STATE OF NEW YORK DEPARTMENT OF CORRECTIONS AND COMMUNITY SUPERVISION **DIRECTIVE**	TITLE **Tool Control**		NO. 4930 DATE 07/21/2014
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REFERENCES (Include but are not limited to) Directives #2123, 4004, and 4910	APPROVING AUTHORITY		

I. POLICY: This directive governs the control and use of tools, vehicles and motorized equipment, eating utensils, condiments, spices, and yeast.

Comprehensive controls are necessary for the following reasons:

- To prevent the use of tools, vehicles, and motorized equipment in escape attempts.
- To prevent the use of tools as weapons.
- To prevent the use of tools, utensils, and spices to manufacture weapons or contraband.
- To improve the general appearance of the shop or construction area.
- To provide a tool in good repair for the job at hand.
- To reduce the overall cost of tools, through proper care and inventory.
- To teach proper work habits to inmates assigned to work areas.
- To provide for the accountability of tools.
- To provide a standard method for tool replacement.

II. RESPONSIBILITY

A. The Superintendent is responsible for developing and administering the facility tool control procedure and system of inspection to ensure compliance with this directive. This procedure will include the proper orientation and training for staff and inmates.

B. The Deputy Superintendents or appropriate staff members designated by the Superintendent will be accountable for the implementation of this procedure in their respective area of responsibility.

C. Proper tool and equipment control is the responsibility of all employees in correctional facilities.

III. TOOL CONTROL SUPERVISOR

A. The Superintendent shall designate a facility Tool Control Supervisor to coordinate this control system and to ensure its proper administration on an ongoing basis.

The Tool Control Supervisor shall be the equivalent of a Sergeant or higher. The Tool Control Supervisor shall be an employee who does not have custody of or is not responsible for, by reason of any other duty assignment, any tools or other items covered by this directive.

B. The responsibilities of the Tool Control Supervisor include:

1. Implement the facility tool control procedure, maintain perpetual inventory, and develop a system of inspection. This will include orientation and training for staff and inmates.
2. Conduct quarterly inspections and spot-check inventories in conjunction with the respective area supervisors. Report the results of these inspections and inventories by memo to the Deputy Superintendent for Security (DSS).
3. Ensure that a complete tool inventory is conducted annually, during the month of September.
4. Report to the Superintendent the results of the annual inventory along with a statement explaining overall facility compliance with this directive by November 1st.

IV. TOOL CLASSIFICATIONS: All tools, including medical and dental instruments, are to be classified under three general headings: Extremely Hazardous, Class "A," and Class "B." Extremely hazardous and Class "A" tools include those tools most likely to be used in an escape, used as weapons, or used as a means to manufacture weapons capable of causing death or serious injury.

A. The following tools are designated extremely hazardous tools:

Bolt-cutters
Electric Jack Hammers
Locksmith Tools
Powder Activated Tools (e.g., ram-set, Hilti, etc.)
*Pneumatic Nailers, Power Nailers
Rescue Saws (K12 type - gasoline or electric)
Torches - All Cutting

*Note: Pneumatic nailers and power nailers may only be purchased upon the approval of the Deputy Commissioner for Correctional Facilities and utilized and secured as extremely hazardous tools.

B. The following tools will be considered as Class "A" tools:

All Metal-cutting Blades, e.g., Bandsaw, Hacksaw, Keyhole, Sabre saw, Reciprocating saw, etc.
Bars longer than 36" (pry, wrecking, demolition)
Chains (towing)
Chisels (wood, metal, masonry, etc.)
Clamps (over 12")
Dividers & Upholstery Needles
Etching Tools
Files
Grinders/Belt & Disc Sanders
Hones and Sharpening Stock
Hydraulic Portable Tools (e.g., jacks, porta-power, etc.)
Knives & Removable Knife Blades (includes utility knives, razor blades, razor-type scrapers, etc.)
Ladders (4' or under may be designated Class "B")
Planes
Razors - Straight
*Respirator Masks
Ropes
Scissors & Shears
Scratch Awl
Security Screwdrivers, Security Screwdriver Bits
Woodworking Clamps (large)
Wood Carving Tools
Cutting Pliers (over 8")

**Allowable cd/dvds and discs as approved by the Deputy Superintendent for Programs.

***Digital x-ray cd/dvds excluded.

*This includes HEPA masks, all masks with an N-95 or N-99 rating, Avon C-50 protective masks, self-contained breathing apparatus, respirators, and filters. All respirator equipment and masks must be strictly inventoried, accounted for, and disposed of properly. This includes all types of disposable respirator masks.

**NOTE: A secure lockable cabinet will be provided in each area to secure discs. An inventory of the contents must be maintained and kept within the cabinet. A copy of the inventory will be forwarded to the Tool Control Supervisor.

***NOTE: Digital x-ray CD/DVDs are considered confidential medical records and must be stored and maintained accordingly.

C. Only the tools listed above will be considered extremely hazardous or Class "A" tools. Tools may not be added to this list except upon authorization of the Deputy Commissioner for Correctional Facilities. All other tools will be considered Class "B" tools. In the event that new tools are acquired, whose class may be in question, they will be submitted to the Tool Control Supervisor and DSS for evaluation and classification.

V. STORAGE OF TOOLS

A. Extremely Hazardous Tools and Metal-Cutting Blades

1. Tools that are determined to be extremely hazardous are to be stored in the arsenal unless approved in writing by the respective Assistant Commissioner. They will be drawn out as required, and are to be turned in at the end of the tour of duty. When drawn, they will be signed for by the receiving individual (Form #2089, "Tool Issue Receipt").

   NOTE: Rescue saws, K-12 type, must be stored outside the facility perimeter or in an area not accessible to inmates.

2. Tools which utilize blades, belts, disks, grinding wheels, etc. may be stored intact with one installed blade, belt, disk, grinding wheel, etc. All uninstalled or replacement blades, belts, disks, grinding wheels, etc. shall be stored in accordance with subsection 3 below. NOTE: Disposable, break-off, multiple-edge type box cutters are prohibited.

   NOTE: Since a significant portion of a bandsaw blade is not visible through visual inspection, they should be removed when not in use. If removal of a bandsaw blade is impractical, the shop supervisor must inspect the saw and blade for signs of tampering at the beginning and end of each workday, and record the inspection and observations in the shop or area log.

3. Individual shops shall not maintain an inventory of replacement blades, belts, disks, grinding wheels, etc. for metal working tools. Individual shops shall not maintain an inventory of belts and disks for wood-working tools. These replacement items must be stored in the arsenal or in a centralized separate location which is not accessible to inmates, has been designated by the Tool Control Supervisor and the DSS, and has been approved by the Superintendent.

   Whenever there is a need to replace a worn-out or broken metal working blade, belt, disk, and abrasive wheel, it must be turned in to the approved storage area and exchanged on a one-for-one basis. Prior to issuing a new blade, the individual in charge of the storage area must ensure that the entire blade is present, that the exchange is recorded in the inventory record, and that the worn-out or broken blade is disposed of outside the facility.

B. Power Tools: All stationary emery wheels, grinders, belt, and disk sanders will be locked or made inoperable when not in use. Covers should be placed over wheels and grinders that are not in use. Replacement belts, disks, grinding wheels, etc. shall be stored in accordance with Section V-A-3 above.

C. Storage in Work Area - General Procedures

1. The accountability for all tools at each work location is the responsibility of the employee in charge of the area and the Department Head.
2. The employee in charge of the area, the Department Head, and the Tool Control Supervisor shall have copies of the inventory record.
3. All tools, when not in use, will be kept in a locked room, secured within a heavy wire enclosure, or placed in an appropriate secured cabinet.
4. Shadow boards will be utilized by all areas in the storage of such tools that are adaptable to shadow boards. Only one tool shall be kept on each silhouette except as indicated in subsection 7 below.
5. Tools that are not adaptable to a shadow board will be kept in a locked cabinet or locked tool area, laid out separately so that they are visible. They shall not be mixed in with other supplies and materials.
6. In the event that a tool is permanently removed from the inventory, the corresponding shadow should be removed from the shadow board immediately.

7. Larger hand tools such as rakes, shovels, ice chippers, etc. may be stored on racks or hung on walls with silhouettes. More than one tool may be stored per silhouette provided that a system is in place to readily identify how many tools must be accounted for. Garden hoses, extension cords, and other similar items must be controlled to ensure that the proper tags indicating length are present and that they have not been tampered with.
8. A copy of the perpetual inventory record will be maintained and posted conspicuously on shadow boards, in cabinets, on tool boxes, and in crew vehicles using Form #2086, "Tool Inventory List." Computer generated inventories are acceptable and must contain identical information in a similar format as Form #2086. A printed version of the computer information shall also be acceptable and shall be posted in the same manner as Form #2086. Inmates shall not be allowed to change inventory records.

   Tool boxes and belts must have 2" x 3" laminated cards attached, listing tools to be kept in each tool box or belt.
9. In office areas, scissors, letter openers, etc. shall be stored in locked desks, cabinets, or other secure areas. Index cards shall be kept with these items in the storage locations and contain the same inventory information required by Form #2086.
10. Tools and supplies should be stored in separate lockers, cabinets, or containers.
11. A limited number of basic tools, appropriate for emergency repairs, may be kept in the arsenal or other secure location.
12. Cleaning equipment such as mops, mop buckets and wringers, brooms, scrub brushes, dust pans, etc. must be kept to a minimum, inventoried, and controlled. Any broken or worn out items must be disposed of as soon as practical, in a safe and secure manner.
13. Lockout/Tagout equipment control devices (e.g., locks and keys) shall be controlled as class "A" tools and accounted for on Form #2086 (see Directive #2123, "Lockout/Tagout – Control of Hazardous Energy").

VI. ISSUING OF TOOLS

A. Extremely hazardous and Class "A" tools are issued only by employees. When used by inmates, they must be under employee supervision at all times. This means that the employee who issues the tool(s), or some other supervising employee, must escort the inmate(s) with the tool(s) to the work site and remain in the vicinity where the tool is being utilized. For example, when an extremely hazardous or Class "A" tool is issued in a shop, the instructor must remain in the shop while the tool is being used.

B. Class "B" tools may be used under intermittent supervision, but must be accounted for and secured at the end of the work period. Additionally, an inmate will be permitted to carry Class "B" tools unescorted to the work site and used unsupervised. Under these circumstances, a record of use will be maintained using Form #2088, "Record of Tool Issue." A designated employee will check on the inmate from time to time, either by physically visiting the work area or arranging to have another employee in the area visit the work site.

C. Accountability for issued tools will be as follows:

1. When a tool is issued from a shadow board, a receipt will be visible on the shadow board (numbered metal tags). The inmate ID card may be picked up and held for the purpose of ensuring inmate accountability in relation to tool control when the inmate remains in the general area of his or her assignment and is not required to travel to other areas of the facility (e.g., call-outs).

2. When a tool is issued from a locked depository, the receiving employee or inmate will sign a receipt for that tool using Form #2089, "Tool Issue Receipt." The receipt will be placed in the depository until the tool is returned. A metal tag system may be used in lieu of Form #2089 provided that appropriate accountability is maintained.
3. When tools are issued from any area to a special project (e.g., a community crew job box, etc.) for extended periods, the security person in charge of that area or project will be responsible for a daily inventory. Additionally, such areas shall be inspected pursuant to Section III-B-2.

D. All ladders and scaffolding will be secured by chain and locked to a stationary object when not in use, or stored in a secure area. When ladders over four feet are being used by inmates, they will be under supervision of an employee. A ladder count by size and storage location shall be maintained by the person in charge of the work area. A copy is to be sent to the Tool Control Supervisor.

E. All contractors working inside the facility will maintain inventories of all tools and other equipment. A copy of the inventory will be forwarded to the DSS and the Tool Control Supervisor. Contractors must notify the area supervisor immediately if a tool is discovered missing. Vehicles and toolboxes shall be locked when contractors are not in the immediate area.

VII. TOOL INVENTORY RECORD

A. New Tools

1. All new tools received in the storeroom will be etched and placed on the facility inventory. Before issuing new tools or equipment to various departments, the storeroom will notify the Tool Control Supervisor, using Form #2087, "Tool Issue," memorandum.
2. The Tool Control Supervisor shall maintain a list of all tool acquisitions and disposals.

B. Tool Identification

1. The tools in each work location will be marked with an identification symbol, identifying the department or detail. This symbol shall be etched on each tool (if scissors or similar tools, each blade must be etched) so that it may be readily identified. Color coding or similar quick identification methods may only be used in addition to the etched marking on each item.
2. When tools are permanently transferred from one area to another, identification symbols will be changed. Any previous ID markings shall be removed.
3. Tools that cannot be marked without causing damage, such as micrometers, small drill bits, medical and dental instruments, shall be kept in locked storage when not in use. They will be checked at the beginning and end of each tour of duty by the employee in charge of that area, utilizing Form #2086, "Tool Inventory List." Form #2086A, "Dental Instrument Accountability Form," shall also be completed daily by dental staff to ensure accountability of dental instruments as verified at the beginning and end of each tour.

C. Lost Tools

1. When a tool is discovered missing (lost, misplaced, or stolen), the Area Supervisor and Watch Commander will be notified immediately. The Watch Commander will notify the DSS, all gate areas, the Tool Control Supervisor, and other Area Supervisors as soon as practical.
2. All inmates who may have had access to the tool will be held at the work location until a thorough search of the area and the inmates has been made.
3. A written report will be submitted to the DSS. The report, using Form #2090, "Lost/Missing Tool Report," will include details on the loss of any tool on the date the loss occurs.
4. The loss of any extremely hazardous or Class "A" tool shall be reported as an unusual incident pursuant to Directive #4004, "Unusual Incident Report."

D. Disposition of Tools

1. Broken or worn-out tools must be removed from service, turned in to the arsenal, and deleted from the inventory by using Form #2091, "Disposition of Broken Tool."
2. Tools determined to be in excess of the number required will be returned to secure storage pending re-issue or disposition.
3. Each department will routinely inventory and determine which tools are so seldom used that it would be in the best interest of the facility to remove them from the area. Caution should be used to maintain tool inventories at the most efficient operating level.

E. Inter-facility Transfer of Tools: In the event that tools are to be transferred from one Department facility to another, the Director of Support Operations is responsible for the notification of the facility Superintendents involved. The following procedures must be implemented:

1. Receiving facility
   a. The Tool Control Supervisor in the receiving facility will provide written instructions to the sending facility specifying the manner and method by which the tools are to be shipped. These instructions must ensure that the transferred tools are inventoried and controlled in accordance with this directive at the receiving facility.
   b. Upon approval, the Superintendent, or designee, at the receiving facility will sign these instructions, and forward them to the Superintendent of the sending facility.
   c. When the transfer has been completed, the Tool Control Supervisor at the receiving facility will verify that the instructions were followed and ensure that inventories are appropriately adjusted.
2. Sending facility
   a. The Superintendent, or designee, at the sending facility will sign these instructions, indicating approval, and forward them to the sending facility Tool Control Supervisor directing their implementation.
   b. The Tool Control Supervisor of the sending facility will ensure that the instructions are implemented and that the facility's tool inventories are appropriately adjusted.

VIII. CONTROL OF VEHICLES AND HEAVY EQUIPMENT

A. Vehicles and equipment that could be employed to affect an escape or to breach the perimeter controls of a facility will be stored in a secure area, outside the secure perimeter where practical. When heavy equipment must be left inside the facility, it will be disabled.

B. When facility vehicles are left unattended inside the facility, they shall be securely locked. Facility vehicle locks shall be kept in operating order. No facility vehicle will be left in any other area without proper authorization to do so. Any vehicle left inside which cannot be secured will be disabled.

1. All vehicles will be equipped with locking gas caps.
2. Any inmate operating facility vehicles should be under the oversight of an employee.

C. Only those vehicles deemed necessary shall be permitted inside the facility when not in use. The supervisor responsible for any vehicle(s) being left inside the facility shall submit a list to the Watch Commander identifying such vehicle(s) and including the reason(s) why it is necessary for the vehicle(s) to remain inside.

IX. CONTROL OF FOOD SERVICE EQUIPMENT

A. A secure metal knife and tool cabinet, equipped with a shadow board when appropriate and adequate locking device, will be conveniently located in the Food Service Department. Additionally, a secure, locked area/or locked box shall be designated for storage of equipment used exclusively for the Cold Alternative Diet Program. An additional cabinet will be authorized in facilities with separate meat preparation-butcher shop areas. All class "B" tools will be secured and distributed pursuant to Section VI-B and C. The following regulations apply equally to both areas:

1. All cutlery, utensils, and tools will be clearly marked with an identification symbol.
2. A complete inventory will be maintained as follows: one copy conspicuously posted in the knife cabinet; one copy with the Food Service Manager; one copy with the Tool Control Supervisor; and one copy for the DSS. Use Form #2086.
3. All items will be issued using numbered metal tags to designated inmates by an employee who will be responsible for proper accountability for each item.
4. All items will be accounted for by the supervising employee at the conclusion of his or her tour of duty and at the end of the work day. An appropriate log entry shall be made in the mess hall/kitchen log.

NOTE: All food service cutlery must have a stainless steel or coated steel cable, not more than 30 inches in length, secured to its handle; when in use, this cable must be affixed to a work station.

B. The Food Service Manager will survey and properly dispose of all broken or worn-out tools and arrange for replacement. Use Form #2091, "Disposition of Broken Tool."

C. When a knife or tool is lost or misplaced, the Food Service Manager, the Area Security Supervisor, and the Watch Commander will be notified immediately. All inmates who may have had access to the tool will be held in the area until a thorough search has been conducted. A written report covering the details of the loss of tool or knife will be made to the DSS prior to the end of the tour of duty. See Form #2090, "Lost/Missing Tool Report."

D. Strict control of flatware must be maintained to prevent these items from being employed as weapons or unauthorized tools. The following procedures will be followed in all facilities:

1. Each inmate will be provided with the necessary items of flatware appropriate for eating the food served. Good judgment will prevail in the selection of the appropriate utensil(s) for each meal.
2. The issue and return of flatware will be monitored by the employee responsible.
3. An adequate supply of flatware must be available for total service each meal in order to ensure proper controls.
4. The handling, washing, verification of count, and proper storage of flatware will be monitored by an employee following each meal.
5. A cabinet, locker, or closet with adequate locking device will be located in or adjacent to the dining area for storage of flatware.
6. All large table-mounted can openers shall have a lock installed at the base of the opener when being used or stored in place at the work station.

X. STORAGE AND CONTROL OF CONDIMENTS AND YEAST

A. A cabinet with an adequate locking device will be provided in the food preparation area for storage of condiments such as spices, flavoring, extracts, etc. These condiments are to be issued only by a designated employee in controlled amounts as required for food preparation.

B. A well-ventilated, metal box with adequate locking device will be provided in an appropriate area for storage of yeast. An inventory record will be kept in this box indicating date and quantity of issue, receipts, and balance on hand at the opening and closing of the food service; these entries are to be initialed by the designated employee. Yeast will only be handled by designated employees including withdrawal from the secured area, transportation to the food production site, and incorporation in the food products being prepared. Employees assigned to areas where yeast dough is prepared must be alert to prevent the removal of raw dough from the area.

XI. CONTROL OF NONHAZARDOUS MATERIALS AND SUPPLIES

A. All work locations where nonhazardous materials and supplies are stored shall have a procedure in place to ensure these items are properly monitored, controlled, and inmate access to these items is limited.

B. Proper frisking procedures shall be utilized to and from work locations. These frisking procedures will be in accordance with Directive #4910, "Control of & Search for Contraband."

C. Inmate access to and from assigned work locations should be limited to one means of egress to aid in frisking and control of inmate movement if possible.

D. Common materials such as nails, screws, tape, etc., shall be controlled in a reasonable manner, consistent with sound security practices.

E. Nonhazardous materials and supplies shall be periodically inspected to ensure that:

1. Accountability is maintained;
2. Sufficient, but not excessive, quantities are available; and
3. All supplies and materials are properly safeguarded.