

PRISON COMPLEXES: AN OVERVIEW

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Introduction

This document responds to a National *Drug Control Strategy* objective that identified the need for information to assist prison systems in investigating the concept of prison complexes. It is designed to provide an overview of the experiences of agencies that are currently planning or operating such facilities.

Information in the document was obtained in two ways: 1) through a portion of a written survey developed by NIC Information Center staff to gather descriptions of the organizational management structures of state departments of corrections; and 2) through telephone interviews with correctional administrators in California, Arizona, Michigan, and the U.S. Bureau of Prisons. Appendix A provides contact persons for the written and phone survey, along with copies of both the written and phone questionnaires. Additional descriptive materials received from the Arizona Department of Corrections are attached as Appendix B.

Prison Complexes: The Concept

The term “prison complex” usually refers to a single site on which two or more institutions are purposefully located close together to take advantages of economies of scale by sharing services, utilities, programs, and administration. In some states, institutions in a prison complex are always designed around a central administrative hub; in others, they are not.

California’s definition of a prison complex is essentially the reverse of the usual definition. In that state, the term refers to a large prison that includes at least two “complexes,” each of which has two facilities. Each facility has five housing units of 100 cells. Each facility is semi-autonomous, with certain functions being shared among all facilities in the prison.

Fourteen states and the District of Columbia currently use prison complexes. The U.S. Bureau of Prisons has just begun to develop complexes, with one under construction in Florence, Colorado, and another in Allenwood, Pennsylvania.

Some states have undertaken an extensive planning process in developing prison complexes; in other states, complexes are simply the by-product of facility expansion. For example, in Michigan, a temporary facility was retained along with a permanent one when the state saw the need for both, in Arizona, though, almost all prisons built since 1978 have been planned and constructed as complexes. Since that time, only one prison in the state, a conservation camp, has been built as a stand-alone facility.

Resource Sharing

State planners are seeking a variety of benefits when they decide to develop a prison complex. The principal motive is to save costs through the resource-sharing a complex makes possible. As Table 1 (page 2) makes clear, the most commonly-shared services are food, medical, maintenance, and staff training.

Table 1. Prison Complexes: Services Shared Among Institutions

	Food	Medical	Mainten- ance	Commis- sary	Staff Training	Education/ Vocational Training	Other
Alabama	✓		✓			✓	Laundry
Arizona	✓	✓	✓	✓	✓		Personnel, perimeter security, transportation, motor pool, emergency response team, fire department
Arkansas							Laundry
California	✓	✓	✓	✓			Water and waste treatment, vehicle maintenance, firing range, visitor processing
Colorado	✓	✓	✓	✓			
Georgia	✓		✓		✓		Some administration
Idaho			✓				Food warehouse, emergency response teams
Kentucky	✓	✓	✓	✓	✓		
Massachusetts	✓	✓	✓		✓		
Michigan	✓	✓	✓		✓		Administration
Mississippi	✓	✓	✓	✓	✓		Religious programs, offender services, inmate records, internal affairs (investigations), recreation, transportation
New York	✓	✓	✓	✓	✓		Transportation, programming
Ohio		✓		✓	✓		Food and maintenance equipment storage
Utah	✓	✓	✓	✓	✓		
Virginia	✓	✓	✓	✓			
Washington	✓	✓	✓	✓	✓		Business management
D.C.							Transportation

Food services are sometimes shared through quick-chill operations, in which a central kitchen prepares food for other facilities in a complex. The Jackson, Ionia, and Kinross area prisons in Michigan include laundry facilities operated by Michigan State Industries. All state-issued items are collected at these facilities, where they do the laundry for the complex of prisons in their area.

Fire services may also be shared within a prison complex. Depending on the location, the department of corrections may negotiate with the local community to determine who will provide fire services. Water and waste treatment, vehicle maintenance, the firing range, and visitor processing centers may also be shared, as they are in California.

Another common example of resource-sharing is vocational technical training. If one facility provides training in welding, for example, no other facilities in the prison will do so, but instead offer other vocational programs that can be used by all facilities. Bureau of Prisons institutions within a complex will share such functions as maintenance, landscaping, staff training, and the warehouse, motor pool, and heating and cooling systems. Institutions share business functions, and Unicor provides one shared warehouse. Each institution has its own food services, but food is purchased in bulk for the entire complex.

Other Reasons for Prison Complexes

States also turn to prison complexes for other reasons. The principal impetus in California for developing these institutions was the need for more efficient, secure, controllable prisons. The original idea was to move away from large, open prisons that could be lost to riots or uprisings. In this view, one of the units in a complex might be lost, but not all. The emphasis was on maintaining a span of control through an efficient and secure plan.

A number of survey respondents also pointed to the fact that staff can gain wide experience in these facilities to help them in terms of career advancement. Prison complexes, in turn, provide broadly-trained staff who can become excellent administrators for stand-alone institutions. The U.S. Bureau of Prisons spokesperson noted the advantage provided to staff who can work in different levels of security classification, from minimum to maximum, all at the same site. They can thus attain experience at all levels within the complex rather than having to move across the country, as is otherwise often necessary for Bureau personnel.

Administration of Prison Complexes

States have taken various approaches to administering and staffing prison complexes. A single administrator may be in charge of all institutions in a complex, but this is not always the case. In seven of sixteen agencies with prison complexes, wardens of individual institutions in the complex report to a "super warden." In Arizona, one super warden is responsible for an entire complex, and each institution has a Deputy Warden who is in charge of day-to-day operations. There is also an Associate Warden over business and support functions, a Major who is responsible for overall security, and a Captain responsible for internal security and programs. Some states have found it possible to pare down top administrative staff by having a warden, an administrative officer, and a personnel office for an entire complex. A deputy warden is in charge of each prison, and staffing below that level is the same as in a stand-alone facility.

In the Bureau of Prisons' planned model, each institution in the complex will be totally autonomous; there will be no super warden. However, two staff from each facility will be allocated from the facility to the central administration area to manage the shared services. These posi-

tions will report not to the facility in whose budget they are listed but to the administrator of the function they serve. For example, two staff from each institutions will report to the person in charge of the shared warehouse, two to the business office, and so forth.

California is still debating how best to administer prison complexes. The state found that an 8,000 bed prison is too big for one person to administer, especially in the case of the California Medical Facility, whose size and mission are large and complex. Therefore, California is now assigning a warden to each facility in a complex. On the other hand, they have found that some large prisons, such as Folsom, can function with one warden and two chief deputy wardens.

Developing a Prison Complex

Agencies that have designed, planned, built, and opened prison complexes estimate that it takes about four years to bring an entire complex on line. The BOP projects now under way took about one year for design, bidding, and groundbreaking stages. Construction is scheduled to be completed three years later. However, the projects are ahead of schedule, which is attributed to the fact that everything is on one site.

Opening a prison complex may involve phasing in one unit a year and delaying some central functions until the entire complex is open. For example, the warehouse may be built in increments, starting with a limited number of square feet and adding additional space as more units are opened. Similarly, a motor pool might begin with a two bay operation and provide another two bays when the complex is complete. During the time construction is going on, different units may share some functions with another prison or complex located in the same general region.

Prototype Designs

One approach to developing prison complexes is to use prototype designs throughout the state. California and Arizona now have complete sets of standardized building designs and site layouts. Both states have found that the basic blueprint of the prototype can be adapted for different regions of the state in terms of variables such as temperature, earthquakes, and the availability of water. Occasionally, operational needs may dictate other minor changes.

The use of prototype plans reduces construction costs by up to 4 percent, and it also offers other advantages. Standardized designs allow planners to know what buildings will look like and how they will operate, which makes it easier to anticipate resource and staffing needs. Similar prisons with similar custody levels not only look alike, they also operate alike. This standardization makes training staff easier and, perhaps even more important, smooths the process of planning for future expansion.

California finds that, using prototypes, they can complete a project in about thirty months. Arizona's most-recently constructed complex, Eyman, at Florence, has taken four years to complete.

Special Planning Considerations

A number of special issues must be addressed in developing a prison complex. These include:

- **Impact on the community.** As many as four new facilities at one location will have a significant impact on the surrounding community and its resources. To respond to the situation, the Bureau of Prisons appointed an onsite coordinator who is located in the community. This has proven very successful, as it provides an immediate contact for local officials to work with in addressing a variety of issues on an ongoing basis.
- **Availability of resources and potential staff.** Be sure that the community provides sufficient resources such as qualified staff, as well as social services, housing, and educational and medical services for inmates and staff and their families.
- **Logistics.** Vehicles entering and leaving a prison complex can have a significant impact. It may be necessary to widen or construct entry and exit roads to accommodate the large number of staff who will be employed at a complex. It is also important to coordinate inmate visiting hours with shifts worked by staff to ensure that traffic flow will not be impeded.
- **Communications.** Communicating both within and without the complex can also be a problem if it is not planned in advance. Bureau of Prisons administrators, for instance, found that they had to develop filters for each facility to prevent crossover interference from two-way radios. At the same time, they also had to keep a community band to link all radios in case of an emergency.
- **Construction coordination.** Planning the phases of construction can be more complicated than for a stand-alone facility, as not all functions will be available or functioning at full capacity until the entire complex is completed. For example, it may not make sense to open a waste water treatment plant for 3,200 inmates as soon as the first unit comes on line. To do so would unnecessarily increase both construction and operational costs. Instead, the treatment plant should be designed to handle all 3,200 inmates, but should also be engineered to allow for incremental construction and operation to handle one unit at a time.

In general, those interviewed stressed the importance of addressing in advance all aspects of a prison complex that may be more complicated than for a single facility.

Have Prison Complexes Been Successful?

Most agencies develop prison complexes in an effort to save money. Given the range of service-sharing made possible in prison complexes, cost savings are apparent. Few agencies have done actual cost comparison studies, however, so it is too early to tell exactly what types of service-sharing are most efficient. Arizona is currently conducting several studies to determine this, including a test case in laundry-sharing at the new Eyman prison complex. The state also believes that it costs less to build and operate one preparation kitchen with satellite service kitchens at the unit level, and they are beginning a study to determine if this is true.

Most of those surveyed and interviewed expressed general satisfaction with their agency's prison complexes. They pointed to the fact that such multi-facility arrangements enable agencies to:

- Avoid acquiring new land
- Cut down on travel from the central office to institutional sites
- Pool services such as medical, food, laundry, and maintenance
- Reduce construction and utility costs
- provide opportunities for staff to gain experience in different types of facilities at one location
- Pool resources in case of emergency.

Respondents from seven responding states plus the Bureau of Prisons indicated that their agencies plan to develop more prison complexes in the future: Arizona, Arkansas, California, Georgia, Massachusetts, New York, and Utah. The Bureau of Prisons is just beginning to develop complexes, but plans to continue to do so. The administrators interviewed by phone (from Arizona, California, Michigan, and the Bureau of Prisons) had an opportunity to express their opinions in more detail than those who responded to the written survey. Most of the comments that follow are therefore from their perspectives.

- In California, complexes have been successful in meeting the need for secure institutions. Although there have been incidents, the state has found that their escapes and incidents have decreased in prison complexes. California's design includes smaller housing units that have no blind spots, which means that inmates are in the sight of staff and less likely to act out. The California respondent noted, though, that the design is in some ways a "double-edged sword." Staff tend to be less active in problem-solving than in older institutions.
- In California, prison complexes also cost more to construct than old "Folsom-type" prisons. This higher cost is due to features present in new prison design and to the associated support programs. Nevertheless, the respondent noted, the advantages gained in added safety outweigh higher construction costs. Arizona, on the other hand, has found construction materials and utilities cost less as a result of economies of scale.
- The Michigan respondent indicated that prison complexes in that state have been "reasonably successful" They have saved money, but there have been drawbacks such as increased stress levels and responsibilities for the administrative staff. Administrators - especially wardens and business managers-have doubled their responsibility but have not received higher salaries.
- The state of Arizona views complexes as more functional than traditional prisons. Resource sharing, cost reduction in terms of both construction and operation, and flexibility are key successes. Energy conservation and standardization of practices are also important. In fact, this state's respondent noted, standardization "may be the most important long-term advantage of complexes, as it allows for staff awareness of operations and reduces training needs."

Retrospective Comments

Interviewees were asked to comment on what aspects of their state's approach to developing prison complexes they would change if given the opportunity to start the process from the beginning. The Michigan respondent indicated that he would recommend an altogether different approach that would not include sharing services. Instead, he believes the state corrections department should announce the amount of funds needed to compensate for a budget reduction and then let individual wardens and managers decide how to provide their share of the reduction. He commented that forcing two wardens to share services is sometimes very difficult, as each is likely to have a different management style.

Interestingly, the Arizona respondent expressed some reservations about centralizing functions. He commented that some functions may have been centralized when it might have been more beneficial to standardize them at the unit level. In his view, it might not be in the best interest of units for the warden to be responsible for things that are best taken care of at the unit level. Citing the difference between centralizing and standardizing, he noted that the tendency to centralize rather than standardize should be resisted unless there are definite benefits to be realized. From the perspective of this same respondent, Arizona would standardize prison design sooner if they had it do over. Although the state began constructing prison complexes in 1978, they did not use prototype designs regularly until 1986.

Conclusion

As this "overview" makes clear, states are beginning to consider prison complexes for a variety of reasons. Administrators who have experience with prison complexes disagree somewhat over the nature and degree of their advantages over stand-alone prisons. Some also see limitations in such facilities. Nevertheless, they generally agree that, if carefully planned and operated, prison complexes can provide significant benefits to states faced with the need to house large numbers of offenders for the least possible cost.

Appendix A
Survey Instruments and Agency Contacts

Telephone Interviewees:

Federal Bureau of Prisons	Tony Davis, Regional Activation Coordinator, U.S. Bureau of Prisons; Kansas City, Missouri.
California	Larry Corby, Acting Associate Warden, Program Administration, California Department of Corrections. Robert Ayers, Chief, Program Support Unit, Division of Institutions, California Department of Corrections.
Michigan	Donald Houseworth, Assistant Deputy Director, Bureau of Correctional Facilities, Michigan Department of Corrections
Arizona	Stan Bates, Assistant Director, Administrative Services Division, Arizona Department of Corrections.

DOC Structure Survey Respondents

Alabama	Chas H. Simmons, Senior Administrative Analyst, Department of Corrections
Alaska	Lloyd Hames, Commissioner, Department of Corrections
Arizona	Samuel A. Lewis, Director, Department of Corrections
Arkansas	Larry Norris, Assistant Director of Institutions, Department of Correction
California	Rusty Gagnon, Project Manager, Department of Corrections
Colorado	Frank O. Gunter, Executive Director, Department of Corrections
Connecticut	Theresa C. Lautz, Deputy Commissioner of Administrative Services, Department of Correction
Delaware	Kathryn Pippin, Management Analyst, Department of Correction
Florida	Harry K. Singletary, Jr., Secretary, Department of Corrections
Georgia	Barbara Crouch, Graphics and Survey Coordinator, Department of Corrections
H a w a i i	George Sumner, Director, Department of Public Safety
Idaho	Richard Vernon, Director, Department of Corrections
Illinois	Francis B. Nelson, Jr., Data Support Supervisor, Department of Corrections
Indiana	(No response.)
Iowa	John Baldwin, Deputy Director, Department of Corrections
Kansas	(No response.)
Kentucky	Kathy Black-Dennis, Manager, Planning and Evaluation Branch, Corrections Cabinet
Louisiana	Bruce N. Lynn, Secretary, Department of Public Safety and Corrections
Maine	Donald L. Allen, Commissioner, Department of Corrections
Maryland	(No response.)
Massachusetts	Ted O'Donnell, Project Analyst, Department of Correction
Michigan	Gail R. Light, Public Information Specialist, Department of Corrections

Minnesota	Dan O'Brien, Assistant to the Commissioner, Department of Corrections
Mississippi	Kenneth D. Meadows, Personnel Director, Department of Corrections
Missouri	Kenneth L. Hartke, Director, Planning, Research and Evaluation, Department of Corrections
Montana	Theodore H. Clack, Research Supervisor, Division of Corrections
Nebraska	(No response.)
Nevada	K. L. Sannicks, Assistant Director, Operations, Department of Prisons
New Hampshire	N. E. Pishon, Assistant Commissioner, Department of Corrections
New Jersey	Stan Repko, Deputy Director, Department of Corrections
New Mexico	Don Caviness, Administrative Assistant, Corrections Department
New York	Thomas A. Coughlin, Commissioner, Department of Correctional Services
North Carolina	Ken Parker, Manager of Research and Planning, Department of Correction
North Dakota	Elaine Little, Director, Department of Corrections and Rehabilitation
Ohio	Curtis Wingard, Administrative Assistant to the Deputy Director, North Region, Department of Rehabilitation and Correction
Oklahoma	Pam Ramsey, Administrative Assistant, Department of Corrections
Oregon	Stephen A. Willhite, Research and Evaluation Analyst, Department of Corrections
Pennsylvania	Daniel R. Tepsic, Director, Bureau of Human Resources, Department of Corrections
Rhode Island	(No response.)
South Carolina	Hubert M. Clements, Deputy Commissioner for Administration, Department of Corrections
South Dakota	Lynne DeLano, Secretary, Department of Corrections
Tennessee	Susan Mattson, Director, Planning and Research, Department of Correction
Texas	Allan D. Sapp, Management Services, Department of Criminal Justice; Jesse Wicks, Planning Development and Procedure Assistant, Department of Criminal Justice
Utah	Cliff Butter, Research Analyst, Department of Corrections
Vermont	Richard C. Turner, Director of Corrections Services, Department of Corrections
Virginia	Helen S. Hinshaws, Lead Agency Management Analyst, Research and Evaluation Unit, Department of Corrections; Richard J. Diamon, Manager, Classification and Compensation, Department of Corrections
Washington	Kathy Hoffstater, Administrative Assistant to the Director of Human Resources, Department of Corrections
West Virginia	Robert G. Casto, Staff Assistant, Division of Corrections
Wisconsin	Cynthia A. Schoenike, Deputy Administrator, Division of Management Services, Department of Corrections
Wyoming	Judith Uphoff, Director, Department of Corrections
District of Columbia	Sylvester O. Ezeani, Program Analyst, Department of Corrections

Appendix B
Additional Materials

VOLUME I
PHYSICAL PLANT

CHAPTER I DESIGN CRITERIA

SECTION I D E S I G N P R O C E S S

Architectural Programming - guidelines on the number of people using the buildings, roles and relationship to each other. These guidelines are used to formulate designs to ensure operational objectives, space and cost allocations are met.

- reflects the amount of space, characteristic security provisions and other ambient conditions regarding how each space relates to the other
- specifies all physical and environmental requirements that facilitate achievement of operational objectives such as visibility, control, manageability, efficiency and suitability for various institutional programs
- identifies each component/functional use area, its size, areas requiring close proximity to another or isolation from others, movement and hours of use
- Major Components are:
 - administration
 - operations
 - visitation
 - A C I
 - medical/dental
 - vocational training
 - warehouse
 - multipurpose
 - security
 - housing
 - food service
 - laundry
 - recreation
 - academic education
 - maintenance

Master Plan - provides the over all framework and guidelines for the development of a new prison.

- meets requirements established by ADC/DOA, the program and all other relevant criteria
- addresses development of housing, program and support areas to facilitate secure and efficient operation
- ensures staff efficiency is maximized
- provides an efficient life cycle for each building
- contains, but is not limited to, the following:
 - background information
 - site profile/overview, on site analysis
 - building requirements/summary of functional and spatial requirements for housing, programs, administration and support areas

Site Design Criteria - conceptual plans for support service areas to facilitate control of movement throughout the prison. This criteria designates zoning of areas for specific activities and clusters individual buildings to facilities and complexes.

Site Program Guidelines - state how specific elements of the site and prison should be developed to achieve and meet program requirements.

Site Development Options - when size and topography of site could facilitate several locations and configurations of the prison, options should be developed to consider how well each would meet objectives and respond to programmatic, environmental and site factors.

Programmatic factors include site size, separation of facilities, distance to service areas and impact on existing facilities.

System Profile - provides zoning analysis of site, major utility and security systems, solar planning, construction phasing, communications, water and sewer systems and long-term analysis.

Preliminary Plans:

Schematic Plans - analyze major factors influencing construction project and formulate general drawings of appropriate building designs.

- Critical factors include the budget, staffing requirements, inmate population at design capacity, site constraints and security level.
- Additional considerations are intended function of space, assigned staff, flow of work, relationship between staff, access and security concerns.

Design Development - illustrates and describes all architectural, structural, mechanical and electrical considerations of the construction project. This expands the schematic, or general, plans to display complete floor plans for each building.

- detailed layout of each room, finishes, hardware, window glazings, utilities (including type and method of providing utilities).

Construction Documents - working drawings used to accurately bid and build the project.

Construction Contract Award - is made after following these steps:

- Prepare contract to include scope of services and estimated cost
- Prepare Invitation to Bid
- Advertise
- Conduct pre-bid conference
- Receive and review bids, bonds, certificates of insurance, etc.
- Prepare recommendation
- Award contract
- Provide contractor a fully executed contract document and Notice to Proceed

SITING/COMMUNITY RELATIONS

Once it is determined that a new prison is needed, the number of beds and security level required, and the physical plant design established, the site selection process begins. This process is started by reviewing the available State, Federal and private lands. Letters may be sent to the cities and towns with a specified population number throughout the counties under consideration to see if any interest is generated. Based upon the receptiveness shown by a community, or communities, to accommodate a prison within their boundaries, a planning group is formed to visit the proposed site(s) and meet with the community leaders. The planning group should consist of representatives from the Department of Corrections' Adult Institutions and Administration Divisions, and the ADC Facility Management Bureau, as well as staff from the Department of Administration's Facilities Management and their Construction Design and Development Division. The town/community meetings should include the mayor, city council, board of supervisors, the Chamber of Commerce and key staff in the areas of religion, education, health care, business and industry, civic groups, and utility companies. The purpose of these meetings is to establish the needs of the community, determine their resources and address the basic questions concerning what the prison could do for the community versus what the community could do to support a prison. Based upon this exchange of information, the planning team will develop recommendations in the form of oral and/or written presentation to the community at a public meeting. The recommendations shall include consideration of the following:

1. Availability, size and quality of health service facilities (hospitals, physicians, surgeons, dentist, eye care specialists, substance abuse treatment, counseling resources, etc)
2. number and type of education centers (grade schools, high schools, trade schools, colleges, etc.) and types of curriculum available
3. condition of existing roads, availability of public transportation and future expansion/improvement plans
4. available housing, type/age of existing residences, cost and future expansion plans
5. law enforcement, fire protection and special service needs (ambulance service, emergency 24-hr. care units)
6. unemployment rate, average age and skill level of community residents
7. major industry/business/agriculture, etc. of the immediate community and surrounding areas
8. major occupation/lifestyles of residents
9. availability and type of recreation for community residents (parks, social activities; shopping, movie theaters, bowling, golf, tennis, swimming, health clubs, etc.)

10. capacity of existing utilities (gas, electric, phone, sewer, water)
11. ethnic background/religious interests of majority of existing population
12. land currently available for expansion and costs associated with the site (appraisals, litigation guarantees, legal ownership) and whether or not conditions exist, such as easements/leases, that need to be considered
13. determination of possible historic site or area requiring preservation for archaeological possibilities
14. soil type, zoning, topography, climate and wind considerations should also be noted, as well as current botanical growth and wildlife inhabitants in the area.

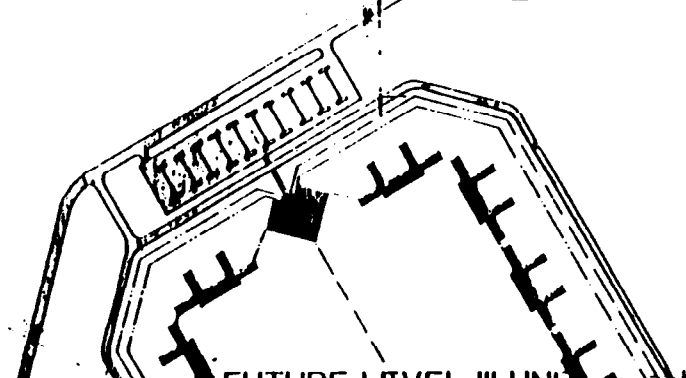
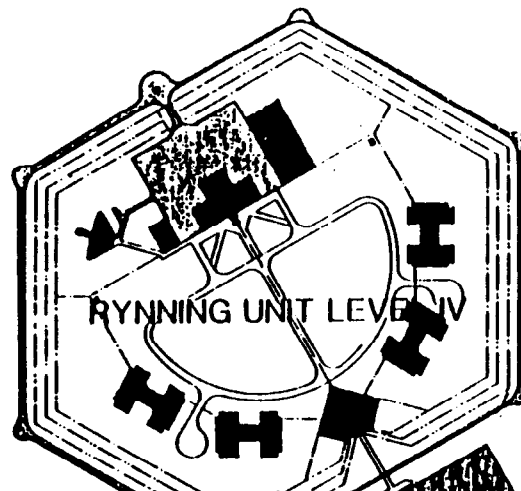
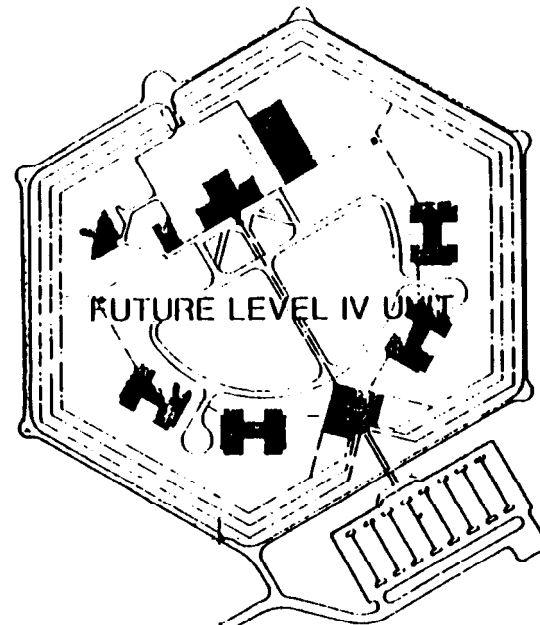
Several meetings will be required with the various community groups/organizations prior to the development of a final recommendation by the planning team. The final recommendation will be formally presented to the Legislature for approval by the Departments of Administration and Corrections, including cost estimates. These costs estimates will later be incorporated into the Capital Renewal Plan.

When the Legislature approves funding for the new prison, and the project is underway, it is important to maintain close contact and involvement with the community leaders to strengthen their support and with the Legislature. Staff should actively participate in religious and civic organizations and address youth groups as frequently as possible. Job fairs should be conducted for recruitment. These fairs should also offer training and orientation into a correctional career. The success of a new facility depends heavily upon the support of the community in which it operates.

STATE OF ARIZONA

DEPARTMENT OF ADMINISTRATION

DEPARTMENT OF CORRECTIONS



Volumes I through VI
Division A
Chapter 1

DESIGN PROCESS or
CONSTRUCTION OF A NEW FACILITY

The construction of a new prison facility can be looked at as occurring in a five stage process. These stages include Conceptualization, Funding, Design, Construction, and finally Facility Activation. The entire process is in actuality an extensive process that begins with the first conceptualization of the institution.

SECTION a. CONCEPTUALIZATION STAGE

The concept of a potential prison is a continued process of refinement. The initial conceptualization of a new prison begins when the Ten Year Plan is developed by the Director's Office, or basically ten years prior to when an actual prison unit will be occupied. Progress updates on the Ten Year Plan will continue to identify the need for the particular prison unit until it is actually built.

In addition, the Capitol Budget Cycle will identify a new prison unit as much as eight Years prior to its occupancy For further information on the Capitol Budget Cycle reference Division A, Chapter 5.

At the time of the Ten Year Plan the conceptualization for the institution will look as shown in Figure A.

FIGURE A what when where

During a period from approximately eight years to six years from the occupancy date, the process of conceptualization will be further refined for the Capitol Budget Cycle as shown in Figure 8.

FIGURE B what when where how much

Finally, at about six years from occupancy, the Conceptualization Process for a specific unit should have developed to the point of Figure C. A "unit" consists of housing and support services for 800 inmates.

FIGURE C What when where how how much

During each of the phases in Figures A through C., the five criteria of What, When, Where, How, and How Much evolve in depth of detail. This detail is discussed below and for the Purpose of this manual they have been renamed as Scope (What),

Schedule (When), Site Selection (Where), Master Plan (How), and Budget Estimate (How Much). This process of Conceptualization is completed when it is able to meet the detail of these five criteria.

(1). Scope (What)

The actual bed need by level of inmate determines the type of unit that will be built as part of a complex. A complex as defined for the purpose of this manual has four - 800 bed units and one Complex Support area. The scope of a unit will depend on the custody classification level of inmates that will be housed within it. During the lengthy time frame associated with the Conceptualization Process, the actual scope of a unit may change due to changes in the forecast of male adult population by level (also see A.I.a.(2).)

The scope for a particular unit or complex is based on established **criteria**. These criteria address the use of Prototypical Buildings, New Building **Designs**, and the Site Layout.

(a) _ Prototypical Buildings

Prototypical buildings have been developed for use by level in the housing of inmates. The term "prototypical" infers the duplication of the design configuration of an object. **space** or building. These Prototypical buildings designs were developed to reduce the expense incurred for the redesign of new buildings and to provide consistency in areas of operation. The use of these buildings is to be kept in mind whenever long and short range planning is occurring. The types of prototypical buildings can be termed to consist of six different categories; Level 1, Level 2, Level 3, Level 4, Level 5, and Complex Support. Reference the applicable volume for a description for each of these categories.

I-A-1.a. (1) (a). Level 1

The intent of a level 1 facility is to function as a Correctional Release Center (CRC). The custody guideline for an inmate housed **at this** level involves occasional observation and relatively unrestricted inmate movement. This lifestyle of an inmate is structured so as to include job service in an adjacent community whenever possible. This concept is best brought to fruition when the facility is located very close to a large metropolitan area where inmates can conduct a lifestyle similar to that of a working person in free society. Inmates have unrestricted movement during the daytime and are only generally restricted during an evening lockdown. Meals are served at the facility with minimum supervision and visitation can occur on a contact basis.

Historically, level 1 CRC's have been existing structures, such as old motels, that have been Purchased or leased. Renovations are completed on these existing buildings to comply with applicable requirements for security, housing, kitchen/dining, etc. For a listing of the various functions within this building see page ??? Also, a floor plan of this building can be seen on page ???

11-A-I-a. (1). (a). Level 2

The intent of a level 2 unit is to house 800 inmates in two separate yards containing LOO inmates each. Level 3 prisons shall be built, operated and maintained in concert with the Mission of he Department of Corrections and within the framework of State Law. In accordance with this criteria, Level 2, 800 bed prisons shall Provide a safe, secure, rehabilitative environment, with an emphasis on education and work/training programs. The Level 2 prison population requires minimal security and control; they may be housed in dormitory-style housing units, with occasionally observed movement inside the Prison yard. Level 2 prisons provide extensive academic, vocational, self-help/counseling, basic education and college programs, as well as advanced training, and employment in work crews within communities, religious and social activities. These programs 2nd activities are designed to introduce more accountability and assimilate new behaviors congucive to reintegration into the community. Visitation for these inmates is on 2 contact basic with periodic supervision.

In a 800 bed level 2-unit there are a total of six different types of buildings: including the Housing Unit facility Administration building. Klitchen/Dining/Yard office building, Health Unit. Lock-up, and A V.I./V.T.S.

Housing Unit

The Housing Unit has been named the "double-T" in reference to its shape. The double T utilizes a dormitory style where pods of 25 men each are housed in a wing. The building is designed such that inmates can be conveniently observed in each wing when necessary. This design also utilizes gang type bathrooms where clear visual observation from a central point can occur. For a detailed listing of the various functions within this building see page ??? Also, a floor plan of this building can be seen on page ???

Facility Administration building

This building serves as the main entrance for visitors

and staff. Unit administration, visitation, library, and other classrooms are located within this building. For a listing of the various functions within this building see page ??? Also, a floor plan of this building can be seen on Page ???

Kitchen/Dining/Yard Office building

This building serves as a satellite kitchen, dining room. Yard office. inmate services, and reception. For an itemized listing of the various functions within this building see Page ??? Also, a floor Plan of this building can be seen on Page ???

Health Unit

This building serves as the central location for medical, dental, and mental health services. For an itemized listing of the various functions within this building see Page ??? Also, a floor Plan of this building can be seen on Page ???

Lock-up

This building functions as a restricted Privileges building for disciplinary cases. The capacity of this building is for 40 inmates at one inmate Per cell. For a listing of the various functions within this building see page ??? Also, a floor plan of this building can be seen on page ???

A. C. I. /V. T. S.

Building will be locate where commercial and industrial types of Processes will be conducted utilizing inmates as major work force. Also, training will occur for various construction trades work skills. For a listing of the various functions within this building see page ??? Also, a floor plan of this building can be seen on page ???

Weight Ramada

An open air building of ??? s-f. where weights can be stored without direct exposure to the elements and inmates have space where they can be used.

111-A-I-a. (1). (a). Level 3

The intent of a level 3 unit is to house 800 inmates in two separate yards containing 400 inmates each. The level 3 Prototype is based upon buildings utilized at the Eyman Complex, Cook Unit in Florence. Level 3 Prisons shall be built, operated and maintained in concert with the Mission of the Department of Corrections and within the framework of State Law. In accordance with this criteria, level 3, 800 bed Prisons shall provide a safe, secure, rehabilitative environment, with an emphasis on

education and work/training Programs. to a Population of medium custody level inmates. The Level 3 prison population requires average security and control; they may be housed in dormitory-style housing units, or cells, with monitored movement inside the Prison yard.

Level 3 prisons provide increased academic, vocational, self-help/counseling, basic education and college programs. as well as advanced training and employment in AC1 jobs, religious and social activities. These programs and activities are designed to introduce more accountability and assimilate new behaviors conducive to reintegration into the community.

In a 800 bed level 3 unit there are a total of six' different types of buildings; including the Housing Unit, Facility Administration building, Kitchen/Dining/Yard Office building, Health Unit, Lock-UP, and A.C.I./V.T.S.

Housing Unit

The Housing Unit has been named the "reduced double-T" in reference to its shape and derivation. The reduced double T utilizes a dormitory style where pods of 25 men each are housed in a wing. A single control officer stationed has the ability to supervise 50 inmates at 2 time. The building is designed such that inmates may be locked down in their wings for extended periods of time when necessary. This lock down situation still allows inmates to use the bathroom facilities whenever necessary. These gang type bathrooms also have clear visual observation from the control station. For a detailed listing of the various functions within this building see page???. Also, a floor Plan of this building can be seen on page ???

Facility Administration building

This building serves as the main entrance for visitors and staff. Unit administration, visitation, library, and other classrooms are located within this building. For a listing of the various functions within this building see Page ??? Also, a floor plan of this building can be seen on page ???

Kitchen/Dining/Yard Office building

This building serves as a satellite kitchen, dining room, yard off ice, inmate services, and reception. For an itemized listing of the various functions within this building see Page ??? Also, a floor plan of this building can be seen on page ???

Health Unit

This building serves as the central location for medical, dental, and mental health services. For an itemized listing of the various functions within this building see Page ??? Also, a floor Plan of this building can be seen on page ???

Lack-up

This building functions as a restricted priviledges building for disciplinary cases. The capacity of this building is for 40 inmates at one inmate Per cell. For a listing of the various functions within this building see page??? Also, a floor Plan of this building can be seen on Page ???

A.C.I./V.T.S.

Building will be location where commercial and industrial types of processes will be conducted utilizing inmates as major work force. Also, training will occur for various construction trades work skills. For a listing of the various functions within this building see page ??? Also, a floor Plan of this building can be seen on oage ???

Weight Ramada

An open air building of ??? s.f. where weights can be stored without direct exposure to the elements and inmates. have space where they can be used.

1V.A.I.e. c11.:2:.. Level L

The intent of a level 4 unit is to house 800 inmates in two separate yards containing 400 inmates each. The level 4 Prototype is based upon buildings constructed at the Eyman Complex. Running Unit in Florence. The nature of a level 4 inmate requires frequent direct supervision. Movement during daytime hours is restricted and closely monitored. Night time movement is only under direct supervision. Meals are carefully suPervised when served in dining hall tree of atmosphere. Inmates are resticed as to their employment and are to work within a secured perimeter. Visitsion is on either a contact or on a non-contact basis. A multitude of functions occur within a unit and can be best understood in detail by the tree of buildings used. In a 800 bed level 3 unit there are a total of six different types of buildings; including the Housing Unit, Facility Administration building, Kitchen/-Dining/Yard Office building, Health Unit, Lock-up, and A.C.I./V.T.S.

Housing Unit

The Housing Unit has been named the "H shaped" in reference to its shape. The H shaped Housing Unit

utilizes two man cells clustered in pods of 25 men. A single control officer housed in a 60 minute attack resistant enclosure has the ability to supervise and control two pods of 25 or 50 inmates at a time. The building is designed such that inmates may be locked in their cells for extended periods of time during the evenings and whenever necessary. The cells contain a toilet fixture and a sink so that day to day hygienic functions can occur. Access to a shower and laundry facilities is also contained within the Pod. For a detailed listing of the various functions within this building see Page ??? Also, a floor Plan of this building can be seen on Page ???,

Facility Administration building

This building serves as the main entrance for visitors and staff. Unit administration, visitation, library, and other classrooms are located within this building. For a listing of the various functions within this building see Page ??? Also, a floor Plan of this building can be seen on page ???

Kitchen/Dining/Yard Office building

This building serves as a satellite kitchen, dining room, yard office, inmate services, and reception. For an itemized listing of the various functions within this building see Page ??? Also, a floor plan of this building can be seen on page ???

Health Unit

This building serves as the central location for medical dental, and mental health services. For an itemized listing of the various functions within this building see page ??? Also, a floor plan of this building can be seen on page ???

Lock-up,

This building functions as a restricted privileges building for disciplinary cases. The capacity of this building is for 40 inmates at one inmate per cell. For a listing of the various functions within this building see Page ??? Also, a floor plan of this building can be seen on Page ???

A.C.I./V.T.S.

Building will be location where commercial and industrial types of processes will be conducted utilizing inmates as major work force. Also, training will occur for various construction trades work skills. For a listing of the various functions within this building see Page ??? Also, a floor plan of this building can be seen on page ???

Weight Ramada

An open air building of ??? s.f. where weights can be stored without direct enclosure to the elements and inmates have space where they can be used.

V.A.1.a. (1). (a). Level 5

The 768 bed level 5 facility is based upon the prototype established with the Special Management Unit in Florence. Inmates housed in a level 5 institution are to have maximum observation by staff and movements are to be directly observed by staff. Night time movement is infrequent and on an emergency basis. Meals are to be served at each cell. Access to work is restricted and under direct supervision. Educational programs are held within a secured perimeter. Visitation is on a non-contact basis. The prototypical level 5 unit consists of three main buildings and space associated with each is listed on page ???

Facility Administration

Main Building?

What else?

VI.A.1.a. (11). (a). Complex Support

The Complex Support prototype is based upon the buildings established at the Eyman Complex Support area in Floor enct_ Buildings associated with the complex support are identified as the Complex. Administration. Central Kitchen. Complex Warehouse. Vehicle Maintenance. Fuel Island, Complex Maintenance, and Hazardous. Material Storage. The nature of each of these buildings Provides efficiencies in terms of management, maximization of minimum resources, and security by being located outside of a particular unit. In addition to these buildings two other structures are generally required at an institution. One is the Waste Water Treatment Plant and the second is the Water Service and Storage Area.

Complex Administration

The Complex Administration building serves as the core for a variety of administrative as well as security functions. For a listing of the various functions which occur in the Complex Administration building see sheet ???. The construction of this building will generally involves its completion in two phases. The first Phase results in a total of 12,064 square feet (s-f.) of building. The second phase is an addition of 3000 s-f. which will occur as the second unit in a complex is constructed. For a floor plan of this building see sheet ???

Central Kitchen

The Central Kitchen serves as the central Preparation and distribution Point for the food served at the four units. Food is prepared in bulk form and shipped in thermal storage containers to each of the unit Kitchen/Dining buildings. The sizing of the food service equipments is such that a high economy of manpower, utility use and equipment maintenance is attained. Currently, the design of this kitchen is such that it will be able to provide meals for three separate complexes within 60 miles from this building. For a floor Plan of this building see page ???

Complex Warehouse

The Complex Warehouse is the primary location for the receipt of bulk goods to be stored and distributed as needed to the units. The size of the Complex Warehouse is to enable the storage of items purchased utilizing volume discount pricing. Besides storage of bulk foods and other material it contains a variety of other functions as listed on page ??? as well. A floor plan of this building can be found on Page???

Vehicle Maintenance

The Vehicle Maintenance building serves two basic functions: the maintenance and service of ADC vehicles utilized at the complex and the full time staffed firehouse. For a listing of the various functions within; this building see case??? Also, a floor plan of this building can be seen on page ???

Fuel Island

The fuel island should be located adjacent to the Vehicle Maintenance building so that the area around the Fuel Island and the Vehicle Maintenance buildings serve a similar purpose to full service gas station. Also, the Fuel Island is intended to be supervised using Personnel within the Vehicle Maintenance Building. For detailed information about the Fuel Island see ??? Also, a floor Plan of this building can be seen on Page ???

Complex Maintenance

The Complex Maintenance building serves as the centralized location for the service and storage of tools, equipment and materials necessary for the Periodic maintenance of a complex. For a listing of the various functions within this building see Page ??? Also, a floor Plan of this building can be seen on Page ???

Hazardous Material Storage

Current building code regulations regulate the type of materials that can be stored in large quantities within a given building. Also, these codes regulate the

proximity these materials can be stored in relation to other buildings of lesser fire resistive construction. A Hazardous Material Storage building was developed to address the problem of storage of materials like bulk paints and solvents. This building is located a minimum of 60 feet from other buildings to reduce the risk of the spread of fire. For detailed information about the Hazardous Material Storage building see ??? Also, a floor plan of this building can be seen on page ???

Waste Water Treatment Plant

When adajencies to an existing Waste Water Treatment Plant (WWTP) are not available, the State has designed a 680,000 Gallon per Clay WWTP that is to be built at the Erman Complex in Florence which is the basis for the prototypical design. For detailed information about the WWTP see ??? Also, a plan of this facility can be seen on page ???

Water Service and Storage Area

The use of water to f iohT fires and to provide to inmates has necessitated a process for design of the Water Service and Storage at a prison Complex. In some instances. the source of water for a facility involves the connecting to an existing water source. In other instances. the water SUPP-V has been deemed inadequate tG aUreSs the water needs Gf a COMPlEX and has tC1 of provided by the State. For detailed information about the Water Service and Storage Area see ??? Also, a plan of this area can be seen on page ???

(b). New Building Designs

The use of building designs other than those in existance as Prototypical are beyond the- scope of this manual. However, criteria established in the design of new buildings can be construed from information found in this manual when a new building design proves to be economically, politically, or environmentally viable.

I.A.1.a. (1). (c). Site Layout

Level 1

The overall Site Layout of a Level 1 facility has not been fully established as a prototype because of the variations in land acquisition. However the concept is based upon Southern Arizona Correctional Release Center in Tucson and utilizes a single outer fence for its perimeter. The paramters for design are described in at-eater detail in 1.A.I.b.

11-A. 1.a. (1). (cl. Site Layout

?

Level 2

With a few exceptions, the overall Site Layout of a Level 2 unit is based upon that established at the Level 3 Erman Complex Cook Unit in Florence. The most significant issue is that although the perimeter consists of a single outer fence and one roll of razor wire, no Perimeter electronic detection system will be used. Roving perimeter patrols and controlled gates/sallyports will still be used. The parameters for design are described in greater detail in 11.A.1.b.

111.A.1.a. (1). (c). Site Layout

Level 3

The overall Site Layout of a Level 3 unit is based upon that established at the Level 3 Erman Complex Cook Unit in Florence. The perimeter consists of a single outer fence, three rolls of razor wire, one electronic detection/monitoring system, roving perimeter patrols and interlocked and controlled gates/sallyports. The Parameters for design are described in greater detail in 111.A.1.b.

IV.R.1.a. (1). (c). Site Layout

Level 4

The overall Site Layout of a Level 4 unit is based upon that established at the Level 3 EYman Complex Rynning Unit in Florence. The perimeter consists of two outer fences, three rolls of razor wire, one electronic detection/monitoring system, roving perimeter patrols and interlocked and controlled gates/sallyports. The Parameters for design are described in greater detail in IV.A.1.b.

V.A.1.a. (1). (c). Site Layout

Level 5

The overall Site Layout of a Level 5 unit is based upon that established at the Special Management Unit in Florence. The perimeter consists of two outer fences, five rolls of razor wire, one electronic detection/monitoring system, roving perimeter patrols and interlocked controlled gates/sallyports. The parameters for design are described in greater detail in V.A.1.b.

VI.A.1.a. (1). (c). Site Layout

Complex Support

The overall Site Layout of the Complex Support area is based upon that established at the Eyman Complex in Florence. In general, the configuration of this design

is best established with the utilization of the Vaster Plan described in VI.A.1.a. (4). The parameters for design are described in greater detail in VI.A.1.b.

Rifle **range**?

Dog house?

(2). Schedule (When) **Confirm with** Rex Herron?

Through the use of DMO 90-05 historical data of the prison population by custody level are collected, maintained and analyzed by individual's in the Director's Office. Ten Year projections or forecasts are made each year based upon this historical data and adjusted based on changes in state law. These forecasts are compiled against existing available prison bed space to determine the number of prison beds that need to be build over a period of time. Based upon this analysis the actual time a unit is completed for occupancy can be identified in either the Ten Year Plan and the Capital Budget Cycle.

As the rates for incarceration change so do the projections. This analysis will continue up 'till when actual funding is granted for a Particular custody level of facility.

(3) Site Selection (Where)

A potential site is reviewed per IMP 105.2 for the potential of locating a prison complex on that site. A complex as defined for the Purpose of this manual has four - 800 bed units and one Complex Support area. Each of these units can vary as to their occupancy level. For the purpose of this manual only sites with climatatic conditions such as in the Phoenix/Tucson/Casa Grande area are considered. The variation of climates and their effect on the site layout and unit scope has not been ad-dressed.

In 1983 a task. force was assembled to address this issue and their report addressed facilities for eight Years. This report was completed on December 5, 1983 and may be a useful reference. Also the 20 Year Plan updated August 1988 is a useful reference.

This process is started by reviewing the available State, Federal and private lands. Letters may be sent to the cities and towns with a specified population number throughout the counties under consideration to see if any interest is generated. Based upon the receptiveness shown by a Community, or communities, to accommodate a prison within their boundaries, a planning group is formed to visit the proposed site(s) and meet with the community leaders. The planning group should consist of representatives from the Department of Corrections'- Adult Institutions and Administration Divisions, and the ADC Facility Management Bureau, as well as staff

from the Department of Administration's Facilities Design and Construction Division. The town/community meetings should include the mayor, city council, board of supervisors, the Chamber of Commerce and key staff in the areas of religion, education, health care, business and industry, civic groups, and utility companies. The purpose of these meetings is to establish the needs of the community, determine their resources and address the basic questions concerning what the prison could do for the community versus what the community could do to support a prison. Based upon this exchange of information, the Planning team will develop recommendations in the form of oral and/or written Presentation to the community at a public meeting. The recommendations shall include consideration of the following (in no particular order of priority):

- (a). Adjacency to an existing municipal population.
- (b). The cost of the land (whether it be a lease or purchase). Whether land is currently available for expansion and costs associated with the site (appraisals, litigation guarantees, legal ownership) and whether or not conditions exist, such as easements/leases, that need to be considered.
- (c). Availability, size and quality of health and emergency health service facilities (hospitals, physicians, surgeons, dentist, eye care specialists, substance abuse treatment, counseling resources, ambulance service, emergency 24-hr. care units! -
- (d). Number and type of education centers (grade schools, high schools, trade schools, colleges, etc.! and types of curriculum available.
- (e). Condition of existing roads, availability of public transportation and future expansion/improvement plans.
- (f). Available housing, type/age of existing residences, cost and future expansion/improvement plans.
- (g). Availability of law enforcement, and fire protection needs.
- (h). The adjacent communities population, unemployment rate, average age, wage and skill classifications.
- (i). The availability of major industry/business/agriculture, etc. of the immediate community and surrounding areas.
- (j). The major occupation/lifestyles of residents.

- (k). Availability and type of recreation for community residents (Parks, social activities, shopping, movie theaters, bowling, golf, tennis, swimming, health clubs. etc. 1.
- (l). Capacity and quality of existing utilities (natural gas, electric Power, telephone, sewage treatment, and water).
- (m). Ethnic background/religious interests of majority of existing population.
- (n). Determination of possible historic site or area requiring preservation for archaeological possibilities.
- (o). Soil type, zoning, lack of hazardous or unsuitable soil conditions, topography, hydrology, climate and wind considerations should be noted. Also the native botanical growth and wildlife that inhabitants the area.

Several meetings will be required with the various community groups/organizations prior to the development of a final recommendation by the planning team. The final recommendation will be formally presented to the Legislature for approval by the Departments of Administration and Corrections. including cost estimates. These costs estimates will later be incorporated into the Capital Budget Cycle.

(4). Master Plan (How!)

It is strongly recommended that a Raster Plan be conducted during the latter stages of the Conceptualization Process and prior to the Design Process. This Master Plan will form the basis for the configuration of the Complex on a particular site. This Master Plan, which consists of technical studies on the most efficient siting Configuration. available utilities. and hydrology of a particular location, is established from the results of the Site Selection. It is also based upon the use of established prototypical buildings and units by custody level.

A Master Plan exists for the ASPC-Eyman Complex. This Master Plan dated February 28, 1990 was prepared by Daniel, Mann, Johnson, and Mendenhall and contains a great deal of technical information necessary for the preparation of future Baster Plans.

An independent firm is selected though a request for proposal Process similar to the Architectual Selection process described in A. 1. b. (3). (a). This request for proposal should identify as best as possible:

- (a). The anticipated property boundries and site location.

- (b). The size and quantity of beds contained the new complex (i.e. two level 3 800 bed units, one level 4 800 bed unit and one level 2 800 bed unit and the COMpleX Support).
- (c). A vicinity map showing existing and future buildings, roads, and utilities (as available). This map should also show any adjacent or nearby farming areas and locations of any known archaeological sites.
- (d). Information about the capacity and quality of existing utilities (natural gas, electric power, telephone, sewage treatment, and water).
- (e). Soil type, toning, lack of hazardous or unsuitable soil conditions, topography, hydrology.
- (f) . Any other items identified in the Site Selection that is of significance.

The Waster Plan should contain the following conclusions:

- (a). A recommendation for an overall site layout which addresses adjacencies of each unit and the Complex Support area with emphasis on the following criteria:
 - 1). The security of access and egress from each unit or the site as a whole. This involve: restricted and nonrestricted egress.
 - 2). The efficiency of operations. This portion of the study addresses the distances between areas where foot 'and motorized traffic is to be conducted.

The geological, hydrological, topography, and property boundries of a given site.
 - iv). The distribution, cost, overall requirements, and access to utilities. This should address the total electrical demand, total water supply requirements, total sewage production and the total natural gas consumption.
 - (b). The recommended construction phasing.
 - (c). Any other issues which have not been addressed during the Site Select ion process.
- (5). Budget Estimate (How Much)
- Budget estimates as prepared for the Capital Budget Cycle are submitted 30 days after the adjournment of the Legislature Per Division A Chapter 5. Information contained for the Budget

Estimate is compiled utilizing historical costs for the types of buildings to be constructed. The Facility Management Bureau is responsible for providing and updating these estimates on an annual basis. A sample budget estimate as included in the Capital Budget Cycle is shown on ???

SECTION b. FUNDING STAGE

Funding for a new prison unit is generally accomplished by the taxes paid in the State of Arizona. During the regular session, the Legislature enact legislation as a part of the Capital Outlay Appropriation which deliniates the size, location, funding source, funding period, and funding amount for a prison unit. The funding source could be the State's General Fund, the Correction's Fund or though a lease/purchase agreement. Since the Capital Outlay appropriation has a strong impact on the overall State budget, it is not usually Passed until the end of the legislative session. In many instances the funding will occur during a special session of the Legislature. Occasionally, the Joint. Committee on Capital Review will release funds for the construction of prison beds. Funding for a particular prison might be granted in various stages including funding for the Design Stage then latter funding for the Construction Stage -

SECTION DESIGN STAGE

AS soon as funding is available, the Land Purchase/Lease. Space Program, Architectual Design, Archaeological Clearance. and Native Plant Removal process can begin. Generally each of these items can be accomplished concurrently with the exception that the Space Program which should be completed before Architectural Design begins. or if not Possible due to restictions in time, as a portion of the Architectural Design.

(1). Land Purchase/Lease

The. purchase or lease of land not owned by ADC is completed and paid for by DOA Facilities Planning and Construction acting for ADC.

The official land lease file is maintained by ADC, Contracts Administration. DOA is to forward all copies of fully exeuctuted applications, leases, etc. to both ADC Facility Management and Contracts Administration. Contracts Administration coordinates the ADC approvals/signatures.

The land purchase or lease process can be accomplished using one of three basic processes. The most common method is State Trust Land leased or purchased from State Land Department, in some instances land is purchased or leased from the Federal Government, or in other instances land is purchased or leased from a Private source.

(a). State Trust Land

The following are the steps necessary to be accomplished to lease State Trust Land on a annual basis from State Land Department.

- i). Institutional Taking Application is submitted and receives approval from the Governor.
- ii). Application for institutional lease is submitted with the appropriate fees. A land Survey may be required to be Provided with the application.
- iii>. After the institutional lease is granted, payment for the annual lease is required. Note: The Archaeological Clearance and Native Plant Removal are required to be completed prior to improvements being placed on State Trust Lands.

'This Process takes from six months to over a year for the State Land Department to accomplish.

The amount of annual lease is based upon ten percent of the appraised value of the land. Annual rental escalates yearly in relation to the Consumer Price Index. Every fifth year during the lease land appraisals are scheduled to occur. If the land appraisal determines the value of the land to be higher than the current value, then the rental amount will be again adjusted to current market value.

During the past few years land has not been purchased due to its initial cost. The sale price for actual purchase of the land is based upon the current appraised value.

(b) Federal Land

The following are the steps necessary to lease Federal land on a annual basis from the Federal Bureau of Land Management (BLM) under the Recreational and Public Purposes Act in accordance with Section 210 of the Federal Land Policy and Management Act of 1976.

- i). The Recreational and Public Purposes Patent Application to lease the land is submitted along with the appropriate fee payment.
- ii). BLM prepares a suitability study and then publishes a notice of reality action. This notice is usually advertised in the Federal Register. This publication allows for 65 days for public comment.
- iii). After 15 days, if no substantial adverse comments are made and 'an archaeological/environmental study

is completed the decision for reclassification of the land is made final. Payment for the lease is also made after the lease is fully executed.

- iv). In the interim of Providing the final decision, the BLW may issue an Short Term Permit that allows pre-construction surveys and studies.

This process takes from six months to over a year for BLM to accomplish.

If purchase of the land from the BLM is made, it is the BLM Policy to effect a short term lease until construction improvements are completed.

Although ADC has leased land from the Bureau of Reclamation, no such land is available Casa Grande/Florence Area and procedures for this process have not been adressed.

(c) Private Land

The process of leasing or Purchasing private land varies depending on the terms of the seller.

(2). Space Program

The purpose of the Space Program is to document the specific functions within a facility such that the comprehensive objectives of the design and construction of the new facility may occur.

8ince this Process has been previously conducted to derive the prototypical buildings associated with a complex contains 2200 inmates and a unit containing 800 inmates, a somewhat cursor:' review of the "prototypical" space Program is generally all that is required to be conducted by the architect or consultant. This review should attempt to address changes in law, Policy, and procedures that effect the space and functional requirements of a Particular building or facility.

In general, this process takes one to two months for final completion from the completion of the Site Investigation. However, the Schematic Design Process often begins prior to the finalization of the Architectural Space Program documents. The prototypical space program basically contains the following information.

- (a). GENERAL DESCRIPTION/INTRODUCTION Overall functions, activities and operations within the various buildings on a facility.

- (b). HOURS OF OPERATION Time frames associated with individual buildings or parts of building where the building will be open for use. This effects the corresponding staffing/shift changes associated with a given area.
 - (c). USERS Amount of individuals who will be involved in one or more activities within each functional component of a building.
 - (d). ACCESS AND CIRCULATION Individuals who are authorized to use and area and how they obtain access. Description of movement in and around functional area in attempt to maximize operational efficiencies.
 - (e). ADJACENCIES Primary affinity, proximity, and traffic flow requirements.
 - (f). SPECIAL Security, control, surveillance, and internal/external communication requirements as well as anticipated furnishings, materials, and equipment.
 - (g). ARCH/ENG/MECHANICAL Technical considerations for better construction, maintenance, operation, and longevity of a building.
 - (h). AREA REQUIREMENTS Amount of space required for functions to occur as well as the summary of these space requirements for entire buildings. These area requirements should follow the latest edition of the DOA Space and Building Development Standards for administrative type spaces.
- (3). Architectural Design

An Architect and a consortium of engineers and consultants are selected to Produce Construction Documents. The Architect will be responsible for the coordination and implimentation of the final Product of the Conceptualization Stage based upon the funds available. Procedures for this process are incordance with State Law and should also conform to the Architect's Handbook of Professional Practice as published by the American Institute of Architects.

Although there are a great deal of issues which occur during the Architectural Design process, an attempt to discuss the most significant ones will be made below. The two primary steps which occur during the Architectural Design Process are the Architectural Selection and Design Documents phase.

(a). Architectural Selection

For the purposes of complying with state law ???ARS 32-142 a technical registrant is required to design a new Prison facility.

The basic procedure for selecting a technical registrat (in this case termed an Architect) this process has been established with state law ARS 11-2578. Included in this Process are the Request for Proposal, Legal Advertisement, Pre-Proposal Conferance, Proposal Evaluation, Interviews, and Contract. In each of these steps DOA Facilities Planning and Construction is the primary initiator/coordinator of the steps and is legally refered to as the Owner.

time frames!!

Request for Proposal

A Request for Proposal (RFP) shall be Prepared, in compliance with Arizona Compilation of Rules and Regulations (ACRR) R2-7-510 Section C. Prior to distribution, a draft of this RFP is to be given to AX Facility Management Bureau for review and comment.

The Request for Proposal shall be written in accordance with ACRE R2-7-326 and can be broken down into two sections Project and Proposal. Section one defines the project and delinates the services requested. Section two details the Proposal Submittal Requirements. See Attachment ???.

Section One - Project.

- A. Project Definition. Describes the basic scope, location, user. funding amount and source of the projecting accordance with ACRR R2-7-313.
- B. Scope of Services. Details the objectives and project requirements. Gives information regarding existing conditions, identifies Potential problem areas and may indicate a preferred method for accomplishing the objectives. Identifies the duties that the Architect will perform, including space programming, topographical surveys, inspections of existing facilities, special code/energy requirements, soils reports, design documents, design alternatives/iterations, estimates, building codes, regulatory approvals, contract administration, construction administration and as-builts. In addition the scope of services should identify the extent of the use of inmate labor for the construction of the facility. Attaching plans of prototypical buildings and site layout' is helpful in describing the scope

of services. Also the Overall project schedule should be identified.

Section Two - Proposal

The proposal portion identifies what should and should not be contained within the actual Proposal that is submitted. It contains six different categories including; Solicitation Period, Pre-Proposal Assistance, Proposal Submission Requirements, Proposal Opening, Proposal Evaluation, and Notification.

A. Solicitation Period

The time period which the proposals can be prepared.

B. Pre-Proposal Assistance

Pre-Proposal Assistance is provided in two forms; RFP Clarification and Pre-Proposal Conference.

1. RFP Clarification

Errors of omissions in the RFP will be issued as addenda. The process for the issuance of addenda shall be specified, as well as the required method for requesting clarification and the date of any final addendum to be issued. In addition, the Proposer is required to acknowledge the receipt of any amendment issued in accordance with ACRR R2-T-313 B.3.

Pre-Proposal Conference

Further clarification of the terms contained within the RFP is attempted at the Pre-proposal conference. If a pre-proposal conference is to be held the date, time and location shall be specified.

If specific information is required from proposers prior to attending the pre-proposal conference (such as security clearance information) it shall be stipulated in the RFP.

C. Proposal Submission Requirements

In accordance with ARS 61-2578 and ACRR R2-7-51L the terms and fees for the contract will be negotiated and is not required to be submitted with the proposal.

The type of contract and modifications to be used is identified and attached to the RFP.

The time and place where the proposals are to

be submitted as well as closing time and date after which Proposal, modifications and withdrawals will not be accepted. The number of copies of the Proposal to be submitted shall be noted as well as the fact that the Proposal is to be submitted in a sealed envelope with the offerors name and address and the RFP number clearly indicated on the outside of the envelope.

The specific requirements of the proposal, if any, are detailed in this section. These requirements may include:

- A history of the firm's related experience.
- Identify the proposed key Project individuals as well as resumes and length of service with firm.
- Identify any consultants with resumes or American Institute of Architects form 254.
- Method of providing requested services.
- * Information on firms past ability to deliver Projects on time and within budget. Including the firms current workload or back log of work..

Maximum size or length of the proposal (if any) in number of pages.

The proposal must contain a clause pledging non-discrimination per Executive Order 75-5???? (Is this the latest)???

What information regarding the proposals shall be available to the Public at the time of the opening of the proposals. (Trade secrets need not be revealed) In accordance with ACRR R2-7-101, R2-7-105.

D. Proposal Opening

The location and time of the public Proposal opening, in accordance with ARS 61-2533 and ACRR R2-7-313 6.1.2.

Late proposal, modifications or withdrawals shall be handled in accordance with ACRR R2-7-328.????

E. Proposal Evaluation

The Proposals shall be reviewed by 2 Selection Committee in accordance with ACRR R2-7-511 and R2-7-513. Also see????

The criteria to be used in selecting the firm for the project from among the proposers shall be specified in the RFP in accordance with ACRR R2-7-510. The criteria used in the evaluation of proposals will typically include the approach and method for accomplishing the work, the assigned staff, the firms experience on similar Projects, the experience of identified consultants, the ability to deliver the product in a timely manner, and the submitted schedule for the preparation of documents.

F. Notification/Short List

Written notification of intent to award the contract shall be specified in accordance with ACRR R2-7-51(L).

The method to be used for filing of protests, shall be noted, in accordance with ACRR R2-7-903 and R2-T-904.

A note shall be made in the Request for Proposal that any one proposal or all proposals may be rejected in accordance with ACRR R2-7-350. R2-7-512.

The terms and conditions of the contract in accordance with ACRR R2-7-313 8.1. c. ??????

Pre-Proposal Conference

Typically a preproposal conference is held to publicly address questions by Architects which occur during the proposal preparation process. In addition, addendum to the proposal may be discussed. Written minutes of this conference are distributed to all individuals who attain 2 COPY of the RFP.

6. Legal Advertisement.

Two legal advertisements indicating the Department is requesting sealed proposals shall be placed in a newspaper of general **circulation** with an accumulated circulation of 65,000 subscribers, in accordance with ARS 61-2533 and ACRR R2-7-510.

The second legal advertisement shall appear not less than six days nor more than ten days after the first

legal advertisement.

The second legal advertisement shall appear not less than 16 days before the proposal due date.

A COPY of this advertisement shall be sent directly to all Architects and/or Engineers registered with the State Purchasing Office for the prime discipline involved in the project.

A sample advertisement is shown in Attachment 6.

7. Proposal Evaluation

The proposals received in accordance with the RFP process are evaluated by a selection committee according to the evaluation criteria identified in the RFP.

The selection committee is composed of an uneven number and not less than three members shall be formed for the Purpose of evaluating the proposals. ACRR R2-7-511.

A chairman of the selection committee is selected.

Other committee members shall be:

A representative of the using institution.

A Person registered in one of the professions involved in the project.

Others persons as may be deemed appropriate.

The selection committee shall carefully read and evaluate the Proposals to select no fewer than three firms Per ACRR R2-7-513 in accordance with the evaluation criteria identified in the RFP.

The selection committee shall prepare a memorandum of the selection process which indicates how the evaluation criteria were applied to determine the ranking of at least the three most qualified firms. ACRR R2-7-513.

Interviews

Oral interviews of the three or more selected firms are conducted by the Selection Committee. Firms are evaluated based upon criteria developed by the Selection Committee Chairman. Copies of these criteria as well as the date and time of the interviews are provided to the firms to be interviewed. Firms are scored on a numerical basis and the firm with the highest total score is recommended for contract

negotiations as the most qualified firm.

8. Contract

The ???? or his designee, shall negotiate a contract with the most qualified firm for the required services at compensation determined in writing to be fair and reasonable to the state. RZ-7-511.

The current Architectural contract is the 1977 Edition of the AIA Document B 111 Standard Form of Agreement between Owner and Architect. With the latest Modifications to the Agreement. Modifications to these documents are required to have detailed review by the Attorney General's Office.

Architectural and engineering contracts require established estimated -design control amounts for the preparation of Plans and Specifications.. In cases where estimated amounts exceed appropriations or radically differ from budgetary requests, the revised and updated construction cost estimates must accompany the contract.

Contract negotiations shall be directed towards:

Making certain that the firm has a clear understanding of the scope of the work, specifically, the essential requirements involved in providing the required services. If the RFP was prepared thoroughly , this scope of services should differ very little from that itemized in the RFP.

Determining that the firm will make available the necessary personnel and facilities to perform the services within the required time.

Agreeing upon compensation that is fair and reasonable, taking into consideration the estimated value, scope, complexity and nature of the required services. According to standards published by the Army National Guard on projects over \$2 million dollars this fee amount including construction administration should be in the nature of 5.5 to 3.5 percent.

Time schedules for design services to be completed and submitted.

Confirmation that the firm is capable of providing the amounts of insurance stipulated in the Modifications to the Agreement.

If agreement can not be reached with the most qualified

firm DOA shall negotiate with the second most qualified firm, or cancel the solicitation.

The firm selected for the award shall submit and certify cost and Pricing data pursuant to ARS 4I-2563.

Breakdown of fee payments into project design phases.

xxxx

At the successful conclusion of the negotiations DOA shall prepare a memorandum setting forth the principal elements of the negotiation detailing the considerations controlling the price and other terms of the contract. This memorandum shall be filed in the procurement file and shall be available to the public.

DOA shall prepare the contract to comply with the terms and conditions developed during the negotiations.

At the very minimum this contract should contain:

The names and addresses of DOA and the selected firm on the first page.

Also on the first page, the project shall be described by institution, or unit designation, and a basic description of the scope of the work.

Article 14.2.1 shall detail the compensation for basic services as was agreed during the negotiations. This may be; lump sum, percentage of the estimated construction cost for design with a maximum amount, fixed fee for each design state, or combination of the above. A fee schedule may be attached for further itemization.

If a fee schedule is not used, article 14.2.2 shall stipulate the Payments to be made during the course of the design if Article 14.2.1 is a lump sum or a Percentage of construction cost figure.

Article 16.6.1 shall give the manner in which Payment for additional services of the Architect or Engineer is to be calculated.

Article 15 shall stipulate other conditions or services not already contained within the Standard Form of Agreement. Reference to the scope of services prepared during the RFP and contract negotiations is helpful in completing this article. Attachments such as schedules, drawings, or ADC

contractor security regulations are generally referenced in this **article**.

The signature page shall include signature blocks for form approval by the Attorney General and Review by the Department of Administration.

The latest **edition** of the Modifications to the Standard Form of Agreement Between Owner **and** Architect shall be attached to the contract.

Articles 1.1.6, 1.1.7, and 1.1.8 reference the use of the Uniform Building Code, Uniform Plumbing Code, Uniform Mechanical Code, National Electric **Code**. State Fire Code, American Standard Specifications for Making Buildings and Facilities Accessible to and usable by the physically Handicapped, and Fallout Shelter requirements.

After is has been fully prepared and copied, each COPY of the contract shall be signed by the legally authorized representative of the selected firm. It is then forwarded along with the applicable back-up documentation to appropriate parties for review and signature. Included in this procedure is the Department of Administration Facilities Management Division per ARS 41-971.01. Once the contract has been signed by all applicable parties it is fully executed.

Office of the Attorney General for review in accordance with ARS 41-791.01. What about us ADC?

A written formal Notice to Proceed shall be signed by the Administrator of the Facility Management Bureau setting a specific date for work to commence, and sent to the firm to whom the contract was awarded. A sample copy is shown in Attachment E.

Each firm with whom discussions were held shall be notified of the award.

Notice of the award shall be made available to the public.

All projects shall be designed to comply with applicable local construction codes and **laws along** with the requirements of the State Fire Marshal's Office. When no local construction codes apply, the current edition of the Uniform Building, Plumbing and Mechanical Codes shall apply. All new construction design documents should incorporate the Arizona Energy conservation Standards as well as the requirements Pertaining to fallout shelter requirements and to the accessibility of public

buildings by the physically handicapped.

9. Contract Modification.

If a change in the scope of work is approved by the Administrator of the Facility Management Bureau in accordance with Internal Management Policy 103-4.5 the Project Manager shall:

Request and receive from the Architect/Engineer a fee Proposal indicating the Architect's/Engineer's work required and the fee to accomplish this work.

If the fee proposal is accepted, or a negotiated agreement reached, the Project Manager shall prepare a Design Change Notice (DCN). See Attachment F.

If the Architect/Engineer fee for the DCN is greater than \$5,000 or 5% of the design contract cost the Project Manager shall submit a letter of justification and the DCN to the Assistant Director of the Facilities Management Division of the Department of Administration for his written determination that the DCN is in the best interest of the state. R2-7-310. See Attachment G.

If the Architect/Engineer fee for the DCN is less than \$5,000 and 5% of the design contract cost the Project Manager shall submit the DCN to the Facilities Management Division of the Department of Administration for approval.

After approval of the Facilities Management Division the Project Manager shall submit the DCN to the Attorney General for review.

After Attorney General approval the Department of Corrections Assistant Director of Administration shall sign the copies of the DCN.

The Project Manager shall distribute copies of the signed DCN to the appropriate institution and Central office staff.

The Project Manager shall review and approve the Architect/Engineer requests for payment under the design contract or DCN in accordance with ARS 35-101.

Prior to the review and approval of encumbrances and encumbrance change notices pertaining to architectural/engineering and construction contracts, copies of the referenced documents must be on file in the Facilities Design

Office. Encumbrances for agency purchases shall include the bid number and, where sealed bids are involved, a copy of the information for bidding. Claims submitted for review and approval must be accompanied by substantiating invoices and receiving reports.

Design change Notice (DCN) - This covers any additional services and expense the consultant must do. It originates from a request from the consultant detailing their reasons for additional changes and a complete itemization of the costs involved. If the project manager concurs, the DCN is prepared. It is reviewed for availability of funding, completeness and appropriateness by a Department of Administration, Facilities Design and Construction Review Committee, Facilities Management, the Attorney General (if required) and signed by the procurement authority.

(b) Design Documents

Contingent on the specific scope of services defined in the architect's contract, the architect is required to provide or conduct the following services beginning on the date of Notice to Proceed; Site Investigation, Space Programming, Schematic Design Documents, Design Development Documents, and Construction Documents.

The overall time frames associated with this Design Phase as itemized in each section below can be expected to take from five to seven months. The design of facilities using non-prototypical buildings or unit sizes, dramatically increases the time frames associated with each piece of this Process and are beyond the SCOPE of this manual.

Though the Architectural Design process the Design Documents are monitored for conformance with the Request for Proposal, the Contract, the Funding Amount, and conformance with Prototypical Design Criteria as discussed in ???

ii. Site Investigation

After the Notice to Proceed has been issued to the architect, the architect and his consultants should conduct a site visit of the proposed location for the new facility. This site visit usually lasts one or two days and consists of an overall visit to the location where the new facility is to be located. If this facility is adjacent to an existing facility, a tour of the existing facility is generally included. The site visit can address a large number of areas including; existing utilities, existing building types and configurations,

site access and terrain, security systems, etc. In addition, the architect may include interviews for the Space Program [see A.1.c. (2)].

The civil site survey is generally conducted during this phase of work. A civil site survey is usually done by the combination arial photometrics and land based surveys.

Although there is no set standard for the documentation and the completion of this process, this phase should be completed within one to two weeks from the Notice to Proceed.

ii). Schematic Design Documents

Based on the mutually agreed upon Space Program and Project Budget, the Architect shall prepare, for approval by the Owner, Schematic Design Documents consisting of drawings and other documents clearly illustrating the scale and relationship of project components. These drawings may include alternative approaches to design and construction of the project. Of the most significant importance in this Stage Of the design is the overall site plan, which is generally finalized during this phase.

The Architect shall also submit to the Owner an estimate of construction cost based on current area, volume or other unit costs. During this phase (as well as all others) the scope of the project is either reduced or expanded in corelation with the budget identified.

The time frames associated for this phase of the Design Process can vary greatly. This is usually due to difficulties in site adaptation criteria, executive approvals, or budgets. A reasonable time period for this phase is approximately five to eight weeks from the approval of the Space Program.

iii). Design Development Documents

Based on the approved Schematic Design Documents and any adjustments authorized by the Owner in the program or project budget, the Architect shall prepare, for approval by the Owner, Design Development Documents consisting of drawings and other documents to fix and describe the size and character of the entire project as to architectural, structural, mechanical and electrical systems, materials and such other elements as may be appropriate. Generally, these documents expand the Schematic Design Documents to display complete detailed floor plans for each building. The drawings will often be accompanied by copies of

catalogs which describe various **pieces** of equipment or materials.

The Architect shall also submit to the Owner an estimate of construction cost with greater detail derived from current documents.

A reasonable time period for this phase is approximately five weeks from the approval of the Schematic Design Documents.

iv). Construction Documents

Based on the approved Design Development Documents and any further adjustments in the scope or quality of the Project or in the Project budget authorized by the Owner, the Architect shall prepare, for approval by the Owner.

Construction Documents consisting of final drawings and specifications setting forth in detail the requirements for the construction of the project. In many instances, due to time constraints a set of 95% complete Construction Documents are submitted to the Owner prior to the final set of Construction Documents. These Construction Documents are working drawings used to accurately bid and build the project.

The Architect shall also submit to the Owner an estimate of construction cost in final form derived from the Construction Documents. Occasionally, the estimating service that the architect utilizes will verify current pricing with local contractors and subcontractors. This final estimate should be accurate to within 2% of the actual bids received.

Copies of the Construction Documents are sent to DOA Facilities Planning and Construction, DOA Risk Management (ACCR R2-10-2011, State Fire Marshal, Department of Environmental Quality, Department of Health Services, Arizona Corporation Commission, State Pharmacy Board, Department of Water Resources, Board of Pardons and Paroles, and the Office of Manufactured Housing as where applicable for their review. Each of these entities reviews the documents for code compliance and/or conformance to rules and regulations, then provides a written approval.

Final working drawings, specifications, structural calculations and soil investigation reports should be submitted to the Facilities Design and Construction Office prior to the completion of the legal advertising schedule or commencement of work. The project specifications should include the 1977 AIA A-201 General Conditions of the Contract for Construction

and the latest Attorney General's amendments thereto.

Within the bidding Package, the following items should be included or addressed:

1. General Conditions approved by Attorney General's Office
2. Construction Contract approved by Attorney General's Office
3. Ten (10) percent bid bond - sp301
4. Subcontractor list to be submitted at time of bid in a separate sealed envelope
5. Non-collusion Affidavit enclosed with proposal
6. Statutory Performance Bond Form - sp302
7. Statutory Payment Bond Form - sp303
8. Insurance Form - sp221
9. Contract Proposal shall include contractor's license no.
10. Contractor's substitution of specified materials only by prior approval
11. Signed and sealed drawings and specifications
12. Minimum of two (2) year guarantee on roofing
13. Minimum roof slope 1/8"/ft.
14. Approval of fire protection system by Risk Management
15. Approval of fire alarm system by State Fire Marshal
16. Compliance with handicapped requirements
17. Compliance with Energy guidelines
18. Compliance with fallout shelter regulations.
19. Soils report
20. Structural calculations:.
21. SHPO/Archeology clearance, if necessary

A reasonable time period for this phase is approximately eight to ten weeks from the approval of the Design Development Documents.

(4). Archaeological Clearance

Caution should be used during the Site Selection process so that a site is not selected which contains significant archaeological artifacts. Locating archaeological artifacts on a site can cause direct and lengthy delays to the completion of a prison. By state law ARS 41-841?? the Department of Administration is required to obtain an archaeological clearance for a given site. This archeological clearance is conducted by individuals from the Cultural Resources Division of the Arizona State Museum at the University of Arizona or by a private firm having proper credentials. In general, a field survey is conducted by a team of individuals which walk the site looking archaeological artifacts. If artifacts are found which are of importance to these individuals, continued data may be collected by excavation and other methods. If no artifacts are found of cultural significance then a report is issued granting archaeological clearance. If artifacts are found, then the particular area where the artifacts are found

might not be able to be disturbed until completion of the archaeological studies occur, or if this isn't possible due to their location, the site may be abandoned.

(5). Native Plant Removal

ARS Chapter 7, Article 1 stipulates protection of native plants on State, public, or private as protected species. In order to comply with this law, a Native Plant Removal permit is obtained from the Arizona Commission of Agriculture and Horticulture. The Commission will then conduct a native plant survey on the site. During this survey the Commission will identify plants that are on the protected species list and will require these plants to be removed. This work has to be completed prior to any grading or heavy equipment use on the site.

SECTION d. CONSTRUCTION

The actual construction of a particular unit or complex will be undertaken by the use of a Contractor or with the use of inmate labor or both.

I.A.1.d. Level 1

ADC Facility Management Bureau has estimated that the construction period for a generic Prototypical Level 1 Facility would be 12 months. Unusual conditions for the connection to utilities may lengthen this time frame.

II.A.1.d. Level 2

ADC Facility Management Bureau has identified two different time frames for the completion of a Level 2 unit. The first is when the unit is completed with the Complex Support and the second is after the Complex support areas have been completed. A Level 2 unit being completed concurrently with the Complex Support area is estimated to take 17 months. A Level 2 unit completed by itself should take 15 months.

III.A.1.d. Level 3

ADC Facility Management Bureau has identified two different time frames for the completion of a Level 3 unit. The first is when the unit is completed with the Complex Support and the second is after the Complex support areas have been completed. A Level 3 unit being completed concurrently with the Complex Support area is estimated to take 17 months. A Level 3 unit completed by itself should take 15 months.

IV.A.1.d. Level 6

ADC Facility Management Bureau has identified two different time frames for the completion of a Level 6 unit. The first is when the unit is completed with the Complex Support and the second is after the Complex support areas have been completed. A Level 6 unit being completed concurrently with the Complex Support area is estimated to take 17 months. A Level 3 unit

completed by itself should take 15 months.

V.A.1.d. Level 5

ADC Facility Management Bureau has identified two different time frames for the completion of a Level 5 unit. The first is when the unit is completed' with the Complex Support and the second is after the Complex support areas have been completed. A Level 5 unit being completed concurrently with the Complex Support area is estimated to take 20 months. A Level 5 unit completed by itself should take 18 months.

Walter Cox has done most of this.....

The completion of the Construction Documents may not occur at one specific time. The Construction Documents can be "phased" or completed at different times for logical portions of the entire project. An assemblage of the Construction Documents for a Particular portion of the total Project with bids due at a certain time is called a Bid Package.

As soon as the Construction Documents for a Particular Bid Package is completed with DOA Planning and Construction and ADC Facility Management approval, DOA begins the competitive bidding process. This process is conducted per ARE ????. DOA begins the competitive bidding Process by placing an advertisement for bids with local papers. Bid Packages which usually contain work for a variety of construction trades and crafts are made available through selected plan services and thought DOA. Usually there is a deposit fee for the- use of the Plans.

The Bid Package will contain the following items:

Advertisement : This. is a Published advertisement which notifies prospective bidders of the state's solicitation for proposals to construct a project. The advertisement runs once a week in local papers for two (2) consecutive weeks. It describes what bids are being solicited, established dates for ore-bid conferences, publishing of addenda and due dates and where bids will be received and any other conditions concerning the bids.

Instructions to Bidders: This will be a standardized format detailing conditions relating to preparation of the bids, substitutions, prior approvals and many other items the contractors must know to prepare his bid accurately and completely.

Bid Form: The actual document signed by the contractor that describes his bid price, alternates, time of completion, etc., along with required lists of sub-contractors and material supplies that the contractor has **used** in preparing his proposal.

Statutorial required Bid Bond, Performance Bond and Insurance forms. The Bid Bond is for 10% of the bid.

Rules Governing Use of Correctional Facilities: This Arizona Department of Corrections' document is included and required to be signed by the contractor acknowledging his understanding and agreement to follow the Arizona Department of Corrections' rules and regulations at a correctional facility.

Construction Documents:

- a.) Project Manual : The document prepared by the consultant which includes sample contracts, General Conditions, Amended General Conditions and a complete description of the work to be performed, tests to be adhered to, standards of acceptability, etc.
- b.) Project Plans: The plans prepared by the consultant that are used for construction of the project.

In the time period from when the Advertisement for Bids is placed and the Bid Date, a Pre-bid meeting is held. This meeting is conducted to provide information and address questions that a Contractor may have. Also, during this period of time manufacturers, subcontractors, and equipment suppliers who wish to provide alternate products to those specifically listed on the Construction Documents are encouraged to submit them for review.

A number of Contractors will review the Bid Package and compile a lump sum bid for the total amount of work contained on these documents. These bids are given to DOA as a part of a Proposal in sealed envelopes prior to the time and date they are due.

After the time the bids are due has passed, the bids received are opened and reviewed for conformance to bid requirements. The bids received are tabulated on a bid tabulation sheet. These bids are then analysed to attain the lowest responsible bidder. In many instances, DOA and ADC have requested bid alternates which are items of work other than that absolutely necessary in the basic scope.

Within 60 days or a time identified on the bid documents, DOA and ADC will identify which alternates are to be selected based on available funds. In addition, the Architect reviews the low bidders qualifications and his subcontractor's and material suppliers. If the Architect's review proves satisfactory, he prepares a recommendation of award. This recommendation is used by DCA to begin the process of award to the

lowest responsible bidder.

Construction Contract Award is made after following these steps:

Construction Contracts

Construction contracts in excess of \$10,000 shall be submitted to the Facilities Design and Construction Office for review accompanied by the following items:

- a. Two (2) copies of the Contract with any addendum or changes thereof on a form approved by the Attorney General's Office for such use
 - b. One (1) COPY of the legal advertisement
 - c. One (1) COPY of the certified bid tabulation
 - d. Statutory Performance and Payment bonds
 - e. Certificates of insurance
 - f. Contractor's Proposal
 - g. Contractor's Subcontractor's List. including license numbers
 - h. Non-collusion Affidavit
 - i. Source of funding and activity codes
- The contract documents are prepared, sent to the contractor for signatures, bond and insurance forms. They are then returned to the State for execution. Usually, they are reviewed by Facilities Management, the Attorney General and ultimately signed by the authorized Procurement Officer.

10. Construction Contract Bidding.

The Project Manager is normally assisted in the construction contract bidding by the Architect/Engineer who did the design.

Two legal advertisements indicating the Department is requesting sealed bids shall be placed in a newspaper of general circulation with an accumulated circulation of 65,000 subscribers, in accordance with ARS 61-2533.

- The second legal advertisement shall appear not less than six days nor more than ten days after the first legal advertisement.

- The second legal advertisement shall appear not less than 11 days before the bid due date.

The legal advertisements shall contain:

- The location bid documents shall be available (generally the architect's office).
- The cost of obtaining the bid documents.
- The bid opening time, date and location.
- The ore-bid meeting time, date and location may be included in the legal advertisement.

The Project Manager shall send out an Invitation to Bid, on the form approved by the Department of Administration Facilities Management Division, to all firms listed on the Prospective Bidders List. R2-7-312, RZ-7-313.

The Invitation to Bid shall contain:

The time, date and location for bid submission.

The time, date and location for bid opening.

The time, date and location of the pre-bid meeting/site inspection.

A description of the project including the technical information concerning the construction.

The construction schedule, the inspection requirements and project close out requirements.

The notation that the form to be used for the construction contract will be the Standard Form of Agreement Between Owner and Contractor (Form AIA A101 1977), Attachment H, plus the General Conditions of the Contract for Construction (Form AIA A201-1976, Attachment I, and Amended General Conditions of the Contract, Attachment J.

- Additional terms and conditions.

- Warranties

Requirements for bid security, performance bonds and Payment bonds as defined by ARS 41-2573, ARS 41-2571, RZ-7-503, RZ-7-506, RZ-7-

505, R2-7-506, R2-7-507.

- The requirement for prior approval for the substitution of products.
- Product and shop drawings submittal requirements. RZ-7-313.
- Testing requirements. RZ-7-313.
- The requirement for acknowledgement from the prospective bidder of any Amendments or Addendum to the bid. RZ-7-313.

The Project Manager shall make ^{UP} a bid package which is normally available at the office of the Architect/Engineer.

The bid Package shall contain the information provided in the Invitation to Bid and shall also contain information regarding:

Liquidated damages.

Time extension requests.

Partial payment requests.

Change Order procedures.

- Arizona laws and Department of Correction procedures governing contractors.

The Project Manager may make amendments to the Invitation to Bid to correct defects or ambiguities in the bid package. RZ-7-315.

Amendments to the Invitation to Bid shall be issued within a reasonable time before bid opening to allow Prospective bidders to consider the amendment in preparing the bid.

The Project Manager shall provide information to all bidders that has been provided to one bidder which would assist all bidders in the preparation of a bid. RZ-7-315.

The Project Manager shall stamp the date and time of receipt of all bids, modifications to bids and withdrawal of bids. RZ-7-318.

The Project Manager shall store all bids, modifications to bids and withdrawal of bids in a secure location

pending the date and time of bid opening. RZ-7-318.

The Project Manager shall publicly open the bids at the time, date and location specified in the legal advertisement and Invitation to Bid. RZ-7-318.

There shall be at least one official witness to the bid opening which may be the Architect/Engineer (if retained to assist). RZ-7-318.

The Project Manager shall open the bids and modifications in the sequence which they were received. RZ-7-318.

The name of each bidder, bid price and other information deemed appropriate shall be read aloud and recorded on the bid abstract. RZ-7-318.

The name of the official witness shall be recorded on the bid abstract. RZ-7-318.

The bid abstract shall be available for public inspection. RZ-7-318.

The Project Manager shall not allow withdrawal of bids after the official opening of bids except as is permitted in R2-7-319.

The Project Manager shall allow the correction of errors in bids after the official opening of bids only as is permitted in RZ-7-3151.

The Project Manager may waive minor informalities, in bids if it is advantageous to the State. RZ-7-319. R2-T-301.

1i. Construction Contract Bid Evaluation. Award, Contract Formulation.

The Project Manager and Architect/Engineer (if retained to assist) shall review the bids, check qualifications, evaluate the bids in accordance with RZ-7-310 and send to the Administrator of the Facility Management Bureau a recommendation to award the bid .

The Administrator of the Facility Management Bureau shall send a Notice of Intent to Award to the bidder selected in accordance with RZ-7-320.

The Project Manager and Architect/Engineer (if retained to assist) shall prepare the contract in the form specified in the bid package.

The contract form shall be the American Institute of Architects Standard Form Agreement Between Owner and Contractor AI01 1977 as specified in the Invitation to Bid. This form is provided by the Architect/Engineer.

The contract shall contain the terms and conditions specified in the bid package as well as the Price and schedule determined by the bid award.

The signature sheet shall have signature blocks for the Contractor, the Department of Corrections as Owner, the Department of Administration for review and the Attorney General for review as to form.

Six copies of the contract shall be sent for signature to the contractor awarded the bid.

The contractor shall:

- Sign and return all six signed copies.
- Provide one COPY of the 100% Performance Bond and the 100% Payment Bond on the proper forms as specified in ARS 61-2576, ARS 61-2575, RZ-7-506, R2-7-505.
- Or Provide substitute security instead of Performance and Payments bond in accordance with E2-7-506. R2-7-507.

Provide copies of the Certificate of Insurance.
Provide copies of the Certificate of Workers Compensation insurance coverage.

The Project Manager shall send to the Department of Administration Facilities Management Division for review and approval:

- The six signed copies of the contract. ARS 61-971.01.
- The Affidavit of Publication of the Legal Advertisement.
- The Bid Abstract.

When the contract has been reviewed and approved by the Department of Administration Facilities Management Division the Project Manager shall send the copies of the contract to the Attorney General for review and registration. ARS 61-791.01

When the contract has been reviewed by the Attorney General the Project Manager shall send all copies of the contract to the Department of Corrections Assistant Director of Administration for his signature.

A written formal Notice to Proceed shall be signed by the Administrator of the Facility Management Bureau, setting a specific date for work to commence, and sent to the contractor to whom the contract was awarded. A sample COPY is shown in Attachment M.

12. Construction Contract Monitoring and Modification.

The Project Manager shall function as a liaison between the Contractor and institution/Central Office Staff.

The -Project Manager shall monitor the construction Progress making note that time schedules are met and construction quality is maintained as specified in the contract.

The Project Manager shall not have the authority to change the scope of work.

If a change in the scope of work is approved by the Administrator of the Facility Management Bureau the Project Manager shall:

- Request and receive from the Contractor an itemized quotation submitted on AIA Document G709 PROPOSAL REQUEST (provided by the Architect) indicating the work to be done and the fee to accomplish this. work. A sample copy is shown in attachment L.
- If the itemized quotation is accepted, or a negotiated agreement reached, the Project Manager shall prepare a Change Order using AIA CHANGE ORDER Document 6701 (provided by the Architect). A sample COPY is shown in Attachment K.
- The Change Order shall be signed by the Architect/Engineer and by the Contractor, returning all copies the Facility Management Bureau.
- If the Contractor's fee for the Change Order is greater than \$5,000 or 5% of the construction contract cost the Project Manager shall submit a letter of justification and the Change Order to the Assistant Director of the Facilities Management Division of the Department of Administration for his written determination that the Change Order is in the best interest of the state. R2-7-310.

- If the Contractor's fee for the Change Order is less than \$5,000 and 5% of the construction contract cost the Project Manager shall submit the Change Order to the Facilities Management Division of the Department of Administration for review.
- After approval of the Facilities Management Division the Project Manager shall submit the Change Order to the Attorney General for review.
- After Attorney General approval the Department of Corrections Assistant Director of Administration shall sign the copies of the Change Order.
- The Project Manager shall distribute copies of the signed Change Order to the appropriate institution and Central office staff.

The Project Manager shall review and approve the Contractor's Requests for Payments as detailed in the conditions of the contract or Change Order and in accordance with ARS 35-101.

13. Construction Contract Conclusion.

The Contractor shall inform the Project Manager when the construction is sufficiently complete, in accordance with the contract documents, so that the Owner can occupy or utilize the Work or designated portion thereof for the use for which it is intended as expressed in the contract documents.

The Project Manager, in accordance with Internal Management Policy 103.6.5, shall perform a walk Through of the project and develop a Punch List of work items that are unfinished or unacceptable under the terms of the contract and construction documents.

The Project Manager shall determine from the Walk Through if the construction project is substantially complete.

If the construction project is substantially complete the Project Manager shall issue a Certificate of Substantial Completion (AIA Document 67061, Attachment N, which shall be signed by the Architect, the Contractor and the Arizona Department of Corrections Assistant Director of Administration. A COPY of the Punch List shall be attached. A sample COPY is shown in attachment 0.

The Project Manager shall schedule all on-site technical training which is required by the construction Contract

in accordance with Internal Management Procedure 103.4.5.

The Project Manager shall conduct a second Walk Through to verify resolution of all Punch List items.

The Architect/Engineer shall issue to the Project Manager a written, signed, statement declaring that, in his professional judgement, the work has been completed in accordance with the contract documents.

The Administrator of the Facility Management Bureau and the responsible Department of Corrections Assistant Director may accept ownership of a construction project at any time after the Certificate of Substantial Completion has been issued.

The Project Manager shall provide to the Administrator of the Facility Management Bureau the following documents.

- The original bid set of plans and specifications with all addenda and amendments.

- Copies of the bids and the bid abstract.

- The Plan approval from all indicated regulator:, agencies with all stipulations. on usage.

- The completed and signed original of the Certificate of Substantial Completion with Punch List and comments from the Architect/Engineer, institutional/Central Office staff and regulatory agencies. The letter from the Architect/Engineer certifying that all Punch List items have been corrected and the project is complete.

- Three copies of the Operational and Maintenance Manuals.

- One set of reproducible Mylar "As Built" drawings.

- Three copies of "As Built" drawings.

- Three copies of each Warranty Manual.

- Manufacturer.

- Installer.

- Contractor.

- A list of beginning and expiration dates for each

warranty.

- Copies of extended maintenance contracts.
 - A list of contractors and subcontractors contact Personnel with 26 hour telephone numbers for emergency and general warranty work requirements.
 - Copies of the Architect/Engineer Field Inspection Reports.
 - Copies of Regulatory Agency waivers.
 - Copies of approved shop drawings.
 - Steel Fabrication.
 - Pre-cast Concrete Panels, roof, floor deck and rebar.
 - Fire Inspection approval for fire alarm systems.
 - Health Inspection approval.
 - List of spare parts left at the institution or provided to ADC.
 - A letter indicating when training was held and the institutional staff present.
 - A list of the office equipment and furniture that was Purchased from the construction appropriation indicating the Purchase price.
- Copies of the WIPPE fund claims for construction..
- Copies of "value engineering" deletions and the justification for the deletions.
- Copy of the Fire Marshal approval to OCCUPY.
 - Copies of Testing Reports.
 - Soil.
 - Water.
 - Concrete.
 - Light Intensities.
 - Others, as' needed.

Air balance reports.

Water balance reports.

Anticipated date of One-Year-Follow-UP inspection.

Corporation Commission Inspection and approval of gas distribution systems.

Approval to construct water and/or waste water system.

Architect's certification of water and/or waste water system.

Approval to operate water and/or waste water system.

Operation and Maintenance manual prepared by Architect for water and/or waste water system.

Copies of the IGA, or other agreement) for water and waste water.

Copies of approval to construct on State Land.

Copies of leases, easements and related documents.

Soiler Inspections.

The Contractor's final pay request.

The Architect/Engineer's final pay request.

Copy of lien waivers and Surety Company approval for final payment.

The Administrator of the Facility Management Bureau, in accordance with Internal Management Policy 103.6.5 shall provide to the Warden or Administrator of the project site the following documents.

- Two copies of the "As Built" drawings.
- Two copies of each Warranty Manual.
- Two copies of each Operational Manual.
- Two copies of each Maintenance Manual.
- A COPY of the list of contractors and subcontractors contact personnel with 26 hour telephone numbers for emergency and general warranty work requirements.

16. Warranties.

The Institution Warranty Coordinator shall have in his Possession:

- A COPY of Internal Management Policy 103.6.7.
- Certificates of Substantial Completion.
- Dates of Beneficial Occupancy.
- A COPY of the list of contractors and subcontractors contact personnel with 26 hour telephone numbers for emergency and general warranty work requirements.
- Operation/Maintenance Manuals.
- Warranty Manuals with cut sheets.
- Regulatory Agencies Approvals/waivers.
- The Architect Punch List clearances.
- "As Built" drawings for:
 - Site
 - Grading.
 - Electrical - Primary / Secondary / Panels / Distribution.
 - Plumbins.
 - Potable/Domestic Water Systems.
 - Sewer Collection/Distribution Systems.
 - Waste Water Treatment.
 - Water Treatment.
 - Transformer Schedule.
 - Mechanical.
 - Kitchen.
 - Security.
 - Fencing.

- Structural.
- Civil.
- Architectural.

Prepare contract to include scope of services and estimated cost
 Prepare Invitation to Bid
 Advertise
 Conduct pre-bid conference
 Receive and review bids, bonds, certificates of insurance, etc.
 Prepare recommendation
 Award contract .
 Provide contractor a fully executed contract document and Notice to Proceed

A. Preconstruction Meeting

Around the time the Notice to Proceed is issued a Preconstruction Meeting is held with the Contractor. This meeting will generally review outstanding issues and be conducted to introduce key individuals in the Construction Process. After this meeting and when a Notice to Proceed is issued the Contractor will begin to mobilize on the site.

6. Construction

Once the Contractor has mobilized and set up temporary, trailers and utilities on the site, the actual construction process begins. Although there are a great deal of issues which occur during the Construction Process, an attempt to discuss the most significant ones will be made below.

1. Use of Utilities

In a number of instances the use of temporary utilities has to be agreed upon between ADC and the Contractor. Although the terms of payment should have been delineated in the Construction Documents, often there is a need to coordinate power outages or the lack of water when connections are made to existing utilities at an adjacent facility.

2. Progress Meetings

Progress meetings are required by the Construction Documents. DOA and ADC are usually present at these meetings due to the number of coordination and Progress issues which occur.

i). Construction Observation

Besides the Contractor, observation of the Construction

Process occurs by a variety of individuals with an equal variety of responsibilities. Included in this list of individuals is representatives from the State Fire Marshall's Office, Arizona Department of Environmental Quality, State Health Services, utility companies, the Architect, Engineers, Consultants, ADC Facility Management Project Manager, DOA Facilities Planning and Construction Project Manager.

Generally, yet dependent on their contract, the Architect is the key individual responsible for construction observation. On most of the new Prison Projects, the Architect will employ a full time staff member acting in behalf of the State to monitor the day to day construction activities for conformance with the Construction Documents and to ensure the terms of the Contract are being met. In addition he will utilize individuals from his consultants and engineers at key stages along the process for more technical inspections.

When Problems arise the full time staff member will be a liason for the resolution of the problem with all the individuals. involved.

Changes to Work

Changes to the Construction Documents occur due to a variety of circumstances and are called Change Order-r. Some of these are due to unforeseen existing conditions which were impractical to determine before hand, others. art due to errors and ommisions by the architect in the Construction Documents. others are due to errors in construction by the Contractor, value engineering for reduction in overall project cost. and some are due to changes and clarifications made by ADC. Usually, the Architect will receive a Request for Information (RFI) that will result in a contract change.

Changes made by individuals from ADC are to comply with IMP 103.6.6 and form 20600013. In most instances the changes and clarifications made by ADC are from the inability to provide the extreme detail necessary for the incorporation into the Construction Documents in the limited time available or when due to tight budgets or over inflated architectural estimates items have been omitted which can be added back in with reasonable cost. R-solution of some of the minor issues may not be made until they are actually seen in the finished product, or when something does not work properly. Fortunately with the use of Prototypical plans these situations where changes occur are becoming less and less frequent. In cases where these changes to work result in additional cost to the Contractor a Change Order will be issued.

In all instances where a change Order is generated the Architect reviews what is submitted by the contractor. The Architect will discuss it with DOA and may then accept or reject it. If he accepts it, the contractor prepares a proposal request with all cost and backup documentation that allows for an appraisal of costs submitted. When a final cost is agreed to, a Change Order is then prepared and goes through the same review process as a DCN. If the schedule is impacted by the change, a time extension will be granted. Also, to expedite the work a Construction Change Authorization (CCA) may be provided to allow the contractor to proceed while the Change Order is being processed. The cost factors are usually evaluated by a formula established in the current Amended General Conditions.

iv). S u b m i t t a l s

The Construction Documents identify items where products or Procedures must be submitted for review Prior to their purchase or installation. ADC Facility Management Bureau has requested that they receive copies of

4. Testing

The Construction Documents require that periodic tests of materials and soil desities be conducted. An independent testing service is employed by DOA to conduct this testing process. This testing attempts to ensure quality control in a particular project.

C. Construction Completion

The Contract with the Contractor will stipulate a number of requirements. that *must be* completed prior to final payment. These items include punch lists, warranties, and close out documents. A one year walk through is also conducted as described below.

1. Punch List and Certificate of Substantial Completion

By Contract the Contractor is required to Prepare a Punch List of items which are required to be completed to be within conformance with the Construction Documents. Usually however, the full time architectural staff member will prepare this list or it will include final inspections conducted by the Engineer or Consultant. By IMP 103.6.5 the ADC Facility Management Project Manager, the Physical Plant Manager for the new institution and the Warden are required to accompany the architectural staff during the formulation of the punch lists.

When work has been completed such that the ?????? item is complete for the use that it is intended then the Architect will issue a Certificate of

Substantial Completion. If minor items remain to be completed they will be so referenced on the Certificate. The State has requested that mechanical systems air balance reports, major equipment start-ups, and final cleaning has been accomplished Prior to the issuance of this Certificate. In addition, the Certificate of Completion will identify a date (usually fourteen days) when the items identified on the Punch List are to be completed.

When the items identified on the Punch list **have** been completed, the Architect is to issue a Final Certificate of Completion stating that to the best of his knowledge all items have been completed in conformance with the Contract Documents.

When ADC begins to OCCUPY the building (also see Facility Activation on A.1.e.) personnel will find items that **will** not function that have been provided by the Contractor. These items are reported to the Contractor via the Construction Warranty Claims policy 103.1.7. and are monitored for their completion.

2. Close Out Documents

There are five types of items that are conventionally termed the Close Out Documents and are to be received by ADC per the Construction Documents. They include the As-built Documents, the Operating and Maintenance Manuals, Warranties, Extra Stock of Materials, and the Training Video Tapes.

a. As-Built Documents

As-built documents are to represent the completed Project as it was built. Dimensions as to underground utility locations and any changes to the Construction Documents are to be included on the documents. These documents are provided to ADC on reproducible mylars for ease of reproduction. Three blueprint copies of these documents are made and distributed to the facility for their use and the original mylars are kept by the Facility Management Bureau.

b. Operation and Maintenance Manuals

The Contract Documents stipulate the type and quantity of Operation and Maintenance Manuals that are to be received from the Contractor. The quantity of manuals for the use by the State has been established as four. These manuals should be clearly labeled. as to the project name and location. Three copies of these manuals are distributed to the

facility for their use and one is kept by the Facility Management Bureau.

c. Warranties

In addition to an overall one year warranty for labor and material the General Contractor is to obtain a number of other extended warranties for items per sheet ????. Copies of these warranties as well as a final directory of the subcontractors utilized on a project are best provided in four stand alone manuals. Three copies of these manuals are distributed to the facility for their use and one is kept by the Facility Management Bureau.

d. Extra Stock of Materials

ADC requests a variety of materials to be turned over for extra stock for maintenance purposes. Included in these items are additional locks, keys, plumbing valves, mechanical filters and media, and roof patching kits. All of these items are to be given to the facility with copies of the transmittals being received by the Facility Management Bureau.

Video Training Tapes

At present the Contract Documents require that two copies of Video Training Tapes be provided for 'Particular technical portions of the work. They, are to be in the VHS format and are to describe how items are to be repaired. One copy of this tape is given to the facility and the other is kept by Facility Management Bureau.

3. One Year Walk Through

After a one year period of time from the established date of Substantial Completion, the Architect, the Contractor, the DOA Project Manager, and the ADC Project Manager attend a one-year walk through of the project of building completed. On this walk through items will be identified that have failed to work or are defective after a Year of time. The Contractor is required to replace or repair those items which have been'' identified during the One Year Walk Through.

SECTION e. FACILITY ACTIVATION

Operating budgets, non-fixed equipment.

When the Legislature approves funding for the new prison, and the project is underway, it is important to maintain close contact and involvement with the community leaders to strengthen their support and with Legislature. Staff should actively participate in religious and civic organizations and address youth groups as

frequently as possible. Job fairs should be conducted for recruitment. These fairs should also offer training and orientation into a correctional career. The success of a new facility depends heavily upon the support of the community in which it operates.