

Attachment N
DOC Security Procedures



DISTRICT OF COLUMBIA DEPARTMENT OF CORRECTIONS

Program Statement

OPI: SEC
Number: 5020.1D
Date: October 20, 2011
Supersedes: 5020.1C (1/14/10)
Subject: Entrance & Exit
Procedures

1. **PURPOSE AND SCOPE.** To establish procedures for authorization and identification of both pedestrian and vehicular traffic entering or exiting DOC property, provide security searches for the purpose of controlling contraband, eliminating unauthorized access by the general public and preventing escapes.
2. **POLICY.** It is the policy of the Department of Corrections (DOC) that all persons entering or exiting DOC property will be properly identified and processed prior to entering and exiting. Entry to and exit from the CDF will be strictly controlled.
3. **PROGRAM OBJECTIVES.** The expected results of this program are:
 - a. Inmates will remain in custody.
 - b. Contraband will be controlled.
 - c. Escapes will be prevented.
 - d. Staff shall ensure that all personnel, vehicles and property entering the CDF are thoroughly searched.
 - e. All staff, inmates and visitors will be properly identified prior to entering and exiting the CDF.
4. **DIRECTIVES AFFECTED**
 - a. **Directives Rescinded**
 - 1) PS 5020.1C Entrance and Exit Procedures (1/14/10)
 - b. **Directives Referenced**
 - 1) PS 1280.2 Reporting and Notification Procedures for Significant Incidents and Extraordinary Occurrences
 - 2) PS 1310.5 Facility Tours
 - 3) DO 1340.2 Relationship with the Media
 - 4) PS 4080.1 Inmate Visiting Regulations

- 5) DO 4160.3 Attorney-Client Relationship”,
- 6) PS 5010.2 Inmate Accountability
- 7) PS 5010.3 Contraband
- 8) District of Columbia Personnel Manual, Chapter 16

5. **AUTHORITY.** D.C. Code § 24-211.02, Powers; Promulgation of Rules

6. **STANDARDS REFERENCED**

- a. American Correctional Association 4th Edition Standards for Adult Local Detention Facilities: 4-ALDF-2A-07; 4-ALDF-2C-01

7. **NOTICE OF NON-DISCRIMINATION.**

- a. In accordance with the D.C. Human Rights Act of 1977, as amended, D.C. Official Code §2.1401.01 et seq., (Act) the District of Columbia does not discriminate on the basis of race, color, religion, national origin, sex, age, marital status, personal appearance, sexual orientation, gender identity or expression, familial status, family responsibilities, matriculation, political affiliation, genetic information, disability, source of income, status as a victim of an intrafamily offense, or place of residence or business. Sexual harassment is a form of sex discrimination that is also prohibited by the Act. Discrimination in violation of the Act will not be tolerated. Violators will be subject to disciplinary action.

8. **DEFINITIONS.** For the purpose of this directive the following definitions apply:

- a. **Administrative Leave** – An agency head may place an employee, against whom a corrective or adverse action is proposed, on excused absence with full pay and benefits that is not charged to annual leave, sick leave, or leave without pay in accordance with Chapter 16, §1608, of the District Personnel Manual (DPM).
- b. **Enforced Leave** – An agency head may place an employee, against whom a corrective or adverse action is proposed, on involuntary annual leave, compensatory time authorized and recorded on the appropriate time and attendance reports, or leave without pay, as applicable, as provided in Chapter 16, § 1615 of the DPM.
- c. **Summary Suspension** - An agency head may summarily suspend an employee, against whom a corrective or adverse action is proposed, in accordance with DPM Chapter 16, § 1616. An employee who is notified by written or oral directive of a summary suspension from his or her position pursuant to Chapter 16, §1616.2 of the DPM shall immediately leave his or her duty station and/or District government facility.
- d. **Sallyport** – A Sallyport is an entry/exit point consisting of two doors or gates with a security zone or vestibule in between. When employing the sallyport principle, only one door or gate at a time may be open.

- e. **District of Columbia Dignitary/Elected Officials** – A person of importance because of high rank or office (i.e., Mayor, Deputy Mayor, MPD Chief of Police).
 - f. **Official Visitor** – Any DOC employee; Officer, Agent or Representative of a Government Agency; Consultant, Contractor or Volunteer who is approved to enter a DOC facility to conduct official government business or provide a service to the DOC.
 - g. **Visitor** – Any person who enters a DOC facility for any reason other than to conduct official government business or provide a service to the DOC.
 - h. **Inspectors** – Any DOC employee or official visitor who enters a DOC facility for the purpose of conducting an inspection required by law, regulation, policy or standard.
9. **RESPONSIBILITIES.** Specific exceptions to this policy may only be made by the Director, Deputy Director or Warden.
- a. The Warden is responsible for:
 - 1) Ensuring compliance with the requirements of this directive; and
 - 2) Reviewing and approving/disapproving requests for special visits and activities
 - b. Shift Supervisors are responsible for:
 - 1) Ensuring compliance with the requirements of this directive;
 - 2) Resolving day to day operational issues concerning entry/exit procedures; and
 - 3) Testing metal detectors and other electronic scanning devices on a daily basis
 - c. Sallyport, staff entrance and checkpoint officers are responsible for:
 - 1) Identification and accountability for all persons and vehicles entering and exiting during their tour of duty;
 - 2) Conducting searches of persons, property and vehicles; and
 - 3) Public relations
10. **ENTRY PROCEDURES**
- a. **Senior Executive Staff**
 - 1) Senior Executive Staff (Director, Deputy Director, and Warden) shall not be subject to routine search procedures upon entry to the facility.

b. **District of Columbia Dignitary/Officials Entry**

- 1) District of Columbia Dignitaries/Elected Officials on official business shall not be subject to routine search procedures upon entry to the facility. This **shall include** the Mayor, Deputy Mayor, MPD Chief of Police, DC Fire Chief, City Administrator, D.C. Council members; Judges of Superior Court, and Attorney General.

c. **Official Visitors**

- 1) DOC personnel, FBI agents, U.S. Marshals, Immigration and Naturalization Service staff, elected officials and other official visitors shall be required to present a valid official photo identification and sign in the "Visitors Log" (Attachment 1) that is maintained at the checkpoint or designated staff entrance post. The escorting staff member shall also be recorded in the log.
- 2) All law enforcement personnel requesting entry into the institution, regardless of assigned duties or business at the facility, shall be screened and asked if they are in possession of firearms, ammunition or other prohibited weapons. Firearms, ammunition and other prohibited weapons shall be secured in the locked gun box at the Sallyport prior to admission to the facility. Shotguns, rifles and other weapons too large to fit in the gun box shall be secured in the gun rack in the base of the tower.
- 3) With the exception of Fire and Emergency Medical Services personnel responding to 911 calls in the facility, all official visitors and DOC staff shall submit to a pat and metal detector search when entering the institution.
- 4) With the exception of DOC Employees and Fire and Emergency Medical Services personnel responding to 911 calls in the facility, following proper identification and registration, all official visitors shall surrender their photo identification card to the checkpoint officer and shall be issued a visitor's pass to wear inside the facility. DOC Employees shall wear their Department identification card in accordance with PS 3060.1 *Employee Attire*.
- 5) Official visitors are only authorized to exit through their point of entry.
- 6) The names of contractors and volunteers and copies of their official visitor authorization documents shall be maintained in the Command Center.
- 7) Official Visitors with authorized packages, equipment cases, toolboxes, etc. (including service & repair personnel) shall be inventoried by the escorting officer prior to entering the institution in accordance with PS 5022.1 *Tool Control*. Two copies of this inventory (Attachment 2) shall be retained. One will remain at Checkpoint for verification of the tools, equipment and/or other items upon the visitor's departure and one will remain with the escorting officer. The Checkpoint Officer shall inform visitors prior to entering the facility that he/she and the escorting staff member shall be responsible for the security and custody of the tools, equipment and/or other items during the period of time they are inside the institution. An inventory will be conducted prior to the visitor

exiting the facility. Any discrepancies shall immediately be reported to the Shift Supervisor.

- 8) If any visitor wishes to visit an area other than the one authorized or indicated on the access log, he/she will contact and receive permission from the Shift Major.
- 9) Persons who are on active parole, probation, or other forms of conditional release (e.g., community programs, furloughs, etc.) or who have a felony record within the past three (3) years, will not ordinarily be approved access to CDF unless authorized in writing by the Warden.

d. **Legal Visits**

- 1) Attorneys, para-legals, investigators or other agents of an inmate's attorney(s)-of-record may visit their clients in accordance with the procedures outlined in PS 4160.3 *Access to Legal Counsel*.
- 2) All entry and search procedures for official visitors shall apply to attorney(s)-of-record and their agents. Staffs conducting searches of attorney(s) and their agents are strictly prohibited from reading correspondence, files or other legal documents during the search process.
- 3) Attorney(s) and their agents who wish to bring in tape recorders, cameras or other similar equipment must obtain prior approval from a Shift Supervisor. Laptop computers do not require prior approval.

e. **Tour Groups**

- 1) All groups desiring to visit a facility must have the approval of the Office of Communications and the Warden. Tours shall be conducted in accordance with the provisions of PS 1310.5 *Facility Tours*.
- 2) All members of tour groups are subject to the identification and search procedures contained in the "Checkpoint Procedures" section of this directive.
- 3) At the checkpoint, all tour group members shall also be directed to read all posted notices and instructions regarding visiting regulations.
- 4) All members of tour groups shall sign in the visitors logbook, surrender their photo ID and be issued a visitor's badge prior to entering the institution.

f. **Media Visits**

- 1) All visits by members of the media shall first be approved by the Office of Communications and the Director in accordance with PS 1340.2.
- 2) All entry and search procedures for official visitors shall apply to members of the media.

- 3) Requests to bring cameras and recording equipment into the facility must be approved in advance by the Office of Communications and the Director.

11. SALLYPORT PROCEDURES

- a. All vehicles entering or exiting the CDF parking lot is subject to search.
- b. The Sallyport Officer shall maintain a complete record of all vehicles entering the Sallyport. The Sallyport log is to be recorded in the logbook and shall include the driver/passenger name, company/agency represented, vehicle contents, date and time in, date and time out and vehicle tag number.
- c. The Sallyport Officer is responsible for the proper and accurate identification of all official visitors, truck drivers, delivery personnel, inmates and employees passing through the Sallyport. If the Sallyport Officer has doubts about the identity of any person who seeks to pass through, the officer shall not permit the person to pass until positive identification has been established or a shift supervisor or higher authority authorizes passage.
- d. The procedures utilized at the Sallyport for identification and admission of visitors shall be the same as those required for checkpoint entrances/exits as outlined in sections ten (10) and twelve (12) of this directive.
- e. The Sallyport Officer shall thoroughly search each vehicle.
- f. Vehicles shall not be permitted to be parked against the perimeter wall. Contractor trucks with ladders will not be parked in the sally port.
- g. Vehicles shall not be left unsecured for any reason while inside of the facility perimeter. Both the cab and cargo compartments of the vehicle must be secured.
- h. All vehicles leaving the facility shall stop at a designated spot outside the inner gate. The Sallyport Officer and/or Tower Officer shall determine that neither the driver nor the escorting staff member is under duress before allowing the vehicle to enter the Sallyport.
- i. Any vehicle leaving the facility shall be thoroughly searched.
- j. All trash trucks shall be required to compact their load before entering the Sallyport.
- k. A secure gun box shall be maintained at the Sallyport for securing firearms, ammunition and other weapons. Shotguns, rifles and other weapons too large to fit in the gun box shall be secured in the gun rack in the base of the tower.

12. CHECKPOINT PROCEDURES

- a. The checkpoint officer shall positively identify all persons entering and exiting the facility through the checkpoint. This accounting of identity includes, but is not

limited to, official visitors, employees, inmate social visitors, attorney(s)–of-record and their agents, and tour groups.

- b. All persons entering a DOC Facility shall present a DOC identification card or a valid picture identification card issued by a government agency (i.e. driver's license, non-drivers identification card, military identification card, government employee identification card). Any exceptions to this procedure shall be approved by the shift commander or higher authority.
- c. If the identity of any person is in question, he/she shall not be permitted to enter or exit the institution until they have been properly and positively identified.
- d. A visitor's log shall be maintained at each checkpoint to record the visitor's name, purpose for visit, time in/out, the person or area visited and escort officer's name. (Attachment 1)
- e. All persons entering the CDF shall be searched. This inspection may consist of a pat search of their person, a search of any property in their possession, screening with metal detectors or other electronic devices, vehicle searches and K-9 searches. **Strip searches of employees, official and unofficial visitors are strictly prohibited.**
- f. Any person refusing to be searched shall be denied entry.
- g. All official and unofficial visitors shall be instructed to read the posted signs and instructions.
- h. Dress Code:
 - 1) Official and unofficial visitors may wear informal business or casual attire in accordance with *PS 3060.1, Employee Attire*. Law enforcement officers or agents may wear their normal duty uniform or attire;
 - 2) Contractors shall wear appropriate work clothing or uniform; and
 - 3) Generally, attire considered inappropriate for inmate social visitors under the provisions of *PS 4080.1* is prohibited. In cases where the appropriateness of a visitor's attire is in question, a supervisor shall be called to make final determination.

13. ESCORT PROCEDURES

- a. Unofficial visitors shall be under escort and/or direct staff observation at all times.
- b. The name of the visitor's escort shall be recorded in the Visitor Log indicating escort responsibilities.
- c. Any visitor entering into areas where inmates are housed shall be escorted at all times.

- d. All inmate work details that pass through the Checkpoint or Sallyport shall be escorted. The Checkpoint Officer will log in the logbook the inmate's name, DCDC number, time out and in, escorting officer's name and detail assignment. A valid off-unit detail pass and inmate I.D. must be presented for each inmate.

14. EXIT PROCEDURES

- a. No person shall be allowed to exit the CDF until they have been positively identified by comparing the person to their photo identification card.
- b. If there is any question regarding the identity of a person, a Shift Supervisor shall be contacted. The person shall not be allowed to exit until the he/she is positively identified.
- c. After identification is confirmed, the visitor shall surrender the visitor pass and retrieve their identification card.
- d. Official visitors shall sign out in the visitor logbook.
- e. Visitors with packages, equipment cases and toolboxes shall submit these items to the escort officer for inspection and inventory before exiting. In case of a discrepancy a supervisor shall be contacted. All discrepancies must be resolved before the visitor is allowed to exit.
- f. Employees, contractors, volunteers and visitors are not permitted to leave the facility with any documents, equipment, or any other items belonging to the DC Department of Corrections without prior written approval from the Warden. If items appear questionable, the Checkpoint Officer will conduct a search.
- g. The Checkpoint Officer will randomly conduct searches on any person exiting the facility.
- h. When the requirements listed in items "a" through "e" above have been met, the Checkpoint Officer shall authorize the Tower of Entrance Officer to allow the person/persons to exit the facility.

15. AUTHORIZED ITEMS FOR EMPLOYEES AND OFFICIAL VISITORS. With the exception of the items listed below, staff are prohibited from bringing in personal items listed in, but not limited to, Attachment (3) that are not essential to the performance of their duties:

- a. Wallets sufficient in size to carry personal identification, Department identification card, keys, and feminine hygiene items.
- b. Equipment for use by DOC employees and official visitors while conducting audits and inspections. These items include, but are not limited to, cameras, laptop computers, tape recorders, thermometers, light meters and gauges. Prior written notification and approval is required.
- c. Department issued pagers, cellular telephones, lap-top computers and

other electronic equipment used by the employee in the performance of his/her official duties as approved by the Warden. The Warden is delegated authority to authorize an employee to bring in a personal pager or cellular telephone. If granted, permission must be in writing and on file at the staff entrance.

16. ACCESS RESTRICTIONS FOR STAFF RELIEVED OF OFFICIAL DUTIES

- a. Staff who have been officially relieved of their official duties as described in the "definitions" section of this directive shall not have access to the CDF without prior authorized approval from the Director or designee.
- b. The Director or designee who notifies the employee of placement on administrative leave, enforced leave, summary suspension or summary removal, shall advise the employee of access restrictions in accordance with this directive.
- c. The Deputy Director shall ensure that the CDF Warden is notified of employees who have been relieved of their official duties.
- d. The Warden shall ensure that written notification, including a photograph of the employee, is maintained at all entry points and that this information is passed on to each employee who assumes responsibility for the post.
- e. If the work status of any person is in question, the employee shall not be permitted to enter until the Shift Supervisor or higher authority obtains authorization in accordance with this directive.
- f. If the employee is granted authorization to enter the facility he/she shall:
 - 1) Be positively identified;
 - 2) Sign in the visitor log book;
 - 3) Submit to a pat and/or metal detector search; and
 - 4) Surrender their picture ID card and be issued a visitor pass
- g. The employee shall be escorted by a supervisor and only to the place(s) that were approved when the authorization was obtained.
- h. The employee shall remain under supervision during the entire visit and shall not be allowed access to DOC records or equipment unless the Director or designee gives specific authorization.
- i. If the employee refuses to cooperate with the procedures herein, the Shift Supervisor shall be notified and the employee shall be subject to immediate escort out of the facility.
- j. If the employee is ejected from the facility or is disruptive prior to or when denied entry, notification shall be made in accordance with PS 1280.2B, "Reporting and Notification Procedures for Significant Incidents and Extraordinary Occurrences".
- k. Former employees who have been terminated or retired shall only enter DOC facilities when acting in an approved official capacity or when processed and

approved in accordance with policy governing visits and visitors. For example, a separated employee who is now a contractor, vendor or volunteer.

17. **EMERGENCIES.** Anytime the emergency alarm is activated or other emergency notification is made/received, the Checkpoint Officers are to terminate the processing of visitors in or out of the institution until the emergency has cleared. Only the Warden or designee may give authorization for any visitor(s) to enter or exit the facility during emergency situations.
18. **HOSTAGES.** Employees shall not, under any circumstances, take orders from, heed the instructions or otherwise act under the direction of any person or persons who appear to be a hostage or acting under duress, regardless of rank or position. Under no circumstances shall an inmate(s) be permitted to affect an escape from the institution by using a hostage(s) or under threat of a hostage situation.
19. **PUBLIC RELATIONS.** Staff assigned to the Entrances and the Control Center positions are the first to be encountered by the public; therefore, they must reflect high standards of professionalism. The Checkpoint Officers should not only present a good appearance, but should always handle all visitors tactfully and with diplomacy. Checkpoint Officers shall wear the full uniform and they shall display their badge and nametag.
20. **METAL DETECTORS.** The Security Supervisor or designated Shift Supervisor shall be responsible for testing the operation of all metal detection devices daily and noting checks in the log books provided at checkpoint.



Thomas Faust
Acting Director

Attachments

- Attachment 1 - Visitors Log
- Attachment 2 - Visitor Inventory Form
- Attachment 3 - Unauthorized Items



Unauthorized Items

This list will serve as a guideline of items that will not be permitted to enter into the facility but is not all inclusive. The staff entrance officer will contact the Shift Commander if any item not listed is in question.

- Glass bottles, ceramic coffee mugs, any item made from glass
- Food or beverage containers with removable inserts
- Canned food items with removable lids
- Mirrors to include compact mirrors
- Rat tail combs, long hair pins, and wave caps
- Cellular phones and pagers unless authorized in writing by the Warden
- Books, magazines, newspapers, personal mail, personal documents, or other related reading material not used in the performance of the employees duties
- Styrofoam containers (clear see through only)
- Plastic containers (clear see through only)
- Plastic bags (clear or see through only)
- Beverage containers that are not sealed (includes coffee cups)
- Chewing gum or items containing chewing gum and taffy
- Umbrellas with metal may not enter into the work area but may be stored at staff entrance or placed in a locker
- Lighters, matches, cigarettes, chewing tobacco, or any other tobacco product
- No more than twenty dollars (\$20)
- Clear bags larger than (8) inches high by (11) inches long and (6) inches wide or clear buckets larger than (1) gallon measuring (6) inches high by (8) inches long and (6) inches wide
- Bags that are not clear (transparent)
- Personal security equipment (i.e., flashlights, hand restraints, chemical agents, handcuff keys, etc.)
- Lotions and hand sanitizer containing alcohol. No unmarked containers with lotions and medication. All lotions must have ingredients listed.
- Perfumes, body spray, body oils, hair oils, hair sprays, excessive make-up, petroleum jelly, etc.
- Any chemical not authorized or issued in the facility without written approval from the Deputy Warden of Support Services
- Tools or equipment unless in the possession of a contractor or service personnel
- Any tool not in the possession of a contractor or service personnel must be approved through the Tool Control Officer.
- Aerosol cans
- Air freshener oils, Airwick plug-ins, glade plug-ins, candles, oils, incense, etc.
- Alcoholic beverages
- I-pods, MP3 players, music CD's or music related items

- Recording or photographic devices of any type unless approved in writing by the Warden
- Laser pens
- Fingernail clippers, nail files or nail polish
- Extra footwear except in inclement weather one (1) pair of boots and one (1) pair of appropriate work shoes are permitted
- Extra clothing except for one (1) additional sweater
- More than one (1) DOC uniform pant and shirt
- Glue, duct tape, hi-lighters
- No more than two (2) average servings of food necessary for a sixteen (16) hour period
- Medication must not exceed an amount needed for a sixteen (16) hour period
- Weapons or illegal drugs of any kind



DISTRICT OF COLUMBIA DEPARTMENT OF CORRECTIONS

Program Statement

OPI: SECURITY
Number: 5022.1F
Date: November 30, 2011
Supersedes: 5022.1E (04/12/10)
Subject: Tool Control

1. **PURPOSE AND SCOPE.** To establish effective policy for the supervision, accountability and control of tools stored and/or used within the DC Department of Corrections (DOC).
2. **POLICY.** It is the policy of DOC to ensure that tools are controlled in the most efficient manner in order that safety and security are maintained at all times.
3. **APPLICABILITY.** This policy applies to all DOC employees, volunteers, contractors and their employees. All employees, contractors and volunteers are responsible for reading this policy and ensuring that tool control procedures are observed in their respective work areas.
4. **PROGRAM OBJECTIVES.** The expected results of this program are:
 - a. Safety, security and the orderly operation of the facility will be enhanced by minimizing improper access to and use of tools.
 - b. Tools will be accounted for at all times.
 - c. Tools will be stored in secure locations.
 - d. Accurate inventories of tools will be maintained.
5. **NOTICE OF NON-DISCRIMINATION**
 - a. In accordance with the D.C. Human Rights Act of 1977, as amended, D.C. Official Code §2-1401.01 et seq., (Act) the District of Columbia does not discriminate on the basis of race, color, religion, national origin, sex, age, marital status, personal appearance, sexual orientation, gender identity or expression, familial status, family responsibilities, matriculation, political affiliation, genetic information, disability, source of income, status as a victim of an intrafamily offense, or place of residence or business. Sexual harassment is a form of sex discrimination that is also

prohibited by the Act. Discrimination in violation of the Act will not be tolerated. Violators will be subject to disciplinary action.

6. **DIRECTIVES AFFECTED**

- a. **Directive Rescinded.** PS 5022.1E Tool Control (04/12/10)

- b. **Directives Referenced**
 - 1) PS 1280.2 Reporting and Notification Procedures for Significant Incidents and Extraordinary Occurrences

 - 2) PS 2000.2 Retention and Disposal of Department Records

 - 3) PS 5020.1 Entrance and Exit Procedures

7. **AUTHORITY.** D.C. Code § 24-211.02, Powers; Promulgation of Rules

8. **STANDARDS REFERENCED**

- a. American Correctional Association (ACA), 4th Edition, Performance-Based Standards for Adult Local Detention Facilities: 4-ALDF-2D-02, 4-ALDF-2D-03 and 4-ALDF-4C-38.

9. **DEFINITIONS.** For the purpose of the Program Statement, the following definitions shall apply:

- a. **Direct Supervision.** Constant sight and sound supervision by a designated employee.

- b. **Intermittent Supervision.** Observation by a designated employee(s) on a thirty (30) minute basis.

- c. **Shadow.** For the purpose of this policy, shadow is defined as a red or black silhouette outlining a designated tool.

- d. **Tool** - Any implement, instrument or utensil designed for a particular kind of work, i.e., cutting, hitting, digging, rubbing, by directing manually applied force or by means of a motor; or the cutting or shaping part of a power-driven device, as a drill bit or band saw blade.

10. **TOOL CLASSIFICATION.** The tool classification outlined in this policy applies to all service areas. All tools shall be appropriately classified under one of the following two headings:
- a. **Class “A” Tool.** The Class “A” tool group includes those tools most likely to be used in an escape or escape attempt, to manufacture or serve as weapons capable of doing serious bodily harm or as being hazardous to facility security or personal safety. Class “A” tools shall be documented and signed for on the Class ‘A “Tool Sign Out Log (Attachment 2).
 - b. **Class “B” Tool.** : Any tool that is of a less hazardous nature and is not likely to be used for the purposes outlined in “A” above. Class “B” tools shall be documented and signed for on the Class “B” Tool Sign Out Log form (Attachment 3).

11. **TOOL IDENTIFICATION AND CLASSIFICATION**

- a. All facility tools will be classified on the Tool Classification List. All tool classification will be recommended by the Tool Control Officer and approved by the Warden.
- b. The Tool Control Officer shall mark all tools assigned to each work/storage location with a unique number.
- c. Tools that cannot be marked without damage, such as surgical instruments, micrometers and small drill bits, shall be inventoried and kept in locked storage when not in use.

12. **TOOL STORAGE**

- a. **Class “A”.** All Class “A” tool storage areas shall be secured behind at least two (2) locks and keys.
- b. **Class “B”.** All Class “B” tool storage areas shall be secured behind at least one (1) locked door or gate.
- c. **Shadow Boards**
 - 1) Shadow boards shall be used to store any tool that can be mounted. Only one tool or tool set shall be kept on each shadow and the shadow must be identical to the tool in size and shape.
 - 2) All shadow boards shall have white backgrounds.
 - 3) Class “A” tool shadows shall be red and Class “B” tool shadows shall be black.

- 4) All shadow boards accessible to inmates shall be caged with expanded metal and locked. Ladders shall be secured to a stationary object, in the horizontal position if possible, with an approved chain and padlock. Ladders shall be secured two (2) to one shadow board. The shadow numbers will reflect the ladders assigned to that one shadow.
- 5) In the event a tool is no longer used and is subsequently removed from the inventory, the corresponding shadow shall be removed immediately from the shadow board.
- 6) Tools not adaptable to a shadow board shall be kept in a locked drawer, cabinet or a secure metal toolbox within the corresponding class A or B storage area. Toolboxes shall be shadowed on the floor or shelf where they are stored.

13. **INVENTORY.** All tool storage areas shall be maintained through an inventory and audit system. A current inventory will be displayed and maintained at each tool storage area.

a. **Tool Control Officer Responsibilities:**

- 1) Maintain the Master Tool Inventory of all approved facility tools.
- 2) Update and maintain all individual area tool inventories as needed.
- 3) Review monthly and weekly inventories.
- 4) Conduct monthly and quarterly audits.
- 5) Conduct random inspections of area inventories for accuracy.
- 6) Notify the Deputy Warden for Operations, in writing, of any tool control discrepancies.

b. **Daily Tool Inventory Verification Procedures**

- 1) A physical inventory of all tool areas will be conducted, verified, and documented on the Weekly/Monthly Tool Inventory Report (Attachment 4) at the beginning and end of shift/work day.
- 2) End of shift/work day inventory requires verification by two (2) staff members, one (1) of whom is in a supervisory position.
- 3) Tool Inventory Verification shall be maintained by the Tool Control Officer.

- 4) Individual(s) will account for all tools issued under the following circumstances:
 - a) Prior to the release of any inmate/resident(s) from the work area to include, completion of the inmate work day, meals, medical appointments, visitation, etc.
 - b) Prior to moving inmate/residents from one location to another location.
 - c) Prior to leaving a work location.
- c. **Weekly/Monthly Inventory Procedures.** A weekly and monthly tool inventory shall be conducted by each area manager. These inventories will be documented using the Weekly/Monthly Tool Inventory Report. Completed weekly inventories shall be maintained by the area manager. Complete monthly inventories will be forwarded to the Tool Control Officer. The Tool Control Officer shall be responsible for reviewing these inventories for completeness and accuracy.
- d. **Monthly/Quarterly Audit Procedures.** A monthly tool audit shall be conducted by the Tool Control Officer. A quarterly tool audit shall be conducted jointly by the Maintenance Supervisor and the Tool Control Officer. These audits will be documented on the Monthly/Quarterly Tool Audit Report and a copy of the completed reports shall be forwarded to the Warden. If any tool control discrepancies are discovered or recommendations made, a copy will be forwarded to the affected area manager for corrective action. These audits will include the following:
 - 1) Verification of monthly inventory received
 - 2) Verification of weekly inventories conducted
 - 3) Verification of daily inventories conducted
 - 4) Review of Tool Control Log
 - 5) Verify tools stored/secured properly
 - 6) Verify tools are marked properly
 - 7) Identify any damaged or worn tools
 - 8) Identify any excessive tools
 - 9) Verify monthly inventory

e. **Revisions To The Master Tool Inventory**

- 1) Additions. Any addition of tool(s) to the Master Tool Inventory must be classified according to the Tool Classification List. If the tool is not listed on the Tool Classification List, it must be approved by the Warden.
- 2) Deletions. Deletion of tool(s) from the Master Tool Inventory requires approval of the Warden.

14. **SURPLUS TOOLS.** Surplus tools shall not be stored in the facility.

15. **TOOL CONTROL FILES**

- a. The Tool Control Officer shall maintain a file for each location where tools are stored.
- b. This file shall contain monthly and quarterly inventories, tool acquisitions and dispositions with incident statements if applicable, Daily Construction Tool inventories, tool reports and logs, and any other pertinent information.

16. **OUTSIDE SERVICE PROVIDERS**

- a. Outside service providers will be escorted by an assigned staff member at all times.
- b. Outside service providers will submit to routine inspections and inventories of all tools. The outside service providers' tools will be listed on the Daily Construction Tool Inventory (Attachment 9).
- c. Verification that a physical inventory of all tool areas has been conducted will be documented on the Daily Construction Tool Inventory, at a minimum, as follows:
 - 1) Prior to entering facility.
 - 2) When leaving the work area (i.e., meals, breaks, etc).
 - 3) When moving from one work location to another work location.
- d. Prior to exiting facility. The Daily Construction Tool Inventory will be held by the escorting staff member until departure from the facility. Prior to departure from the facility a staff member must account for all tools listed on the Daily Construction Tool Inventory. Any discrepancies will require immediate action to locate and account for the missing tool(s). Any discrepancies noted will be reported to the Major of Operation or Shift Captain before the outside service provider exits the

facility. The completed Daily Construction Tool Inventory will be forwarded to the Tool Control Officer.

- e. All tools brought into the facility by outside service providers, will be removed from the facility at the close of each business day, unless authorization is given in writing by the Major of Operations or higher authority.
- f. All incidents involving outside service providers, to include loss or damage of tool(s), will be documented on a DCDC 1 in accordance with *PS 1280.2, Reporting and Notification Procedures for Significant Incidents and Extraordinary Occurrences*.

17. **ISSUANCE**

- a. When tools are assigned to specific departments, tools shall be issued by the area manager or designated individual who shall record the issuance in the Tool Control Log.
- b. Tools assigned to the Maintenance Department shall be issued by the Tool Control Officer, Lieutenant or higher authority.
- c. The Tool Control Log shall be maintained in close proximity to the tool storage area.
- d. Tools issued after hours will be signed out in the same manner as normal working hours. A Lieutenant or higher authority must document any access to a tool storage area, to include a physical inventory of tools issued, time in/out, purpose, and to whom the tool was issued or returned by, in the Tool Control Log.
- e. Each employee (maintenance staff, culinary staff, or staff determined by the Tool Control Officer) who draws tools daily shall be issued chits with a picture and assigned number. When the employee draws a tool, he/she shall surrender a chit. When a tool is issued from a shadow board, the chit shall be placed on the shadow corresponding to the tool. When a toolbox or tool cart is issued, the tab shall be placed on the designated tool box tab. Tool issuance shall be documented using the Tool Sign Out Log (Attachments 2 and 3).

Tool cart issuance shall be documented using the Tool Cart Sign Out Form (Attachment 1). The Tool Cart log shall be maintained in close proximity to the cart storage area.

18. **RETURN**

- a. Return of all tools and tool carts will be recorded in the Tool Control Log by the Tool Control Officer, Lieutenant or higher authority.

- b. Class "A" tools must be returned to the issuing storage area by close of business each day.
- c. Any Class "B" tool not returned by the end of the work period must be approved in writing by the Deputy Warden for Operations and recorded as such in the Tool Control Log.

19. SUPERVISION

- a. **Class "A" Tools.** Class "A" tools are issued only to staff responsible for maintaining direct supervision of the inmate(s) using the tool(s).
- b. **Class "B" Tools.** Any inmate using Class "B" tools shall be under intermittent supervision of an employee.

20. MEDICAL/DENTAL TOOLS

- a. The Health Services Department will comply with tool control procedures as set forth in this policy, with the exception of classification procedures.
- b. Surgical, dental and other medical tools, supplies, equipment and materials will be maintained in the safest manner possible in keeping with good medical practice, and state and local standards of infection control. Tools and supplies of a hazardous nature will be maintained in a locked storage area or container. The Medical Department will conduct a weekly tool inventory and the Dental Department will conduct a monthly inventory. Both inventories will be forwarded to the Tool Control Officer. The Tool Control Officer will conduct weekly random audits of the tools in both departments. Medical tools will not be marked due to the size and character of the tools.
- c. Reserve stock of hypodermic needles will be kept in a locked and secure area. An accurate daily perpetual inventory of needles and syringes will be maintained. This inventory will be submitted to the Tool Control Officer weekly and the Health Authority will be responsible for periodic verification of the inventory.
 - 1) Only the minimum number of syringes and needles for proper operation of the clinic will be available for daily use. These items will be kept in a convenient, secure and safe place.
 - 2) Used disposable syringes and needles represent both a security and potential health hazard and should be handled with extraordinary care to prevent unintentional injuries, and the likelihood of spreading infectious diseases, such as AIDS and hepatitis. In keeping with the state and local health department

standards and guidelines of infection control, Health Services personnel will adhere to the following procedures:

- a) Disposable syringes and needles, scalpel blades and other disposable sharp instruments will be placed into puncture-resistant, tamper-proof containers that are located as close as practical and secured to the area in which the instruments were used.

21. FOOD SERVICE

- a. **Class "A" Tool Issuance.** Class "A" tools maintained in food service areas shall be issued and inventoried by correctional staff only. Class "A" food service tools shall be managed and maintained in accordance with all Class "A" tool procedures outlined in this policy.
- b. **Class "B" Tool Issuance.** Class "B" tools maintained in food services areas may be issued and inventoried by contracting agency personnel. Contracting agency personnel will be required to adhere to all issuance and inventory procedures as outlined in this policy.
- c. The Culinary Officer shall inventory equipment in the Culinary daily by documenting the report on the Culinary Equipment Inventory Sheet (Attachment 6). The Culinary Officer shall also inventory and document all utensils being used in the Officer Dining Room (ODR) daily (Attachment 11).

22. **HAIR CARE.** All hair care service areas and equipment will be managed and maintained in accordance with all procedures outlined in this policy.

23. **TOOL ACQUISITIONS.** The Tool Control Officer and Deputy Warden for Operations will approve or deny any tool purchase in writing. The area manager requesting the purchase/order of tool(s) will submit a Tool Acquisition Request (Attachment 7), to the Tool Control Officer. The procedure for processing a request is as follows:

- a. The area manager submits the completed Tool Acquisition Request to the Tool Control Officer.
- b. The Tool Control Officer will review the request and make a recommendation for approval or denial to the Deputy Warden for Operations.
- c. If the request is approved by the Deputy Warden for Operations, the Tool Acquisition Request will be attached to a completed Purchase Order and forwarded to the Tool Control Officer.

- d. If disapproved by the Deputy Warden for Operations, a copy will be forwarded to the area/department supervisor.
 - e. The original Tool Acquisition Request and a copy of the Purchase Order will be maintained by the Tool Control Officer.
 - f. Staff assigned to Basement Security shall ensure that when tools are delivered to the facility the Tool Control Officer is notified. Tools may not be issued until they have been marked and inventoried by the Tool Control Officer.
24. **DISPOSITION OF TOOLS.** A tool chit labeled "Out Of Service" will be placed on the shadow of the tool when it is not present due to any of the below outlined situations. If a tool is not to be replaced, the shadow is to be removed immediately, following authorization on the Tool Dispositions Request Form (Attachment 8).

NOTE: Tool chits will be requested and control by the Tool Control Officer. DOC will provide the chits with the employees' picture and assigned number. Tool chits cannot be constructed of paper or any material that can be easily duplicated or easily destructed.

a. **Damaged Tools**

- 1) Damaged tools will be turned in to the Tool Control Officer. In the event the damage results in multiple pieces, all pieces should be present and accompanied by a completed Tool Disposition Request Form (Attachment 8).
- 2) The Tool Control Officer will forward the unserviceable tool(s) to the Deputy Warden for Operations for disposal. Unserviceable tools shall be secured in a locked storage area and shall be destroyed/disposed of within one (1) month.
- 3) A record of receipt and disposal of these tools will be maintained.
- 4) Damaged tools sent out for repair shall be removed from service by the Tool Control Officer for the duration of the repair time. In the event a tool is to be repaired at the facility, that tool will be placed on the repair site's inventory.
- 5) In the absence of the Deputy Warden for Operations and Tool Control Officer (i.e. after hours), the damaged tool(s) and Tool Disposition Request Form will be forwarded to the on-duty Shift Captain to be appropriately secured.

b. **Missing Tools**

- 1) The on-duty Shift Captain will be notified immediately of any tool that is missing. The Shift Captain will notify the Deputy Warden for Operations and

Tool Control Officer. The Warden will be immediately notified of any Class "A" tool that is missing.

- 2) When a tool is unaccounted for, the area surrounding the last known location of the missing tool will be locked down and a thorough search conducted to include all inmate/residents in the area. Inmates/residents in the immediate area having access to the tool may be strip searched at the discretion of the Shift Captain. If the immediate area searched does not produce the tool, the areas of lockdown and searches will be expanded to the extent necessary. The Tool Control Officer shall document the missing tools on the Lost/Recovered Tool Report (Attachment 10) and forward a copy to the Deputy Warden of Operations.
- 3) A Tool Disposition Report must be completed and submitted to the Tool Control Officer when a tool is missing.
- 4) In the event a missing tool has not been located after a complete investigation and at the end of a sixty (60) day waiting period, the tool will be removed from the Master Tool Inventory.
- 5) In the event the tool is later found, a DCDC (1), on the surrounding circumstances will be submitted to the Deputy Warden for Operations and Tool Control Officer.

c. Worn Tools

- 1) Worn out tools will be forwarded to the Tool Control Officer, accompanied by a completed Tool Disposition Report.
- 2) Worn out tools shall be removed from service and deleted from the facility inventory by the Tool Control Officer. For tool replacement follow procedures listed in Tool Acquisition.

d. Relocation of Tools

- 1) In the event it is determined necessary to relocate a tool from one storage area to another, a Tool Disposition Report will be completed and forwarded to the Tool Control Officer.
- 2) The Tool Control Officer will make a recommendation to the Deputy Warden for Operations for final approval.
- 3) The Tool Control Officer will make the appropriate inventory changes to the affected tool storage area(s) if approved.

25. **INMATE WORKERS.** Any inmate working on a detail squad where tools are used shall be searched prior to return to his/her housing unit at the end of the workday. If a tool is found on the inmate's person, he/she shall be subject to disciplinary action in accordance with the institutional disciplinary code.
26. **TRAINING.** The Training Administrator shall ensure that all employees receive pre-service training on the Tool Control policy and annual refresher training.



Thomas Faust
Acting Director

ATTACHMENTS

- Attachment 1 – Tool Cart Sign/In Out Form
- Attachment 2 - Class A Sign Out Log
- Attachment 3 - Class B Sign Out Log
- Attachment 4 - Weekly/Monthly Tool Inventory Report
- Attachment 5 - Culinary Utensil Sign Out Log A/B
- Attachment 6 - Culinary Equipment Inventory Sheet
- Attachment 7 - Tool Acquisition Request
- Attachment 8 - Tool Disposition Report
- Attachment 9 - Daily Construction Tool Inventory Form
- Attachment 10 – Lost/Recovered Tool Report
- Attachment 11 – ODR Equipment Inventory Sheet