

## Chapter 9 – Design Guides

### 9.7 AGENCY SPECIFIC STANDARDS AND REQUIREMENTS

#### 9.7.3 DEPARTMENT OF CORRECTIONS AND COMMUNITY SUPERVISION (DOCCS)

##### A. DOCCS GENERAL INFORMATION

1. [DOCCS Mission Statement.](#)
2. [New York State map locating all Correctional Facilities.](#)
3. [Facility listing and driving directions from Albany.](#)
4. For more information relating to DOCCS go to <http://www.doccs.ny.gov/>.
5. [DOCCS Facility Planner Listing](#) (internal use only) – provides information on DOCCS planners names, phone numbers and facilities that they are assigned.  
V:\DesignAndConstr\Organization\BusinessUnit5\01\_DOCCS Facilities Contact Directory
6. [DOCCS Facility Location Maps.](#)
7. [DOCCS Facilities Contact Directory](#) (internal use only) – provides information on facility address, staff names / titles and associated phone numbers:  
V:\DesignAndConstr\Organization\BusinessUnit5\01\_DOCCS Facilities Contact Directory
8. DOCCS commonly used acronyms:
 

<b>ASAT</b>	Alcohol and Substance Abuse Treatment
<b>AVP</b>	Academic Vocational Program
<b>BHU</b>	Behavioral Health Unit
<b>CASAT</b>	Comprehensive Alcohol and Substance Abuse Treatment
<b>CNYPC</b>	Central New York Psychiatric Center
<b>DAI</b>	Disability Advocates, Inc.
<b>GTP</b>	Group Therapy Program
<b>ICP</b>	Intermediate Care Program
<b>IICP</b>	Intensive Intermediate Care Program
<b>JCMC</b>	Joint Case Management Committee
<b>JCORC</b>	Joint Central Office Review Committee
<b>MICA</b>	Mentally Ill / Chemically Addicted
<b>PLRA</b>	Prison Litigation Reform Act
<b>PSA</b>	Private Settlement Agreement
<b>RCTP</b>	Residential Crisis Treatment Program
<b>RMHU</b>	Residential Mental Health Unit
<b>RMU</b>	Regional Medical Unit
<b>SHU</b>	Special Housing Unit
<b>SIP</b>	Shock Incarceration Program
<b>SMI</b>	Serious Mental Illness
<b>SNU</b>	Special Needs Unit
<b>SOP</b>	Sex Offender Program
<b>STP</b>	Specialized Treatment Program

## B. TYPES OF CONTRACTS

1. Inmate Labor Projects (See [Chapter 3 Types of Contracts](#))
2. Q Projects (see [Chapter 3 Types of Contracts](#))
3. M Projects (see [Chapter 3 Types of Contracts](#))
4. JOCS Projects
  - a. The Business Unit generally determines which projects to send to the Job Order Contracting (JOCS) program. This may occur at the OGS Team Leader (TL) meeting, at the Workload Planning meeting, or by the OGS TL during design. DOCCS needs assurance that they can track JOCS projects and that an accelerated schedule considers things like cell take down, other work occurring at the facility, etc.
  - b. Call the DOCCS Facility Planner with an explanation that the project is a good candidate for the JOCS program. The OGS TL should follow up conversation with e-mail confirming discussion with brief reasons why JOCS is the way to proceed with the particular project.

## C. INITIAL SITE VISIT

1. The PM shall invite the Facility Plant Superintendent, the Facility Planner and OGS field staff to verify project intent and project scope.
2. The PM shall accompany our Consultant/Designers on scoping trips.
3. The PM should provide advance notice of scoping trips to ensure full participation during the visit.
4. The PM shall copy DOCCS Director of Facilities Planning Services on scoping trip information.
5. The PM shall get security clearances for the site visit.
6. See Chapter 4.0.2 Initial Site Visit for more details.

## D. PROGRAM PHASE

1. **Security Protocol:**
  - a. Consultant/Designers need security clearances and camera approval prior to visiting any DOCCS facility. Carry proper identification.
2. **Program Phase:** May be eliminated for Q projects. PM to discuss with Planner.
3. **Hazardous Materials:**
  - a. **Asbestos Abatement:** Verify with OGS TL the potential to use Corcraft Industries (inmate labor) on projects.
  - b. **Radon Mitigation:** All new buildings or additions shall be equipped with radon mitigation strategies using EPA methodology and/or recommendations.
 

**Exception:** Discuss the potential impact of radon and indoor air quality for new buildings or addition under 4,000 SF.
4. **Secure Perimeters:**

- a. Penetrations through the perimeter fence (or below) need to be coordinated with the Electronics Security Team.
5. **Corcraft Industries:**
- a. Potential involvement relating to furnishings such as dining tables, lockers, beds, cells, furniture, systems furniture, and woven rod screens.
6. **State Records and Documentation:**
- a. **DOCCS Facility Aerial Photographs:**  
Are available through BU2 OGS Site Group.
  - b. **DOCCS Facility Surveys:**  
Hardcopy and electronic versions are available through the BU2 OGS Site Group.
  - c. **DOCCS Facility Key Plot Plans:**  
V:\DesignAndConstr\Common\FacilityInfo\Facilities-DOCCS.  
Once in this folder navigate to the facility folder. The Key Plot Plans for that facility is located at that file level and in the Blue Book. CADD plans are also available through the OGS TL.
  - d. **Blue Books (schematic level floor plans and photographs):**  
A Blue book for each facility can be found at the following location, V:\DesignAndConstr\Common\FacilityInfo\Facilities-DOCCS.  
Once in this folder navigate to the facility folder. The Blue Book for that facility is located at that file level and is formatted as *facility\_Bluebook.PDF*. CADD plans are also available via the OGS TL.
  - e. **Red Books:**  
Historical schematic level information that was replaced with the Blue Books. The Red Books are not available for all DOCCS facilities. Even though this information is dated, these books provide building construction type and mechanical system information.
7. **Standards:**
- a. **DOCCS Design & Construction Standards.** The full text of the DOCCS Standards is not available to the general public, design consultants, or contractors due to security protocols, however, the standards are a necessary and important aspect of the DOCCS program. Please contact the OGS TL or PM to obtain information relevant to standards which may be applicable to any given project.  
Document path:  
V:\DesignAndConstr\Common\FacilityInfo\Facilities-DCS\ General DCS Info\DOCCS Standards Manual 7-25-2011
  - b. American Correctional Association Adult Correctional Institutions 4<sup>th</sup> Edition and 2010 Standards Supplement (ACA Standards) as of 7/21/10.
  - c. JCAH Accreditation - Regional Medical Units, Primary Care Clinics and Infirmaryes.

8. **Estimates:**
  - a. Must contain contingencies for secure facilities - contractor delays and searches, tool security protocols. Contact Cost Control for information.
  
9. **OGS BU2 Physical Security Team:**
  - a. Ensures that established physical security design standards are incorporated into all projects. Standards include: locking devices, electric and mechanical locks, detention hardware, control consoles, security glazing, detention accessories, facility keying, tear dust systems and all related security issues. The security team continuously researches innovations and improvements in security technology and implements training programs focusing on security related systems and components.
  
10. **OGS BU2 Electronic Security Team:**
  - a. Ensures that established electronic security design standards are incorporated into all projects. Standards include: CCTV systems, perimeter intrusion detection systems, multiplex control and monitoring systems, security lighting systems, audio surveillance systems, public address systems, and intercom system and related security issues.
  
11. **Past Code Variances:**
  - a. Smoke detectors located outside of inmate cells in lieu of within cell.
  - b. Elimination of sprinkler heads within cells.
  
12. **State Energy Code:**
  - a. See [Code Compliance Manager Memo](#) (email dated 5/19/2005) on energy code compliance requirements regarding security windows.
  
13. **Accessibility Compliance:**
  - a. Special situations within DOCCS facilities require certain doors and openings to be fitted with standard security detention hardware that would otherwise require handicapped accessible hardware in accordance with NYSBC/ANSI A117.1 and ADA. These openings will be operated by DOCCS security personnel. The DOCCS Directive from Commissioner Fischer, dated May 3, 2012, defines a process whereby DOCCS will inform D&C of those openings that will be operated by DOCCS security personnel, which will in turn invoke the use of the code permitted exceptions allowing for a non-accessible opening (ICC/ANSI A117.1, Sect. 404.2, 404.2.6 and ADA Sect. 404.1).
  - b. For DOCCS projects involving accessibility and compliance with NYSBC/ANSI A117.1 and ADA, follow the procedure outlined below:
    - 1) Provide appropriate accessibility narrative regarding the individual issues in the Program report along with a statement: "The scope of work involves accessibility issues with relation to the (for example: the doors, openings, ramps, toilet room, finish hardware, etc.). OGS will forward the proposed Accessibility Design Documents to

- DOCCS during the design phase for review by the DOCCS ADA and Security specialists.”
- 2) Perform an accessibility compliance review during the design phase. Identify the required accessibility work items on the floor plans and describe in detail the recommendation for each item.
  - 3) Submit via email, a listing of the accessibility compliance items with recommended solution to each along with floor plans to Steve Crozzoli. Copy Ellisa Weber and the Facility Planner. File this in the electronic file. Perform this task prior to, and separate from, the 100% submission. Steve will have the DOCCS ADA and security specialists review the documentation for their specific requirements at that facility.
  - 4) Steve Crozzoli will reply in writing to D&C with specific direction regarding each item noted. Direction may include the use of code permitted accessibility exemptions based on DOCCS unique situations. File this in the electronic file under “Client”.
  - 5) Modify the design accordingly and incorporate in the bid documents.
  - 6) Modify the 100% Design Submission letter to inform the client of the accessibility issues.
- c. This procedure will allow Consultant/Designers to stamp design documents where code permitted accessibility exemptions are required based on DOCCS unique situations.
  - d. PMs should inform Consultant/Designers of this procedure. [DOCCS ADA directive20120503.PDF](#)

**14. Historic Preservation:**

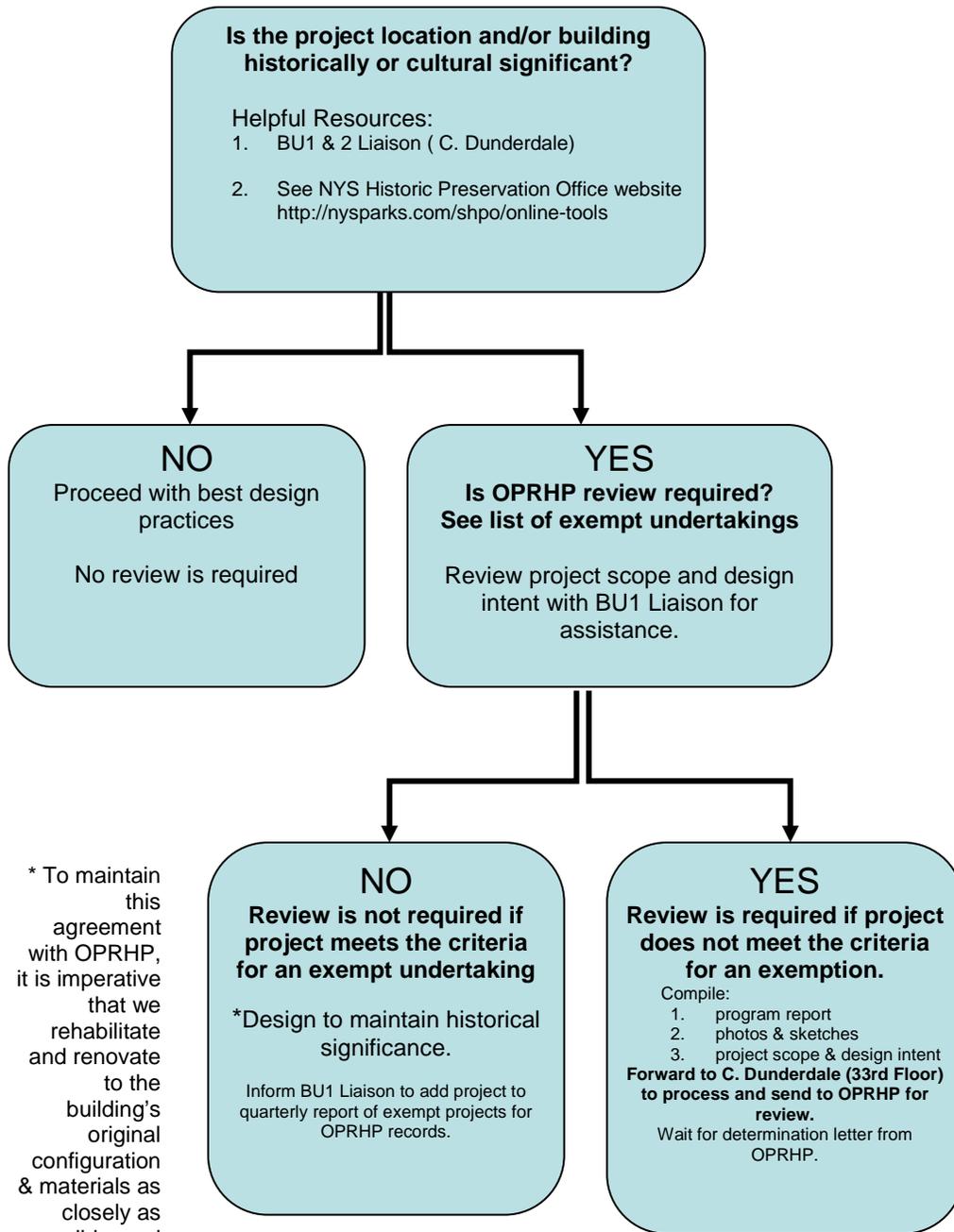
- a. **What is the purpose of historic project reviews?**  
Office of Parks, Recreation, and Historic Preservation (OPRHP) is charged with determining the impact of design and construction projects conducted by state agencies as set forth in detail at 9 NYCRR Part 428. OPRHP determines whether the proposed project will cause a change, beneficial or adverse, in the quality of any historical, architectural or cultural property listed on the State register of historic places, or property determined to be eligible for listing on the State register as determined by the Commissioner of OPRHP.
- b. **DOCCS projects at historic or cultural facilities**  
In order to improve and streamline the process of review by OPRHP on design and construction projects undertaken by OGS on behalf of DOCCS at DOCCS Facilities, designated categories of undertakings have been determined to be exempt from OPRHP review. According to a [Determination Letter](#) by OPRHP, dated and effective December 18, 2006 (revised April 16, 2015), designated design and construction undertakings provided by OGS to DOCCS including the repair, restoration, rehabilitation and construction of existing DOCCS facilities located throughout the State of New York, pursuant 9 NYCRR

Part 428.12: State Agency Activities Affecting Historic or Cultural Properties, are exempt from review by OPRHP.

**c. Undertakings exempt from review**

- **Maintenance projects** that restore existing components to original working condition and do not affect the exterior appearance of the building.
- **In kind replacements** of materials, finishes and fixtures which match the original condition and function.
- **Roof projects with minimal pitch**, with or without parapets, where repairs, replacements or modifications to the roofs maintain their pitch and are not apparent from the ground.
- **Heating and cooling systems**, including system variables such as ductwork, vent locations, and mechanical equipment locations that do not affect the appearance of the building.
- **Plumbing** repairs and replacements to piping, plumbing connections, fixtures, and accessories that are made as required. New plumbing as required to meet evolving building functions, building codes and ADA requirements.
- **Interior work** such as remodeling, renovation, painting, floor and ceiling finishes. Where practical, original finishes, modeling, doors and or other elements deemed to be of architectural importance by the Agency Preservation Officer shall be retained.
- **Buildings less than 50 years old.** Although these buildings may meet the criteria for inclusion for listing as a registered or eligible property, it is the opinion of DOCCS that no buildings within its jurisdiction meet the exceptional importance criteria for inclusion.
- **Buildings which involve inmate contact areas** where the primary use of the building is the regulation and control of inmate occupancy, including sleeping areas, visiting areas, program areas, recreation areas, kitchens, work facilities, education facilities, and hospital facilities where public safety is of paramount concern. Also included as inmate contact areas include administrative facilities where inmate contact could pose a safety threat to non-inmate populations, but shall not include Superintendents' offices, reception areas or other largely public spaces within administrative facilities where there is only occasional inmate presence. Such exempt projects shall also include security fencing, doors and entrances, perimeter wall repair and replacement, window replacement, pointing of masonry, repair and replacement of towers and interior and exterior walls.

- **Earth disturbing activities inside an existing secure perimeter which include new buildings, building additions, appurtenant facilities and site work.** This exemption pertains to the potential requirement for archeological investigation to discover cultural resources within a project area. **Depending on the project, coordination with SHPO or exemption under another category may still be required.** Exempt activities include: Construction of new buildings and building additions, including excavations for foundations and associated site grading; construction of program related appurtenant facilities such as recreation areas, vehicular and pedestrian circulation, and security related features; site work for storm water management; installation of mechanical, electrical, and sanitary utilities and features.



\* To maintain this agreement with OPRHP, it is imperative that we rehabilitate and renovate to the building's original configuration & materials as closely as possible, and strive to provide sympathetic replacements.

**Note project review status in Program Report.**

**15. Window Assessment:**

**a. Security Level:**

- i. What is the security level of the facility - Minimum / Medium / Maximum?
- ii. What is the security level of the building - Minimum / Medium / Maximum?
- iii. Is the building outside the secure perimeter?
- iv. Is the building part of the secure perimeter?
- v. Are the exterior building walls secure (solid grout / rebar, concrete)?
- vi. How will the replacement windows be anchored?

**b. Security of the Opening:**

- i. What are the security barrier elements of the opening?
  - Exterior bars or woven rod (what is the condition? Can they be reused? Do they meet the standard?)
  - Interior bars
  - Interior security screen
  - Exterior security screen
  - Detention screen
  - Detention window (bars, glazing, screen, detention screen)

**c. Officer Supervision:**

- i. Is the space supervised?
  - Direct Supervision
  - Indirect Supervision
  - Intermittent surveillance (cell block and hospital / corridor rounds)
  - Continuous observation

**d. Inmate Accessibility:**

- i. Is the window in a space where inmates have access to it or can control its operation?
- ii. What is the function of the space? cell / dormitory / dayroom / dining / other
- iii. Are the windows non-accessible by inmates (high windows out of inmate reach)?
- iv. Is the room defined as habitable space?
  - Natural light: Existing (actual) =
  - Natural light: code required =
  - Natural ventilation: Existing (actual) =
  - Natural ventilation: code required =
  - Mechanical ventilation =

**e. Environmental Conditions:**

- i. Is the building air-conditioned in the space?
- ii. Is mechanical ventilation provided in the space?
- iii. Are windows a part of a smoke purge system?
- iv. Are insect screens needed? If yes, what type?

**f. Cell takedown:**

- i. Will this project require cell take down approval?
  - ii. How many cells can be down at one time?
- g. Field Investigation:**
  - i. Sample Window Removal
  - ii. HAZMAT abatement / removals
  - iii. Temporary security barrier
- h. Mock-up:**
  - i. Will windows be different from past window designs? IF yes, should we build a mock-up to review?

**16. Stormwater**

- a. The DOCCS signatory on SPDES NOI's and NOT's is listed below.

Eric Greppo, P.E.  
Environmental Engineer II  
Facilities Planning and Development  
Department of Corrections and Community Supervision  
550 Broadway  
Menands, NY 12204

- b. The NOI "Project Site Name" should reference the specific OGS Project Number and brief descriptor - ie: "Marcy CF HW PIPING 44303" This identifies the specific project gaining coverage under the permit.
- c. Provide one hard copy and one electronic copy of the SWPPP to DOCCS, unless otherwise directed.
- d. The DOCCS signatory listed above and the OGS Project Manager must be copied **with attachment** on all NOI and NOT correspondence to NYSDEC.
- e. Generally, MS4 coordination will not be necessary. DOCCS consent is required prior to sharing documents with outside parties.

**E. DESIGN PHASE SPECIFICATIONS**

**1. Specifications:**

**a. Division 1:**

- 015633 SECURITY
- 015634 MAINTAINING PERIMETER SECURITY
- 017900 VIDEO TRAINING PROGRAMS

**b. Construction:**

- 081102 CUSTOM STEEL DOORS & FRAMES (Interior Security Frames Only)
- 085663 STEEL DETENTION WINDOWS
- 088853 SECURITY GLASS AND GLAZING
- 095751 STEEL PLATE CEILING SYSTEM

- 095752 SUSPENDED METAL PANEL CEILING SYSTEM
- 095753 SUSPENDED METAL PLANK CEILING SYSTEM
- 111901 DETENTION EQUIPMENT
- 111902 DETENTION ACCESSORIES
- 111903 STEEL DETENTION SCREENS
- 111904 STEEL SECURITY SCREENS

**c. Electric:**

- 281601 MAIN SECURITY CONSOLE
- 281602 FENCE ACCESSORY STATIONS FOR PERIMETER SECURITY SYSTEMS
- 281603 PERIMETER SECURITY MULTIPLEX SYSTEM
- 281604 MICROWAVE DETECTION SYSTEM
- 281605 ELECTRONIC FENCE ALARM SYSTEM
- 281606 PERIMETER ALARM MONITORING AND INGROUND DETECTION SYSTEM
- 281607 INFRARED DETECTION SYSTEM
- 281608 TAUT WIRE FENCE AND ALARM SYSTEM
- 281609 E-FIELD DETECTION SYSTEM
- 281611 MODIFICATIONS TO MAIN SECURITY CONSOLE
- 281613 MODIFICATIONS TO PERIMETER SECURITY MULTIPLEX SYSTEM
- 281615 MODIFICATIONS TO ELECTRONIC FENCE ALARM SYSTEM
- 281618 MODIFICATIONS TO TAUT WIRE FENCE AND ALARM SYSTEM
- 281650 SYSTEMS PROGRAMMING COMPUTER
- 282301 PERIMETER SURVEILLANCE CCTV SYSTEM
- 282302 CCTV SYSTEM - SPECIAL HOUSING UNIT
- 282303 CCTV SYSTEM - CORRIDOR AND STAIRS
- 282304 INDOOR AND OUTDOOR SURVEILLANCE CCTV SYSTEM
- 282305 CCTV SYSTEM
- 282315 MODIFICATIONS TO PERIMETER SURVEILLANCE CCTV SYSTEM

**d. HVAC / Plumbing**

- 224224 STAINLESS STEEL SHOWER ENCLOSURES
- 233300 DUCTWORK ACCESSORIES (security barriers, security diffusers and laminar flow diffusers)

**F. 100% SUBMISSION**

1. May be eliminated for Q projects. PM should discuss with the Planner.

**G. FINAL**

1. [BDC 188 - Operating Impact Statement](#) – required for projects that have an impact on energy or water usage (usually HVAC or Electrical Contracts). This form is sent with the Final Letter to the Planner by OPC.

## H. CONSTRUCTION PHASE

1. **OGS Consultant Submittal Overview:**  
All DOCCS projects including submittals relating to security for the following specification sections listed are required to be reviewed by the Consultant/Designer and the OGS Physical and Electronic Security Groups for their final approval. Prior to releasing to the Contractor, the Consultant/Designer will coordinate additional remarks and issue submittal disposition. This also includes submissions relating to manufacturer and installer's quality assurance (if required in the specifications).

## I. ELECTRIC DESIGN

1. Temporary Generators: All temporary generator installations to be connected through automatic transferring means.
2. Provide temporary generator quick connects for larger size new buildings and substantial renovation projects. Confirm with DOCCS Planner.
3. Provide fuel polishing on all generator projects. Confirm with DOCCS Planner.
4. Provide Personal Alarm System for larger size new buildings and substantial renovation projects. Confirm with DOCCS Planner.

## J. COMMISSION OF CORRECTION

1. Some projects (usually new facilities or buildings) may require submission of documents to the State Commission of Correction. DOCCS informs the BUL or the Project Manager when OGS D&C is requested to send a set of documents to them.
  - a. Send a hard copy set of drawings and specifications (including CD) to:

MR. WILLIAM J. BENJAMIN, SUPERVISOR  
FACILITIES PLANNING AND REVIEW  
STATE COMMISSION OF CORRECTION  
ALFRED E. SMITH STATE OFFICE BUILDING  
80 S. SWAN STREET, 12<sup>TH</sup> FLOOR  
ALBANY, NEW YORK 12210

**Revision History:**

<b>Rev</b>	<b>Date</b>	<b>Description</b>	<b>Reviewed by:</b>	<b>Approved by:</b>
0	10/04/12	Last revised date		
1	07/18/13	Minor changes to D. Program Phase, 13.b.1) and added Revision History. Changed Designer to Consultant/Designer.	Long	Parnett
2	09/04/13	Included window assessment information and minor revisions	Parnett	Dostie
3	07/14/14	Item D 7 a Included a path to the manual	Parnett	Parnett
4	08/06/15	Pages 3 & 4 Changed BU5 to BU2	Parnett	Parnett
5	10/29/15	D 14 b revised, D 14 c new paragraph on disturbing earth, D 16 Stormwater added	Dunderdale	Parnett