

CHAPTER: 400
Physical Plant/Facilities
DEPARTMENT ORDER:
403 – Maintenance
OFFICE OF PRIMARY
RESPONSIBILITY:
FM

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Arizona Department of Corrections Rehabilitation and Reentry



Department Order Manual

A handwritten signature in black ink, appearing to read "Ryan Thornell", is written over a horizontal line.

Ryan Thornell, Director

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PURPOSE

This Department Order establishes responsibilities of Physical Plant staff and procedures for service and maintenance requests, pest and weed control, and refuse collection and removal.

APPLICABILITY

This Department Order is not applicable to private prisons. Private prisons shall adhere to the maintenance requirements of their contract.

PROCEDURES

1.0 PHYSICAL PLANT MANAGEMENT RESPONSIBILITIES

- 1.1 The Physical Plant Manager/Administrator shall:
 - 1.1.1 Report to the appropriate Complex Warden.
 - 1.1.2 Hire and supervise qualified Physical Plant specialized staff (e.g., plumbers, electricians, and heating, ventilation, and air conditioning (HVAC) technicians).
 - 1.1.3 Ensure that only qualified staff who demonstrated a knowledge of code requirements and safety standards, who are known by the Physical Plant Administrator/Director to be experienced, may work on electrical circuits and equipment as described in National Electric Code and National Fire Protection Association (NFPA) 70-E.
 - 1.1.3.1 Non-qualified staff/non-Facilities staff and inmates are prohibited from working on any energized circuits and equipment.
 - 1.1.4 Oversee planning, funding, expenditures and assigned budget.
 - 1.1.5 Ensure code and regulatory compliance, to include hazardous material testing and abatement as applicable (mold and asbestos).
 - 1.1.6 Participate in the annual development of the Capital Improvement and Building Renewal Project requests.
 - 1.1.6.1 Physical Plant Administrators/Directors shall be responsible for:
 - 1.1.6.1.1 Initiating the process with the Complex Warden no later than February 1 each calendar year.
 - 1.1.6.1.2 Submitting the Capital Improvement and Building Renewal requests to Central Office Facilities Management Division no later than the last work day of March each calendar year.
 - 1.1.7 Establish and execute preventative maintenance schedules.
 - 1.1.8 Establish priorities for the institutions equipment maintenance.
 - 1.1.9 Manage all construction, repairs, improvements, and maintenance to physical plant, as well as to ACI buildings. This includes all buildings, equipment, utilities, energy conservation and major operating units.

- 1.1.9.1 Facilities Project Managers shall manage, and track construction projects initiated by the Central Office Facilities Management Division.
- 1.1.10 Ensure that all required licenses and permits are obtained and are on file as prescribed by local, state and or federal laws.
- 1.2 The Physical Plant Manager/Administrator shall:
 - 1.2.1 Attend Quarterly Maintenance Meetings, as necessary.
 - 1.2.2 Ensure the following are updated and maintained:
 - 1.2.2.1 The Equipment Maintenance Record for each piece of physical plant equipment, which includes the following:
 - 1.2.2.1.1 Master Preventative Maintenance Schedule, Form 403-7, and additional Preventative Maintenance information as outlined in this Department Order.
 - 1.2.2.1.2 Maintenance/Service Work Order Request, Form 403-2, and Maintenance/Service Work Order Request Supplement, Form 403-3, if required.
 - 1.2.2.1.3 Warranty information.
 - 1.2.2.1.4 Equipment Inventory Record, Form 403-6 – Qualified physical plant staff shall paint or otherwise permanently mark new physical plant equipment with an identification number and complete the Equipment Inventory Record form prior to installation.
 - 1.2.2.2 The Generator Packet for all generators located at the institution/complex, including but not limited to:
 - 1.2.2.2.1 The Operation and Maintenance Chart, in accordance with the manufacturer's specifications.
 - 1.2.2.2.2 Back-up Generator Preventative Maintenance Log, Form 403-4, and Back-up Generator Annual Maintenance Record, Form 403-5.
 - 1.2.2.2.3 The Orientation Report, which, at a minimum documents engine/generator mechanical function results during emergencies, before and after simulated testing of load conditions and/or monthly operations.
 - 1.2.3 Ensure that all proposed projects, regardless of the scope of work, are submitted on a Project Request, Form 401-1, for review and approval through the appropriate authorities.
 - 1.2.3.1 A project is defined as any new construction, addition, modification, removal or alteration of any site, grounds, structure, ingress/egress, utility or any part thereof the Complex.

- 1.2.3.2 Projects requests shall comply with local, state and federal codes and guidelines. All work conducted shall be done in a manner that complies with Fire Code, International Building Standards and other applicable codes and guidelines. Construction materials used in renovations and new construction must comply with flame spread and smoke generation requirements of all applicable codes.
- 1.2.3.3 No work shall be conducted until approval has been gained through all approving authorities.
- 1.2.3.4 A project tracking system for each project to include the following:
 - 1.2.3.4.1 Monthly record of project materials ordered.
 - 1.2.3.4.2 Reconciliation of materials received and used.
 - 1.2.3.4.3 Balance of materials inventory.
 - 1.2.3.4.4 Tracking of funding and budget.
- 1.2.4 Ensure documentation is completed and maintained in accordance with the requirements of this Department Order and the current records retention schedule.
- 1.2.5 Perform quarterly inspections of the physical plant and physical plant systems and document them on the Quarterly Plant System Building and System Inspection Report, Form 403-8.
 - 1.2.5.1 For assets deemed unsatisfactory, the Physical Plant Manager/Administrator and/or designee shall:
 - 1.2.5.1.1 Indicate the reason for the rating in the “Initial Comments” column and the corrective action time frame in the “Action in Days” column.
 - 1.2.5.1.2 Initiate a Maintenance/Service Work Order Request, as appropriate.
 - 1.2.5.1.3 Indicate the completion of the corrective action in the “Comments/Completion Date” column.
 - 1.2.5.2 For assets deemed excellent or satisfactory, 1.2.5.1.1 through 1.2.5.1.3 of this section shall not be required.
 - 1.2.5.3 The Physical Plant Manager/Administrator and/or designee shall complete the bottom portion and distribute the form after the:
 - 1.2.5.3.1 Inspection when no assets were deemed unsatisfactory.
 - 1.2.5.3.2 Completion of all required corrective action when assets were deemed unsatisfactory.
- 1.2.6 Complete and review with the Warden, the Work Programming Monthly Report, Form 403-9.

- 1.2.7 Submit the completed and reviewed Work Programming Monthly Report to Central Office Facilities Management Division by the 10th working day of each month.

2.0 PREVENTATIVE MAINTENANCE

- 2.1 The Physical Plant Manager/Administrator and the Physical Plant Supervisor shall ensure the physical plant receives Preventative Maintenance in accordance with this Department Order.
- 2.2 The Physical Plant Supervisor shall:
 - 2.2.1 Determine physical plant equipment requiring Preventative Maintenance each month using the following:
 - 2.2.1.1 Equipment Maintenance Records
 - 2.2.1.2 Environmental industry standards
 - 2.2.1.3 Manufacturers' recommendations
 - 2.2.1.4 Frequency of operational failures (i.e., draining potable water storage systems to inspect operational conditions and determining requirements for painting/cathodic protection and hydro-pneumatic servicing)
 - 2.2.2 Complete a Preventative Maintenance Assignment, Form 403-1 to assign Preventative Maintenance tasks to qualified physical plant staff.
 - 2.2.2.1 Assigned physical plant staff shall return the form to the Physical Plant Supervisor or designee upon the completion and documentation of all of their assigned tasks.
 - 2.2.3 Upon receipt of the Preventative Maintenance Assignment form:
 - 2.2.3.1 Update the Master Preventative Maintenance Schedule form for each asset included on the form.
 - 2.2.3.2 Complete the approval section of the form and forward the form to the Physical Plant Manager/Administrator.
 - 2.2.3.3 Generate a work order documenting the preventative maintenance in the electronic work order system.

3.0 INSPECTIONS

- 3.1 The Physical Plant Administrator/Director shall inspect the institutional buildings and physical plant systems in accordance with this Department Order.
 - 3.1.1 The Physical Plant Administrator/Director shall ensure all utility systems are maintained in accordance with local, state and federal guidelines.
 - 3.1.2 All natural and propane gas, other flammable fuel or compressed gasses shall be surveyed and tested for leaks annually by an independent qualified testing contractor in accordance with regulatory authorities including the Arizona Corporation Commission.

- 3.1.2.1 All annual gas inspections, repairs, maintenance shall be documented in the electronic work order system.
- 3.1.2.2 All discrepancies identified during inspections shall be documented in accordance with the Arizona Corporation Commission.
- 3.1.3 Fire and life safety systems shall be maintained and inspected in accordance with applicable International Fire Code, International Building Code, NFPA 72, NFPA 25, NFPA10 and the manufacturer's instructions.
- 3.1.4 All certified annual inspections shall be performed by a manufacturer-certified service representative.
- 3.1.5 All repairs shall be conducted by a qualified repair technician as defined by NFPA and prioritized as a Critical Repair.
- 3.1.6 Water and waste water systems shall be inspected, tested and maintained to insure proper operation meeting standards set forth by the Arizona Department of Environmental Quality and the Arizona Department of Water Resources.
 - 3.1.6.1 All potable water systems shall be inspected annually and documented in accordance with regulatory agencies. All potable water storage systems shall be inspected internally and externally every three years by a qualified vendor for evidence of corrosion, pitting or signs of weakness. All necessary steps shall be taken to document and correct any internal/external deficiencies identified.
 - 3.1.6.2 Cathodic protection of water systems storage tanks shall be required. Cathodic protection systems shall be inspected annually by a qualified operator or vendor. Deficiencies shall be documented and repairs shall be prioritized as a Critical Repair.
- 3.1.7 Boiler and pressure vessels including but not limited to gas fired domestic water heaters and storage tanks that exceed a heat input of 200,000 BTU per hour; a water temperature of 210 degrees F; a boiler in which steam is generated at a pressure of more than 15psi; or has a nominal water capacity of 120 gallons or more must be inspected by a qualified inspector and certified annually.

4.0 GENERATORS/BACKUP GENERATOR OPERATION AND MAINTENANCE

- 4.1 Inspection/Maintenance Service Documentation System Packet – The Physical Plant Manager shall establish an Inspection/Maintenance Service Documentation System Packet for all generators permanently affixed within the institutions. This packet shall include, but not limited to:
 - 4.1.1 Operation and Maintenance Chart – The manufacturers listing of service/maintenance intervals in accordance with the manufacturers specifications.
 - 4.1.2 Maintenance Record – Back-up Generator, Form 403-5 – Documentation of operating hours, fuel usage, fuel cost, lubrication, parts used, parts cost, labor hours, labor costs, total hour of down time and service performed.

- 4.1.3 Orientation Report – A report that shall include, but not limited to, the following:
 - 4.1.3.1 Documentation from prior to and following annual simulated testing of load conditions of engines/generators.
 - 4.1.3.2 Documentation from prior to and following monthly operations to observe the mechanics of engines/generators.
 - 4.1.3.3 Documentation following the operation of engines/generators during emergencies.
 - 4.1.3.4 Documentation prior to and following annual preventative maintenance, service and testing of Automatic Transfer Switches and associated electrical systems.
- 4.1.4 A qualified lubricant testing service shall conduct annually a failure analysis test on all standby electrical generators engine oil and coolant. Tests must be conducted for contaminants and additive metals along with non-metallic contaminants. The testing service is to provide a summary report that makes recommendations for corrective action. A copy of these reports are to be kept with the packet at all times.
 - 4.1.4.1 Documentation prior to and following routine fuel, oil, coolant, lubricant preventative maintenance, service, sample testing and results shall be kept with the packet.
 - 4.1.4.2 Documentation of all load bank testing.
- 4.1.5 Operating Procedures – Proper procedures for starting, stopping and operating equipment are to be posted adjacent to the equipment for reference. These are to include a description of the equipment, operation abilities and limitations of the equipment.

5.0 MAINTENANCE/SERVICE WORK ORDER REQUESTS

- 5.1 Department employees shall:
 - 5.1.1 Submit maintenance and service requests to the Physical Plant Supervisor or designee using the automated work order system.
 - 5.1.1.1 All work orders submitted shall be limited to one maintenance related item per work order number.
 - 5.1.2 Make a notation on the Correctional Service Log, Form 105-6, as applicable.
 - 5.1.3 Complete an Information Report, Form 105-2, if the maintenance or service request is more than a routine or minor non-safety/security issue. Instances requiring the Information Report form include, but are not limited to the following:
 - 5.1.3.1 Inspecting and repairing a security zone with a high rate of false alarms.
 - 5.1.3.2 Repairing roof leaks, broken windows in a secure area and/or security system failures (e.g., inoperative detection systems and locks).

5.1.3.3 Servicing/repairing electric doors, gate operators, security perimeter lights, and/or failed security zones.

5.1.3.4 Life-threatening gas, water or electrical failures and/or fire safety hazards.

5.2 The Physical Plant Administrator/Director or Physical Plant Supervisor shall:

5.2.1 Prioritize service and maintenance requests.

5.2.1.1 Work order requests shall be assigned a priority rating based upon an assessment of the degree of life/safety and security risks within the following categories:

5.2.1.1.1 Urgent Repair (issue shall be addressed within 2 hours)

5.2.1.1.2 Critical Repair (issue shall be addressed within 24 hours)

5.2.1.1.3 Routine Repair (issue shall be addressed after all Urgent and Critical Repairs are performed and within 30 days)

5.2.2 Maintain an electronic work order tracking system for submitted service and maintenance requests, to include the following:

5.2.2.1 Tracking number

5.2.2.2 Date received

5.2.2.3 Materials used, associated costs and labor hours

5.2.2.4 Completion date

5.2.3 Ensure 5.2.2.1 through 5.2.2.4 of this section is in a physical file or saved electronically.

5.2.4 Submit completed Service/Maintenance Work Order Request forms and Service/Maintenance Work Order Request Supplement forms to the Physical Plant Manager/Administrator for inclusion in the Equipment Maintenance Record. This documentation shall be retained for 12 months.

5.2.5 Electronically submit completed automated service and maintenance work requests to the Physical Plant Manager/Administrator, as applicable.

5.2.6 Notify requester of disapproved work orders advising reason for rejection.

5.3 Facilities Regional Administrators shall:

5.3.1 Tour and inspect all assigned institutions at least quarterly.

5.3.1.1 A memorandum of institutional tours, shall be written and emailed to the Assistant Director for Facilities Management by the 10th of each month.

5.3.1.1.1 The memorandum shall identify areas inspected and compliance or non-compliance with this Department Order.

5.3.1.1.2 The Assistant Director for Facilities Management shall forward any reports with identified deficiencies to the Assistant Director for Prison Operations within five business days.

5.3.1.1.2.1 The Assistant Directors for Facilities Management and Prison Operations shall work together, as applicable, to resolve discrepancies.

5.3.2 Monthly monitor the Traceability Made Easy system to ensure work orders are being completed in a timely manner and prioritized appropriately.

5.3.3 Monitor the Physical Plant Administrator/Director's compliance with the requirements of this Department Order.

5.3.4 Via email, notify the Assistant Director for Facilities Management, Assistant Director for Prison Operations and the Complex Warden of any urgent discrepancies found.

6.0 PEST AND WEED CONTROL/ERADICATION

6.1 Pest and weed control/eradication shall be performed by a contractor.

6.2 Inmates shall not apply pest control substances.

6.3 Inmates may place and monitor non-poisonous, non-lethal traps.

7.0 REFUSE COLLECTION AND REMOVAL

7.1 The appropriate Assistant Director, Bureau Administrator, or Warden (management staff) or designee shall ensure the following, as applicable:

7.1.1 Approved contractor(s) remove and dispose of refuse in accordance with contract requirements and/or Department employees use Department container vehicles designed to haul refuse to approved landfills.

7.2 Refuse material considered hazardous is collected and transported by a state-contracted hazardous material removal vendor. Contact information is available through the Central Office Procurement Bureau.

7.3 Smoking waste shall be placed in covered receptacles designed for flammable waste storage. Smoking waste receptacles shall be dampened prior to emptying into dumpsters.

7.4 All building refuse dumpsters shall have covers and shall be stored in areas approved by management staff.

7.5 Construction waste dumpsters or containers shall not be used for food or office waste collection.

7.6 General office refuse collection frequency shall be determined by the institution/complex's waste loadings.

- 7.7 Institutions/complexes participating in a recycling program may adjust waste loading collection frequency as needed. Recycling is encouraged where it is economically feasible and a program is available.

DEFINITIONS/GLOSSARY

Refer to the Glossary of Terms for the following:

- Engine
- Generator
- Load Conditions
- Preventative Maintenance

FORMS LIST

403-1, Preventative Maintenance Assignment
403-2, Maintenance/Service Work Order Request
403-3, Maintenance/Service Work Order Request Supplement
403-4, Back-up Generator Preventative Maintenance Log
403-5, Back-up Generator Annual Maintenance Record
403-6, Equipment Inventory Record
403-7, Master Preventative Maintenance Schedule
403-8, Quarterly Physical Plant Building and Systems Inspection Report
403-9, Work Programming Monthly Report

AUTHORITY

A.R.S. §32-2301 et seq, Structural Pest Management Regulation
A.R.S. §49-701 et seq, Solid Waste Management
A.A.C. Title 4, Chapter 29, Office of Pest Management
A.A.C. Title 18, Chapter 13, Department of Environmental Quality Solid Waste Management