Minnesota Department of Corrections

Policy:	**300.400**
Title:	**Physical Plant Maintenance**
Effective Date:	**4/3/18**

PURPOSE: To ensure secure, proper, and timely repairs and maintenance of correctional facility physical plants.

APPLICABILITY: Minnesota Department of Corrections (DOC); all facilities

DEFINITIONS:
ARCHIBUS Total Infrastructure Facilities Management system (Archibus) – facility management software program for submitting, assigning, and tracking work requests.

Emergency repair – any breakdown or damage that results in a breach of security, a safety issue, a malfunction of any equipment that would cause further damage if not repaired immediately, or a communication outage.

New construction – any addition or change to the configuration of a building, space, or any building/security system.

Total infrastructure and facility maintenance (TIFM) administrator – person assigned to oversee the daily running of Archibus.

Work priority – status entered with an Archibus maintenance request, stating the criticality of the issue/request (e.g., immediate, 7-day, 14-day, etc.).

PROCEDURES:

A. The physical plant director develops guidelines for the following areas:
   1. Emergency repairs - Staff notification during business hours and non-business hours;
   2. Recycling;
   3. Snow removal; and
   4. Facility maintenance and housekeeping.

B. Pest control
   1. During weekly inspections, staff must note any indication of possible rodents, pests, or vermin. Staff must submit a work request into the ARCHIBUS Total Infrastructure Facilities Management system (Archibus) indicating the problem and location for appropriate action.

   2. In an emergency, staff must contact the physical plan department and/or watch command to contact the pest control contractor.

   3. Staff must monitor the problem and submit a work request into Archibus if the problem persists.

4. All facilities must maintain a contract with a professional pest control service for inspection of the facility, preventive pest control, and pest eradication when necessary. The facility physical plant director or designee must review the contract annually.

C. Physical Plant Modifications and Remodeling

1. Each facility's physical plant director ensures proper maintenance of buildings, equipment and systems. All employees are expected to report breakdowns or damage done to the physical plant.

2. The warden/superintendent must review and approve all remodeling projects. The institution must conform to all applicable federal, state, and/or local building codes as well as to the Prison Rape Elimination Act (PREA) and to American Correctional Association (ACA) guidelines in accordance with DOC Policy 104.120, "Capital Budget."

3. Requests for new construction or renovation must be submitted to the facility physical plant director using the Project Request/Proposal Worksheet (attached).
   a) Staff must initiate a physical plant modification request by completing a "Project Request/Proposal Worksheet.
      (1) The staff member initiating the request must identify the space and the reasons for making the alterations.
      (2) The staff member must describe the requested construction in as much detail as possible, along with providing a desired completion date.
      (3) The division director must approve the Project Request/Proposal Worksheet and, if approved, submit it to the physical plant director.
      (4) Project Request/Proposal Worksheets are reviewed monthly. If a request is not funded or not applicable after three years, it is removed.
   b) The physical plant director:
      (1) Reviews the request and, if necessary, suggests improvements or modifications to the plan using the Project Detail form (attached);
      (2) Provides an estimated cost of materials, cost of contract services, hours of staff time required, and an estimated completion date;
      (3) Describes any serious problems that could defer the project or make it not feasible;
      (4) Meets with the associate warden of administration/designee to review the proposal and make recommendations; and
      (5) Initiates a plant maintenance work order if the project is approved by the associate warden of administration.
   c) The warden/associate warden of administration:
      (1) Meets with the physical plant director to review the project and make recommendations to the warden;
      (2) Determines if funds are necessary and available; and
      (3) Reviews the recommendation with the facility executive team and the warden/superintendent for approval.
   d) The warden must approve all building construction, remodeling, installations, and alterations.
   e) The plant operations department must retain the plans, prints, permits, and installation manuals, and catalog them upon the completion of the project.

D. All building and infrastructure changes must meet building codes and be reported to the total infrastructure and facility maintenance (TIFM) administrator.

E. Offenders, including offenders involved with facility maintenance and repair, must not have access to security-sensitive facility blue prints, drawings, or diagrams.

F. Physical plant directors or designees must:

1. Complete the annual facility condition audits and enter the data by September each year into the Archibus system; and

2. Maintain and update Buildings, Benchmarks, and Beyond (B3) benchmarking data monthly, including entry of energy and water usages and costs.

G. Archibus Total Infrastructure Facilities Management System Requirements

Work requests must be submitted through the Archibus Total Infrastructure Facilities Management System (Archibus). (Note: New construction or renovation projects must be submitted using the Project Request/Approval Worksheet process outlined above; see procedure B.)

1. Requestor requirements. The person making a request must:
   a) Electronically submit work requests via the Archibus system any time repairs to or maintenance of the facility's physical plant is needed;
   b) Clearly identify the building/area, the repair problem or maintenance needed, and all other related pertinent information;
   c) Provide the "name of contact," which is the person reporting the issue or deficiency and who must be contacted if there are questions about the submitted request;
   d) Indicate the work priority status describing the urgency of the work request as follows:
      (1) Immediate – This is for issues that would require an immediate call to maintenance or housekeeping. This status is merely for keeping a record of work that cannot wait for an Archibus request. These requests must be for emergencies only, issues that are an immediate safety or security concern. If the requestor has not already called/e-mailed for an immediate (same day) response from maintenance or housekeeping, the requestor must not use the immediate priority level.
      (2) 7 Days – This is for issues or general repairs that must be completed within the current work week. If not completed within seven days, these requests are marked "Past Due."
      (3) 14 Days – This is for issues or general repairs that must be completed promptly. If not completed within 14 days, these requests are marked "Past Due."
      (4) 30 Days – This is the default priority level, and should be the priority level for the majority of requests. If not completed within 30 days, these requests are marked "Past Due."
      (5) 60+ Days – This is the priority level for any requests that are not time-sensitive or which will be completed over a long period of time. These requests must be completed within 90 days.
      (6) Specific Date and Time Required – This is the option for times when the other priority levels are insufficient for the work being requested. This option to select a specific date and time as the due date for the submitted request is found below the other priority levels on the Archibus service request screen.
   e) Contact the appropriate maintenance supervisor in the event an emergency response is needed; and

f) Access the current status of work requests by using the "my work requests" screen in Archibus.

2. Physical Plant Director Requirements
   a) The Physical Plant Director (PPD) is responsible for the overall performance of Archibus at the PPD's site and must work with the agency TIFM administrator to maintain an acceptable level of service.
   b) The Physical Plant Director's responsibilities include such examples as:
      (1) Reviewing Archibus performance reports provided on a weekly, monthly, quarterly, and annual basis. The PPD must review these reports with the maintenance staff and take action if needed to ensure that performance measures are being met. The performance metrics contained in Archibus reports are factored into annual performance reviews for PPDs.
      (2) Supporting the agency TIFM administrator with information requests and assist with the implementation of new processes and procedures.
      (3) Covering the responsibilities of the maintenance supervisors if they are unable to complete their daily/weekly requirements.

3. Physical Plant Supervisor/Designee Requirements
   a) Physical plant supervisors are responsible for the day-to-day operation and management of maintenance requests in the Archibus System.
   b) In order to properly manage the system, supervisors must:
      (1) Manage incoming service requests, assign work to craftspeople, and ensure the work is completed in an efficient and accurate manner;
      (2) Approve or reject all service requests within 72 hours of their submission; this necessitates checking Archibus on a daily basis and ensuring clear and timely communication with the requesting staff;
      (3) Ensure that all work done at DOC facilities has a corresponding work order; any work needed that has not been requested or generated through Archibus must have a work order created by a maintenance supervisor or craftsperson;
      (4) Assign all work requests (WRs) and work orders (WOs) to the craftspeople who will be performing the work; no work may be completed without an assigned craftsperson;
      (5) Ensure all craftspeople follow policies and procedures;
      (6) Ensure the Equipment Identification and Identification Survey (attached) is completed and given to the TIFM administrator for any new building equipment;
      (7) Designate preventive maintenance schedules for equipment; and
      (8) Work with the agency TIFM to ensure their employees have adequate training and resources in order to correctly follow DOC policies and procedures.

4. Craftsperson Requirements
   a) Each craftsperson is responsible for completing work accurately and on time and logging it in Archibus.
   b) A craftsperson's responsibilities include such examples as:
      (1) Viewing work that has been assigned;
      (2) Completing assigned work in the time allowed;

(3) Informing the supervisor of any barriers to on-time completion if needing to place work "On Hold;"
(4) Completing work in Archibus on the day it was actually completed;
(5) Logging the correct amount of time that was required to complete the work;
(6) Placing work "On Hold" when it cannot be completed due to a lack of access, labor, or parts, and reinstating it when these circumstances allow; and
(7) Being responsible for the craftsperson's own performance metrics.

5. TIFM Administrator Requirements
The TIFM administrator must:
a) Provide technical support for all facilities using Archibus;
b) Stay current with all training relevant to the related software program;
c) Be an active member in Enterprise Real Property work groups, ensuring all standards and procedures are implemented in a timely manner;
d) Conduct training on site as needed for upgrades or as staff is hired;
e) Maintain database integrity, set all security within the system, and implement identified goals and enhancements to the system; and
f) Input all relevant equipment data into the system for the Preventive Maintenance Program (see procedure H, below).

6. Safety Director Requirements
Safety directors must:
a) Review, process, and/or perform tasks generated from the Preventive Maintenance Program on a weekly basis;
b) Work with the TIFM administrator and users to ensure required permits and training are documented within the system, including such examples as:
(1) Hot work permits;
(2) Confined space entry permits; and
(3) Equipment-specific lock-out procedures;
c) Monitor the open safety work orders count, which should be no more than 50 per facility at any one time; and
d) Assess open work orders that are over 90 days old to determine if the work orders need to be cancelled or the work order status needs to be updated to reflect any changes.

H. Preventive Maintenance Programs
Plant operations department staff must:
a) Use the preventive maintenance schedules as programmed in the Archibus system for the following physical plant equipment and systems:
(1) Heating/ventilation/air conditioning (HVAC);
(2) Power plant;
(3) Food service;
(4) Laundry;
(5) Ice machines;
(6) Water filters;
(7) Pumps;
(8) Air compressors;
(9) Water heaters;
(10) Emergency generators;

(11) Boiler valves;
(12) Condensate tanks; and
(13) Electrical panels;

b) Do preventive maintenance of other equipment and components in addition to, and at the time of, repair, adjustment, and maintenance of those components;
c) Determine the frequency and procedures necessary for preventive maintenance;
d) Program and assign through the Archibus system all of the preventive maintenance schedules and required system checks; and
e) Format in Archibus the preventive maintenance procedures for all required maintenance for life, safety, fire, defined-energy-using equipment, and other inspections.

I. Any and all work submitted to Archibus must be approved, completed, and closed or cancelled in a timely manner. No work should ever reach "Past Due" status, given the functions within Archibus to edit the work priority status and to place work "On Hold."

J. All work orders are retained in the Archibus system for the lifetime of the system.

INTERNAL CONTROLS:

A. Work requests/orders are electronically submitted and retained in Archibus.
B. The plant operations department retains the plans, prints, permits, and installation manuals for new construction and renovations, and catalogs them upon the completion of the project.

C. Annual facility condition audits are retained in Archibus.

D. Energy and water usages and costs are retained in B3 benchmarking data.

ACA STANDARDS: 4-4003-1; 4-4218; 4-331; 4-332; 4-4333; 1-ABC-3B-09; and 1-ABC-4D-05

REFERENCES: Minn. Stat. §241.01 subd. 3a (d)
Prison Rape Elimination Act (PREA), 28 C.F.R. § 115.13, 115.18, and 115.86 (2012)
Policy 104.120, "Capital Budget"

REPLACES: Policy 300.400, "Physical Plant Maintenance," 5/17/16.
All facility policies, memos, or other communications whether verbal, written, or transmitted by electronic means regarding this topic.

ATTACHMENTS: Project Request/Proposal Worksheet (300.400A)
Project Detail (300.400B)
Equipment Identification and Identification Survey (300.400C)
Preventive Maintenance (PM) Request (300.400D)
Project Initiation Form (PIF) (external Department of Administration Form)

APPROVED BY:
Deputy Commissioner, Facility Services
Deputy Commissioner, Community Services
Assistant Commissioner, Facility Services
Assistant Commissioner, Operations Support

Instructions

300.400LL, “Snow Removal”

300.400-2LL, “Facility Housekeeping Plan”