



Illinois Department of Corrections

Administrative Directive

Number: 02.03.103	Title: General Provisions, Repair, Maintenance and Capital Improvements	Effective: 7/1/2021
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Authorized by:	<i>[Original Authorized Copy on File]</i> Rob Jeffreys Director
Supersedes:	02.03.103 effective 8/1/2002, 02.03.101 effective 8/1/2002, 02.03.102 effective 2/1/2006 and 02.03.107 effective 8/1/2002

Authority: 730 ILCS 5/3-2-2	Related ACA Standards: 5-ACI-2A-01-03, 5-ACI-2B-01, 04, 5-ACI-2C-01-13, 5-ACI-2D-01-10, 5-ACI-2E-04, 5-ACI-2F-03
Referenced Policies: 02.20.106, 02.20.181, 02.28.103	Referenced Forms: DOC 0139 – R&M Project Scope Form

I. POLICY

Funding for repairs, maintenance and capital improvements for Department-owned and leased correctional facilities shall follow the guidelines established in this directive. The Facilities shall ensure the respective Deputy Director and the Facility Administrative Officer has signed the RM Scope and the RM number has been assigned to all in-house repair, remodeling and maintenance projects that have a projected cost of over \$10,000 before work is commenced.

II. PROCEDURE

A. Purpose

The purpose of this directive is to establish guidelines for facilities to secure approvals for all repair, maintenance or capital improvement projects funded by all appropriations except bond funds and projects for leased property.

B. Applicability

This directive is applicable to all Department-owned correctional facilities.

C. Facility Reviews

A facility review of this directive shall be conducted at least annually.

D. Definitions

Capital Improvement (same as permanent improvement) – any project which alters, renovates, upgrades, improves or significantly extends the life of a fixed asset and changes the size or the function of a building or area.

Fixture Replacement – the replacement of fixed equipment which when attached to real property becomes an integral part of the real property.

In-house Project – a repair, maintenance, fixture replacement or capital improvement project that meets the criteria to be funded by Department funds. Department funds shall come from the facility operating budget or through an assigned R&M number provided by General Office Operations, Women’s Division or Administrative personnel.

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Maintenance – generally an on-going project to maintain a fixed asset or fixed equipment at its optimal condition.

Repair Project – a project which restores a fixed asset, that is, land, buildings or equipment, to a functioning condition that meets reasonable expectations.

E. General Provisions

1. The Deputy Director shall approve all repair, maintenance and capital improvement projects in accordance with the guidelines established in this directive. Repairs and maintenance and capital improvements for leased property shall be subject to provisions of the individual lease and be approved by the Department of Central Management Services.
2. Contractual appropriations may be used for repairs, maintenance or replacement of fixtures in any amount or for capital improvement projects up to and including \$5,000.
3. A Lump Sum Repair and Maintenance (R&M) fund is appropriated for capital improvements \$10,000 and over.
4. Contracts awarded for capital improvements and repair or maintenance shall comply with Administrative Directive 02.20.181.
5. Purchases of commodities or equipment for repair, maintenance or capital improvement projects shall comply with Administrative Directive 02.20.106.
6. Prior approval for all capital improvements, whether \$9,999 or under and charged to contractual appropriations or over \$10,000 charged to the Lump Sum R&M appropriation, shall be obtained in compliance with this directive.
7. Upon request by the Capital Programs Unit, facilities shall provide a list of projects and project scopes requested for the period indicated in priority order.

F. Responsibilities

1. The facility Chief Engineer shall develop and submit to the Business Administrator a properly completed project scope for all projects which will be funded by the Lump Sum R&M appropriation and all capital improvement projects, or extraordinary repairs, funded by contractual funds. The Chief Engineer shall also develop and provide copies of technical specifications to the Business Administrator and consult with the Facility Administrative Officer on the project.
2. The Business Administrator shall review and submit the project scope to the Facility Administrative Officer for approval/disapproval.
 - a. If approved, the scope shall be forwarded to the Deputy Director for his or her review.
 - b. If approved by the Deputy Director, the scope shall be forwarded to the Director of Operations Administrative Assistant to be assigned an RM number.
 - c. After the project has been approved by all appropriate persons, the Business Administrator shall solicit bids where applicable, conduct the bid process, complete all paperwork for the award of projects, and maintain all files and records.
3. Capital Programs Unit staff shall be available for assistance in developing and identifying design criteria and potential problem areas and for providing possible alternatives to, or recommendations for, project problems.

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4. Procurement shall be responsible for final contract review and obtaining the Director's approval on final contracts and filing contracts with Comptroller's Office.
5. The Construction Administrator shall be responsible for the review and processing of all documents related to projects funded by the Lump Sum R&M Appropriation. After review of a completed RM Invoice Packet, the Construction Administrator shall forward the packet to Accounts Payable to process for payment.

G. Funding

The following funds within the facility operating budget shall be used for repair, maintenance, fixture replacement or capital (permanent) improvement:

1. Contractual Services Appropriations shall be used for the following purposes:
 - a. Repair and Maintenance, Real Property
 - (1) Charges for contractual repair or maintenance of buildings and other structures, roads, fixed plan equipment (fixtures) such as boilers and water heaters, and land. Examples of repair and maintenance projects are painting, papering, glazing, repaving, and the replacement of worn out or damaged fixtures such as fixed lighting, toilets, and other major plumbing components, furnaces, boilers, air conditions, water heaters, fuse boxes, circuit breakers, elevators, major electrical components, inspections (sprinkler, fire alarm, security alarm), draperies and drapery rods, and attached carpeting.
 - (2) Charges for new construction, additions, remodeling, renovation or new fixtures must use the appropriate permanent improvement expenditure object code (6600 series) regardless of whether or not the project exceeds \$5,000.
 - b. Repair and Maintenance, Machinery and Mechanical Equipment

Charges for contractual repair or maintenance of machinery and mechanical equipment (exclusive of on-road motor vehicles – account 1893) such as electronic equipment, industrial and shop machinery, off road motor vehicles and machinery such as snowplows and farm equipment, tools, instruments and apparatus.
 - c. Repair and Maintenance Not Elsewhere Classified

Charges for contractual repair or routine maintenance of items other than those classified above such as clothing, shoes, athletic, playground and recreational equipment, fire extinguishers, scientific instruments and apparatus hospital, medical, dental, laboratory, scientific testing, and engineering uses, musical instruments, radios, and phonographs, photographic equipment, barber and beauty culture equipment, and firearms.
 - d. In-House Repair and Maintenance, Purchase of Merchandise, Minor Permanent Improvement Projects
 - (1) Charges for direct purchase of supplies, equipment, materials, replacement fixtures and repair parts in connection with the repair and maintenance of real and personal property, Roads or permanent improvement projects not exceeding \$5000 where the labor will be performed by the Department's employees.

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- (2) Also included are the purchases of merchandise stored for later use on as needed basis regardless of whether the labor is to be performed by an agency's employees or a different vendor.

NOTE: Only purchases of equipment incorporated into and becoming a part of the property repaired can be charged to this detail object. Tools used in repair and maintenance must be charged to commodity or equipment lines, respectively.

2. The Lump Sum R&M Appropriation (appropriation to the General Office for statewide project use) shall be used for any reasons stated in Paragraph II.E.1., as approved by respective Deputy Directors who fall within the Operations, Women's Division, and Administrative divisions of General Office.
- a. Lump Sum R&M funds shall be limited to extraordinary repairs:
- (1) Needed to protect the integrity of the Department's operations;
- (2) Within the knowledge and scope of the Department's personnel in terms of contracting and monitoring vendor performance; and
- (3) Able to be completed within the parameters of the fiscal year.
- b. This appropriation shall not be used for items such as paint, vehicles, moveable equipment or staffing costs.
- c. A tracking sheet that includes, but is not limited to, the authorization numbers, date of approval, amounts and general status updates shall be maintained by the Department's Construction Administrator.

H. Repair and Maintenance Projects Funded by the Lump Sum R&M Appropriation

1. Project scopes shall be submitted to the Capital Programs Unit for all projects to be funded by the Lump Sum R&M Appropriation. The R&M Project Scope Form, DOC 0139, shall include:
- a. Facility Number (a sequential numbering of project scopes assigned by the facility).
- b. R&M Number (leave blank, to be assigned by the Director of Operations Administrative Assistant upon project approval).
- c. Proposed Project Title.
- d. Facility name.
- e. Estimated Completion Date.
- f. Estimated Cost.
- g. Source of Estimate, for example:
- (1) Local contractor if currently under contract (give name);
- (2) Facility survey; or
- (3) In-house (generated by facility staff).

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- h. Funding Source:
 - (1) Institution Contractual; or
 - (2) Deputy Director R&M.
 - i. Area/Building Description.
 - j. Problem Description, including:
 - (1) A detailed description of the problem;
 - (2) Any impact on other systems;
 - (3) Any code violations;
 - (4) Impact on the operations of the facility;
 - (5) Scope of work to be completed;
 - (6) Lead time required for obtaining permits and ordering materials;
 - (7) Permits required;
 - (8) Codes to be followed; and
 - (9) Capitalization or non-capitalization and reason.
 - k. The signatures of the Chief Engineer, Business Administrator, Facility Administrative Officer, Deputy Director and the dates signed.
2. Upon receipt of the completed DOC 0139, the Director of Operations Administrative Assistant or designee shall:
 - a. Assign the project number that shall appear on all documents relating to the project.
 - b. Notify the facility Business Administrator who shall notify the Chief Engineer to proceed with the approved project.
 3. The facility Business Administrator shall be responsible for soliciting bids, where applicable, and awarding contracts in accordance with Administrative Directive 02.20.181.
 4. Projects payable from the R&M appropriation shall comply with purchasing requirements as outlined in Administrative Directives 02.20.106 and 02.20.181 and Repair and Maintenance Procedures developed by the General Office.
 5. The Chief Engineer and Business Administrator shall ensure the work is completed as specified and that invoices are submitted to the Construction Administrator for final processing.
 6. Completed projects shall be capitalized in compliance with Administrative Directive 02.28.103.
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