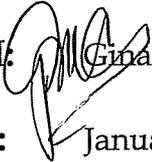


**Rhode Island Department of Corrections
POLICY UNIT**

TO: RIDOC Employees
VIA: Ellen Evans Alexander, Assistant Director, Administration
FROM:  Gina M. Caruolo, Chief/Program Development, Policy Unit
DATE:  January 20, 2012

SUBJECT: 9.40-4 DOC; Procedures for Contractors at Institutional Facilities; 01/30/12

The enclosed policy, 9.40-4 DOC, Procedures for Contractors at Institutional Facilities, effective 01/30/12, supercedes the current policy 9.40-3 DOC and contains the following change(s) (underscore = new text; ~~strikethrough~~ = deleted text):

The word "vendor" had been changed to "contractor" throughout this policy.

I. **PURPOSE:**

To delineate the rules, regulations and procedures that must be followed by all ~~vendors contracted through the Facilities and Maintenance Unit~~ (~~hereinafter referred to as "contractors"~~) contractors who provide services to the Rhode Island Department of Corrections (RIDOC) in its institutional facilities.

II. **POLICY:**

(Second sentence) Failure to adhere to these rules and regulations may result in a delay of payment or non-payment of invoices, suspension of the contractor's/~~vendor's rights~~ or contractor's representative authorization to provide continuing services, to and/or termination of the contract with RIDOC.

III. PROCEDURES:

A. Definition

For the purposes of this policy, a contractor is defined as any individual or organization, business or program provider other than employees of the RIDOC who have been contracted by the State (or sub-contracted to a contractor of the State) or who are otherwise compensated to provide goods or services to the RIDOC and who are required to enter secure areas of a correctional institution.

D. Scheduling of Work Hours

1. General - Contractor work hours are scheduled is either:

2. f. Sign-in/sign-out procedures:

Any contractor required to enter a RIDOC Facility which houses inmates must abide by facility sign-in/sign-out requirements.

E. Security of Tools, Equipment and Toxic/Caustic Materials

1. General Requirements

a. ~~All tools must be contained in locked toolboxes or containers.~~

b. ~~Attached to each tool box/container is a list of the entire inventory within the container.~~

c. ~~This inventory is inspected by a Correctional Officer at the beginning and end of each workday.~~

d. ~~Any lost or missing tools or inventory are reported immediately to the Shift Commander who, in turn, notifies the facility Warden, who notifies the Assistant Director of Institutions and Operations or designee. It is understood that the cost of the replacement of tools and materials is the responsibility of the contractor.~~

2. Rules Specific to Building Maintenance and Repair Contractors

- a. ~~Tools such as ladders, ropes, insulating material, and cutting tools are removed from the work area and locked up off site at the end of the workday.~~
- b. ~~Other building materials considered by the Warden or designee (such as the Security Specialists) to represent a security risk to the facility and which are moveable are stored outside the facility wall at the completion of each day.~~
- c. ~~The bulk of all construction material is stored outside the facility walls in areas assigned for that purpose. The contractor transports material into the facility as required.~~
- d. ~~All scrap, waste material, and debris are removed from within the facility walls at the completion of the workday.~~
- e. ~~Tubular staging, if used, remains within the walls if it is fully assembled and secure. No sections or parts of sections remain within the walls at the end of the workday. On buildings where there is an escape risk, the Warden or designee may require the top sections of the staging to be removed at the end of each workday.~~
- f. ~~The Warden or designee, through the Facilities and Maintenance Supervisor, requires prior notification for use of a power activated device on site and/or toxic/caustic chemicals and the proper ventilation of same. The number of chargers brought on site must be accounted for, and the location of the devices must be documented. If the device must be on site, the firing mechanism must be removed and stored separately in the facility's Main Control Center.~~

It is the responsibility of all contract managers to provide contractors with instructions regarding the security of tools, equipment and toxic/caustic materials.

F. Conduct of Contractor and Contractor's Employees

1. The contractor shall communicate all necessary policies, rules, and regulations to his/her employees and subcontractors.
2. Contractors shall not have any illegal drugs, legally prescribed medical marijuana or alcohol on their persons.
4. ~~Contractors must notify the facility's Shift Commander when they are in possession of prescription medication. A contractor who works in a secure area or in proximity to the inmate population and has in his/her possession prescription medication must take steps to assure that these substances are stored in such a way that they are not accessible to the inmate population.~~

NOTE: The Rhode Island Medical Marijuana Act at RIGL § 21-28.6-7 specifically states that it does not permit:

- (a) "any person to undertake any task under the influence of marijuana, when doing so would constitute negligence or professional malpractice."
- (b) the smoking of marijuana "in a correctional facility; or public place."
8. (Second sentence) When an inmate has initiated inappropriate contact with any contractor, such contact shall be immediately reported to the Correctional Officer in charge.
11. (Second paragraph) All contractors are required to follow the procedures set forth in section III.A of RIDOC policy 9.18-4 DOC, Introduction of Unauthorized Items into the Adult Correctional Institutions, or a successive policy. Any special circumstances which require an exception from these procedures must be approved by the facility Warden or designee. Contract managers shall facilitate these exceptions.
13. Upon entry into a RIDOC facility, all persons other than uniformed facility staff are required to produce proper identification (picture I.D.) and surrender it to the Main Control Center or Vehicle Trap Officer.

H. Contractor Emergency Service (Facility Maintenance/Repair/
Construction Only)

3. The contractor is given location and description of work to be performed, and is issued a temporary work order number by the Maintenance Superintendents. Facilities and Maintenance must give notice to the Shift Commander of who the contractor is sending, when s/he will arrive and for what purpose.

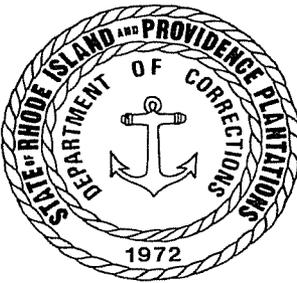
Persons responsible for implementing the provisions of this policy are also responsible for ensuring adequate supplies of attachments are available for use by staff.

Unless otherwise specified, unit/program/facility managers are responsible for ensuring subordinate staff is adequately trained in the contents of this policy.

This policy IS approved for inmate/public access.

CAO
Enclosure

RHODE ISLAND DEPARTMENT OF CORRECTIONS POLICY AND PROCEDURE

	POLICY NUMBER: 9.40-4 DOC	EFFECTIVE DATE: 01/30/12	PAGE 1 OF 8
	SUPERCEDES: 9.40-3 DOC	DIRECTOR: 	
SECTION: SECURITY AND CONTROL		SUBJECT: PROCEDURES FOR CONTRACTORS AT INSTITUTIONAL FACILITIES	
AUTHORITY: Rhode Island General Laws (RIGL) § 42-56-10(22), Powers of the director			
REFERENCES: RIDOC policy #'s 3.14-2 DOC, Code of Ethics; 4.03-2 DOC, Orientation and Entrance-Level Training for Non-Correctional Officer Employees; 7.01-1 DOC, Accountability and Procedures for the Utilization of Community Agencies, Volunteers, Interns, and/or Employees of Outside Public and Private Organizations; 9.18-4 DOC, Introduction of Unauthorized Items Into the Adult Correctional Institutions; 9.23-2 DOC, Access to ACI Facilities by Staff and Persons Providing Services to RIDOC; 9.24-1 DOC, Entry/Exit to Secure Facilities; 10.35-1 DOC, Maintenance On-Call Procedures			
INMATE ACCESS THROUGH LAW LIBRARY?		<input checked="" type="checkbox"/> YES	
SPANISH TRANSLATION?		<input checked="" type="checkbox"/> NO	

I. **PURPOSE:**

To delineate the rules, regulations and procedures that must be followed by all contractors who provide services to the Rhode Island Department of Corrections (RIDOC) in its institutional facilities.

II. **POLICY:**

It is imperative that all contractors providing services in RIDOC's institutional facilities fully understand and adhere to the rules, regulations and procedures as directed by the Department, to include the Department's Code of Ethics and Conduct (policy 3.14-2 DOC, or a successive policy). Failure to adhere to these rules and regulations may result in a delay of payment or non-payment of invoices, suspension of the contractor's

or contractor's representative authorization to provide continuing services, and/or termination of the contract with RIDOC.

Departmental contract managers are responsible for the dissemination of this policy to all appropriate contractors and to ensure that contractors fully understand these rules and regulations. Contractors are, in turn, responsible for disseminating this policy to appropriate employees and subcontractors.

III. PROCEDURES:

A. Definition

For the purposes of this policy, a contractor is defined as any individual, organization, business, or program provider other than RIDOC employees who have been contracted by the State (or sub-contracted to a contractor of the State), or who are otherwise compensated to provide goods or services to RIDOC and who are required to enter secure areas of a correctional institution.

B. Orientation Program

1. If a contractor is to provide services which bring its workers into regular contact with inmates, such contractor or contractor's employees may be required to participate in an orientation program conducted by RIDOC's Training Academy in consultation with the appropriate administrator.
2. RIDOC contract managers should consult with the Assistant Director of Institutions and Operations or designee if there is a question as to the appropriateness of this training for a contractor or employees of the contractor.
3. If an orientation is needed, it is the responsibility of the contract manager to arrange a session with the Training Academy.
4. A schedule of training can be obtained from the Training Academy.

C. ID Requirement

1. Contractors who are required to perform services within institutional facilities must obtain security clearances consistent with policy 9.23-2 DOC, Access to ACI Facilities by Staff and Persons Providing Services to RIDOC, or a successive policy.

2. A Photo Identification Card/Access to Facilities Application Form is submitted to the contract manager, who, in turn, processes the application with RIDOC's Identification Unit. (See policy # 9.23-2 DOC, Access to ACI Facilities by Staff and Persons Providing Services to RIDOC, or a successive policy, for application form.)
3. Upon completion of service and/or expiration of contract, or upon the expiration date of the badge, identification badges must be returned to the contract manager. The contract manager then notifies the Assistant Director of Institutions and Operations or designee so that the contractor's employees' information maintained in applicable RIDOC databases may be updated.

For those contractors who are not issued ID badges, the contract manager, upon completion of service and/or expiration of contract, notifies the Assistant Director of Institutions and Operations or designee so that the contractor's employees' information maintained in applicable RIDOC databases may be updated.

D. Work Hours

1. General - Contractor work hours are scheduled either:
 - a. In accordance with the provisions set forth in the contract; or
 - b. As scheduled by the contract manager prior to the commencement of work.
 - c. No work is performed on Saturdays, Sundays, or holidays, unless authorized by the contract manager.
2. Facilities and Maintenance - Staff calls/faxes a request for service repairs.
 - a. Contractor calls the Facilities and Maintenance Office to schedule service repairs and establish work day and time. Every effort is made to schedule service calls between the hours of 7:30 a.m. and 3:00 p.m.
 - b. Contractor employees report to the Facilities and Maintenance Office to sign-in the appropriate logbook and contact the facility in need of service.

NOTE: Regardless of pre-scheduling, the Warden, Deputy Warden, or Shift Commander of the facility may, at any time, prohibit entry into a facility when deemed necessary for security purposes. **The Shift Commander MUST contact the facility administrator before making this decision.**

- c. Contractor reports to the facility and makes the necessary repairs. Contractor has the work order slip signed by a RIDOC staff member (e.g., maintenance personnel, steward, fire safety technician, or correctional officer escorting the contractor).
- d. Contractor leaves the facility and reports back to the Facilities and Maintenance Office to sign-out of logbook, relay any necessary information, and present signed service slip.

NOTE: All invoices noting hours worked must coincide with the sign-in/out hours in the aforementioned log book.

- e. If it is necessary for service calls to be extended beyond 4:00 p.m., contractor staff call the Facilities and Maintenance Office from within the facility where service is being performed and leave a voice mail message including departing day, date, time, facility location and extension from which s/he is calling.
- f. Sign-in/sign-out procedures:

Any contractor required to enter a RIDOC facility which houses inmates must abide by facility sign-in and sign-out requirements.

E. Security of Tools, Equipment and Toxic/Caustic Materials

It is the responsibility of all contract managers to provide contractors with instructions regarding the security of tools, equipment and toxic/caustic materials.

F. Conduct of Contractor and Contractor's Employees

- 1. The contractor shall communicate all necessary policies, rules, and regulations to his/her employees and subcontractors.
- 2. Contractors shall not have any illegal drugs, legally prescribed medical marijuana or alcohol on their persons.

3. Unopened and sealed containers of alcohol are permitted in vehicles only, consistent with 3.14-2 DOC, Code of Ethics, or a successive policy.
4. A contractor who works in a secure area or in proximity to the inmate population and has in his/her possession prescription medication must take steps to assure that these substances are stored in such a way that they are not accessible to the inmate population.

NOTE: The Rhode Island Medical Marijuana Act at RIGL § 21-28.6-7 specifically states that it does **not** permit:

- (a) "any person to undertake any task under the influence of marijuana, when doing so would constitute negligence or professional malpractice."
 - (b) the smoking of marijuana "in a correctional facility; or public place."
5. Contractors are not allowed admittance into any facility if it is known that they have consumed alcoholic beverages while outside the correctional property during the workday.
 6. Contractors shall not have weapons of any sort on their persons or in their vehicles.
 7. Contractors must park in designated parking areas and must lock all vehicles.
 8. Contractors shall have no contact with inmates, except where such contact is a provision of the contract. When an inmate has initiated inappropriate contact with any contractor, such contact shall be immediately reported to the Correctional Officer in charge.
 9. Vehicles and personal property of the contractors are subject to search when deemed necessary for security purposes.
 10. No contractor convicted of a felony is allowed to work in the facilities without the express permission of RIDOC's Director, Assistant Director of Institutions and Operations or designees following consultation with the facility's Warden or Deputy Warden.

11. Contractors shall not bring into the facilities any items not required for the execution of their respective responsibilities and not approved by the contract manager.

All contractors are required to follow the procedures set forth in section III.A. of RIDOC policy 9.18-4 DOC, Introduction of Unauthorized Items into the Adult Correctional Institutions, or a successive policy. Any special circumstances which require an exception from these procedures must be approved by the facility Warden or designee. Contract managers shall facilitate these exceptions.

It is the responsibility of the contract manager to distribute a copy of policy 9.18-4 DOC, Introduction of Unauthorized Items into the Adult Correctional Institutions, or a successive policy, to all contractors.

12. Contractors are permitted to perform only the work authorized by the contract manager or his/her express designee. They may not accept direction as to the scope of work, the nature of the work, or changes to the work from any other person.
13. Upon entry into a RIDOC facility, all persons other than uniformed facility staff are required to produce proper identification (picture I.D.) and surrender it to the Main Control Center or Vehicle Trap Officer. The Main Control Center or Vehicle Trap Officer issues a facility I.D. badge and retains the person's personal I.D. The process reverses when exiting the facility. Persons not possessing proper identification are denied admittance/access.

G. Contractor Request Form (Facility Maintenance/Repair/Construction Only)

1. For normal work needs, a contractor job request form (Attachment 1) is forwarded to the contractor via fax by the Facilities and Maintenance Office (Note: The fax may be preceded by a telephone call to the contractor).
 - a. The request describes work to be performed, location, equipment identification, and RIDOC JOB # (number).
 - b. The contractor provides only those services described on the contractor request form.

c. The RIDOC JOB # listed on this form must be cited on all invoices.

2. Prior to the performance of any work, the contractor contacts the Facilities and Maintenance Office, where arrangements are made with the facility and the contractor is given further instructions.

NOTE: ADMITTANCE INTO THE FACILITY IS NOT ALLOWED UNLESS THE RIDOC FACILITIES AND MAINTENANCE UNIT IS FIRST CONTACTED.

H. Contractor Emergency Service (Facility Maintenance/Repair/Construction Only)

1. The contractor must provide a 24-hour service number.
2. The contractor is contacted by telephone outside of normal work hours. Emergency service is authorized by designated RIDOC Facilities and Maintenance Unit superintendents or their designees.
3. The contractor is given the location and description of work to be performed, and is issued a temporary work order number by the Maintenance Superintendents. Facilities and Maintenance must give notice to the Shift Commander of who the contractor is sending, when s/he will arrive and for what purpose.
4. The contractor reports to the Main Control Center of the facility where work is to be performed. Upon arrival, appropriate facility staff performs applicable background checks.
5. Prior to starting work, contractor employees must call the Facilities and Maintenance Office from within the facility and leave a voice mail message stating the day, date, time, facility location and extension from which s/he is calling.
6. As required, a Correctional Officer is assigned to log tool inventory and to provide escort.
7. The contractor performs only work which is described by the Facilities and Maintenance Superintendent or designee.

8. Upon completion of work, the contractor obtains signature of a RIDOC staff member who escorted him/her or the Shift Commander on said contractor's work order. Contractor then calls the Facilities and Maintenance Office and leaves a voice mail message stating time of completion as well as facility and extension from which s/he is calling.
9. On the first working day following emergency call in, Facilities and Maintenance Office staff faxes a follow-up work order/contractor job request to the contractor. The DOC JOB# listed on this form must be cited on all invoices.

**RHODE ISLAND DEPARTMENT OF CORRECTIONS
FACILITIES & MAINTENANCE UNIT
CONTRACTOR JOB REQUEST
TELEPHONE 401-462-3066 FAX 401-462-1465 DOC JOB# _____**

DATE: _____ **SECURITY:** _____ **REQUESTED BY:** _____
TIME: _____ **AM/PM** _____ **PHONE#:** _____

EQUIPMENT LOCATION: _____

EQUIP. DESCRIPTION: _____ **MAKE** _____ **MODEL** _____ **SERIAL #** _____

DESCRIPTION OF PROBLEM:

CONTRACTOR: _____ **PHONE#** _____ **FAX#** _____

BLANKET P.O. # _____ **AMOUNT BILLED:** _____
MPA# _____

COMMENTS:

NOTE: Contractors will not be allowed access into the facilities without proper notification through the Facilities & Maintenance Office. In most cases work is to be scheduled at least one day prior to work order.

All Contractor work order slips and invoices are to indicate above D.O.C. Job number. Omitting this number could cause a delay in the processing of payment:

Work Order Authorized By: _____