
 <p>State of Connecticut Department of Correction</p> <p><b>ADMINISTRATIVE DIRECTIVE</b></p>	Directive Number 5.1	Effective Date 11/14/2014	Page 1 of 4
	Supersedes Projects, Capital Projects and Leases, dated 10/31/2007		
Approved By:  Interim Commissioner Scott Semple	Title Projects, Capital Projects and Leases		

1. Policy. Capital funding shall be used for new construction, major improvements, modifications and upgrades, and leases.
2. Authority and Reference.
  - A. Connecticut General Statutes, Sections 4b-1; 4b-1a; 4b-3; 4b-11; 4b-12; 4b-21; 4b-23; 4b-28; 4b-32; 4b-36; 4b-38; 4b-51 through 4b-100; 18-81; 29-252a and 29-308a.
3. Definitions. For the purposes stated herein, the following definitions apply:
  - A. Capital Projects. New construction, major improvements, modifications or upgrades (costing over \$5,000 and paid for from bond funds).
  - B. Emergency Projects. Projects that cannot be averted without a substantial risk to public safety, staff, inmates and/or property in any manner other than immediate construction or repair (e.g., fire damage, water loss, waste stoppage, loss of electricity, loss of heat (in winter), or a major security breach that would result in a loss of substantial cell or bed space).
  - C. Leases. Legal contractual agreements between property owners or their agents and the Department of Construction Services (DCS) representing the Department of Correction (DOC).
  - D. Projects. Construction, improvements, modifications or upgrades costing more than \$1,000 and paid for from agency operating funds.
  - E. State Capital and Facility Plan. A five (5) year plan that presents the State's capital and facility requests and recommendations in a reporting structure that focuses on the programmatic and capital responses of agencies to the Governor's priority goals.
4. State Capital and Facility Plan Procedures. The State Capital and Facility Plan shall be prepared biannually for a two (2) year budget.
  - A. The Department of Correction Facilities Management and Engineering Services Unit (FMESU) shall be responsible to prepare the State Capital and Facility Plan.
  - B. Prior to April 30, FMESU shall send a memorandum to each Unit Administrator requesting them to submit their CN 5101 (COR-44A), Five Year Capital Budget Request, and to review and revise the present Five-Year Capital Plan as needed. The completed requests, along with any changes to the current Five-Year Capital Plan shall be returned to FMESU by June 1.
  - C. On or before May 15, FMESU shall send a memorandum to each Unit Administrator to review and update lease space requirement(s) for

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- his/her unit. The requested information shall be submitted to FMESU no later than June 30.
- D. FMESU, in consultation with the Deputy Commissioner of Administration, shall submit the proposed Five-Year Capital Plan to the Commissioner by August 25.
- E. Upon approval of the Commissioner, FMESU shall submit the State Capital and Facility Plan to the Office of Policy and Management no later than September 1 for approval by the Governor and submission to the Legislature.
- F. Upon approval of the budget by the Legislature, the Department shall make adjustments to the proposed Five-Year Capital Plan to reflect the approved Capital Budget.
- G. FMESU shall submit a list of approved projects to the Commissioner, Deputy Commissioners and Unit Administrators.
5. Project Administration Instructions. All projects and capital projects shall be under the administrative control and responsibility of DCS. DPW may, upon request, authorize DOC to administer capital projects that do not exceed \$500,000. The FMESU shall be the Department's liaison to DCS. All facility maintenance and construction projects shall be requested through FMESU and administered by DCS, or by the Department's FMESU. Projects may be administered as follows:
- A. DOC Administered/Bond and Operating Funded Projects (less than \$500,000). These projects shall have been previously approved on the Five-Year Capital Plan or by the Deputy Commissioner of Administration and shall be managed as follows:
1. The Unit Administrator or the Plant Facility Engineer (PFE) II, shall submit CN 5102, Project Request Form to FMESU.
  2. FMESU shall assign a project number and manager.
- B. DCS Administered/Bond Funded Projects (over \$500,000). These projects shall have been previously approved on the Five-Year Capital Plan or by the Deputy Commissioner of Administration and shall be managed as follows:
1. The Unit Administrator or the PFE II shall submit CN 5102, Project Request Form.
  2. FMESU shall submit Attachment A, CT DCS-1105 Capital Project Initiation Request (and B-100 Supplement) to the Department of Construction Services requesting DCS administration of the project.
- C. Emergency Project Administration. An emergency project under \$2,500 shall be handled utilizing agency operating funds. An emergency project over \$2,500 may use Operating Funds or Bond Funds and shall be handled as follows:
1. The PFE II shall alert the Director of FMESU of a "maintenance emergency" within the district.
  2. The Director of FMESU shall determine if the project should be considered as an emergency project.
  3. If determined to be an emergency project, a request shall be made to DCS by FMESU.

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4. Upon approval from DPW, the PFE II shall be notified by FMESU and may commence the emergency project based on verbal approval. A confirmation letter of approval to DCS from FMESU shall be sent within 48 hours of the approval.
  5. The PFE II shall notify FMESU of the vendor and approximate cost.
  6. An emergency project notification shall be forwarded to DCS.
  7. An original purchase order shall be issued to the awarded vendor.
  8. FMESU shall approve the vendor's invoice for payment upon completion of the project.
6. Codes and Regulations. All applicable rules, regulations, codes and ordinances shall be followed in the execution of projects, capital projects and leases. These include, but shall not be limited to, the following:
- A. Connecticut State Fire Safety Codes;
  - B. State Building Codes;
  - C. Department of Environmental Protection Regulations;
  - D. Connecticut Labor Department Occupational Safety and Health Administration (OSHA) Requirements;
  - E. Americans with Disabilities Act (ADA);
  - F. DOC Administrative Directives;
  - G. National Fire Protection Association;
  - H. Department of Public Health Regulations;
  - I. Connecticut and Federal Historical Site Requirements; and,
  - J. DCS Policies and Procedures.
7. Requests for Space. All DOC requests for space, lease or state owned, shall be requested through FMESU. The request shall be initiated through the State Capital and Facility Plan or emergency certification, both of which require approval by the Office of Policy and Management.
- A. Emergency Request. The following shall apply if the request is an emergency:
1. An emergency space request shall be transmitted by the appropriate Unit Administrator to the Deputy Commissioner of Administration describing: the emergency; the space needed; and the area it is to be located in.
  2. Upon approval by the Deputy Commissioner of Administration, the Unit Administrator shall then complete the three part Worksheet for Planning State Office Space Needs in consultation with FMESU.
  3. Upon completion and review, FMESU shall then forward the worksheets to the Deputy Commissioner of Administration who shall forward the worksheets, along with an emergency explanation, to the Commissioner of Public Works.
  4. Upon receipt of the completed DCS Worksheet for Planning State Office Space Needs, FMESU shall review and request written approval of the analysis from the originating Unit Administrator and Deputy Commissioner of Administration.

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5. FMESU shall then return the approved Worksheet for Planning State Office Space Needs Form to DCS Management Services.
- B. If the space has prior approval in the State Capital and Facility Plan, the Unit Administrator shall request the Worksheet for Planning State Office Space Needs forms from FMESU. When completed and approved by the Deputy Commissioner of Administration, the forms shall be forwarded to FMESU for processing.
8. Forms and Attachments. The following forms and attachments are applicable to this Administrative Directive and shall be utilized for the intended function:
  - A. CN 5101 (COR-44A), Five Year Capital Budget Request Form;
  - B. CN 5102, Project Request Form; and,
  - C. Attachment A, CT DCS-1105 and DCS Supplement to OPM B100.
9. Exceptions. Any exceptions to the procedures in this Administrative Directive shall require prior written approval from the Commissioner.