



# 1403.00 Tool Control Policy

AUGUST 4, 2015



JUDICIAL COUNCIL  
OF CALIFORNIA

---

ADMINISTRATIVE DIVISION  
REAL ESTATE AND FACILITIES MANAGEMENT

# Judicial Council Tool Control Policy

## Revision Management

<b>Responsible Office:</b> OCCM/FMU/Operations	<b>File Location:</b> G:\OCCM\OCCM Process Manual
<b>Author:</b> Ken Kachold	<b>Approved by:</b> Gerald Pfab, FMU Senior Manager
<b>Process Owner:</b> Regional Manager	
<b>Review Cycle:</b> Annually	
<b>Pegasus Recommendation(s) or Procedure addressed:</b> N/A	

Revision	Description	Date	Revised by:
1.0	Initial Draft	10/01/2009	Sharon Mackarness
1.1	Addition to "Policy" section	10/26/2009	K. Kachold/F. Stetson
1.2	Update w/OREFM, Annual Review completed	08/16/2013	K. Kachold/S. Mackarness
1.3	Reviewed: no changes	08/04/2015	K. Kachold

# Table of Contents

**AOC TOOL CONTROL POLICY ..... 1**

**REVISION MANAGEMENT ..... 1**

**AOC TOOL CONTROL POLICY ..... 3**

**1.0 AUTHORITY ..... 3**

**2.0 SCOPE ..... 3**

**3.0 PURPOSE ..... 3**

**4.0 DEFINITIONS ..... 3**

**5.0 PROCESS STEPS ..... 4**

**6.0 PROCESS COMPLETION STEPS AND NEXT STEPS ..... 6**

**7.0 NON-FORMALIZED PROCESSES ..... 6**

**8.0 DECISION MAKING AUTHORITY ..... 6**

**9.0 DISPUTE RESOLUTION ..... 6**

**11.0 PROCESS PERFORMANCE METRICS ..... 6**

# AOC Tool Control

## Policy 1.0 Authority

The procedure supports the followings California law, administrative procedure, rule of court, or AOC policy:

**In-Custody Holding Areas:** It is the policy of the Facilities Management Unit to control all tools, supplies, materials, parts, and equipment necessary to complete Facilities Services work in In-Custody Holding areas. This control will be achieved through implementation of the procedures and documentation below and will be reinforced through periodic evaluation.

**All other areas:** This policy applies equally to all other areas in which Court or Court-related or supported functions are conducted. These areas include but are not limited to conference rooms, secured Court staff areas, parking lots, administrative areas, hallways, conveyances, restrooms, and building infrastructure control rooms. Control in these areas shall be achieved to the greatest extent possible through an emphasis on awareness, vigilance, and on-the-spot remediation of deficiencies in property control and accountability.

Acceptance of employment in the Court environment in general implies a thorough understanding of the physical security risks involved when tools, supplies, materials, parts, and equipment are not properly controlled. Facilities Management Unit staff and outsourced service providers at all levels are responsible to support this policy through education and direct action. Failure to apply the fundamentals of this policy through action or inaction can result in property damage, and/or personal injury to anyone in the Court environment and can lead to appropriate action, up to and including the suspension of granted access rights to state courts

## 2.0 Scope

The Facilities Management Unit is responsible for Facilities Services throughout In-Custody Holding areas. Successful provision of services requires technical personnel to access and operate in these areas and to bring all the tools, supplies, materials, parts, and equipment necessary to complete their work. Due to the unique nature of the environment, there is an extremely high risk that any of these items, if not properly controlled, will result in property damage, and/or personal injury to those who operate and occupy the areas, and to others who may in the course of normal operations, enter these areas.

## 3.0 Purpose

Eliminate risks of property damage, and/or personal injury to those who operate and occupy In-Custody Holding areas, and to others who may in the course of normal operations, enter these areas.

## 4.0 Definitions

TERM	DEFINITION
AOC	Administrative Office of the Courts
In-Custody Holding Areas	Areas where people who are “in-custody” by authorities are kept prior to and following their court appearance

## 5.0 Process Steps

This section contains the description of the process steps in this procedure.

### 5.1 Procedure:

There are three basic phases in the accomplishment of Facilities Services in In-Custody Holding areas.

- 5.1.1 Pre-entry: The basic activities in this phase include planning, scheduling, and coordination with In-Custody operational personnel, and assembly of tools, supplies, materials, parts, and equipment necessary to complete the work. This includes travel to the job site, arrival, and formal notification to In-Custody operational personnel that all preparations for work are completed. Establishment of positive control of tools, supplies, materials, parts, and equipment is accomplished.
- 5.1.2 In Place: This phase includes activities carried out while inside the controlled In-Custody Holding areas. There shall be no intermediate exit/re-entry.
- 5.1.3 Exit. In this phase, technicians have completed all work and are outside the controlled In-Custody Holding areas. Technicians inform In-Custody operational personnel of the job status, report any unusual circumstances, and complete necessary documentation to validate and record control of tools, supplies, materials, parts, and equipment.

### 5.2 Minimal Operational Requirements:

Proper control of tools, supplies, materials, parts, and equipment is achieved through inventory and documentation activities at each of the three phases as described above. Personnel must be vigilant to ensure:

- 5.2.1 Careful determination and inventory of what is needed in the Pre-entry phase.
- 5.2.2 Strict limitation on what is brought into the In-Place phase, to the minimum required property as shown on the Pre-Entry inventory.
- 5.2.3 Validating that the same property is removed during the Exit phase.
- 5.2.4 Accuracy and thoroughness in completing required documentation.

### 5.3 Documentation:

In order to record the actions required in the Minimal Operational Requirements, a simple localized form shall be developed and used at each occurrence of the procedure above.

- 5.3.1 The form shall allow for recording of the date, place, and time of the inventory of property in the Pre-entry Phase and shall have a place to record the signatures of both the technician, (or lead technician), and the In-Custody operational personnel.

- 5.3.2 The form shall allow for recording of the inventory of property in the Exit Phase and shall have a place to record the date, place, and time, and signatures of both the technician, (or lead technician), and the In-Custody operational personnel.
- 5.3.3 If, during the Exit phase, it is discovered that one or more items shown on the Pre-entry inventory are missing, Facilities Services personnel shall immediately report the condition to the In-Custody operational personnel, remain at the job site, and comply with all direction as provided by the In-Custody operational personnel to resolve the deficiency. Regardless of the results of the effort to reconcile “Pre-Entry property inventories” to “Exit property inventories”, Facilities Services personnel shall record the details of the event on the form.
- 5.3.4 Retain completed forms for at least 90 days at each site.

## **5.4 Compliance:**

Compliance with this policy is demonstrated with existence of written site specific guides, and existence and proper use of the required inventory forms.

## **5.5 Site Specific Requirements:**

Because there are a very wide range of physical layouts, sizes, assignment of In-Custody operational personnel, Facilities Services resources, and In-Custody operating schedules and procedures, local Facilities Services management shall establish written site specific guides and procedures, but at a minimum must include a form to record the date, place, and time of inventories and validation signatures as shown in the Documentation section above.

## **5.6 Site Specific Options:**

Decisions on whether or not to establish dedicated tool cribs, shadow boards, containers, property marking, lost/found property guidance or other control measures for tools, supplies, materials, parts, and equipment in support of general Facilities Services operations are local, and as such are outside the provisions of this policy. Such provisions shall not in any way take precedence over, or in any other manner interfere with, the requirements of this policy.

## **5.7 Exemption:**

The procedures and documentation in this policy is not required when Facilities Services personnel are sworn peace officers and also serve in the capacity of In-Custody operational personnel.

## **5.8 Periodic Evaluation:**

AOC personnel shall evaluate compliance with this policy upon random inspection of completed forms and also through random observation of the full cycle of the Pre-entry, In Place, and Exit phases of an occurrence.

## **6.0 Process Completion Steps and Next Steps**

The completion of work and a reconciled inventory of tools used during work.

## **7.0 Non-Formalized Processes**

None at this time

## **8.0 Decision Making Authority**

Follows the FMU organizational hierarchy

## **9.0 Dispute Resolution**

10.0 Follows the FMU organizational hierarchy

## **11.0 Process Performance Metrics**

What is critical to the internal/external customer of this process, and how do you know?

What critical measurements define the quality of this process?

- Tool reconciliation on completion of work
- Accurate record keeping