



**DEPARTMENT OF CORRECTIONS
Institutions**



Title:	Tool Control	DOC Policy: 40.1.19
Effective:	11/1/16	Supersedes: 4/1/15
Applicability:	Institutions and Non-prison Facilities	
Directives Cross-Reference:	None	
Attachments:	Attachment A - Class "A" Tool List	

I. PURPOSE

The purpose of this policy is to establish guidelines for the accountability, control, and use of tools within Department of Corrections facilities.

II. DEFINITIONS

- A. Chief Master Tool Inventory: An inventory list of all tools in the control of the institution.
- B. Class "A" Tool (Critical or Hot): Any tool which is exceptionally critical as a risk to security and/or personal safety (i.e., tools that can be used by inmates to affect an escape or cause death or serious injury with little or no alteration.) These tools and materials must be used under direct supervision by staff and accounted for at all times. Attachment A contains a list of Class A tools for the department. If a tool is on this list, it is deemed a Class A tool for all institutions.
- C. Class "B" Tool: Those tools and materials which may be used daily in the maintenance of the facilities and are accounted for by daily inventory of an appropriately assigned tool box, shadow board, or storage space, in the appropriate area. Use does not necessarily require direct supervision, and does require control and daily inventory.
- D. Direct Supervision: An authorized supervisor in close proximity or immediate area and in sight of the inmate's activity.
- E. Excess Tools: Tools determined to be a quantity beyond what is normal, sufficient, or needed (surplus); and/or tools used infrequently.
- F. Master Tool Inventory: An inventory list of all tools and equipment for each program section within an institution.
- G. Perpetual inventory: A continuous record of the quantity of goods or materials on hand or in stock.

- H. Shadow Board: An area where tools are stored (wall, drawer, etc.) that provides a shadow-silhouette of each tool stored in the area, and is fitted with securing devices (hooks, nails, etc.) for storage and inventory of tools.
- I. Sub-Inventory: An inventory list of tools maintained in an area where tools are approved for storage.
- J. Tool: Any instrument, machine, or part thereof, that may be used to repair, dismantle, install, create, alter, cut, sharpen, pry, measure, hoist, landscape, cultivate ,or inject. Tools will be classified as Class “A” – Critical Tools and Class “B” – Less Hazardous.
- K. Tool Control Committee: A committee made up of a cross-section of managers and employees who meet regularly to review tool control procedures and approve/disapprove requisitions for tools. Members of the committee will be selected by the functional unit manager or designee.
- L. Tool Control Officer: A staff member responsible for ensuring accountability for the day-to-day security of all tools belonging to the institution. The tool control officer will ensure all inventory lists are up-to-date and accurate, and work with the Tool Control Committee to ensure tools entering and exiting the institution are doing so according to department policy and institution written directive.
- M. Tool Kit: A designated group of tools on a board, cart, in a tote bag or pouch assigned as a unit.

III. POLICY

A. Training:

All staff, contractors, and carded volunteers will receive training outlining their responsibilities regarding tool and contraband control as part of their institution specific orientation.

B. Tool Control Committee:

1. Chairperson: The functional unit manager will designate responsibility of oversight for tool control to a manager who will also be the chairperson of the Tool Control Committee.
2. The functional unit manager will establish a Tool Control Committee and specify, by written directive, the duties and responsibilities of the Tool Control Committee and how they will be carried out as stated in this policy.

C. Inventory:

1. Each institution will maintain an accurate chief master tool inventory for all tools in the control of the institution and update at least annually. The chief master tool inventory will be typed or printed and available for inspection upon request. The chief master tool inventory will be signed and have a legible printed name of the Tool Control Committee chairperson and the Tool Control Officer.
2. Each institution will maintain a master tool inventory with sub-inventories in each area where tools are stored, to include shadow boards and tool kits.
3. The master inventory tool lists will be typed or printed and have the legible printed and signed names of the Tool Control Officer and section supervisors. The master inventory list will be updated at least annually and available for inspection upon request.
4. The sub-inventory tool lists will be maintained for each shadow board and tool kit. The tool list will be typed or printed and have the legible printed and signed names of the Tool Control Officer and section supervisors. The sub-inventory tool lists will be included or posted with each shadow board and tool kit.
5. Perpetual inventories will be kept for all consumable Class A tools and materials in each area where they are stored.
6. The functional unit manager will designate a Tool Control Officer, who will ensure up-to-date inventories of all tools. The inventories/checks will be documented with the date and printed and signed name of the Tool Control Officer.
7. Excess tools will be inventoried and kept in a separate, secure location, as determined by the functional unit manager. The excess tools will be inventoried on a regular basis as determined by the Tool Control Committee.

D. Tool Control:

1. All tools will be kept in authorized storage locations as determined by the functional unit manager or designee.
2. Tools adaptable to a shadow board will only have one tool per shadow.
3. Tools adaptable to a shadow board, but because of size or configuration will cause storage issues, may be stored with multiple like tools or kit on one shadow. There will be a number next to the shadow showing how many tools are assigned (e.g., rakes, shovels, socket sets).

4. Tools not adaptable to a shadow board will be kept in locked drawers, cabinets, or other secure areas.
5. All tools will be inspected and inventoried at the beginning and the end of each work day. The inspections and inventories will be documented.
6. Tools maintained in areas that have multiple shifts will be inspected and inventoried at the beginning and end of each shift. The inspections and inventories will be documented. If a worker (staff or inmate) leaves the work site (e.g., meal, call-out, other appointment) all tools checked out to that person will be accounted for before he/she leaves.
7. A chit and log system will be used for all Class A tools to identify who the tool is issued to, and to account for all tools checked in or out by staff or inmate. A chit or log system may be used for all tools classified less than Class A.
8. Tool check-out logs will be used and will include:
 - a. The date and time the tool is issued and returned;
 - b. The issuing employee's or inmate's printed name;
 - c. The tool description or number; and
 - d. The name of the employee or inmate receiving and returning the tool.
9. Tools (i.e. saw blades, discs, etc.) capable of cutting through metal, masonry, plexiglass, and/or lexan will be issued from a secure location and only one at a time, for each job.
10. Class A tools will be checked out and returned only by staff, as authorized by the functional unit manager or designee.
11. Class A tools will be under direct supervision as determined by the functional unit manager, based on the area of use.
12. If direct supervision of a Class A tool is not possible or needs a higher level, the functional unit manager can give prior, written authorization for the tool to be tethered to a wall, floor, or counter, e.g., kitchen knives.
13. Class A tools will be stored separately from Class B tools and under a double lock and key (example: a locked tool cart in a locked cage).
14. Class A tools will be kept in a locked room or secure area when not in use.

15. All tools that can be marked, without damage, will be coded to identify the section of the institution to which they are assigned (color coding, etched numbers, etc.).
16. All tools that can be marked, without damage, will be given a separate tool identifier (such as a tool number).
17. Acetylene cutting tips and mixing chambers shall be checked out/in from the control room/center or location outside of the perimeter on an as-needed basis, and its return shall be verified at the end of the day (as directed in writing by the functional unit manager or designee).

E. Unaccounted for Tools:

1. If a tool is unaccounted for, the Officer-In-Charge will be notified immediately. The inmates in the area will not be released until the tool has been located or the inmates and the area have been searched, and until approval from the Officer-In-Charge.
2. Any inmate identified as no longer in the area who had access to the tool prior to it being unaccounted for, will be located, searched, and isolated until released by the Officer-In-Charge.
3. An Unusual Incident Report will be submitted for any unaccounted tool. The Unusual Incident Report will be completed by the staff member responsible for control of the unaccounted tool. The report will be submitted to the Officer-In-Charge and the Tool Control Officer and will include:
 - a. Type of tool unaccounted for,
 - b. The location to which the tool is assigned,
 - c. Time and date of incident,
 - d. Any inmates assigned to that area or program, and
 - e. Any other pertinent information.
4. If the tool is not recovered, the Tool Control Officer will document the loss and update inventories and shadow boards accordingly.

F. Disposal and Replacement of Tools:

1. Tools that need to be replaced because of loss, breakage, or wear and tear, will be reported to the functional unit manager or designee.

2. The functional unit manager or designee will establish a written process for the safe and secure disposal of broken and worn tools.
3. If the lost, broken, or worn tool is not going to be replaced, the Tool Control Officer will update inventories and shadow boards immediately.
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5. The Tool Control Officer will produce monthly reports of lost (never recovered), broken and decommissioned tools that will be submitted to the functional unit manager or designee.
6. Broken or worn tools will be turned in and all parts accounted for before a new tool is issued.

G. Written Directives:

1. The functional unit manager or designee will establish a comprehensive written directive establishing clear procedures for tool control in each area of the institution that is maintained in a secure area and available to staff.
2. The functional unit manager or designee will establish written directives to clearly define Class A (critical) tools, and specifically states procedures for control and inventorying (including consumable) Class A tools.
3. The functional unit manager will establish written directive detailing the level of direct supervision required for Class A tools based on the area of use.
4. Written directives must be consistent with department policy for the inventory of all tools in each area of the institution.
5. Written directive requires perpetual inventories of all consumable Class A tools and materials.

H. Policy Variance Exception:

1. Request for exceptions to any specific part of this policy must be recommended in writing by the Eastside or Westside Institutions Administrator and Chief of Security on behalf of the specific facility's functional unit manager utilizing the Variance Exception form (CD1737). The reason for the specific exception and the proposed process to be used by the facility must be approved in writing by the Assistant Director of Operations.
2. Upon receiving written authorization for the exception to any specific part of this policy, the facility will explain this exception and approval (including date of approval) within the facility's Tool Control procedure.

IV. IMPLEMENTATION

Each DOC facility shall develop a comprehensive written directive to establish clear procedures for tool control.

Certified: _____ signature on file _____ Birdie Worley, Rules Coordinator

Approved: _____ signature on file _____
Brian Belleque, Deputy Director