  
CONSTRUCTION DOCUMENTS**

**SUBMISSION CHECKLIST**

**I. REVIEW AND APPROVAL**

- [ ] A. Complete set of construction documents.

NOTE: This set of documents shall be the same documents that will be used for permits/bidding and construction.

**II. INFORMATION**

- [ ] A. Updated Project Cost Estimate including building cost; site cost; fixtures, furniture and equipment; and contingency
- [ ] B. Revised estimate of projected annual operational costs (salaries, benefits, utilities, maintenance, etc.)

Facility/Project: \_\_\_\_\_

Submitted by: \_\_\_\_\_ Date \_\_\_\_\_  
OWNER

Submitted by: \_\_\_\_\_ Date \_\_\_\_\_  
SHERIFF/POLICE CHIEF

Submitted by: \_\_\_\_\_ Date \_\_\_\_\_  
CONSULTANT

**PHASE 4  
CONSTRUCTION ALTERATIONS**

**SUBMISSION CHECKLIST**

This form should be used for bid alterations, addenda and all other modifications to the base bid documents as approved that effect the Construction Criteria and Jail Standards.

**I. REVIEW AND APPROVAL**

[ ] A. Addenda, alterations, modifications to the Construction Documents.

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Facility/Project: \_\_\_\_\_

Submitted by: \_\_\_\_\_ Date \_\_\_\_\_  
OWNER

Submitted by: \_\_\_\_\_ Date \_\_\_\_\_  
SHERIFF/POLICE CHIEF

Submitted by: \_\_\_\_\_ Date \_\_\_\_\_  
CONSULTANT

**PHASE 5  
TRANSITION PROGRAM / FINAL WALK-THROUGH**

**SUBMISSION CHECKLIST**

**I. SUBMITTALS**

- [ ] A. Policy & Procedure Manual
- [ ] B. Certificate of Substantial Completion
- [ ] C. Acknowledgement that a keying schedule has been prepared and approved by the Sheriff / Police Chief.

Facility/Project: \_\_\_\_\_

Submitted by: \_\_\_\_\_ Date \_\_\_\_\_  
OWNER

Submitted by: \_\_\_\_\_ Date \_\_\_\_\_  
SHERIFF/POLICE CHIEF

Submitted by: \_\_\_\_\_ Date \_\_\_\_\_  
CONSULTANT