



# Ministry of JUSTICE

National Offender  
Management Service

National Security Framework RISK ASSESSMENT FUNCTION Management and Security of Tools and Equipment			Ref: NSF 9.2
This instruction applies to :-		Reference :-	
HMPPS Agency staff (Headquarters) Prisons		PSI 57/2011	
Re-issue Date	Effective Date	Expiry Date	
3 January 2023	1 October 2011		
Issued on the authority of	Operational Policy Sub-board		
For action by	All staff responsible for the development and publication of policy and instructions.  Deputy Directors of Custody, Governors/Directors of Contracted Prisons, Heads of Groups. In this document, the term Governor also applies to Directors of Contracted Prisons.		
For information	All staff in HMPPS HQ and prison establishments.  <b>January 2023</b> - Para 5.8 has been amended to align with the Searching Policy Framework.		
Contact	Security.Procedures@justice.gov.uk		
Associated documents	Related Service Specification Related Operating Models Related Direct Service Costs and Assumptions paper Related Cost Spreadsheets See: MOJ <a href="#">directory of service specifications</a>		
Audit/monitoring :			
Compliance with this instruction will be monitored by Audit and Corporate Assurance and through internal self-audit.			
Introduces amendments to the following documents: -			
National Security Framework Function 2 (Accounting and Control)			

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[MOJ directory of service specifications](#)

## 1. Executive summary

### Background

- 1.1 This instruction is one of a number of Prison Service Instructions (PSIs) which forms part of the Risk Assessment function of the National Security Framework. All Risk Assessment instructions can be accessed via the National Security Framework website. This PSI supports the Security Management specification.

### Desired Outcomes

- 1.2 Escapes and absconds are prevented.
- 1.3 Threats to the security, safety, order and control of the establishment are detected and deterred.
- 1.4 Crime is detected and deterred.
- 1.5 Tools are used, managed and stored safely and securely at all times.
- 1.6 Security measures are applied lawfully, safely, fairly, proportionately, and decently.

### Application

- 1.7 The NSF incorporates mandatory requirements derived from specifications relevant to its specific policy areas. This PSI incorporates mandatory requirements derived from the Security Management specifications, which are highlighted in the shaded boxes.

### Mandatory Action

- 1.8 *Governors and Directors of contracted prisons must ensure they have local security strategies in place which are in accordance with the instructions set out in this PSI.*

### Resource Impact

- 1.9 There may be some resource implications for establishments in updating local security strategies to ensure that they are in line with the requirements set out in this PSI.

### Contacts

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## OPERATIONAL INSTRUCTIONS

Text within shaded boxes indicates requirements from the “*Provision of a Secure Operating Environment – Security Management*” specification document.

### 2. MANAGEMENT OF TOOLS

All tools and equipment are risk assessed, stored, controlled, issued, recorded and disposed of securely.

#### Risk Assessment

2.1 *A risk assessment must be undertaken of all tools including those held by outside works departments (taking into consideration tool type, location, and who will have access/use of it) in order to determine which items must be marked. The risk assessment must take into account:*

- *The security category of the prison, age and profile of the population;*
- *The potential danger each tool, tool type / item of equipment would pose to the security of the prison if it were lost;*
- *The likelihood of the item being taken for unauthorised use (i.e. if it is a tool not issued or accessible to prisoners, or if it is used in an area to which prisoners may have access);*
- *Equipment (including cutlery or servery tools) located in staff rest areas/kitchens which are adjacent to either prisoner accommodation or prisoner recreational areas.*

#### Marking

2.2 *The Local Security Strategy must state clearly which tools and equipment will be marked or identified in a unique way with the relevant Prison Enterprise code, location code and individual tool number. The markings must be non-erasable. (See section 6 for guidance on the re-rolling and clustering of prisons). Tools that cannot be etched must be colour coded.*

2.3 *Emergency response kits and personally issued cut-down tools which may be issued to named individuals on a permanent basis must also be marked. An up to date list of these items must be maintained. Cut-down tools **MUST NOT** be taken beyond the boundaries of the establishment (or staff locker room if located beyond the gate) when staff are off duty.*

#### Storage

2.4 *Tools identified as posing a high risk to security which are in regular use must be kept either in a cupboard or a secure shadow board which is locked when the tools are not in use. Other tools deemed as posing a lesser risk may be stored in a cupboard that is locked when the tools are not in use. Small tools can be kept together as a kit (which is marked accordingly), which should be kept in a locked cupboard when it is not in use.*

#### Tools Record Keeping

2.5 *The LSS must include a system for recording the secure issue and receipt of tools and equipment to prisoners. The system must ensure that the whereabouts of all tools is known (i.e. area of the prison) and when and to which prisoners they have been issued. An example system can be seen in Prisoner Tool Issue System Annex B.*

- 2.6 *All tools / equipment must be accounted for at the end of each work / association / or activity session.*
- 2.7 *Tools and equipment used by healthcare staff / doctors / dentists or other visiting healthcare professionals must always be stored securely in a locked cabinet when not in use and a full inventory maintained and checked regularly. They must not be issued to, nor used by any prisoners.*
- 2.8 *Staff must not bring their own tools (including pen knives and scissors) into the prison without first gaining authority from prison management. See also [Management and Security of Gate Services \(PSI 14/2011\)](#) and – [“Conveyance and Possession of Prohibited Items and Other Related Offences” \(PSI 10/2012\)](#).*
- 2.9 *Any other tool or item of equipment that is brought into the prison must be listed and controlled so that it cannot be taken or misused by prisoners.*
- 2.10 *Staff must always be aware of the potential security threats from any large and / or moveable item(s) in use around the prison which can be placed near or against a perimeter wall or fence. These items must not be used by any unaccompanied prisoners. See Section 3 below for examples.*

Disposal of damaged or unwanted tools or equipment

- 2.11 *Prison management must ensure that damaged or unwanted tools, including items like hacksaw blades, are disposed of promptly and securely in accordance with the LSS, with a record to show the disposal point and the date of disposal.*

Management of a Tool Loss

- 2.12 *The establishment must have in place a written LSS instruction informing staff of the appropriate action that needs to be taken when a tool is reported as missing. All tool losses must be notified to the Single Incident Line at NOMS headquarters on 0208 147 4021 and reported on P-Nomis/Incident Reporting System.*

**3. MANAGEMENT AND SECURITY OF HIGH RISK ITEMS WHICH COULD ASSIST IN ESCAPE**

- 3.1 *The Local Security Strategy must set out a policy for storing and controlling high risk items which could assist an attempted escape. The following may pose a serious risk to security if not managed properly.*

Management of Skips

- 3.2 *All skips and their locations must be thoroughly risk assessed and the risk assessments reviewed regularly as set out within the LSS. Skips should only be placed in locations approved by the Security Manager and adequate security measures put in place to manage any risks identified. [Management and Security of Gate Services \(PSI 14/2011\)](#)*
- 3.3 *All skips must be in a good sound condition. Access points to the interior of the skip must be lockable using a padlock and chain, or any other method approved by the Security Manager to prevent un-authorized prisoner access.*
- 3.4 *Prisoners must not have access to the security keys for skips under any circumstances. Skips will always be opened and secured by the member of staff supervising the prisoner's access where authorised.*

- 3.5 *The LSS must set out the restrictions on prisoner movement in any area where a skip is being delivered or collected, or in the immediate vicinity of the skip lorry whilst it is moving within the prison - [Management and Security of Communication Rooms/Control Rooms and Internal Prisoner Movement \(PSI 13/2011\)](#).*
- 3.6 *A correct prisoner roll must be confirmed before Skips/skip lorries are permitted to leave the prison. All vehicles and their contents must be subject to a thorough search. [Searching Policy Framework](#)*
- 3.7 *The LSS should state the frequency of security checks for all skips within the prison to ensure that they are secure.*

#### Management of Climbing Aids (Ladders etc)

- 3.8 *All climbing aids (step ladders, extendable ladders, and scaffold towers/platforms) must be locked in a secure store when not in use.*
- 3.9 *Whilst climbing aids are in use they must be closely supervised closely by a member of staff who has a radio and has joined the net. [Management and Security of Communication Rooms/Control Rooms and Internal Prisoner Movement \(PSI 13/2011\)](#). In High Security Prisons the Control Room staff must be made aware of the work location prior to any climbing aid being used and kept informed of its location. Once work has been completed the Communications Room/Control Room must be informed of this and the climbing aid returned to secure storage.*
- 3.10 *If a step or extendable ladder is in intermittent use during the course of a job, it must be laid horizontal and locked securely to a fixed point within the immediate vicinity of the work site when it is not in use.*

#### Management of Scaffolding

- 3.11 *Scaffolding will only be erected following consultation between the Facilities Management Team (FMT) and the Security department after a full and comprehensive risk assessment of the work to be undertaken has taken place.*
- 3.12 *All scaffolding must be securely clad/sheeted to deter potential incidents at height or attempted escapes. The FMT should also advise on additional security measures such as alarms and temporary CCTV cover.*
- 3.13 *Scaffolding poles and planks must be securely stored when not in use.*

#### Management of Vehicles (Including Forklift Trucks, "Cherry Pickers", and other internal/mobile plant)

- 3.14 *Security Departments must risk assess all internal and external vehicles and plant (as set out within the LSS) to establish the level of risk they pose to security. This risk assessment must be undertaken before approval is given for its entry into the establishment. - [Management and Security of Gate Services \(PSI 14/2011\)](#).*
- 3.15 *Before any commencement of movement with a high risk vehicle/plant the Communications room/Control Room must be informed to which location it will be going to and its route. [Management and Security of Communication Rooms/Control Rooms and Internal Prisoner Movement \(PSI 13/2011\)](#).*
- 3.16 *On completion of any work which required the use of a high risk vehicle or plant, the vehicle must be immobilised and made secure in accordance with the LSS.*

### Other Equipment

- 3.17 *Use of the following equipment will need to be managed accordingly as below (this list is not exhaustive and all equipment must be risk assessed locally).*
- storage of cabling;
  - dustbins;
  - storage of bed frames;
  - storage of wooden pallets;
  - storage of metal cages; and,
  - use of sports equipment.
- 3.18 *Prison Management must ensure that their LSS specifies frequent checks of gym equipment, such as ropes and wall bars.*

## **4. CONTROL OF TOOLS**

### Works Tools and Equipment

- 4.1 *Proper control of tools and equipment used by works staff must be maintained. Tools must not normally be issued to prisoners, but in circumstances where prisoners do have legitimate access (such as prisoner's apprenticeships) a full risk assessment must be undertaken. A full and auditable inventory of all work's tools has to be maintained by a responsible manager at all times.*

### Contractors - Control of Tools and Equipment brought into the prison

- 4.2 *The Local Security Strategy must set out procedures for controlling tools that contractors use. These tools must not be issued to nor used by any prisoners. A full inventory must be maintained at all times.*

### Materials – Control of use

- 4.3 *The Local Security Strategy has to specify procedures to ensure that tools and materials routinely used by, or accessible to prisoners e.g. cleaning equipment, substances, solvents, adhesives, chemicals, petrol, or other products used in workshops, are stored securely and regularly checked in accordance with Control Of Substances Hazardous to Health (COSHH) regulations to ensure that they have not been misused or taken.*

## **5. STORES (INCLUDING GOODS AND PROPERTY)**

- 5.1 *Guidance on prisoner's stored property is given within [Prisoner's Property Policy Framework](#),*
- 5.2 *Governors/Directors must have procedures in place within their LSS to ensure that all staff working within the stores are sufficiently trained to search the accommodation, items within the stores, and the prisoners with legitimate access to the stores area. Staff must also be able to demonstrate that they are competent in the use of hand-held metal detectors. [Searching Policy Framework](#).*
- 5.3 *Prison management in the Directorate of High Security must additionally ensure that there are sufficient members of staff trained and competent in the use of X-ray equipment throughout the High Security estate.*

- 5.4 *There must be a strategy in place for searching all prisoners with access to the stores. This is to prevent prisoners coming into contact with incoming goods before they have been searched and to ensure outgoing goods remain sterile after they have been searched.*
- 5.5 *The Stores and its contents must be searched at unpredictable times. The searching policy must state the frequency of searches to be conducted in the Stores.*  
[Searching Policy Framework.](#)
- 5.6 *Staff working in Stores must:*
- *make thorough daily checks on all tools, items of equipment, or stored materials;*
  - *maintain a stores log/register;*
  - *be fully aware of everything held in stores and its exact location; and*
  - *take appropriate measures to prevent the compromise of security or good order of the prison and theft by prisoners.*
- 5.7 *The member of staff in charge of Stores must undertake a physical security check of all doors, windows and, where appropriate, machinery. This must be carried out simultaneously with the fire check.*
- 5.8 *The Duty Governor must check and sign the stores log at regular intervals, the frequency of these checks must be set out in the LSS and based on factors such as risk, establishment type and layout, and category of prisoners.*
- 5.9 *Local contingency plans must detail the action to be taken if any items are missing including notification to the single incident line 0207 147 4021.*

## **6. CLUSTERING AND RE-ROLLING OF PRISONS**

- 6.1 The LSS should be amended to set out how tools will be managed and marked where an establishment(s) is either clustered or re-rolled.
- 6.2 *Tools must not be disposed of simply because an establishment's enterprise code has been changed, especially if they are still fit for use. A view should be taken, where it is possible to colour code, erase and re-code items, if this represents best value for money.*
- 6.3 The Governor/Director should decide how the tools will be managed and marked during any transitional period and a management plan agreed with the DDC. As tools come up for replacement the new items should be marked with the new enterprise code accordingly.
- 6.4 Surplus tools or machinery in a usable condition should be offered for further use to other prisons before disposal is considered.

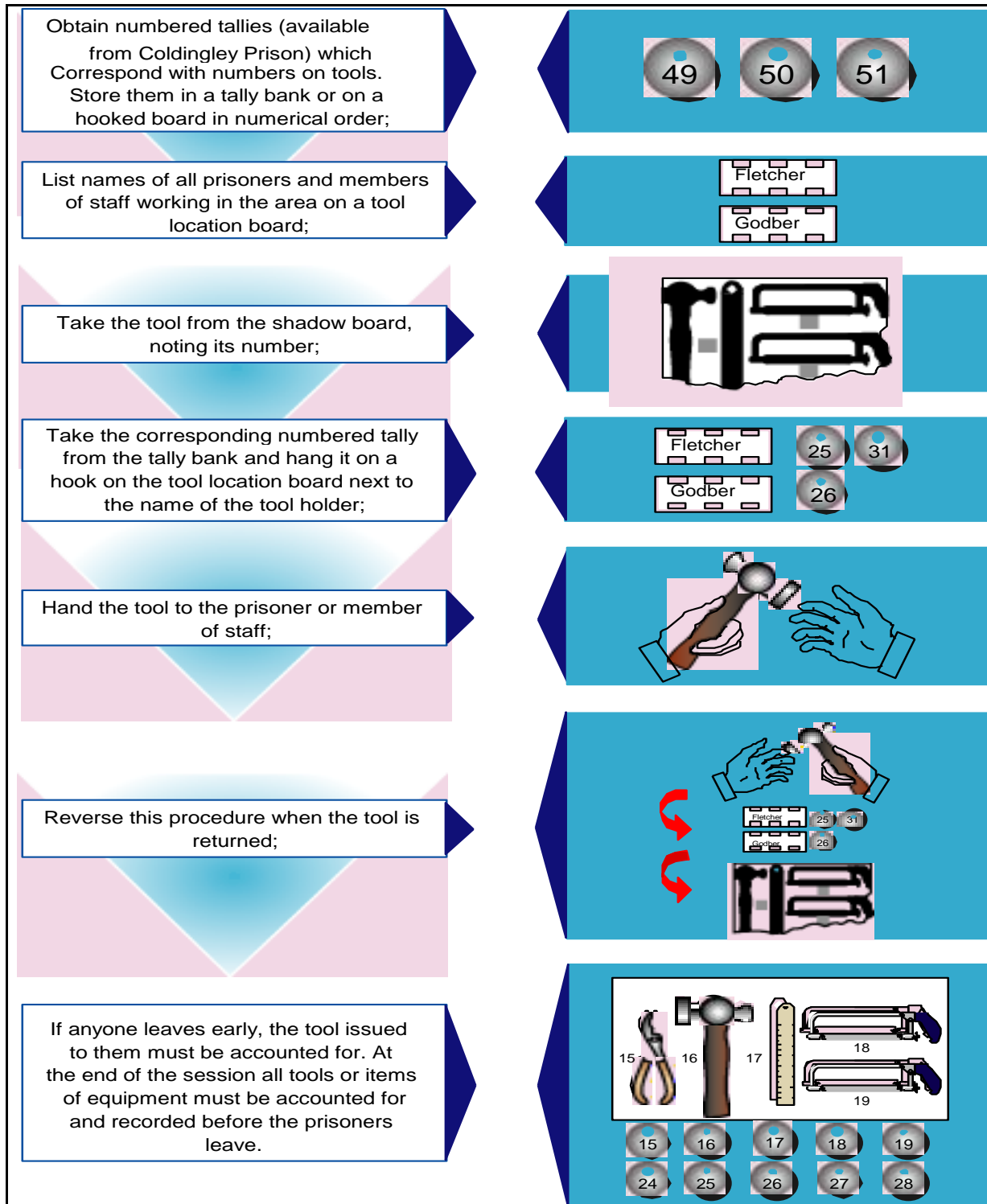


**ANNEX A****Tool/Equipment Risk Assessment Form**

Security category of prison?			
Description of item?			
Location of item?			
Will prisoners have access to the item?	YES	NO	
Is tool kept in areas accessible to prisoners?	YES	NO	
Will use of the item be <u>un-supervised</u> ?	YES	NO	
Would the item pose a threat to the security of the prison if it was lost or taken?	YES	NO	
Likelihood of tool being taken by a prisoner?	HIGH	LOW	
Can the item be used to aid escape – (consider issues such as length of electric cable attached if any)?	YES	NO	
Would the risk of aid to escape increase if the item were broken down into its component parts)?	YES	NO	
Can the item be easily used as a weapon?	YES	NO	
Can any of the component parts easily be used as a weapon (consider blades etc)?	YES	NO	
What other items could be used in conjunction to increase the risk (e.g. masonry bit used with electric power drill)?	Please state:		
Where will the item be used?	Please state:		
Would risk from loss of the item necessitate a full lock-down search?	YES	NO	
Use this space for any explanatory notes to justify decisions made.			
Do you consider the item to be:	<b>HIGH RISK</b> (Subject to full tool controls as per the NSF Tools hyperlink)		
	<b>LOW RISK</b> (Subject to lesser controls to be set out in Local Security Strategy)		
Name			
Date			

**ANNEX B**

**Tool, Equipment and Material Security - Issue Procedure**



# HQ policy

## *Equality Impact Assessment – Annex*

<b><i>Policy</i></b>	THE MANAGEMENT AND SECURITY OF TOOLS AND EQUIPMENT
<b>Policy lead</b>	Guy Woollven
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<b>Directorate</b>	National Operational Services Directorate.

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## What is an Equality Impact Assessment (EIA)?

An EIA is a systematic appraisal of the (actual or potential) effects of a function or policy on different groups of people. It is conducted to ensure compliance with public duties on equality issues (which in some areas go beyond a requirement to eliminate discrimination and encompass a duty to promote equality), but more importantly to ensure effective policy making that meets the needs of all groups.

Like all other public bodies, the National Offender Management Service is required by law to conduct impact assessments of all functions and policies that are considered relevant to the public duties and to publish the results.

**An Equality Impact Assessment must be completed when developing a new function, policy or practice, or when revising an existing one.**

*In this context a **function** is any activity of the Prison Service, a **policy** is any prescription about how such a function is carried out, for instance an order, instruction or manual, and a **practice** is the way in which something is done, including key decisions and common practice in areas not covered by formal policy.*

**If you are completing this document as part of the OPG process, you must complete and return it together with the final Business case for OPG approval and publication alongside the relevant PSI.**

## Your Equalities team

It is important that all policies are informed by the knowledge of the impact of equalities issues accumulated across the organisation. Early in the policy development process, and before commencing the EIA, please contact the relevant equalities team to discuss the issues arising in your policy area.

- HR issues – Staff Diversity and Equality Team – 020 7217 6090 or [frank.colyer@noms.qsi.gov.uk](mailto:frank.colyer@noms.qsi.gov.uk)
- Service delivery issues relating to gender and younger offenders – Women and Young People’s Group – 020 7217 5048 or [matthew.armer@noms.qsi.gov.uk](mailto:matthew.armer@noms.qsi.gov.uk)
- All other service delivery issues – Race and Equalities Action Group – 020 7217 2521 or [REAG@noms.qsi.gov.uk](mailto:REAG@noms.qsi.gov.uk)

## The EIA process

The EIA has been constructed as a two-stage process in order to reduce the amount of work involved where a policy proves not to be relevant to any of the equalities issues.

The initial screening tool should be completed in all cases, but duplication of material between it and the full EIA should be avoided. For instance, where relevance to an equalities issue is self-evident or quickly identified this can be briefly noted on the initial screening and detailed consideration of that issue reserved for the full EIA.

Further guidance on this will be given by the relevant equalities team.

### Stage 1 – initial screening

The first stage of conducting an EIA is to screen the policy to determine its relevance to the various equalities issues. This will indicate whether or not a full impact assessment is required and which issues should be considered in it. The equalities issues that you should consider in completing this screening are:

- Race
- Gender
- Gender identity
- Disability
- Religion or belief
- Sexual orientation
- Age (including younger and older offenders).

## Aims

### What are the aims of the policy?

To update and replace the current policy on the management of tools and equipment within Function 2 (Accounting and Control) of the National Security Framework (NSF) as part of a new dedicated “Risk Assessment” function. The PSI also supports the new “Risk Assessment” specification.

## Effects

### What effects will the policy have on staff, offenders or other stakeholders?

The new policy focuses on the importance of undertaking thorough security risk assessments of all tools and equipment, the environment in which they will be used, and who individually will have access to them. It focuses on control and management processes in order to prevent threats to the safety and security of the establishment.

## Evidence

### Is there any existing evidence of this policy area being relevant to any equalities issue?

*Identify existing sources of information about the operation and outcomes of the policy, such as operational feedback (including local monitoring and impact assessments)/Inspectorate and other relevant reports/complaints and litigation/relevant research publications etc. Does any of this evidence point towards relevance to any of the equalities issues?*

No. The policy is based upon a security risk assessment of the tool or equipment type and their management if prisoners are allowed supervised access to them. It should be implemented in line with local equalities procedures.

## Stakeholders and feedback

### Describe the target group for the policy and list any other interested parties. What contact have you had with these groups?

The following have been consulted on the draft of this PSI.  
 FM Security Locking, ACA, OSRR, The Chaplaincy, Service Delivery Group (women and young persons), HSPG, Security Group (other sections), NOMS Custodial property, OHSPS (health and safety), Employee Relations, NOG, DDC offices, PECS, POA, PGA, MOJTUS, MOJ Legal advisors, Offender Health, HMCIP, PPO, CPS, Private Sector prisons. SBC programme.

### Do you have any feedback from stakeholders, particularly from groups representative of the various issues, that this policy is relevant to them?

No. All feedback from those consulted has not identified any areas of concern.

## Impact

Could the policy have a differential impact on staff, prisoners, visitors or other stakeholders on the basis of any of the equalities issues?

No as it is implemented in line with local equalities policies and documentation.

## Local discretion

Does the policy allow local discretion in the way in which it is implemented? If so, what safeguards are there to prevent inconsistent outcomes and/or differential treatment of different groups of people?

Yes. Each prison is required to draw up a local policy which it will implement through their Local Security Strategy.

## Summary of relevance to equalities issues

Strand	Yes/No	Rationale
Race	NO	
Gender (including gender identity)	NO	
Disability	NO	
Religion or belief	NO	
Sexual orientation	NO	
Age (younger offenders)	NO	
Age (older offenders)	NO	

If you have answered 'Yes' to any of the equalities issues, a full impact assessment must be completed. Please proceed to STAGE 2 of the document.

If you have answered 'No' to all of the equalities issues, a full impact assessment will not be required, and this assessment can be signed off at this stage. You will, however, need to put in place monitoring arrangements to ensure that any future impact on any of the equalities issues is identified.

## Monitoring and review arrangements

Describe the systems that you are putting in place to manage the policy and to monitor its operation and outcomes in terms of the various equalities issues.

To be reviewed again upon the expiry of the PSI.

**State when a review will take place and how it will be conducted.**

As above with a full consultation with stakeholders.

	<b>Name and signature</b>	<b>Date</b>
<b>Policy lead</b>	Guy Woollven	
<b>Head of group</b>	George Houghton	