



## POLICY DIRECTIVE

Policy:	<b>DOC 3.1.14 TOOL CONTROL</b>
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Signature/Title:	/s/ Eric Strauss, Director

### I. POLICY

Department and contracted facilities will maintain and control all tools, culinary, and medical equipment necessary for facility operations in a safe and secure manner to ensure against loss, damage, or use for other than intended purposes.

### II. APPLICABILITY

The secure facilities that include Montana State Prison, Montana Women's Prison, Montana Correctional Enterprises, Riverside, and Pine Hills Youth Correctional Facilities, and private and regional facilities contracted to the Department of Corrections.

### III. DEFINITIONS (See Glossary)

### IV. REQUIREMENTS

#### A. Responsibility

1. The chief of security will:
  - a. oversee the tool control program operation;
  - b. appoint a tool control officer responsible for tool inventory, marking, storage, accountability, and use;
  - c. where applicable, establish a committee to classify each facility tool; and
  - d. require all employees to maintain accountability and control of each tool in their specific work areas.
2. Staff or offender failure to follow facility tool control procedures constitutes a serious security breach and may result in disciplinary action.

#### B. Tool Categories

1. Each facility will classify all tools in accordance with the following categories:
  - a. Class 1 "Restricted" Tools – A category of items that present inherent safety and security risks and may be used as weapons, effect an escape, or compromise security.
    - 1) Class 1 tools will be used by staff, or by offenders under constant "Direct Staff Supervision."
  - b. Class 2 "Hazardous" Tools – A category of tools that without alteration present a significant safety and security risk but are deemed to be a lesser risk than Class 1 tools.
    - 1) Offender use will therefore be monitored with "General Staff Supervision."
  - c. Class 3 "Non-hazardous" Tools – A category of tools that without alteration are reasonably considered to pose a minimal safety and security risk.
    - 1) Offender use may be monitored with "Indirect Staff Supervision" as specified by this policy.

### C. Tool Use Supervision

1. Each facility will follow procedures for tool supervision according to tool classification and offender location inside and outside the secure perimeter.
2. Staff will comply with the following supervision levels:
  - a. Direct Staff Supervision – For the purpose of this policy, requires staff to supervise an offender or group of offenders by remaining in the immediate area, directly observing offender movement and tool use, and ensuring tools are not lost, damaged, or used for other than intended purposes.
  - b. General Staff Supervision – For the purpose of this policy, requires staff to supervise an offender or a group of offenders by remaining in the general area and observing offender location and tool use intermittently and on at least an hourly basis.
  - c. Indirect Staff Supervision – For the purpose of this policy, requires staff to supervise an offender or group of offenders by observing their location and tool use on an intermittent basis. The majority of offender activities are performed independent of staff direction and observation.
3. When staff supervise tool use with offenders of multiple custody levels, they must follow requirements for the higher custody level.
4. Within locked housing units:
  - a. offenders may use only Class 3 tools and only under direct staff supervision; and
  - b. offender tool use must be pre-approved by the chief of security.

### D. Tool Storage

1. Each facility will:
  - a. establish secure storage areas;
  - b. enforce restrictions on offender tool issue;
  - c. maintain rigid inventories of all tools;
  - d. address the classification and accountability of all tools not in use, including tools stored outside the secure perimeter; and
  - e. address the classification and storage of ladders, lifts, ropes, cables, hoses, and extension cords to ensure these items cannot be used in an unauthorized manner.
2. Facilities will follow procedures for the use of tool shadow boards:
  - a. Tools must be hung on shadow boards within a tool crib.
  - b. Only one tool may hang in front of each corresponding tool shadow and will be identical in size and shape to that tool.
  - c. Shadow boards will have shadow colors, according to tool class, as follows:
    - 1) Class 1 tools will be stored over a red shadow;
    - 2) Class 2 tools will be stored over a yellow shadow; and
    - 3) Class 3 tools will be stored over a black shadow.
  - d. Class 1 tools will be enclosed inside a locked, shadowed tool crib located inside a secure tool room and separated from Class 2 and Class 3 tools by a secure door.
  - e. When staff remove a tool from permanent inventory, they must immediately remove the corresponding shadow and follow procedures that indicate the tool has been permanently removed.
  - f. Tools that are not adaptable to a shadow board must be stored in locked drawers, cabinets, chests, or rooms.
  - g. Staff will store tool pouches and carts in a secure area and maintain an inventory sheet with each pouch and cart at all times.

### E. Tool Issuance

1. Facilities may use a system of tool checkout logs, tool chits, or a combination of both.

2. Regardless of method, staff must record which tool is used, who issues the tool, who receives the tool, and who is responsible for the security, safe usage, and return of the tool.
3. Tools must be immediately returned to a shadow board or secure storage area after use.
4. When staff removes a tool from inventory for repair purposes, a repair chit will be placed on the corresponding hook indicating it is out for repair.
5. Only staff will issue Class 1 tools. Depending on the offender's custody classification, either staff or offenders may issue Class 2 and Class 3 tools.
6. The chief of security may authorize offenders to work inside a Class 2 and Class 3 tool room for purposes of issuing tools.

#### **F. Tool Quotas**

1. The chief of security will:
  - a. establish the number of tools to be stored in each tool storage area in the facility;
  - b. regularly evaluate tool numbers and quotas to eliminate any excess tools; and
  - c. transfer all work area tools not used on a consistent basis (for example, seasonal tools) from the tool inventory to the tool control officer.
2. The tool control officer will:
  - a. maintain a tool list according to original work locations; and
  - b. store the tools in a safe and secure area in accordance with facility requirements pending disposal or reassignment.

#### **G. Tool Procurement and Receipt**

1. The tool control officer will:
  - a. pre-approve all facility tool orders and deliveries;
  - b. receive, mark, and inventory all tools before issue;
  - c. complete the receiving report and distribute copies as required;
  - d. destroy the receiving report when a tool is eliminated from a work area inventory; and
  - e. secure a supply of extra tools to replace or replenish broken or worn-out tools and include these on the master inventory list.
2. If staff must purchase tools without prior approval due to emergency circumstances, they must report the purchases to the tool control officer by the next working day.

#### **H. Tool Inventories**

1. The tool control officer will:
  - a. maintain a master inventory of all tools and their locations;
  - b. maintain area inventory lists where tools are stored or used, signed by the work area supervisor, and kept in loose-leaf sheets or binders;
  - c. maintain sub-inventories in all storage areas, including tool cribs, tool cabinets, toolboxes, and tool drawers;
  - d. ensure lists are kept with the tools, are current, filed, and readily available for tool inventory and daily tool accountability; and
  - e. keep master inventory lists in the offices of the chief of security and tool control officer.
2. Each facility will follow requirements for tool inventory control that include documented tool inspections as follows:
  - a. daily supervisory checks of assigned tools;
  - b. an established schedule for the physical inventory of all tool storage areas, including a report issued to the chief of security; and

- c. an established schedule for complete tool audits conducted by the tool control officer to check area inventories, markings, and storage, with findings forwarded to the area supervisor and chief of security.

#### **I. Tool Marking**

1. Facilities will:
  - a. mark all tools with an etching tool prior to issue and color-code in accordance with tool classifications; and
  - b. determine a tool marking system to ensure proper identification of assigned tools.
2. Tools that cannot be marked without damage (for example, surgical instruments) must be inventoried and kept in locked storage when not in use.

#### **J. Tool Exchange**

1. When a work area supervisor requests a replacement because a tool becomes unserviceable, worn out, or broken, no inventory change will be made; the replacement tool will be numbered the same as the replaced tool.
2. The work area supervisor will send a receipt with the replaced tool to the tool control officer for filing and tool disposal.

#### **K. Lost or Missing Tools**

1. If a tool is lost or missing:
  - a. missing or lost tools will be immediately reported to supervisory staff (for example, the shift supervisor, tool control officer, and chief of security);
  - b. a written report describing the tool and circumstances of loss must be submitted before the end of the shift to the chief of security with copies forwarded to the appropriate supervisors and retained until the tool is found;
  - c. a time period, not to exceed 3 months, will accrue before a missing tool is removed from the master tool inventory;
  - d. any offenders with access to lost or missing tools in all tool categories will be detained at the location pending a thorough body and area search;
  - e. replacement tools will be assigned a new number with the inventory adjusted accordingly;
  - f. a list of lost tools will be maintained by the tool control officer against which confiscated contraband tools may be cross-checked;
  - g. recovered identifiable and serviceable tools will be forwarded to the tool control officer, with written notice to the chief of security; and
  - h. recovered tools, already replaced, will be secured in storage; unserviceable tools will be destroyed.

#### **L. Hobby Craft Tools**

1. The offender hobby program supervisor will:
  - a. establish a list of all offender hobby craft tools;
  - b. ensure all tools are marked with the offender DOC ID number; and
  - c. supervise, inventory, store, and require all hobby tools to be used in accordance with the provisions of this policy.

#### **M. Food Service Tools**

1. Each facility food services area will follow tool safety and management requirements:
  - a. all food service tools must be classified;
  - b. food service tools (including, but not limited to, knives, cleavers, ice picks, knife sharpeners, and meat saws) will be stored on a shadow board in a securely anchored cabinet with an inventory list maintained with the tools at all times;

- c. all hazardous tools and knives will be marked with the food service identification symbol and knives will be consecutively numbered to facilitate inventory;
  - d. a chit or log system will be used for tool issue;
  - e. items such as extra cutting saw blades and knives will be kept in secure storage under the supervision of the tool control officer and issued as required; and
  - f. kitchen knives may be used in specific locations without direct supervision only when they are secured by cable or chain to a table or other immovable fixture.
2. Each facility will follow requirements for tool inventory and accountability before and after shifts.
  3. Tool inventory sheets must be signed by arriving and departing employees to verify tool accountability, initialed by the food service manager, and retained on file for 30 days.
  4. Lost or missing tools will be reported according to IV.K above.
  5. Food items that may be misused (for example, poppy seed, nutmeg, cayenne pepper, and fermentable items such as yeast and uncooked bread dough) will be maintained by a perpetual inventory and kept in secure locations in accordance with *DOC 4.3.1 General Food Service Operations*.

#### **N. Medical Tools**

1. Facility medical departments will follow tool control requirements:
  - a. medical staff will have primary responsibility for needles, syringes, and controlled medications;
  - b. medical department tools may not be marked because of size but must be kept in a locked storage area or containers with only minimum amounts dispensed for daily use;
  - c. the chief facility health officer will ensure an accurate, daily inventory of instruments such as scalpels and other tools is maintained at all times;
  - d. the ordering and receiving of all instruments, controlled medications, needles, and syringes will be done through processes that ensure none of these items enter the facility without proper inventory and physical control;
  - e. each shift will maintain a daily perpetual inventory of all current-use needles and syringes by size; when instruments are replenished from bulk supply, the inventory will be adjusted accordingly;
  - f. inventory processes for bulk supply will include a documented joint monthly reconciliation of amounts by the chief facility health officer and shift supervisor;
  - g. used needles and syringes will be maintained in secure interim storage and disposed of off-site according to methods approved by local health authorities; and
  - h. narcotics and other controlled substances will be stored, dispensed, and inventoried in compliance with state regulations.

#### **O. Non-Facility Worker Tools**

1. A correctional officer or other designated staff member will directly supervise contract and non-facility workers at all times.
2. The tool control officer will:
  - a. inspect and inventory contractor and non-facility worker incoming tools upon facility entry;
  - b. re-inspect and reconcile the inventory upon exit; and
  - c. ensure inventory sheets are filed and retained for 30 days.

#### **P. Ramset Guns and Ammunition**

1. If explosive-driven tools such as Ramset or Hilti guns are used in the facility, they will be stored with their ammunition in a secure area approved by the chief of security.

2. These tools will be issued to and used only by employees.
3. Expended shells must be returned to the armory for accountability and disposal after use.

## **V. CLOSING**

Questions about this policy should be directed to the chief of security.

## **VI. REFERENCES**

- A. *DOC 3.1.15 Security Inspections; DOC 3.1.17 Searches and Contraband Control; DOC 4.3.1 General Food Service Operations*
- B. *4-4196; ACA Standards Supplement, 2008*
- C. *3-JTS-3A-23; ACA Standards for Juvenile Correctional Facilities, 2003*
- D. *2-C1-2A-2; Performance-based Standards for Correctional Industries, 2nd Edition*