

 <p>State of Connecticut Department of Correction</p> <p>ADMINISTRATIVE DIRECTIVE</p>	Directive Number 3.14	Effective Date 10/17/14	Page 1 of 4
	Supersedes Warehouse dated 10/31/2007		
Approved By  Interim Commissioner Scott Semple	Title Warehouse		

1. **Policy.** The Department of Correction Fiscal Services Unit shall operate warehouses which shall supply duty specific supplies, materials, inmate clothing and staff uniforms. Each warehouse shall maintain standardized, accurate and complete perpetual inventory records for the acquisition and disbursement of all consumable supplies in order to account for and safeguard state property.

2. **Authority and Reference.**
 - A. Connecticut General Statutes, Sections 4-33a, 4-36 and 18-81.
 - B. State of Connecticut, Office of the State Comptroller, State Accounting Manual.
 - C. State of Connecticut, Office of the State Comptroller, Property Control Manual.
 - D. State of Connecticut, Department of Correction, Fiscal Emergency Procedures Manual.
 - E. American Correctional Association, Standards for Administration of Correctional Agencies, Second Edition, April 1993, Standard 2-CO-1B-08.
 - F. American Correctional Association, Standards for Adult Correctional Institutions, Fourth Edition, January 2003, Standard 4-4037.
 - G. American Correctional Association, Performance-Based Standards for Adult Local Detention Facilities, Fourth Edition, June 2004, Standard 4-ALDF-7D-15.
 - H. American Correctional Association, Standards for Correctional Training Academies, First Edition, May 1993, Standard 1-CTA-1B-08.
 - I. Administrative Directives 2.13, Employee Uniform, Personal Appearance and Identification; 3.4, Inventory Control; 4.7, Records Retention; 6.6, Reporting of Incidents; 6.7, Searches Conducted in Correctional Facilities; 6.10, Inmate Property; and 7.1, Key and Tool Control.

3. **Definitions.** For the purposes stated herein, the following definitions apply:
 - A. **Cycle Count.** The physical counting of a predetermined amount of items within a warehouse and matching of the counted items to the computerized perpetual inventory.
 - B. **Emergency Order.** A request for supplies or materials deemed critical by the Unit Administrator in order to continue normal operations within a facility.
 - C. **Perpetual Inventory.** A continuous accounting of products, supplies, materials and equipment stored within the warehouse, to include product receipt and disbursement activity.
 - D. **Standard Warehouse Product List.** The list of supplies and materials that have been approved for distribution by a warehouse.

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- E. Substantial Inventory Discrepancy. Any loss or overage of an individual item with a value greater than \$100 or a group of items with a value greater than \$1,000.
- F. Warehouse. A building or a section within a building, operated by the Fiscal Services Unit for general service to the Department, in which merchandise is received, stored and shipped for usage throughout the Department.
- G. Warehouse Order Form. A checklist of products authorized for purchase by a correctional unit.

4. General Principles.

- A. All duty specific supplies, materials, inmate clothing, and staff uniforms shall be maintained and recorded properly.
- B. All inventory records shall be complete for acquisition, disbursement, and disposal of all consumable supplies to ensure accountability and to safeguard the state's investments.

5. Warehouse Operations. The Warehouse Operations Manager, under the authority of the Director of Fiscal Services shall:

- A. distribute and update, as necessary, the Standard Warehouse Product List;
- B. monitor inventory control and required fiscal procedures;
- C. ensure compliance with the Standard Warehouse Product List; and,
- D. ensure system compliance with this Directive.

The Unit Administrator shall ensure appropriate security and logistical support for local warehouses. Each Correctional Stores Manager, with the knowledge and support of the Unit Administrator or designee, shall establish a weekly delivery schedule for each unit serviced by the warehouse and procedures for those units to reorder supplies and materials. The ordering of supplies and materials shall be initiated through the use of an approved Warehouse Order Form.

At times of facility lockdown or other facility emergency, warehouse operations may be modified in consultation with the Unit Administrator.

6. Security. The warehouse area shall be secured at all times. Access shall be limited to warehouse staff assigned to receive, stock, and assemble orders, persons within the fiscal chain of command, Unit Administrators or higher authority, and assigned inmates under direct supervision of warehouse staff.

Warehouse keys shall be designated as "Restricted Keys" in accordance with Administrative Directive 7.1, Key and Tool Control.

7. Warehouse Safety and Cleanliness. The warehouse area shall be maintained in a clean and organized manner. All warehouse staff shall be responsible for maintaining a clean and safe work environment.

8. Inmate Workers. Inmate workers shall only be utilized to stock shelves, fill and verify orders, load and unload trucks, maintain sanitation, move furnishings and perform required maintenance under the direct supervision of warehouse staff.

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The warehouse staff shall be responsible for verifying receipts and disbursements of supplies and materials.

Inmate workers shall not be left unattended in the warehouse and shall not be allowed access to any unit's financial data or warehouse inventory records. Inmates shall be pat searched by warehouse staff in accordance with Administrative Directive 6.7, Searches Conducted in Correctional Facilities, prior to exiting the secured warehouse area.

9. Warehouse Order Form. The Correctional Stores Manager shall supply a Warehouse Order Form to each facility. The Unit Supply Officer shall sign and date the Warehouse Order Form prior to submitting the form. If further facility authorization is required, the Unit Supply Officer shall ensure compliance prior to forwarding to the warehouse. Items may only be added to, or deleted from, the Warehouse Order Form with the authorization of the Warehouse Operations Manager.
10. Disbursements. Warehouse disbursements shall be made through the use of the Warehouse Order Form only. Emergency orders shall be filled only when requested, in writing, by the Unit Administrator or higher authority.
11. Inventory Control. Each warehouse shall maintain an active and accurate inventory of each item listed on the Warehouse Order Form. Inventory shall be in sufficient quantities to meet routine warehouse orders. A complete physical inventory of the warehouse stores is to be performed annually with cycle counts being performed each month.

All supplies and materials shall be safeguarded and accounted for upon receipt and through delivery. All stock supplies and materials received from a vendor shall be inspected, counted and signed for.

No damaged goods shall be accepted from the vendor and shortages shall be noted on the invoice and reported to the vendor. Receiving documents shall be marked to note any discrepancies and signed by the deliverer and receiver. Receiving documents, invoices, bills of lading, packing lists and other related documents shall be forwarded to the Fiscal Services Unit, Accounts Payable Section within one (1) business day.

12. Inventory Loss. When the physical inventory of the warehouse reflects a substantial inventory loss, the Correctional Stores Manager shall complete Attachment A, CO-853, Report of Loss or Damage to Real and Personal Property and CN 6601, Incident Report in accordance with Administrative Directive 6.6, Reporting of Incidents. Copies of all incident reports shall be forwarded to the Warehouse Operations Manager, through the chain of command to the Director of Fiscal Services, with a copy forwarded to the Unit Administrator.
13. Warehouse Return Policy. All supplies or materials accepted for return from a unit shall meet the following criteria:
 - A. the supplies or materials were delivered in error;
 - B. the supplies or materials were damaged and noted as such upon receipt;
 - C. the unit has refused the entire delivery; or,
 - D. delivery of an item that poses a significant security risk.

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Credits and/or exchanges shall not be granted after a unit has reviewed and signed for receipt of supplies and materials.

14. Delivery Discrepancies. Staff receiving deliveries shall note any discrepancies. Such discrepancies shall be reported to the Correctional Stores Manager. If after reviewing the situation and corresponding documents, the claim of a discrepancy is supported, the Correctional Stores Manager shall make any necessary adjustments.
15. Pricing. All supplies and materials distributed by the warehouse shall be priced at product cost. Product cost shall be determined by the cost charged to the warehouse by the contracted vendor. The Fiscal Services Unit, Purchasing Section shall supply up-to-date contract and pricing information to the Correctional Stores Manager, who shall be responsible for comparing updated cost information to current system cost information and updating as needed.
16. Inmate Clothing Items. All inmate clothing items distributed by the warehouse shall comply with the specifications and allotments as outlined in Administrative Directive 6.10, Inmate Property.
17. Employee Uniform Items. All employee uniform items distributed by the warehouse shall comply with the specifications and allotments as outlined in Administrative Directive 2.13, Employee Uniform, Personal Appearance and Identification. The Fiscal Services Unit shall maintain a record of all employee uniforms issued.
18. Reports and Records Retention. At the end of each month, the Correctional Stores Manager, at a minimum, shall submit to the Warehouse Operations Manager such reports as are required by the Director of Fiscal Services. Cycle counts and inventories with significant discrepancies shall be forwarded to the Warehouse Operations Manager in accordance with Section 12 of this Directive and Administrative Directive 3.4, Inventory Control. Copies of such reports shall be maintained on file within the warehouse in accordance with Administrative Directive 4.7, Records Retention.

The warehouse shall submit an inventory to the Fiscal Services Unit, Inventory Section by July 1 for the previous fiscal year for inclusion in the Department's annual inventory report.
19. Forms and Attachments. The following attachment is applicable to this Administrative Directive and shall be utilized for the intended function:
 - A. Attachment A, CO-853, Report of Loss or Damage to Real and Personal Property.
20. Exceptions. Any exceptions to the procedures in this Administrative Directive shall require prior written approval from the Commissioner.