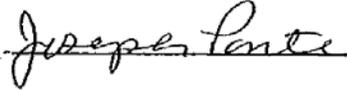


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CHAPTER 12 / 21: PHYSICAL PLANT AND MAINTENANCE		
	STATE of MAINE DEPARTMENT OF CORRECTIONS Approved by Commissioner: 	PROFESSIONAL STANDARDS: See Section VII
	EFFECTIVE DATE: December 15, 2003	LATEST REVISION: December 21, 2011

I. AUTHORITY

The Commissioner of Corrections adopts this policy pursuant to the authority contained in 34-A M.R.S.A. Section 1403.

II. APPLICABILITY

All Adult and Juvenile Correctional Facilities

III. POLICY

It is the policy of the Department of Corrections that all adult and juvenile correctional facilities establish practices to maintain the facility's physical plant and systems.

IV. CONTENTS

- Procedure A: Physical Plant Maintenance, General
- Procedure B: Maintenance Staffing and Training
- Procedure C: Preventive Maintenance Program
- Procedure D: Communication and Network Systems
- Procedure E: Reporting Maintenance Problems, Non-Emergency
- Procedure F: Reporting Maintenance Problems, Emergency
- Procedure G: Maintenance Manuals
- Procedure H: Maintenance Training for Prisoners
- Procedure I: Facility Physical Plant Systems/Inspections

V. ATTACHMENTS

None

VI. PROCEDURES

Procedure A: Physical Plant Maintenance, General

1. Chief Administrative Officers shall ensure that necessary funding is budgeted to maintain their physical plant and all its systems. Maintenance staff shall be responsible for maintaining facility physical plants and systems and shall participate in determining the level of funding necessary to maintain the physical plant and systems in proper working order. Maintenance staff shall also be responsible to develop and maintain preventive maintenance plans for the physical plant and systems.
2. Chief Administrative Officers of each correctional facility shall maintain practices to ensure compliance with all applicable federal, state, and local building, health and fire safety codes. All inspections conducted by outside agencies having jurisdiction (Fire Marshal, Health and Human Services, Code Enforcement Officers), their findings and corrective action(s) taken by the facility shall be documented and kept on file.
3. Chief Administrative Officers shall maintain sufficient qualified staff and/or contractual arrangements to ensure that annual preventive maintenance plans and inspections are in place to ensure all that all physical plant systems (environmental, electrical, security, emergency, communication and information) are maintained in proper working order and compliant with applicable codes and standards. All specific preventive maintenance practices and inspections carried out by maintenance staff, contractors, or safety staff shall be documented and kept on file.
4. Chief Administrative Officers shall ensure that maintenance staff establish and maintain a formal documented system for facility staff to report problems with the facility physical plant and its systems to maintenance staff for repair. Problems reported with the physical plant's security, locking, perimeter or other system identified as posing a security or safety concern, shall take priority for repairs by maintenance staff. Documentation shall include the date and time repairs are made.

Procedure B: Maintenance Staffing & Training

1. The Chief Administrative Officer shall ensure that the facility maintains adequate maintenance staffing consistent with legal requirements and the Department's staffing plan for maintenance at the facility.
2. Staffing for maintenance shall include the appropriate representation of trade

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specialists and/or contracted service providers necessary to meet the physical plant requirements of the facility. Maintenance coverage, either on-site or through a call-in system, shall be available continuously on a twenty-four (24) hour basis.

3. The Maintenance Supervisor shall be responsible for ensuring maintenance staff are available for the following:
 - a. Conducting all requirements for the preventive maintenance program,
 - b. Providing responses when emergency and non-emergency repairs are needed,
 - c. Conducting inventory control of tools and equipment as outlined in the Department's policies regarding Security, Control and Operations.
 - d. Completing and maintaining all required recordkeeping functions associated with work orders, inspections, systems maintenance schedules, fiscal planning, and any damage assessments requiring risk management decisions from the facility or the Department, e.g., major repairs and replacements,
 - e. Participating in planned fire and evacuation drills, assisting the fire department in resetting alarms, distributing equipment and other assigned duties, and
 - f. Coordinating with the facility's designated Sanitation Officer, Safety Officer, Fire Safety Officer, Hazardous Materials Control Officer and the Chief Administrative Officer, or designee to prevent or correct deficiencies associated with ongoing inspections.

4. Maintenance staff shall receive proper training in their area of expertise and must possess appropriate licensure or certifications when such qualifications are necessary to perform work associated with their functions and areas of responsibility. Representatives or employees of contracted service providers shall be appropriately licensed or certified to perform maintenance services at any of the Department's facilities. Such licenses or certifications shall be kept up to date and on file by the Maintenance Supervisors.

5. The facility's Training Coordinator shall be responsible for ensuring that appropriate training needs of maintenance personnel assigned to the facility are incorporated in the overall training plan. The Maintenance Supervisor of each facility shall, annually, provide training staff with a list of training requirements for all maintenance staff.

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Procedure C: Preventive Maintenance Program

1. The Maintenance Supervisor of each facility is responsible for ensuring the facility establishes and implements a preventive maintenance program in accordance with applicable standards and codes requirements, Departmental policies, procedures and professional practices.
2. At each facility, a designated maintenance area shall be established for the purpose of directing all maintenance related functions.
3. The Maintenance Supervisor of each facility shall be responsible for developing a written preventive maintenance plan for the day-to-day activities associated with managing the facility’s preventive maintenance program.
4. At a minimum, the designated Maintenance Supervisor shall direct maintenance operations, including, but not limited to, the following:
 - a. Controlling the workflow, to include the administration of the work order system, detailed job planning, staffing/manpower estimates, materials estimates, methods of job assignment and task completion, establishing priorities for work orders, scheduling, report preparation, and other recordkeeping duties,
 - b. Reviewing completed work orders to compare and evaluate whether work is being performed properly and that time and work estimates are accurately measured,
 - c. Developing, monitoring and analyzing all other components of the preventive maintenance program,
 - d. Establishing an inventory control system to continuously monitor and ensure that spare parts, particularly those parts most frequently used or subject to repair are in adequate supply and readily available from an authorized service provider,
 - e. Establishing a systematic maintenance schedule for the long range planning objectives for the facility, including, but not limited to, interior/exterior painting, roof replacement, road maintenance, etc.,
 - f. Preparing and submitting factual, timely, and appropriate reports regarding maintenance costs, staff work performance, and problem areas

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to support trend analyses and assist decision-making by the facility's administration,

- g. Preparing other reports needed to prioritize capital improvements,
 - h. Participating in safety and health inspections and Health and Safety Committee activities, and,
 - i. Preparing the annual maintenance budget.
5. The Maintenance Supervisor shall ensure the facility's preventive maintenance plan is designed to provide economical use of staff or contractors, equipment, facilities, and other resources.
6. Facility or Department equipment shall be placed on a preventive maintenance schedule and evaluated for replacement using the following guidelines:
- a. The manufacturer's or contracted service provider's warranties or service agreements specifying in writing the requirements for scheduled inspections, adjustments and servicing to maintain the care and condition of the item,
 - b. The equipment is critical to the safe and secure operation of the facility's physical plant or other prioritized operations,
 - c. The equipment has exceeded the normal life expectancy,
 - d. Replacement of the equipment is more cost efficient than preventive maintenance. Consistent with these guidelines, equipment may be replaced when a cost analysis comparing replacement cost with preventive maintenance cost is conducted and the documentation is submitted to the Chief Administrative Officer for approval, in accordance with the Department's fiscal management policies and procedures.
7. The Maintenance Supervisor, or designee, shall maintain the inventory records of all machines and equipment included under the preventive maintenance program. Record keeping functions associated with inventory control, preventive maintenance, and inspections for all machines and equipment include, but are not limited to:
- a. Documenting the pertinent information for each machine/equipment that is included in the preventive maintenance program using the appropriate manual or automated recordkeeping systems,

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- b. Establishing historical records including the dates, details of non-scheduled major machine repairs, estimates and actual costs for labor and materials, and any other appropriate description of maintenance work completed by staff or contractors,
 - c. Recording dates of all scheduled preventive maintenance services and inspections completed on all machines and equipment by staff or contractors,
 - d. Recording location of the machines/equipment,
 - e. Set-up requirements for equipment and machines, and
 - f. Maintaining current copies of the facility's preventive maintenance plan at designated locations at the facility. Documentation pertaining to the facility's preventive maintenance plan and the preventive maintenance program are considered permanent records and shall be maintained, updated, stored, and retired in accordance with the Department's policy on record keeping.
8. Each facility shall use preventive maintenance checklists to ensure each task required for preventive maintenance is completed in a systematic fashion and initialed by the staff or contractors performing the work.
9. Inspections under the facility's preventive maintenance program shall include one or more of the following:
- a. visual observations,
 - b. servicing, including adjustments, lubrication, cleaning, replacement of minor parts or components,
 - c. manual or automated testing and monitoring of security, emergency, mechanical, electrical equipment and systems,
 - d. reporting on the condition and findings.
10. Staff or contractors performing the inspections and/or testing shall have the appropriate license or certification required by the person performing the task, a record of which shall be maintained in the appropriate personnel or contractor's file.

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11. At facilities where they are available, the Maintenance Supervisor shall ensure emergency power (backup) generators are inspected on a weekly basis. A full capacity (load) test of each emergency backup generator shall be completed at least quarterly. Records of all tests shall be retained in the Maintenance Supervisor's office.
12. At a minimum, emergency equipment shall be tested quarterly. Emergency equipment includes, but is not limited to:
 - a. standby or emergency lighting,
 - b. communication systems,
 - c. all alarm systems,
 - d. emergency backup generators,
 - e. security and control backup systems
13. The written preventive maintenance plan for all production equipment located in Industries program areas shall be developed by the Industries Manager and shall include provisions for scheduling repairs and maintenance.
14. The facility's Industries Manager shall be responsible for reviewing the preventive maintenance plan for completeness and accuracy and to ensure operations will not be delayed or interrupted wherever possible.
15. The Industries Manager and/or Maintenance Supervisor shall inform the Chief Administrative Officer before major repairs are initiated and/or when the repairs will result in an interruption or shut down of Industries operations.

Procedure D: Communication and Network Systems

1. Each facility shall implement the Department's policies and procedures for maintaining adequate communication systems at all times, including during power failures and other maintenance emergencies. The communication system shall be located in a space that provides protection from fire and/or water damage. Communication systems include, but are not limited to, telephones, intercoms, radio/paging, public address systems, etc.
2. Each facility's communication and network systems shall be used to assist in reporting and tracking maintenance and other problems.

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Procedure E: Reporting Maintenance Problems, Non-Emergency

1. At each facility, staff identifying maintenance problems shall report them immediately to the appropriate Area/Zone Supervisor. The Area/Zone Supervisor shall verify the need for the submission of a Work Order Request Form no later than the end of the shift. The Shift Commander, or designee, shall determine whether the identified problem shall be reported as an emergency work order. See Procedure F of this policy.
2. Work orders shall be completed for all maintenance problems where the need for repairs are identified, investigated, and verified. Non-emergency work orders are prioritized for repairs according to the potential of the identified maintenance problem to:
 - a. interfere with scheduled activities,
 - b. affect conditions of confinement,
 - c. affect staff workload, or
 - d. deteriorate into hazardous conditions that affect health, safety, and security.
3. All required fields of the manual or automated work order request form shall be completed, consistent with training guidelines. At a minimum, the staff member initiating the work order request must complete the following information:
 - a. Name and identification number of the staff completing the work order request form,
 - b. Time and date the work order was initiated,
 - c. Specific work area or location of the maintenance problem, e.g., non-contact visiting room #2; Control Post # 8, Cell # 5 in Housing Pod # 4, etc.,
 - d. Telephone extension of the post where the work order was reported,
 - e. Class/category of maintenance problem, i.e., non-emergency (routine), emergency (urgent), and
 - f. Description of the specific maintenance problem or work needed.
4. The staff member identifying the maintenance problem shall be responsible for

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documenting the need for maintenance repairs in the post logbook.

5. Maintenance staff shall be responsible for completing the following fields of the work order request:
 - a. Initials and identification number of the maintenance staff receiving the request,
 - b. Time and date the request was received,
 - c. Time and date the repairs or work was completed,
 - d. Description of the work performed (including listing parts ordered, date parts were received),
 - e. Signature of the maintenance staff who completed the work, and
 - f. Maintenance Supervisor shall review all completed work orders to verify work was performed satisfactorily.
6. Maintenance staff shall use logbooks to record the work orders received and track the status of work orders. At facilities where the technology is available, the automated system used for preventive maintenance and inventory control shall also be used to track, prioritize, and monitor the status of all work orders.
7. All appropriate staff shall receive training in the following:
 - a. identifying and reporting maintenance problems,
 - b. priorities for emergency work orders, and
 - c. using the manual and/or automated recordkeeping system to initiate and track work order requests.
8. At facilities where an automated maintenance program has been installed, it shall be implemented and used by all staff to record work orders and track the status of work orders, unless prevented by a power failure or the system's malfunction.
9. Staff shall not attempt repairs of any maintenance problem that is beyond the scope of their Departmental, specialized, or professional training.
10. All repairs involving the Department's computer systems shall be repaired and serviced by an authorized contracted service provider, consistent with warranties

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and service agreements. Computer repairs shall be reported to the designated IT Manager/Coordinator to arrange for servicing, repairs and/or replacement of equipment.

11. On at least a monthly basis, the Maintenance Supervisor shall prepare and submit a statistical summary to the Chief Administrative Officer, or designee, concerning the status of key maintenance operations, including work orders. The monthly report shall be used to monitor and evaluate efficiency and responsiveness in maintenance operations. At a minimum, the written report and/or automated printout shall include the following information regarding maintenance activities:
 - a. total number of work orders received,
 - b. total number of completed work orders,
 - c. total number of non-emergency maintenance repairs,
 - d. total number of emergency maintenance repairs,
 - e. status of work orders and repairs that were not completed,
 - f. total cost for maintenance repairs completed,
 - g. estimated cost for outstanding maintenance work orders,
 - h. total number of scheduled preventive maintenance checks that were completed, and,
 - i. total number of scheduled preventive maintenance checks that are outstanding.

12. The Chief Administrative Officer, or designee, shall review the report and determine if any other courses of action are necessary to improve efficiency in this area of facility operations.

Procedure F: Reporting Maintenance Problems, Emergency

1. Each facility shall implement procedures designed to provide an effective and immediate response to reports of emergency maintenance problems.

2. The Maintenance Supervisor shall be responsible for ensuring an appropriate response to emergency maintenance problems that are confirmed by the Shift Commander, or designee. In the event multiple emergency repairs are needed,

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the priorities for responding to and completing the repairs shall be based on the Department's established priorities for preventing the loss of a life, serious injuries, and/or serious threats to the security of the facility.

3. At each facility, areas prioritized to receive immediate attention related to mechanical or equipment system failures consistent with life safety and security considerations include, but are not limited to:
 - a. health care areas, including life-sustaining equipment,
 - b. kitchen,
 - c. power plant,
 - d. perimeter lighting, gates and doors,
 - e. electronic security and surveillance systems,
 - f. areas where combustibles or explosives are located,
 - g. utilities, where environmental conditions in areas occupied by staff, prisoners/residents, or visitors are severely affected,
 - h. alarm systems,
 - i. fire suppression and control systems.

4. At each facility, emergency maintenance responses shall include all corrective actions of physical plant deficiencies that are required to prevent the continuation of health and safety hazards and potential threats to life safety or security (e.g., escapes or other breaches of security).

5. At a minimum, each facility's emergency plans and procedures pertaining to emergency maintenance shall include the following information:
 - a. Names and telephone numbers of facility or contracted staff, vendors and/or Central Office staff who are notified when emergency repairs are necessary,
 - b. Facility-specific plans, procedures, and post orders for responding to the emergency.

Procedure G: Maintenance Manuals

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1. The Maintenance Supervisor shall be responsible for maintaining a current copy of the facility's maintenance manual.
2. At a minimum, facility maintenance manuals shall include information regarding the following:
 - a. mechanical and equipment operations,
 - b. automated preventive maintenance program guidelines,
 - c. warranty and service agreements,
 - d. tool and equipment inventories, unless automated,
 - e. applicable Department policies and procedures,
 - f. applicable national and state codes pertaining to physical plant and maintenance,
 - g. appropriate attachments and appendices, including forms, schedules, inspection checklists, etc., and
 - h. emergency notification lists, including the facility's twenty-four (24) hour emergency maintenance service providers.
3. Maintenance manuals shall be maintained in secure locations and shall be available as a resource to appropriate staff. Clients shall not be allowed access to maintenance manuals or their contents.
4. Any missing maintenance manuals or contents shall be reported to the Chief Administrative Officer, or designee.

Procedure H: Maintenance Training for Prisoners - (Not applicable for juvenile clients)

1. Prisoners may perform preventive maintenance inspections and/or other authorized maintenance work under the following conditions:
 - a. Prisoner is properly trained,
 - b. Prisoner has the appropriate license and/or certification when such qualifications are required to perform the work. A copy of the prisoner's

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training, license and/or certifications shall be maintained in the Prisoner's Permanent Administrative Record,

- c. Prisoner is selected and cleared for work, consistent with the prisoner's training, skill level, custody/security restrictions and other eligibility requirements,
 - d. Prisoner performs all preventive maintenance work under staff supervision,
 - e. Prisoner does not supervise other prisoners at any time.
2. The Chief Administrative Officer, or designee shall be the approving authority for determining restrictions on prisoner work assignments involving maintenance operations. At each facility, prisoners shall not be permitted to perform maintenance work in the following restricted access areas:
- a. boiler room,
 - b. electrical room,
 - c. computer rooms,
 - d. telephone system,
 - e. records room.

Procedure I: Facility Physical Plant Systems/Inspections

- 1. Each facility shall implement a comprehensive system for ensuring all aspects of the physical plant and its systems are subject to inspections designed to identify structural problems and repair or replacement of various components of Department or facility property as needed or required.
- 2. Consistent with the facility's design, each facility's physical plant shall be equipped with the appropriate features to achieve compliance with all applicable national, state, or local building and fire codes, unless a variance or waiver of a design element or feature is submitted by the Chief Administrative Officer through the Department's Central Office Accreditation Manager, and approved by a representative of an authorized compliance agency or accreditation body. A copy of the licensure or certification of compliance with applicable physical plant requirements shall be maintained in a secure location at the facility's administrative office and other areas when required by legal requirements and professional accreditation bodies.

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3. Consistent with the preventive maintenance plan, each facility shall implement the Department's policies and procedures by scheduling and conducting regular inspections and testing of the facility's physical plant systems, as set out in these procedures, and performing all necessary maintenance tasks for the following:
 - a. Heating, cooling and ventilation systems, including alternative fuel systems where available,
 - b. Electrical distribution and lighting systems,
 - c. Power generators, including emergency generators at facilities where they are available,
 - d. Sewage and drainage systems,
 - e. Plumbing and certification by an independent outside source regarding the potable water supply systems,
 - f. Refrigeration systems,
 - g. Security systems,
 - h. Fire suppression and detection systems,
 - i. Waste material storage and disposal system, including bio-hazardous waste and hazardous materials and substances,
 - j. Food service equipment, e.g., refrigeration lockers, etc.,
 - k. Industries production equipment, and
 - l. Health care equipment.

4. On an annual basis, the Maintenance Supervisor, with the head of Security, shall conduct inspections to assess the condition of the following:
 - a. Concrete and cement work such as walls, floors, sidewalks, and other masonry work such as bricks, cut stone, structural tile, hollow masonry units,
 - b. Asphalt roads,

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- c. Waterproofing and damp proofing,
 - d. Drywall, stucco, plaster and similar products,
 - e. Structural metal work (e.g., steel framing, columns and supports, hollow metal, sheet metal, ornamental metal work, window frames etc.),
 - f. Roofing,
 - g. Woodwork, including flooring,
 - h. Painting and finishes,
 - i. Fences and gates,
 - j. Locking systems.
5. Each facility's physical plant systems shall conform to the requirements for the applicable national and state building codes and/or professional standards, including, but not limited to:
- a. Current manual(s) of applicable American Correctional Association standards for adult and juvenile correctional institutions, including current standards supplements,
 - b. Current applicable standards of the National Commission on Correctional Health Care for health care services of the Department's facilities,
 - c. Building Official Code Administration (BOCA), including the National Existing Structures Codes where appropriate,
 - d. National Electrical Codes,
 - e. National Fire Protection Association (NFPA),
 - f. Section 306 of the Clean Air Act (42 U.S.C. 1857(h)),
 - g. Section 508 of the Clean Water Act (33 U.S.C, 1368),
 - h. Executive Order 11738,
 - i. Environmental Protection Agency regulations (40 CFR part 15),

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- j. Energy Policy and Conservation Act,
 - k. Chemical Substance Identification Law Chapter 22 Sections 1701-1725),
 - l. State of Maine Respiratory Protection Standards (1910.134),
 - m. Occupational Health and Safety Administration requirements, where applicable,
 - n. Maine Boiler Board Standards,
 - o. Department/Bureau of Labor Standards,
 - p. State Fire Marshal's Standards,
 - q. Other federal, state, and local regulatory codes or professional standards specifically applicable to the Department's facilities.
6. Maintenance inspections shall be conducted and recorded by trained staff to address any physical plant problem that, once identified, could develop into safety or life-threatening issues or added expense to the facility if not resolved. Deficiencies shall be documented in written or automated records, i.e., reports or inspection checklists. Facilities shall correct each identified deficiency in a timely manner.
7. Designated staff shall be assigned to assist, coordinate, communicate and cooperate with independent, qualified inspectors who are authorized to conduct inspections of the physical plant or facility operations.
8. Consistent with Department policy and applicable provisions of State law, the Maintenance Supervisor shall establish and implement an energy conservation program appropriate for the facility. The contents of each facility's energy conservation program shall include provisions for the following:
- a. goals and objectives for conserving energy without reducing services,
 - b. short and long range plans energy conservation,
 - c. requirements for an energy awareness program,
 - d. guidelines for temperature control, lighting and equipment, new or existing building provisions, recycling, etc.,

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- e. procedures for recognizing persons who contribute to the achievement of significant energy savings.
9. Consistent with statutory requirements, material recycling programs at the facility may include, but are not limited to:
- a. newspapers and other paper products,
 - b. cardboard,
 - c. plastic,
 - d. petroleum products,
 - e. grease and cooking oil,
 - f. automotive batteries,
 - g. tires,
 - h. aluminum products,
 - i. other recyclable products specifically identified by State or local administrative rules and regulations.
10. The Maintenance Supervisor shall prepare and submit the facility's energy conservation plan to the facility's Chief Administrative Officer for approval.
11. The energy conservation plan shall be reviewed and updated on an annual basis and information regarding the program shall be included in the facility's annual reports.

VII. PROFESSIONAL STANDARDS

ACA

ACI - 4-4216 The institution has the equipment necessary to maintain essential lights, power, and communications in an emergency.

ACI - 4-4217 Written policy, procedure and practice provide for a communications system within the institution and between the institution and community in the event of urgent, special, or unusual incidents, or emergency situations.

ACI - 4-4218 There is a written plan for preventive maintenance of the physical plant; the plan includes provisions for emergency repairs or replacement in life-

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threatening situations.

- ACI - 4-4219** Emergency equipment and systems are tested at least quarterly. Power generators are inspected weekly and load tested quarterly at a minimum or in accordance with manufacturer's recommendations and instruction manuals.
- 4-ACRS-1A-01 (MANDATORY)** The institution's potable water source and supply, whether owned and operated by the public water department or the institution, is certified by an independent, outside source to be in compliance with jurisdictional laws and regulations.
- 4-ACRS-1A-06** The facility is clean and in good repair, and a housekeeping and maintenance plan is in effect.
- 4-JCF-1A-08** The facility has an active, effective physical-plant-maintenance program including:
1. A proactive, written, preventive-maintenance plan
 2. Provisions for emergency repair in life-threatening situations
 3. A reporting/work order request and response system to document and track needed repairs
 4. Weekly power-generator inspections and quarterly load tests
 5. Quarterly emergency equipment and systems tests

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