

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

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ACCESS

**Contains Restricted Section(s)**

# Arizona Department of Corrections Rehabilitation and Reentry



Department Order Manual

A handwritten signature in black ink, appearing to be "David Shinn", written over a horizontal line.

David Shinn, 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 Regional Facilities Administrator.
  - 1.1.2 Hire and supervise qualified Physical Plant Supervisors and specialized staff (e.g., plumbers, electricians, and heating, ventilation, and air conditioning (HVAC) technicians).
  - 1.1.3 Oversee planning, funding, expenditures and assigned budget.
  - 1.1.4 Ensure code and regulatory compliance.
- 1.2 The Physical Plant Manager/Administrator and/or designee 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.
- 1.2.2.3 A project tracking system for each project to include the following:
  - 1.2.2.3.1 Monthly record of project materials ordered.
  - 1.2.2.3.2 Reconciliation of materials received and used.
  - 1.2.2.3.3 Balance of materials inventory.
- 1.2.3 Ensure documentation is completed and maintained in accordance with the requirements of this Department Order and the current records retention schedule.
- 1.2.4 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.
  - 1.2.4.1 For assets deemed unsatisfactory, the Physical Plant Manager/Administrator and/or designee shall:
    - 1.2.4.1.1 Indicate the reason for the rating in the "Initial Comments" column and the corrective action time frame in the "Action in Days" column.
    - 1.2.4.1.2 Initiate a Maintenance/Service Work Order Request, as appropriate.
    - 1.2.4.1.3 Indicate the completion of the corrective action in the "Comments/Completion Date" column.
  - 1.2.4.2 For assets deemed excellent or satisfactory, 1.2.4.1.1 through 1.2.4.1.3 of this section shall not be required.
  - 1.2.4.3 The Physical Plant Manager/Administrator and/or designee shall complete the bottom portion and distribute the form after the:
    - 1.2.4.3.1 Inspection when no assets were deemed unsatisfactory.
    - 1.2.4.3.2 Completion of all required corrective action when assets were deemed unsatisfactory.

## **2.0 PREVENTATIVE MAINTENANCE**

- 2.1 The Physical Plant Manager/Administrator and the Physical Plant Supervisor shall ensure physical plant equipment receives Preventative Maintenance in accordance with this Department Order.
- 2.2 The Physical Plant Supervisor or designee 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.

## **3.0 MAINTENANCE/SERVICE WORK ORDER REQUESTS**

- 3.1 Department employees shall:
  - 3.1.1 Submit maintenance and service requests to the Physical Plant Supervisor or designee using the automated work order system or a Maintenance/Service Work Order Request form, as applicable. Form submission may be via email if available.
    - 3.1.1.1 All work orders submitted shall be limited to one maintenance related item per work order number.
  - 3.1.2 Make a notation on the Correctional Service Log, Form 105-6, as applicable.
  - 3.1.3 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:
    - 3.1.3.1 Inspecting and repairing a security zone with a high rate of false alarms.

- 3.1.3.2 Repairing roof leaks, broken windows in a secure area and/or security system failures (e.g., inoperative detection systems and locks).
- 3.1.3.3 Servicing/repairing electric doors, gate operators, security perimeter lights, and/or failed security zones.
- 3.1.3.4 Life-threatening gas, water or electrical failures and/or fire safety hazards.

3.2 The Physical Plant Supervisor or designee shall:

- 3.2.1 Prioritize service and maintenance requests.
- 3.2.2 Consult with the Physical Plant Manager/Administrator, as needed and appropriate.
- 3.2.3 Implement and maintain a tracking system for submitted service and maintenance requests, to include the following:
  - 3.2.3.1 Tracking number
  - 3.2.3.2 Date received
  - 3.2.3.3 Materials used
  - 3.2.3.4 Completion date
- 3.2.4 Ensure 3.2.3.1 through 3.2.3.4 of this section is in a physical file or saved electronically.
- 3.2.5 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.
- 3.2.6 Electronically submit completed automated service and maintenance work requests to the Physical Plant Manager/Administrator, as applicable.

**4.0 PEST AND WEED CONTROL/ERADICATION**

- 4.1 Pest and weed control/eradication shall be performed by a contractor.
- 4.2 Inmates shall not apply pest control substances.
- 4.3 Inmates may place and monitor non-poisonous, non-lethal traps.

**5.0 REFUSE COLLECTION AND REMOVAL**

- 5.1 The appropriate Assistant Director, Bureau Administrator, or Warden (management staff) or designee shall ensure the following, as applicable:
  - 5.1.1 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.

- 5.2 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.
- 5.3 Smoking waste shall be placed in covered receptacles designed for flammable waste storage. Smoking waste receptacles shall be dampened prior to emptying into dumpsters.
- 5.4 All building refuse dumpsters shall have covers and shall be stored in areas approved by management staff.
- 5.5 Construction waste dumpsters or containers shall not be used for food or office waste collection.
- 5.6 General office refuse collection frequency shall be determined by the institution/complex's waste loadings.
- 5.7 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

## **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

## **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