Minnesota Department of Corrections

Policy Number:	**301.040**
Title:	**Tool Control**
Effective date:	**10/20/20**

PURPOSE: The control and accountability of tools within a correctional facility is a critical component of the facility's security plan. The following procedures provide minimum standards in the development of individual facility plans for the accountability of, and the storage, issue, receipt, and disposal of, tools and instruments.

APPLICABILITY: All facilities and field services

DEFINITIONS:

Class 1-A tools – restricted tools that utilize an explosive charge or are otherwise too dangerous for use by offenders/residents or to be used when offenders/residents are present. Offenders/residents must not use class 1-A tools.

Class A tools – tools or equipment that by design have high potential for use as escape devices or weapons. They may also be used in their manufacture or creation of other devices that could be used to defeat facility security. Sharps such as scissors with sharp tips, knives, and syringes are considered class A tools.

Class B tools – all other tools or equipment that are not covered by class A-1 or class A tools.

Direct supervision – a staff member remains in the area to supervise the proper use of tools, and remains within a distance allowing verbal communication with the offender/resident in order to address a tool not being used properly.

Shadow board – a board or cabinet used for tool storage that has painted shadows in the shape of each tool in order to make missing tools immediately noticeable.

Supervision of offenders/residents in minimum-security areas – for the purposes of this policy, a staff member must supervise an offender/resident, or a group of offenders/residents, in a minimum-security housing or work area by observing their location(s) and tool use every fifteen minutes.

Tether – a chain or cable permanently connecting a tool to a fixed object to restrict its movement.

Tool control lieutenant – the facility-appointed lieutenant who is responsible for the tool control master list in Archibus, for ensuring that proper staff complete facility audits, for engraving and identifying tools, for providing for the collection and disposal of tools, and for ensuring adherence to the tool control policy.

Tool inventory list – an electronic or hard copy list of all tools in a particular area or shop.

Tool storage – a secured area used to issue, control, and store tools, and which may be mobile or stationary.

Visual inspection – visual check of a toolbox, shadow board, or tool storage area to account for the presence of tools.

PROCEDURES:

A. Responsibilities

All facility staff must be able to identify and use class 1-A, A, and B tools that are used in their work areas, follow the required audit procedures, and complete the required form for new tool requests and disposal (301.040A, Tool Receipt for New, Broken, To-Be-Repaired, or To-Be-Disposed Tools, attached). Each facility's administration must designate a tool control lieutenant to monitor, control, audit, and maintain the facility's tool control process.

1. Each facility must develop and maintain operating guidelines that identify the standard coding for each tool and that describe the development and maintenance of a master tool control list in Archibus. The operating guidelines must also contain the process for tool ordering, engraving, introduction into the facility, and disposal.

2. The facility tool control lieutenant must ensure that, at minimum, daily tool control inventories are completed the beginning and end of each shift or work period and retained according to the retention schedule. The inventory process must also include a check to make sure the tool is intact.

3. The facility tool control lieutenant must develop or ensure the development of a master tool list in Archibus, and control that list, which is a listing of all facility tools.

4. There must be a minimum of one program staff person per 50 offenders/residents in each program area using Class A and B tools. For facilities with offenders/residents classified above level 3, the minimum staffing level may be increased as needed.

5. Each facility job placement committee must create criteria for offenders/residents who are in jobs that use tools based on the criteria set forth in Policy 204.010, "Offender/Resident Assignment and Compensation."

6. The captain/designee must provide authorization prior to admitting class 1-A tools into the facility.

B. Tool identification

1. The tool control lieutenant must engrave tools for identification where possible, using the standard system established in the operating guidelines.
2. The tool control lieutenant must ensure that the engraved tool number and type of tool is entered into the facility Archibus tracking system for tracking purposes.

C. Tool Use in Program Areas

1. Battery-operated power tools and class A tools used by offenders/residents may be tethered to a workstation or fixed object to mitigate risk. Offenders may only use untethered battery-operated power tools and untethered class A tools under direct observation. The appointing authority of the facility or other DOC site must determine which tools are tethered. Under the direction of the captain, the tool control lieutenant maintains a list of tools requiring tethering and ensures that Post Orders and tool inventories reflect this.

2. Staff must use metal detection on all offenders/residents leaving program areas that contain tools. In the event an offender/resident has a metal medical device in their body, staff must

use a hand-wand metal detector and pat search the offender/resident. As deemed appropriate by the facility captain, staff must pat search offenders/residents leaving areas where they work with materials that cannot be detected electronically.

D. Tool Issuance and Reporting of Lost Tools

1. Staff must establish and maintain daily sign out/in logs identifying the tool and the offender/resident to whom it was issued.

2. Staff must ensure that offenders/residents return tools to the proper storage area after they have finished using the tools.

3. Staff who are responsible for checking tools in and out must immediately contact their supervisor or the watch commander when they determine that a tool is missing.
   a) Staff must search all offenders/residents and the area itself. Staff must make reasonable efforts to find the missing tool before releasing the offenders/residents from the area.

   b) Staff must notify the tool control lieutenant about the missing tool and the lieutenant must adjust the inventory.

   c) The responsible staff person must write an incident report documenting to whom the tool was checked out, when it was discovered missing, and the steps taken to locate the tool.

E. Tool Storage

1. Staff must store all class 1-A tools in a locked area outside of the facility's secure perimeter.

2. Staff must store all class A and B tools in a secure manner using locking toolboxes, locking gang boxes, locking tool rooms, locking tool cages, or locking shadow boards.

3. Staff must account for all tools at the end of each work period using an established tool control list for their work area. Staff must place all tools in the secure storage at the end of each workday.

4. Staff must ensure that all ladders, lifts, forklifts, and elevated devices have a double locking system in place when such tools/equipment are not in use. A double locking system means that the equipment must be behind a locked door or cage and must also be chained and padlocked in place. Staff must ensure the double locking systems are on the daily inventory list for the area in which the equipment is located.

F. Tool Inventory

1. Staff must keep excess tools in a shop or work area to an absolute minimum to enhance security and keep an efficient inventory process.

2. Medical and dental staff must account for all tools prior to, and after an offender/resident is in a treatment area.

3. The area supervisor must ensure current tool inventories are forwarded to the facility tool control lieutenant quarterly.

G. Disposal/Replacement/Purchasing of Tools

1. The area supervisor must notify the designated tool control lieutenant of any inventory changes and report broken tools using the Tool Receipt for New, Broken, To-Be-Repaired, or To-Be-Disposed Tools form (attached).

2. The tool control lieutenant must establish and maintain a procedure for proper tool disposal or repair.

3. All new tools must be processed through the tool control lieutenant or designee for identification, inventory, and engraving prior to use.

4. The tool control lieutenant may not issue any tool without the requesting staff completing an updated inventory.

H. Outside Contractor Tools

1. All non-employees (contractors) must follow this policy and facility operating guidelines regarding tool controls.

2. Contractors/volunteers must submit complete tool inventories before bringing any tools into a secure area of the facility.

3. As indicated in section A.6, above, the captain/designee must provide authorization prior to admitting class 1-A tools into the facility.

I. Minimum, Institution Community Work Crew (ICWC) Program, and Challenge Incarceration Program (CIP) Crews

1. The captain must approve before minimum, institution community work crew (ICWC) program, or challenge incarceration program (CIP) crews work inside a secure facility.

2. When crews are working off grounds, supervising staff must account for and document DOC tools at the beginning and end of each workday.

3. The crew leader/supervisor must provide prior approval to offenders/residents prior to their entrance to any county or city shop.

4. The crew leader/supervisor must inspect any non-DOC tools prior to their use by the offenders/residents, and must ensure that the tools are returned at the end of the workday.

5. A staff person must supervise an offender/resident, or a group of offenders/residents, in a minimum-security housing or work area by observing their location(s) and tool use every fifteen minutes.

6. Staff must pat search and use a metal detector on all crewmembers upon their return to the facility. On a weekly basis, staff must also conduct random unclothed body searches (see Policy 301.010, “Searches”).

7. Staff must ensure that all tools in the ICWC vehicle are in a locked area and inventoried.

8. The unit supervisor is responsible for completing a tool audit at least once each quarter.

9. Any requests for exceptions to this policy for ICWC/CIP/Minimum crews must be in writing and the facility captain must approve or deny the request.

J. Tool Control Audit Expectations

1. The unit supervisor is responsible for completing a tool audit at least once each quarter, and must send the audit to the tool control lieutenant.

2. The facility tool control lieutenant is responsible for conducting two random area tool audits each month, and must provide the results and documentation to the facility captain.

3. The facility tool control lieutenant must complete a full audit on the master tool control list to the tools found in the facility at least once per year, in the last quarter of each fiscal year, and must provide the results and documentation to the captain.

4. The facility tool control lieutenant must ensure that the completion of all quarterly inventories, as well as monthly and annual audits, are included in the operations quarterly report.

K. Training

All facility and field services staff [MINNCOR?] must complete refresher training on the tool control policy and on facility tool control operating guidelines annually.

INTERNAL CONTROLS:

A. Tool control inventories are retained at the facility [for one year] according to the retention schedule in either hard copy or an electronic file.

B. Incident reports are retained at the facility.

C. Tool audits are retained at the facility [for two years] according to the retention schedule.

ACA STANDARDS: 4-4196, 4-4421, and 1-ABC-3A-21

REFERENCES: Minn. Stat. § 241.01, Subd. 3a(d)

REPLACES: Policy 301.040, "Tool Control," 8/5/14.
All facility policies, memos, or other communications whether verbal, written, or transmitted by electronic means regarding this topic.

ATTACHMENTS: Tool Receipt for New, Broken, To-Be-Repaired, or To-Be-Disposed Tools (301.040A)

APPROVALS:
Deputy Commissioner, Community Services
Deputy Commissioner, Facility Services
Assistant Commissioner, Operations Support
Assistant Commissioner, Criminal Justice Policy, Research, and Performance

Security Instructions (restricted access)
301.040LL, “Tool Control”