



*State of North Carolina
Department of Public Safety
Prisons*

Chapter: F
Section: .2700
Title: **Tool Control**
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POLICY AND PROCEDURE

.2701 GENERAL

The control and accountability of tools within a correctional facility is a critical component of the facility's security plan. Tool control procedures are necessary for all facilities within Prisons. Tool control procedures should establish effective measures to ensure control and accountability for all tools, instruments of a culinary or medical nature, and other hazardous devices that are stored or used within the correctional facility as well as any off-site location such as Enterprise or Community College program supervised by Prisons. The following procedures establish minimum standards in the development of individual facility plans for the storage, issue, receipt, disposal and accountability of tools and instruments. Standardized employee and offender tool issue logs are attached to this policy (Attachments A and B). All facilities shall utilize the standard logs to issue and track tools and instruments noted within this policy.

.2702 RESPONSIBILITY

- (a) Facilities will not develop an independent Tool Control Policy. This policy will serve as the facility policy. All facilities will implement standard operating procedures (SOP's) that mirror the policy standards within Chapter F .2700. Exception to this standard is the Inmate Construction Program (ICP). ICP will have a tool control policy that is reviewed and approved by the facility head where construction is being performed. For matters of disagreement of tool control procedures between the facility head and ICP manager, the Deputy Director of Operations will be consulted and render a final decision. Facility tool control standard operating procedures (SOP's) must be audited annually by the Region Director to assure compliance with current Prison's policy. The tool control audit review will be separate and apart of any and all other audits.
- (b) The facility head will be responsible for enforcing tool control practices within the facility. Tool control procedures will require a system of audits and inspections completed by this staff position.
- (c) The facility head will designate a facility tool control officer who will coordinate tool inventories, methods of tool identification, location of tool storage, security of tools, and assist other key facility staff with effective tool control practices. The facility head shall also designate a back-up facility tool control officer. Prior to assuming the facility tool control officer duties, the staff must be properly trained. Staff serving in this capacity should be approved by the respective Region Office.

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- (d) Maintenance staff, Health Care staff, Food Service staff, Education staff, and other staff who use tools will be responsible for the implementation of the authorized facility tool control procedures in their respective areas.
- (e) The facility head is responsible for ensuring the control and accountability of all tools within the correctional facility. This is not limited to tools assigned to Prison employees but includes tools assigned to Region Maintenance staff, Enterprise staff, Central Engineering staff, Vocational School staff, private contractors and others that bring in tools as part of their work. The facility will maintain a written master inventory of their area including locations for all tools by area as well as a master perpetual inventory of all tools and sub-inventories in shop areas where there are numerous tools.
- (f) The facility head is responsible for training facility staff on tool control procedures on an annual basis.
- (g) The facility head shall ensure that excessive tools, equipment and supplies are not maintained within the confines of the facility.

.2703 PROCEDURES

- (a) Storage of Tools
- (1) Each facility should provide for control, storage and utilization of tools in a safe, secure, and efficient manner.
 - (2) In secured areas of the facility, tools should be stored on shadow boards to provide a quick inventory and identification of missing items.
 - (3) Tool storage rooms should be secured by lock and key and not be accessible to offenders without staff supervision.
 - (4) A shadow board system should differentiate between categories of tools by color coding.
 - (5) When multiple tools are on one area of a shadow board, the board should designate the appropriate number representing full inventory of tools.
 - (6) In the event a tool is broken or lost, the corresponding area on the shadow board or place of storage must have a notation that reflects the current status of that tool until it is located or replaced. If a tool is removed from the inventory, the corresponding shadow area should immediately be removed from the shadow board.
 - (7) Tools that cannot be adapted to the boards should be stored in a locked cabinet with a posted inventory.
 - (8) Employees are prohibited from entering the secure confines of the facility with a

pocket knife of any length or type in their possession. The only exception will be for maintenance employees who may have a facility issues pocket knife as part of their inventory of tools. Maintenance employees are not authorized to have a personal pocket knife in their possession within the secure confines of the facility.

- (b) Classification of Tools. While it may be difficult to classify every specific tool used in the facility, all tools should be categorized by classification as hazardous or non-hazardous. The classification scheme for tools will vary by facility depending upon the security level of the facility. A general guide for classifications is as follows:
- (1) Hazardous. Hazardous or Class A tools are tools that can be used by offenders either in effecting an escape or causing death or serious injury to staff or other offenders. These tools generally include but are not limited to the following:
 - (A) Ladders
 - (B) Jacks
 - (C) Hacksaw Blades
 - (D) Pipe Wrenches
 - (E) Knives
 - (F) Metal Cutting Equipment
 - (G) Wire Cutters
 - (H) Files
 - (I) Cutting Torch and Cutting Tips
 - (J) Pipe Cutters and Bolt Cutters
 - (K) Axes/Emery Wheels and Drill Bits
 - (L) Portable Grinders or Similar Machines
 - (M) Hammers
 - (N) Heavy Duty Shears or Scissors
 - (O) Other tools, should be examined considering the security classification of the facility. Judgment should be applied to ensure that no tool is overlooked in this category. If in doubt, place the tool in this category.
 - (P) In areas of the institution where pallet jacks are present, they shall be shadowed and secured with a chain as well as be documented as part of the posted inventory.

- (Q) Ladders should be secured outside the perimeter of the facility. The authorization for a ladder (any device with greater than four (4) steps) to be stored within the confines of the secure perimeter of a facility, will be given by the facility head in the form of a memorandum. The ladder must be stored under a double lock system (behind a locked door, inside a room or caged area, with a padlock) and shadowed when not in use. This authority is not be delegated.
- (R) Metal cutting torches will be stored and secured in such a manner that cutting heads are kept separate from the fuel source and fuel tanks are secured by a chain with a padlock.
- (S) At medium and close custody facilities, hoses, electrical extension cords, straps, chains, cables, and other similar items shall be securely stored under lock and key when not in use and maintained on the tool inventory to include length of each item and total number of each item possessed by the facility.
- (2) Non-Hazardous. Non-hazardous tools will be considered as Class B tools and will be subject to less restriction than Class A tools. Tools in this category normally do not pose a direct threat to the security of the facility but do require accountably and control.
- (c) Tool Identification
- (1) A system for marking tools to identify the origination location should be established at each facility.
- (2) The marking system should be done through stamping, etching, or color to coding to make the tool immediately identifiable.
- (3) The following list of codes will be used in identifying departments where tools are assigned:
- A - Armory**
 - B - Barber Shop/Cosmetology**
 - D - Dental**
 - E - Enterprise**
 - F - Food Service**
 - H - Health/Medical**
 - M - Maintenance**

V - Vocational

Additional codes may be adopted by the facility head.

- (d) Tool Inventory. All tools assigned within the facility must be inventoried. In addition, tools not assigned to the facility such as those possessed by Region Maintenance staff, Central Engineering staff, Enterprise, private contractors, or others, are also subject to the following inventory and approval rules.
- (1) The section head of each major department within a facility, to include maintenance, health service, food service, education, etc., will be designated as the tool control officer for their respective section and will be responsible for developing a written master inventory of their sections, to include the storage locations of all tools. The section tool control officer will also be responsible for procedural implementation.
 - (2) Where using shadow boards or storage cabinets, each cabinet or board will have a separate inventory for respective tools.
 - (3) A copy of the tool inventory will be distributed to the facility tool control officer and the facility head or designee.
 - (4) The facility head and the assistant superintendent of operations will maintain a master list of tools assigned to the facility.
 - (5) As tool changes are made, responsible staff must submit appropriate adjustments to the tool control inventory. The facility tool control officer shall document all approved tool(s) or instrument(s) on the facility inventory log prior to the item being placed in use.
 - (6) All Class A tools, including sharps, must be inventoried daily at the end of the work shift by the supervisor having custodial responsibility for the tools. The inventory should be documented and forwarded to the facility tool control officer.
 - (7) All Class B tools must be inventoried weekly by the supervisor having responsibility for the tools. The inventory will be documented and forwarded to the facility tool control officer.
 - (8) A monthly report of tools must be submitted to the facility tool control officer and facility head or designee.
- (e) Control and Issue.
- (1) All tools and usage of tools must be closely supervised and monitored. All staff who routinely use tools will verify, by signature, that they have read and understand the division and facility tool control policy. Tools are to be checked in and out on the standardized employee or offender check-out log. (Attachments A

- and B).
- (A) Class A tools pose an imminent threat to the facility and must be used under the supervision of an appropriate employee. When not in use, Class A tools shall be securely stored. Where feasible, this should be outside the secure perimeter of the facility. Offenders will not issue Class A tools. An exception is offenders assigned to the Inmate Construction Program (ICP). Offenders will be issued Class A tools as needed and must be under the direct supervision of staff when using Class A tools.
 - (B) Class B tools should be used under the supervision of an appropriate employee. Class B tools may be stored within the secure perimeter in a secure location.
- (2) Department heads and work supervisors are responsible for the issuance and control tools assigned to their area of responsibility.
 - (3) Tools issued, or tools loaned from one section of a facility to another shall be documented daily.
 - (4) Excess tools in a shop or work area should be kept to an absolute minimum to enhance tool accountability.
 - (5) Policy and procedure for the storage, cleaning and security of all treatment instruments, including sharps, will be implemented and followed by the designated medical and dental staff in their assigned areas. Medical staff will be responsible for the general tool control regulations, guidelines and monitoring while keeping their sharps log fully and accurately completed. Dental staff will ensure an accurate inventory of all dental tools after an offender is treated and prior to the offender leaving the instrument area.
 - (6) All facilities (to include any off-site locations) who have been approved the use of knives, will tether the knives to a work table when in use. Each facility enacting this procedure will establish written procedures for ensuring accountability, safe use and sanitation of the knives.
 - (7) All contractors working inside the institution will receive written instructions outlining their responsibilities regarding tool control and contraband control.
 - (8) Each facility will have strict search procedures in place at all exit locations where offenders come in contact with tools. Each facility will incorporate an appropriate combination of pat searches, strip searches and the use of metal detectors sufficient enough to detect any effort for the unauthorized removal of tools or other contraband.
 - (9) The maintenance area and tool control areas at facilities must be designed and

structured in such a manner that they can quickly respond to a call for immediate lockdown and securing of these areas during a disturbance.

- (f) Disposition of Tools.
 - (1) Tools broken or worn beyond use will require proper disposal.
 - (2) Upon disposal, responsible staff must document and make adjustments to the inventory and advise other accountable staff.
 - (3) Annual evaluations should occur to identify tools infrequently used or no longer needed with consideration given to moving these tools to an area outside the perimeter of the institution.
 - (4) Disposition of tools covered in .2700, Equipment Control of the Department of Public Safety fiscal policies shall be made in accordance with the provisions of that policy.
- (g) Missing Tools.
 - (1) Missing tools are to be reported immediately by the responsible staff person to the facility head, assistant superintendent, the officer in charge and facility tool control officer. Tools determined to be lost will require the completion of an Incident Report.
 - (2) For Class A tools an Incident Report will follow verbal notification with the report identifying the missing items and the circumstances of the incident.
 - (3) If it can be determined that a tool was lost in a specific area within a recent time period, all offenders in the area should be held and not released until a complete search of the area and individuals has been done. Reasonable efforts will be required to recover missing tools.
 - (4) The facility tool control officer will assure that missing tools are noted on the tool inventory.
 - (5) Recovered tools shall be immediately reported and presented to the officer in charge.

.2704 OTHER REQUIREMENTS

- (a) The facility procedures will include provisions for inventories, standardized inventory logs, daily and weekly reports, tool receipt reports, tool turn in reports, lost tool reports, and tools temporarily entering the facility.
- (b) Class A tools entering the facility must be approved by the officer in charge before

bringing the tool into the facility, with exception to Ladders.

(c) Post orders should include instructions for tool control in any area using or storing tools.

(d) A system of audit/inspections should be developed that includes at least the following.

(1) A monthly audit by the responsible department head, foreman, or supervisor with written documentation will be conducted and this audit should be submitted to the facility tool control officer and the facility head or designee in the form of a monthly tool report.

(2) Formal audits at six-month intervals by the facility tool control officer with documentation.

(3) Irregular unannounced audits by the facility assistant superintendent with documentation.

(4) Inventory documentation log.

(5) Audit/inspection forms should be prepared to aid the above requirements.



Director of Prisons

08-14-18

Date

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NCDPS Prisons

EMPLOYEE TOOL CHECKOUT LOG

FACILITY _____ # _____

EMPLOYEE NAME	STAFF I.D.	TYPE OF TOOL	TIME OUT	TIME IN	DATE	SUPV. INITIAL



NCDPS Prisons
OFFENDER TOOL CHECKOUT LOG

FACILITY _____ **#** _____

OFFENDER NAME	OPUS #	DATE	TYPE OF TOOL	TIME OUT	STAFF I.D.	TIME IN	DATE	STAFF I.D.