

Common Business Functions for Correctional Management Systems



IJIS Institute



Volume 1 – Executive Summary and Supportive Information

*Co-Authored by the IJIS Institute and the
Corrections Technology Association (CTA)*

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1. EXECUTIVE SUMMARY

1.1 Purpose and Intended Use of the Document

The purpose of the “Common Business Functions for Correctional Management Systems” publication is to aid state and local correctional agencies in assessing, upgrading and/or replacing their offender management system (OMS). The document is comprised of two Volumes. Volume 1 presents an Executive Summary and an overview of the seventeen primary business functions that an OMS must support. Volume 2 drills into each of the seventeen “core” business functions, defining specific process flows associated with each business function. By categorizing and describing the primary business functions that offender management systems must support, this document helps agencies identify and close gaps in their existing OMS, with the goal of helping to optimize correctional agencies’ use of technology. For agencies seeking to procure an OMS, this document provides a potential blueprint of the functional requirements to be met by the new system, thereby accelerating creation of the RFP and reducing risk that business processes are overlooked in the RFP. Likewise, for agencies and vendors involved in developing and supporting an OMS solution, this document serves as a functional “checklist” and provides input into the system design specification. Moreover, by defining business functions in precise terms, the document promotes standardized terminology to help IT professionals communicate with “business” staff, enabling IT staff to better serve the business needs of corrections agencies.

The intended audience for this document is anyone involved in procuring, developing, implementing and/or supporting an OMS for state and local correctional agencies. The Executive Summary contained in Volume 1 encapsulates business processes commonly supported by these systems, articulates differences between Offender Management and Jail Management functions, and asserts strategic value that the OMS offers corrections administrators. Conversely, Volume 2 defines detailed “Business Scenarios” for business functions that are common across corrections agencies, applying Universal Modeling Language (UML) to define these processes as “use case” specifications. Thus, “Volume 1 - Executive Summary” is primarily intended for corrections Executives and procurement officials, while “Volume 2 – Business Scenarios” is intended for those designing, developing or implementing an OMS (for example, subject matter experts, system and business analysts, system testers and developers).

This document does not replace other materials used by correctional administrators and technologists in support of their OMS initiatives. Instead, this document supplements the overall body of knowledge leveraged by correctional agencies to procure, develop and support their OMS. For example, agencies that are creating an RFP to procure an OMS should use this document in conjunction with a document entitled, “*Community Corrections Automated Case Management Procurement Guide*”, published by the Association of Probation and Parole (APPA) in 2012. The APPA’s Procurement Guide adds and expounds upon business processes associated with community corrections. Moreover, the APPA material presents RFP templates and a detailed “step by step” process for creating an RFP, evaluating proposals, and other procurement and implementation considerations. Where appropriate, references to other related material, such as the APPA publication and references to technical standards, are inserted throughout this document.

1.2 Document History

In 2003 the Corrections Technology Association (CTA) received a grant from the U.S. Department of Justice to define functional standards for the corrections industry. CTA’s objective in this initiative was to establish an OMS functional baseline to help State correctional agencies improve the business value of their OMS, and ultimately to foster exchange of knowledge and experience across states. CTA partnered with an IT consulting firm, URL Integration, who solicited input and assistance from State corrections

practitioners. The resulting document entitled, “Correctional Standards and Common Business Functions”, published by CTA in 2004, achieved the objective of establishing a functional baseline for an OMS. In the ensuing years, state and county correctional agencies have leveraged the material to improve their existing OMS implementations and, in a number of cases, agencies have modeled entire RFP’s from the CTA document. Meanwhile, vendors have used the CTA document to demonstrate how their solutions deliver ‘industry-standard’ functionality.

Recognizing the dynamic nature of corrections and the onslaught of improvements in information technology capabilities, in 2015 the CTA partnered with the IJIS Institute to update the material, with the goal that the updated version will:

- Reflect the significant, recent technological developments that affect correctional agencies’ standard use of information technology;
- Represent evolving correctional policies and practices that impact current and future use of IT;
- Present a broader view of the common use of information within corrections and across the overall criminal justice community.

1.3 Document Format – How to Use the Document

Volume 1, Executive Summary and Supportive Information, provides the following:

- Overview of seventeen primary business functions that an OMS must support, outlining tactical and strategic aspects of each business function from a Correctional Administrator’s perspective.
- Best practices for leveraging the OMS to meet common Legislative and Judicial mandates
- A summary of differences between the State-focused “Offender Management System” (OMS) and the county-focused “Jail Management System” (JMS).
- Illustrations depicting relationships between business functions and the “offender lifecycle” that the OMS must support.
- A high-level summary of technologies widely employed by correctional agencies
- A glossary of terms, system components, and key performance measures that are widely accepted by correctional professionals.

Volume 2, Business Scenarios, provides detailed use case specifications for each of seventeen business functions as follows:

Part A	Reception and Commitment	Part J	Programs
Part B	Sentence and Time Accounting	Part K	Scheduling
Part C	Classification	Part L	Gang Management (Security Threat Groups)
Part D	Caseload Management	Part M	Property

Part E	Security	Part N	Trust Accounting
Part F	Discipline	Part O	Visitation
Part G	Housing and Bed Management	Part P	Release and Discharge
Part H	Medical	Part Q	Community Supervision
Part I	Grievances		

Volume 2, Parts A through Q, define specific business processes for each business function. Each business process is further decomposed into specific process activities/events. Taken together, these business functions, processes and activities define the operational requirements for an OMS. Figure 1 below depicts the hierarchy between business functions, processes and activities as presented in Volume 2 of the Common Business Functions for Correctional Management Systems document.

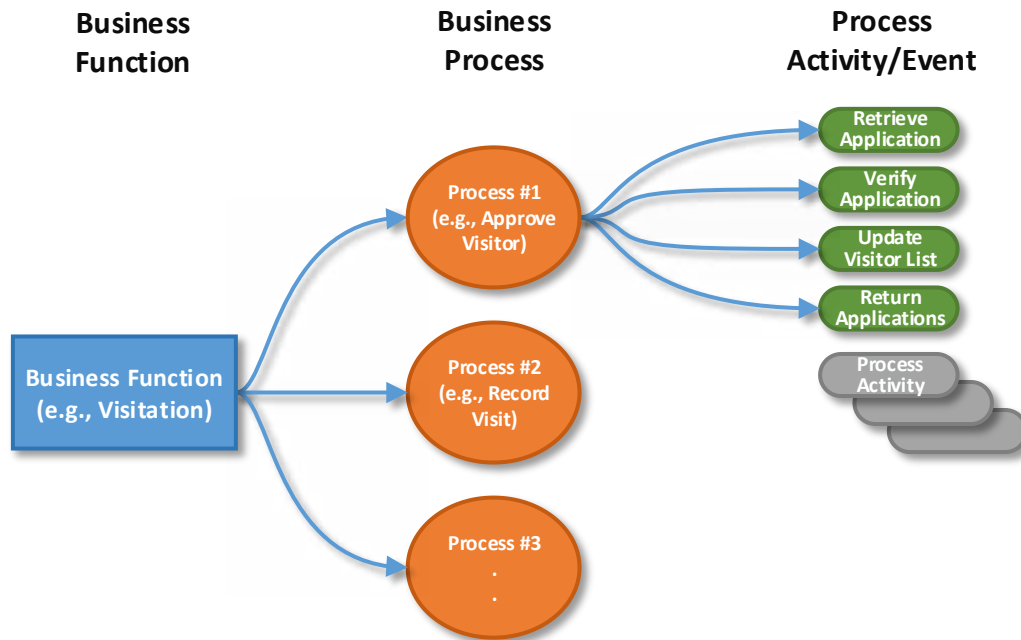


Figure 1: Hierarchy between Correctional Functions, Processes, and Activities

Part A through Part Q of Volume 2 adhere to a consistent format. Each Part begins with a general description of the business function followed by a Use Case Diagram. The Use Case Diagram identifies individuals involved in the business function, labeled as “Actors”, and the underlying business processes associated with the business function. The Actors in each Use Case are depicted as “stick figures” that represent providers or users of a system service. The ovals in the Use Case diagrams represent business processes that are carried out to achieve the business function. Lines between Actors and processes reflect usage of the system by Actors, that is, the point of interaction between the user and the system. In addition to reflecting the business processes that each Actor is involved in, the Use Case Diagram depicts relationships between Actors, relationships between business processes, and relationships between Use Cases. Figure 2.0 below is a sample Use Case Diagram from Section 12.0, depicting the “Investigation/Gang Management” business function:

Investigation Gang-STG Management Use Case Diagram

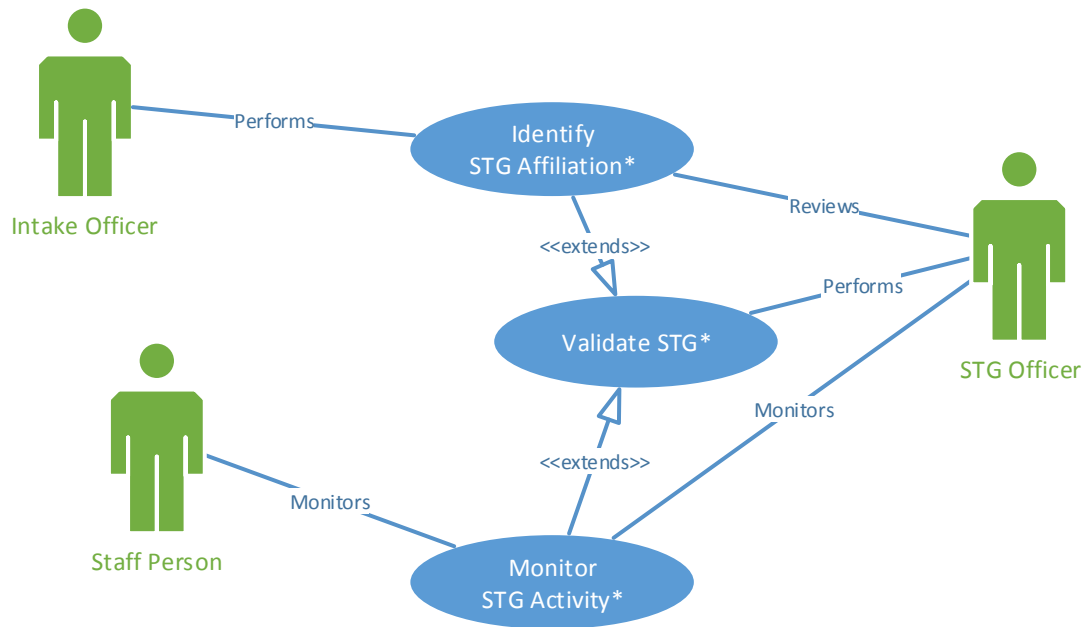


Figure 2: Sample Use Case Diagram

After the Use Case Diagram, each Part of Volume 2 presents a detailed description of each business process depicted in the Use Case Diagram, and presents an Activity Diagram for each business process. The Activity Diagram decomposes the business process into a series of process steps, referred to as process activities or “Events”. The rectangles in the Activity Diagram represent process activities and the arrows between activities illustrate the sequence of Events, that is, the “process flow”. Finally, diamonds in the Activity Diagram represent conditional “decision points” in a process flow, and circles represent end points in the business process. Thus, the Activity Diagram reflects primary and alternative process flows and the conditions upon which each detailed process Event depends.

The key elements of the Activity Diagram, are summarized as follows:

Element	Element Description
Activity	The steps or “events” carried out to complete a business process
Transition	The relationship between two elements, for example, when the first has occurred, the subsequent event can occur
Decision Point	The point at which differing process flow paths are possible
Condition	A determining factor which affects the flow of activities or sequence of events
State	The overall condition of the object which has entered or is exiting from a specific process. States can either begin or complete an Activity Diagram, and are classified as either “Pre-Conditions” or “Post-Conditions”.

Below is a sample Activity Diagram that illustrates the business process of identifying an STG affiliation.

STG Affiliation Activity Diagram

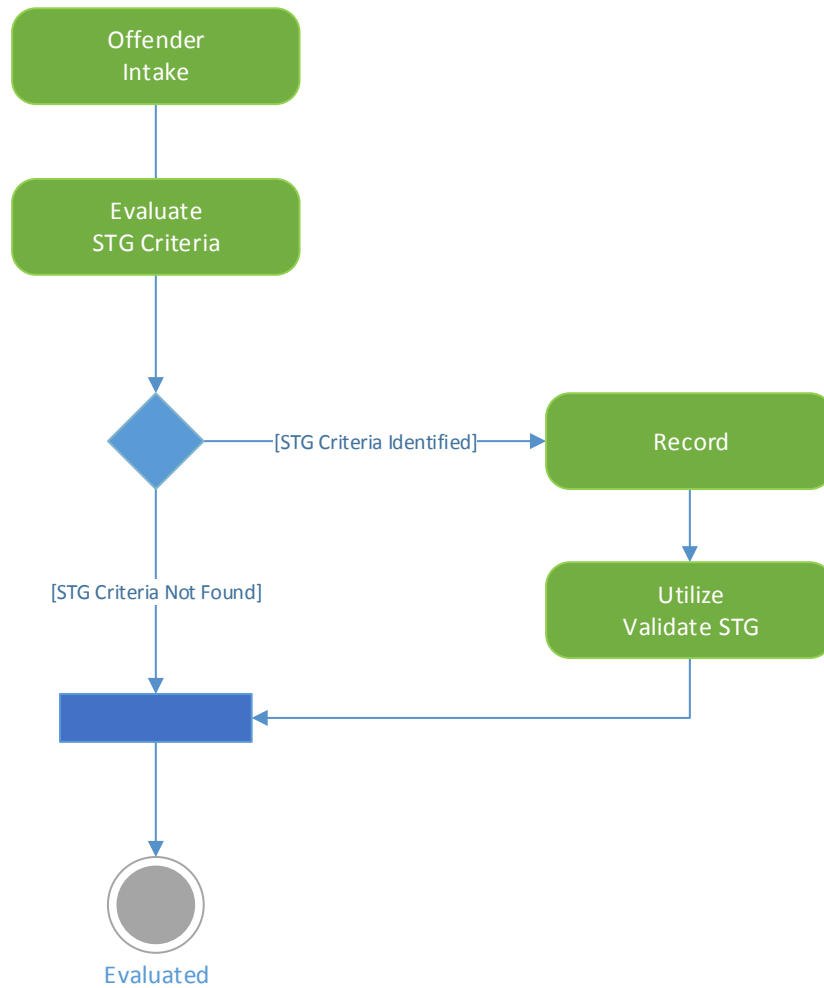


Figure 3: Sample Activity Diagram

After the Activity Diagram, a table summarizes the Actors and their involvement with the overall business process. Next, under the heading of “Flow of Events”, is a narrative description for each process activity depicted in the Activity Diagram. At the end of the “Flow of Events”, is a list of Pre-Conditions and Post-Conditions that apply to the overall business process.

An alphabetical index of the following key components and concepts is presented at the Glossary found in Volume 1:

- **Activity definitions** – a list of the Activities presented in this document and a description of each, with reference to the business function to which the Activity belongs.
- **Actor** – a list of the Actors referenced in this document and a description of each.
- **Package** – a list of the Packages (i.e. Modules) that are typically offered within a Correctional Management Software Application and a description of each Module.

- **State** – a list and description of the States that are contained within the business processes and depicted in Activity Diagrams.
- **Use Case** - a list of the Use Cases presented in the body of the document.

1.4 Overview of Correctional Business Functions

The seventeen business functions defined herein are oriented around the typical offender lifecycle, starting with admitting an offender into custody (defined in Volume 2, Part A) through releasing an offender from custody (Volume 2, Part P) and supervising an offender in the community (Volume 2, Part Q). Each business function embodies offender-based processes that are directly linked with business activities of admitting, managing, and releasing offenders. As such, these ‘offender-based’ processes mainly describe activities undertaken by correctional line staff, including correctional officers, counselors, and administrative and support staff, and are largely governed by operational policy and procedure. Meanwhile, two business functions described in this document, “Security” and “Housing and Bed Management”, are institution-based as opposed to offender-based, and are germane to correctional administrators as opposed to line staff. However, these business processes are also operational in nature and typically are dictated by agency policy and procedures. Consequently, the business processes defined herein are primarily tactical in nature as they are policy-driven and associated with daily operations of the corrections system.

Every business function described in this document entails collecting offender and/or institution-based data in a consolidated database. A critical “value add” of an OMS is to enable correctional agencies to aggregate and correlate information across business functions in support of executive decision-making and strategic planning. By integrating information across business functions, an effective OMS enables corrections agencies to achieve strategic functions beyond the tactical functions defined in Volume 2 of this document. Moreover, integrating offender and operational data with information from other agencies in the criminal justice system offers the potential to promote public safety across the criminal justice system. The table below entitled, “Strategic and Tactical OMS Objectives” summarizes each business function that is described in Volume 2 of this document, and highlights strategic objectives and key performance measures associated with each business function. Whereas this document focuses on business functions from a correctional agency perspective, a related document published by the IJIS Institute entitled, “*Value of Corrections Information: Benefits to Justice and Public Safety*”, considers an OMS in the context of the overall criminal justice system.

Business Function	Tactical Processes and Objectives	Strategic Objectives associated with each Business Function
1. Reception and Commitment	<ul style="list-style-type: none"> • Admit inmate into custody • Positive identification of the inmate, associating previous incarceration and criminal history with the inmate • Record family and demographic information including mugshots and photos of scars, marks, and tattoos • Conduct intake interviews and assessments • Enable workflow processing, alerting staff of necessary actions and mandatory timeframes for their completion • Ensure all process steps and all mandatory information is recorded at 	<ul style="list-style-type: none"> • Streamline the intake process to reduce the average length of time between inmate admission and assignment to a mainline institution • Track the average length of time to complete steps in the intake process; use this information to optimize assignment of staff resources • Coordinate and schedule intakes with Counties to balance the flow of new intakes and adjust intake staffing as necessary • Information collected during the intake process drives many performance measures, including identifying and managing special

Business Function	Tactical Processes and Objectives	Strategic Objectives associated with each Business Function
	time of admission	populations (e.g., inmates with mental and physical disabilities and special precautions).
2. Sentence Calculation	<ul style="list-style-type: none"> • Enter Court commitments and calculate when the inmate will be eligible for release. • Automatically recalculate release dates when an inmate’s rate of credit earnings changes (typically caused by change in work or education assignment or by a classification action) or after gain/loss of good behavior credits (typically the result of a rules violation) • Determine the ‘controlling’ sentence and determine eligibility for programs that are based upon offense, sentence, and time to serve factors. • Enforce Court orders, linking to other modules (for example, restitution payments and victim notification) 	<ul style="list-style-type: none"> • Avoid erroneous releases and the associated risks to public safety and litigation risks • Use projected release dates to forecast monthly releases, providing a key input into population projections and future demand for prison beds. • Institute procedures that engage inmates in treatment and re-entry programs balancing program duration against remaining time to serve. • Leverage projected release dates as input into planning of early release programs (typically in response to Judicial or Legislative mandate) • Support performance measures of victim notification, restitution, and time served.
3. Classification	<ul style="list-style-type: none"> • Conduct risk and needs assessments and assess inmate healthcare and special needs to be considered in the classification decision. • Apply an objective classification instrument that recommends inmate custody level, factoring for security risk and program and healthcare treatment needs. • Approve or Override the custody level recommended by the classification instrument. • Reclassify inmates on a recurring basis; reclassify inmates subsequent to inmate rules violations and subsequent to changes to the inmate commitment record (e.g., receiving additional Court convictions or pending charges) 	<ul style="list-style-type: none"> • The primary objective of the Classification business function is to optimally assign inmates to housing, i.e., inmate population management • Enable Administrators to identify and manage cases where there is a “mismatch” between an inmate’s approved custody level and the security level of the bed to which the inmate is assigned. • Where bed constraints exist, the classification system prioritizes inmate placements based upon risk. For example, a hypothetical prison system has a total of 2500 “level 3” beds but has 3000 inmates classified as level 3. The classification system enables Administrators to place the highest risk level 3 inmates in the available beds level 3 beds and “wait list” the relatively lower risk level 3 inmates for a level 3 bed. • The classification system allows Administrators to “re-configure” facilities, altering staffing and operations as necessary to provide the appropriate types of beds demanded by the inmate population. In the hypothetical example above, the classification system alerts Administrators that an additional 500 level 3 beds are needed; one option may be to “harden” 500 level 2 beds, re-designating them as level 3.

Business Function	Tactical Processes and Objectives	Strategic Objectives associated with each Business Function
		<ul style="list-style-type: none"> • Monitor key performance measures including percentage of overrides, number of improperly housed inmates, and number of inmates in a “wait list” status.
4. Caseload Management	<ul style="list-style-type: none"> • Assign inmates to counselors and provide triggers and alerts for case actions due. • Define treatment goals for inmates based upon assessed needs, taking projected release date into consideration. 	<ul style="list-style-type: none"> • Allows tracking of the aggregate demand for treatment programs, thereby helping Administrators to reallocate limited treatment resources to programs that are most needed by the inmate population, and to the locations where the programs are most needed. • Assists Administrators balance counselor case loads, based on categories of case factors and staff expertise, re-allocating staff resources and inmates where necessary. • Capture performance metrics including the percentage of inmates with defined program goals and the percentage achieving their goals in their designated timeframe.
5. Security	<p>The “Security” business function is a composite of processes oriented around management and operation of prisons and supervision activities:</p> <ul style="list-style-type: none"> • Automate counts, instituting specific processes for clearing the count and response to “short count” scenarios • Provide inmate services (canteen, religious services, recreation) • Plan emergency response provisions • Automate selected facility management functions (e.g., key control, tools). • GPS monitoring of designated parolees 	<ul style="list-style-type: none"> • Reducing time required to clear counts minimizes interruption to daily operations and reduces potential for miscounts, directly contributing to the mission of the agency • Information collected in “Security” processes arms Investigators with intelligence to respond to incidents (for escape, escapes, lost key or tool) • Automating canteen and inmate banking processes helps Investigators track associations between inmates, staff, visitors, family members and volunteers
6. Discipline	<ul style="list-style-type: none"> • Record and categorize information about incidents (i.e., incident management) • Charge inmates with rules violations (i.e., disciplinary process) • Conduct hearing: convict or drop charges • Apply sanctions (e.g., assignment to restrictive housing, loss of credits, loss visiting, telephone and/or canteen privileges) • Communicate events that occur within an institution to administrators who have a “need to know” and are responsible for responding to incidents. 	<ul style="list-style-type: none"> • Track compliance with Agency Policy and manage risk by identifying systemic security and policy compliance issues (for example, ‘use of force’, contraband, and escapes) • Facilitates the use of objective, consistent processes for charging inmates with rules violations and doling out sanctions, particularly disciplinary detention • Supports collection of many metrics defined in the Performance Based Measures System (PBMS).

Business Function	Tactical Processes and Objectives	Strategic Objectives associated with each Business Function
7. Housing and Bed Management	<ul style="list-style-type: none"> • Manage beds, dorms and housing units; • Track inmate movement and bed assignment history • Assign inmates to beds to meet classification requirements, while enforcing inmate separation requirements • Automate transportation processes. 	<ul style="list-style-type: none"> • In conjunction with the classification system, this function enables overall inmate population management. • Provides an empirical measure of “overcrowding” (e.g., compare design capacity with inmate assignments, by type of bed and by time period, to depict trends in bed utilization) • Allows analysis of scheduled, planned and wait list movements to determine optimum use of transportation resources.
8. Health Care	<p>Provide healthcare services to inmates:</p> <ul style="list-style-type: none"> • Assess and triage medical, mental health, and dental needs at intake to document chronic conditions and necessary follow ups • Provide on-going out-patient services to inmates (e.g., sick call, healthcare appointments) as well as in-patient treatment • Support pharmacy operations, including tracking administration of prescriptions (i.e., pill line) • Integrate health information from specialty services, including labs, radiology, and specialized clinics • Adhere to industry standards regarding diagnosis and treatment (e.g., ICD-10, CPT, DRG) 	<ul style="list-style-type: none"> • Determine and document the extent the agency is meeting the “standard of care” required by Law • Re-allocate healthcare services, program treatment and staffing to meet healthcare needs of the inmate population • Provide metrics for cost containment, and input to outsourcing strategies • Provide “public health” data to identify and effectively respond to outbreaks (e.g., TB, Hepatitis, Influenza), and to identify trends among the population • Capture key performance measures related to response time to inmate requests for treatment, number of inmates having diagnosed with mental illness, infectious disease, and chronic conditions
9. Grievances	<ul style="list-style-type: none"> • Track inmate appeals of classification and disciplinary hearing decisions • Track inmate grievances against staff and/or treatment • Respond to inmate appeals, tracking remedies, and engagement of Administrative Law Judge 	<ul style="list-style-type: none"> • Analyze grievance data to identify potential operational issues (for example, inordinate grievances at specific institutions or against specific individuals). • Capture key performance measures relate to number of grievance, by type and location, and the extent of compliance to response times prescribed by Policy.
10. Programs	<ul style="list-style-type: none"> • Assign inmates to programs • Track attendance in programs, certifications, milestones achieved, as well as removals and withdraws • Track program outcomes against treatment goals that have been defined in the case plan. 	<ul style="list-style-type: none"> • Analyze data related to program enrollments and program outcomes, against inmate recidivism and incidence of rules violations to assess relative effectiveness of individual programs • Use data to determine optimum duration of individual programs • Re-allocate resources to programs that demonstrate relatively higher effectiveness
11. Scheduling	<p>Manage inmate and facility calendars and activities:</p> <ul style="list-style-type: none"> • Automate process of requesting and approving appointments, with structured 	<ul style="list-style-type: none"> • Automating the inmate scheduling function helps Administrators determine appointment types and locations having relatively lower rate of fulfilled

Business Function	Tactical Processes and Objectives	Strategic Objectives associated with each Business Function
	<p>rules for appointment prioritization (for example, a healthcare appointment “bumps” a case review).</p> <ul style="list-style-type: none"> • Generate a daily list of approved appointments and generate “orders to report” as prescribed by Policy 	<p>appointments, and can identify the reasons for missed appointments.</p> <ul style="list-style-type: none"> • Communicating appointments in a structured and consistent fashion to correctional staff fosters controlled movement of inmates within the institution and fewer interruption to daily operations
12. Security Threat Groups (STG)	<p>Identify prison gangs and gang affiliations by:</p> <ul style="list-style-type: none"> • Instituting structured, objective process for identifying gang affiliation • Apply a consistent approach across all institutions to validate gang affiliation • Document events and incidents that have a gang nexus • Detect and document the existence of new prison and street gangs 	<ul style="list-style-type: none"> • Aggregated STG data enables Administrators to define Policy and operating procedures to address risks associated with specific groups and a specific locations • Adhering to FBI standards enables investigators to exchange information with law enforcement, potentially improving security within institutions and public safety in the community.
13. Property	<p>Track inmate owned property and mail room processes:</p> <ul style="list-style-type: none"> • At intake, record and store property in accordance with Policy • Record state-issued property provided to the inmate, and property acquired by the inmate through canteen operations and from the mail room. • Maintain inventory of inmate property • Alert corrections staff of inmates exceeding allowed property 	<p>Automating management of inmate property provides:</p> <ul style="list-style-type: none"> • Investigative value of tracking articles sent and received through the mail room • Enables Administrators to better respond to inmate grievances surrounding loss of property • Streamlines transportation processes by automatically generating list of articles to be transported with the inmate • Enables enforcement of Policy regarding property limits and rules for sending and receiving mail
14. Trust Accounting	<ul style="list-style-type: none"> • Track deposits into the inmate trust account from pay for inmate work assignments and from deposits made by family members (using systems such as JPay and Western Union). • Withhold a percentage of deposits, directing funds toward restitution and fees. • Freeze inmate access to funds • Return funds to the inmate upon release • Perform financial accounting functions 	<ul style="list-style-type: none"> • Aggregating information on inmate deposits and withdrawals across the inmate population, and correlating the information with visiting lists, telephone calling lists, volunteers, and employees, helps Administrators and Investigators to detect illegal activity and potential security risks within institutions. • Key performance metrics include the percentage of restitution and fees that are paid, and reducing the length of time it takes for funds to be provided to released inmates
15. Visitation	<p>Automating the visiting function streamlines processes, aids in Policy compliance, and supports inmate family relationships:</p> <ul style="list-style-type: none"> • Manage Visitor authorization, including back ground checks • Schedule and track visits • Temporarily revoke inmate visiting privileges (subsequent to a sanction issued in response to a rules violation) 	<ul style="list-style-type: none"> • Correlating information about who visited whom and when with information about contraband and other incidents can help Investigators solve cases, and take action to guard against violations • Visiting history provides valuable input into creating individualized reentry programs • Capture metrics include the percentage of inmates having no visits

Business Function	Tactical Processes and Objectives	Strategic Objectives associated with each Business Function
	<ul style="list-style-type: none"> Temporarily or permanently revoke a visitor from visiting one or all inmates (typically in response to visitor violations) 	
16. Release and Discharge	<ul style="list-style-type: none"> Generate rosters of inmates becoming eligible for release and parolees becoming eligible for discharge of supervision Audit records to ensure accurate calculation of release/discharge dates Screen inmates for release to ensure all terms have been met, including requirements to release the inmate to a detainer or to have an approved residence in the community Carry out pre-release processes, such as reentry programs Coordinate release/discharge with Law Enforcement officials Notify victims in advance and at time of release in accordance with Policy. 	<ul style="list-style-type: none"> Automating Release and Discharge functions reduces risk of inmate being released in error and risk of supervision being incorrectly terminated. Correlating sentence and offense data with time served and release dates can reveal data entry errors to avert incorrect release On-going release audits reveal process errors, enabling Administrators to identify process improvements
17. Community Supervision	<ul style="list-style-type: none"> Assign parolee to Parole Officer caseload Document conditions of supervision and a supervision case plan, with offender goals Track history of addresses (residence, work, school, treatment centers, etc.) Track supervision events and contacts Monitor compliance; record sanctions, and violations Schedule revocation hearings; manage revocation process. 	<ul style="list-style-type: none"> Providing continuity of offender information across incarceration and parole periods enables Parole Officers to make informed decisions regarding violations and sanctions. For example, knowing who visited an offender before he/she was release from prison, who sent them money and who their cellmates were, can provide context to supervision events. <i>“Community Corrections Automated Case Management Procurement Guide”</i>, published by the Association of Probation and Parole (APPA) in 2012, details community supervision processes.

1.5 Corrections Mandates and Best Practices Relevant to the OMS

The business processes defined in this document are inherent to operating a corrections agency. To the extent that each state and county corrections agency is confronted with unique Legislative and Judicial directives, each agency’s OMS must be tailored to meet state and local requirements. This document does not address state or county specific mandates. However, a number of business functions described in this document are federally mandated, or are de facto standards to be supported by the agency’s OMS.

- Standard Interfaces with External Systems:** An OMS contains a wealth of information that is vitally important to functions that are external to the OMS and to other criminal justice agencies. Moreover, some information stored in the OMS is derived or supplemented with information from external systems. The ability to exchange information with others in a secure and timely manner is an important consideration when selecting or developing an OMS. The

implementation and development of an information exchange can be challenging and complex, but the use of national standards can lessen the difficulty, resulting in a system that is better able to adapt to changing data exchange requirements. A document published by the IJIS Institute entitled, “Value of Corrections Information: Benefits to Justice and Public Safety” summarizes National information sharing standards and provides links to materials that address policy considerations (e.g., governance, security, and confidentiality) and corrections specific information exchange standards. Note that a number of the “mandates and best practices” below necessitate interfaces and data exchanges.

- **Performance Based Measures (PBMS)**: The Association of State Corrections Administrators (ASCA) promulgates standard performance metrics for state and county correctional agencies. Correctional performance metrics are defined in a document entitled, “Performance Based Measures System (PBMS) Counting Rules. Since PBMS is the national standard that enables correctional agencies to measure their performance against other jurisdictions, support for PBMS is a mandatory feature of an OMS. Appendix A lists the 135 key performance indicators defined by PBMS, many of which are referenced in business processes defined in this document. Details concerning PBMS and a link to the “Counting Rules” document is available at <http://www.asca.net/projects/1>.
- **Prison Rape Elimination Act (PREA)**: The Prison Rape Elimination Act (PREA) of 2003, updated in 2012, requires correctional agencies to institute specific operational processes and to systematically collect information that demonstrate compliance. PREA requirements that the OMS must support are documented in business processes that are contained in the following business functions: Reception and Commitment, Classification, Discipline and Grievances.
- **Offender Registry**: Legislation requiring sex offender registration was initially implemented in the 1990’s. Federal and State provisions have been revised and expanded through the years, most recently with the Child Protection and Safety Act of 2006. Some states have expanded registration requirements to certain violent offenses. Generally, State Law Enforcement is responsible for making a Registry website available to the public; however, corrections agencies are typically mandated to collect specific information, including offender photograph and address, and submit the information to the sex registry system. Business processes involving submission of sex registry information are described in the Release and Discharge business function.
- **Statewide Automated Victim Information and Notification (SAVIN)**: Beginning in 2007, Congress appropriated funding to assist state and local agencies to implement systems that automatically notify registered victims of pending and actual inmate releases, and that enable victims to access information about their perpetrators, in particular, the offender’s current location and scheduled release date. Typically victim notification functions are implemented outside of the OMS. However, these notification systems depend upon the OMS collecting and transmitting inmate data. Business processes relative to victim notification are described under the following business functions: Sentence Calculation; Housing and Bed Management; and Release and Discharge.
- **Interstate Compact Offender Tracking System (ICOTS)**: The Interstate Compact Offender Tracking System (ICOTS) is the nationwide electronic information system used to track offenders who are authorized to travel or relocate across state lines. The system is also used to share information regarding offender movement under the rules of the interstate compact. Generally, the OMS/JMS operated by State/County corrections agencies provides offender demographic and

commitment information to ICOTS. For more information on the Interstate Commission for Adult Offender Supervision, visit the web site at www.interstatecompact.org.

- **Inmate Locator:** State and County correction's OMS/JMS typically provide offender information to a public access website referred to as an "Inmate Locator". The Inmate Locator service often is not contained within the OMS/JMS; however, the OMS/JMS is the source of all information that is made available through the website. While the data content of the Inmate Locator differs across jurisdictions, an interface between the OMS/JMS and Inmate Locator is normally required.
- **Conditions of Supervision:** Geographic Restrictions: Most States have mandated some degree of geographic restriction on offenders under parole or probation supervision. For example, typically sex offenders are restricted from living within a specified distance of a school or day-care facility. To enforce these requirements, the OMS must "geocode" addresses to provide spatial reference, alerting the user of rule violations.

1.6 Business Functions from the Jail Perspective

In the initial version of the Common Business Functions for Correctional Management Systems, the Corrections Technology Association (CTA) limited the scope to State corrections. As CTA membership has expanded to include counties, the CTA's goal is to broaden the scope of this document to define business functions that are common to jails and probation. While many of the business functions defined in this document apply, at least partially, to county corrections, there are distinct differences, and there are additional business functions that apply to counties that are not relevant to state correctional agencies. This version of the document does not present county-specific use cases; the CTA aims to create a subsequent version to fully address county-specific business functions. Section 1.6.1 below entitled, "Business Functions Applicable to County/Local Corrections" distinguishes how the business functions defined in this document apply to jails and probation. Section 1.6.2 outlines county-specific functions that are not relevant to state operations, and not defined elsewhere in this material.

1.6.1 Business Functions Applicable to County/Local Corrections

1.6.1.1 *Reception and Commitment*

"Reception and Commitment" corresponds to the jail "booking" process. The booking process differs from prison intake as follows:

- Generally, only sentenced inmates are admitted to prisons. However, jails admit non-sentenced inmates as well as those sentenced to serve terms of incarceration in the jail. Jail intake may also include persons arrested on in-state and out-of-state warrants, including municipal, county and state warrants, as well as, in some cases, federal warrants pending pick up of federal prisoners by federal agents.
- New prisoners have already been positively identified but many jail inmates are admitted before identification can be confirmed.
- Jails must contend with much higher volumes of new admissions, especially at peak times.
- Jails must contend with re-admissions for the same charges. For example, a person arrested on an assault charge bails out, but is subsequently remanded into custody at the subsequent preliminary hearing, pending trial; same charge, same case, new booking incident.

- Frequently inmates are released a short time after admission, even before the booking process is completed, and several decision points may pass before it can be confirmed that a new inmate will be held in the jail for an extended period.
- Jails must contend with “in custody” persons not housed at a custody facility. These include weekenders (who return to custody each weekend), and work release inmates. Sometimes, these inmates get re-arrested on a different charge while on a work release program. The arresting officer does not know they are on a work release program and assigns a new booking number, only to find out later in the process that they already have an active booking number for a weekender or work release program.

The following business processes are associated with booking non-sentenced inmates:

- biometric identification (fingerprinting, imaging)
- arrest report
- entry/upload of legal documents authorizing custody
- bail/bond process
- medical screening (medical staff may be authorized to refuse a new intake if medical treatment unavailable at the jail is required)
- storage of personal property/clothing
- issuance of jail clothing and linen
- open a trust account
- assessment & classification

Increasingly, jails are subject to local, state or federal mandates for time-sensitive booking activities, such as ensuring access to medical staff within a certain number of hours. Newly-booked inmates will initially be held within the booking area in designated rooms, usually with other new inmates, until a housing assignment is determined.

1.6.1.2 *Sentence Calculation*

Sentence Calculation processes only apply to sentenced inmates admitted to jails. For non-sentenced inmates, the controlling legal order(s) will authorize custody for a short time only, generally to the next court appearance. Jails typically employ large records departments to enter or upload legal information from court documents. Information such as the most serious charge is considered during inmate assessment and classification. Moving inmates to and from court is a major component of jail operations, though this is easing in some jurisdictions with the introduction of video hearings.

Jails are often required to release inmates to the custody of another criminal justice agency or the Immigration & Naturalization Service on the basis of an authorizing legal document.

1.6.1.3 *Classification*

Classification involves assigning inmates to the appropriate custody level objectively factoring for risk and needs scores. Classification instruments and outcomes may vary for non-sentenced vs. sentenced inmates. Housing placement decisions typically follows completion of classification activities.

Classification is a continuous process and, in many cases, is completed after each court appearance to identify any changes as a result of a court decision. An example would be if an inmate’s charge is dropped from a felony to a misdemeanor, or if additional charges are added.

1.6.1.4 *Caseload Management*

Jails typically employ fewer elements of caseload management than do prisons, due to the higher population and shorter stays of inmates (non-sentenced inmates in particular often are not in jail long enough for effective case planning). Sentenced and pre-trial inmates housed in jail for an extended period may be subject to case and reentry planning.

1.6.1.5 *Security*

Observations and actions of officers during a shift are a growing concern in jails and prisons. Staff must document regular/repeated actions such as inmate welfare or bed checks, and notes on general inmate activity. Serious events (potential offender rule infractions) may trigger additional investigation of the incident and all persons involved (including offenders, staff or visitors).

Inmate telephone, email and mail communications require extensive scrutiny for monitoring and confiscation of contraband.

Facility searches to locate weapons and contraband are a key component in reducing risk and liability and have a direct impact on the amount of money awarded in law suits involving assaults while in custody.

1.6.1.6 *Discipline*

Both jails and prisons typically have a range of sanctions for minor and major infractions, as well as incentives for good behavior.

1.6.1.7 *Housing and Bed Management*

Jails typically handle a relatively higher volume of housing and bed management decisions due to the rate of admissions and releases.

Similar demands are made on jail transportation processes for regular movement of non-sentenced inmates to and from court.

Jails, for the most part, have an increased volume in inmate transportation needs beginning with an arrest, and continuing throughout their incarceration in County Jails. This includes continued busing for court appearances and movement to other custody facilities as a part of balancing inmate population, providing educational and medical needs and when security/classifications status changes. Some larger Jails provide busing throughout the state when transporting to State Prisons.

1.6.1.8 *Health Care*

Jails have a higher risk of the spread of infectious disease within the custody system because most inmates enter the jail system directly from the streets and their medical condition has yet to be determined. Inmates may have already been on several buses, in station holding cells and in court lock-ups with other inmates before being identified as a carrier of an infectious disease.

Inmate dietary needs for medical purposes must be made known to jail meal management in both jails and prisons. Sick call requests can result in a high volume of inmate movement within jails.

1.6.1.9 *Grievances*

Both jails and prisons typically permit inmate-initiated requests and grievances, which require timely documented responses.

1.6.1.10 *Programs*

Many jails offer a wide variety of opportunities including religious services, drug and alcohol prevention and treatment programs, life skills, violence prevention, and educational classes. Inmates are provided a schedule and sign up instructions. Privileges may vary for non-sentenced and sentenced inmates. However, the length of stay for many jail inmates is too short to participate extensively.

1.6.1.11 *Scheduling*

Jails often manage inmate schedules collectively, for instance by housing unit, for regularly scheduled activities such as meal distribution or access to recreation.

1.6.1.12 *Security Threat Groups (STG)*

Both jails and prisons collect information on inmate gang activities, co-ordinate responsive action, and report to other criminal justice agencies. ‘Keep-aways’ of two inmates for gang reasons becomes an important consideration for housing assignments, program participation and transportation to court. A primary goal of reentry planning is to encourage disaffiliation from security threat groups.

1.6.1.13 *Property*

Both jails and prisons require extensive staffing and storage for handling of inmate personal items, and for issuance of jail property (clothing and linen) to inmates in cells and manage item exchange for laundry or replacement.

1.6.1.14 *Trust Accounting*

Both jails and prisons must take possession of inmate funds for safekeeping, and return them upon release. The volume of inmate transactions in a jail often mandates a dedicated trust accounting unit. Canteen purchases and returns are typically handled through electronic funds transfer from inmate trust accounts. Indigent inmates are often entitled to special financial arrangements for hygienic items.

1.6.1.15 *Visitation*

Support inmate family relationships; manage visitor authorization; track visits. Visit privileges may vary for sentenced and non-sentenced inmates. Inmate visits with legal representation are subject to different policies than personal visits.

1.6.1.16 *Release and Discharge*

Non-sentenced inmates may be released at court, after which they are free to go and only return to the jail to retrieve personal property and trust account funds. Jail staff may only learn of the release after the fact.

1.6.1.17 *Community Supervision*

The advent of re-entry programs has increased the interaction of both jails and prisons with community corrections agencies. In some states jails are being positioned as transition points for the early release of

prisoners, who are sent to jails in their home counties for a period of time before release to community. This can complicate jail operations due to the presence of convicts with more serious convictions or longer sentences than would otherwise be held in a jail for an extended period.

1.6.2 Business Functions Common to Jails but Not Applicable to State Prisons

1.6.2.1 *Pre-Trial*

Gather and provide information for all arrestees charged with criminal offenses and booked into a jail, and provide court officers with verified information for pretrial release determinations.

1.6.2.2 *Pre-Book*

Receipt of arrest information from law enforcement agencies before an arrestee's arrival at the jail, via interface or mobile devices.

1.6.2.3 *Billing of Services*

Billing inmate costs to another agency or jurisdiction for an inmate's stay in a facility (e.g. room and board) and for any miscellaneous charges (e.g. medical visits, transportation costs etc.)

1.7 Relationship Map between Business Functions

This section identifies relationships and dependencies between the process areas of an OMS/JMS. Understanding relationships between functions enables OMS/JMS implementers to consider potential “incremental” deployments where only a subset of the business functions are implemented at a time. A holistic view of the overall solution and the flow of data within the OMS/JMS helps implementers guard against a stove piped solution. The relationship map below provides a high-level, generic view of OMS/JMS module touch points; specific implementations will have more complex and deeper interactions between Business Functions.

Corrections Functional Lifecycle & Relationship Map

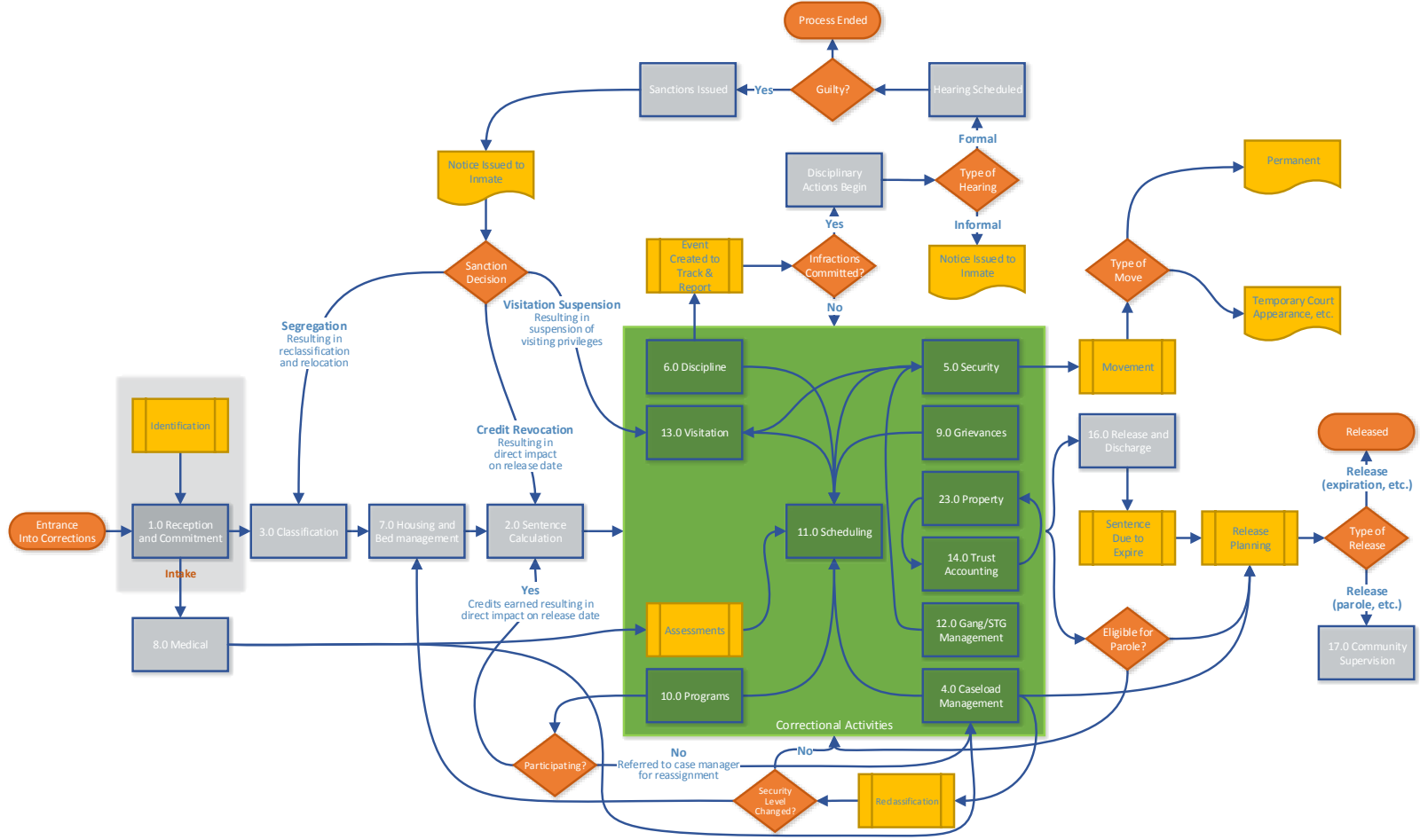


Figure 4: Corrections Functional Lifecycle and Relationship Map

Additionally, it is of worth to note the relationship between Corrections and other Higher Level Agency Functions and their interactions also. Especially in implementations that span agencies that manage a number of justice functions. This also ensures that an implementation meets the greater requirements of the wider user community and maintains a single OMS/JMS record set. The diagram below presents a second view of relationships between business functions, within the context of the offender lifecycle.

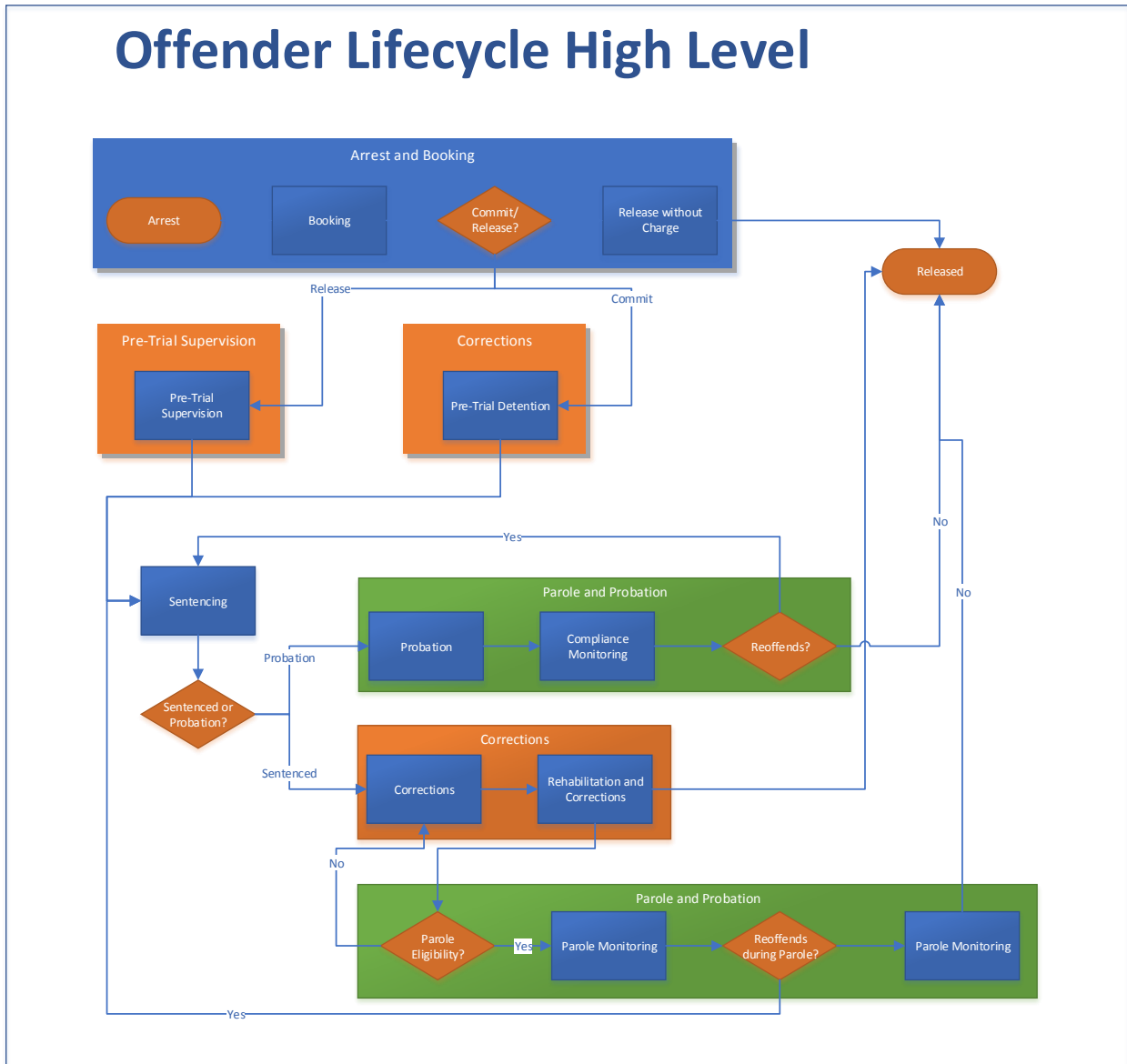


Figure 5: Offender Lifecycle

1.8 Index of Technologies Widely Employed in Corrections

In addition to considering business functions to be supported by the OMS/JMS, system implementers should be cognizant of technologies that are widely used in corrections and how these technologies must integrate with the OMS/JMS. The National Law Enforcement and Corrections Technology Center (NLECTC), a program within the National Institute of Justice, provides a broad list of technologies used in corrections along with individual case studies (www.justnet.org). Examples of technologies that often integrate with the OMS/JMS are presented below.

- **Inmate kiosk** – a network attached device that allows inmates to request healthcare services, to submit a grievance, to place an order to the commissary, to view pertinent information, such as current classification status, release date, scheduled appointments, and the visiting list. In addition, agencies are commonly using kiosks for inmate messaging and inmate-administered training. Kiosks are also widely used in community corrections to enable offenders to “check in” and to distribute information to offenders.
- **Bar coding** – inmate identification cards generally use a bar code that uniquely identifies the offender. Some jurisdictions utilize a magnetic stripe on the ID card. Others embed an RFID chip in the card. While differing in approach, each of these technologies share a common purpose of enabling correctional agencies to quickly identify an inmate and to inmate involvement in specific business processes. Examples include recording the administration of medications (pill line), recording time-in and time-out in an education program or in a work assignment, and receiving a commissary order. Often bar codes are also affixed to documents to efficiently integrate a document management system with the OMS/JMS.
- **Biometrics** – biometrics refers to using physical attributes of the inmate to positively identify the inmate. Fingerprints are the most widely used biometric. The OMS/JMS typically supports fingerprinting, transmitting information to State Law Enforcement’s Automated Fingerprint Identification System (AFIS) and to the State criminal history repository through the use of LiveScan devices (i.e., workstations that convert fingerprints to a digital representation). Increasingly, jails, prisons and community corrections are beginning to use fingerprint readers to confirm offender identity for purposes similar to those described under “bar coding” above. Iris scans, palm geometry, and facial recognition are also types of biometrics that are used to a lesser extent in corrections.
- **Global Positioning System (GPS)** – Community Corrections widely leverage GPS technology to track location of sex offenders, home electronic monitoring (HEM) and others. The OMS/JMS system typically must integrate with GPS-based solutions to provide offender information and conditions of supervision, particularly geographic restrictions.
- **Cameras/Mug shots** – Digital cameras are typically integrated with the OMS/JMS to take photos of inmates for identification purposes and to create the ID card. Photos of scars, marks and tattoos (SMT’s) are typically also stored in the OMS/JMS and used to determine Security Threat Group involvement. Photos are also commonly integrated with the OMS/JMS for the purpose of recording evidence associated with incidents and disciplinary infractions.
- **Video** – Video technologies are widely used to provide non-contact and remote visitation, telemedicine, and Court hearings, disciplinary hearings, and general video surveillance.

- **Document Management** – Traditionally paper-based inmate records are the repository of all source documents, such as commitment orders, disciplinary reports. Gradually corrections agencies are transitioning to paperless records using a document management system that entails scanning paper documents and importing images of documents from external systems. A ‘best practice’ for implementing document management in corrections is to link images of source documents with the corresponding data in the OMS/JMS.
- **Mobility** – Increasingly staff need to access information using smartphones, tablets and other mobile devices. For example, mobility significantly benefits Parole Officers, particularly when the mobile OMS takes advantage of common mobility features such as “voice to text”, alerts, calendaring and photo capture.
- **Enterprise Reporting** – Data stored in the OMS/JMS is vast in scope and voluminous. To effectively leverage information contained in the system, corrections must implement an Enterprise Reporting strategy. Generally the Enterprise Reporting solution provides:
 - Pre-built **canned reports** that generate operational reports. Canned reports run on a scheduled basis or can be run by end-users on an as needed basis. Reports generated by canned reports can be stored in a report repository (for example, a shared folder), emailed to designated users, and/or printed.
 - **Ad hoc reports** enable power users to use a menu-based tool to create and run reports to meet ever-changing needs for information.
 - **Dashboards and Alerts** graphically depict key performance measures and automatically notify designated users (E-mail, text) when pre-defined conditions arise. Generally dashboards present information in the simplest possible way, depicting key performance indicators as green, yellow, red conditions and allow the user to drill down into details.
 - **Business Intelligence (BI) and Analytics** technologies are used by Analysts and Statisticians to provide Administrators with analytical reports, typically involving complex aggregation and correlation of data across multiple systems. BI and Analytics are used to provide descriptive statistics to help decision-makers understand the profile of the inmate population and operational conditions. In addition, these technologies are used to generate inferential statistics, including trend analysis, forecasting, and scenario analysis, all to assist Administrators in strategic planning.

2. GLOSSARY

Access Reparations Record: Accessing the reparations record will determine if an active order exists and provide reparations information such as order amount and enforcement conditions.

Access Trust Account: Accessing the trust account will provide account information, including transaction information and available balance.

Activate Offender Trust Account: When an offender trust account from a previous incarceration has been identified it will be activated in order to accept deposit and withdrawal transactions.

Add To Release List: When the offender nears the end of his or her incarceration period they will be added to a list which is used to track the release process.

Add Visitor To List: When an individual has been screened appropriately they may be added to the list of approved visitors for the offender to visit.

Adjust Deposit Amount: The deposit amount will be adjusted to reflect collections of financial obligations.

Administer Testing: Testing battery administered on all offenders. Testing areas may include education, aptitude, substance abuse screens, and general psychometric exams.

Advisement: In a formal proceeding the offender is given information or formal notice of allegations that have been made against them. The advisement will give specific details of the allegations, the rights afforded the offender during the proceeding, and possible sanctions that can be imposed should the offender be found guilty of the allegations. The offender will be asked to make a plea of guilt or innocence, which will determine the next step in the disciplinary process.

Apply Additional Conditions: Additional conditions beyond those in effect prior to non-compliance behavior will be imposed. These may be imposed as a part of an informal administrative sanction or as a result of a hearing.

Apply Good Time Award: The act of applying statutory good time awards towards the reduction of incarceration periods.

Assign Case: Offender is assigned to a specific case manager/community corrections officer, this may be based on a rotation, case load weighting, the offender's needs, or as a direct result of the bed/area assignment. Upon assignment the offender will appear immediately on the staff person's caseload.

Assign Facility Waitlist: Priority assignment to appropriate facility waitlist based on offender custody level - offender security risk, program needs - to mitigate the risk for re-offending, and institutional needs. The waitlist may be for several facilities identified by priority. The waitlist may also be a pool of offenders eligible for various placements. The bed pool is system wide, which includes the attributes for a given offender.

Assign Key/Tool: Log daily or permanent assignment and control of all keys, tools, communication instruments, restraints, weapons, vehicles, contraband detection apparatus, hazardous materials, and other related equipment.

Assign to Activity: The act of assigning an offender to an ongoing activity, which has a time slot and location. These activities might include rehabilitation programs, vocational programs, work assignments or any other scheduled facility activity.

Authentication Review: When an offender submits a document to initiate an action or event, the identity of the offender must be verified by a staff person. The signature of the staff person authenticates the document and in some instances serves to authorize the process or action it will initiate.

Authorization Review: Review of an action or document by one in authority in order to make a determination of approval or denial based upon policy or rule defined by the correctional department/agency.

Authorize Key/Tool: Provides a method for pre-approving and recording the assignment of keys and/or tools to persons based on their function.

Authorize Social Visit: Authorization by a staff person in authority to approve the offender to receive social visits.

Booking: The initial processing of all offenders to include photograph, fingerprinting, documenting physical characteristics including scars, marks and tattoos. The fingerprints may be live-scanned sending them directly to the state AFIS for immediate positive identification. The repository may return a criminal history RAP sheet upon receiving the prints.

Charging Decision: When charges have been reviewed and authorized a decision will be made as to the severity of the charge. In some jurisdictions the charges for infractions are classified by degree of severity which simplifies this decision process. The charges will fall into one of two classifications as either minor or major infractions.

Check Available Balance: The act of obtaining the trust account available balance to ensure sufficient monies are available to support an elective withdrawal.

Check Commissary Sanction: When sanctions are ordered a check will be performed to ensure the appropriate sanction is applied. In this instance, if a loss of commissary privileges has been ordered the restriction information for the offender will be communicated, and reflect the sanction and parameters in which it is to be applied.

Check Detainers: The corrections department/agency will submit queries to law enforcement networks to obtain active orders on individuals that are the subject of a detainment action. Offenders scheduled for release, individuals requesting a visit with offenders, or employee background searches are examples of actions that will trigger this query.

Check Monetary Sanction: When sanctions are ordered a check will be performed to ensure the appropriate sanction is applied. In this instance, a monetary obligation may have been defined. If it has the obligation amounts will be specified.

Check Out: Logging the offender out to transportation, maybe for a day trip or a facility transfer.

Check Parole Eligibility Date: A check will be made at various points during the incarceration period to determine if the offender is nearing their parole eligibility date. As the date draws near the offender will be scheduled for review by the parole authority.

Check Property Requirements: Determine if a property item has special requirements defined by policy.

Check Property Sanction: When sanctions are ordered a check will be performed to ensure the appropriate sanction is applied. In this instance, if a loss of property privileges has been ordered the restriction information for the offender will be communicated, and reflect the sanction and parameters in which it is to be applied.

Check STG Validation: Search for active STG records to determine if an offender has active affiliations.

Check Segregation: When sanctions are ordered a check will be performed to ensure the appropriate sanction is applied. In this instance, if a reassignment of the offender to a living unit with more restrictive controls is ordered the sanction will include parameters in which it is to be applied.

Check Time Sanction: When sanctions are ordered a check will be performed to ensure the appropriate sanction is applied. In this instance, if a loss of earned time has been ordered the sanction information will be communicated with parameters in which it is to be applied.

Check Trust Account: A search will be performed to see if a trust account already exists for the offender using the identification number issued by the department/agency. In some jurisdictions the offender may have had a previous incarceration which requires a search using other personal information. The process will result in either a new account or activation of a previous account.

Check Visitation Schedule: Offender visitation is generally scheduled on prescribed days of the week at predefined times. Visits requested at times other than the regularly scheduled days and times require authorization as a special visit. Visits requested during these times are pre-approved by the visitor screening process prior to being added to the visitor list, provided the offender has no active visiting sanction imposed.

Check Visitor Sanction: When sanctions are ordered a check will be performed to ensure the appropriate sanction is applied. In this instance, if a loss of visitation privileges has been ordered the visitor information for the offender will be updated and reflect sanction and parameters in which it is to be applied.

Classification Officer Review: There should be an intermediate review process for custody level recommendations that meet defined business rules. An override request should trigger a review by a classification officer or supervisor. This would result in a recommendation passed to the Facility Classification Board.

Classification Review Hearing: The classification recommendation should be scheduled with the Facility Classification Board for a hearing. The board should have available the classification report and the custody instrument. The board will make the final custody level decision, which could uphold the recommendation or change to one they deem more appropriate.

Classify Evidence: Determine if physical evidence is to be used in a criminal prosecution or an administrative proceeding.

Clear Count: When count has been reconciled for each housing unit, the count is cleared, and appropriate announcements are made to inform all individuals that all movement can resume.

Clear Transactions: When a reconciliation process is completed the transactions posted within the reconciliation period are flagged to indicate they no longer need to be reviewed.

Close Account: The account will be flagged to indicate it is inactive and can no longer be used. In some jurisdictions the transaction history will be purged and the record of the account will be completely removed.

Collect Information: Information will be collected from one or more sources, in various forms such as self-reported, visual or observed, and documented information.

Community Review: The community corrections director or their designee reviews a decision made by staff prior to the decision becoming final. The outcome of the review will be entered, either approving or disapproving. With disapproval, the reasons will be provided.

Compile Assessment: When a review of multiple assessments is performed they must be collected and assimilated.

Conduct Hearing: Directing a formal session in which testimony, written or oral, is taken from witnesses.

Conduct Inspection: The inspection of security devices is to determine if further attention is required including faulty, unsafe, or dirty devices.

Conduct Patrol: Patrols are to determine if areas are faulty, unsafe, or have dirty conditions. Security Staff also respond to dispatches issued by the Control Center Officer when unusual events are reported, or security monitoring systems detect or indicate activity requiring intervention.

Conduct Search: Searches will be conducted randomly, following a prearranged strategy, or based on suspicion. Searches may be performed electronically or manually in a location, on a vehicle, or a person.

Consider Appeal: Review appeal options that are available and make a decision to file an appeal or to accept the last decision that was made. This review includes the consideration that an appeal is not an option because this avenue has been exhausted.

Contact Meeting: Staff and the offender meet in a specific location, on a date and time that were predetermined, to exchange information on a subject that was identified during the scheduling process.

Coordinate Grievance Correspondence: The Grievance Coordinator will determine the appropriate individual to direct grievance issues, producing correspondence with adequate instructions. Generally, there are three levels of review that will receive the grievance document. After each level of review the offender will be afforded the opportunity to accept the remedy produced from the review, or seek a review from the next level if it is an available option.

Create Offender Record: Offenders entering the system, without a previous sentencing period in the custody of the corrections department/agency will be assigned a new number. This will activate all pertinent offender records for entry capability. The activation will require a name, date of birth, and information gathered through the booking process be associated with the number.

Create Offender Trust Account: When an offender has no existing trust account, one will be opened using the offender identifiers for the current incarceration.

Create Property Record: The act of establishing the offender property record, listing property identifiers and quantity amounts.

Create STG Record: When affiliations or the existence of a security threat group are validated a record is produced. The existence of this record acts as a flag to communicate to staff that an offender is associated with one or more security threat groups. The record will provide appropriate information to decision makers in making offender and facility management decisions. This record is maintained separate from the offender working record, with specific indicators made available as appropriate to alert authorized staff view the information to be informed of STG affiliation.

Create Shift Report: Prior to the completion of a shift, all of the activities must have been logged or recorded. The pertinent information should be made available to the next shift through the creation of a shift report. This report will have overall facility activity and incidents as well as information pertaining to specific areas. If necessary, the report should either include the capability to produce more detailed information, or provide reference information of where this information can be obtained.

De-Activate Activity: An activity is de-activated and will no longer show on the facility schedule. The activity will no longer be available for offender assignment. The offender's record will become inactive.

Deactivate Offender Record: The records will be retained, however, only limited update capability is allowed.

Depart Offender from Current Assignment: When an offender physically leaves a facility, housing unit, or cell to transfer to another housing assignment, the offender is departed from the current assignment. This will release the bed, and will take the offender off of the count for the unit and or facility. The offender will be in unassigned or transit status until received.

Detain Offender: A determination is made as to whether behavior or an action taken by an offender warrants detaining/arresting that individual based on security needs.

Determine Activity Request Type: Determine if the request submitted is an update to an existing activity or a new activity that will be added to the database.

Determine Availability: A determination must be made as to whether or not an activity is available to an offender at the time of the request. Activities may not be available for several reasons including, currently full, currently not offered (may be scheduled to begin in future), or offender has risk conflicts with the location of the activity or other offenders currently assigned to the activity.

Determine Charges: Decision of what charges are to be filed against the offender for rule infractions.

Determine Controlling Sentence: An analytical process determines the sentencing schema, a composition of one or more sentences from one or more sentence order documents, that will determine the minimum and maximum period of incarceration.

Determine Corrective Action: The process of deciding the appropriate action to take given the circumstances of the situation.

Determine Guilt or Innocence: After reviewing all applicable information a decision is formulated that is supported by the facts as presented, and any accompanying documents and evidence. The decision will result in a finding affirming or disaffirming of the allegations.

Determine Override Type: Overrides for custody classification may be approved at the facility level for instances that involve intra-facility movement. For example, an offender's custody level may prevent that individual from performing a work assignment outside the security perimeter. The facility needs are considered sufficient to approve the override to a lower security level.

When a facility level override is intended to prevent an inter-facility movement, the override is subject to approval from a central authorization review process. For example, a facility in need of the skills of a specific offender may override a classification recommendation, but the central authority will deny the override in favor of the offender movement to another facility to complete program needs.

As a general rule, the type of override is determined by whether the approval will result in the movement of the offender to another facility. Intra-facility overrides do not require a review from a central classification authority. Overrides affecting inter-facility movement will be reviewed by a central classification authority.

Determine Parole Eligibility: The process of determining the eligibility of an offender to be placed under parole supervision.

Determine Response: A decision process utilizing available information will result in an appropriate action or inaction. In some instances there may be established guidelines that are followed that dictate what action is taken, but one or more individuals have the task of making a choice of one of more action options.

Determine Sanctions: When it is decided that an offender has violated a rule or infraction, as a result of a formal hearing, one or more sanctions will be applied.

Determine Security Level: Decide physical security needs for an offender for transportation, temporary or permanent living assignments.

Determine Storage Qualification: Apply established policy or rule to determine if an item can be placed in a designated storage location.

Determine Time Credit Award: A review of criteria defined whereby an offender can earn time credits and determine the amount of time that should be granted. This review will consider program positive participation and disciplinary actions and make adjustments to time credit awards based on authorized time reductions credits and disciplinary actions. The award is generally limited by sentencing guidelines that specify a maximum credit amount. The time credit granted may be any amount up to the maximum allowed, to as little as no time credit granted. In either case the result is earn time credits granted.

Determine Transaction Type: The act of identifying a transaction as either a deposit or withdrawal.

Determine Transportation Needs: Perform an assessment of transportation needs the offender will have upon release from incarceration.

Determine Type: Used to evaluate the type of activity, such as movement outside of the facility for a day trip, or intra-facility movement such as medical appointment, work assignment, program activity, etc.

Dismiss Charges: When charges have been reviewed and a recommendation to dismiss them is reached the records associated with the infraction are updated to reflect the dismissal with supporting reasons.

Dispatch: The act of directing an individual to a specified location to perform specified tasks, such as resolve a situation, gather information, deliver communication, etc.

Document Grievance: The offender will initiate the grievance process by communicating their issues with staff. Some jurisdictions utilize a standard form that will assist in tracking the process, others accept less formal documentation. In situations where an offender cannot read or write, the information will be dictated and recorded. The information contained in the communication should include details of the problem as well as the desired remedy.

Document Non-Compliance: The non-compliance behavior, which has either been observed by or reported to the officer, will be entered into the official record.

Draft Closeout Check: A check is written to the offender in the amount of the trust account balance.

Enter Appointment: An appointment is entered based on availability of clinical resources as well as facility requirement constraints. Conflicts within the offenders schedule may be considered but are often resolved through an order of precedents. The appointment is entered into the offender schedule and becomes available to all appropriate staff.

Enter Authorized Movement: A request for movement will have been evaluated and upon approval flagged as approved. The approved candidate will then be available for placement on a transportation waiting list.

Enter New Activity Record: The specifications of the activity will be defined and a record of the activity will be produced.

Enter Out-Count: Official count of all offenders present at an activity outside of the housing unit. Activities such as day trips, outside work crews, etc. might constitute an activity for which an out-count is required.

Enter Risk/Security Issues: Initial intake data entry, which is conducted shortly after arrival at the facility includes information on enemies, separation issues, and any other immediate custody related information.

Enter Sentence Order: The act of entering information from the sentencing document into the enterprise database.

Enter Unit-Count: Official count of all offenders whose presence is verified in the housing unit at the time of the count. This count will be entered into the system and made available to the Control Center.

Enter Visit: Chronological recording of each visit the offender receives

Enter Visitor Application: Information describing the identity, residency, and relationship of the visitor is provided by the visitor or in some cases the offender. This information is recorded and associated with the offender for future review and reference.

Establish Contact: Utilizing appropriate methods to establish communication to deliver or obtain information. The methods of communication vary depending upon the needs and purpose of the individual initiating the communication.

Evaluate Charges: After charges have been filed an evaluation will be performed to determine which avenue will be taken to achieve a remedy. Violations are classified by severity, with minor and severe violations generally used as the two classifications.

Evaluate Evidence: Review evidence about a specific incident or infraction to adequately formulate a belief or understanding of the facts.

Evaluate Form: The act of reviewing a form for required information resulting in a determination.

Evaluate Good Time Criteria: Review sentencing specification pertaining to good time awards and evaluate criteria that defines instances when good time awards can be lost.

Evaluate Grievance Criteria: There are specific criteria that define what issues can or cannot be grieved. For example, a misconduct report is not a grievable issue, replacement of damaged personal property is grievable.

Evaluate Incident Information: Review information about a specific incident to adequately formulate a belief or understanding of the facts.

Evaluate Information: Evaluate information obtained from one or more sources for the purpose of making a determination.

Evaluate Misconduct Information: Review information about a specific incident to adequately formulate a belief or understanding of the facts.

Evaluate Offender Custody: The recommended classification coming out of the facility has a second step or review through central offender management. The offender classification is often only reviewed if it involves a change in classification, which would result in a move between custody levels. The information available to the facility is also available to the central office staff upon demand. Summaries of all the previous actions and facility board recommendations accompany the information.

Evaluate Override Request: Determine if the reasons documented in the override request support a variance to the custody level score. If there is sufficient information to approve the override request the variance custody level is approved. If there is insufficient information the override is denied and the custody level resulting from the original score is sustained.

Evaluate Property: The act of visually and/or physically inspecting and evaluating property items to accurately identify and determine conformance to policy.

Evaluate Reentry Plan: A review of the reentry plan will be performed to evaluate the need to update the plan already on record.

Evaluate Risk: An incident report must be evaluated to determine the risk level of the situation and what action needs to be taken. The risk would be primarily to the safety of staff and offenders, but also such things as escape risk, and medical risk.

Evaluate STG Criteria: Review information in order to determine if criteria exists to classify an offender as an STG affiliate. If there is sufficient evidence to support the affiliation, the offender will be associated with a threat group and classified based upon their level of participation.

Evaluate Secondary Placement: An offender may be in a pool or waitlist for an optimum facility placement based on institutional and offender needs. The need may arise to move the offender to a secondary placement. The secondary facility will be evaluated, and may be deemed appropriate. The demand between bed space requirements and offender needs may be balanced through the mechanism to manage alternative placements.

Evaluate Time Requirement: At each step of the process where guidelines require an action or event must happen within a prescribed time period, a check is made to verify the time requirement has been met.

Evaluate Transportation Order: When the offender is transported there will be supporting documentation that provides authorization and instructions regarding the transport. Instances where the offender is undergoing an inter-facility transfer there will be a transfer order document. Instances where an offender is received by the sentencing agency there will be a sentencing order document received to support the incarceration.

Facility Transfer: Physical transfer of the offender to another facility.

File Appeal: Submitting appeal to proper authority

File Report: Produce and record detail information about an event or activity that can be retrieved and reviewed as needed.

Formulate Plan: Offender risk information and program needs will be compiled to establish accountability objectives to be addressed during the incarceration period. The plan is compiled from the information gathered in the earlier steps of the reception process. The programs outlined in the plan may be set in priority order or just under the heading of each area. Some program needs may be specifically dictated as a result of the offense, they may be acute or chronic and are considered dynamic in nature.

Generate Clinical Report: The collection of information will be compiled, formatted, and documented in a record or produced in a report for distribution adhering to privacy guidelines.

Generate Performance Report: A report of performance will be produced for distribution to the offender. The report will include evaluation information and, for those programs where the offender will receive monetary compensation, payroll information that will reflect what is to be deposited in the trust accounting system.

Generate Score: Processing of item scores, identifying the range the scores fall into, and the level or issues the ranges suggests.

Generate Time Computation Report: Electronic and hard copy report of earned time awards, good time awarded or lost, and the termination date of the incarceration period. Changes in good time awards or lost will affect the parole eligibility date.

Identification: Staff validates the identification of an individual using with appropriate documentation such as sentencing order with demographics. This process may include the matching of pre-existing records with the individual to associate historical commitment information with a new incarceration.

Identify Activity Specifications: When a request is received to create an activity the Facility Schedule Coordinator will extract the specifications from a request document, and will then make a determination if there is a comparable program or activity that already exists. If a comparable program is identified a

modification to that program will be initiated to include the specifications submitted in the request. If one is not identified a new program will be created to satisfy the specifications.

Identify Emergency: The type of emergency must be identified and communicated to the central authority. The types of emergencies will need to be categorized and retrievable based upon the various combinations of events, location, and personnel involved.

Identify Missing Offender: In a situation where a second attempt at the count cannot be reconciled, the actual missing offender(s) are identified. This requires not only counting an offender, but identifying which offenders have been counted.

Identify Required Offender Pool: Identify the custody level and other risk factors required for the gathering of a specific pool of offenders. This pool description may be used to acquire a specific set of offenders or identify to others the type of offender pool desired.

Identify Unexpected Variation: If there is a variation in expected open bed space in a facility, this variation must be identified. The variation might be due to release activity, segregation, or a change in the number of physical beds available.

Informal Interview: The act of communicating less formally with an individual to exchange information.

Initiate Incident Report: Develop incident report base on a potential infraction or violation, providing details as to what happened, where it happened, who was involved, and when did it occur.

Investigate Complaint: Process of reviewing information, documents, and interviewing individuals related to the complaint.

Investigation: An inquiry of an event or incident that includes the review of evidence, interviewing of witnesses and any other associated intelligence regarding the matter.

Issue Property: Property will be handed over to the offender for his/her control. The offender will generally sign a document to record receipt of the property and acknowledge his/her responsibility for maintaining the property item.

Issue Release Authorization: The act of compiling necessary information and authorizations for the release of the offender from incarceration.

Issue Release Order: The reviewing authority must issue an order, if an offender is to be released from detainment.

Issue Revocation Order: Order is issued granting authority to revoke parole status and reinstate offender status under the controlling sentence.

Log Activity: A formal record is produced to document events, including the date and time of occurrence, the sequence, and the participants. Examples of this activity include recording attendance, movement (check-in and check-out), recording offender contacts, etc.

Log Grievance Correspondence: A record is produced to document the grievance correspondence, including the date and time of occurrence, the sequence, and the participants. Comments may be added to summarize the context and purpose of the correspondence.

Log Inspection Findings: The results of the security device inspection are logged for review and further action.

Log Patrol Results: The patrols and the results are logged for review and further action.

Log Property Receiving: The act of receiving property from a delivery source, and recording the receipt.

Log Response: A formal record is produced to document events, including the date and time of occurrence, the sequence, the participants, and pertinent details of the event required to support further action where appropriate.

Log Search Results: A physical search of an offender's person, property, living area, or common areas must be logged as well as the results of the search.

Manage Visitor Wait List: Policy generally defines a limit of active visitors that can participate in a visit with an offender. The system provides a means for managing visitors that have been approved, but must wait until an existing visitor is removed from the list of eligible visitors. Managing this list requires a periodic review to ensure the information is current, and remove visitors that no longer meet the criteria to be retained on the list.

Manage Wait List: The staff person responsible for a particular activity may desire specific changes be made to the activity that might affect the facility schedule as well as that of assigned offenders. The specifics may include time, location, and duration of the activity. The staff person would have the ability to review potential conflicts prior to requesting the change, and to assist in specific option choices. Conflicts identified may be between scheduled activities, which rules define as mutually exclusive, or may also be between individual offenders participating in various activities, which rules prevent conflict, or the order of precedent might remove the offender from the activity being modified.

Offender availability may have changed due to a change in facility assignment where the program is no longer available, in which case the offender is retained on the waiting list pending future facility assignments.

Priority of assignment from the waitlist may be based upon the length of time since having been placed on the list, but may also be based upon time to PED, severity of needs (public safety risk), or maintenance needs.

The waiting list management includes removal from the list when the offender is released from the jurisdiction of the corrections department/agency.

Match Visitor Identifiers: When a visitor arrives for visitation their personal information is obtained and a search of the visitor records is performed to match the visitor with a pre-approved visitor record.

Medical Assessment: A general evaluation is performed for an offender to determine medical, mental health, and dental needs.

Mental Health Assessment: A mental health evaluation is performed for an offender to determine mental health needs.

Monitor Security Monitoring System: Electronic systems are designed to perform specified monitoring functions utilizing a variety of technologies. Common to all monitoring functions is detection. When an event occurs that is monitored for detection, most systems utilize visual and/or audio notification

methods. Video surveillance is included as an electronic monitoring system although it requires an individual to view and detect events of importance.

Negotiate Resolution: Every effort is made to resolve an issue through effective communication and compromise. Where policy applies the constraints of the compromise is adhered to when reaching an agreement.

Notify: The notification activity produces and disseminates appropriate information for the purpose of making staff aware of an event and/or initiating action. The staff needing to know must have been identified for each event.

Notify Case Manager: Procedures to notify the Case Manager responsible for tracking the progress of the offender.

Notify Housing of Movement: The facility the offender is leaving from will be notified regarding any upcoming transport. The facility will be sent information specifying the date, time, and any property information, which would help the facility prepare for the move.

Notify Housing of Release: The facility the offender is leaving from will be notified regarding any upcoming transport. The facility will be sent information specifying the date, time, and any property information, which would help the facility prepare for the release.

Notify Parole Supervisor: Procedure to notify the parole supervisor responsible of a release to parole.

Obtain Release Information: Gather information pertinent to the release of an offender from incarceration or supervision.

Obtain Release Transportation: Offenders to be released from custody may require public transportation to their final destination. These arrangements are made by the corrections department/agency on behalf of the offender. The costs for the transportation are generally the responsibility of the offender, although some jurisdictions have policies that include paying transportation costs as part of the release process.

Offender Intake: Point of offender reception into the system or facility.

Offender Release Processing: At a prescribed time period prior to release, preparations are made for the offender's release from custody.

Order Extra Duty: After evaluating the details of an incident the offender will be given extra work duties as a means of accountability for unacceptable behavior.

Order Extra Restrictions: After evaluating the details of an incident the offender will have added restrictions applied as a means of accountability for unacceptable behavior.

Order Increased Supervision Level: An increased level of supervision above that which was in effect prior to non-compliance behavior will be imposed. This may be imposed as a part of an informal administrative sanction or as a result of a hearing.

Orientation: For offenders just received at a new facility, and in some cases housing unit, staff must acquaint with the existing situation or environment, generally including rules, procedures, and operating

guidelines for the assignment. The orientation will be logged as well as any information gathered from the offender, which may impact housing and case manager assignment.

For offenders arriving in community this may also include a reassessment prior to assignment.

Overtake Sanctions: The result of an appeal review may reverse a previous decision of guilt. If so, sanctions that were imposed will be terminated, and adjustments made where feasible.

Perform Account Correction: In the even an account does not reconcile to an accurate balance a process of verification will begin to identify possible errors. If none can be found an adjustment transaction will be posted to remedy the imbalance.

Perform Inventory: The act of identifying and counting items, then recording the information. In specific instances the inventory process must be completed within a prescribed time period.

Place on Transportation Schedule: Add an offender to a scheduled transportation out of the facility, yet maintain custody and control at the current facility until actual transportation.

Post Transaction: A transaction record will be produced and coded in such a way as to indicate if it is a deposit or withdrawal from the account.

Deposits will be added to the account balance. Withdrawals will be subtracted from the account balance.

Preliminary Sentence Time Calculation: A preliminary sentence calculation based upon non-verified information on the sentencing orders. Information such as time served, sentence for each offense, controlling sentences, etc. will all have to be validated later in the process. The preliminary calculation gives a best estimate of release dates minimum and maximum at the time of reception.

Process Deposit: The processes associated with depositing monies into an account. Rules to be enforced will affect the process, requiring validation, collection of reparations and other debts.

Process Request: Requests for offender information is processed according to information release procedures.

Produce Override Request: When it is determined an override is warranted a formal request is produced listing the reasons for the recommendation. The recommendation must be factually based, listing specific details necessary for the decision making authority to make a determination. This information will eventually be recorded to support the override decision.

Produce Payroll Form: The process of accounting for attendance in a work program by deriving the payroll amount to be deposited into the offender trust account.

This form lists one or more offenders, their job assignment, the hours the offender worked and the hourly rate they are to be compensated.

This form is signed by the work supervisor or program provider to verify and authenticate the identity of the offender, and the deposit information it contains. It is then forwarded for required reviews and then to the Trust Accounting office for processing.

Property Override Authorization: The act of issuing a document authorizing the possessor to possess the property item described and identified.

Property Storage: Storage of property items during temporary transitional periods in a secured location. Transitional periods include when offenders are away from their assigned facility for court appearances or for medical treatment, or when temporarily assigned to a segregation area where designated property items are not permitted. Processes included in this activity will depict the return of the property to the offender at some point.

Re-count: In situations where the initial count was performed and cannot be reconciled with the expected count, a repeat of the count process is ordered to resolve the discrepancy. Some jurisdictions follow specific guidelines if this were to occur in an effort to avoid duplication of a persistent error.

Reactivate Inmate Status: The offender is reactivated as an inmate. The offender's time continues to be controlled by the parole board even though there is a return to inmate status.

Reactivate Offender Record: Offenders returning through reception on new offenses will have their previous number reactivated, while indicating a new incarceration status.

Receive Adverse Report: A report of unauthorized behavior such as suspected criminal behavior or failure to comply with conditions. Report may in most cases be unsolicited.

Receive Deposit or Withdrawal: The deposit or withdrawal forms will be delivered to the Accounting Office by various means. In some instances, the format is electronic where an automated process has produced the form.

Receive Grievance Correspondence: The reviewer will receive a copy of the grievance document with instructions to respond within a prescribed time frame.

Receive Grievance Reply: The grievance issues will be reviewed and a reply will be documented and returned to the Grievance Coordinator. This staff person will communicate the results of the review to the offender. When the offender receives the reply will begin the evaluation process to accept the results or initiate the next available action.

Receive Monies: Monies will be received via the mail, electronic transfer, or hand carried by a transport person. Instances where monies are transferred between individuals will result in a receipt to document and account for the transfer.

Receive Offender: An offender is received into a facility either from a correctional facility, county jail, or other external jurisdiction. The offender will be immediately placed on the facility count, but may not yet have a bed assignment. An offender may also be shown on temporary status, if the facility is only a temporary stop on the way to a permanent facility assignment.

Receive Property: Property items will be received from a number of sources. This will initiate a process for tracking the property in order to document the items as well as the ownership of them.

Receive into Bed Assignment: Once the offender has physically arrived in the housing unit scheduled to be the permanent assignment, staff receives the offender into the bed assignment placing them immediately on the count for the receiving housing unit, cell, and bunk.

Recommend Custody Level: The case manager must be able, after reviewing the scored custody level and the program/risk factors, to make a recommendation as to the appropriateness of the scored custody index. If the case manager believes this is appropriate, the scored custody level can stand as the

recommended level to the Facility Classification Board. If the case manager does not believe it to be appropriate, an override can then be requested.

Recommend Remedy: After consideration of all the information pertaining to a grievance issue a recommendation will be formulated to remedy the situation. The remedy may consist of granting the correction requested by the offender, or a modification of request, or one formulated by the reviewing staff person.

Reconcile Account: The information produced in the account statement report will list deposit and withdrawal transactions with a running balance. The statement will have a beginning and ending balance to afford the reviewer the ability to add and subtract transaction amounts from the beginning balance and reconcile to the ending balance.

Reconcile Count: The actual count of the offenders in the unit and the out count must be reconciled to match the expected count for each unit.

Record: The act of documenting any form of action, decision, or information that is to be placed among official records.

Record Event: The creation of an entry for an event or outcome containing essential information for future retrieval and use by correctional staff.

Record Management Plan: The management plan is entered and becomes a dynamic document to be used to measure accountability throughout the incarceration period. The plan may also be adjusted as the offender progresses or demonstrates additional behavior requiring intervention.

Record Participation: Enter participation and evaluation information into the database.

Record Performance: Evaluate performance criteria and record a rating in the form of scores or grades.

Record Placement Denial: The reason for a placement decision will be entered along with the reasons supporting the decision. Victim input will be kept confidential and although perhaps part of the reason will not be entered as such.

Record Program Denial: After making a determination the offender should not be accepted in the program, the Program Provider will record reasons for the denial in the computer database.

Record Results: When an event is completed, some form of documentation of the results of the event will be developed. Generally, all offender contacts are documented in a log that includes notes about the contact and the date and time the contact occurred. Offender management is enhanced when contact logs from multiple service areas are maintained in a central repository to allow information exchange that will aid correctional staff in offender management tasks.

Record Sanction: The result of a process whereby an offender has either admitted to or has been found guilty of an infraction will result in a disciplinary action known as a sanction. The process of defining the sanction and any parameters with which to apply the sanctions is a separate step in the disciplinary process. An evaluation of available sanctions will be performed, and an appropriate sanction will be applied for the infraction. In some jurisdictions the sanction is well defined for each offense, so the application is simply an affirmation of the policy. The sanctions that have been ordered will be recorded and linked to an infraction report. Note there can be many sanctions ordered as a result of a finding of guilt for a rule infraction.

Remove From List: Purge information from an established list of records. In most instances the information is retained but the logical association with the list is updated to indicate it is no longer active.

Remove STG Record: When pre-existing affiliation with a security threat group can no longer be substantiated, or a previously identified threat group has little or no active affiliations, all records are purged. With individuals, the affiliation record is removed to avoid falsely labeling that person.

Render Decision: After considering evidence and testimony presented, a finding affirming the allegation or not affirming the allegation is rendered.

Render Grievance Decision: After reviewing all correspondence associated with a grievance issues a decision is made and communicated to appropriate individuals.

Repossess Property: Actions taken whereby possession and control of property items are returned to the Property Officer.

Reprimand: Action taken to critique an individual either verbally or in writing, with the intent to correct behavior. Action will be logged as multiple reprimands may drive more serious sanctions.

Request Activity Modification: Staff responsible for a particular activity may desire specific changes be made to the activity that might affect the facility schedule as well as that of assigned offenders. The specifics may include time, location, and duration of the activity. There would be the ability to review potential conflicts prior to requesting the change, to assist in specific option choices.

Request Activity Reinstatement: When it is determined a activity currently is not active, but does not provide for all needs outlined in the activity specification, a request is initiated to modify program to satisfy these needs. The request to reinstate an activity will include details about specific time and location of the activity. If these have not changed, the old specifications may be resubmitted. The request will include sufficient information to formulate a decision that will result in an appropriate authorization or denial of the request.

Request Information: Information will be solicited and used for one or more purposes. The information generally consists of offender related data elements, but is not restricted to this alone. Family and community support is often considered when developing the reentry plan.

Request New Activity: When it is determined that an activity does not exist that will provide for specified needs, a request is initiated to produce or create a new activity to satisfy these needs. This request will include details about the activity that are necessary in the decision making process that will result in the appropriate authorization or denial of the request.

Request Warrant: When an offender has absconded a warrant will be requested to initiate the apprehension process.

Respond to Grievance: During one or more steps of the grievance process the offender will receive a written response from the appropriate or responsible staff person. This response will serve one or more purposes. Generally, the response will acknowledge receipt of the grievance communication, and may include a decision, reasons to support the decision, and corrections if applicable. The offender may be informed of any option for having the decision reviewed. The response will be date and time stamped for reference and verification the action completed within required time frames.

Respond to Requestor: Any time a response is appropriate either a document is developed and sent, and/or a verbal communication is performed to provide a requestor with information regarding their request.

Retain on Facility Waitlist: A bed is available which matches the waitlist the offender was placed on, however for various reasons the specific facility is not deemed appropriate. The reason would be logged and the offender would remain on the waitlist, but now excluding the facility in question.

Retrieve Account Statement: The statement of account activity will be retrieved for a specific time period.

Retrieve Activity Assignment Request: A request for an offender assignment to a specific activity may come from various sources, including the staff person responsible for making the actual assignment. The request may be for an activity with a specific time and location or it may be for the type of activity, which has several slot options available.

Retrieve Activity Schedule: Access information sources to obtain activity summary or detail information. In some agencies a central management area will maintain activity schedule information utilizing methods that can be readily viewed. The information retrieved is subject to security permissions, and in some instances, the information will be filtered for specific functional units or facilities.

Retrieve Appeal: Obtain the appeal document from the appropriate source or storage location.

Retrieve Application: Instances where an application has been submitted requesting an action the document is obtained from the source or storage location.

Retrieve Authorization Data: For various activities, movement, or services there is a process for retrieving pre-approved authorization for the offender or group of offenders.

Retrieve Authorized Move List: Candidates for facility transfers are flagged as having been approved by the appropriate authority. The authority may vary depending on the type of anticipated move. Offenders flagged as authorized can be retrieved at any time for the purposes of identifying the appropriate placement.

Retrieve Caseload: An assigned caseload will be associated with a staff person responsible for managing offenders. The caseload must be able to be obtained by workload information and individual offenders assigned. This list will often indicate offender information such as level of supervision required and upcoming events.

Retrieve Classification Information: Retrieve specific offender classification data that may scores and custody levels.

Retrieve Clinical Needs: Those clinical needs assessed by clinical staff for each offender while incarcerated. These could include treatment issues, restrictions, or other issues that might affect the offender's placement and management plan. The needs accessible would not be from the medical record but from information clinical staff entered for general corrections management usage.

Retrieve Criminal History: Obtain the history of criminal activity from appropriate sources.

Retrieve Custody Level: A custody level is assigned to every offender, this has been derived through the classification process. The custody level reflects the offender's security risks. The custody level will be retrieved when decisions are required which take security risk into consideration.

Retrieve Custody Status List: A classification tracking list is generated for offenders scheduled at a pre-set time for consideration, either through routine time requirements, or due to prescribed aggravating or mitigating factors. The offenders may be in various stages of consideration, and the list will provide offenders relevant to the staff person's role and the stage they are interested in viewing.

Retrieve Disciplinary History: Obtain the disciplinary information associated with an offender during their incarceration period.

Retrieve Emergency Plan: Based upon the type of emergency, an appropriate plan is retrieved and verified. Emergency plans will have required periodic updating and testing.

Retrieve Facility Bed Count: Facilities will have a current capacity figure, as well as a current count. The two numbers will derive an available bed number.

Retrieve Facility Movement Report: The retrieval of all the moves that took place into and out of a facility in a given time period. Indicating what beds are available for occupancy

Retrieve Facility Waitlist: Offenders are placed on facility waitlists, based on custody level and other identified needs and risks. The list must be available for retrieval by facility, or other appropriate selection criteria.

Retrieve Freeze Account Order: Obtain orders from multiple origination sources where action is to be taken to block withdrawal activity from the offender's trust account.

Retrieve Grievance: Obtain the record of the documented grievance that includes the specific details of the offender's issue and the desired remedy.

Retrieve Hearing Schedule: Obtain the schedule listing for a specific date that includes information necessary to perform a formal hearing.

Retrieve Incident: Information describing incidents must be forwarded to the appropriate staff person for further action if required. Once the incident is retrieved it must contain enough information either directly or associated with the report for the reviewing staff to take action.

Retrieve Inspection Schedule: All security devices require inspection over the course of a week. A schedule is established to inspect various devices at given times. This schedule may be revised periodically. The schedule will be retrieved as a part the inspection process.

Retrieve Log Reports: At the start of each shift, security staff will retrieve one or more reports regarding the previous shift. These reports will include pertinent information regarding incidents, individual offenders, and groups of offenders.

Retrieve Management Plan: The current management plan for a specified offender will be obtained for review. The management plan will indicate areas the offender is required to address during the incarceration period and may include specific programs in which the offender is encouraged to participate.

Retrieve Medical Status: Medical treatment information, restrictions, and current conditions may impact the offender's ability to function or obtain treatment. This information will need to be available at the time of classification.

Retrieve Misconduct Report: Obtain the information for a specific violation that was documented and recorded for purposes of review.

Retrieve Misconducts: Misconduct and Infraction history must be available at the time of scoring as it is utilized significantly in a reclassification instrument. The facility response to the infraction may be the triggering event in determining the need for a classification to take place.

Retrieve Needs Assessment: Offenders have ongoing needs assessments conducted, upon intake and then as needed by various disciplines. These areas could include medical, psychological, substance abuse, education and various other needs. This information will need to be retrieved and reviewed against current participation.

Retrieve Offender Information: Retrieve specific offender data that may include current and historical information. Offender information is searched using combinations of identifiers, name, and other identifying characteristics.

Retrieve Offense Data: Criminal history based on current RAP sheet data must be available. In addition, the current conviction offenses and expected time to serve make up factors in the instrument and must be current. Other related criminal history such as escapes and the nature of the offenses, i.e. assaults, are critical data that the classification and assessment process will require. This information may be available through the pre-sentence investigation. Where the corrections department/agency is responsible for the pre-sentence investigation (PSI), this may be readily retrievable. Where the corrections department/agency is not responsible for producing the PSI it may be less.

Retrieve Override Request: The override request document is obtained from the appropriate storage location.

Retrieve Patrol Schedule: Supervisory security staff must conduct daily patrols of inmate occupied areas and weekly patrols of unoccupied areas. The daily schedule for the patrols will be available for retrieval.

Retrieve Program Needs: To begin a process where program needs are considered the assessment information is retrieved from the record storage location. This action requires offender identifiers be used to obtain the assessment information for a specified offender.

Retrieve Program Participation: Offender program participation should include the status in the program, whether currently assigned, attendance and the level of participation the offender put forward. This information is needed in measuring program performance as it relates to the offender's identified needs.

Retrieve Programs for Current Location: A listing of current programs with summary information about the program will be obtained for reference. Summary information will include program availability for any given location, a synopsis of program purpose and content, capacity, prerequisites, etc.

Retrieve Property Record: The property record will be retrieved to provide current information about the property an offender should have in his/her possession.

Retrieve Recidivism Risk Information: Obtain information on offender risk factors from existing sources, most notably the computer database.

Retrieve Reentry Plan: The reentry plan is developed for the purpose of providing the releasing authority a plan to review before an upcoming hearing. The plan will contain risks, an accountability plan, and residential/work expectations. The plan should be sufficiently retrievable to the reviewers prior to the hearing.

Retrieve Referral: The referral information is obtained for review. This is achieved by using the program identifiers for query purposes and will result in a list of offenders that have been referred. The Program Provider will perform a review of each offender retrieved in the list.

Retrieve Reparations Statement: Obtain the history of payments received and applied towards reparations debt.

Retrieve Request: This activity is the act of retrieving a formal request for an action or omission. This activity denotes the request has been documented, and will be reviewed resulting in either an authorization or denial of the action or omission.

Retrieve Request to End Activity: A request will have been submitted to end an activity from the facility schedule. The staff person responsible will require the ability to retrieve the request and related information to proceed.

Retrieve Risk Predictors: At the time an offender is initially classified during the intake process, institutional behavior information for the current incarceration is not available. Other risk factors may be available such as socio economic status, family characteristics, detention history and other risk factors such as a history of violence, gang affiliation, and separation issues. These risk factors may be updated throughout the offender's incarceration period and utilized for activity, facility, and community placement decisions.

Retrieve STG Information: Information regarding security threat group affiliation will be obtained from available sources in order to determine if appropriate notifications should be made.

Retrieve STG Record (New): Access files to obtain STG information kept on record.

Retrieve Sanctions: Obtain the sanction order information produced from a disciplinary finding.

Retrieve Search Schedule: The search schedule for a given shift must be retrieved, giving specific location information for where the search is to be conducted, common areas, cells, and/or individual persons. Staff responsible for retrieving the schedule are not necessarily those responsible for entering the search schedule.

Retrieve Security Risk Information: Security risk information gathered through the initial intake process or through other sources such as pre-sentence investigations. This information could include separation issues, enemies, specific violence issues, or any other risk issues that might affect institutional adjustment.

Retrieve Services Schedule: Access information sources to obtain institutional services summary or detail information. In some facilities a central management area will maintain services schedule information on boards that can be readily viewed. The information retrieved is subject to security permissions, and in some instances, will be filtered for specific functional units or facilities. Services

include food services, religious services, commissary, library, recreation, hobbies, medical/mental health services etc.

Retrieve Termination Order: Prior to reviewing an order to terminate the order record is obtained from the storage location.

Retrieve Test Results: Test results and any associated interpretive information for such things as education level, aptitude, general adjustment issues, and substance abuse should be available for assessment or reassessment. The results from tests administered during the reception process as well as those taken throughout the sentence period, should be accessible to appropriate staff.

Retrieve Time Credit Information: Obtain information pertinent to calculating the projected date the offender will be released from incarceration.

Retrieve Transportation Schedule: Transportation may be scheduled days in advance, a schedule should be available for each day of scheduled transports. It should indicate the numbers of offenders expected in and out of each facility, as well as the identifiers of each offender if needed.

Retrieve Victim Registration: Using key identifiers the victim registration information that has been submitted and filed with the correctional department/agency is retrieved for processing.

Retrieve Visit Type: Obtain the type of visit requested.

Retrieve Visitation List: Obtain the records listing pre-approved visitors for a specific offender.

Retrieve Visitation Schedule: The list of visits scheduled for a given day at a facility will be obtained for review. The purpose of the review will be to plan and coordinate the visitation schedule, or to obtain information about a visit event that took place.

Return Application: Instances where an application has been submitted requesting an action the document is returned to the source or storage location from which it originated.

Return Key/Tool: Log the return of the key/tool including the time of return and the condition of the equipment.

Review Activity Request: The process of reviewing specifications to add or modify an activity for the purposes of creating a new activity or making changes to an existing activity.

Review Activity Schedule: Activity schedules are reviewed as needed to determine resource needs and identify existing or potential conflicts. Security assessments are an essential element with regard to offender management concerns. Instances where issues are identified, schedule corrections are initiated and notifications disseminated to all coordinators and participants using appropriate methods.

Review Appeal: When an offender submits a document appealing a decision or finding, a review of the information is performed to ensure procedures and policies were followed in prerequisite processes. A decision is rendered either supporting or overturning the preceding actions, with appropriate notification issued.

Review Charges: Review information about the infractions to adequately formulate a belief or understanding of the facts.

Review Earned Time Credit: Review earned time awarded by the person authorized to grant the award to ensure statutes and rules are applied correctly.

Review Grievance Correspondence: In the final review level all correspondence associated with a grievance issues is reviewed in order to reach a decision. This includes making sure all procedures and policies have been adhered to within the prescribed time period.

Review Grievance Issue: The reviewer of grievance correspondence will consider the information to determine if an appropriate remedy is possible. A response will be formulated and returned to the Grievance Coordinator.

Review Program Requirements: This is a process of reviewing program requirements and offender progress information to determine if the requirements have been achieved. This process will result in a determination that the offender either has or has not satisfied the requirements of the program.

Review Property Disposition Order: Verify property identifiers with items and determine disposition action.

Review Referral: The Program Provider will review the referral information for each offender in the retrieval result set, and make a determination of acceptability. The review will result in either acceptance into the program or a denial.

Review Release Date: Reviewing the date the offender is scheduled for release to determine if the incarceration period is nearing an end.

Review Release List: View the list of offenders that are approaching the end of their incarceration and will require processing for release.

Review Statutory Time Credit: Review factors supporting the reduction in good time credit.

Revise Activity Schedule: Functions and tasks relative to affecting changes to the activity schedule in order to address identified needs and issues.

Revise Classification: At a review step, the reviewing authority has the option to revise the recommended classification level. This revision may be based on the offender's situation and/or institutional needs. The offender's situation may have changed since the recommendation and the reviewing authority will need to have this information available. The change reasons will be documented.

Revise Parole Eligibility: The process of revising the eligibility date an offender can be released under parole supervision.

Schedule Activity: The process of reviewing activity specifications and assigning days and times the activity is to be held. The process includes assessment of facility needs and existing activities to determine scheduling needs.

Schedule Bed Assignment: When a move is imminent, a move is scheduled into the housing unit and optionally the cell and bunk. The offender may still be assigned to a current bed that will soon be departed or may be in a temporary status. The scheduling holds the bed until it is assigned or released. In the case of inter-facility movement this only denotes a preference, and is not intended to hold a bed in reserve. Specific beds will be reserved for offenders with special needs.

Schedule Contact: Instances where the offender and staff person need to communicate, a method is developed to establish the contact by appropriate means. Generally, this involves defining a date and time for the contact and sending appropriate notification to participants. In some instances, a response is solicited to accept or not accept the scheduled contact. Where the contact involves offenders, the notification is in the form of an order to appear. The offender may have initiated the contact by sending in a kite.

Schedule Hearing: Set a date for a formal review hearing of an offender's status. The hearing may be initiated either by a status review date, or a violation/incident report.

Schedule Search: Schedule a time and location for searches within the facility. The searches may be set from random determination or based upon suspicion. The capability must exist to maintain the random nature and unpredictability of the searches.

Score Individual Items: It is required that the data from the various sources identified populate the factors used in the scoring instrument.

Score STG Criteria: Criteria includes STG related activity, history, affiliation and confirmation by other LEA or Corrections agencies. Each criteria factor is rated with a score in order to determine affiliation level. The offender will be classified as passive, active, and disruptive.

Send Notice: The act of sending a formal notice to communicate a decision or action.

Sentence Order Evaluation: Sentence order evaluation identifies the key elements of court findings and judgments. Key elements include statutes of convictions, crimes and sentences, awards for pre-sentence confinement and statutory good time, and orders to pay restitution.

Sentence Time Calculation: This activity derives the projected date the offender will be released from incarceration by applying rules for time credits and parole eligibility.

Set Custody Review Date: If an offender requires classification as a result of appearing on the custody status list, there will be a mechanism to initiate the process and schedule the classification.

Set Next Hearing Date: A date is set for a hearing in the future. This may be as a result of an incident or a periodic hearing to review the status of the offender.

Sex Offender Verification: In some instances, the history of convictions will readily identify offenses categorized as sex related offenses. Where convictions for these offenses are present the offender is identified and verified as a sex offender. In some instances, pre-sentence documents are used to determine if an offender was originally charged with a sex related offense but due to plea bargaining the offense was obscured from the final conviction. In some jurisdictions this information is utilized for treatment programs at the discretion of the incarcerating department/agency.

Status Review: The community corrections officer monitors events that will initiate a review of the offender's compliance, as well as perform mandatory reviews defined by policy. Events include information obtained from arrests or adverse reports, interviews with offenders, or from other sources communicating information that would suggest a review take place.

STG Status Review: The STG Officer monitors events that will initiate a review of the STG validation process, as well as perform mandatory reviews defined by policy. Events include information obtained

from incident or misconduct reports, interviews with offenders, or from other sources communicating information that would suggest a review take place.

Submit Application: Instances where an application has been handed over for processing.

Submit Referral: The referral will be entered specifying the time of the referral, the program, the areas to be addressed by the program/placement, and any pertinent history. The entry should trigger an event for the program provider or reviewing supervisory staff.

Submit Report: When a report is developed and documented it will be handed over or recorded for reviewing or communication purposes.

Submit Request: A formal request is submitted to initiate an action or omission. It assumes the request will be documented, and will require a review process that will result in either an authorization or denial of the action or omission.

Summon Offender: Utilizing appropriate methods to contact the offender, staff with custody and control, and appropriate security checkpoints, with instructions directing the offender to report to a specified location at a specified time.

Superintendent Review: The superintendent or their designee reviews a decision made by staff prior to the decision becoming final. The outcome of the review will be entered, either approving or disapproving. With disapproval, the reasons will be provided.

Tag Property: Property items are marked in such a manner to readily identify the owner.

Update Activity Record: When activity has been created in the system it will be updated with changes or addendum information as needed.

Update Program Plan: Updating the program participation is an iterative process that will happen over the life of the plan. Changes to the plan, recording of progress or program completion are examples of updates to the plan that will be entered. This should directly contribute to the offender's overall management plan.

Update Record: When information is obtained for an established record, the pre-existing information in the record is amended or an addendum is added for future reference or communication.

Update Reentry Plan: A reentry plan will require updating before each new hearing or after hearing decisions where further issues are ordered to be addressed. An example would be securing housing prior to setting a release date.

Update Sex Offender Indicators: This is the process of establishing a record in the computer database with information about the sex offenses the offender was convicted of. Indicators include whether or not the offense was violent, or if the offense involved a child, etc.

Update Sex Offender Registry: Sex offender registry will be updated with the offender's status and location.

Update Trust Account: After updating the information the account record is updated to reflect the changes.

Validate STG: An objective point assessment is performed and uses to validate offenders into various affiliation levels within an identified security threat group. The criteria factors used include self-admission, possession of STG contraband, tattoos, observed behavior, STG correspondence, photos, official document identification, or LEA identification.

Verify Application: The process of evaluating the information on an application to ensure requirements have been satisfied. This may include background investigation or cross reference with other lists such as victims, sex offender, child abuse.

Verify Authorization: Ensure the proper authorization has been given prior to performing an action.

Verify Out-Count: Verification of the out-count comparing the expected location of the offender, with the schedule of activities and documented participants. In some instances this may be pre-cursor action to ensure offenders are returned to their assigned living unit for a formal count. This is done to reduce control issues associated with obtaining accurate count information.

Verify STG Record: The validation process determined there was or is no longer an affiliation with a specific security threat group. Any pre-existing record of STG affiliation will be removed provided the time period requirements have been satisfied.

Verify Sentence Order: New commitment and sentence orders are verified to ensure the correct individual has been sent to the department/agency for the correct reasons.

Verify Transfer Order: This will include inter-facility transfers, parole/community returns, and returns from temporary custody with other agencies, where a transfer order is required to accept the offender into the facility.

3. ACTOR

Accounting Office: All financial accounting is performed by either centralized or decentralized offices. The accounting practices include receipt and disbursement of monies, managing accounts for the offender as well as the corrections department/agency, and a variety of tasks related to budgetary or financial matters.

Activity Coordinator: This is a staff member assigned to an activity to supervise or facilitate. This individual is responsible for accountability factors such as attendance, achievement measurement, and reporting.

Administrator: Staff person at the administrative level.

Assessment Staff: Correctional employees that compile information, interview the offender and develop the offender management plan in a reception setting. These staff may have similar titles to staff in the facility such as classification specialists or counselors.

Case Manager: The staff member responsible for tracking the status of the offender and progress through correctional processes including adherence to the management plan, adjustment to incarceration, and reentry into the community. Other titles include Classification Counselor, Corrections Counselor, and Social Worker.

Cashier: The staff person responsible and accountable for all monies received at the correctional department/agency, and handles all deposits to a commercial bank account.

Checkpoint Officer: Staff person assigned to a specific security location to control, monitor, and report on movement activity.

Classification Officer: Responsible for reviewing and approving classification changes at the facility.

Clinical Staff: Medical or mental health staff person.

Commissary Officer: The staff person conducting and processing sales of authorized items. Some of these items are not governed by property policy but are considered hygiene and consumables.

Community Corrections Director: Responsible for the oversight of inmates in community placement, either at the Department or region level. Community centers may also hold parolees, which might have some form of dual supervision.

Community Corrections Officer: Staff providing supervision of offenders while they are in community corrections status. Community corrections includes probation, parole, and community residential placement. Other titles include parole officer/agent or probation officer depending on jurisdictional responsibilities. Work release centers may also have community center counselors serving in similar capacities.

Community Review Board: Board comprised of representatives from the community, responsible for reviewing placements into half-way houses.

Control Center Officer: Staff person assigned to the central operational center for the facility. This center controls all the vital security and operational management functions for the facility. This nerve center controls, monitors and observes all offender, staff and visitor activity and movement. The center

also records and tracks offender counts, fire and security alarms, communication, key issue, and telephone system.

Court: The adjudicating authority that hears evidence and renders a ruling that is binding.

Departmental Offender Manager: Person responsible for system-wide offender management.

Evaluation Staff: Staff responsible for evaluating offender program needs by administering a battery of testing to the offender. The staff person may be specialized in a specific area – education, substance abuse, or mental health, or a generalist.

Facility Job Board: A panel consisting of one or more staff persons responsible for job and program assignments within the facility.

Facility Schedule Coordinator: Staff person responsible for coordinating the facility activity schedule. This staff person could also hold other roles in the facility. This role may involve one or more staff persons representing many business functions of the facility.

Grievance Officer: Staff person responsible to administer the grievance process within the facility

Hearing Examiner: Staff person responsible for conducting formal misconduct proceedings.

Hearing Officer: Staff person who conducts official disciplinary proceedings.

Housing Officer: Staff person responsible for supervising the offender while in the living unit.

Intake Officer: Staff person responsible for processing arrivals into the correctional facility area of custody and control.

Investigator: Staff person responsible for investigation of criminal and administrative misconduct by offenders and staff

Mailroom Officer: The correctional staff member responsible for screening and processing all incoming correspondence and packages for contraband, then routing them to the offender. Specific items are routed to other entities of the correctional department/agency such as checks and money orders to be deposited in the trust account, or items to be added to the property inventory.

Offender: Individual committed to the custody of the corrections or paroling authority to include incarceration, probation, parole, and community assignments.

Parole Board: The entity authorized to grant parole and has authority over the offender during the parole period. May also be referred to as Board of Pardons and Parole, with the additional authority. Jurisdictions without traditional parole may have a sentence review committee with various titles.

Primary Care Provider (PCP): The physician, physician assistant, nurse practitioner, psychiatrist, pharmacist, or dentist that is licensed and/or certified to perform health care examinations, formulate a diagnosis, and prescribe treatment. The PCP may be Department of Correction employee or, increasingly, a contract employee who provides these services on a part-time basis.

Program Provider: An individual employed or contracted by the correctional department/agency to provide a specific offender service such as substance abuse treatment, educational, vocational services, work supervision, or medical and mental health services. This individual is accountable for accurate

recording of offender participation, ratings, and successful program completion, and is to ensure the program objectives and goals are adhered to by all participants.

Property Officer Records Officer: Staff member responsible for maintaining inventories and records of all offender property. Assures the legal incarceration and release of offenders sentenced to the corrections department/agency by analyzing and auditing all incoming legal documents, calculating parole eligibility dates, sentence discharge dates, and parole board hearings.

Review Committee: A committee of facility staff persons reviewing significant decisions affecting offenders.

Security Staff: Staff assigned to provide various security and operation functions throughout the facility.

Shift Commander: Responsible for security operations during a given shift. Often this is a security captain with the routine day to day operational decisions.

Staff Person: This is an employee of the corrections department/agency that performs assigned duties in order to fulfill the mission of the department/agency.

STG Officer: Staff person(s) responsible to gather, monitor, and collect intelligence information on STG affiliated offenders. The name given this actor varies by jurisdiction.

Superintendent: Chief administrator in charge of the facility.

Supervisor: This is an individual with authority and responsibility to provide direct or indirect supervision of another individual. The individual supervised may be a correctional or contract employee. The supervision functions may involve work activities, case loads, programs, medical needs, or any number of examples depending upon the functional need of the corrections department/agency.

Transportation Officer: Staff person charged with duties of offender transportation.

Unit Management Team: The review team is responsible for the overall approval of the offenders plan and continuing modification. The team may be at the unit level or at the facility level and is comprised of members representing the key areas in the management of the offender, such as security, work, programs, medical, and housing.

Victim Services Coordinator: Staff person responsible for victim services coordination.

Visiting Area Staff: Staff responsible to operate the visitation program at the facility.

Visitor: An individual approved to visit a specific offender.

4. PACKAGE

Caseload Management: Offender caseload management is the process used by institutional and community corrections service providers to structure the risk levels of clients and determine the program and security strategies to meet the criminogenic needs defined in the management process. Caseload management also provides documentation of events during an offender's incarceration period, and further provides counseling and guidance to the offender while serving as a resource to other areas within the agency and facilities as the offender moves toward community reentry. The system requires the offender to proactively accomplish the treatment program. Periodic progress assessments allow the institutional staff and the offender to set benchmarks for progress; however, the dynamics of managing an offender caseload require some discretion and flexibility.

Classification: The dynamics of the offender classification system require that it be a key component of any correctional environment. It is essential to ensure that all offender assignments are based on risk, security, and programmatic needs.

There is not always consensus among the three in combination, and so the requisite for public safety demands that security and risk have primary consideration. Many systems have objective based classification systems. This requires that the same set of factors or objectives are applied to all offenders during their initial inception into prison and at frequent intervals, or as required by policy. From this assessment, a custody level is identified that helps sort the offenders to specific facilities and assignments within the system.

These custody levels can also limit access to certain privileges, specific programs, or business functions (i.e. commissary, visitation). The foundation for prudent correctional management is supported through a classification system that has been validated on how well the risk level of each offender is determined with regard to their threat to the public, other offenders, staff and visitors.

Sorting high risk inmates into low security can result in serious incidents of escape, assault, and other similar security breaches.

When the scored custody level is determined to be inappropriate for any justified reason, then a variance to this level can be requested in order to raise or lower the custody level. This process is referred to as an override and is supported by reasons that are determined to be either mandatory or discretionary.

Mandatory overrides may be supported by policy or law that requires certain category offenders not be assigned to specific custody levels or that they are assigned only to specific prisons. Discretionary overrides are those that are justified by staff request that are supported by sound correctional analysis. Discretionary overrides help assess the overall system validity. A classification system with high override rates is not providing an accurate assessment of the offender's risk levels and may need to be revised to ensure that the proper factors are being applied in order to accurately determine the risk and threat levels.

Community Supervision: Release to community supervision for offenders can include a variety of assignments from community residential programs to various levels of home detention and reporting requirements. The three status levels are those under probation supervision, incarcerated supervision, and those in parole supervision. Incarcerated supervision targets inmates in pre-release environments, with an imminent parole consideration or release date. In most cases they must be referred for consideration and require the approval of both corrections and community officials. Parole supervision requires that the offender has received approval by the paroling authority to be released into the community under certain terms and conditions, and within several ranges of residential living to include their own residence. In

some jurisdictions the Parole authority may have the responsibility for all community supervision processes, and in other jurisdictions it may other actor(s) in this role.

Discipline: The system of discipline within corrections serves to regulate the conduct of offenders and officially document incidents that lead to individual disciplinary actions. The system requires formal procedures that are followed when moderate to serious incidents occur and informal procedures for minor infractions. The system also implies a potential safer quality of life for those that wish to conform and abide by the established rules. This entire process is an administrative action concerning many incidents and actions that could also be considered criminal. Furthermore, the process of administering the discipline system and its procedures are set aside from the legal process wherein the same incident may travel through the judicial system as it completes a separate discipline route. Therefore, the appropriate documentation and tracking of all incidents that occur within each institution is important for legal and administrative purposes. The statistical tracking assists administrators in determining high-risk concerns and problem offenders. The information also identifies trends and security gaps.

Grievances: Incarcerated offenders are afforded an appropriate means for communicating their problems, with an expectation their problems will be heard and resolved. The resolution may be in many forms, from an action to correct the problem to an explanation of circumstances with no action at all. The process should be timely, documented, address emergencies or special conditions appropriately, and afford the offender an appeal to have the resolution reviewed should they choose to do so.

Housing Bed Management: Offender Movement within a correctional setting has several levels and variations. One variation is intra-facility movement, which takes place within one particular facility or complex. The other type of movement is inter-facility, which occurs when a distinct or permanent move is made between facilities. This common business function describes the process of moving offenders between facilities that have separate administrators, but are within the same department.

The offender movement process is required to facilitate the placement of offenders into appropriate facilities. This placement is based on a number of factors including but not limited to classification or risk assessment, program needs, medical needs and institutional bed space needs. In addition to the actual offender move, the process must track, record, and monitor the location of all individuals under the legal custody of any Corrections Department. This information can be used to verify the location of any inmate in real time. Hence, inmate accountability to official counts, housing assignments, program/work participation, visitation, food service, recreation and external movement can be verified. Outside agencies, inmate families, legal representatives, the media, and the general public all have interests in the inmate movement system with regard to verification of an inmate's assignment or location.

Investigation Gang Management: The processes of identifying, validating, and collecting information about offender affiliation and participation with known social groups commonly referred to as gangs or security threat groups (STG), has been accepted as a vital tool in corrections. The establishment of coordinators to perform these tasks is indicative of the importance this information plays in the secure management of offenders. This area encompasses two primary functions which include the collection of valid information, and the reporting of the information to appropriate entities.

The information that is collected is often secured with restricted access to detail information. In some jurisdictions the database is kept separate from the offender tracking system database. Status indicators or flags will communicate to appropriate users of the information that a particular offender has known gang affiliations.

The process begins during the reception process and continues with a periodic review by the coordinator, commonly referred to as the STG Officer. The STG Officer completes the screening process and validates

suspected offenders with an affiliation. The STG Officer collects relevant information and maintains records of offender affiliation and activity. The STG officer disseminates this information to affect security management objectives.

A more comprehensive management plan may exist in some jurisdictions whereby offenders may be required to participate and successfully complete programs intended to address their gang participation behavior. These programs may be tied to the offender the management plan, or in some way be tied to requirements for progression through the system.

Medical: Under current case law, correctional agencies are obligated to provide basic health care, both medical and mental health services, at the same level as the non-incarcerated community. Basic health care includes sick call and routine access to prescribed medications, as well as adequate screening and examinations, emergency care, ambulatory care, infirmary and hospital care, and specialty care. In this package, medical health care includes medical, dental, psychiatric/mental health, and pharmacy services. A health care service in this context is defined as clinical authority whereby all medical, psychiatric, pharmaceutical, and dental matters involve the judgment of a licensed and/or certified Primary Care Provider (PCP). Primary Care Providers include physicians, psychiatrists, pharmacists, or dentists. Included in the definition of PCP are professionals, such as nurse practitioners and physicians assistances, as prescribed by applicable laws. Clinical service providers have a statutory responsibility and a clinical responsibility irrespective of their contractual or established state position.

The PCP is required to perform preliminary health screening of the offender upon their arrival at the correctional department/agency, followed up by a full health care examination within a prescribed period, 14 days for example, from the arrival date of the offender. The purpose of health screenings and examinations is for preventative health maintenance, early diagnosis and treatment.

Instances where screenings identify conditions needing further diagnosis and treatment, offenders are referred or scheduled for services as prescribed. If treatment is warranted, the PCP will prescribe the method and duration of treatment. Treatment includes but is not limited to medication, therapy, counseling, or transfer to an appropriate medical facility or PCP specialist.

Following initial admission screening, the first point of contact for the Offender involving Health Services is the Housing Officer.

Offenders will submit a form requesting access via sick call. Because of the interaction the Case Manager will have the Offender, health care needs will be brought to the attention of the PCP with a referral for services. In such cases the PCP will conduct a screening or examination based upon their initial assessment of information provided by both the Offender and Case Manager. It is this screening and/or examination process, often referred to as sick call, where the offender obtains access to primary diagnostic services for Medical, Psychiatric/Mental Health, and Dental.

Pharmacy services are an extension of Medical, Psychiatric/Mental Health, and Dental services where the dispensing of medical prescriptions is addressed. Oversight of medical prescriptions is provided by these services as it pertains to each area.

Emergency health care service is provided for Offenders when and as needs are identified. In some instances this will be when a PCP identifies a condition warranting emergency treatment during a screening or examination process. There will also be instances when a staff member will initiate an emergency process when, in the course of their duties, a first responder situation is presented.

Programs: Programs within a correctional setting promote the need for self-improvement and pro-socialization among the offender population.

Programs also increase public safety by reducing the risk of recidivism once the offenders are released from custody. Offender programs can address a wide variety of education needs, treatment needs, life skills and work skills. The primary goal of these programs is to help offenders acquire or improve appropriate skills, attitudes, and behaviors which will promote pro-social choices, reduce criminal behavior, and facilitate successful community re-integration after release. A secondary goal of programs is to provide a management tool for use by correctional staff to gain offender compliance.

Offenders may be assessed for certain programs based on educational testing or vocational interviews. Offenders may also be assessed to participate in programs based on current offense, recidivism, needs assessment, and historical criminal records information.

Assignments to programs must be consistent with the offender's current classification, security, and supervision requirements as well as the needs of the program or facility. Once an offender is placed into a program, his / her performance within that program is monitored for progress based on a definitive set of performance measures. Program effectiveness is tracked by the number of offenders who meet or exceed the performance measures of the program and who satisfactorily complete the program within the time standards allowed.

Property: This use case describes functions for tracking offender property. Functions include the receipt, transfer, storage, maintenance, release, and disposal of offender personal property and items brought with them during arrival processing, issued by the corrections department/agency, or received from approved sources.

Reception and Commitment: The reception and initial commitment of an offender into the system is an essential phase that not only verifies and gathers accurate demographic information, but also establishes the foundation for the offender's treatment plan during the incarceration period. The intake assessment and interview provides the first contact with the offender to determine immediate security and clinical needs. During this time the offender is orientated to the system's rules, regulations, services, and program/activities. Concurrently, the official sentencing or revocation documents are processed to determine sentence length and all relevant aspects of time calculation.

Once this phase is complete the offender is processed through a variety of clinical, programmatic and character analysis/testing profiles to determine the needs and parameters of management for the offender's period of incarceration. Once the needs assessment and diagnostic program plan is established the offender is classified and the initial facility assignment is determined based on the combination of classification custody level, programmatic, and clinical requirements.

Depending on the limitations established by the system the offender will then be transitioned to a facility within the system that can manage the particular offender profile. Those offenders that return to the prison system while still under active system supervision may be processed through an abbreviated reception scheme depending on the length of time that they were in the previous status. This may include those in status of parole, probation, community, furlough, escape, or in temporary custody of an outside jurisdiction.

Release and Discharge: Release to community supervision for offenders can include a variety of assignments from community residential programs to various levels of home detention and reporting requirements. The two status levels are those under incarcerated supervision and those in parole supervision. Incarcerated supervision targets inmates in pre-release environments, with an imminent

parole consideration or release date. In most cases they must be referred for consideration and require the approval of both corrections and community officials. Parole supervision requires that the offender has received approval by the paroling authority to be released into the community under certain terms and conditions, and within several ranges of residential living to include their own residence.

Offenders may discharge directly from an institution, from a community placement while still on inmate status, or from parole. Once discharged the offender is no longer under the custody of corrections. However, discharged offenders may still be under legal obligation to report for registration based on statutory requirements.

At the various stages of release, parole, and discharge the corrections department/agency may be obligated to notify registered victims of the upcoming events.

Scheduling: This use case encompasses the functions that facilitate offender and activity scheduling within a correctional facility. The Activity Director will follow all applicable policy and regulations pertaining to offender activity assignments within the correctional facility. Offender needs as well as the needs of the facility to perform day-to-day operations are also considered when performing activity assignments. A Facility Schedule Coordinator will review facility needs and create and schedule activities to achieve the mission of the correctional department or agency.

Security: This use case describes the functions that are necessary for establishing and maintaining the security of a correctional department/agency. These functions include the custody and control of offenders during their incarceration period, by enforcement of a defined secured perimeter, accountability of offenders by conducting regularly scheduled and unscheduled counts, and processing offenders into and out of facility control. Key control, searches, tool control, communications and other operational functions are regulated within the security program for each facility.

Emergency planning is an integral part of this process, which includes escapes, hostage incidents, disturbances, fires, natural disasters, external breaches, employee and inmate strikes.

Sentence and Time Accounting: The purpose of this business function is to ensure offenders are incarcerated for the exact amount of time as prescribed by law. The function of sentence and time accounting encompasses the initial calculation of an offender's required length of incarceration using applicable statutes and case law, and applying statutory awarded good time. An iteration of recalculating the projected release date continues during the incarceration period applying earned time credits awarded and revoked, amendments to the original sentences, or other actions that can reduce the length of incarceration.

Trust Accounting: This use case describes the accounting processes used to track trust account monies. Offenders incarcerated under the jurisdiction of correctional agencies are considered wards of the governing entity. The governing entity acts as trustee of monies received from offenders upon transfer of custody, during their incarceration period, until the offender's eventual release from custody. The offender trust accounting system provides a means for offenders to conduct their financial transactions both internally and externally. The system also provides the correctional entity the ability to maintain control of the medium of exchange for goods and services during the incarceration period, which is an essential element to facility security, and offender custody and control.

Account information is used by correctional staff to process withdrawals for various programs and services. Outside agencies, dependents, and legal representatives use this information to determine the offender's financial status with regard to making payments for financial obligations.

It is important to note the system in most jurisdictions are cashless, or some variation that limits how much staff must handle currency.

Visitation: The offender visitation program is intended to promote family and other supportive relationships important to offender stability during and after incarceration period. This privilege requires that the corrections agency develop a process that has a high degree of consistency and uniformity while maintaining the security and integrity of the facility. The program considers the routine processing of civilians through various secure points within the facility. This mandates the need to appropriately and accurately identify each individual visitor and their relationship to the offender. A variety of security and legal restraints concerning the status of each visitor will also be collected and recorded to prevent those under legal supervision or minors from unauthorized contact with offenders. The agency may also restrict visitors from visiting more than one offender in the system without special approval.

Another component of this program are visits by legal representatives, clergy, or other official designated visits. Those involved in these visits will also be scrutinized to ensure their official capacity. Actual visits will be categorized as contact, non-contact, and legal visits. Contact visits are those under supervision in an open area, enabling some movement and restricted physical contact between visitor and offender. Non-contact visits are those conducted in an area designated with a special barrier to prevent physical contact between the visitor and offender. Legal visits are business related visits where specific rules protect the confidentiality of the visit, yet ensure the security needs are adhered to during the visit.

5. STATE

Accepted: An action resulting from a decision to approve or grant admittance.

Accessed: A successful result of obtaining access to someone or something.

Account Closed: When a financial account can no longer have withdrawal or deposit transactions posted to it.

Account Frozen: Account activity is restricted to deny either deposits, withdrawals, or both from taking place.

Active Trust Account: A trust account that has a current balance and can have deposits and withdrawal transactions posted to it.

Assessed: The official end result of applying testing or evaluation methods in order to determine the placement of an individual in a category or ranking for management purposes.

Assigned: Where a relationship has been established between a staff member and an offender, or activities. Examples include enrollment of the offender in an education program or listing an offender on a case load. In some instances assignment is the retention of an existing assignment after a review process is performed and the relationship continues as it was prior to the review.

Authorized: The formal approval given by an individual in authority.

Case Closed: Any instance where a situation requiring an investigation or action is completed and identified with a status to indicate the process has ended.

Charged: Any instance where an assertion is made as to blame or guilt, such as a rule infraction, or a violation of law.

Classified: Assigned to a category of custody.

Cleared: When an action is performed to verify or validate information and it is accepted as factual, the instance is considered completed, or cleared for further activity.

Count Cleared: When a formal count of offenders is performed to verify or validate their present location, and it is accepted as factual, the event is considered completed, or cleared, allowing for movement to resume.

Count Frozen: When a formal count of offenders is performed to verify or validate their present location, and it is not accepted due to incomplete accountability, all activities and movement are suspended.

Created: A record and been produced for future retrieval and reference.

Decision Rendered: A decision has been reached and communicated.

Denied: A review has resulted in a decision to deny a request or action.

Destroyed: Rendered useless or completely altered beyond any usefulness.

Discharged: No longer in the custody of the department.

Disposed: In a case involving due process, the findings and resultant actions have been ordered.

Eligible: Qualified to participate in an activity.

Evaluated: This is the result of an evaluation process whereby a rating is assigned for performance or participation.

Evidence: Authority and control are relinquished by the correctional department/agency and handed over to another law enforcement entity.

Governing Sentence Identified: The state where the sentences that govern the incarceration period are identified.

Granted: A decision to approve or award a requested action.

In Transit: In a mobile status.

Inactive: A status issued to a record that describes and identifies the record as one that is no longer used. The purpose is to eliminate the record for future processing, but retain the record for informational purposes.

Informed: Any instance where an individual receives communication of any form for the purpose of informing.

Inventoried: Property will be considered inventoried when a complete and accurate inspection and accounting of the property items has been performed by a staff person.

Investigated: The result of an investigation that was completed.

Logged: Information has been recorded and is now available for future reference.

No Action: When a decision or determination process results in no action taken.

Placed: The result of an assignment.

Placed On Hold: Any instance where an event or action is delayed for a predetermined or undetermined time period.

Plan Developed: This is the final product of offender needs assessment and the development of a plan for program participation to address identified needs.

Program Completed: Instances where all requirements for completion of a program have been satisfied.

Property Issued: Property will be handed over to the offender for their control. The offender will generally sign a document to record the receipt of the property and acknowledge their responsibility for maintaining the property item.

Re-scheduled: The assignment to an event schedule after a previous scheduled for the same event has been removed.

Received: To take control or possession of something.

Reconciled Account: The result of balancing deposits and withdrawals to verify accuracy of the ending balance.

Record Updated: Instances where a record is successfully updated in a database or other record keeping system.

Recorded: The result of compiling information and documenting results in a repository for future retrieval and reference.

Referred: When a process is completed that results in a referral of an offender to attend, participate, or some form of assignment, the offender is in a state of referral. This state denotes a review process will be conducted and an approval/acceptance or rejection/denial decision will result.

Release from Incarceration: The state when the offender is released from incarceration with the correctional department/agency.

Released: Offender is released from incarceration.

Released to Law Enforcement Agency: Instance where an offender is released from incarceration with the correctional department/agency and is handed over to another law enforcement entity.

Removed: The complete elimination from a pre-existing status.

Resolved: When a problem or issue is appropriately addressed and agreed upon to the satisfaction of those involved.

Responded: The result of an action taken by an individual where an event requires some form of investigation resulting in a reporting and/or recording of information.

Reviewed: Staff review of past behavior or conditions in respect to future action.

Revoked: To retract the status or document of an individual.

Sanctioned: The application of sanctions that were ordered.

Scheduled: The assignment to an event schedule.

Scored: The official score result obtained by applying testing or evaluation methods in order to determine the placement of an individual in a category or ranking for management purposes.

Sentence Determination: The state where the incarceration period and the date the offender will be released from incarceration has been determined.

Shift Complete: The termination of a scheduled work period.

Shipped: The state of having been processed for mailing or shipping; no longer in the control of the correctional department/agency.

STG Validated: Validated as an individual affiliated with a security threat group, or as an active threat group with substantial affiliation participation.

Stored: Property items will be stored in secured locations until the owner takes possession.

Submitted: Any instance whereby a document is prepared or a verbal communication is issued, and is offered for consideration, study, or decision.

Terminated: The ending of an activity.

Time Credit Applied: The time credit award is applied towards the sentence reduction of an offender.

Transaction Posted: A record has been produced to support the account balance.

Visiting: Engaged in a visit.

Waitlisted: Instances when an offender is added to a waiting list pending facility transfer, availability, or other factors related to acceptance or assignment to an activity.

6. USE CASE

Acceptance into Program: The program provider determines whether the offender meets the eligibility criteria for the program and either accepts or rejects the offender for placement into the program. The process includes a review of the referral, and interview with the offender. Upon completion of the review notification will be made to the appropriate staff of the decision. Acceptance into the program will trigger a process to complete the program assignment.

Account Closeout: The trust account is set inactive when the offender is released from custody and account activity ceases.

Account Reconciliation: Financial accounts must be reviewed periodically to ensure the account balance is accurate. This is done by summing deposits and withdrawals and adding them to a starting balance amount. If the amount derived by doing this matches what the account record shows for a balance, the account is reconciled. If the amounts do not match then a verification process will identify any errors in posting to the account. Banking procedures generally do not allow for modifying existing transactions records, but adjustment transactions will be posted to correct discrepancies in the account and provide an audit trail to explain what was done to make the corrections.

Once an account is reconciled the ending balance becomes the beginning balance for the next statement period, and all transactions that were reconciled are flagged as cleared so they will not be used in the next reconciliation process.

Account Transaction Processing: Account transaction processing involves posting deposits and withdrawal transaction records to a trust account, and ensuring an accurate balance results from the transaction. In a correctional setting the offender rarely has contact with the accounting office, and is required to conduct their financial business through a third party that validates, and in some instances, authorizes the transaction.

When monies are received the existence of the offender trust account is verified. If one is not found, an account will be opened to process the transaction request. The posting process will collect monies and apply them towards debt or other financial requirements established by law or policy. Withdrawals will be processed when sufficient monies are available to cover the requested amount. The transaction request will result in either a posted transaction or a denial of the request.

Activation of Record: When an offender is transported to the receiving facility for the corrections department/agency, the admissions process will produce a record to track the incarceration events of that individual. Instances where an offender had a previous incarceration will result in a reactivation of the previous records. The creation or reactivation of the offender record produces an identification number for the offender which is referenced in all recording of information during the incarceration period.

Administer Program: The Program Provider monitors the offender's progress during the course of the program and records attendance and compliance at pre-determined intervals. A review of the program requirements and the level of completion by the offender will result in a determination if the offender is to continue in the program or the program has been completed.

Administrative Level Grievance Review: The secondary level grievance correspondence will be reviewed by staff at the administrative level. This review generally considers the appropriateness of actions and responses by the subordinate level reviewer.

Administrative Sanction: The detriment, loss of reward, or coercive intervention as a result of a violation of rules, regulations, or conditions while the offender is under community supervision. These sanctions are considered less severe than formal revocation. They often may include additional conditions being added.

Appeal: A redress process is provided to offenders as a recourse avenue resulting from a formal proceeding such as classification, grievance, or disciplinary hearings. The offender can initiate an appeal process after a final decision or finding has been rendered by submitting required documentation to support the appeal. The documentation must be submitted following established guidelines, to the proper authority, within a defined time period.

Approve Special Visit: Approved visit which was not scheduled through the normal process or is of a professional nature, i.e. attorney or clergy. A provision that allows for special visits by those who may not be on the approved visitors list. These special circumstances require approval from the facility administrative staff.

Approve Visitor: The application is received and the appropriate background checks and verification of the visitor are performed. The application for visitation is approved for social visits with the identified offender.

Arrival Processing: Processes associated with the arrival of the offender at the correctional department/agency, including identification processing, receipt and initial inventory of property, clothing issuance, and living assignments.

Assign to Activity: The process of reviewing offender information and making assignments to activities is based upon policy, and both facility and offender needs. In some instances, a review of this process may be conducted by a board of employees representing service areas of the facility, including security and housing.

Assign to Bed: To move an offender from one housing unit/cell/bunk to another there is a process for reserving the bed. When the move occurs, regardless of inter or intra facility, the offender must be departed (checked out) from the previous bed assignment upon movement and received as soon as the offender arrives in the assigned bed.

The reservation may be done at the facility or central office level and may be down to the bed and bunk. However, the housing unit reserves the ability to adjust the specific bunk assignment.

The housing unit will display open bunks, as well as any cells in the unit occupied by enemies, co-defendants, and security threat group members by which co-location may violate policy.

Housing is notified of the scheduled move. The offender's property is prepared to move if the move is permanent and the property is allowed at the receiving facility. The offender is checked out or departed from the originating facility by the facility staff. The offender will be shown in transit until arriving at the receiving facility.

Award Earned Time Credits: Most states use a good time credit system as an incentive to serve disciplinary-free incarceration. Earned time credit is a reward for positive behavior during the incarceration period. These credits are earned when the inmate participates in prison programs or activities, such as education or vocational training. The amount of earned credit is determined by predefined rules, and awarded at prescribed review periods. When the offender behavior during their

incarceration is determined to be unacceptable, the credits are revoked as the result of a disciplinary sanction.

Bed Space Coordination: The reconciliation of bed space with actual transportation must be managed. This is a real time process ensuring beds are not under filled or over filled. The movement of offenders between facilities is scheduled in advance, and as this is a complicated process (one offender in requires one offender out). The purpose is to maintain optimum capacity levels, while keeping the transportation process efficient.

Case File Recording: The offender's activities, adjustment and progress during incarceration and post-supervision are documented and recorded in a log. The recording is primarily intended to document events not otherwise recorded through their own unique activities. Such examples would be offender informal complaints, requests, contacts, etc. The log could also back up other information recorded through other means.

Caseload Assignment: Upon determination of permanent location and completion of the orientation process, the offender is assigned to a specific case supervisor.

Central Authorization: The review of all actions on behalf of the corrections department where policy dictates a decision is to be made at a level above that of the facility administration.

Review examples include approval of offender classification, inter-facility movement, and facility assignments.

The facility staff may submit their recommendations for classification and movement to the central offender management office. The offender's classification information will be reviewed; this review may include:

- Victim Information
- Sex Offender Information Movement History
- Legal Issues - warrants, detainment orders, fines outstanding, pending charges Probation/INS
- Security -Escape, Disciplinary, STG, Segregation Units Enemies/Codefendants Medical/Mental Health Restrictions Suicide attempts
- Official version of the offense Criminal History by categories Totals by crime type
- Risk Reduction Plan Academic degrees Vocational trades Family Information
- Incarceration Summary - notes from case manager to include program involvement i.e. response to risk reduction plan

Classification Status Review: The case manager monitors events that require routine mandatory classification actions or initiates discretionary classification action under the case manger's authority.

Collect Financial Obligations: When a qualified deposit is processed, a portion of the deposit amount will be encumbered to satisfy reparations defined in a sentence order or disciplinary infraction. The sum of encumbrances will be withdrawn from the trust account with the insertion of a single transaction, releasing the encumbrance.

Community Center Placement: An offender is released to a community residential placement. The offender is responsible for arriving at the center, if the offender is not present at the designated times the offender is considered on escape status. The offender will no longer be on the trust accounting system, as the center will be responsible for managing the account. The offender will remain accountable to the

Department's code of penal discipline and may be regressed back into a facility without a formal status hearing.

Controlling Sentence: The process of determining the sentencing scheme, made up of one or more sentences from one or more crimes, which determines the minimum and maximum length of incarceration.

Create Activity: A new activity must first be created before it will appear on the facility schedule or an offender can be assigned to the activity. There must be the ability to identify location scheduling conflicts or conflicts with time block out for all offenders in the facility. All activities will have a beginning date. Some activities will have an open completion date and will continue until abolished, while others will have an ending date that specifies the completion of the activity.

Custody and Control: The daily security control and custody functions that include equipment, offender processing, visitor processing, census checks, breach detection and overall offender tracking and monitoring within and outside the facility. The comprehensive security program consisting of key control, tool control, searches, communications and other operational functions that are regulated within the security program for each facility.

Dental Services: It is the responsibility of the correctional department/agency to provide offenders with access to necessary dental care. Access to dental services includes basic routine and emergency dental care, provided by a dental PCP. Dental service providers include dentists, dental assistants, and dental hygienists. A dentist is an individual licensed to practice dentistry. A dental assistant is an individual who may be delegated to perform dental tasks/procedures as authorized by law, and under the authority of a dentist. A dental hygienist is an individual licensed to practice dental hygiene.

Basic routine services consist of a routine dental examination and panoramic x-ray. An initial screening is conducted within a prescribed time period after the arrival of the offender at the correctional department/agency. During this screening emergency dental needs will be scheduled for treatment; all other dental needs are left to the offender to contact dental clinics and schedule appointments. During the incarceration period basic services provided include oral examination and any indicated diagnostic x-rays, restorations, dental prosthesis as determined by a dentist, simple or complex extractions/surgical procedures when indicated, root canal treatment and fillings, and extensive oral rehabilitation.

Instances where a dental specialist is recommended the offender will be referred to an outside provider.

Deposit-Withdrawal Approval: A trust accounting action is initiated by submitting a form, in electronic or other form, containing transaction and authorization information. The transaction will be one of two types: deposits which increment the trust account balance; or withdrawals, which decrease the trust account balance. The process will result in either an approval or denial decision.

Derive Program Status: The offender's program status is reviewed for program needs, which may affect classification to another custody level beyond the information utilized in the scoring instrument.

Develop Reentry Plan: The reentry plan determines whether and when the offender will be transitioned to community or post incarceration supervision. States with indeterminate sentences maintain a parole process. States with presumptive sentencing policies define actual prison time and community supervision at the time of sentencing with little variance of time reduction credits.

This plan is developed by the case manager with input from the offender. It contains the offender's plans for reentry to include the sponsor and residential location, employment or education plan, synopsis of

current crimes/sentences, criminal history, incarceration adjustments, programs completed, post release treatment recommendations, clinical issues, and other appropriate recommendations.

Diagnostic Testing: A battery of tests given to the offender in to identify specific program and treatment need levels. These tests are administered under controlled conditions and then scored. The test scores are recorded for future evaluation.

Discharge: The process and act of releasing an offender from the custody of the correctional department/agency when sentencing conditions have been satisfied. This may be a discharge from incarceration or supervision.

Electronic Monitoring Systems: Fire alarms, perimeter zones, officer accountability and other detection alarms are electronically monitored by the Control Center. The Control Center is responsible for notifying the appropriate staff of the incident for resolution.

Emergency Health Care: Emergency health care will consist of on-site as well as off-site services. On-site services include emergency first aid and crisis intervention. Off-site services include treatment at a designated hospital emergency room or other appropriate health facility. Off-site health care will provide for emergency evacuation of the offender from the facility and provide for security measures when appropriate.

Emergency Response: The correctional department/agency provides 24 hour emergency health care coverage for medical, dental, and mental health care.

Emergency health care treatment may be determined by a primary care provider (PCP) during routine screening or examinations, or may be initiated by a staff member as a result of their assessment of offender needs stemming from injuries or other related circumstances in the role of First Responder. Response to disturbances, fires, riots, escapes, serious criminal acts, external threats, natural disasters, work/activity stoppage or strikes and any other incidents that disrupt normal facility operations which may be categorized as an emergency.

End Activity: Activities that are created with an open ending date require periodic review to determine if they are to be continued. The factors that are considered in making this determination are numerous, but common factors are participation levels (relative to demand) and achievement of goals and objectives. If it is determined that either of these two factors warrant discontinuing the activity, the activity will be terminated.

Facility Counts: Routine scheduled and unscheduled accountability checks of each offender assigned to the facility.

Facility Movement: The control and monitored movement of offenders to facility activities or services both within and outside the perimeter of the facility. Housing is notified of the scheduled move.

Facility Transfer: The offender's property is prepared to move if the move is permanent and the property is allowed at the receiving facility. The offender is checked out or departed from the originating facility by the facility staff. The offender will be shown in transit until arriving at the receiving facility.

Depending on the routing of the offender transportation it is possible an offender may temporarily stay overnight in a mid-way facility. The offender would be received in a temporary status, still showing the permanent receiving facility as scheduled.

File Grievance: When a staff person authorized to receive and process a grievance issue receives the document communicating the details of the issue, they will evaluate the procedural requirements to determine if the process can continue to the next step. If it is determined that the grievance can proceed, the staff person performs a coordinating role to direct the grievance issues to the appropriate area for a timed response, and communicating the response with any remedies that may have resulted to the offender for review.

Finalize Classification: The custody risk level will be approved by the Classification Officer. This level could differ from the original scored custody rating through an override.

Formal Disciplinary Process: Infractions that are moderate to serious that require formal resolution.

Formal Grievance: When an issue communicated by an offender cannot be resolved informally, the next level of finding a resolution is implemented. This is a review process that considers information that was collected from a previous investigation, but will generally require written responses from those associated with the offender's issue. The process will result in an affirmation of the previous decision or recommend a corrective remedy. The decision is communicated to the offender who either accepts or rejects the decision. If the decision is rejected the offender may appeal the issue if that is an option afforded to that individual.

Formal Hearing: An administrative process initiated when a document containing allegations of fact is filed requesting procedural remedies, and whereby information and supporting evidence is presented to one of more individuals with authority to evaluate and render a decision or finding. The evidence may be presented in the form of testimonial and physical evidence. The decision or finding will either affirm the allegations in whole, or in part with amendments, or disaffirm with no further action taken. An affirmation will result in one or more sanctions to the offender. In an administrative hearing a preponderance of the evidence is sufficient to affirm the allegations.

Freeze Account: An offender's account is frozen and no funds may be disbursed out of the account until the account is released. This may be due to outstanding commitments such as fines, costs, or restitution, or it may be the result of a sanction.

Generate Incident Report: Developing the report which describes the incident in detail and any actors involved in the incident.

Grievance Committee Review: The final-level grievance correspondence will be reviewed by a staff person or committee with final review authority. This review generally considers the appropriateness of actions and responses by the subordinate level reviewer.

Grievance Correspondence Tracking: The grievance process involves correspondence between the offender and corrections department/agency staff in an attempt to address identified issues. A strict procedure is followed where time requirements are adhered to, and critical information is communicated. This information is tracked to verify the procedures are followed and the process is completed.

Health Care Examination: This is a complete health care appraisal performed on an offender to review the initial screening that was performed, collect additional information to complete medical, dental, psychiatric/mental health, and immunization histories. Laboratory and/or diagnostic tests are performed to detect communicable diseases. Other tests and examinations are performed as appropriate. Appropriate treatment will be prescribed as needed, and/or the development and implementation of a treatment plan. A treatment plan may include recommendations concerning housing and job assignments, and program participation.

This use case includes the sick call service to ensure offender access to health care to have their needs addressed. Offenders submit requests to housing officer who will initiate the process by arranging appropriate notification and intra-facility movement as needed. Case managers will also make referrals as offender needs are identified in the normal course of monitoring the progress of the offender incarceration period.

An alternative flow in some jurisdictions involve contracts to provide health care services either inside the institution or in some cases offenders are transported to the medical providers outside the facility for care.

Health Care Screening: During initial admission to the correctional system offenders are questioned about their current health conditions such as illness and health problems, dental problems, mental health problems, use of alcohol and other drugs, past and present treatment or hospitalization for mental disturbance or suicide, or possible pregnancy.

A visual assessment will also be conducted to identify behavioral problems, body deformities requiring medical treatment, and skin conditions such as bruises, rashes, or other abnormalities.

The screening process will result in one of three dispositions: assignment to general population; assignment to general population with a referral to an appropriate health care service; or immediate referral to the appropriate health care service for emergency treatment.

Housing Assignment: The process of determining facility and housing unit assignment which involves classification, reentry needs, medical needs, mental health, and separation issues (to avoid individual offender confrontations due to family relations, STG). Movement history is a consideration, as well as visitation information. ADA will also factor in assignment decisions.

Identify STG Affiliation: During intake processing the offender will be interviewed and submit to body search. If the offender arrives with property, the property will be searched for contraband and inventoried. During these activities the staff person will be vigilant to detect STG affiliation indicators.

Some jurisdictions have incorporated a questionnaire and/or checklist for staff to utilize as part of the interview process. The information gathered utilizing these methods will result in a suspicion of STG affiliation, or a self-admission from the offender. The information is forwarded to the STG Officer for review and verification.

Informal Disciplinary Process: After reviewing the infraction violation information an informal process may be initiated whereby the offender can avoid formal processing of the incident that may result in imposed sanctions. In doing so the offender is admitting to committing an infraction and agrees to performing tasks that are appropriate and proportional to the infraction. Examples include extra work duty or restrictions to recreation privileges.

Informal Remedy: Every effort will be made to resolve an issue an offender has communicated at the lowest level possible. This serves both the needs of the offender as well as the corrections department/agency. This process sometimes involves simple communication, where channels are opened to explain the issue and come to an acceptable resolution. To ensure the process is afforded to offenders a form is utilized at the lowest level. This affords the organization a means for evaluation of the process, and identifying needs or problems that may be of concern to facility management.

Initial Intake Interview: Upon arrival at the corrections department/agency the offender will be interviewed to collect information that will be compiled with documentation delivered with the offender

to provide an initial assessment of security concerns. If any are identified proper notifications will be made and the offender will be handled appropriately.

Initial Sentence Calculation: The Records Office evaluates the sentencing document to determine governing sentence(s) and the projected date of release from incarceration.

Initiate Management Plan: The offender risk (levels), program needs and objectives are identified in order to address them during the commitment period. They are used to create an offender management plan.

Institutional Services: Offenders must have access to institutional services. This access must be scheduled, controlled, and recorded. Services would include access to food services, library, commissary, med-line, laundry, recreation, religious service, and other services both within and outside the facility perimeter.

Inventory Property: Accounting for offender property is an ongoing process during the incarceration period.

Offenders are often moving to other living assignments. In most instances the movement will result in a search of their property to ensure they have no contraband items. Intra-facility movement will definitely involve a search of their property, and either listing the items on an inventory form or a check against an existing inventory record. Contraband items will be confiscated and turned over for disposition. If a property record hasn't been produced, one will be in order to begin tracking their property items.

Manage Activity Schedule: The process of managing activity schedule for day to day operations and exceptions such as facility disruption, holidays, etc.

Manage Facility Schedule: The facility schedule requires persistent management and coordination to achieve optimal operational objectives. The daily schedule will include activities and events. Activities include programs, operational processes such as food preparation and serving, laundry exchange, as well as timed security and living unit functions and events.

Management Level Grievance Review: The initial grievance correspondence will be reviewed by staff at the management level. The response will be produced by supervisory staff or delegated to the staff person directly involved in the offender's issue.

Medical Services: The correctional department/agency provides offenders access to medical services that maintain basic health. Medical services are that which are required for prevention, restoration, and maintenance care for an individual's basic health. Basic health is defined as the physical condition of an individual, who is absent of chronic disease and/or acute illness, that prevents that individual from functioning at his/her appropriate maximum capacity.

A physical examination will be provided to offenders upon incarceration with the correctional department/agency. A medical screening of offenders transferred between correctional facilities will be provided, but not to the extent and detail as noted in the preliminary health care screening process

Medical services are provided to offenders during regularly scheduled sick call whereby the offender can present their health problems. If the custody status of an offender precludes attendance at sick call, arrangements are made to provide this service in the place of detention. Approval or denial of medical service is made by health care professionals.

Medical services will include emergency treatment to be provided in cases that, without treatment, could result in further deterioration of an essential nature of the condition of the offender, or in serious debilitating pain and discomfort in an offender.

Monitor Compliance: Case supervisor monitors affirmative acts that fulfill requirements of the plan, as well as any acts prohibited by the plan or other legal status.

Monitor STG Activity: A key role of the STG Officer is to monitor security threat group activity, collect and coordinate information, perform a thorough analysis of that information, and advise decision makers of potential risks associated with STG members. To perform this service the STG officer utilizes information supplied by staff members documented in incident reports and from interviews with offenders. The product of this work provides intelligence information that may be used with offender classification, coordinating offender separations related to living unit, work, and program assignments.

Movement Hold: A movement hold will prevent a lateral or progressive move of the offender until such time as the infraction process has been resolved and progressive movement is still appropriate. The hold may involve a change in living assignment to a secured unit.

Offender Contacts: The case manager or unit management staff will typically document all contacts, and maintains a continuous log with time and date. The case manager meets with the offender periodically to review progress and focus the offender into the critical path programs. The case manager will address subject areas involving discipline and adjustment, informal grievances, visitation, phone calls, trust account access, commissary, housing assignments, separation/custody, pre-release preparation, parole plans, emergency contact, and a number of others relative to the offender progression during the incarceration period.

Open Trust Account: The offender's trust account will be opened with the receipt of their initial deposit. This can be from multiple sources, but is generally routed to the Cashier who then submits a batch deposit report to the Records Office. In some instances, the monies are received by the Records Office who produces the batch deposit report and forwards all monies to the Cashier. If a previous account for the offender exists that account will be activated.

Override: Instances where it is determined that a custody level score is inappropriate a variance is requested. This allows for discretion on the part of the system to adjust for information that is contrary to the individual factor scores. This request is referred to in most jurisdictions as an override. Some of the reasons for override consideration are prior supervision history, medical status, cases that have been reduced by plea agreement but the affidavit clearly reflects a higher level may be warranted, or those cases that are listed but non-violent are not in need of mandatory needs reducing programs. If sufficient justification is determined, a variance to the scored level is approved, otherwise the custody level resulting from the original score is sustained.

Parole Board Review: The scheduled review for the appropriateness of parole, based upon the parole eligibility date. If approved offender's status will change from inmate to parolee, and the offender will be released into the community. If denied offender's status will remain as inmate and there will be a new review hearing date set.

From the time of the first review forward through their discharge date, the offender's time is under the control of the Parole Board.

Parole Eligibility: The process of determining the eligibility of an offender to be released under parole supervision, including the projected date of release to parole.

Parole Release: The release of an offender to parole status. The offender is still governed by the sentence; however the Parole Board now has jurisdiction over the offender. The offender is assigned a parole officer to whom the offender must report and must adhere to any conditions ordered by the parole board.

The parole period will have an end date pending no adverse behavior occurs. The offender is no longer subject to earned credit time or statutory good time.

Pharmacy Services: It is the responsibility of the corrections department/agency to ensure offenders have adequate access to pharmacy services. A licensed pharmacist PCP is responsible for the overall operation of pharmacy services which include procedures for receipt, storage, dispensing, and administration or distribution of medications. To control costs, most correctional systems operate against an established formulary to control physical access to medications.

Functions included in pharmacy services are receipt and authentication of prescriptions, classifying the prescription as either a controlled or self-medication, then filling the prescriptions in a timely manner, and finally the delivery of prescribed medications to distribution points. A controlled medication is any drug classified as such by the Federal Drug Enforcement Agency (DEA), or a medication approved and listed in a formulary of prescribed medications. Other medications eligible for self-medication distribution include certain prescribed and non-prescription drugs approved for self-medication, such as aspirin, cold remedies, etc.

Related functions include maintaining an inventory of controlled medications for accountability purposes, reporting shortages of controlled substances as required by DEA, and the disposal of outdated and unusable medications. In cases where a controlled substance is disposed of, a receipt verifying the disposal will be retained on file.

Program Completed: A program may be scheduled over a fixed length of time or be open-ended. An offender may be terminated from the program either successfully or unsuccessfully (for poor conduct). Successful completion of a fixed length program only requires that the inmate still be enrolled in the program at the conclusion. Successful completion of an open-ended program generally requires some sort of passing score on an exit test.

Property Disposition: Processes associated with the disposal of property, removing or rendering the inventory record inactive. Disposal includes releasing property items to external entities as part of the chain of evidence, destruction of contraband following established policy and procedures, and packaging and processing for shipping to a destination outside the jurisdiction of the correctional department/agency.

Property Management: The process of tracking property items issued to, or received by the offender. The process includes inspecting, inventory control procedures, receipt issuance, permit issuance, and in some instances marking items for identification.

Psychiatric/Mental Health Services: The correctional department/agency will provide Mental Health Services that are oriented towards maintenance or improvement of mental health of offenders, contribute to their satisfactory incarceration adjustment, diminish public risk presented by offenders upon release, and aid the correctional department/agency in the maintenance of an environment that preserves the basic human rights and dignity of offenders and correctional staff.

In this use case, psychiatric/mental health services is generally initiated by referral from the case manager or clinical psychologist acting as the first responder. There are instances where the offender can access this service by submitting a form to the housing officer requesting access to the service, or in some

facilities a regularly scheduled sick call process allows for walk-in access. Access is via the sick call procedure. Mental health services include informal and formal evaluations resulting in referrals for psychiatric treatment, sex offender programs, drug and alcohol substance abuse programs, services for offenders with major mental illnesses, programs for social and self-management, and services for the mentally retarded or developmentally disabled offenders.

In cases where an evaluation results in a referral to psychiatric treatment, a psychiatrist PCP will diagnose and prescribe medications as needed for psychiatric treatment. Psychiatric treatment is to be part of a medical treatment plan managed by medical services.

Psychiatric/mental health services will also respond appropriately to any emergency needs of the offender, and in some instances will the initiate the process.

Record Visit: The list of scheduled visits for a given date will be reviewed to verify that a visit actually took place. If it has the event will be recorded, adding to the offender's history of visits.

Referral to Program: The offender management plan is used to produce a referral to a particular program. This referral is based upon the initial assessment of the offender, and the ongoing assessments of progress throughout the incarceration period. The need areas or specific programs may be identified with a priority ranking. The ranking is to ensure the most important need areas are addressed.

Remove Visitor: A visitor will be removed from the list of pre- approved visitors for multiple reasons determined by a staff person. The removal process is initiated after the decision has been made, and will result in the complete removal of the record.

The offender will also request a visitor be removed from the list when visits from that individual is no longer wanted.

Note that the visitor information and the association with the offender will be retained for historical or other purposes. Removing the visitor essentially renders the status of the association inactive.

Report Violation: When a violation of rule, regulation or procedure has been identified, a procedure for reporting the violation is implemented. The reporting procedure may initially be achieved verbally, but in all instances the report will result in a recorded document. This document can be either in paper or electronic form. The report will contain information necessary to support allegations of the violation. In some jurisdictions the report may undergo a review and/or approval process prior to the report being submitted for appropriate action.

Request Candidates: Due to bed management needs, the central offender management may request candidates for movement. Often this will be from higher custody to potential lower custody. The facility case managers will be required to review the custody status of offenders on their caseload. Offenders meeting the threshold will be submitted back to central offender management for review.

Request Movement: Movement between facilities requires central authorization. The process of initiating the movement of an offender to another facility often begins with the facility where the offender is currently assigned. The request usually is automatic as a result of classification to another custody level, or it may be a special request due to medical, security risk (enemies, gangs), or other extenuating circumstances.

Request Visit: During the admissions process and when reassigned to any facility the offender will be advised of the visitation program policies and have access to visitor applications. The application will be completed by the visitor and returned to the facility where the offender they intend to visit is housed.

The application should contain background information, personal identifiers, etc. which is used to verify criminal history and current legal status.

Review Infraction Violation: The process of initiating a misconduct charge is relative to one or more incident events. The staff person initiating the misconduct report will define the charges following documented specifications. The misconduct report and charges will be reviewed by a Supervisor to ensure the documented facts support the charges. If there is insufficient support of the charges the charges are not authorized to be filed. If authorization is given the process continues with either the offender being formally charged or the infraction handled informally. Instances where a misconduct infraction is serious a hold will placed on their movement until the infraction is remedied. This can also include an immediate assignment to a secured location within the facility.

Review Management Plan: A management plan is a structure of conditions set by an authority with jurisdiction. These plans can include sentence conditions, treatment plans, parole or community supervision plans, or any form of plan that defines expectations and measures achievements.

Review Remedy: This is a process performed by the offender where they review the information that was communicated in the response to their grievance issues. The offender will make a determination to either accept the response with any remedy that was offered, or take the grievance issue to the next level possible.

Revocation: Revoking an offender's community status, returning or sentencing the offender into an incarceration status.

Sanction: The result of a process whereby an offender has either admitted to or has been found guilty of an infraction will result in a disciplinary action known as a sanction. The process of defining the sanction and any parameters with which to apply the sanctions is a separate step in the disciplinary process. An evaluation of available sanctions will be performed, and an appropriate sanction will be applied for the infraction. In some jurisdictions the sanction is well defined for each offense, so the application is simply an affirmation of the policy. Sanctions can be in the form of housing restrictions, loss of earned or good time, loss of spending privileges, or loss of property as examples.

Schedule Appointment: One time activities such as clinical appointments would not require the formal process of assigning the offender to an activity. The authorized clinical staff would require the ability to schedule the appointment directly entering this into the schedule. The appointment would then be available to staff as well as trigger appropriate notifications. By established orders of precedent clinical appointments may override any conflicts.

Schedule Release: There are various events that trigger the process of scheduling the release of an offender from incarceration, these include parole board action, the discharge of the offender's sentence, court order, or some other form of release while still under the jurisdiction of the corrections department/agency.

Activities that must take place prior to the release of an offender are conducting a formal search for active warrants, warrants, and detainers. This activity will initiate a formal notification process whereby law enforcement or corrections agencies, and individuals that have registered in the victim notification program, will be informed of the pending release.

Schedule Transportation: Transportation reasons include but are not limited to court hearings, outside medical appointments, and inter-facility transport. In the case of inter-facility movement, after the facility that best meets the system and offender's needs has been selected, the offender is scheduled to move through central transportation. This could involve the assignment of offender to a waiting list for facility transfer.

Date of transport is based on the most efficient routing and combinations of other transportation needs. The central offender management primarily uses a status board to compile information on the status of bed availability.

A notification process may be initiated when an offender is scheduled for transfer to a specified location, or to a facility with reduced security safeguards.

Score Initial Classification Instrument: Initial classification is used when there has been no previous institutional behavior to measure during the current incarceration. Risk factors relating to criminality are considered.

Score Reclassification Instrument: Separate criteria are used once the offender has been previously classified during the current incarceration. These criteria will include institutional behavior.

Sentence Recalculation: The Records Office will perform periodic reviews of the offender sentence to apply time credits that will affect the projected date of release from incarceration. The receipt of an amended sentence order affecting the original sentence(s) may trigger this function, resulting in a change to the projected date of release.

Sex Offender Identification: Assessment staff review offender's criminal behavior to identify sex offenders. The identification is both for public safety concerns and program accountability.

Show Cause Hearing: Court event to determine whether the offender has violated the terms of probation. If the court determines there is cause, the court may add additional conditions or consider revoking the probation status of the offender. Note, this use case does not have an activity diagram because it is a court function that is relevant to document the package but is not a process to be included in CTA standards.

Statutory Good Time Consideration: Most states use a good time credit system as an incentive to serve disciplinary-free incarceration. Statutory good time is awarded at the start of the offender's sentence, and the offender receives all potential credits at this time. When the offender behavior during their incarceration is determined to be unacceptable, the credits are revoked.

Submit Activity Specifications: A request for a new activity or to modify an existing activity is submitted. The request is formulated as a result of either facility or offender needs that have been identified where no program exists to address the needs. The request should include the type of activity, the schedule, location, and approximate number of offenders expected to be assigned. A modification should be able to request a change to schedule, location, or number of offenders. The activity request could also contain an expected termination date if the activity is limited in duration.

Terminate from Activity: Instances where the offender schedule reflects the ending of a program or activity all appropriate actors are notified of this action. In some instances notification will be directed or forwarded to security staff to reflect the change, insuring security control measures are enforced with regard to access or movement.

Update Management Plan: The management plan will periodically require updating, based on changes in offender needs, program participation, test scores, or other related behavior. The review period may be based on an annual or semi-annual review, or based on an event such as behavior.

Update Program Needs: When the offender is terminated from program participation, the Program Provider records the manner in which the offender was terminated. Sample outcome measures include successful completion, incomplete or poor attendance, inter-facility transfer before completing program, and any number of other examples that are relative to the type of program. The provider may retrieve the plan and refer the offender to the next level (advanced) for the program area.

Once a program is complete the update may pertain to the next or advanced levels of program involvement in a specific area. There may also be an identification of new program needs based on the observations of the program provider during the course of the program.

Update Visitor List: Once a review process has been completed and it has been approved, the visitor information will be added to the list of approved visitors the offender can receive. When the number of approved visitors on the list exceeds the maximum number allowed, the visitor will be placed on a waiting list until such time the record can be added.

Validate STG: Most jurisdictions have a policy in place to review the affiliation of an individual with a security threat group. In some instances, the policy is required by statutory law. The review will be required to be performed within a defined time period. Absence of dated evidence supporting the affiliation will result in removal of the individual's affiliation with a specific group. Evaluation of supporting evidence may result in a change in participation level.

In addition to certification of individual participation the security threat group is also re-evaluated on a periodic basis. Data is analyzed to determine if a particular group is maintaining an active participation affiliation, and is actively involved in security threat activities. A decline in either may result in removal of the group from the list of active STG entities. In addition to a periodic review, an event involving the offender in a STG activity may trigger an unscheduled review.

In most jurisdictions an objective point assessment is used to validate an affiliation and rank offenders into various affiliation levels within an identified group. In most cases a validation process will conclusively support the identification, but in some instances the validations are ambiguous or non-existent.

Generally, it is a preponderance of evidence that ultimately results in a determination that an offender is affiliated with a threat group. Once identified and validated, the screening process will group offenders into multiple levels. These levels are generally based upon participation, which are described as passive, active, and disruptive, or variations of the three.

Verify Visitor: The list of approved visitors authorized to visit the identified offender. The approved list is normally limited to a set number of visitors for each offender.

The list of those visitors approved to visit the identified offender. This list will be used by the visitation staff to verify visitors during routine and scheduled visits. Any changes or modifications to the list by the offender must be processed through the assigned case manager.

Victim Services: The correctional department/agency in most jurisdictions will provide victims or appropriate individuals or entities who make a request, receive a formal notification when specific events

take place while an offender is on community supervision or incarcerated in a facility. Victim information is kept confidential and maintained in a secured record.

Specific events include assignment to the offender's current prison location, transfers from one prison location to another, release date of offender, change of name of offender, escape and recapture, parole eligibility date, parole interview date and a parole board decision.

The notification process first requires the individual requesting to receive notification to register with the correctional department/agency, providing necessary contact information as well as identification information of the offender to be traced.

Policies and procedures vary greatly by jurisdiction.

Violation Hearing: This is a formal process whereby evidence is presented and a decision is rendered as to whether a violation of rules, regulations or conditions of release has occurred. If the offender is found in violation, the board may administer sanctions or revoke the offender's community status.

Work Release Review: Application for community assignment is initiated and goes through a formal review process. The offender remains in inmate status, however there is a more stringent process for placement into community residential housing than for movement between facilities.

7. APPENDIX: LIST OF PERFORMANCE-BASED MEASURES SYSTEM KEY INDICATORS

The Performance-based Measures System (PBMS) is a nationwide automated information system developed by the Association of State Correctional Administrators (ASCA) Performance Measures Committee (PMC) to translate the missions and goals of correctional agencies into a set of uniform measurable outcomes. When ASCA agencies participate in PBMS by collecting and sharing measurement data, they gain a clear sense of how well their facilities and agencies are meeting correctional responsibilities, or standards, and how their performance compares with other participants.

The PMC establishes uniform standards by consensus of the membership. The current ASCA PBMS performance standards are Public Safety, Institutional Safety, Substance Abuse, Mental Health, Academic Education, Healthcare, and Justice, Fiscal, and Personnel. For each standard there are uniform measures of performance; and for each measure, there are a variety of uniform key indicators of the outcome measure and rules for how to collect the data.

Agencies and facilities also enumerate and provide characteristics, or contextual data to provide appropriate perspective when measures are reported and reviewed. Contextual data also allow for comparisons based on region of the country, number of security staff, scope of agency responsibility, demographic characteristics of the prisoner population, and facility characteristics such as housing type, security level, age, operational capacity, and/or average monthly population.

Details concerning PBMS and a link to the PBMS *Counting Rules* is available at <http://www.asca.net/projects/1>. The following list of PBMS key indicators became effective on 1 July 2015.

I. Contextual Information	
	I.1 Organizational Characteristics
	I.1.1 General Organization Information
	I.1.2 Scope of Responsibility
	I.1.3 Sentence Length Statistics
	I.1.4 Frequency Distribution of Inmates by Length of Sentence
	I.1.5 Crime Distribution Among the Inmates
	I.1.6 Inmate Demographics
	I.1.7 Inmate Admission Status
	I.2 Facility Characteristics
	I.2.1 General Facility Information
	I.2.2 Facility Staff Information
	I.2.3 Inmate Demographics

II. Public Safety Standard	
	II.1 Escapes
	II.1.1 Escapes from a Secure DOC Facility
	II.1.2 Escapes from a Secure Non-DOC Facility
	II.1.3 Escapes from Outside a Secure DOC Facility
	II.1.4 Unauthorized Absence from a Facility without a Secure Perimeter
	II.2 Returns to Prison
	II.2.1 Recidivism – CY New Convictions within 36 months
	II.2.2 Recidivism – CY Technical Violations within 36 months

		II.2.3 Recidivism – CY Overall Recidivism Rate within 36 months
		II.2.4 Recidivism – CY New Convictions within 24 months
		II.2.5 Recidivism – CY Technical Violations within 24 months
		II.2.6 Recidivism – CY Overall Recidivism Rate within 24 months
		II.2.7 Recidivism – CY New Convictions within 12 months
		II.2.8 Recidivism – CY Technical Violations within 12 months
		II.2.9 Recidivism – CY Overall Recidivism Rate within 12 months

III. Institutional Safety Standard		
	III.1 Inmate-on-Inmate Assaults	
		III.1.1 Inmate-on-Inmate Assaults with Serious Injury
		III.1.2 Inmate-on-Inmate Victims with Serious Injury
		III.1.3 Inmate-on-Inmate Assaults without Serious Injury
		III.1.4 Inmate-on-Inmate Fights
		III.1.5 Inmate-on-Inmate Assaults by Throwing Substances
	III.2 Inmate-on-Staff Assaults	
		III.2.1 Inmate-on-Staff Assaults with Serious Injury
		III.2.2 Inmate-on-Staff Victims with Serious Injury

Common Business Functions for Correctional Management Systems



IJIS Institute



Volume 2 – Business Scenarios
Part A – Reception and Commitment

*Authored by the IJIS Institute and the
Corrections Technology Association*

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1. BUSINESS FUNCTION: RECEPTION AND COMMITMENT

The reception and initial commitment of an offender into the system is an essential phase that not only verifies and gathers accurate demographic information, but also establishes the foundation for the offender's treatment plan during the incarceration period. The intake assessment and interview provides the first contact with the offender to determine immediate security and clinical needs. During this time the offender is orientated to the system's rules, regulations, services, and program/activities. Concurrently, the official sentencing or revocation documents are processed to determine sentence length and all relevant aspects of time calculation.

Reception and Commitment Use Case Diagram

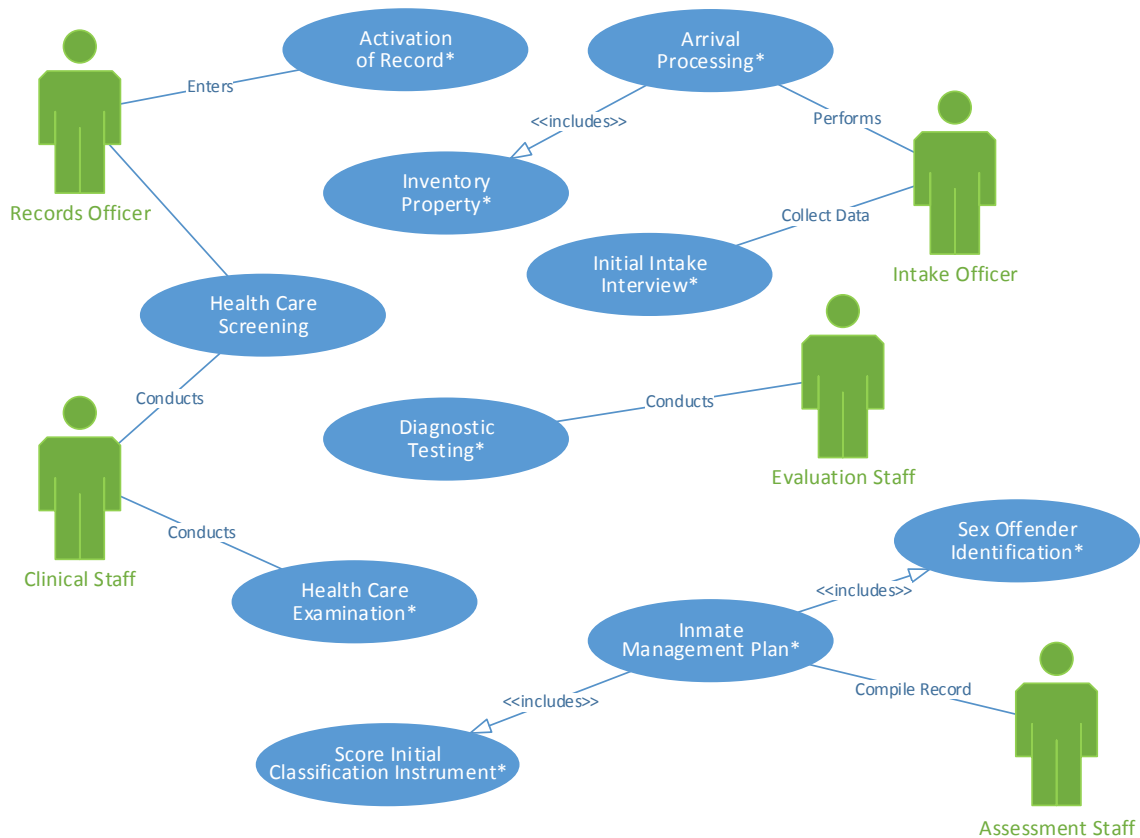


Figure 1: Reception and Commitment Use Case Diagram

Once this phase is complete the offender is processed through a variety of clinical, programmatic and character analysis/testing profiles to determine the needs and parameters of management for the offender's period of incarceration. Once the needs assessment and diagnostic program plan is established the offender is classified and the initial facility assignment is determined based on the combination of classification custody level, programmatic, and clinical requirements. Depending on the limitations established by the system the offender will then be transitioned to a facility within the system that can manage the particular offender profile. Those offenders that return to the prison system while still under active system supervision may be processed through an abbreviated reception scheme depending on the length of time that they were in the previous status. This may include those in status of parole, probation, community, furlough, escape, or in temporary custody of an outside jurisdiction.

1.1 Use Case Specification: Arrival Processing

Processes associated with the arrival of the offender at the correctional department/agency, including identification processing, receipt and initial inventory of property, clothing issuance, and living assignments.

Arrival Processing Activity Diagram

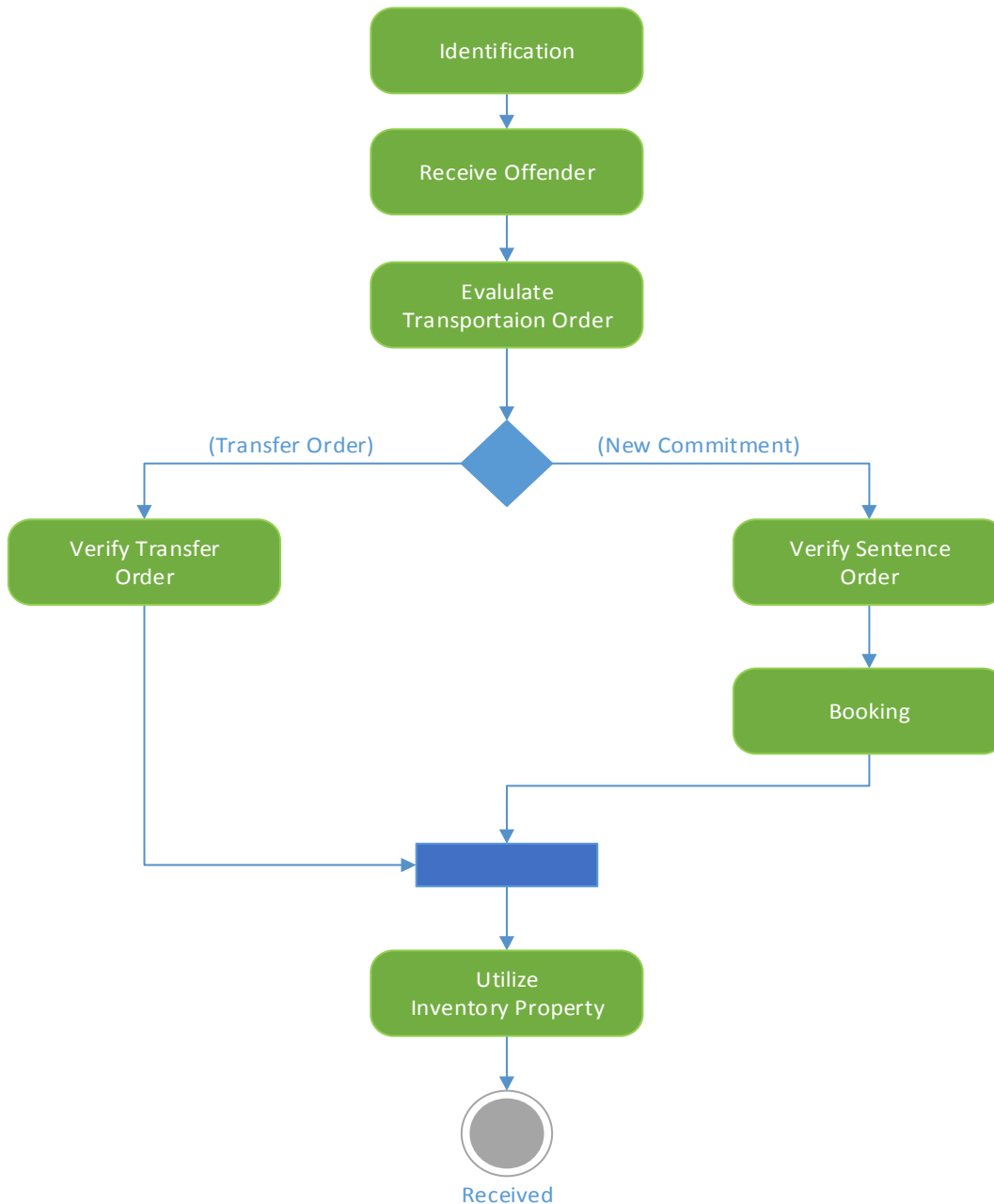


Figure 2: Arrival Processing Activity Diagram

Associated Actor	Relationship	Description
Intake Officer	Performs	Verification processes documented in this use case may be initiated prior to the arrival of the offender at the agency. Agencies that receive offenders sentenced under a death penalty may have a number of alternatives with which these offenders are processed into and through the system.

1.1.1 Flow of Events

Identification – Staff validates the identification of an individual using with appropriate documentation such as sentencing order with demographics. This process may include the matching of pre-existing records with the individual to associate historical commitment information with a new incarceration.

- Data provided: Demographic Characteristics

Receive Offender – An offender is received into a facility either from a correctional facility, county jail, or other external jurisdiction. The offender will be immediately placed on the facility count, but may not yet have a bed assignment. An offender may also be shown on temporary status, if the facility is only a temporary stop on the way to a permanent facility assignment.

- Data provided: Facility Count, Offender Profile Data
- Special requirements:

Standard	Description
ASCA Performance Measures: Contextual Information Offender Profile Context Indicator IV.3.a Demographics	Demographics of the prisoner population on June 30 by gender, age category and race/ethnicity adjusted for the number of prisoners held by the agency on June 30 and reported as a percentage.

Evaluate Transportation Order – When the offender is transported there will be supporting documentation that provides authorization and instructions regarding the transport.

Instances where the offender is undergoing an inter-facility transfer there will be a transfer order document. Instances where an offender is received by the sentencing agency there will be a sentencing order document received to support the incarceration.

(If Transfer Order) Verify Transfer Order - This will include inter-facility transfers, parole/community returns, and returns from temporary custody with other agencies, where a transfer order is required to accept the offender into the facility.

- Data provided: Transfer Date, Transportation Voucher, Facility Identifier

(If new commitment) Verify Sentence Order - New commitment and sentence orders are verified to ensure the correct individual has been sent to the department/agency for the correct reasons.

- Data provided: Sentences Imposed

Booking - The initial processing of all offenders to include photograph, fingerprinting, documenting physical characteristics including scars, marks and tattoos. The fingerprints may be live-scanned sending them directly to the state AFIS for immediate positive identification. The repository may return a criminal history RAP sheet upon receiving the prints.

- Data provided: Offender Identifiers, Criminal History, Conviction Offenses
- Special requirements:

Standard	Description
ASCA Performance Measures: Contextual Information Offender Profile Context Indicator IV.2.a	Number of prisoners serving a sentence for a Part I violent crime, other violent crime, property crime, drug offense, other public order offense or other crime on June 30 adjusted for the number of prisoners held by the agency on June 30 and reported as a percentage.

Utilize Inventory Property - Accounting for offender property is an ongoing process during the incarceration period. Offenders are often moving to other living assignments. In most instances the movement will result in a search of their property to ensure they have no contraband items. Intra-facility movement will definitely involve a search of their property, and either listing the items on an inventory form or a check against an existing inventory record. Contraband items will be confiscated and turned over for disposition. If a property record hasn't been produced, one will be in order to begin tracking their property items.

Pre-Condition	Description
None	
Post-Condition	Description
Received	To take control or possession of something.

1.2 Use Case Specification: Activation of Record

When an offender is transported to the receiving facility for the corrections department/agency, the admissions process will produce a record to track the incarceration events of that individual. Instances where an offender had a previous incarceration will result in a reactivation of the previous records. The creation or reactivation of the offender record produces an identification number for the offender which is referenced in all recording of information during the incarceration period.

Associated Actor	Relationship	Description
Records Officer	Enters	The activation of the record may have been accomplished prior to the arrival of the offender if the sentencing order is available to the department at that time. If the document arrives for the first time with the offender the activation will occur parallel to intake processing.

Activation of Record Activity Diagram

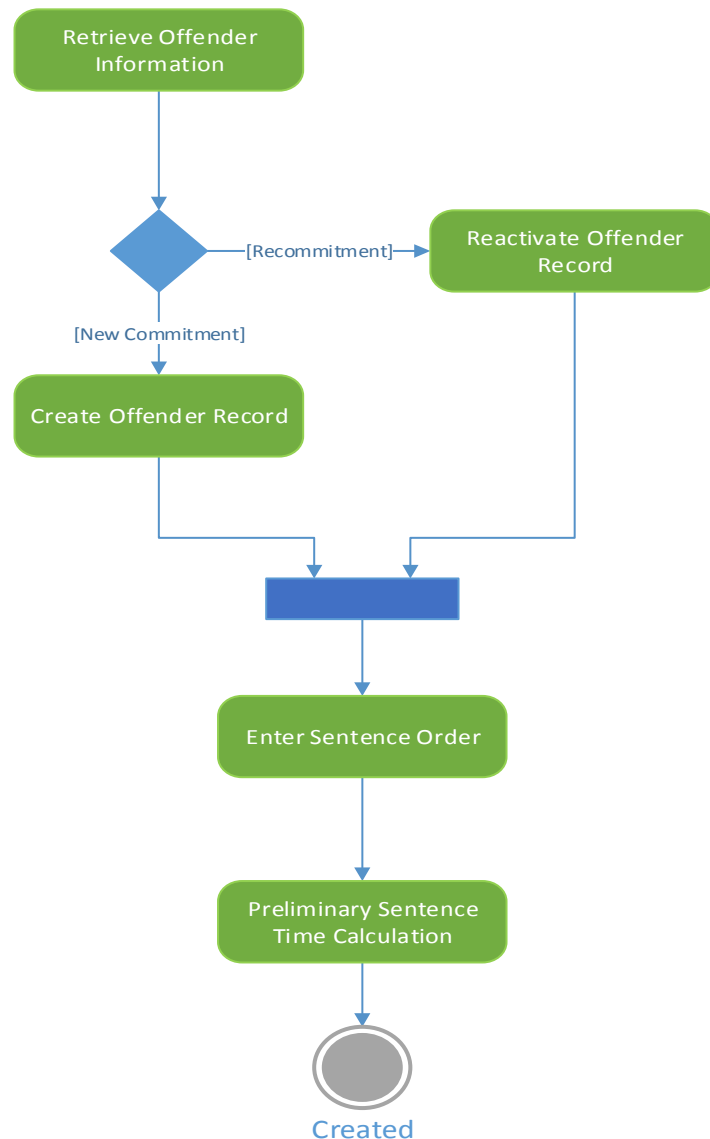


Figure 3: Activation of Record Activity Diagram

1.2.1 Flow of Events

Retrieve Offender Information - Retrieve specific offender data that may include current and historical information. Offender information is searched using combinations of identifiers, name, and other identifying characteristics.

- Data provided: Offender Identifiers, Demographic Characteristics, Offender Identifiers, Demographic Characteristics
- Alternative flows: The return of an offender into reception does not necessarily mean the offender's previous number will be reactivated. Jurisdictions may issue a new number linking it

with any old numbers the offender may have had. The exception being if the offender had not discharged the old number and was in on a parole violation or other community return.

- Special requirements:

Standard	Description
ASCA Performance Measures: Return to Prison Key Indicator I.2.a.	Number of individuals released from the DOC during a calendar year who have returned to the DOC prison system within three subsequent years after release for a new felony-level conviction divided by the number of individuals released during the calendar year and multiplied by 1,000.

(If new commitment) Create Offender Record - Offenders entering the system, without a previous sentencing period in the custody of the corrections department/agency will be assigned a new number. This will activate all pertinent offender records for entry capability. The activation will require a name, date of birth, and information gathered through the booking process be associated with the number.

(If recommitment) Reactivate Offender Record - Offenders returning through reception on new offenses will have their previous number reactivated, while indicating a new incarceration status.

Enter Sentence Order - The act of entering information from the sentencing document into the enterprise database.

- Data provided: Sentence Record.
- Alternative flows: Sentence and time calculation processes may not occur until after the reception and commitment processes conclude.
- Special requirements:

Standard	Description
ASCA Performance Measures: Contextual Information Offender Profile Context Indicator IV.1.a	Number of prisoners incarcerated for 1) a new court commitment, 2) a post-custody violation with a new sentence and 3) a post-custody violation with no new sentence on June 30 adjusted for the number of prisoners held by the agency on June 30 and reported as a percentage.

Preliminary Sentence Time Calculation - A preliminary sentence calculation based upon non-verified information on the sentencing orders. Information such as time served, sentence for each offense, controlling sentences, etc. will all have to be validated later in the process. The preliminary calculation gives a best estimate of release dates minimum and maximum at the time of reception.

- Data provided: Projected Release Date

Pre-Condition	Description
None	
Post-Condition	Description
Created	A record and been produced for future retrieval and reference.

1.3 Use Case Specification: Inventory Property

Accounting for offender property is an ongoing process during the incarceration period. Offenders are often moving to other living assignments. In most instances the movement will result in a search of their property to insure they have no contraband items. Intra- facility movement will definitely involve a search of their property, and either listing the items on an inventory form or a check against an existing inventory record. Contraband items will be confiscated and turned over for disposition. If a property record hasn't been produced, one will be in order to begin tracking their property items.

Inventory Property Activity Diagram

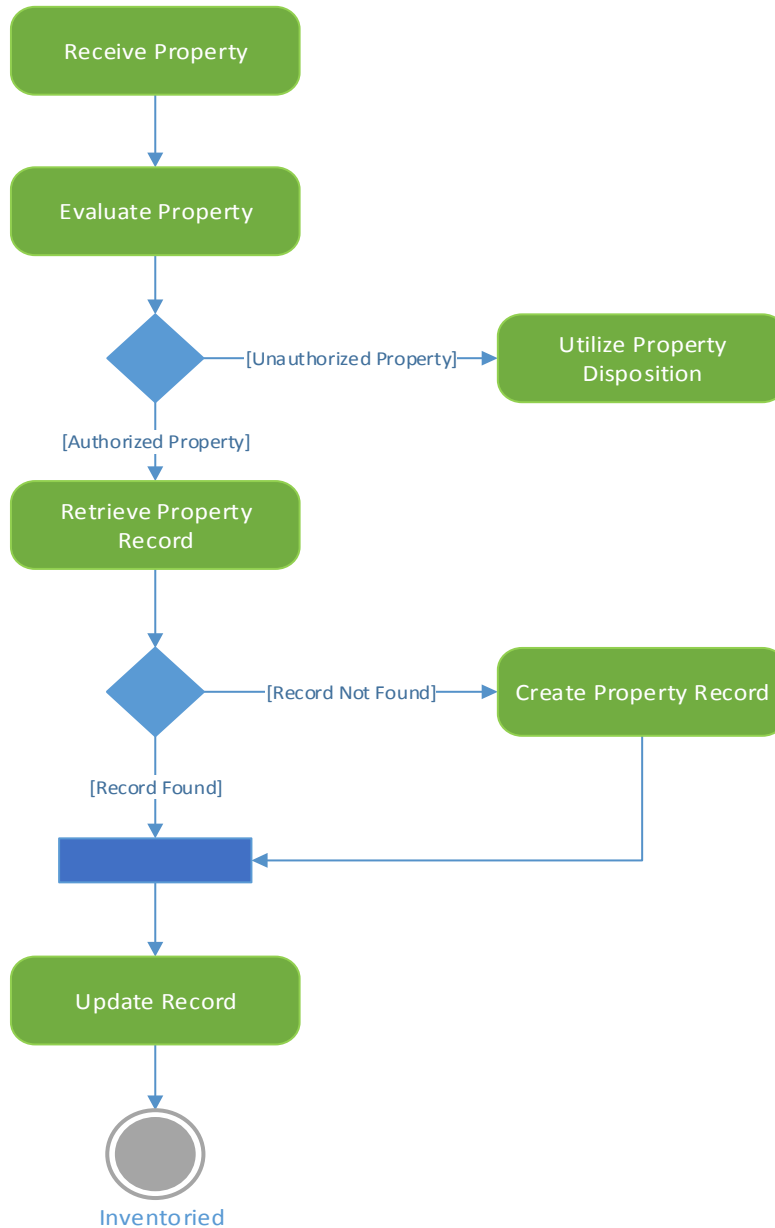


Figure 4: Inventory Property Activity Diagram

1.3.1 Flow of Events

Receive Property - Property items will be received from a number of sources. This will initiate a process for tracking the property in order to document the items as well as the ownership of them.

Evaluate Property - The act of visually and/or physically inspecting and evaluating property items to accurately identify and determine conformance to policy.

- Data provided: Property Identifiers, Property Disposition Order, Inventory Receipt

(If Authorized Property) Retrieve Property Record - The property record will be retrieved to provide current information about the property an offender should have in his/her possession.

- Data provided: Property Record

(If record not found) Create Property Record - The act of establishing the offender property record, listing property identifiers and quantity amounts.

- Data provided: Property Record

Update Record - When information is obtained for an established record, the pre-existing information in the record is amended or an addendum is added for future reference or communication.

(If Unauthorized Property) Utilize Property Disposition - Processes associated with the disposal of property, removing or rendering the inventory record inactive. Disposal includes releasing property items to external entities as part of the chain of evidence, destruction of contraband following established policy and procedures, and packaging and processing for shipping to a destination outside the jurisdiction of the correctional department/agency.

Pre-Condition	Description
None	
Post-Condition	Description
Inventoried	Property will be considered inventoried when a complete and accurate inspection and accounting of the property items has been performed by a staff person.

1.4 Use Case Specification: Initial Intake Interview

Upon arrival at the corrections department/agency the offender will be interviewed to collect information that will be compiled with documentation delivered with the offender to provide an initial assessment of security concerns. If any are identified proper notifications will be made and the offender will be handled appropriately.

Associated Actor	Relationship	Description
Intake Officer	Collect Data	

Initial Intake Interview Activity Diagram

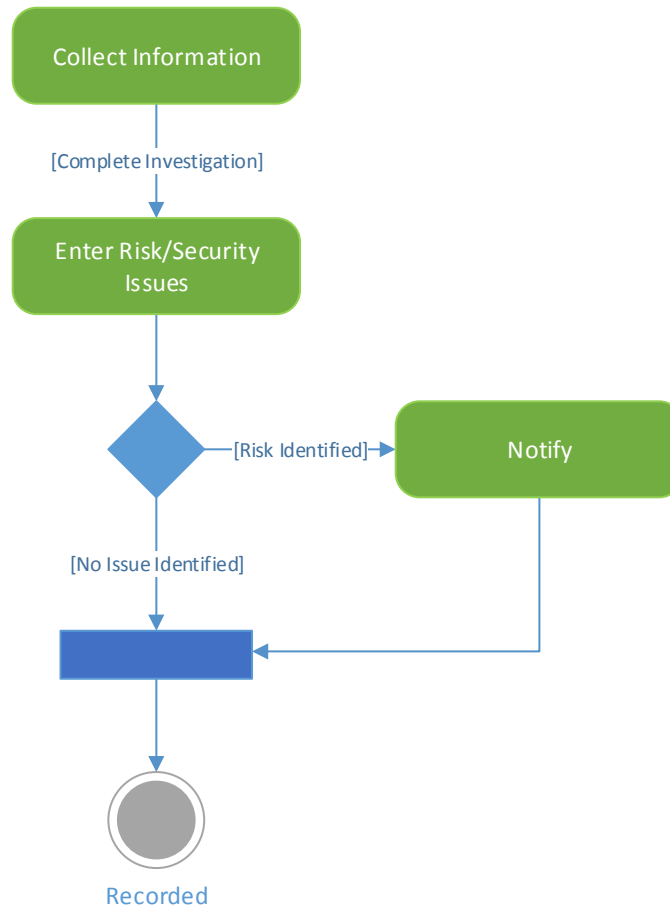


Figure 5: Initial Intake Interview Activity Diagram

1.4.1 Flow of Events

Collect Information - Information will be collected from one or more sources, in various forms such as self-reported, visual or observed, and documented information.

- Data provided: Offender Profile Data, Offender Identifiers

(If Complete Investigation) Enter Risk/Security Issues - Initial intake data entry, which is conducted shortly after arrival at the facility includes information on enemies, separation issues, and any other immediate custody related information.

- Data provided: Security Risk Data, Security Risk Data

(If risk identified) Notify - The notification activity produces and disseminates appropriate information for the purpose of making staff aware of an event and/or initiating action. The staff needing to know must have been identified for each event.

Pre-Condition	Description
---------------	-------------

None	
Post-Condition	Description
Recorded	The result of compiling information and documenting results in a repository for future retrieval and reference.

1.5 Use Case Specification: Health Care Screening

During initial admission to the correctional system offenders are questioned about their current health conditions such as illness and health problems, dental problems, mental health problems, use of alcohol and other drugs, past and present treatment or hospitalization for mental disturbance or suicide, or possible pregnancy.

A visual assessment will also be conducted to identify behavioral problems, body deformities requiring medical treatment, and skin conditions such as bruises, rashes, or other abnormalities.

The screening process will result in one of three dispositions: assignment to general population; assignment to general population with a referral to an appropriate health care service; or immediate referral to the appropriate health care service for emergency treatment.

Associated Actor	Relationship	Description
Clinical Staff	Conducts	

Pre-Condition	Description
None	
Post-Condition	Description
None	

1.6 Use Case Specification: Diagnostic Testing

A battery of tests given to the offender in to identify specific program and treatment need levels. These tests are administered under controlled conditions and then scored. The test scores are recorded for future evaluation.

Associated Actor	Relationship	Description
Evaluation Staff	Conducts	Some testing, including criminogenic inventories may have been administered during the pre-sentence investigation or while on probation. If the corrections department/agency is responsible for these functions, or community placement directly from the court, it is more likely this will have been completed prior to the reception process.

Diagnostic Testing Activity Diagram

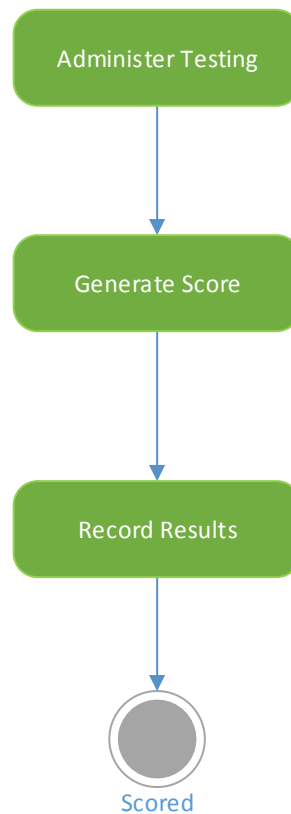


Figure 6: Diagnostic Testing Activity Diagram

1.6.1 Flow of Events

Administer Testing - Testing battery administered on all offenders. Testing areas may include education, aptitude, substance abuse screens, and general psychometric exams.

- Data provided: Test Answers
- Alternative flows: Criminogenic needs inventories such as the LSI-R and other risk measuring instruments may be administered at the time of testing or the administration may be conducted at the time the offender is being interviewed by the staff developing the management plan.

Generate Score - Processing of item scores, identifying the range the scores fall into, and the level or issues the ranges suggests.

- Data provided: Test Scores

Record Results - When an event is completed, some form of documentation of the results of the event will be developed. Generally, all offender contacts are documented in a log that includes notes about the contact and the date and time the contact occurred. Offender management is enhanced when contact logs from multiple service areas are maintained in a central repository to allow information exchange that will aid correctional staff in offender management tasks.

- Data provided: Test Interpretation
- Special requirements:

Standard	Description
ASCA Performance Measures: Substance Abuse and Mental Health Key Indicator III.1.1 Screening for Substance Abuse Problems	Number of prisoners screened for substance abuse problems during the calendar year and reported as a rate per 1,000.

Pre-Condition	Description
None	
Post-Condition	Description
Scored	The official score result obtained by applying testing or evaluation methods in order to determine the placement of an individual in a category or ranking for management purposes.

1.7 Use Case Specification: Health Care Examination

This is a complete health care appraisal performed on an offender to review the initial screening that was performed, collect additional information to complete medical, dental, psychiatric/mental health, and immunization histories. Laboratory and/or diagnostic tests are performed to detect communicable diseases. Other tests and examinations are performed as appropriate. Appropriate treatment will be prescribed as needed, and/or the development and implementation of a treatment plan. A treatment plan may include recommendations concerning housing and job assignments, and program participation.

This use case includes the sick call service to insure offender access to health care to have their needs addressed. Offenders submit requests to housing officer who will initiate the process by arranging appropriate notification and intra-facility movement as needed.

Case managers will also make referrals as offender needs are identified in the normal course of monitoring the progress of the offender incarceration period.

An alternative flow in some jurisdictions involve contracts to provide health care services either inside the institution or in some cases offenders are transported to the medical providers outside the facility for care.

Associated Actor	Relationship	Description
Clinical Staff	Conducts	

Health Care Examination Activity Diagram

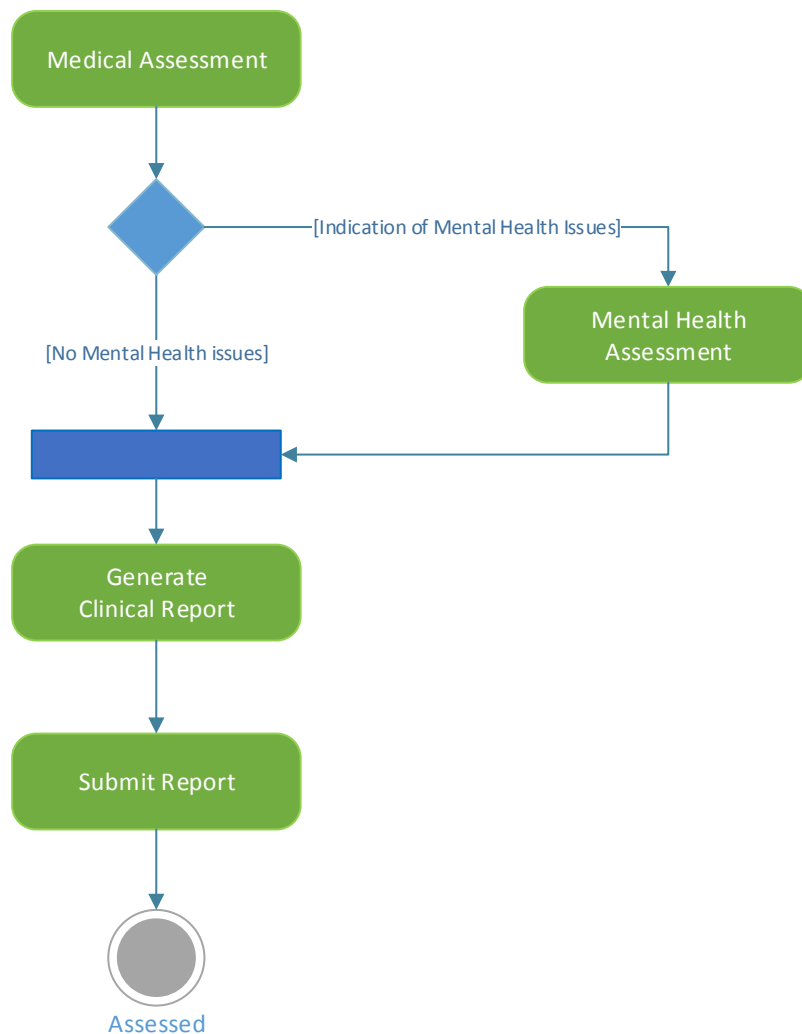


Figure 7: Health Care Examination Activity Diagram

1.7.1 Flow of Events

Medical Assessment - A general evaluation is performed for an offender to determine medical, mental health, and dental needs.

- Data provided: Medical Health Data, Medical Health Data, Interview Data
- Special requirements:

Standard	Description
ASCA Performance Measures: Substance Abuse and Mental Health Key Indicator III.2.1 Mental Health Assessment	Number of prisoners assessed for mental health needs by a mental health professional during the calendar year and reported as a rate per 1,000.

(If Indication of Mental Health Issues) Mental Health Assessment - A mental health evaluation is performed for an offender to determine mental health needs.

- Data provided: Medical Health Data, Mental Health Data

Generate Clinical Report - The collection of information will be compiled, formatted, and documented in a record or produced in a report for distribution adhering to privacy guidelines.

- Alternative flows: Medical information may not be distributed.

Submit Report - When a report is developed and documented it will be handed over or recorded for reviewing or communication purposes.

Pre-Condition	Description
None	
Post-Condition	Description
Assessed	The official end result of applying testing or evaluation methods in order to determine the placement of an individual in a category or ranking for management purposes.

1.8 Use Case Specification: Sex Offender Identification

Assessment staff review offender's criminal behavior to identify sex offenders. The identification is both for public safety concerns and program accountability.

1.8.1 Flow of Events

Retrieve Offense Data - Criminal history based on current RAP sheet data must be available. In addition, the current conviction offenses and expected time to serve make up factors in the instrument and must be current. Other related criminal history such as escapes and the nature of the offenses, i.e. assaults, are critical data that the classification and assessment process will require. This information may be available through the pre-sentence investigation. Where the corrections department/agency is responsible for the pre-sentence investigation (PSI), this may be readily retrievable. Where the corrections department/agency is not responsible for producing the PSI it may be less.

- Data provided: Criminal History, Sentences Imposed, Expected Time to Serve, Escape History

Sex Offender Verification - In some instances the history of convictions will readily identify offenses categorized as sex related offenses. Where convictions for these offenses are present the offender is identified and verified as a sex offender. In some instances pre-sentence documents are used to determine if an offender was originally charged with a sex related offense but due to plea bargaining the offense was obscured from the final conviction. In some jurisdictions this information is utilized for treatment programs at the discretion of the incarcerating department/agency.

- Data provided: Sex Offender Indicators
- Alternative Flows: Alternative forms of notices may be used instead of updating the sex offender indicators.

Sex Offender Identification Activity Diagram

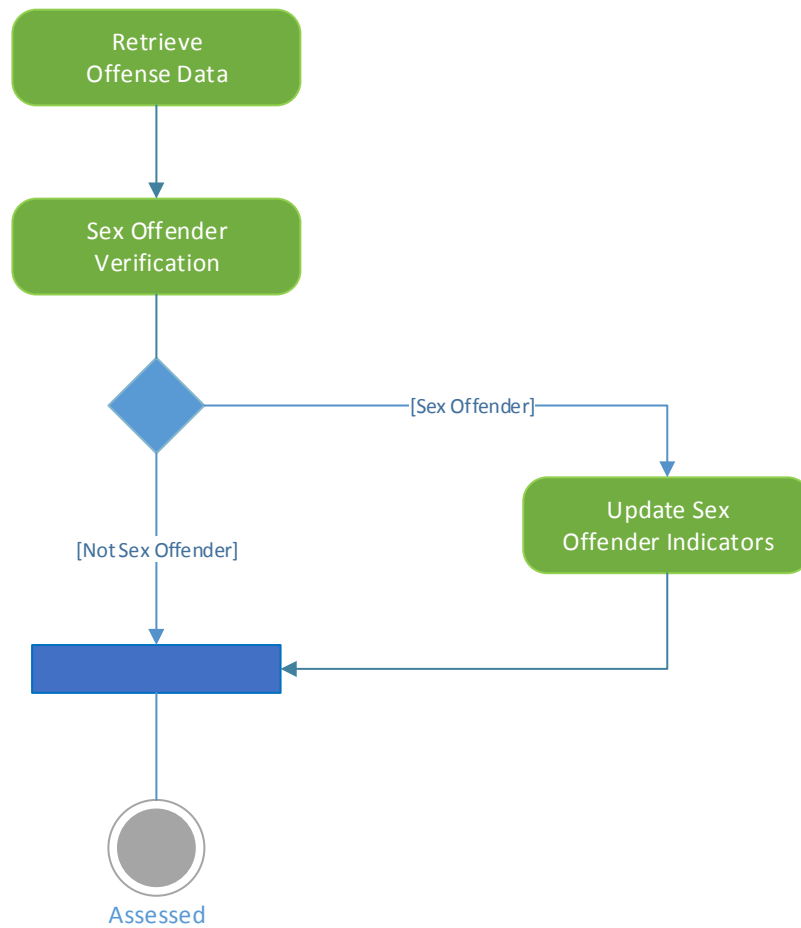


Figure 8: Sex Offender Identification Activity Diagram

(If Sex Offender) Update Sex Offender Indicators - This is the process of establishing a record in the computer database with information about the sex offenses the offender was convicted of. Indicators include whether or not the offense was violent, or if the offense involved a child, etc.

Pre-Condition	Description
None	
Post-Condition	Description
Assessed	The official end result of applying testing or evaluation methods in order to determine the placement of an individual in a category or ranking for management purposes.

1.9 Use Case Specification: Initiate Management Plan

The offender risk (levels), program needs and objectives are identified in order to address them during the commitment period. They are used to create an offender management plan.

Initiate Management Plan Activity Diagram

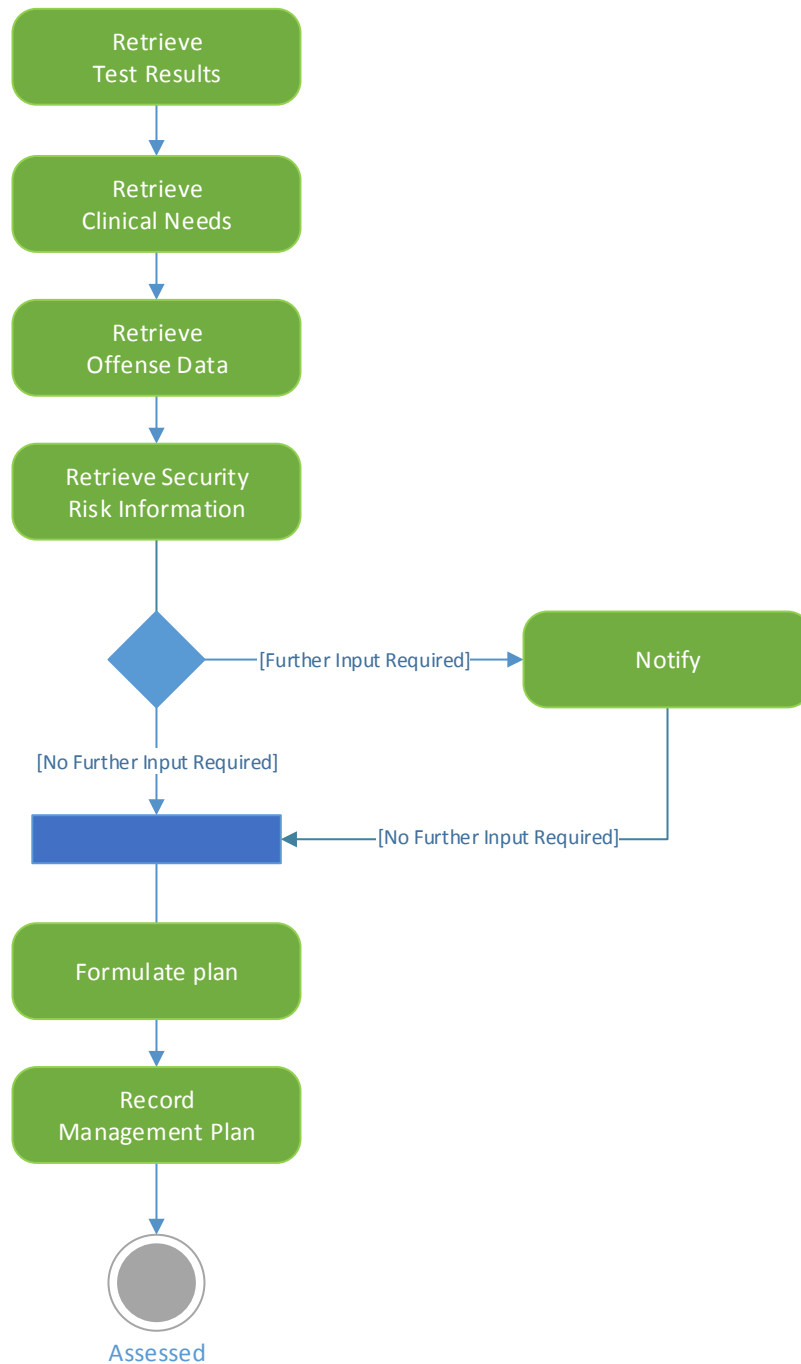


Figure 9: Initiate Management Plan Activity Diagram

Associated Actor	Relationship	Description
Assessment Staff	Compile Record	Initiate Management Plan processes may not begin until after the offender has departed the diagnostic facility in some jurisdictions. A management plan may not be part of the corrections process.

- Alternative Flows: An override may be requested for initial classifications in some jurisdictions.

1.9.1 Flow of Events

Retrieve Test Results - Test results and any associated interpretive information for such things as education level, aptitude, general adjustment issues, and substance abuse should be available for assessment or reassessment. The results from tests administered during the reception process as well as those taken throughout the sentence period, should be accessible to appropriate staff.

- Data provided: Test Scores, Test Interpretation

Retrieve Clinical Needs - Those clinical needs assessed by clinical staff for each offender while incarcerated. These could include treatment issues, restrictions, or other issues that might affect the offender's placement and management plan. The needs accessible would not be from the medical record but from information clinical staff entered for general corrections management usage.

- Data provided: Clinical Data

Retrieve Offense Data - Criminal history based on current RAP sheet data must be available. In addition, the current conviction offenses and expected time to serve make up factors in the instrument and must be current. Other related criminal history such as escapes and the nature of the offenses, i.e. assaults, are critical data that the classification and assessment process will require. This information may be available through the pre-sentence investigation. Where the corrections department/agency is responsible for the pre-sentence investigation (PSI), this may be readily retrievable. Where the corrections department/agency is not responsible for producing the PSI it may be less.

- Data provided: Conviction Offenses

Retrieve Security Risk Information - Security risk information gathered through the initial intake process or through other sources such as pre-sentence investigations. This information could include separation issues, enemies, specific violence issues, or any other risk issues that might affect institutional adjustment.

- Data provided: Security Risk Data, Security Risk Data

(If further input required) Notify - The notification activity produces and disseminates appropriate information for the purpose of making staff aware of an event and/or initiating action. The staff needing to know must have been identified for each event.

Formulate Plan - Offender risk information and program needs will be compiled to establish accountability objectives to be addressed during the incarceration period. The plan is compiled from the information gathered in the earlier steps of the reception process. The programs outlined in the plan may be set in priority order or just under the heading of each area. Some program needs may be specifically dictated as a result of the offense, they may be acute or chronic and are considered dynamic in nature.

- Data provided: Program Needs Data, Risk Assessment.
- Alternative Flows: The output of the assessment process in reception may not always be a finalized plan, but in some jurisdictions may be a summary of the offender's needs and risks. The expectation is that the summary will be used once the offender has been placed in a permanent facility.
- Special Requirements:

Standard	Description
ASCA Performance Measures: Substance Abuse and Mental Health Key Indicator III.1.2 Assessment of Substance Abuse Disorders	Number of prisoners identified via a substance abuse screening as having a potential substance abuse problem who received a substance abuse assessment to diagnose the problem and develop a plan for appropriate clinical management while incarcerated reported as a rate per 1,000.

Record Management Plan - The management plan is entered and becomes a dynamic document to be used to measure accountability throughout the incarceration period. The plan may also be adjusted as the offender progresses or demonstrates additional behavior requiring intervention.

- Data provided: Program Plan.
- Alternative Flows: There is often an approval process for the plan by a supervisor, who may request modifications to the plan prior to approval and completion.

Pre-Condition	Description
None	
Post-Condition	Description
Assessed	The official end result of applying testing or evaluation methods in order to determine the placement of an individual in a category or ranking for management purposes.

1.10 Use Case Specification: Score Initial Classification Instrument

Initial classification is used when there has been no previous institutional behavior to measure during the current incarceration. Risk factors relating to criminality are considered.

1.10.1 Flow of Events

Retrieve Risk Predictors - At the time an offender is initially classified during the intake process, institutional behavior information for the current incarceration is not available. Other risk factors may be available such as socio economic status, family characteristics, detention history and other risk factors such as a history of violence, gang affiliation, and separation issues.

These risk factors may be updated throughout the offender's incarceration period and used for activity, facility, and community placement decisions.

- Data provided: Socio Economic Status, Family Characteristics, Detention History, Risk Assessment.

Score Initial Classification Instrument Activity Diagram

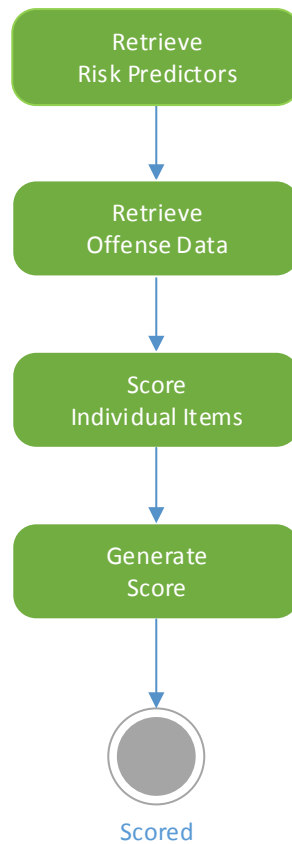


Figure 10: Score Initial Classification Instrument Activity Diagram

Retrieve Offense Data - Criminal history based on current RAP sheet data must be available. In addition, the current conviction offenses and expected time to serve make up factors in the instrument and must be current. Other related criminal history such as escapes and the nature of the offenses, i.e. assaults, are critical data that the classification and assessment process will require. This information may be available through the pre-sentence investigation. Where the corrections department/agency is responsible for the pre-sentence investigation (PSI), this may be readily retrievable. Where the corrections department/agency is not responsible for producing the PSI it may be less.

- Data provided: Criminal History, Sentences Imposed, Expected Time to Serve, Escape History.

Score Individual Items - It is required that the data from the various sources identified populate the factors used in the scoring instrument.

- Data provided: Classification Item Scores.

Generate Score - Processing of item scores, identifying the range the scores fall into, and the level or issues the ranges suggests.

- Data provided: Classification Score.

Pre-Condition	Description
None	
Post-Condition	Description
Scored	The official score result obtained by applying testing or evaluation methods in order to determine the placement of an individual in a category or ranking for management purposes.

Common Business Functions for Correctional Management Systems



IJIS Institute



Volume 2 – Business Scenarios
Part B – Sentence and Time Accounting

*Authored by the IJIS Institute and the
Corrections Technology Association*

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1. BUSINESS FUNCTION: SENTENCE AND TIME ACCOUNTING

The purpose of this business function is to ensure offenders are incarcerated for the exact amount of time as prescribed by law. The function of sentence and time accounting encompasses the initial calculation of an offender's required length of incarceration using applicable statutes and case law, and applying statutory awarded good time. An iteration of recalculating the projected release date continues during the incarceration period applying earned time credits awarded and revoked, amendments to the original sentences, or other actions that can reduce the length of incarceration.

Sentence and Time Accounting Use Case Diagram

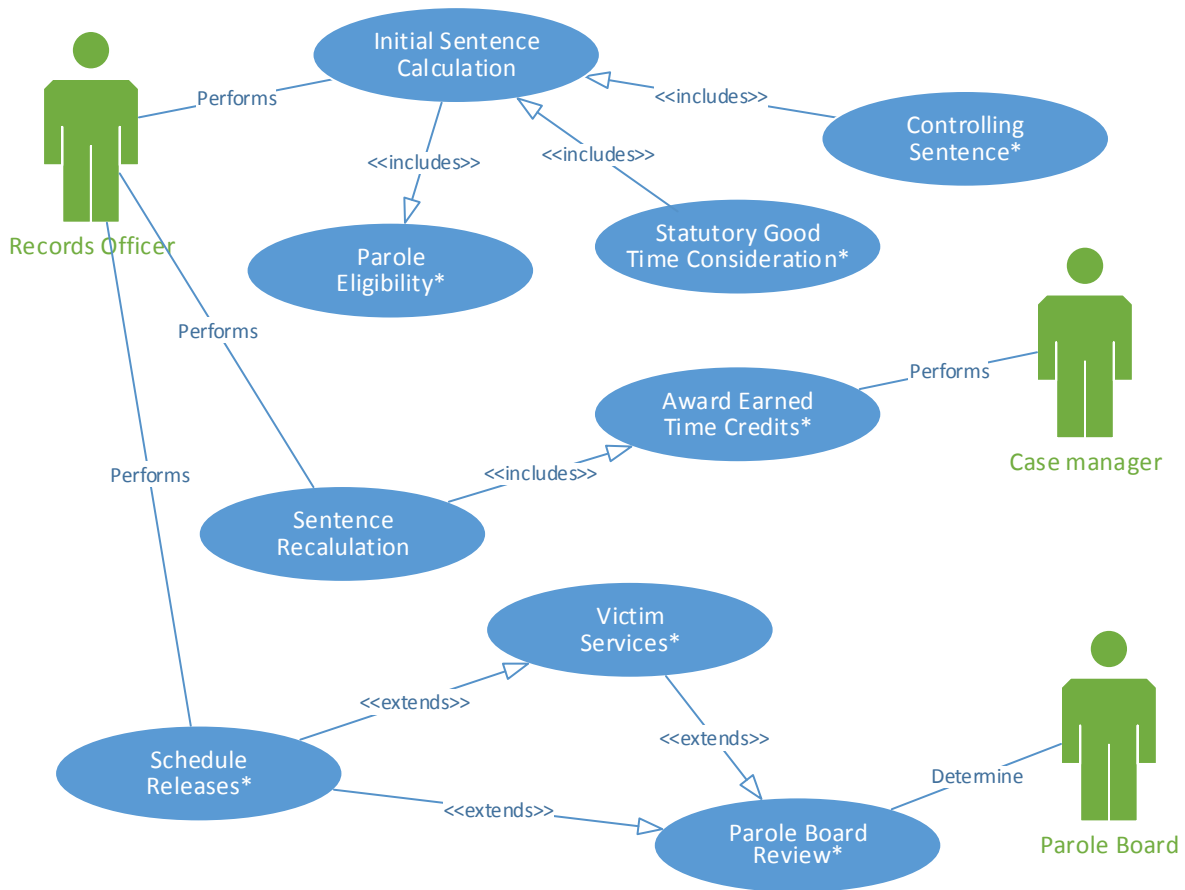


Figure 1: Sentence and Time Accounting Use Case Diagram

1.1 Use Case Specification: Initial Sentence Calculation

The Records Office evaluates the sentencing document to determine governing sentence(s) and the projected date of release from incarceration.

Initial Sentence Calculation Activity Diagram

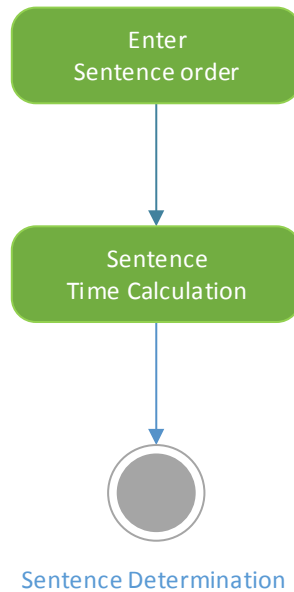


Figure 2: Initial Sentence Calculation Activity Diagram

Associated Actor	Relationship	Description
Records Officer	Performs	

Detail
There are instances when an offender sentenced to the correctional department/agency will be eligible for discharge or eligible for parole supervision as a result of terms outlined in the sentencing document or due to credits for pre-sentence confinement. These offenders are identified during the initial sentence calculation process and will be immediately scheduled for parole supervision processing. Sentencing guidelines may include extending the sentence until the offender has successfully served a post-incarceration supervision period.

1.1.1 Flow of Events

Enter Sentence Order - The act of entering information from the sentencing document into the enterprise database.

- Data provided: Sentence Record.
- Alternative Flows

Detail
The parole eligibility date may be determined and reviewed by the parole authority.

Sentence Time Calculation - This activity derives the projected date the offender will be released from incarceration by applying rules for time credits and parole eligibility.

- Data provided: Sentence Discharge Date, Parole Eligibility Date, and Projected Release Date.

Pre-Condition	Description
None	
Post-Condition	Description
Sentence Determination	The state where the incarceration period and the date the offender will be released from incarceration has been determined.

1.2 Use Case Specification: Controlling Sentence

The process of determining the sentencing scheme, made up of one or more sentences from one or more crimes, that determines the minimum and maximum length of incarceration.

Controlling Sentence Activity Diagram

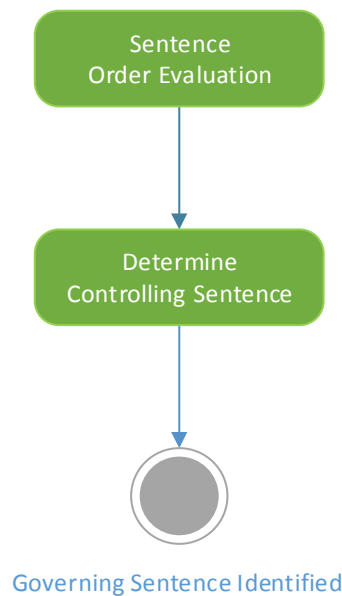


Figure 3: Controlling Sentence Activity Diagram

1.2.1 Flow of Events

Sentence Order Evaluation - Sentence order evaluation identifies the key elements of court findings and judgments. Key elements include statutes of convictions, crimes and sentences, awards for pre-sentence confinement and statutory good time, and orders to pay restitution.

- Data provided: Sentence Record.

Detail

Review court findings from one or more sentencing documents to determine governing sentence. The sentence minimum and maximum lengths from one or more sentences for one or more convictions are used to produce a scheme of consecutive and/or concurrent sentences. The scheme of sentences that result in the longest period of incarceration results in the governing sentence. The minimum period of incarceration from the governing sentence is generally accepted as the minimum sentence.

Determine Controlling Sentence - An analytical process determines the sentencing schema, a composition of one or more sentences from one or more sentence order documents, that will determine the minimum and maximum period of incarceration.

- Data provided: Governing Sentence Scheme.

Pre-Condition	Description
None	
Post-Condition	Description
Governing Sentence Identified	The state where the sentences that govern the incarceration period are identified.

1.3 Use Case Specification: Statutory Good Time Consideration

Most states utilize a good time credit system as an incentive to serve disciplinary-free incarceration. Statutory good time is awarded at the start of the offender's sentence, and the offender receives all potential credits at this time. When the offender behavior during their incarceration is determined to be unacceptable, the credits are revoked.

- Alternative Flows

Detail

Statutory good time may not be awarded in some jurisdictions which would eliminate this process.

1.3.1 Flow of Events

Sentence Order Evaluation - Sentence order evaluation identifies the key elements of court findings and judgments. Key elements include statutes of convictions, crimes and sentences, awards for pre-sentence confinement and statutory good time, and orders to pay restitution.

Evaluate Good Time Criteria - Review sentencing specification pertaining to good time awards and evaluate criteria that defines instances when good time awards can be lost.

- Data provided: Good Time Award.

Detail

When a sentencing document review determines the offender is not eligible for good time for that sentence, a zero amount will be recorded with a notation supporting the figure.

Statutory Good Time Consideration Activity Diagram

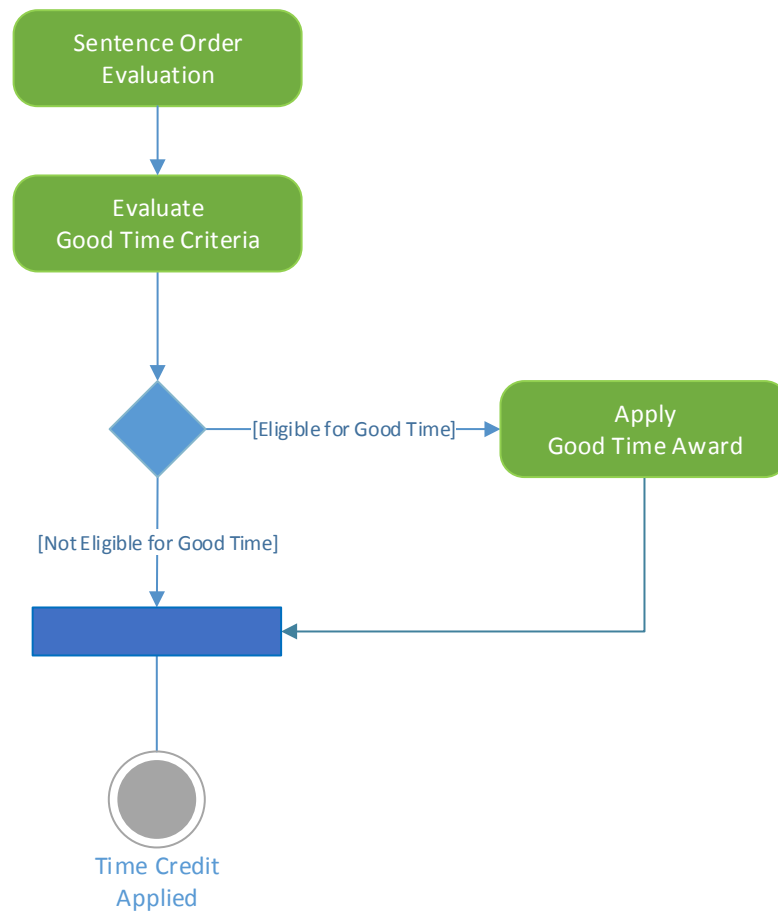


Figure 4: Statutory Good Time Consideration Activity Diagram

(If Eligible for Good Time) Apply Good Time Award - The act of applying statutory good time awards towards the reduction of incarceration periods.

Pre-Condition	Description
None	
Post-Condition	Description
Time Credit Applied	The time credit award is applied towards the sentence reduction of an offender.

1.4 Use Case Specification: Parole Eligibility

The process of determining the eligibility of an offender to be released under parole supervision, including the projected date of release to parole.

Parole Eligibility Activity Diagram

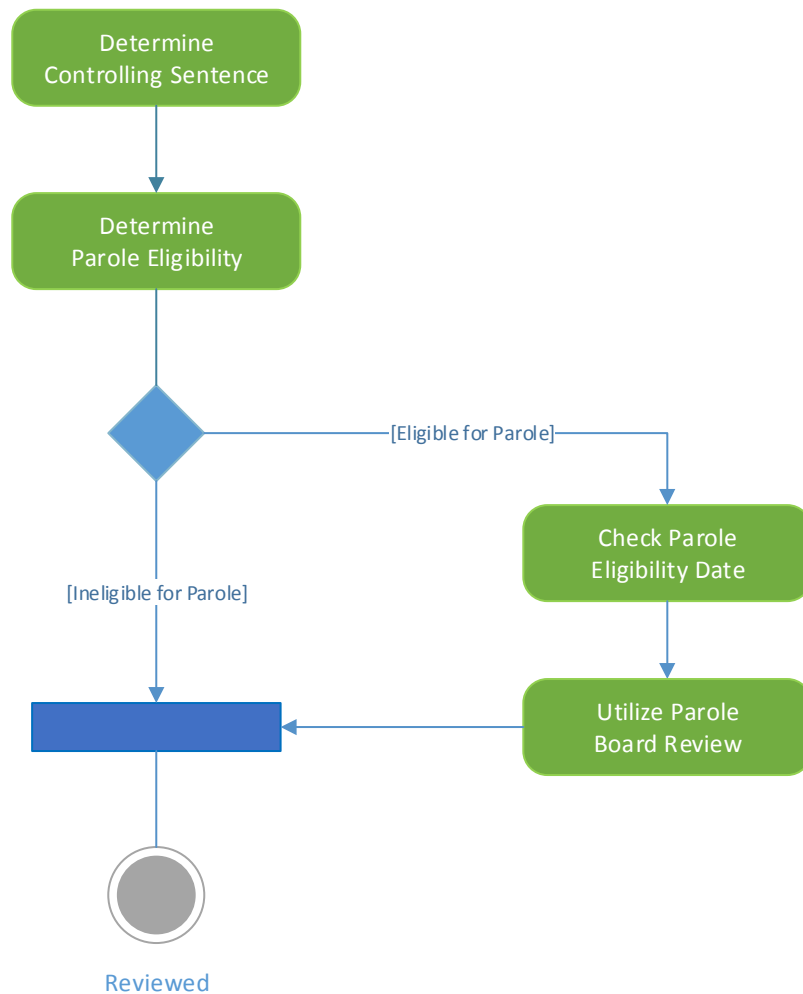


Figure 5: Parole Eligibility Activity Diagram

1.4.1 Flow of Events

Determine Controlling Sentence - An analytical process determines the sentencing schema – a composition of one or more sentences from one or more sentence order documents – that will determine the minimum and maximum period of incarceration.

Determine Parole Eligibility - The process of determining the eligibility of an offender to be placed under parole supervision.

- Data provided: Parole Eligibility Date.

(If Eligible for Parole) Check Parole Eligibility Date - A check will be made at various points during the incarceration period to determine if the offender is nearing their parole eligibility date. As the date draws near the offender will be scheduled for review by the parole authority.

Utilize Parole Board Review - The scheduled review for the appropriateness of parole, based upon the parole eligibility date. If approved offender's status will change from inmate to parolee, and the offender will be released into the community. If denied offender's status will remain as inmate and there will be a new review hearing date set. From the time of the first review forward through their discharge date, the offender's time is under the control of the Parole Board.

Pre-Condition	Description
None	
Post-Condition	Description
Reviewed	Staff review of past behavior or conditions in respect to future action.

1.5 Use Case Specification: Sentence Recalculation

The Records Office will perform periodic reviews of the offender sentence to apply time credits that will affect the projected date of release from incarceration. The receipt of an amended sentence order affecting the original sentence(s) may trigger this function, resulting in a change to the projected date of release.

Associated Actor	Relationship	Description
Records Officer	Performs	

Special Requirement	Description
ACA Standard: Computation of Time Served 4-4097 Computation of Time Served	Written policy, procedure, and practice provide that inmate time is accurately computed and recorded in conformance with applicable statues and regulations. Comment: The accurate computation and recording of any good time earned or forfeited is vital for incarcerated persons. Each inmate’s case file should include an up-to-date record of time served and time remaining.

Sentence Recalculation Activity Diagram

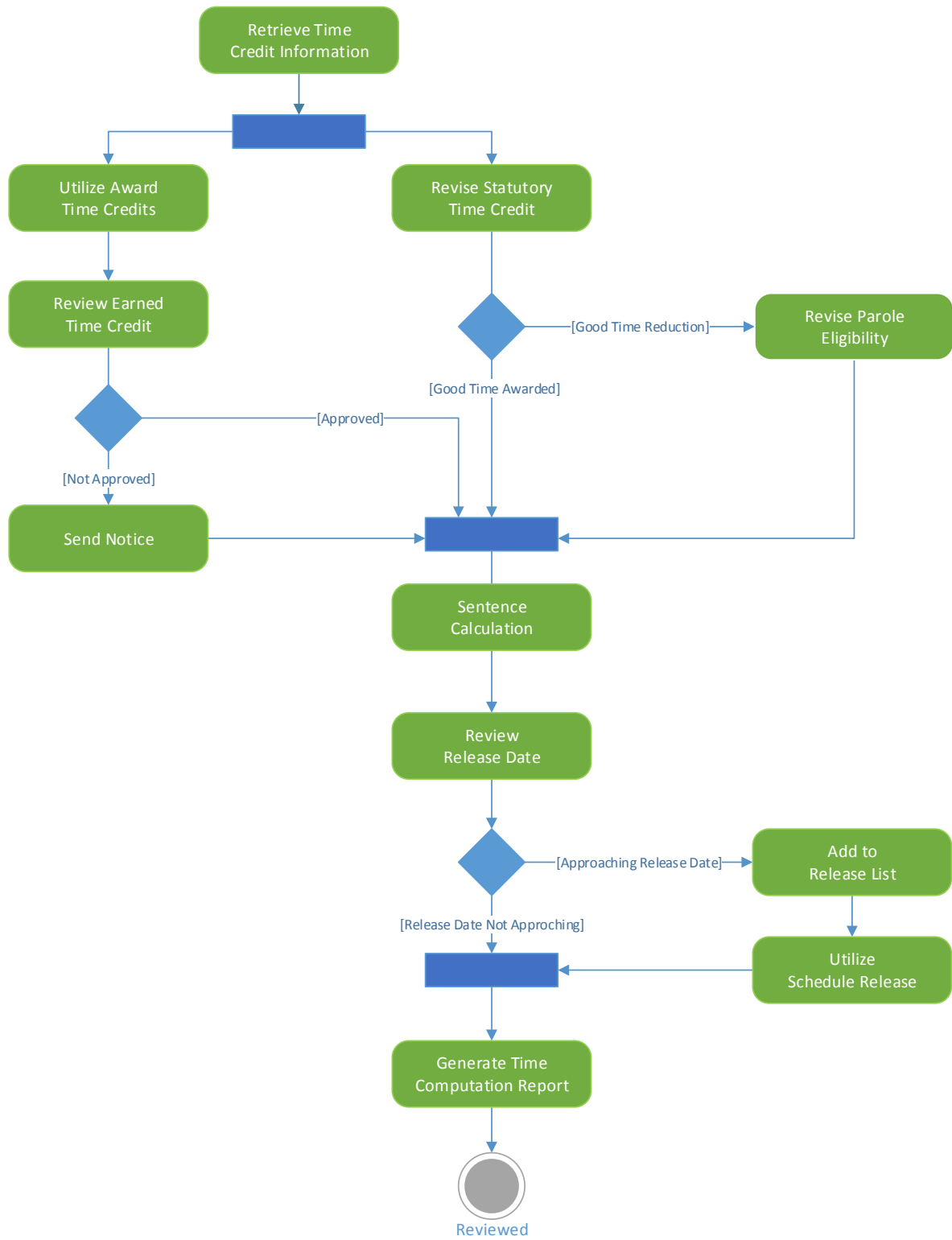


Figure 6: Sentence Recalculation Activity Diagram

1.5.1 Flow of Events

Retrieve Time Credit Information - Obtain information pertinent to calculating the projected date the offender will be released from incarceration.

- Alternative Flows

Detail

In most jurisdictions, the process to award earned time credits will be performed before a sentence recalculation takes place, but some rely on the last record of awarded time.

Utilize Award Time Credits - Most states use a good time credit system as an incentive to serve disciplinary-free incarceration. Earned time credit is a reward for positive behavior during the incarceration period. These credits are earned when the inmate participates in prison programs or activities, such as education or vocational training. The amount of earned credit is determined by predefined rules and awarded at prescribed review periods. When the offender behavior during their incarceration is determined to be unacceptable, the credits are revoked as the result of a disciplinary sanction.

Detail

A level of review occurs during the calculation process to check the time credit awarded by the staff person performing the initial evaluation and award determination.

Review Earned Time Credit - Review earned time awarded by the person authorized to grant the award to insure statutes and rules are applied correctly.

- Data provided: Denial Notification.

Detail

The staff person awarding the time credit will be notified that their assessment was incorrect and the time credit was revised.

(If not approved) Send Notice - The act of sending a formal notice to communicate a decision or action.

Review Statutory Time Credit - Review factors supporting the reduction in good time credit.

- Data provided: Good Time Award.

Detail

In instances where an offender is eligible for good time credits, this transition reflects the award adjustment based on statutory requirements. The adjustment will range from the maximum number of eligible days, down to a zero number of days awarded.

(If Good Time Reduction) Revise Parole Eligibility - The process of determining the eligibility of an offender to be released under parole supervision, including the projected date of release to parole.

- Data provided: Parole Eligibility Date.

Detail
The process of revising the parole eligibility date will result in the offender being scheduled for Parole Board Review should it be determined the date is fast approaching.

Sentence Time Calculation - This activity derives the projected date the offender will be released from incarceration by applying rules for time credits and parole eligibility.

- Data provided: Projected Release Date.

Review Release Date - Reviewing the date the offender is scheduled for release to determine if the incarceration period is nearing an end.

(If Approaching Release Date) Add To Release List - When the offender nears the end of his or her incarceration period they will be added to a list which is used to track the release process.

Utilize Schedule Release - There are various events that trigger the process of scheduling the release of an offender from incarceration, these include parole board action, the discharge of the offender's sentence, court order, or some other form of release while still under the jurisdiction of the corrections department/agency.

Activities that must take place prior to the release of an offender are conducting a formal search for active warrants, warrants, and detainers. This activity will initiate a formal notification process whereby law enforcement or corrections agencies, and individuals that have registered in the victim notification program, will be informed of the pending release.

Generate Time Computation Report - Electronic and hard copy report of earned time awards, good time awarded or lost, and the termination date of the incarceration period. Changes in good time awards or lost will affect the parole eligibility date.

Pre-Condition	Description
None	
Post-Condition	Description
Reviewed	Staff review of past behavior or conditions in respect to future action.

1.6 Use Case Specification: Award Earned Time Credits

Most states use a good time credit system as an incentive to serve disciplinary-free incarceration. Earned time credit is a reward for positive behavior during the incarceration period. These credits are earned when the inmate participates in prison programs or activities, such as education or vocational training. The amount of earned credit is determined by predefined rules and awarded at prescribed review periods. When the offender behavior during their incarceration is determined to be unacceptable, the credits are revoked as the result of a disciplinary sanction.

Award Earned Time Credits Activity Diagram

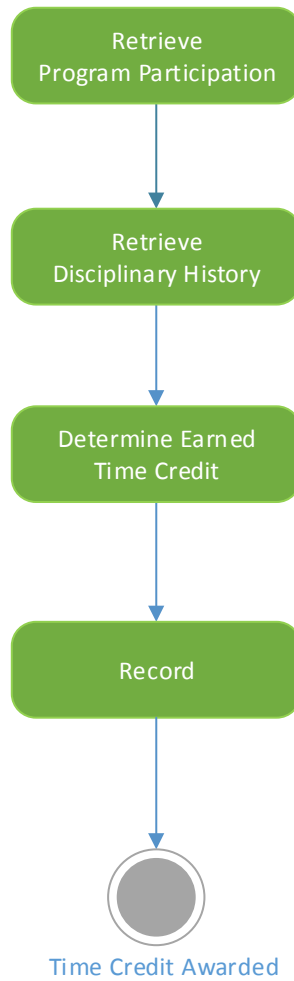


Figure 7: Award Earned Time Credits Activity Diagram

Associated Actor	Relationship	Description
Case Manager	Performs	Awarding of earned time credits may be performed by staff other than the case manager. In such instances, the case manager may serve in an advisory role.

Special Requirement	Description
ACA Standard: Computation of Time Served 4-4097 Computation of Time Served	<p>Written policy, procedure, and practice provide that inmate time is accurately computed and recorded in conformance with applicable statues and regulations.</p> <p>Comment: The accurate computation and recording of any good time earned or forfeited is vital for incarcerated persons. Each inmate’s case file should include an up-to-date record of time served and time remaining.</p>

1.6.1 Flow of Events

Retrieve Program Participation - Offender program participation should include the status in the program, whether currently assigned, attendance, and the level of participation the offender put forward. This information is needed in measuring program performance as it relates to the offender's identified needs.

- Data provided: Program Participation.

Retrieve Disciplinary History - Obtain the disciplinary information associated with an offender during their incarceration period.

- Data provided: Disciplinary History.

Determine Time Credit Award - A review of criteria defined whereby an offender can earn time credits and determine the amount of time that should be granted. This review will consider program positive participation and disciplinary actions and make adjustments to time credit awards based on authorized time reductions credits and disciplinary actions. The award is generally limited by sentencing guidelines that specify a maximum credit amount. The time credit granted may be any amount up to the maximum allowed, to as little as no time credit granted. In either case the result is earn time credits granted.

- Data provided: Earned Time Award.

Detail
The award of time credits is an explicit result of this activity. The result may be an award of zero time credits or any amount greater within prescribed limits.

Record - The act of documenting any form of action, decision, or information that is to be placed among official records.

Pre-Condition	Description
None	
Post-Condition	Description
Time Credit Awarded	

1.7 Use Case Specification: Schedule Release

There are various events that trigger the process of scheduling the release of an offender from incarceration, these include parole board action, the discharge of the offender's sentence, court order, or some other form of release while still under the jurisdiction of the corrections department/agency.

Activities that must take place prior to the release of an offender are conducting a formal search for active warrants, warrants, and detainers. This activity will initiate a formal notification process whereby law enforcement or corrections agencies, and individuals that have registered in the victim notification program, will be informed of the pending release.

Schedule Release Activity Diagram

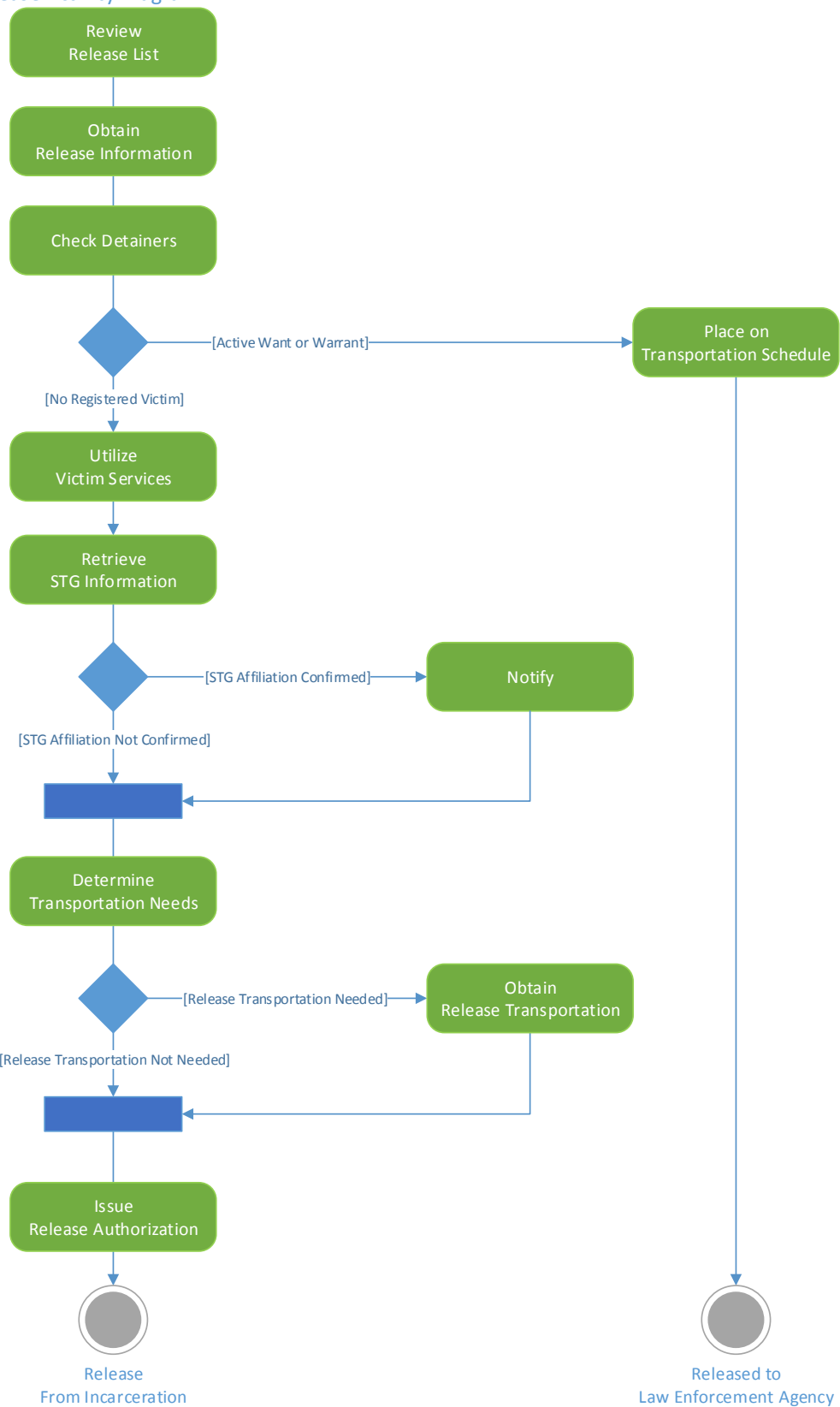


Figure 8: Schedule Release Activity Diagram

Associated Actor	Relationship	Description
Records Officer	Performs	In some jurisdictions, the release processing is decentralized. In these instances the scheduling and activities associated with the release to the community is performed by facility staff.

1.7.1 Flow of Events

Review Release List - View the list of offenders that are approaching the end of their incarceration and will require processing for release.

- Data provided: Offender Identifiers, Projected Release Date.

Obtain Release Information - Gather information pertinent to the release of an offender from incarceration or supervision.

- Data provided: Release Information.
- Alternative Flows:

Detail
There are jurisdictions that will detain an offender from release for outstanding fines or restitution debt obligations. Generally, this will affect only the conditional release of the offender such as parole or community progressive moves. When an offender has completed their incarceration obligation and will be discharged, the release from custody cannot be delayed due to these debt obligations.

Check Detainers - The corrections department/agency will submit queries to law enforcement networks to obtain active orders on individuals that are the subject of a detainment action. Offenders scheduled for release, individuals requesting a visit with offenders, or employee background searches are examples of actions that will trigger this query.

- Data provided: Active Want or Warrant.
- Alternative Flows:

Detail
Transportation to another agency may be provided by the receiving agency and not the sending agency.

(If No Active Wants or Warrants) Utilize Victim Services - The correctional department/agency in most jurisdictions will provide victims or appropriate individuals or entities who make a request, receive a formal notification when specific events take place while an offender is on community supervision or incarcerated in a facility. Victim information is kept confidential and maintained in a secured record.

Specific events include assignment to the offender's current prison location, transfers from one prison location to another, release date of offender, change of name of offender, escape and recapture, parole eligibility date, parole interview date and a parole board decision.

The notification process first requires the individual requesting to receive notification to register with the correctional department/agency, providing necessary contact information as well as identification information of the offender to be traced. Policies and procedures vary greatly by jurisdiction.

Retrieve Security Threat Group (STG) Information - Information regarding security threat group affiliation will be obtained from available sources in order to determine if appropriate notifications should be made.

- Data provided: STG Affiliation.

Detail
An exchange of information from the corrections department/agency takes place anytime an offender with known STG affiliation is released to the community. A document is sent to alert appropriate authorities of the pending release, with detailed information of known affiliations.

(If stg affiliation confirmed) Notify - The notification activity produces and disseminates appropriate information for the purpose of making staff aware of an event and/or initiating action. The staff needing to know must have been identified for each event.

Determine Transportation Needs - Perform an assessment of transportation needs the offender will have upon release from incarceration.

- Data provided: Transportation Voucher, Transportation Voucher.
- Alternative Flows:

Detail
Transportation may be provided to the nearest public transportation terminal where the offender is release to obtain transportation to the final destination.

(If Active Warrant or Warrant) Place on Transportation Schedule - Add an offender to a scheduled transportation out of the facility, yet maintain custody and control at the current facility until actual transportation.

(If Release Transportation Needed) Obtain Release Transportation - Offenders to be released from custody may require public transportation to their final destination. These arrangements are made by the corrections department/agency on behalf of the offender. The costs for the transportation are generally the responsibility of the offender, although some jurisdictions have policies that include paying transportation costs as part of the release process.

- Data provided: Release Transportation Itinerary.

Issue Release Authorization - The act of compiling necessary information and authorizations for the release of the offender from incarceration.

- Data provided: Release Authorization.

Pre-Condition	Description
None	
Post-Condition	Description
Released to Law Enforcement Agency	Instance where an offender is released from incarceration with the correctional department/agency and is handed over to another law enforcement entity.
Release from Incarceration	The state when the offender is released from incarceration with the correctional department/agency.

1.8 Use Case Specification: Victim Services

The correctional department/agency in most jurisdictions will provide victims or appropriate individuals or entities who make a request, receive a formal notification when specific events take place while an offender is on community supervision or incarcerated in a facility. Victim information is kept confidential and maintained in a secured record.

Specific events include assignment to the offender's current prison location, transfers from one prison location to another, release date of offender, change of name of offender, escape and recapture, parole eligibility date, parole interview date, and a parole board decision.

The notification process first requires the individual requesting to receive notification to register with the correctional department/agency, providing necessary contact information as well as identification information of the offender to be traced. Policies and procedures vary greatly by jurisdiction.

1.8.1 Flow of Events

Determine Type - Used to evaluate the type of activity, such as movement outside of the facility for a day trip, or intra-facility movement such as medical appointment, work assignment, program activity, etc.

- Data provided: Offender Identifiers, Victim Identifiers.

(If victim registration request) Evaluate Form - The act of reviewing a form for required information resulting in a determination.

- Data provided: Victim Registration Information.

(If Approved) Record Event - The creation of an entry for an event or outcome containing essential information for future retrieval and use by correctional staff.

(If victim notification request) Retrieve Victim Registration - Using key identifiers the victim registration information that has been submitted and filed with the correctional department/agency is retrieved for processing.

- Data provided: Victim Registration Information.

Detail
In this transition, the originator of the request receives a response to communicate that no information had been found pertaining to their inquiry.

Victim Services Activity Diagram

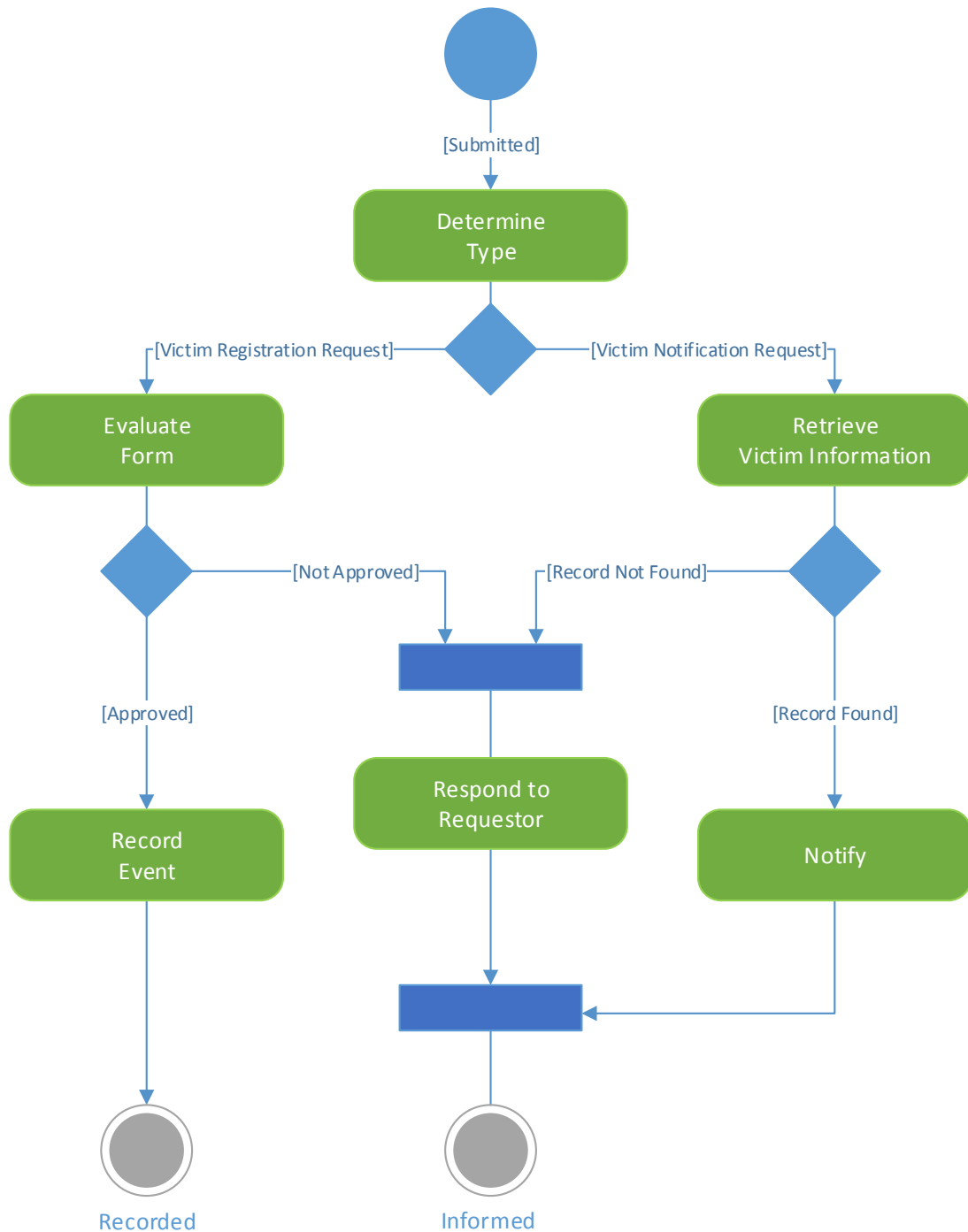


Figure 9: Victim Services Activity Diagram

Respond to Requestor - Any time a response is appropriate either a document is developed and sent and/or a verbal communication is performed to provide a requestor with information regarding their request.

(If record found) Notify - The notification activity produces and disseminates appropriate information for the purpose of making staff aware of an event and/or initiating action.

The staff needing to know must have been identified for each event.

Pre-Condition	Description
Submitted	Any instance whereby a document is prepared or a verbal communication is issued, and is offered for consideration, study, or decision.
Post-Condition	Description
Recorded	The result of compiling information and documenting results in a repository for future retrieval and reference.
Informed	Any instance where an individual receives communication of any form for the purpose of informing.

1.9 Use Case Specification: Parole Board Review

The scheduled review for the appropriateness of parole, based upon the parole eligibility date. If approved offender's status will change from inmate to parolee, and the offender will be released into the community. If denied offender's status will remain as inmate and there will be a new review hearing date set. From the time of the first review forward through their discharge date, the offender's time is under the control of the Parole Board.

1.9.1 Flow of Events

Retrieve Reentry Plan - The reentry plan is developed for the purpose of providing the releasing authority a plan to review before an upcoming hearing. The plan will contain risks, an accountability plan, and residential/work expectations. The plan should be sufficiently retrievable to the reviewers prior to the hearing.

- Data provided: Reentry Plan.

Schedule Hearing - Set a date for a formal review hearing of an offender's status. The hearing may be initiated either by a status review date, or a violation/incident report.

- Data provided: Hearing Date/Time, Offender Identifiers.

(If registered victim) Utilize Victim Services - The correctional department/agency in most jurisdictions will provide victims or appropriate individuals or entities who make a request, receive a formal notification when specific events take place while an offender is on community supervision or incarcerated in a facility. Victim information is kept confidential and maintained in a secured record.

Specific events include assignment to the offender's current prison location, transfers from one prison location to another, release date of offender, change of name of offender, escape and recapture, parole eligibility date, parole interview date and a parole board decision. The notification process first requires the individual requesting to receive notification to register with the correctional department/agency, providing necessary contact information as well as identification information of the offender to be traced. Policies and procedures vary greatly by jurisdiction.

- Data provided: Offender Identifiers.

Parole Board Review Activity Diagram

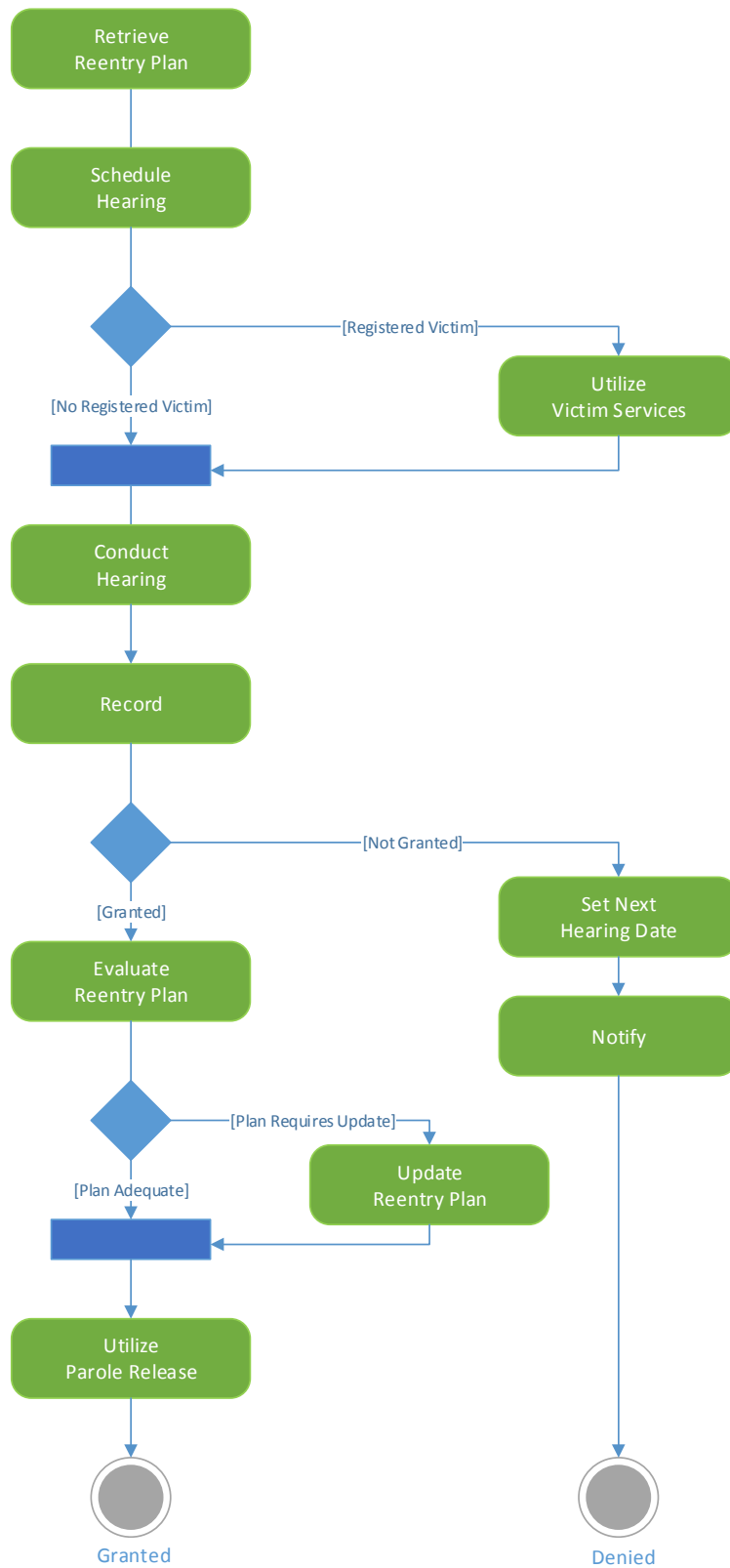


Figure 10: Parole Board Review Activity Diagram

Associated Actor	Relationship	Description
Parole Board	Determine	

Conduct Hearing - Directing a formal session in which testimony, written or oral, is taken from witnesses.

- Data provided: Hearing Minutes.

Record - The act of documenting any form of action, decision, or information that is to be placed among official records.

- Data provided: Denial Reason, Hearing Date/Time, Release Order.

(If granted) Evaluate Reentry Plan - A review of the reentry plan will be performed to evaluate the need to update the plan already on record.

- Alternative Flows:

Detail
The parole board may release the offender pending specified conditions are met. The date may be specified on the order but is only authorized when the conditions are satisfied.

(If plan requires update) Update Reentry Plan - A reentry plan will require updating before each new hearing or after hearing decisions where further issues are ordered to be addressed. An example would be securing housing prior to setting a release date.

Utilize Parole Release - The release of an offender to parole status. The offender is still governed by the sentence, however, the Parole Board now has jurisdiction over the offender. The offender is assigned a parole officer to whom the offender must report and must adhere to any conditions ordered by the parole board.

The parole period will have an end date pending no adverse behavior occurs. The offender is no longer subject to earned credit time or statutory good time.

(If not granted) Set Next Hearing Date - A date is set for a hearing in the future. This may be as a result of an incident or a periodic hearing to review the status of the offender.

Notify - The notification activity produces and disseminates appropriate information for the purpose of making staff aware of an event and/or initiating action. The staff needing to know must have been identified for each event.

Pre-Condition	Description
None	
Post-Condition	Description
Denied	A review has resulted in a decision to deny a request or action.
Granted	A decision to approve or award a requested action.

Common Business Functions for Correctional Management Systems



IJIS Institute



Volume 2 – Business Scenarios
Part C – Classification

*Authored by the IJIS Institute and the
Corrections Technology Association*

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1. BUSINESS FUNCTION: CLASSIFICATION

The dynamics of the offender classification system require that it be a key component of any correctional environment. It is essential to ensure that all offender assignments are based on risk, security, and programmatic needs. There is not always consensus among the three in combination, and so the requisite for public safety demands that security and risk have primary consideration. Many systems have objective based classification systems. This requires that the same set of factors or objectives are applied to all offenders during their initial inception into prison and at frequent intervals, or as required by policy. From this assessment, a custody level is identified that helps sort the offenders to specific facilities and assignments within the system.

These custody levels can also limit access to certain privileges, specific programs, or business functions (i.e. commissary, visitation). The foundation for prudent correctional management is supported through a classification system that has been validated on how well the risk level of each offender is determined with regard to their threat to the public, other offenders, staff and visitors. Sorting high risk inmates into low security can result in serious incidents of escape, assault and other similar security breaches.

When the scored custody level is determined to be inappropriate for any justified reason, then a variance to this level can be requested in order to raise or lower the custody level. This process is referred to as an override and is supported by reasons that are determined to be either mandatory or discretionary. Mandatory overrides may be supported by policy or law that requires certain category offenders not be assigned to specific custody levels or that they are assigned only to specific prisons. Discretionary overrides are those that are justified by staff request that are supported by sound correctional analysis.

Discretionary overrides help assess the overall system validity. A classification system with high override rates is not providing an accurate assessment of the offender's risk levels and may need to be revised to ensure that the proper factors are being applied in order to accurately determine the risk and threat levels.

Classification Use Case Diagram

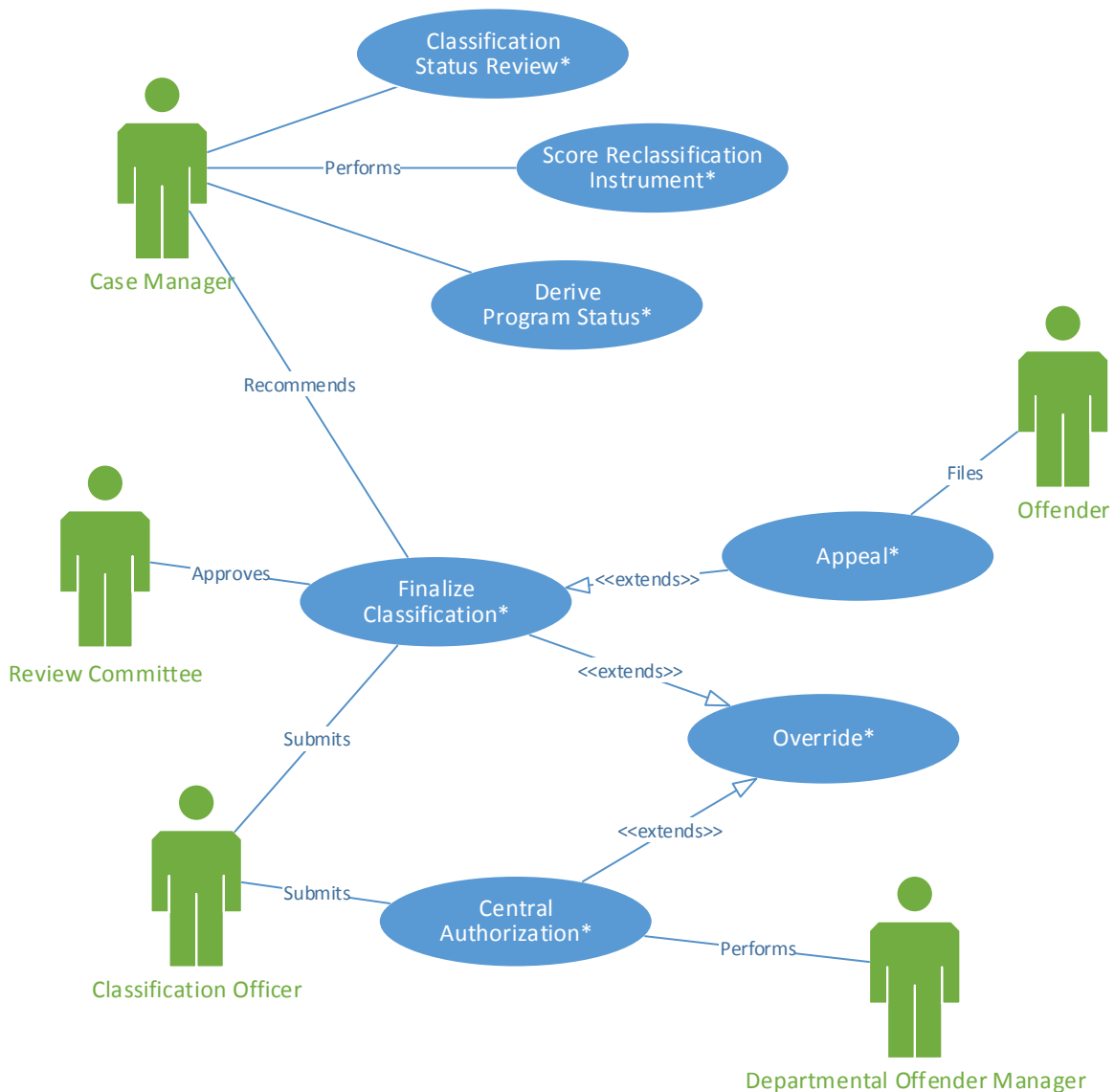


Figure 1: Classification Use Case Diagram

1.1 Use Case Specification: Classification Status Review

The case manager monitors events that require routine mandatory classification actions or initiates discretionary classification action under the case manager's authority.

Associated Actor	Relationship	Description
Case Manager		

Classification Status Review Activity Diagram

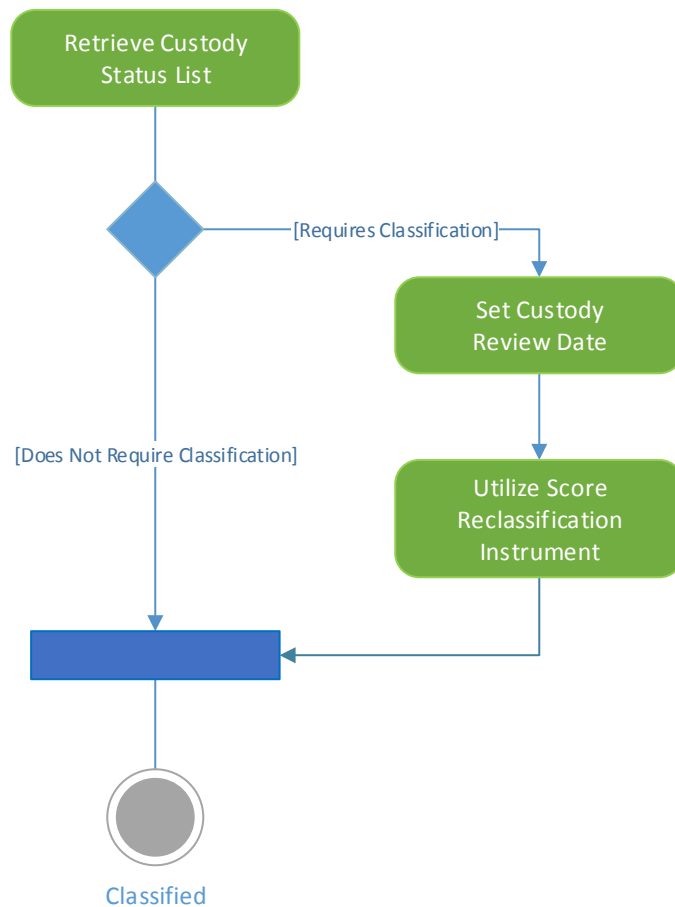


Figure 2: Classification Status Review Activity Diagram

1.1.1 Flow of Events

Retrieve Custody Status List - A classification tracking list is generated for offenders scheduled at a pre-set time for consideration, either through routine time requirements, or due to prescribed aggravating or mitigating factors. The offenders may be in various stages of consideration, and the list will provide offenders relevant to the staff person's role and the stage they are interested in viewing.

- Data provided: Next Classification Date, Offender Identifiers, Classification Change Reason.
- Alternative Flows:

Detail
Classification review may be performed following a defined time schedule. Some jurisdictions review every six months during the first three years and the last three years of incarceration.

- Special Requirements:

Standard	Description
ACA Standard: Classification Status Reviews 4-4300: Classification Status Review	The written plan for inmate classification specifies that each inmate's classification status is reviewed at least every 12 months.

(If requires classification) Set Custody Review Date - If an offender requires classification as a result of appearing on the custody status list, there will be a mechanism to initiate the process and schedule the classification.

- Data provided: Classification Date.

Utilize Score Reclassification Instrument - Separate criteria are used once the offender has been previously classified during the current incarceration. This criteria will include institutional behavior.

- Data provided: Next Classification date.

Pre-Condition	Description
None	
Post-Condition	Description
Classified	Assigned to a category of custody.

1.2 Use Case Specification: Override

Instances where is determined that a custody level score is inappropriate a variance is requested. This allows for discretion on the part of the system to adjust for information that is contrary to the individual factor scores. This request is referred to in most jurisdictions as an override. Some of the reasons for override consideration are prior supervision history, medical status, cases that have been reduced by plea agreement but the affidavit clearly reflects a higher level may be warranted, or those cases that are listed but non-violent are not in need of mandatory needs reducing programs. If sufficient justification is determined, a variance to the scored level is approved, otherwise the custody level resulting from the original score is sustained.

1.2.1 Flow of Events

Retrieve Override Request - The override request document is obtained from the appropriate storage location.

- Data provided: Override Request Document.

Override Activity Diagram

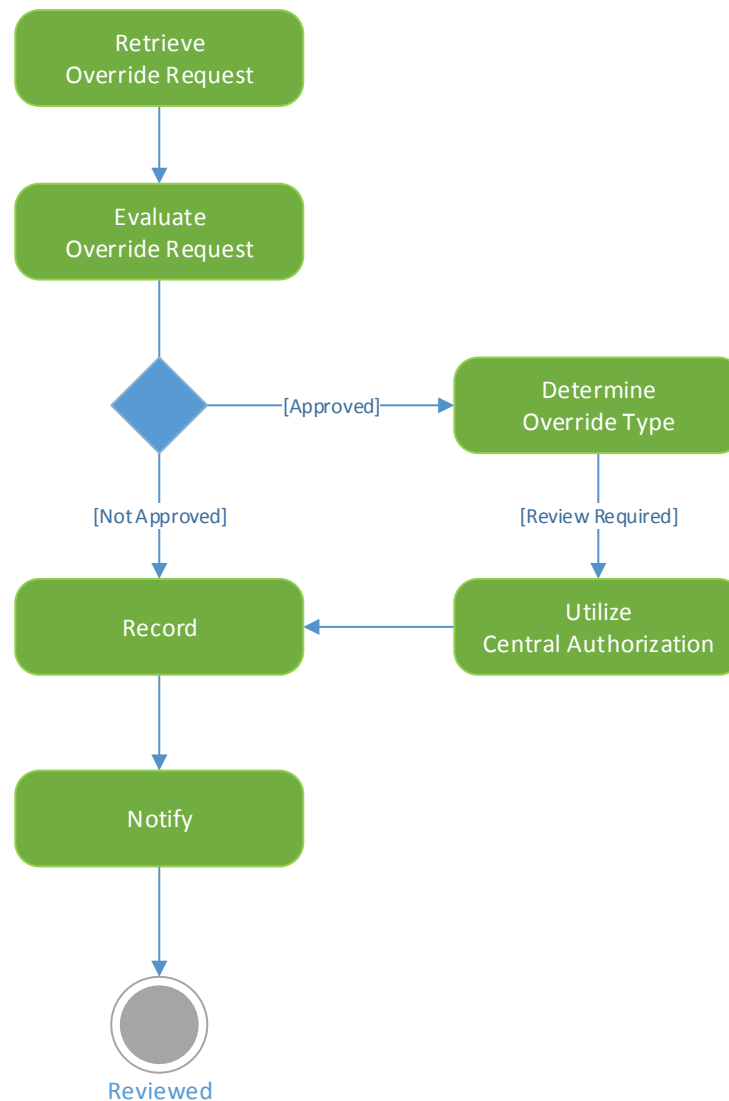


Figure 3: Override Activity Diagram

Evaluate Override Request - Determine if the reasons documented in the override request support a variance to the custody level score. If there is sufficient information to approve the override request the variance custody level is approved. If there is insufficient information the override is denied and the custody level resulting from the original score is sustained.

- Data provided: Authorization Data, Approval Reasons, Denial Reason, Denial Notification.

Detail

When a variance to the custody level is approved, the offender record is updated to reflect the justification of the variance. In instances where a variance is not approved, the reasons for the denial are not required and, therefore, are not recorded.

Detail

A denial of an override request is an affirmation of the original custody level classification. The denial of the override request does not result in another classification review.

(If Approved) Determine Override Type - Overrides for custody classification may be approved at the facility level for instances that involve intra-facility movement. For example, an offender's custody level may prevent that individual from performing a work assignment outside the security perimeter. The facility needs are considered sufficient to approve the override to a lower security level.

When a facility level override is intended to prevent an inter-facility movement, the override is subject to approval from a central authorization review process. For example, a facility in need of the skills of a specific offender may override a classification recommendation, but the central authority will deny the override in favor of the offender movement to another facility to complete program needs.

As a general rule, the type of override is determined by whether the approval will result in the movement of the offender to another facility. Intra-facility overrides do not require a review from a central classification authority. Overrides affecting inter-facility movement will be reviewed by a central classification authority.

(If review required) Utilize Central Authorization - Central Authorization is the review of all actions on behalf of the corrections department where policy dictates a decision is to be made at a level above that of the facility administration. Review examples include approval of offender classification, inter-facility movement, and facility assignments.

The facility staff may submit their recommendations for classification and movement to the central offender management office. The offenders classification information will be reviewed, this review may include:

- Victim Information
- Sex Offender Information
- Movement History
- Legal Issues (warrants, detainment orders, fines outstanding, pending charges)
- Probation/INS
- Security (escape, disciplinary, Security Threat Groups or STG, segregation units, enemies/co-defendants)
- Medical/Mental Health Restrictions
- Suicide Attempts
- Official Version of the Offense
- Criminal History by Categories
- Totals by Crime Type
- Risk Reduction Plan
- Academic Degrees
- Vocational Trades,
- Family Information
- Incarceration Summary (notes from case manager to include program involvement such as response to risk reduction plan)

Record - The act of documenting any form of action, decision, or information that is to be placed among official records.

Notify - The notification activity produces and disseminates appropriate information for the purpose of making staff aware of an event and/or initiating action. The staff needing to know must have been identified for each event.

Pre-Condition	Description
None	
Post-Condition	Description
Reviewed	Staff review of past behavior or conditions in respect to future action.

1.3 Use Case Specification: Score Reclassification Instrument

Separate criteria are used once the offender has been previously classified during the current incarceration. These criteria will include institutional behavior.

Score Reclassification Instrument Activity Diagram

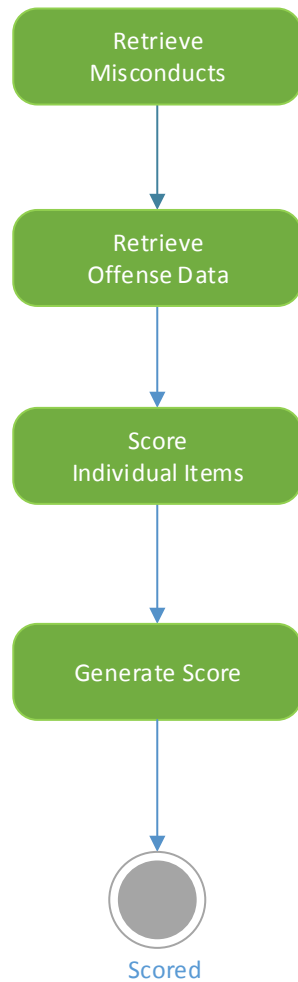


Figure 4: Score Reclassification Instrument Activity Diagram

Associated Actor	Relationship	Description
Case Manager	Performs	

1.3.1 Flow of Events

Retrieve Misconducts - Misconduct and Infraction history must be available at the time of scoring as it is utilized significantly in a reclassification instrument. The facility response to the infraction may be the triggering event in determining the need for a classification to take place.

- Data provided: Misconducts and Infractions, Responses to Misconducts.

Retrieve Offense Data - Criminal history based on current RAP sheet data must be available. In addition, the current conviction offenses and expected time to serve make up factors in the instrument and must be current. Other related criminal history such as escapes and the nature of the offenses, i.e. assaults, are critical data that the classification and assessment process will require. This information may be available through the pre-sentence investigation. Where the corrections department/agency is responsible for the pre-sentence investigation (PSI), this may be readily retrievable. Where the corrections department/agency is not responsible for producing the PSI it may be less.

- Data provided: Criminal History, Conviction Offenses, Expected Time to Serve, Escape History.

Score Individual Items - It is required that the data from the various sources identified populate the factors used in the scoring instrument.

- Data provided: Classification Item Scores.

Generate Score - Processing of item scores, identifying the range the scores fall into, and the level or issues the ranges suggests.

- Data provided: Classification Score.

Pre-Condition	Description
None	
Post-Condition	Description
Scored	The official score result obtained by applying testing or evaluation methods in order to determine the placement of an individual in a category or ranking for management purposes.

1.4 Use Case Specification: Derive Program Status

The offender's program status is reviewed for program needs, which may affect classification to another custody level beyond the information utilized in the scoring instrument.

Associated Actor	Relationship	Description
Case Manager		This function is a team effort from several business areas.

Derive Program Status Activity Diagram

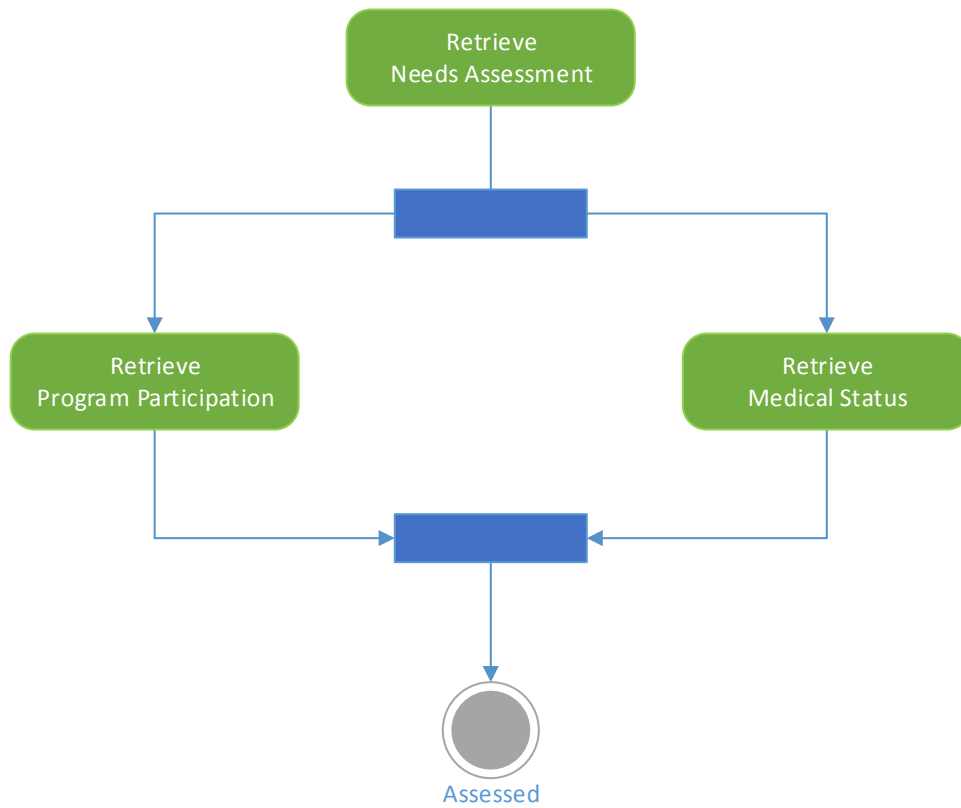


Figure 5: Derive Program Status Activity Diagram

1.4.1 Flow of Events

Retrieve Needs Assessment - Offenders have ongoing needs assessments conducted, upon intake and then as needed by various disciplines. These areas could include medical, psychological, substance abuse, education and various other needs. This information will need to be retrieved and reviewed against current participation.

- Data provided: Program Needs Data, Clinical Data.
- Special Requirements:

Standard	Description
ACA Standard: Classification Plan 4-4298: Use of Pre-institutional Assessment Information.	The institution or parent agency solicits and uses pre-institutional assessment information regarding the inmate’s progress and adjustment.

Retrieve Program Participation - Offender program participation should include the status in the program, whether currently assigned, attendance, and the level of participation the offender put forward.

This information is needed in measuring program performance as it relates to the offender's identified needs.

- Data provided: Program Holds, Program Participation.

Retrieve Medical Status - Medical treatment information, restrictions, and current conditions may impact the offender's ability to function or obtain treatment. This information will need to be available at the time of classification.

- Data provided: Medical Holds, Medical Care.

Pre-Condition	Description
None	
Post-Condition	Description
Assessed	The official end result of applying testing or evaluation methods in order to determine the placement of an individual in a category or ranking for management purposes.

1.5 Use Case Specification: Finalize Classification

The custody risk level will be approved by the Classification Officer. This level could differ from the original scored custody rating through an override.

Associated Actor	Relationship	Description
Case Manager Classification Officer Review Committee	Recommends Submits Approves	Some jurisdictions have neither a Classification Review Hearing nor a Board. The classification is approved at the facility level and then passed to the Classification Review Officer for approval.

- Alternative Flows:

Detail
In some jurisdictions the override process will result in a recommendation that is then directed to the administrative level for final approval.

Finalize Classification Activity Diagram

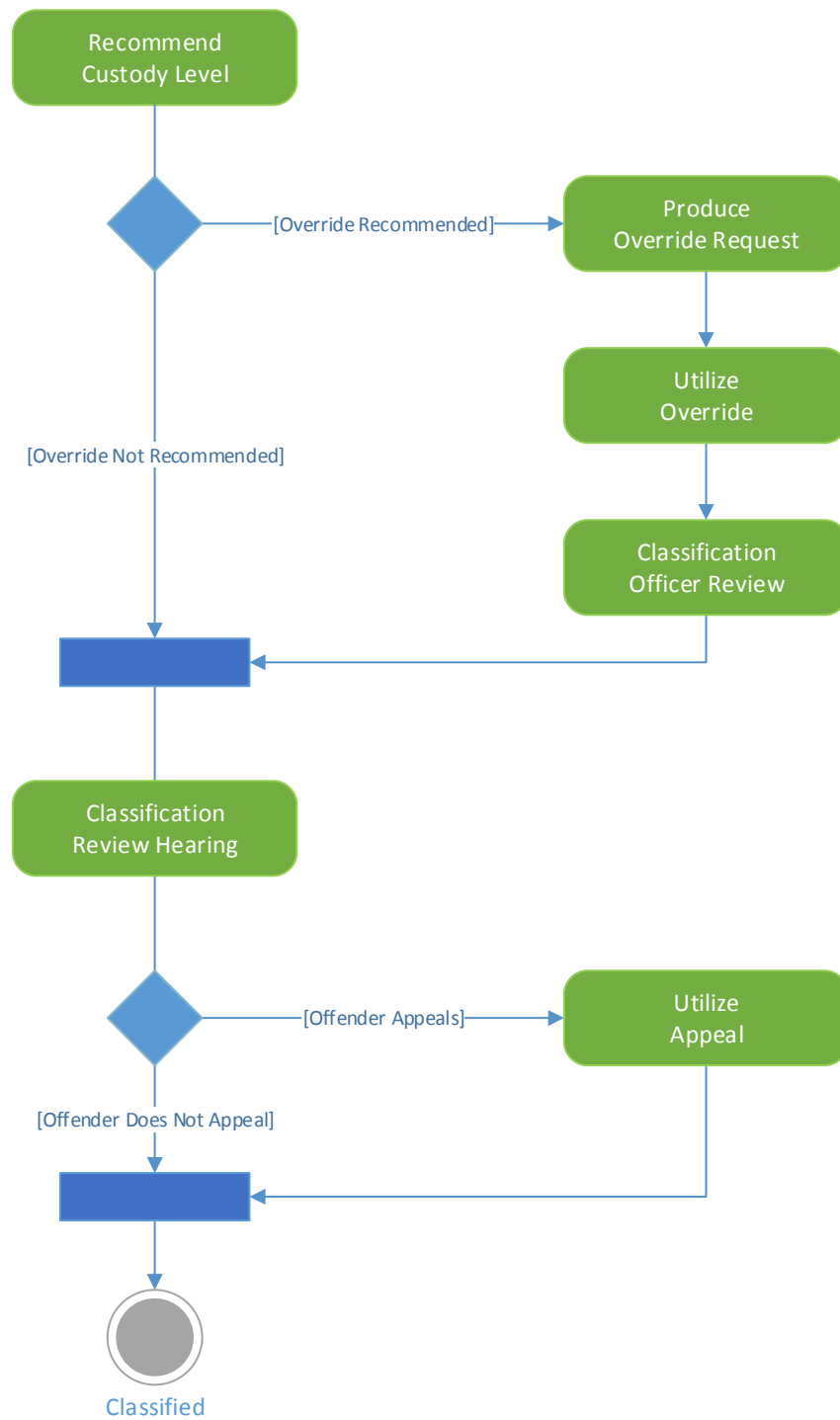


Figure 6: Finalize Classification Activity Diagram

- Special Requirements:

Standard	Description
ACA Standard: Classification Status Reviews 4-4301: Plan includes at least one level of appeal	The classification plan specifies criteria and procedures for determining and changing an inmates program status; the plan includes at least one level of appeal.
ACA Standard: Classification Status Reviews 4-4301: Plan includes at least one level of appeal	The classification plan specifies criteria and procedures for determining and changing an inmates program status; the plan includes at least one level of appeal.
ACA Standard: Classification Status Reviews 4-4301: Plan includes at least one level of appeal	The classification plan specifies criteria and procedures for determining and changing an inmates program status; the plan includes at least one level of appeal.

1.5.1 Flow of Events

Recommend Custody Level - The case manager must be able, after reviewing the scored custody level and the program/risk factors, to make a recommendation as to the appropriateness of the scored custody index. If the case manager believes this is appropriate, the scored custody level can stand as the recommended level to the Facility Classification Board. If the case manager does not believe it to be appropriate, an override can then be requested.

- Data provided: Classification Score, Classification Report, Recommended Custody Level.
- Special Requirements:

Standard	Description
ACA Standard: Classification Status Reviews 4-4302: Inmates appear at their classification hearing	Written policy, procedure, and practice require that unless precluded for security or other substantial reasons, all inmates appear at their classification hearing and are given notice 48 hours prior to the hearing; such notice may be waived by the inmate in writing.

(If Override Recommended) Produce Override Request - When it is determined an override is warranted a formal request is produced listing the reasons for the recommendation. The recommendation must be factually based, listing specific details necessary for the decision making authority to make a determination. This information will eventually be recorded to support the override decision.

- Data provided: Override Request Document.

Utilize Override - Instances where is determined that a custody level score is inappropriate a variance is requested. This allows for discretion on the part of the system to adjust for information that is contrary to the individual factor scores. This request is referred to in most jurisdictions as an override. Some of the reasons for override consideration are prior supervision history, medical status, cases that have been reduced by plea agreement but the affidavit clearly reflects a higher level may be warranted, or those cases that are listed but non-violent are not in need of mandatory needs reducing programs. If sufficient

justification is determined, a variance to the scored level is approved, otherwise the custody level resulting from the original score is sustained.

- Data provided: Override Reason, Classification Score, Classification Report.

Classification Officer Review - There should be an intermediate review process for custody level recommendations that meet defined business rules. An override request should trigger a review by a classification officer or supervisor. This would result in a recommendation passed to the Facility Classification Board.

- Data provided: Recommended Custody Level.

Classification Review Hearing - The classification recommendation should be scheduled with the Facility Classification Board for a hearing. The board should have available the classification report and the custody instrument. The board will make the final custody level decision, which could uphold the recommendation or change to one they deem more appropriate.

- Data provided: Custody Level, Custody Level.

(If Offender appeals) Utilize Appeal - A redress process is provided to offenders as a recourse avenue resulting from a formal proceeding such as classification, grievance, or disciplinary hearings. The offender can initiate an appeal process after a final decision or finding has been rendered by submitting required documentation to support the appeal. The documentation must be submitted following established guidelines, to the proper authority, within a defined time period.

- Data provided: Custody Level.

Pre-Condition	Description
None	
Post-Condition	Description
Classified	Assigned to a category of custody.

1.6 Use Case Specification: Appeal

A redress process is provided to offenders as a recourse avenue resulting from a formal proceeding such as classification, grievance, or disciplinary hearings. The offender can initiate an appeal process after a final decision or finding has been rendered by submitting required documentation to support the appeal. The documentation must be submitted following established guidelines, to the proper authority, within a defined time period.

Associated Actor	Relationship	Description
Offender	Files	Some jurisdictions do not offer the offender an appeal process.

Appeal Activity Diagram

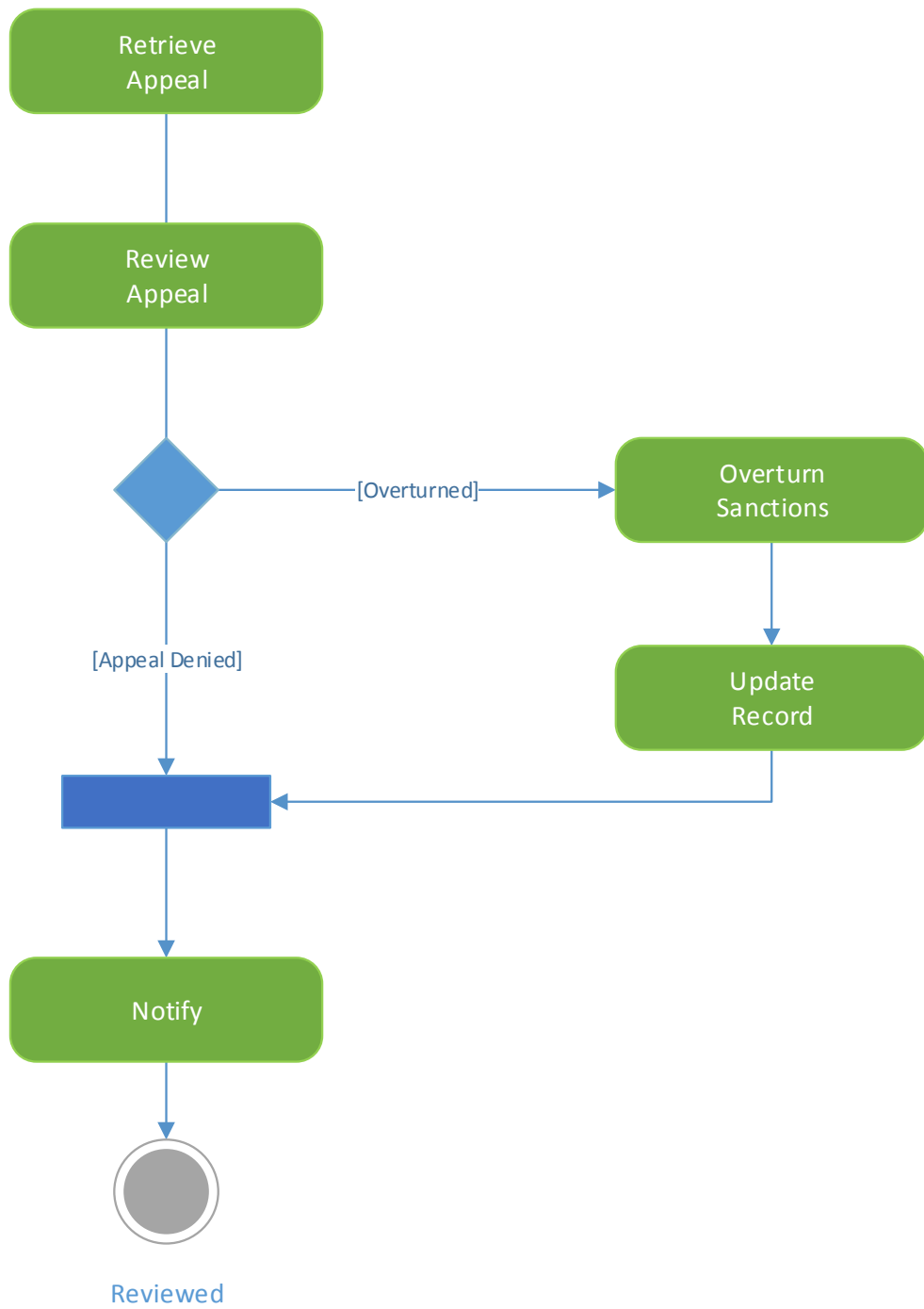


Figure 7: Appeal Activity Diagram

- Special Requirements:

Standard	Description
ACA Standard: Classification Status Reviews 4-4301: Plan includes at least one level of appeal	The classification plan specifies criteria and procedures for determining and changing an inmates program status; the plan includes at least one level of appeal.
ACA Standard: Classification Status Reviews 4-4301: Plan includes at least one level of appeal	The classification plan specifies criteria and procedures for determining and changing an inmates program status; the plan includes at least one level of appeal.
ACA Standard: Classification Status Reviews 4-4301: Plan includes at least one level of appeal	The classification plan specifies criteria and procedures for determining and changing an inmates program status; the plan includes at least one level of appeal.

1.6.1 Flow of Events

Retrieve Appeal - Obtain the appeal document from the appropriate source or storage location.

- Data provided: Appeal Document.

Review Appeal - When an offender submits a document appealing a decision or finding, a review of the information is performed to ensure procedures and policies were followed in prerequisite processes. A decision is rendered either supporting or overturning the preceding actions, with appropriate notification issued.

- Data provided: Denial Reason, Approval Reasons.

(If overturned) Overturn Sanctions - The result of an appeal review may reverse a previous decision of guilt. If so, sanctions that were imposed will be terminated, and adjustments made where feasible.

Update Record - When information is obtained for an established record, the pre-existing information in the record is amended or an addendum is added for future reference or communication.

Notify - The notification activity produces and disseminates appropriate information for the purpose of making staff aware of an event and/or initiating action. The staff needing to know must have been identified for each event.

Pre-Condition	Description
None	
Post-Condition	Description
Reviewed	Staff review of past behavior or conditions in respect to future action.

1.7 Use Case Specification: Central Authorization

Central Authorization is the review of all actions on behalf of the corrections department where policy dictates a decision is to be made at a level above that of the facility administration. Review examples include approval of offender classification, inter-facility movement, and facility assignments.

The facility staff may submit their recommendations for classification and movement to the central offender management office. The offenders classification information will be reviewed, this review may include:

- Victim Information
- Sex Offender Information
- Movement History
- Legal Issues (warrants, detainment orders, fines outstanding, pending charges)
- Probation/INS
- Security (escape, disciplinary, Security Threat Groups or STG, segregation units, enemies/co-defendants)
- Medical/Mental Health Restrictions
- Suicide Attempts
- Official Version of the Offense
- Criminal History by Categories
- Totals by Crime Type
- Risk Reduction Plan
- Academic Degrees
- Vocational Trades,
- Family Information
- Incarceration Summary (notes from case manager to include program involvement such as response to risk reduction plan)

Associated Actor	Relationship	Description
Classification Officer	Submits	
Departmental Offender Manager	Performs	

1.7.1 Flow of Events

Retrieve Custody Status List - A classification tracking list is generated for offenders scheduled at a pre-set time for consideration, either through routine time requirements, or due to prescribed aggravating or mitigating factors. The offenders may be in various stages of consideration, and the list will provide offenders relevant to the staff person's role and the stage they are interested in viewing.

- Data provided: Classification Decisions, Classification Report.

Central Authorization Activity Diagram

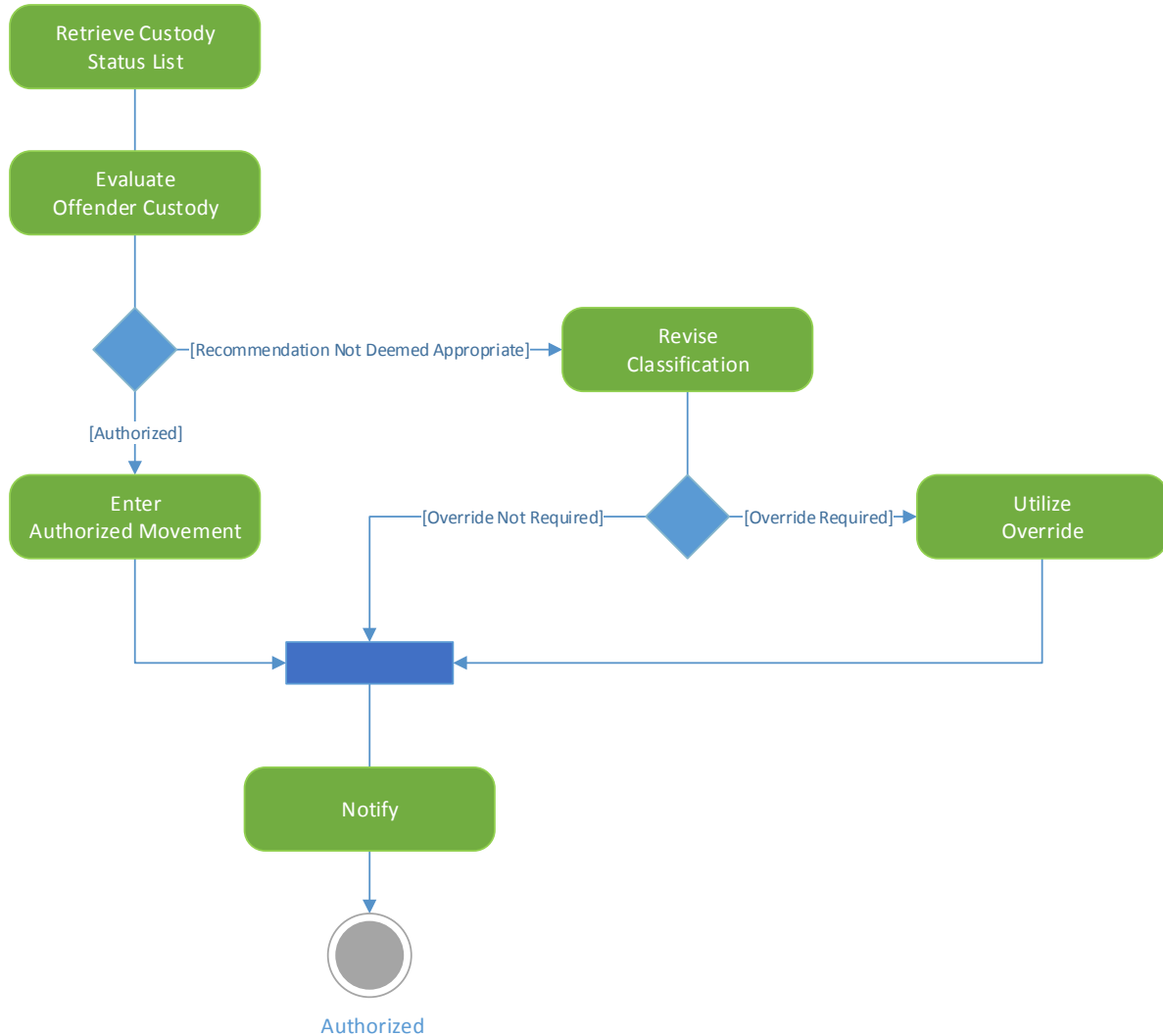


Figure 8: Central Authorization Activity Diagram

Evaluate Offender Custody - The recommended classification coming out of the facility has a second step or review through central offender management. The offender classification is often only reviewed if it involves a change in classification, which would result in a move between custody levels. The information available to the facility is also available to the central office staff upon demand. Summaries of all the previous actions and facility board recommendations accompany the information.

- Data provided: Classification Decisions, Classification Change Reason.
- Alternative Flows:

Detail
Not all movement is based on classification change and, conversely, not all classification change requires a move as some facilities can handle multiple custody levels. Central offender management may not become involved in classification unless movement is an issue.

(If authorized) Enter Authorized Movement - A request for movement will have been evaluated and upon approval flagged as approved. The approved candidate will then be available for placement on a transportation waiting list.

- Data provided: Classification Decisions, Authorized Moves.

(If recommendation not deemed appropriate) Revise Classification - At a review step, the reviewing authority has the option to revise the recommended classification level. This revision may be based on the offender's situation and/or institutional needs. The offender's situation may have changed since the recommendation and the reviewing authority will need to have this information available. The change reasons will be documented.

- Data provided: Classification Decisions, Classification Change Reason, Classification Decisions, Classification Change Reason.

(If override required) Utilize Override - Instances where is determined that a custody level score is inappropriate a variance is requested. This allows for discretion on the part of the system to adjust for information that is contrary to the individual factor scores.

This request is referred to in most jurisdictions as an override. Some of the reasons for override consideration are prior supervision history, medical status, cases that have been reduced by plea agreement but the affidavit clearly reflects a higher level may be warranted, or those cases that are listed but non-violent are not in need of mandatory needs reducing programs. If sufficient justification is determined, a variance to the scored level is approved, otherwise the custody level resulting from the original score is sustained.

- Data provided: Classification Decisions, Classification Change Reason, Override Reason.

Notify - The notification activity produces and disseminates appropriate information for the purpose of making staff aware of an event and/or initiating action. The staff needing to know must have been identified for each event.

Pre-Condition	Description
None	
Post-Condition	Description
Authorized	The formal approval given by an individual in authority.

Common Business Functions for Correctional Management Systems



IJIS Institute



Volume 2 – Business Scenarios
Part D – Caseload Management

*Authored by the IJIS Institute and the
Corrections Technology Association*

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1. BUSINESS FUNCTION: CASELOAD MANAGEMENT

Offender caseload management is the process used by institutional and community corrections service providers to structure the risk levels of clients and determine the program and security strategies to meet the criminogenic needs defined in the management process. Caseload management also provides documentation of events during an offender's incarceration period, and further provides counseling and guidance to the offender while serving as a resource to other areas within the agency and facilities as the offender moves toward community reentry. The system requires the offender to proactively accomplish the treatment program. Periodic progress assessments allow the institutional staff and the offender to set benchmarks for progress; however the dynamics of managing an offender caseload require some discretion and flexibility.

Caseload Management Use Case Diagram

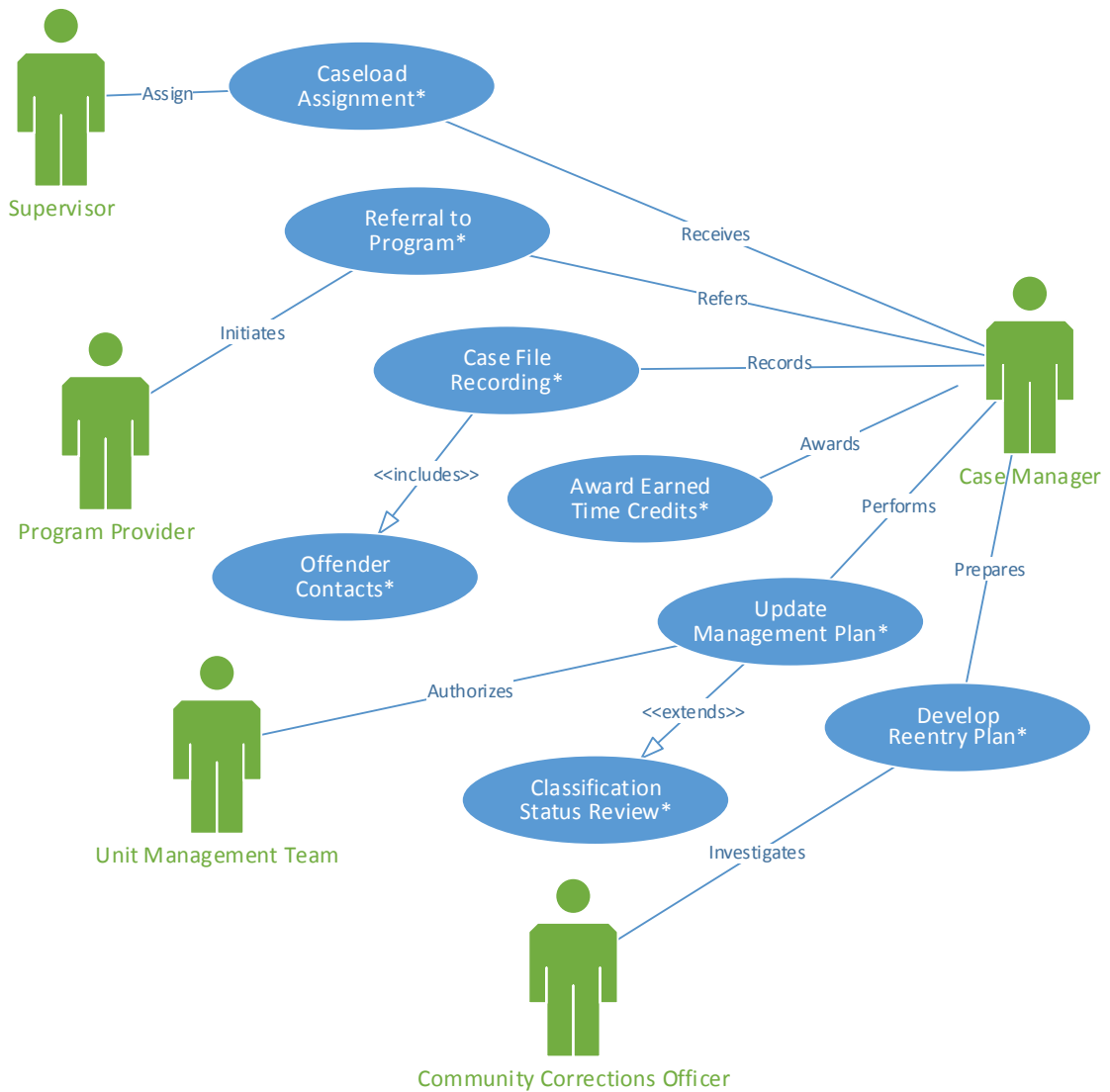


Figure 1: Caseload Use Case Diagram

1.1 Use Case Specification: Caseload Assignment

Upon determination of permanent location and completion of the orientation process, the offender is assigned to a specific case supervisor.

Associated Actor	Relationship	Description
Supervisor	Assign	The assignment of a case manager may be automatic with the specific housing assignments as case managers may be assigned by living unit.
Case Manager	Receives	

Caseload Assignment Activity Diagram

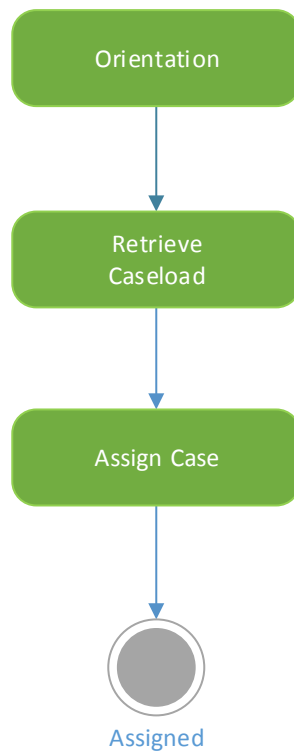


Figure 2: Caseload Assignment Activity Diagram

1.1.1 Flow of Events

Orientation - For offenders just received at a new facility, and in some cases housing unit, staff must acquaint with the existing situation or environment, generally including rules, procedures, and operating guidelines for the assignment. The orientation will be logged as well as any information gathered from the offender, which may impact housing and case manager assignment.

For offenders arriving in community this may also include a reassessment prior to assignment.

- Data provided: Interview Data.

Retrieve Caseload - An assigned caseload will be associated with a staff person responsible for managing offenders. The caseload must be able to be obtained by workload information and individual offenders assigned. This list will often indicate offender information such as level of supervision required and upcoming events.

- Data provided: Caseload.

Assign Case - Offender is assigned to a specific case manager/community corrections officer, this may be based on a rotation, case load weighting, the offender's needs, or as a direct result of the bed/area assignment. Upon assignment the offender will appear immediately on the staff person's caseload.

Pre-Condition	Description
None	
Post-Condition	Description
Assigned	Assignment is where a relationship has been established between a staff member and an offender, or activities. Examples include enrollment of the offender in an education program or listing an offender on a case load. In some instances assignment is the retention of an existing assignment after a review process is performed and the relationship continues as it was prior to the

1.2 Use Case Specification: Referral to Program

The offender management plan is used to produce a referral to a particular program. This referral is based upon the initial assessment of the offender, and the ongoing assessments of progress throughout the incarceration period. The need areas or specific programs may be identified with a priority ranking. The ranking is to ensure the most important need areas are addressed.

Associated Actor	Relationship	Description
Case Manager	Refers	Offenders may initiate a referral but in most instances there is a staff representative that will initiate the referral on behalf of the offender. Therefore the offender is not shown as an actor to Referral to Program.
Program Provider	Initiates	The Program Provider may not be involved in the referral process. Their role as initiator or acceptor may be not exist or may be limited.

- Special Requirements:

Standard	Description
ACA Standard: Classification Plan 4-4096: Transfer of Records	Written policy, procedure, and practice provide that an updated case file for any inmate transferred from one institution to another is transferred simultaneously, or, at the latest, within 72 hours.

Referral to Program Activity Diagram

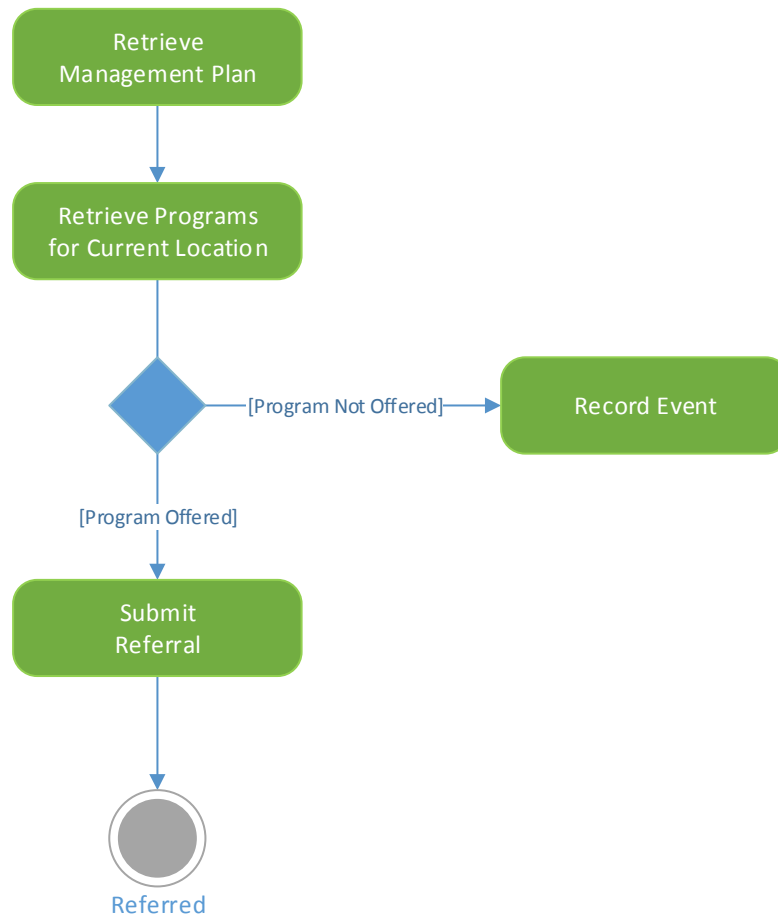


Figure 3: Referral to Program Activity Diagram

1.2.1 Flow of Events

Retrieve Management Plan - The current management plan for a specified offender will be obtained for review. The management plan will indicate areas the offender is required to address during the incarceration period and may include specific programs in which the offender is encouraged to participate.

- Data provided: Program Name.

Retrieve Programs for Current Location - A listing of current programs with summary information about the program will be obtained for reference. Summary information will include program availability for any given location, a synopsis of program purpose and content, capacity, prerequisites, etc.

- Data provided: Program Identifiers, Activity Schedule, Program Needs Data.
- Alternative Flows:

Detail
The offender may be put on a waiting list even if program is not offered at the current facility. The management plan may be updated to reflect program’s current unavailability.

(If program offered) Submit Referral - The referral will be entered specifying the time of the referral, the program, the areas to be addressed by the program/placement, and any pertinent history. The entry should trigger an event for the program provider or reviewing supervisory staff.

- Data provided: Referral.

(If program not offered) Record Event - The creation of an entry for an event or outcome containing essential information for future retrieval and use by correctional staff.

Pre-Condition	Description
None	
Post-Condition	Description
Referred	When a process is completed that results in a referral of an offender to attend, participate, or some form of assignment, the offender is in a state of referral. This state donates a review process will be conducted and an approval/acceptance or rejection/denial decision will result.

1.3 Use Case Specification: Case File Recording

The offender’s activities, adjustment and progress during incarceration and post supervision are documented and recorded in a log. The recording is primarily intended to document events not otherwise recorded through their own unique activities. Such examples would be offender informal complaints, requests, contacts, etc. The log could also back up other information recorded through other means.

Associated Actor	Relationship	Description
Case Manager	Record	

- Special Requirements:

Standard	Description
ACA Standard: Inmate Access to Records 4- 4098 Inmate Access to Records	Written policy and procedure govern inmate's access to information in their case records. Comments: Inmates should have access to their case records and files consistent with applicable statutes regarding the procedures and conditions for reviewing these materials. Exceptions should be based on possible harm to the inmate or others.
ACA Standard: Release of Information 4-4099 Release of Information	The institution uses a <i>release of information consent</i> form that complies with applicable federal and state regulations. Unless the release of information is required by statute, the inmate signs the consent form prior to the release of information and a copy of the form is maintained in the inmate's case record.

Case File Recording Activity Diagram

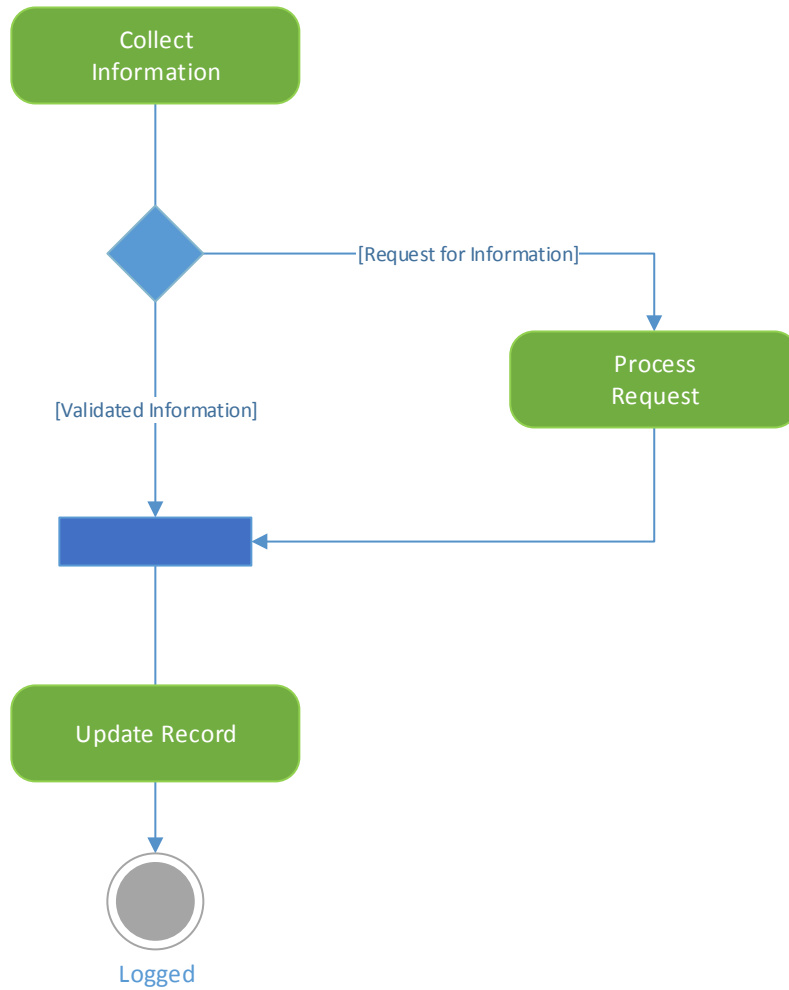


Figure 4: Case File Recording Activity Diagram

1.3.1 Flow of Events

Collect Information - Information will be collected from one or more sources, in various forms such as self-reported, visual or observed, and documented information.

- Data provided: Offender Profile Data, Offender Profile Data, Request Document.
- Alternative Flows:

Detail
This may be done by the case manager or records staff depending on the type of request and department policy.

(If Request for information) Process Request - Requests for offender information are processed according to information release procedures.

- Data provided: Authorization Data.
- Special Requirements:

Standard	Description
ACA Standard: Inmate Access to Records 4- 4098 Inmate Access to Records	Written policy and procedure govern inmate's access to information in their case records. Comments: Inmates should have access to their case records and files consistent with applicable statutes regarding the procedures and conditions for reviewing these materials. Exceptions should be based on possible harm to the inmate or others.
ACA Standard: Release of Information 4-4099 Release of Information	The institution uses a <i>release of information consent</i> form that complies with applicable federal and state regulations. Unless the release of information is required by statute, the inmate signs the consent form prior to the release of information and a copy of the form is maintained in the inmate's case record.

Update Record - When information is obtained for an established record, the pre-existing information in the record is amended or an addendum is added for future reference or communication.

Pre-Condition	Description
None	
Post-Condition	Description
Logged	Information has been recorded and is now available for future reference.

1.4 Use Case Specification: Offender Contacts

The case manager or unit management staff will typically document all contacts, and maintains a continuous log with time and date. The case manager meets with the offender periodically to review progress and focus the offender into the critical path programs. The case manager will address subject areas involving discipline and adjustment, informal grievances, visitation, phone calls, trust account access, commissary, housing assignments, separation/custody, pre-release preparation, parole plans, emergency contact, and a number of others relative to the offender progression during the incarceration period.

Offender Contacts Activity Diagram

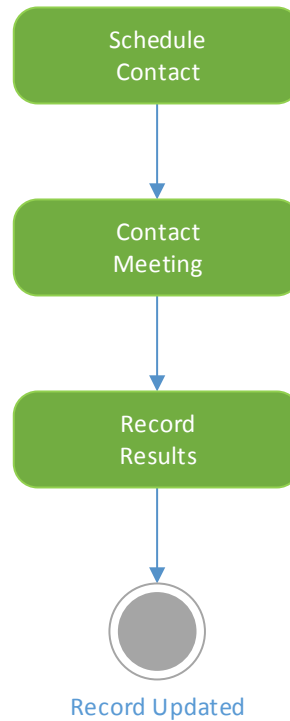


Figure 5: Offender Contacts Activity Diagram

1.4.1 Flow of Events

Schedule Contact - Instances where the offender and staff person need to communicate, a method is developed to establish the contact by appropriate means. Generally this involves defining a date and time for the contact and sending appropriate notification to participants. In some instances a response is solicited to accept or not accept the scheduled contact. Where the contact involves offenders, the notification is in the form of an order to appear. The offender may have initiated the contact by sending in a kite.

- Data provided: Offender Identifiers, Date/Time, Location.

Contact Meeting - Staff and the offender meet in a specific location, on a date and time that were predetermined, to exchange information on a subject that was identified during the scheduling process.

- Data provided: Contact Log.

Record Results - When an event is completed, some form of documentation of the results of the event will be developed. Generally, all offender contacts are documented in a log that includes notes about the contact and the date and time the contact occurred. Offender management is enhanced when contact logs from multiple service areas are maintained in a central repository to allow information exchange that will aid correctional staff in offender management tasks.

Pre-Condition	Description
---------------	-------------

None	
Post-Condition	Description
Record Updated	Instances where a record is successfully updated in a database or other record keeping system.

1.5 Use Case Specification: Award Earned Time Credits

Most states use a good time credit system as an incentive to serve disciplinary-free incarceration. Earned time credit is a reward for positive behavior during the incarceration period. These credits are earned when the inmate participates in prison programs or activities, such as education or vocational training. The amount of earned credit is determined by predefined rules, and awarded at prescribed review periods. When the offender behavior during their incarceration is determined to be unacceptable, the credits are revoked as the result of a disciplinary sanction.

Award Earned Time Credits Activity Diagram

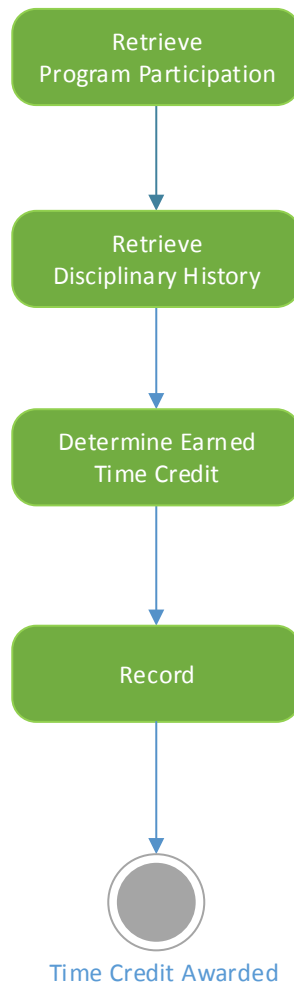


Figure 6: Award Earned Time Credits Activity Diagram

Associated Actor	Relationship	Description
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Case Manager	Awards	Earned time credit may not be an incentive in a given jurisdiction. Where earned credit time is an option, the case manager, based on adherence to the management plan, may award earned credit time. The award may also occur automatically as a result of the input from program providers while reporting into the system. The role of awarding earned time credits may be designated to correctional staff other than the case manager. Successful completion of a program may not be a factor in awarding time credits.
Program Provider	Initiates	The Program Provider may not be involved in the referral process. Their role as initiator or acceptor may not exist or may be limited.

- Special Requirements:

Standard	Description
ACA Standard: Classification Plan 4-4097: Computation of Time Served	Written policy, procedure, and practice provide that inmate time is accurately computed and recorded in conformance with applicable statutes and regulations. Comment: The accurate computation and recording of any good time earned or time forfeited is vital for incarcerated persons. Each inmate’s case file should include an up-to-date record of time and time remaining.

1.5.1 Flow of Events

Retrieve Program Participation - Offender program participation should include the status in the program, whether currently assigned, attendance and the level of participation the offender put forward. This information is needed in measuring program performance as it relates to the offender’s identified needs.

- Data provided: Program Participation.

Retrieve Disciplinary History - Obtain the disciplinary information associated with an offender during their incarceration period.

- Data provided: Disciplinary History.

Determine Time Credit Award - A review of criteria defined whereby an offender can earn time credits and determine the amount of time that should be granted. This review will consider program positive participation and disciplinary actions and make adjustments to time credit awards based on authorized time reductions credits and disciplinary actions. The award is generally limited by sentencing guidelines that specify a maximum credit amount. The time credit granted may be any amount up to the maximum allowed, to as little as no time credit granted. In either case the result is earn time credits granted.

- Data provided: Earned Time Award.

Detail
The award of time credits is an explicit result of this activity. The result may be an award of zero time credits or any amount greater within prescribed limits.

Record - The act of documenting any form of action, decision, or information that is to be placed among official records.

Pre-Condition	Description
None	
Post-Condition	Description
Time Credit Awarded	

1.6 Use Case Specification: Update Management Plan

The management plan will periodically require updating, based on changes in offender needs, program participation, test scores, or other related behavior. The review period may be based on a annual or semi-annual review, or based on an event such as behavior.

Associated Actor	Relationship	Description
Case Manager	Performs	
Unit Management Team	Authorizes	Not all jurisdictions will utilize a management team at the offender planning level. The team or review committee may only become involved when key decisions on assignments are being considered.

1.6.1 Flow of Events

Retrieve Management Plan - The current management plan for a specified offender will be obtained for review. The management plan will indicate areas the offender is required to address during the incarceration period and may include specific programs in which the offender is encouraged to participate.

- Data provided: Program Plan, Program Data.

Retrieve Program Needs - To begin a process where program needs are considered the assessment information is retrieved from the record storage location. This action requires offender identifiers be used to obtain the assessment information for a specified offender.

- Data provided: Program Needs Data, Program Holds.

Update Management Plan Activity Diagram

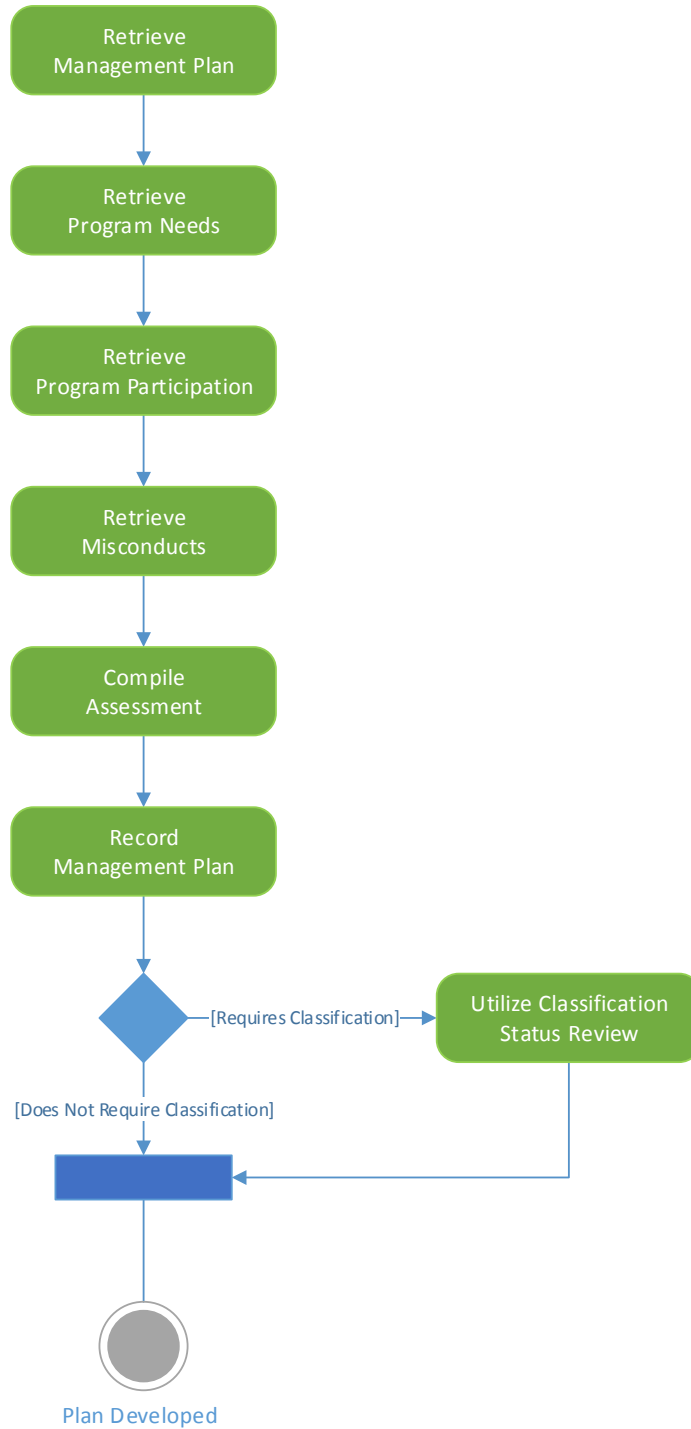


Figure 7: Update Management Plan Activity Diagram

Retrieve Program Participation - Offender program participation should include the status in the program, whether currently assigned, attendance and the level of participation the offender put forward. This information is needed in measuring program performance as it relates to the offender’s identified needs.

- Data provided: Program Participation, Performance Rating.

Retrieve Misconducts - Misconduct and Infraction history must be available at the time of scoring as it is used significantly in a reclassification instrument. The facility response to the infraction may be the triggering event in determining the need for a classification to take place.

- Data provided: Misconducts and Infractions.

Compile Assessment - When a review of multiple assessments is performed they must be collected and assimilated.

- Data provided: Program Plan.

Record Management Plan - The management plan is entered and becomes a dynamic document to be used to measure accountability throughout the incarceration period. The plan may also be adjusted as the offender progresses or demonstrates additional behavior requiring intervention.

(If requires classification) Utilize Classification Status Review - The case manager monitors events that require routine mandatory classification actions or initiates discretionary classification action under the case manger's authority.

Pre-Condition	Description
None	
Post-Condition	Description
Plan Developed	This is the final product of an offender needs assessment and the development of a plan for program participation to address identified needs.

1.7 Use Case Specification: Classification Status Review

The case manager monitors events that require routine mandatory classification actions or initiates discretionary classification action under the case manger's authority.

1.7.1 Flow of Events

Retrieve Custody Status List - A classification tracking list is generated for offenders scheduled at a pre-set time for consideration, either through routine time requirements, or due to prescribed aggravating or mitigating factors. The offenders may be in various stages of consideration, and the list will provide offenders relevant to the staff person's role and the stage they are interested in viewing.

- Data provided: Next classification date, Offender Identifiers, Classification Change Reason.
- Alternative Flows:

Detail
Classification review may be performed following a defined time schedule. Some jurisdictions review every six months during the first three years and the last three years of incarceration.

Classification Status Review Activity Diagram

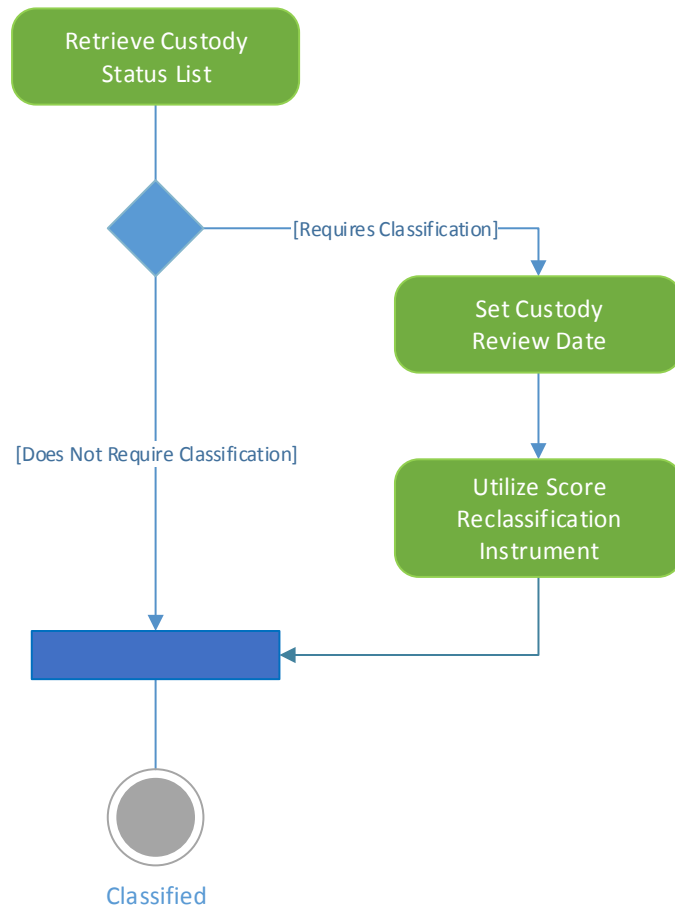


Figure 8: Classification Status Review Activity Diagram

- Special Requirements:

Standard	Description
ACA Standard: Classification Status Reviews 4-4300: Classification status review	The written plan for inmate classification specifies that each inmate’s classification status is reviewed at least every 12 months.

(If requires classification) Set Custody Review Date - If an offender requires classification as a result of appearing on the custody status list, there will be a mechanism to initiate the process and schedule the classification.

- Data provided: Classification Date.

Utilize Score Reclassification Instrument - Separate criteria are used once the offender has been previously classified during the current incarceration. This criteria will include institutional behavior.

- Data provided: Next classification date.

Pre-Condition	Description
None	
Post-Condition	Description
Classified	Assigned to a category of custody.

1.8 Use Case Specification: Develop Reentry Plan

The reentry plan determines whether and when the offender will be transitioned to community or post incarceration supervision. States with indeterminate sentences maintain a parole process. States with presumptive sentencing policies define actual prison time and community supervision at the time of sentencing with little variance of time reduction credits. This plan is developed by the case manager with input from the offender. It contains the offender’s plans for reentry to include the sponsor and residential location, employment or education plan, synopsis of current crimes/sentences, criminal history, incarceration adjustments, programs completed, post release treatment recommendations, clinical issues, and other appropriate recommendations.

Develop Reentry Plan Activity Diagram

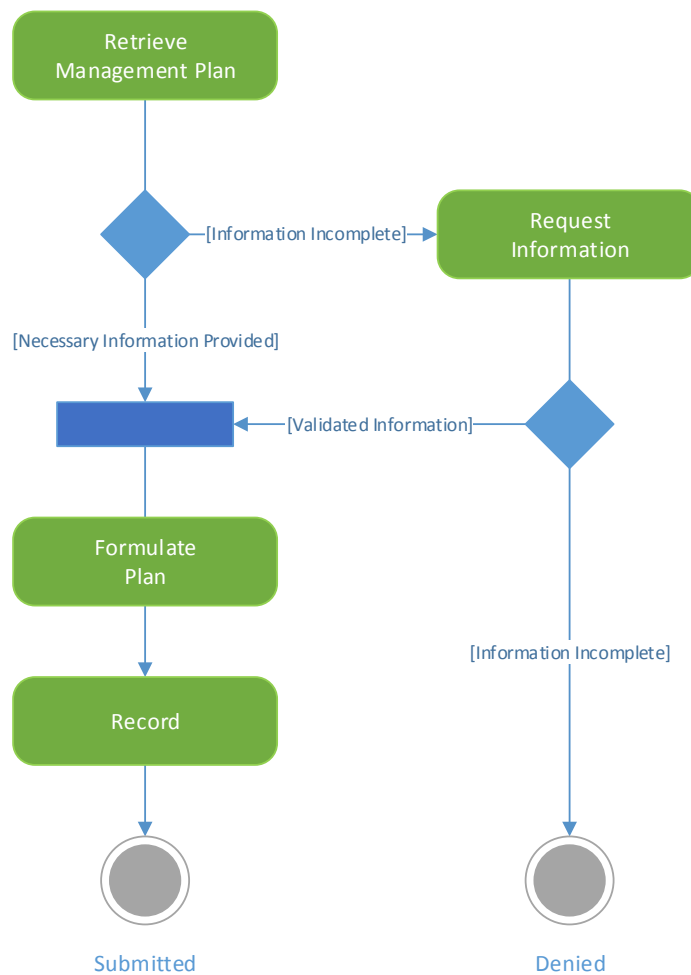


Figure 9: Develop Reentry Plan Activity Diagram

Associated Actor	Relationship	Description
Case Manager	Prepares	The reentry plan may be an update of the management plan with considerations for community placement included, or the reentry plan may be a separate plan with the unique purpose of planning for reentry.
Community Corrections Officer	Investigates	

1.8.1 Flow of Events

Retrieve Management Plan - The current management plan for a specified offender will be obtained for review. The management plan will indicate areas the offender is required to address during the incarceration period and may include specific programs in which the offender is encouraged to participate.

- Data provided: Reentry Information, Reentry Information.

(If information incomplete) Request Information - Information will be solicited and used for one or more purposes. The information generally consists of offender related data elements, but is not restricted to this alone. Family and community support is often considered when developing the reentry plan.

- Data provided: Reentry Information, Reentry Information.

Formulate Plan - Offender risk information and program needs will be compiled to establish accountability objectives to be addressed during the incarceration period. The plan is compiled from the information gathered in the earlier steps of the reception process. The programs outlined in the plan may be set in priority order or just under the heading of each area. Some program needs may be specifically dictated as a result of the offense, they may be acute or chronic and are considered dynamic in nature.

- Data provided: Reentry Plan.

Record - The act of documenting any form of action, decision, or information that is to be placed among official records.

Pre-Condition	Description
None	
Post-Condition	Description
Denied	A review has resulted in a decision to deny a request or action.
Submitted	Any instance whereby a document is prepared or a verbal communication is issued and is offered for consideration, study, or decision.

Common Business Functions for Correctional Management Systems



IJIS Institute



Volume 2 – Business Scenarios
Part E – Security

*Authored by the IJIS Institute and the
Corrections Technology Association*

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1. BUSINESS FUNCTION: SECURITY

This use case describes the functions that are necessary for establishing and maintaining the security of a correctional department/agency. These functions include the custody and control of offenders during their incarceration period, by enforcement of a defined secured perimeter, accountability of offenders by conducting regularly scheduled and unscheduled counts, and processing offenders into and out of facility control. Key control, searches, tool control, communications and other operational functions are regulated within the security program for each facility. Emergency planning is an integral part of this process, which includes escapes, hostage incidents, disturbances, fires, natural disasters, external breeches, employee and inmate strikes.

Security Use Case Diagram

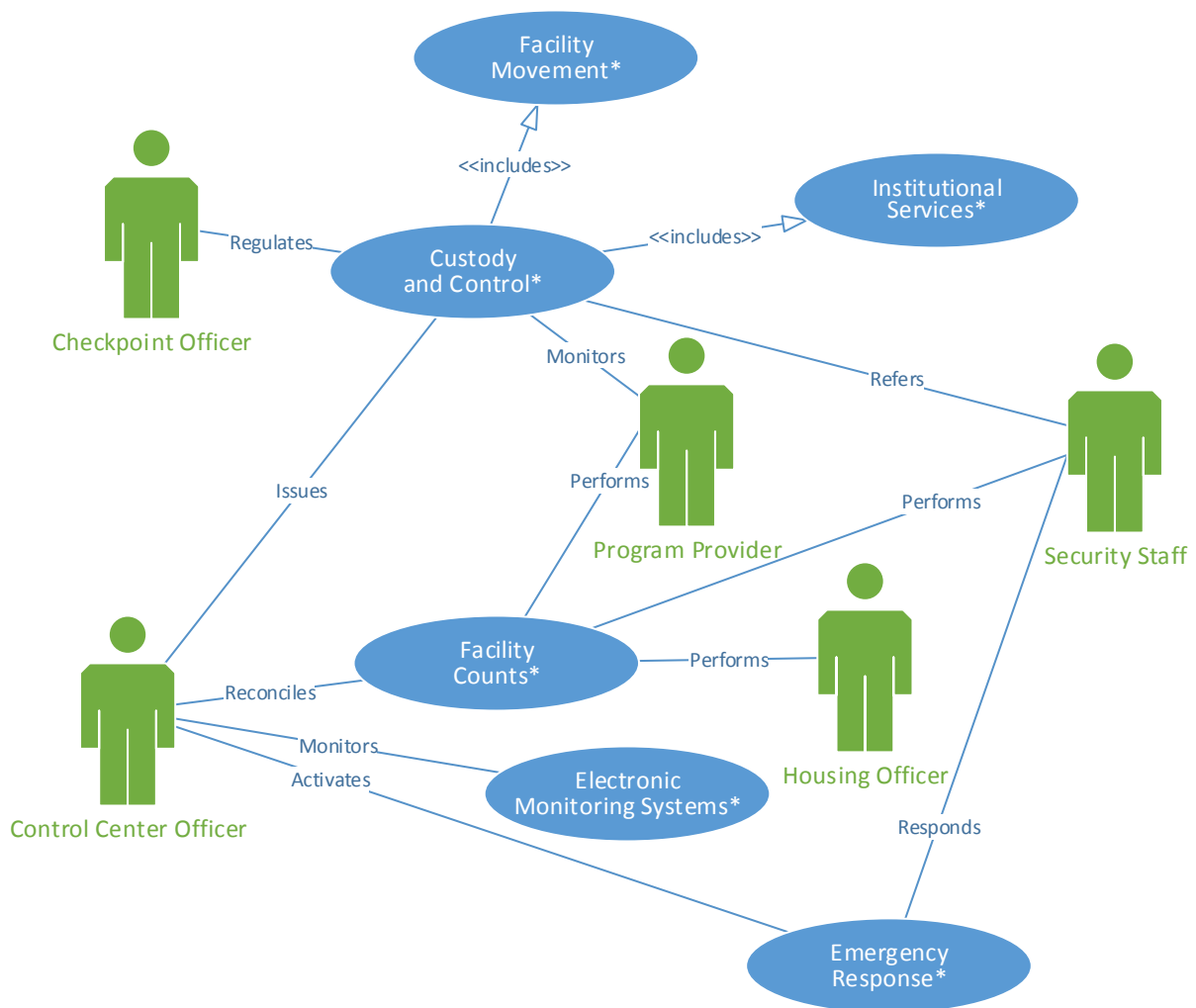


Figure 1: Security Use Case Diagram

Associated Actor	Relationship	Description
Control Center Officer	Issues	
Security Staff	Performs	Housing and other staff responsible for offender supervision may become involved in performing custody and control.
Program Provider	Monitors	
Checkpoint Officer	Regulates	

1.1 Use Case Specification: Facility Movement

The control and monitored movement of offenders to facility activities or services both within and outside the perimeter of the facility.

1.1.1 Flow of Events

Retrieve Activity Schedule - Access information sources to obtain activity summary or detail information. In some agencies a central management area will maintain activity schedule information utilizing methods that can be readily viewed. The information retrieved is subject to security permissions, and in some instances, the information will be filtered for specific functional units or facilities.

- Data provided: Schedule Data, Schedule Data, Activity Schedule, Activity Specifications.
- Special Requirements:

Special Requirement	Description
ACA Standard: Inmate Movement 4-4188 Regulate Inmate Movement	<p>Written policy, procedure, and practice provide that the staff regulate inmate movement.</p> <p>Comment: All inmate movement from one location to another should be controlled and supervised by staff, including individual and group inmate movement to and from work and program assignments. A master pass list for each day can assist in accounting for movement without restricting or discouraging participation in program activities.</p>

Facility Movement Activity Diagram

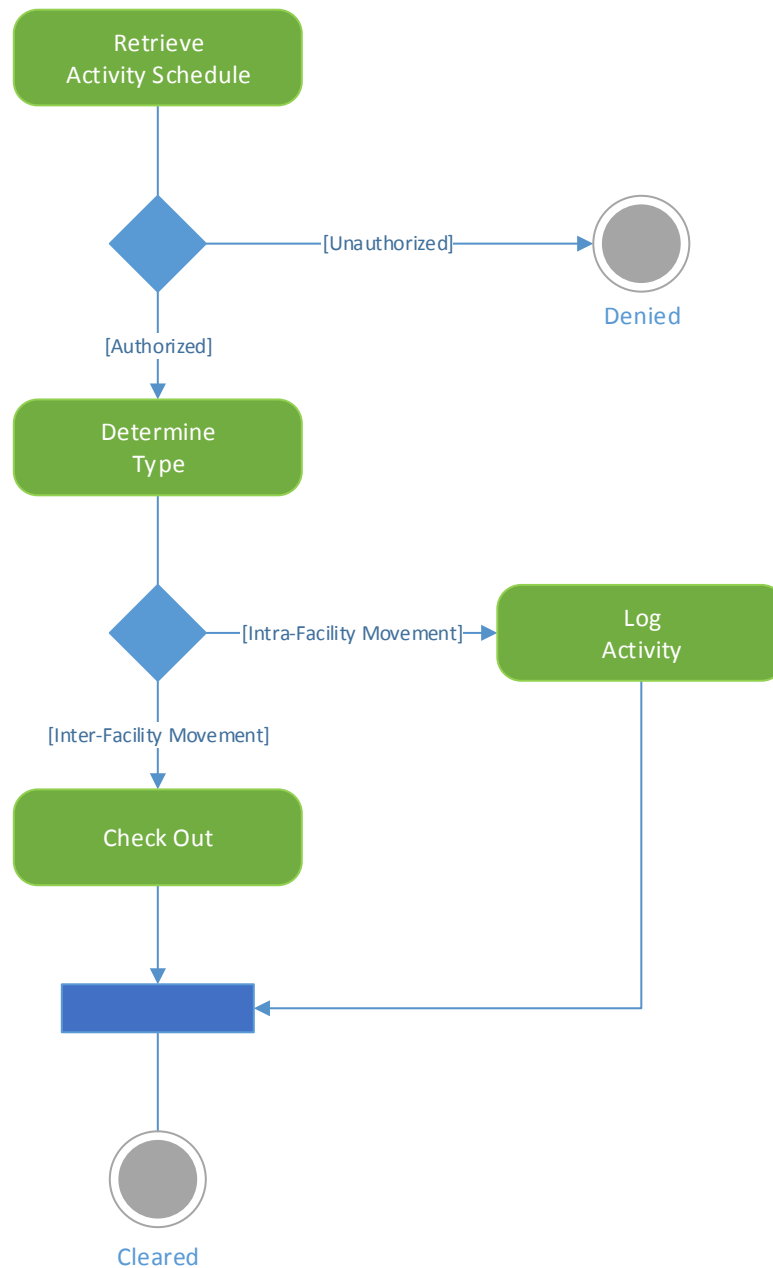


Figure 2: Facility Movement Activity Diagram

(If authorized) Determine Type - Used to evaluate the type of activity, such as movement outside of the facility for a day trip, or intra-facility movement such as medical appointment, work assignment, program activity, etc.

- Data provided: Movement Type, Movement Type.

(If inter-facility movement) Check Out - Logging the offender out to transportation, maybe for a day trip or a facility transfer.

(If intra-facility movement) Log Activity - A formal record is produced to document events, including the date and time of occurrence, the sequence, and the participants. Examples of this activity include recording attendance, movement (check-in and check- out), recording offender contacts, etc.

Pre-Condition	Description
None	
Post-Condition	Description
Cleared	When an action is performed to verify or validate information and it is accepted as factual, the instance is considered completed, or cleared for further activity.
Denied	A review has resulted in a decision to deny a request or action.

1.2 Use Case Specification: Custody and Control

The daily security control and custody functions that include equipment, offender processing, visitor processing, census checks, breach detection and overall offender tracking and monitoring within and outside the facility. The comprehensive security program consisting of key control, tool control, searches, communications and other operational functions that are regulated within the security program for each facility.

1.2.1 Flow of Events

Retrieve Log Reports - At the start of each shift, security staff will retrieve one or more reports regarding the previous shift. These reports will include pertinent information regarding incidents, individual offenders, and groups of offenders.

- Data provided: Incident Report.

Alternative Flows:

Detail
Agencies may not schedule searches; instead, they perform searches at random.

Custody and Control Activity Diagram

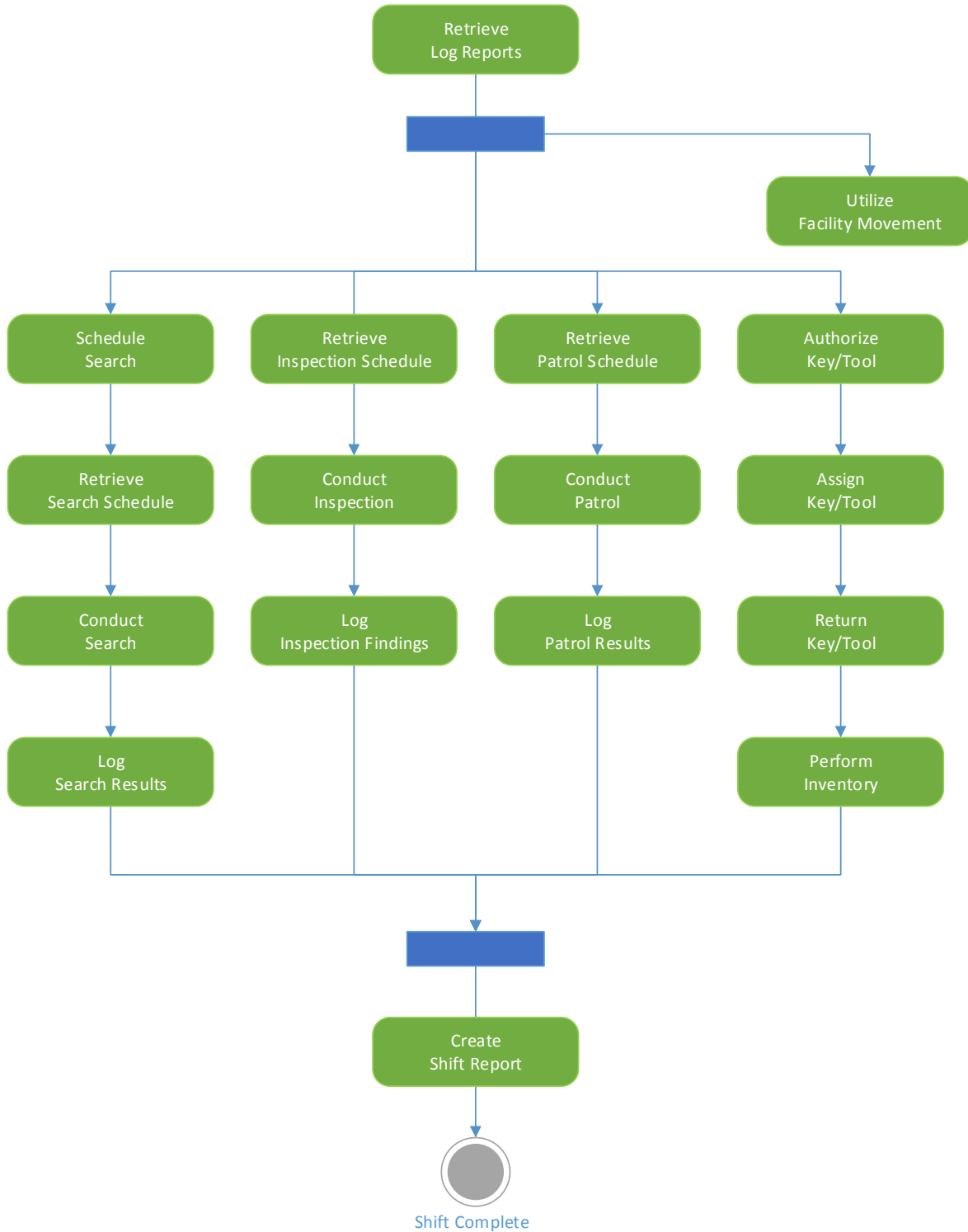


Figure 3: Custody and Control Activity Diagram

Schedule Search - Schedule a time and location for searches within the facility. The searches may be set from random determination or based upon suspicion. The capability must exist to maintain the random nature and unpredictability of the searches.

- Data provided: Activity Schedule.
- Special Requirements:

Special Requirement	Description
ACA Standard: Control of Contraband 4-4192 Searches	<p>Written policy, procedure, and practice provide for searches of facilities and inmates to control contraband and provide for its disposition.</p> <p>Comments: The institution's search plans and procedures should include the following:</p> <ul style="list-style-type: none"> • Unannounced and irregularly timed searches of cells, inmates, and inmate work areas. • Conduct of searches only as necessary to control contraband or to recover missing or stolen property.

Retrieve Search Schedule - The search schedule for a given shift must be retrieved, giving specific location information for where the search is to be conducted, common areas, cells, and/or individual persons. Staff responsible for retrieving the schedule are not necessarily those responsible for entering the search schedule.

- Data provided: Schedule Data, Location.

Conduct Search - Searches will be conducted randomly, following a prearranged strategy, or based on suspicion. Searches may be performed electronically or manually in a location, on a vehicle, or a person.

- Data provided: Property Identifiers, Offender Identifiers, Location, Date/Time.

Log Search Results - A physical search of an offender's person, property, living area, or common areas must be logged as well as the results of the search.

Retrieve Inspection Schedule - All security devices require inspection over the course of a week. A schedule is established to inspect various devices at given times. This schedule may be revised periodically. The schedule will be retrieved as a part the inspection process.

- Data provided: Property Identifiers, Schedule Data.

Conduct Inspection - The inspection of security devices is to determine if further attention is required including faulty, unsafe, or dirty devices.

- Data provided: Property Identifiers, Equipment Condition.
- Special Requirements:

Special Requirement	Description
ACA Standard: Inspections 4-4186 Security Device Inspections	Written policy, procedure, and practice require that the chief security officer or qualified designee conduct at least weekly inspections of all security devices needing repair or maintenance and report the results of the inspections in writing.

Log Inspection Findings - The results of the security device inspection are logged for review and further action.

Retrieve Patrol Schedule - Supervisory security staff must conduct daily patrols of inmate occupied areas and weekly patrols of unoccupied areas. The daily schedule for the patrols will be available for retrieval.

- Data provided: Schedule Data, Location.

Conduct Patrol - Patrols are to determine if areas are faulty, unsafe, or have dirty conditions. Security Staff also respond to dispatches issued by the Control Center Officer when unusual events are reported, or security monitoring systems detect or indicate activity requiring intervention.

- Data provided: Patrol Observations.
- Special Requirements:

Special Requirement	Description
ACA Standard: Patrols and Inspections 4-418 Daily Patrol	Written policy, procedure, and practice provide that supervisory staff conduct a daily patrol, including holidays and weekends, of all areas occupied by inmates and submit a daily written report to their supervisor. Unoccupied areas are to be inspected weekly.

Log Patrol Results - The patrols and the results are logged for review and further action.

Authorize Key/Tool - Provides a method for pre-approving and recording the assignment of keys and/or tools to persons based on their function.

- Data provided: Equipment Data.
- Special Requirements:

Special Requirement	Description
ACA Standard: Controlled Access and Use 4-4195 Key Control	(Mandatory) Written policy, procedure, and practice govern the control and use of keys.
ACA Standard: Controlled Access and Use 4-4196 Tool Control	(Mandatory) Written policy, procedure, and practice govern the control and use of tools, culinary, and medical equipment.

Assign Key/Tool - Log daily or permanent assignment and control of all keys, tools, communication instruments, restraints, weapons, vehicles, contraband detection apparatus, hazardous materials, and other related equipment.

- Data provided: Equipment Data, Equipment Accountability.

Return Key/Tool - Log the return of the key/tool including the time of return and the condition of the equipment.

- Data provided: Equipment Data, Equipment Condition.

Perform Inventory - The act of identifying and counting items, then recording the information. In specific instances the inventory process must be completed within a prescribed time period.

Create Shift Report - Prior to the completion of a shift, all of the activities must have been logged or recorded. The pertinent information should be made available to the next shift through the creation of a shift report. This report will have overall facility activity and incidents as well as information pertaining to specific areas. If necessary, the report should either include the capability to produce more detailed information, or provide reference information of where this information can be obtained.

- Special Requirements:

Special Requirement	Description
ACA Standard: Permanent Log 4-4183 Permanent Log and Shift Report	Written policy, procedure, and practice require that correctional staff maintain a permanent log and prepare shift reports that record routine information, emergency situations, and unusual incidents.

Utilize Facility Movement - The control and monitored movement of offenders to facility activities or services both within and outside the perimeter of the facility.

Pre-Condition	Description
None	
Post-Condition	Description
Shift Complete	The termination of a scheduled work period.

1.3 Use Case Specification: Institutional Services

Offenders must have access to institutional services. This access must be scheduled, controlled, and recorded. Services would include access to food services, library, commissary, med-line, laundry, recreation, religious service, and other services both within and outside the facility perimeter.

Institutional Services Activity Diagram

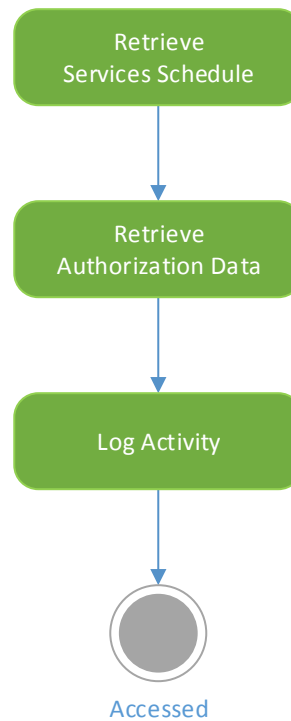


Figure 4: Institutional Services Activity Diagram

1.3.1 Flow of Events

Retrieve Services Schedule - Access information sources to obtain institutional services summary or detail information. In some facilities a central management area will maintain services schedule information on boards that can be readily viewed. The information retrieved is subject to security permissions, and in some instances, will be filtered for specific functional units or facilities. Services include food services, religious services, commissary, library, recreation, hobbies, medical/mental health services etc.

- Data provided: Schedule Data.

Retrieve Authorization Data - For various activities, movement, or services there is a process for retrieving pre-approved authorization for the offender or group of offenders.

- Data provided: Authorization Data.

Log Activity - A formal record is produced to document events, including the date and time of occurrence, the sequence, and the participants. Examples of this activity include recording attendance, movement (check-in and check-out), recording offender contacts, etc.

- Data provided: Activity Identifiers, Offender Identifiers, Date/Time.

Pre-Condition	Description
None	
Post-Condition	Description
Accessed	A successful result of obtaining access to someone or something.

1.4 Use Case Specification: Facility Counts

Routine scheduled and unscheduled accountability checks of each offender assigned to the facility.

Associated Actor	Relationship	Description
Housing Officer	Performs	
Security Staff	Performs	
Program Provider	Performs	
Control Center Officer	Reconciles	

- Special Requirements:

Special Requirement	Description
ACA Standard: Security and Control 4-4187 Inmate Counts	<p>The institution has a system for physically counting inmates. The system includes strict accountability for inmates assigned to work and educational release, furloughs and other approved temporary absences.</p> <p>Comment: There should be at least one inmate count per shift. Counts should be scheduled so that they do not conflict with activity programs and normal operating procedures.</p> <p>The officer responsible for maintaining the master count record should have up-to-the-minute information regarding all inmate housing moves, work assignment changes, hospital admissions, and so on. Adequate checks should be instituted to allow for human error. All inmates in legal custody should be accounted for in the master count; all temporary absences from the facility should be explained in writing.</p>

1.4.1 Flow of Events

Retrieve Activity Schedule - Access information sources to obtain activity summary or detail information. In some agencies a central management area will maintain activity schedule information utilizing methods that can be readily viewed. The information retrieved is subject to security permissions, and in some instances, the information will be filtered for specific functional units or facilities.

- Data provided: Schedule Data.

Facility Counts Activity Diagram

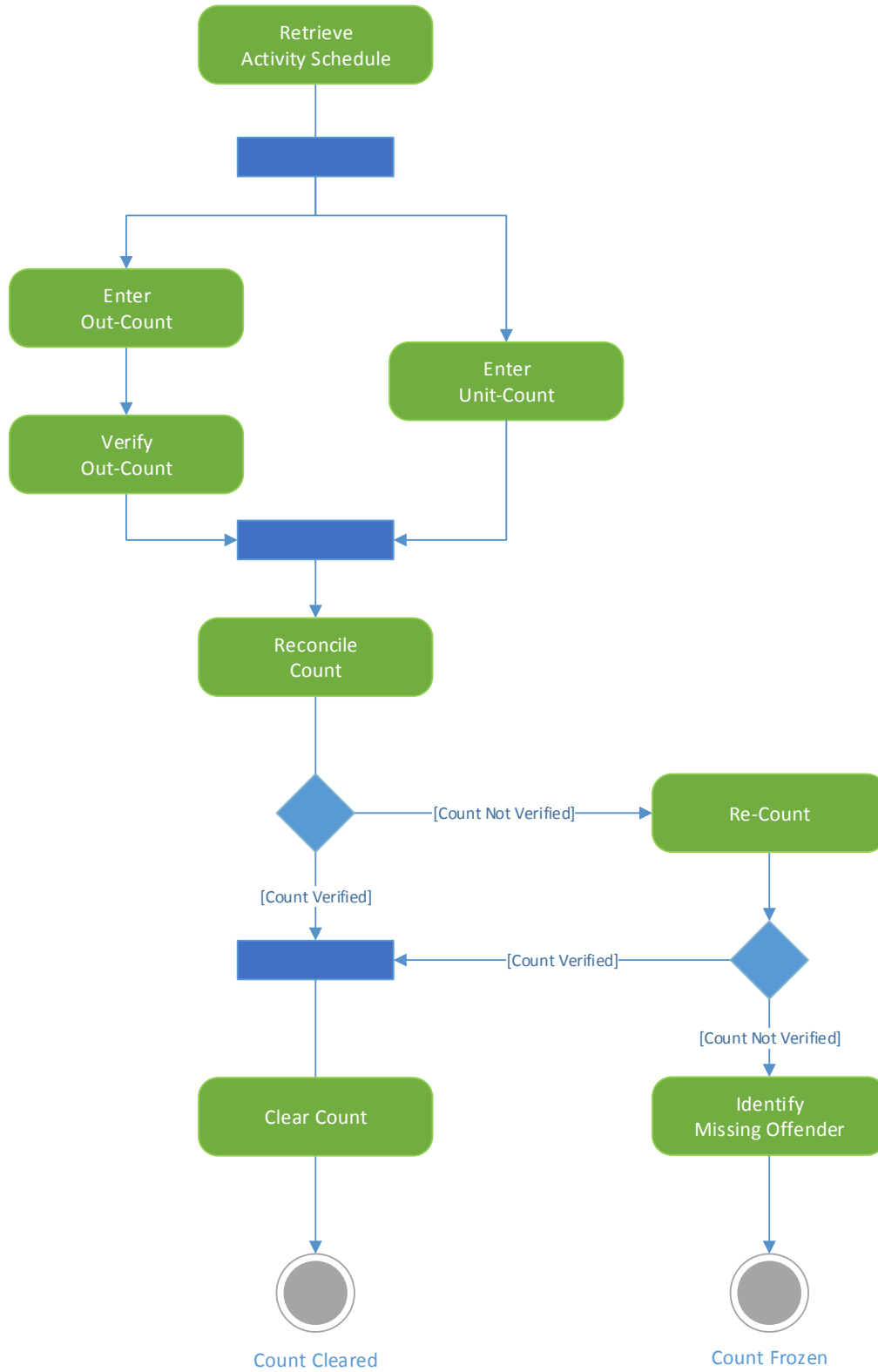


Figure 5: Facility Counts Activity Diagram

Enter Out-Count - Official count of all offenders present at an activity outside of the housing unit. Activities such as day trips, outside work crews, and others might constitute an activity for which an out-count is required.

- Data provided: Out Count.

Verify Out-Count - Verification of the out-count comparing the expected location of the offender, with the schedule of activities and documented participants. In some instances this may be pre-cursor action to insure offenders are returned to their assigned living unit for a formal count. This is done to reduce control issues associated with obtaining accurate count information.

- Data provided: Out Count.

Enter Unit-Count - Official count of all offenders whose presence is verified in the housing unit at the time of the count. This count will be entered into the system and made available to the Control Center.

- Data provided: Unit Count.

Reconcile Count - The actual count of the offenders in the unit and the out count must be reconciled to match the expected count for each unit.

(If count not verified) Re-count - In situations where the initial count was performed and cannot be reconciled with the expected count, a repeat of the count process is ordered to resolve the discrepancy. Some jurisdictions follow specific guidelines if this were to occur in an effort to avoid duplication of a persistent error.

- Data provided: Unit Count, Out Count, Offender Identifiers.

Clear Count - When count has been reconciled for each housing unit, the count is cleared, and appropriate announcements are made to inform all individuals that all movement can resume.

(If count not verified) Identify Missing Offender - In a situation where a second attempt at the count cannot be reconciled, the actual missing offender(s) are identified. This requires not only counting an offender, but identifying which offenders have been counted.

Pre-Condition	Description
None	
Post-Condition	Description
Count Frozen	When a formal count of offenders is performed to verify or validate their present location, and it is not accepted due to incomplete accountability, all activities and movement are suspended.
Count Cleared	When a formal count of offenders is performed to verify or validate their present location, and it is accepted as factual, the event is considered completed, or cleared, allowing for movement to resume.

1.5 Use Case Specification: Electronic Monitoring Systems

Fire alarms, perimeter zones, officer accountability and other detection alarms are electronically monitored by the Control Center. The Control Center is responsible for notifying the appropriate staff of the incident for resolution.

Electronic Systems Monitoring Activity Diagram

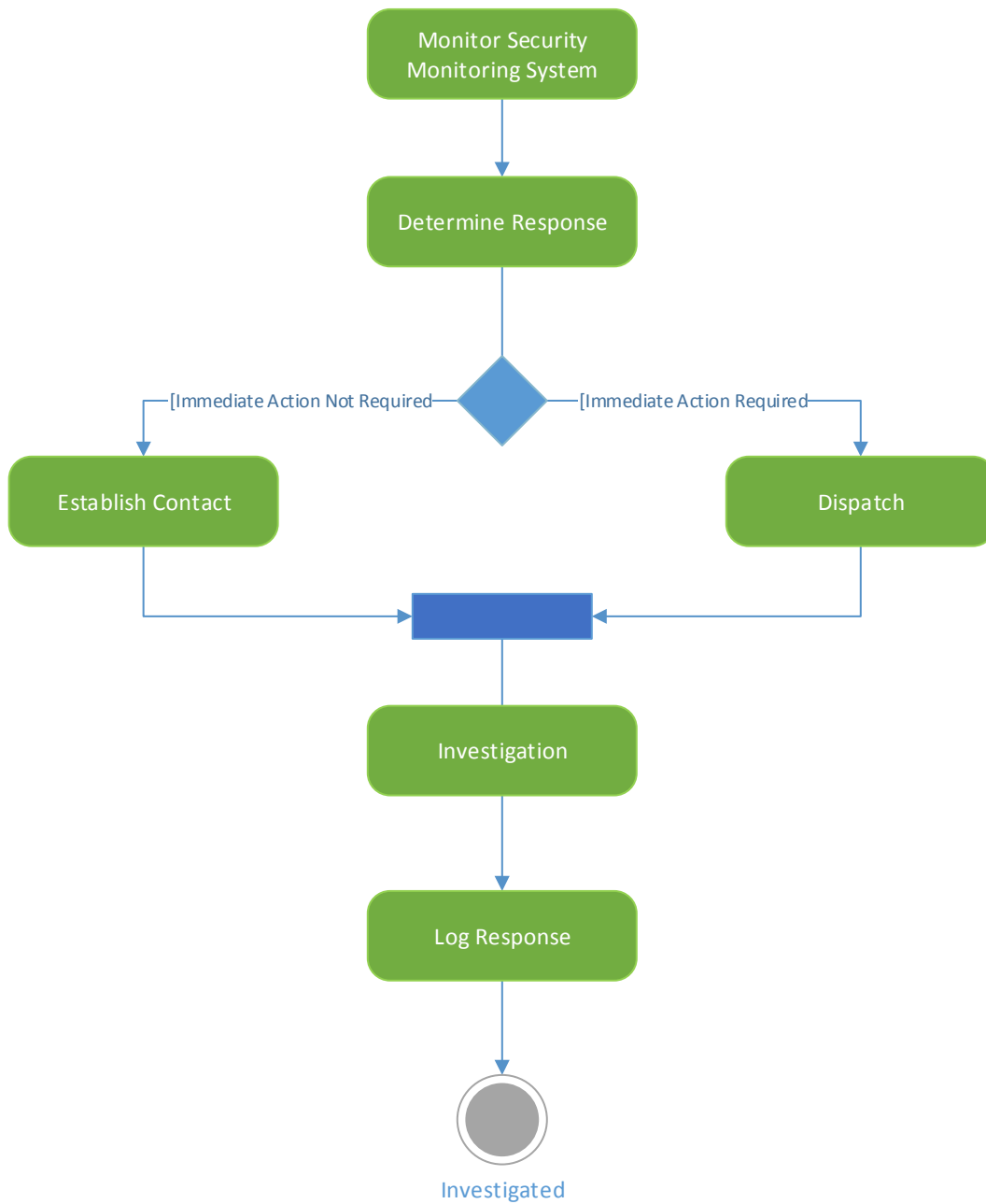


Figure 6: Electronic Monitoring Systems Activity Diagram

Associated Actor	Relationship	Description
Control Center Officer	Monitors	Some agencies do not use electronic monitoring systems.

1.5.1 Flow of Events

Monitor Security Monitoring System - Electronic systems are designed to perform specified monitoring functions utilizing a variety of technologies. Common to all monitoring functions is detection. When an event occurs that is monitored for detection, most systems use visual and/or audio notification methods. Video surveillance is included as an electronic monitoring system although it requires an individual to view and detect events of importance.

- Data provided: Incident Detection Information, Location, Contact Identifiers.

Determine Response - A decision process using available information will result in an appropriate action or inaction. In some instances there may be established guidelines that are followed that dictate what action is taken, but one or more individuals have the task of making a choice of one of more action options.

(If immediate action not required) Establish Contact - using appropriate methods to establish communication to deliver or obtain information. The methods of communication vary depending upon the needs and purpose of the individual initiating the communication.

(If immediate action required) Dispatch - The act of directing an individual to a specified location to perform specified tasks, such as resolve a situation, gather information, deliver communication, etc.

Investigation - An inquiry of an event or incident that includes the review of evidence, interviewing of witnesses and any other associated intelligence regarding the matter.

- Data provided: Incident Report.

Log Response - A formal record is produced to document events, including the date and time of occurrence, the sequence, the participants, and pertinent details of the event required to support further action where appropriate.

Pre-Condition	Description
None	
Post-Condition	Description
Investigated	The result of an investigation that was completed.

1.6 Use Case Specification: Emergency Response

Response to disturbances, fires, riots, escapes, serious criminal acts, external threats, natural disasters, work/activity stoppage or strikes, and any other incidents that disrupt normal facility operations which may be categorized as an emergency.

Associated Actor	Relationship	Description
Control Center Officer	Activates	
Security Staff	Responds	

Emergency Response Activity Diagram

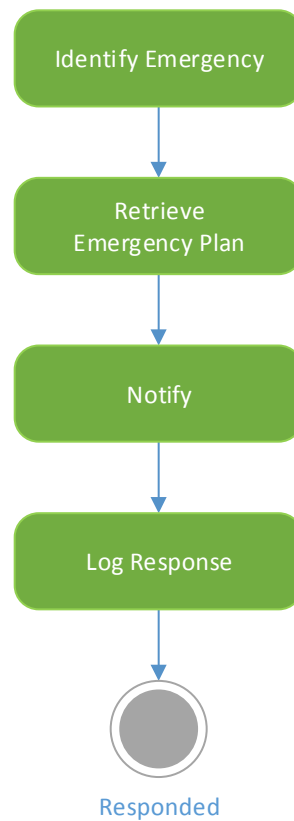


Figure 7: Emergency Response Activity Diagram

1.6.1 Flow of Events

Identify Emergency - The type of emergency must be identified and communicated to the central authority. The types of emergencies will need to be categorized and retrievable based upon the various combinations of events, location, and personnel involved.

- Data provided: Emergency Type.

Retrieve Emergency Plan - Based upon the type of emergency, an appropriate plan is retrieved and verified. Emergency plans will have required periodic updating and testing.

- Data provided: Emergency Plan.

Notify - The notification activity produces and disseminates appropriate information for the purpose of making staff aware of an event and/or initiating action. The staff needing to know must have been identified for each event.

- Data provided: Response Direction.

Log Response - A formal record is produced to document events, including the date and time of occurrence, the sequence, the participants, and pertinent details of the event required to support further action where appropriate.

Pre-Condition	Description
None	
Post-Condition	Description
Responded	The result of an action taken by an individual where an event requires some form of investigation resulting in a reporting and/or recording of information.

Common Business Functions for Correctional Management Systems



IJIS Institute



Volume 2 – Business Scenarios ***Part F – Discipline***

*Authored by the IJIS Institute and the
Corrections Technology Association*

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1. BUSINESS FUNCTION: DISCIPLINE

The system of discipline within corrections serves to regulate the conduct of offenders and officially document incidents that lead to individual disciplinary actions. The system requires formal procedures that are followed when moderate to serious incidents occur and informal procedures for minor infractions. The system also implies a potential safer quality of life for those that wish to conform and abide by the established rules. This entire process is an administrative action concerning many incidents and actions that could also be considered criminal. Furthermore, the process of administering the discipline system and its procedures are set aside from the legal process, wherein the same incident may travel through the judicial system as it completes a separate discipline route. Therefore, the appropriate documentation and tracking of all incidents that occur within each institution is important for legal and administrative purposes. The statistical tracking assists administrators in determining high-risk concerns and problem offenders. The information also identifies trends and security gaps.

Discipline Use Case Diagram

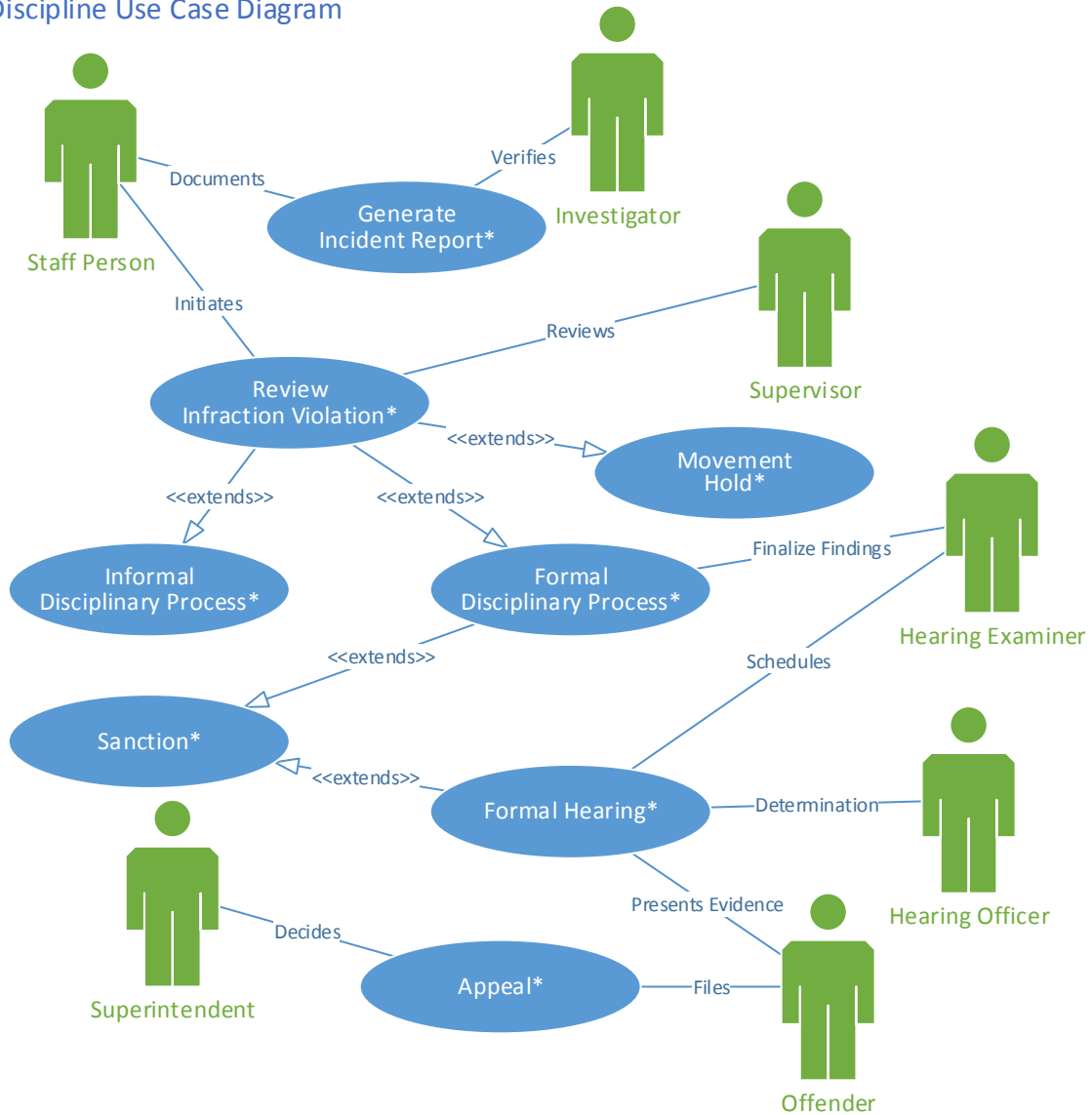


Figure 1: Discipline Use Case Diagram

1.1 Use Case Specification: Generate Incident Report

Developing the report which describes the incident in detail and any actors involved in the incident.

Associated Actor	Relationship	Description
Staff Person	Document	
Investigator	Verifies	The investigator is normally involved when there is a suspected criminal violation or a serious infraction occurred and it is uncertain who committed the infraction. Suspected criminal violations will result in the initiation of proceedings external to the corrections department/agency.

Generate Incident Report Activity Diagram

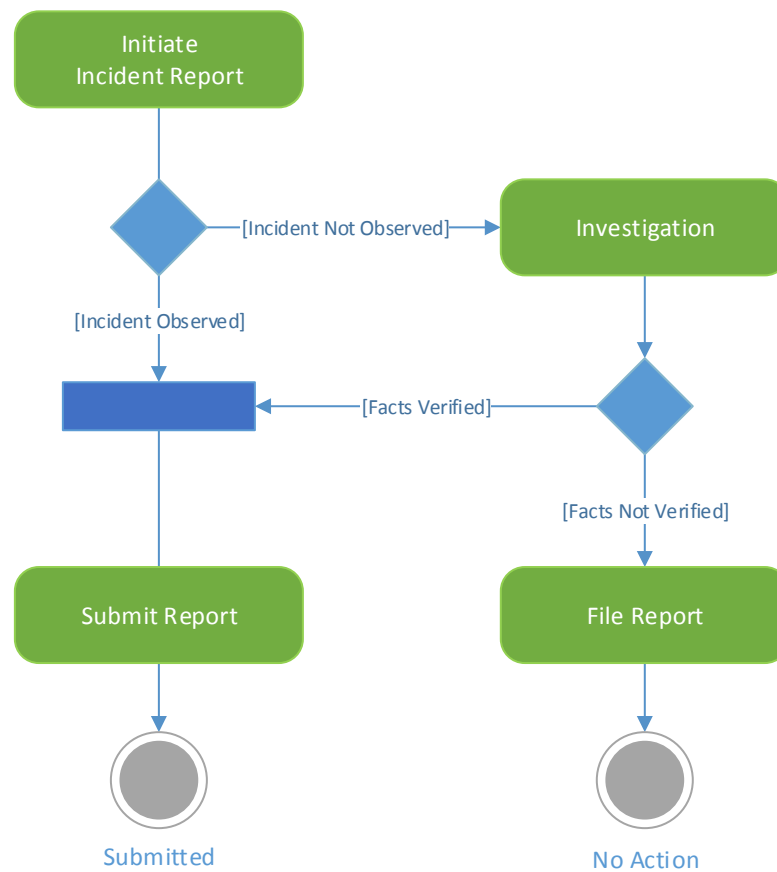


Figure 2: Generate Incident Report Activity Diagram

1.1.1 Flow of Events

Initiate Incident Report - Develop incident report based on a potential infraction or violation, providing details as to what happened, where it happened, who was involved, and when it occurred.

- Data provided: Offender Identifiers, Incident Report.
- Alternative Flows:

Detail

An investigation may be conducted in every incident report that is initiated.

(If Incident Not Observed) Investigation - An inquiry of an event or incident that includes the review of evidence, interviewing of witnesses and any other associated intelligence regarding the matter.

- Data provided: Incident Report, Offender Identifiers.

Detail
In an investigation where the event was not observed by the staff member initiating the report, and the investigation results in insufficient information needed to identify participants of an infraction, or there is insufficient evidence that an infraction was committed, the investigating staff will document information gathered during the investigation and file this for future reference.

Submit Report - When a report is developed and documented it will be handed over or recorded for reviewing or communication purposes.

- Special Requirements:

Special Requirement	Description
ASCA Performance Measures: Institutional Safety Key Indicator II.1.b	Number of victims of prisoner-on-prisoner attacks committed with a weapon that involved serious injury during the calendar year adjusted for the number of prisoners held by the agency on June 30 and reported as a rate per 1,000. The fact that an assault has taken place does not have to be substantiated by the disciplinary process; however, there must be sufficient evidence that the injury resulted from an attack and not an accident.
ASCA Performance Measures: Institutional Safety Key Indicator II.2.a	Number of staff injured as a result of direct, willful and physical attacks by prisoners that require treatment by a medical professional during the calendar year adjusted for the number of prisoners held by the agency on June 30 and reported as a rate per 1,000. The fact that an assault has taken place does not have to be substantiated by the disciplinary process; however, there must be sufficient evidence that the injury resulted from an attack and not an accident.

(If Facts Not Verified) File Report - Produce and record detail information about an event or activity that can be retrieved and reviewed as needed.

Pre-Condition	Description
None	
Post-Condition	Description
No Action	When a decision or determination process results in no action taken.
Submitted	Any instance whereby a document is prepared or a verbal communication is issued, and is offered for consideration, study, or decision.

1.2 Use Case Specification: Movement Hold

A movement hold will prevent a lateral or progressive move of the offender until such time as the infraction process has been resolved and progressive movement is still appropriate. The hold may involve a change in living assignment to a secured unit.

Movement Hold Activity Diagram

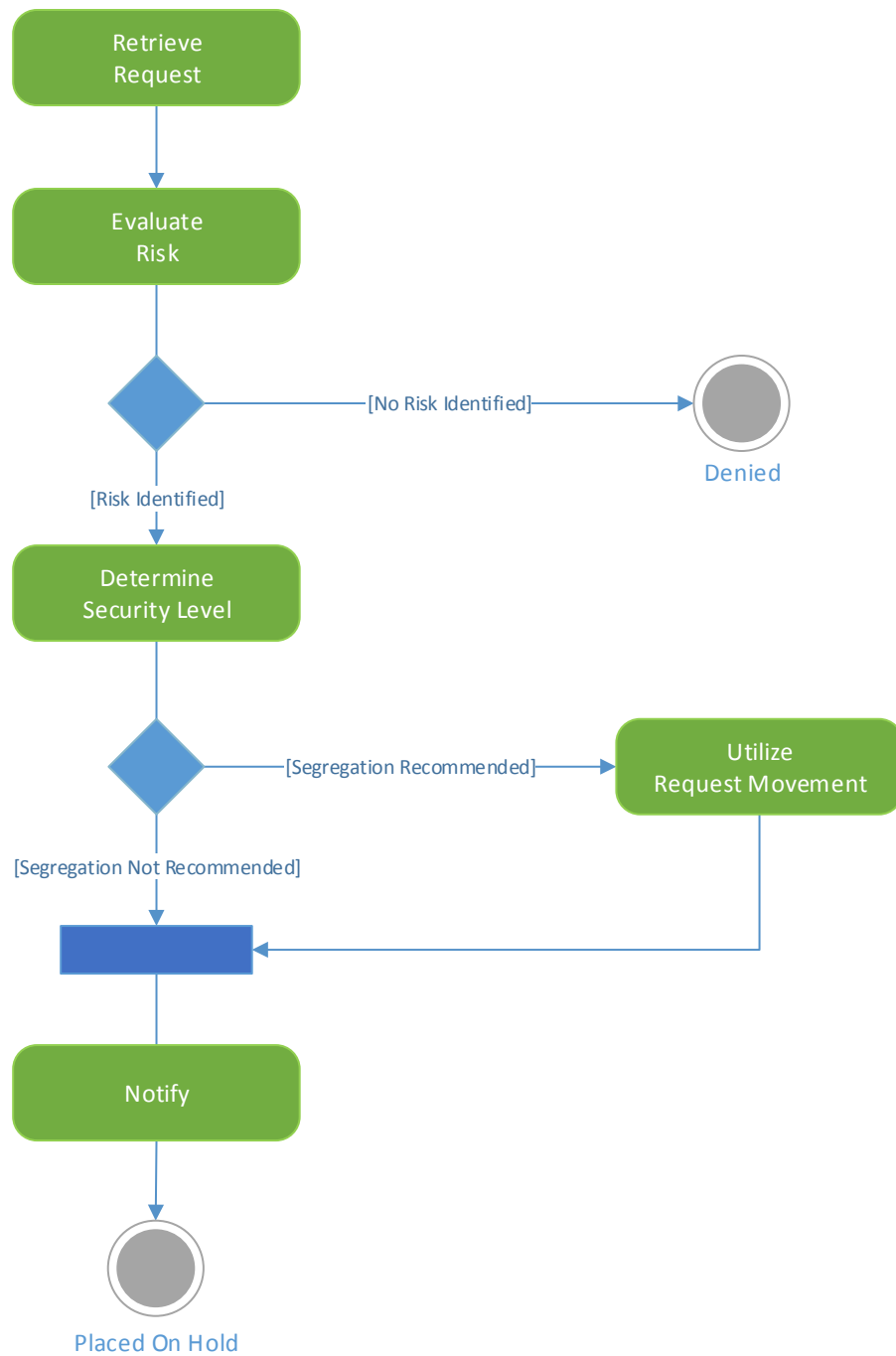


Figure 3: Movement Hold Activity Diagram

1.2.1 Flow of Events

Retrieve Request - This activity is the act of retrieving a formal request for an action or omission. This activity denotes the request has been documented, and will be reviewed resulting in either an authorization or denial of the action or omission.

- Data provided: Incident Report, Security Risk Data.

Detail
When an incident report is entered into the computer system the staff is prompted to enter a movement hold record to delay inter-facility moves until the disciplinary process is completed.

Evaluate Risk - An incident report must be evaluated to determine the risk level of the situation and what action needs to be taken. The risk would be primarily to the safety of staff and offenders, but also such things as escape risk, and medical risk.

- Data provided: Denial Reason, Movement Hold.

Detail
The process of placing a hold on movement will include a secondary review of the reasons for the request to ensure there is sufficient need.

- Special Requirements:

Special Requirement	Description
ACA Standard: Threats to Security 4-424 Situation That Threaten Institutional Security	(Mandatory) There are to be written plans that specify the procedures to be followed in situations that threaten institutional security. Such situations include, but are not limited to, riots, hunger strikes, disturbances, and taking of hostages. These plans are made available to all applicable personnel and are reviewed at least annually and updated as needed.

(If risk identified) Determine Security Level - Decide physical security needs for an offender for transportation, temporary or permanent living assignments.

(If segregation recommended) Utilize Request Movement - Movement between facilities requires central authorization. The process of initiating the movement of an offender to another facility often begins with the facility where the offender is currently assigned.

The request usually is automatic as a result of classification to another custody level, or it may be a special request due to medical, security risk (enemies, gangs), or other extenuating circumstances.

Notify - The notification activity produces and disseminates appropriate information for the purpose of making staff aware of an event and/or initiating action. The staff needing to know must have been identified for each event.

Pre-Condition	Description
None	
Post-Condition	Description
Denied	A review has resulted in a decision to deny a request or action.
Placed On Hold	Any instance where an event or action is delayed for a predetermined or undetermined time period.

1.3 Use Case Specification: Review Infraction Violation

The process of initiating a misconduct charge is relative to one or more incident events. The staff person initiating the misconduct report will define the charges following documented specifications. The misconduct report and charges will be reviewed by a supervisor to ensure the documented facts support the charges. If there is insufficient support of the charges, the charges are not authorized to be filed. If authorization is given the process continues with either the offender being formally charged or the infraction handled informally. Instances where a misconduct infraction is serious a hold will be placed on their movement until the infraction is remedied. This can also include an immediate assignment to a secured location within the facility.

Associated Actor	Relationship	Description
Supervisor	Reviews	
Staff Person	Initiates	

- Alternative Flows:

Detail
The offender may not be adjudicated at the originating facility. The process is completed at the receiving facility.

Detail
The informal disciplinary process is essentially a diversion process to handle discipline at the lowest possible level. Diverting to this process assumes the consent (not necessarily the admission of guilt) of the offender, otherwise a formal process will be pursued.

1.3.1 Flow of Events

Retrieve Incident - Information describing incidents must be forwarded to the appropriate staff person for further action if required. Once the incident is retrieved it must contain enough information either directly or associated with the report for the reviewing staff to take action.

- Data provided: Incident Report.
- Alternative Flows:

Detail
Originating staff will sometime determine the charges, with supervisor review to affirm or recommend appropriate charges.

Review Infraction Violation Activity Diagram

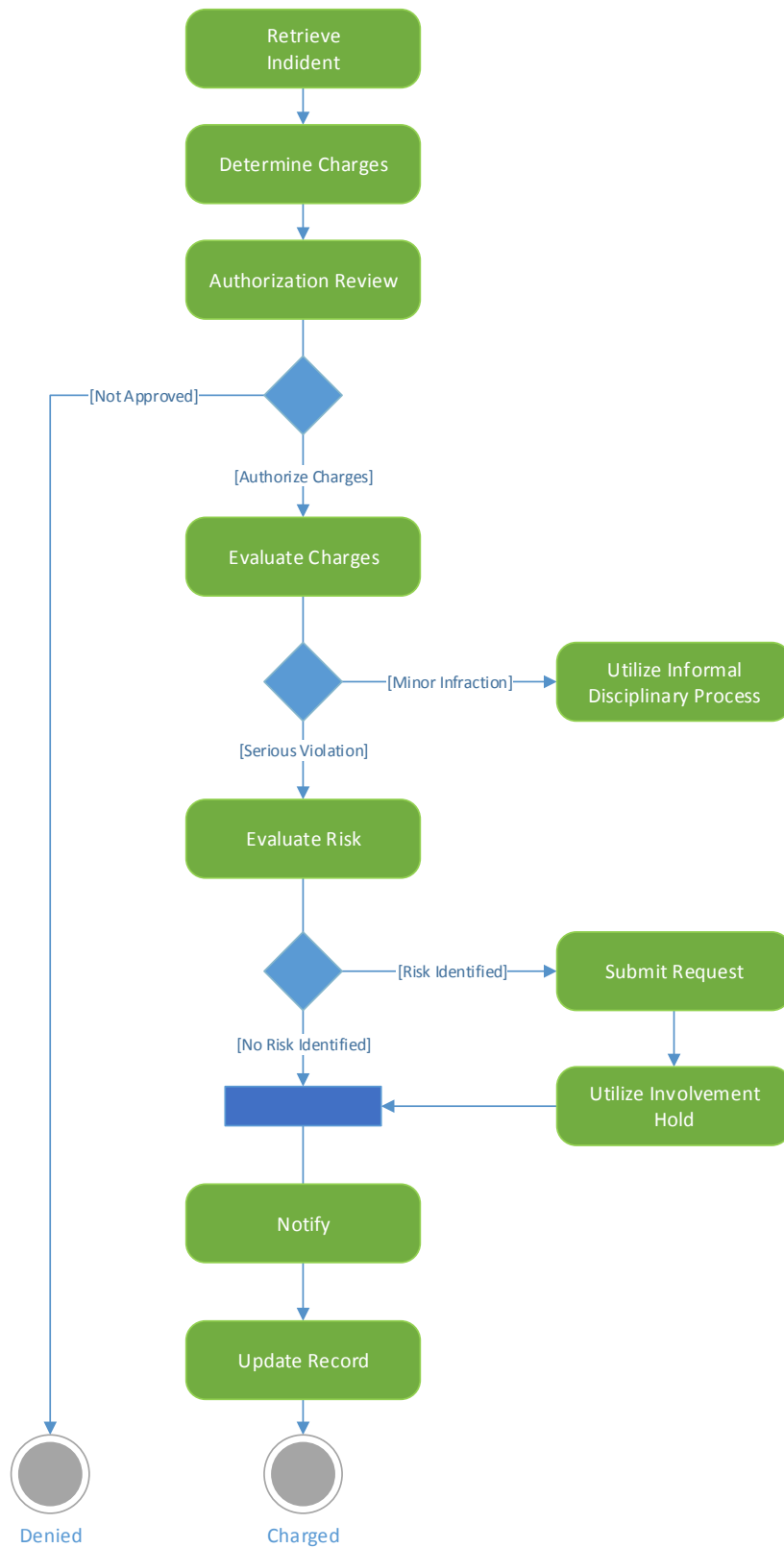


Figure 4: Review Infraction Violation Activity Diagram

(If informal remedy not possible) Determine Charges - Decision of what charges are to be filed against the offender for rule infractions.

- Data provided: Misconduct Report, Charges.

Authorization Review - Review of an action or document by one in authority in order to make a determination of approval or denial based upon policy or rule defined by the correctional department/agency.

- Data provided: Authorization Data, Denial Reason.
- Alternative Flows:

Detail
A disapproval of the misconduct report or charges may result in returning the document back to the originator for revision and reprocessing.

(If authorize charges) Evaluate Charges - After charges have been filed, an evaluation will be performed to determine which avenue will be taken to achieve a remedy. Violations are classified by severity, with minor and severe violations generally used as the two classifications.

- Alternative Flows:

Detail
Risk evaluation may not be performed during the infraction violation review.

(If serious violation) Evaluate Risk - An incident report must be evaluated to determine the risk level of the situation and what action needs to be taken. The risk would be primarily to the safety of staff and offenders, but also such things as escape risk, and medical risk.

- Data provided: Security Risk Data.

(If risk identified) Submit Request - A formal request is submitted to initiate an action or omission. It assumes the request will be documented, and will require a review process that will result in either an authorization or denial of the action or omission.

Utilize Movement Hold - A movement hold will prevent a lateral or progressive move of the offender until such time as the infraction process has been resolved and progressive movement is still appropriate. The hold may involve a change in living assignment to a secured unit.

Notify - The notification activity produces and disseminates appropriate information for the purpose of making staff aware of an event and/or initiating action. The staff needing to know must have been identified for each event.

(If minor infraction) Utilize Informal Disciplinary Process - After reviewing the infraction violation information an informal process may be initiated whereby the offender can avoid formal processing of the incident that may result in imposed sanctions. In doing so, the offender is admitting to committing an infraction and agrees to performing tasks that are appropriate and proportional to the infraction. Examples include extra work duty or restrictions to recreation privileges.

Update Record - When information is obtained for an established record, the pre-existing information in the record is amended or an addendum is added for future reference or communication.

Pre-Condition	Description
None	
Post-Condition	Description
Denied	A review has resulted in a decision to deny a request or action.
Charged	Any instance where an assertion is made as to blame or guilt, such as a rule infraction, or a violation of law.

1.4 Use Case Specification: Informal Disciplinary Process

After reviewing the infraction violation information, an informal process may be initiated whereby the offender can avoid formal processing of the incident that may result in imposed sanctions. In doing so, the offender is admitting to committing an infraction and agrees to performing tasks that are appropriate and proportional to the infraction. Examples include extra work duty or restrictions to recreation privileges.

1.4.1 Flow of Events

Retrieve Misconduct Report - Obtain the information for a specific violation that was documented and recorded for purposes of review.

- Data provided: Misconduct Report.

Evaluate Misconduct Information - Review information about a specific incident to adequately formulate a belief or understanding of the facts.

- Alternative Flows

Detail
Fines or restitution may be administered at the informal level.

Detail
Some jurisdictions consider a reprimand to be a form of sanction.

(If corrective action recommended) Determine Corrective Action - The process of deciding the appropriate action to take given the circumstances of the situation.

(If extra restriction recommended) Order Extra Restrictions - After evaluating the details of an incident the offender will have added restrictions applied as a means of accountability for unacceptable behavior.

- Data provided: Remedy Data.

(If extra duty recommended) Order Extra Duty - After evaluating the details of an incident the offender will be given extra work duties as a means of accountability for unacceptable behavior.

- Data provided: Remedy Data.

Informal Disciplinary Process Activity Diagram

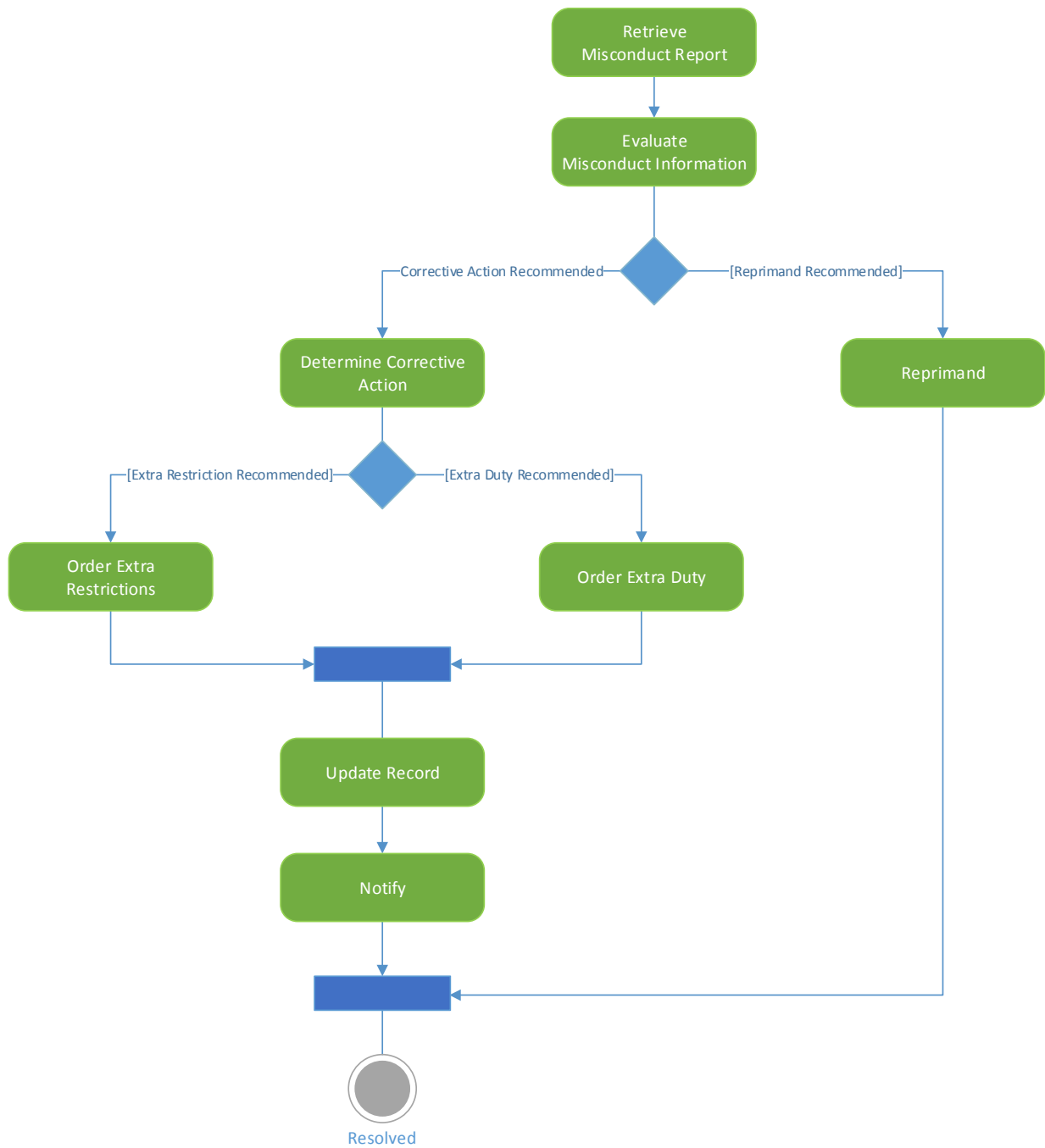


Figure 5: Informal Discipline Process Activity Diagram

Update Record - When information is obtained for an established record, the pre-existing information in the record is amended or an addendum is added for future reference or communication.

Detail
When extra work duties or special restrictions are ordered, appropriate staff are notified to oversee the order.

(If reprimand recommended) Reprimand - Action taken to critique an individual either verbally or in writing, with the intent to correct behavior. Action will be logged as multiple reprimands may drive more serious sanctions.

Notify - The notification activity produces and disseminates appropriate information for the purpose of making staff aware of an event and/or initiating action. The staff needing to know must have been identified for each event.

Pre-Condition	Description
None	
Post-Condition	Description
Resolved	When a problem or issue is appropriately addressed and agreed upon to the satisfaction of those involved.

1.5 Use Case Specification: Formal Disciplinary Process

Infractions that are moderate to serious that require formal resolution.

Associated Actor	Relationship	Description
Hearing Examiner	Finalize Findings	

1.5.1 Flow of Events

Retrieve Misconduct Report - Obtain the information for a specific violation that was documented and recorded for purposes of review.

- Data provided: Misconduct Report, Charges.

Review Charges - Review information about the infractions to adequately formulate a belief or understanding of the facts.

- Data provided: Denial Reason, Charges.

Formal Disciplinary Process Activity Diagram

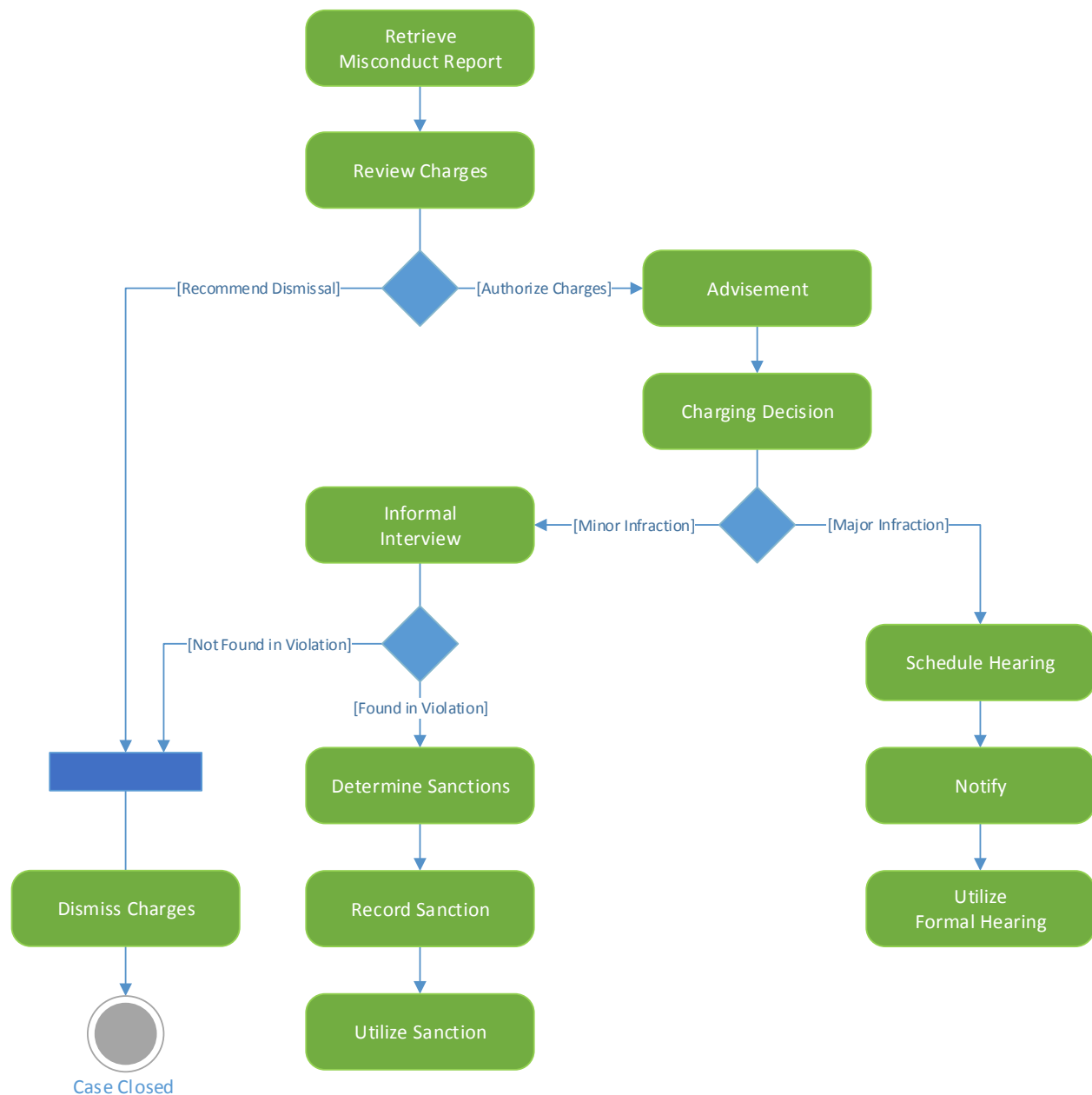


Figure 6: Formal Disciplinary Process Activity Diagram

(If authorize charges) Advisement - In a formal proceeding the offender is given information or formal notice of allegations that have been made against them. The advisement will give specific details of the allegations, the rights afforded the offender during the proceeding, and possible sanctions that can be imposed should the offender be found guilty of the allegations. The offender will be asked to make a plea of guilt or innocence, which will determine the next step in the disciplinary process.

Charging Decision - When charges have been reviewed and authorized a decision will be made as to the severity of the charge. In some jurisdictions, the charges for infractions are classified by degree of severity which simplifies this decision process. The charges will fall into one of two classifications, either minor or major infractions.

(If minor infraction) Informal Interview - The act of communicating less formally with an individual to exchange information.

- Data provided: Denial Reason.

Dismiss Charges - When charges have been reviewed and a recommendation to dismiss them is reached the records associated with the infraction are updated to reflect the dismissal with supporting reasons.

(If found in violation) Determine Sanctions - When it is decided that an offender has violated a rule or infraction, as a result of a formal hearing, one or more sanctions will be applied.

- Data provided: Sanction Data.

Record Sanction - The result of a process whereby an offender has either admitted to or has been found guilty of an infraction will result in a disciplinary action known as a sanction. The process of defining the sanction and any parameters with which to apply the sanctions is a separate step in the disciplinary process. An evaluation of available sanctions will be performed, and an appropriate sanction will be applied for the infraction. In some jurisdictions the sanction is well defined for each offense, so the application is simply an affirmation of the policy. The sanctions that have been ordered will be recorded and linked to an infraction report. Note there can be many sanctions ordered as a result of a finding of guilt for a rule infraction.

Utilize Sanction - The result of a process whereby an offender has either admitted to or has been found guilty of an infraction will result in a disciplinary action known as a sanction. The process of defining the sanction and any parameters with which to apply the sanctions is a separate step in the disciplinary process. An evaluation of available sanctions will be performed, and an appropriate sanction will be applied for the infraction. In some jurisdictions the sanction is well defined for each offense, so the application is simply an affirmation of the policy. Sanctions can be in the form of housing restrictions, loss of earned or good time, loss of spending privileges, or loss of property as examples.

(If major infraction) Schedule Hearing - Set a date for a formal review hearing of an offender's status. The hearing may be initiated either by a status review date, or a violation/incident report.

- Alternative Flows:

Detail
Some jurisdictions use a formal service process, performed by a security staff person, to notify the offender of the charges.

Notify - The notification activity produces and disseminates appropriate information for the purpose of making staff aware of an event and/or initiating action. The staff needing to know must have been identified for each event.

Utilize Formal Hearing - An administrative process initiated when a document containing allegations of fact is filed requesting procedural remedies, and whereby information and supporting evidence is presented to one of more individuals with authority to evaluate and render a decision or finding. The

evidence may be presented in the form of testimonial and physical evidence. The decision or finding will either affirm the allegations in whole, or in part with amendments, or disaffirm with no further action taken. An affirmation will result in one or more sanctions to the offender. In an administrative hearing a preponderance of the evidence is sufficient to affirm the allegations.

Pre-Condition	Description
None	
Post-Condition	Description
Case Closed	Any instance where a situation requiring an investigation or action is completed and identified with a status to indicate the process has ended.

1.6 Use Case Specification: Formal Hearing

An administrative process initiated when a document containing allegations of fact is filed requesting procedural remedies, and whereby information and supporting evidence is presented to one of more individuals with authority to evaluate and render a decision or finding. The evidence may be presented in the form of testimonial and physical evidence. The decision or finding will either affirm the allegations in whole, or in part with amendments, or disaffirm with no further action taken. An affirmation will result in one or more sanctions to the offender. In an administrative hearing, a preponderance of the evidence is sufficient to affirm the allegations.

Associated Actor	Relationship	Description
Offender	Presents Evidence	
Hearing Examiner	Schedules	
Hearing Officer	Determination	In some jurisdictions the roles of Hearing Officer and Hearing Examiner are combined.

- Special Requirements:

Special Requirement	Description
ACA Standard: Disciplinary Hearing 4-4240 Conduct of Hearing	Disciplinary hearings on rule violations are conducted by an impartial person or panel of persons. A record of the proceedings is made and maintained for at least six months.

Formal Hearing Activity Diagram

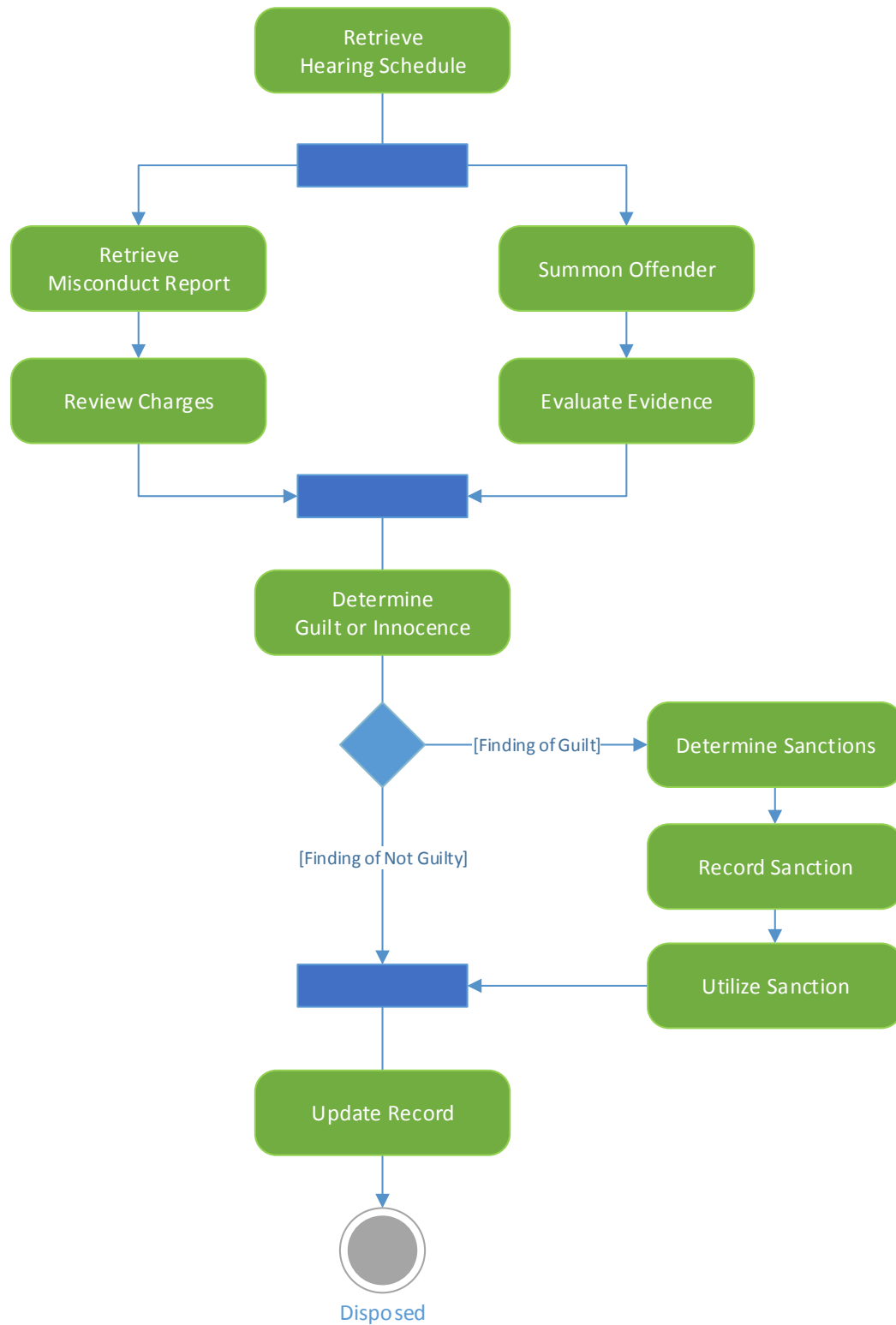


Figure 7: Formal Hearing Activity Diagram

1.6.1 Flow of Events

Retrieve Hearing Schedule - Obtain the schedule listing for a specific date that includes information necessary to perform a formal hearing.

Data provided: Schedule Data, Schedule Data.

- Special Requirements:

Special Requirement	Description
ACA Standard: Disciplinary Hearing 4-4242 Conduct of Hearing	Inmates have an opportunity to make a statement and present documentary evidence at the hearing and can request witnesses on their behalf. The reasons for denying such a request are stated in writing.
ACA Standard: Disciplinary Hearing 4-4241 Conduct of Hearing	Inmates charged with rule violations are present at their hearings unless they waive that right in writing or through their behavior.

Retrieve Misconduct Report - Obtain the information for a specific violation that was documented and recorded for purposes of review.

- Data provided: Misconduct Report.

Review Charges - Review information about the infractions to adequately formulate a belief or understanding of the facts.

Summon Offender - Using appropriate methods to contact the offender, staff with custody and control, and appropriate security checkpoints, will issue instructions directing the offender to report to a specified location at a specified time.

- Data provided: Evidence Identifiers.

Detail
When an offender is summoned to a formal hearing where a rule infraction is reviewed, any evidence they are to present will be pre-arranged and brought to the hearing when it is scheduled.

Evaluate Evidence - Review evidence about a specific incident or infraction to adequately formulate a belief or understanding of the facts.

Determine Guilt or Innocence - After reviewing all applicable information a decision is formulated that is supported by the facts as presented, and any accompanying documents and evidence. The decision will result in a finding affirming or disaffirming of the allegations.

- Data provided: Finding Information, Finding Information.

(If finding of guilt) Determine Sanctions - When it is decided that an offender has violated a rule or infraction, as a result of a formal hearing, one or more sanctions will be applied.

- Data provided: Sanction Data.

Record Sanction - The result of a process whereby an offender has either admitted to or has been found guilty of an infraction will result in a disciplinary action known as a sanction. The process of defining the sanction and any parameters with which to apply the sanctions is a separate step in the disciplinary process. An evaluation of available sanctions will be performed, and an appropriate sanction will be applied for the infraction. In some jurisdictions, the sanction is well defined for each offense, so the application is simply an affirmation of the policy. The sanctions that have been ordered will be recorded and linked to an infraction report. Note there can be many sanctions ordered as a result of a finding of guilt for a rule infraction.

Utilize Sanction - The result of a process whereby an offender has either admitted to or has been found guilty of an infraction will result in a disciplinary action known as a sanction. The process of defining the sanction and any parameters with which to apply the sanctions is a separate step in the disciplinary process. An evaluation of available sanctions will be performed, and an appropriate sanction will be applied for the infraction. In some jurisdictions the sanction is well defined for each offense, so the application is simply an affirmation of the policy. Sanctions can be in the form of housing restrictions, loss of earned or good time, loss of spending privileges, or loss of property as examples.

Update Record - When information is obtained for an established record, the pre-existing information in the record is amended or an addendum is added for future reference or communication.

- Special Requirements:

Special Requirement	Description
ASCA Performance Measures: Institutional Safety Key Indicator II.1.a	Number of assailants in prisoner-on-prisoner attacks committed with a weapon that involved serious injury during the calendar year adjusted for the number of prisoners held by the agency on June 30 and reported as a rate per 1,000.
ASCA Performance Measures: Institutional Safety Key Indicator II.3.a	To be counted, an assailant must have been convicted of a prison violation or the act must be substantiated in the disciplinary process and/or a court of law. Number of incidents of non-consensual sexual battery in which the victim is a male prisoner during the calendar year adjusted for the number of male prisoners held by the agency on June 30 and reported as a rate per 1,000.
ASCA Performance Measures: Institutional Safety Key Indicator II.3.b	An incident must be substantiated by the disciplinary process and/or a court of law. Number of incidents of non-consensual sexual battery in which the victim is a female prisoner during the calendar year adjusted for the number of female prisoners held by the agency on June 30 and reported as a rate per 1,000.
ASCA Performance Measures: Institutional Safety Key Indicator II.4.a.1	An incident must be substantiated by the disciplinary process and/or a court of law. Number of incidents of forcible sexual battery perpetrated on male staff by male prisoners during the calendar year adjusted for the number of male prisoners held by the agency on June 30 and reported as a rate per 1,000.
ASCA Performance Measures: Institutional Safety Key Indicator II.4.a.2	An incident must be substantiated by the disciplinary process. Number of incidents of forcible sexual battery perpetrated on male staff by female prisoners during the calendar year adjusted for the number of female prisoners held by the agency on June 30 and reported as a rate per 1,000.

Special Requirement	Description
ASCA Performance Measures: Institutional Safety Key Indicator II.4.b.1	An incident must be substantiated by the disciplinary process. Number of incidents of forcible sexual battery perpetrated on female staff by male prisoners during the calendar year adjusted for the number of male prisoners held by the agency on June 30 and reported as a rate per 1,000.
ASCA Performance Measures: Institutional Safety Key Indicator II.4.b.2	An incident must be substantiated by the disciplinary process. Number of incidents of forcible sexual battery perpetrated on female staff by female prisoners during the calendar year adjusted for the number of female prisoners held by the agency on June 30 and reported as a rate per 1,000.

Pre-Condition	Description
None	
Post-Condition	Description
Disposed	In a case involving due process, the findings and resultant actions have been ordered.

1.7 Use Case Specification: Appeal

A redress process is provided to offenders as a recourse avenue resulting from a formal proceeding such as classification, grievance, or disciplinary hearings. The offender can initiate an appeal process after a final decision or finding has been rendered by submitting required documentation to support the appeal. The documentation must be submitted following established guidelines, to the proper authority, within a defined time period.

Associated Actor	Relationship	Description
Offender	Files	
Superintendent	Decides	Some jurisdictions have implemented multi-level reviews in the appeal process.

- Special Requirements:

Special Requirement	Description
ACA Standard: Disciplinary Hearing 4-4248 Appeal	Grant inmates the right to appeal decisions of the disciplinary committee to the warden/superintendent or designee. Inmates have up to 15 days of receipt of the decision to submit an appeal. The appeal is decided with 30 days of its receipt, and the inmate is promptly notified in writing of the results.

1.7.1 Flow of Events

Retrieve Appeal - Obtain the appeal document from the appropriate source or storage location.

- Data provided: Appeal Document.

Appeal Activity Diagram

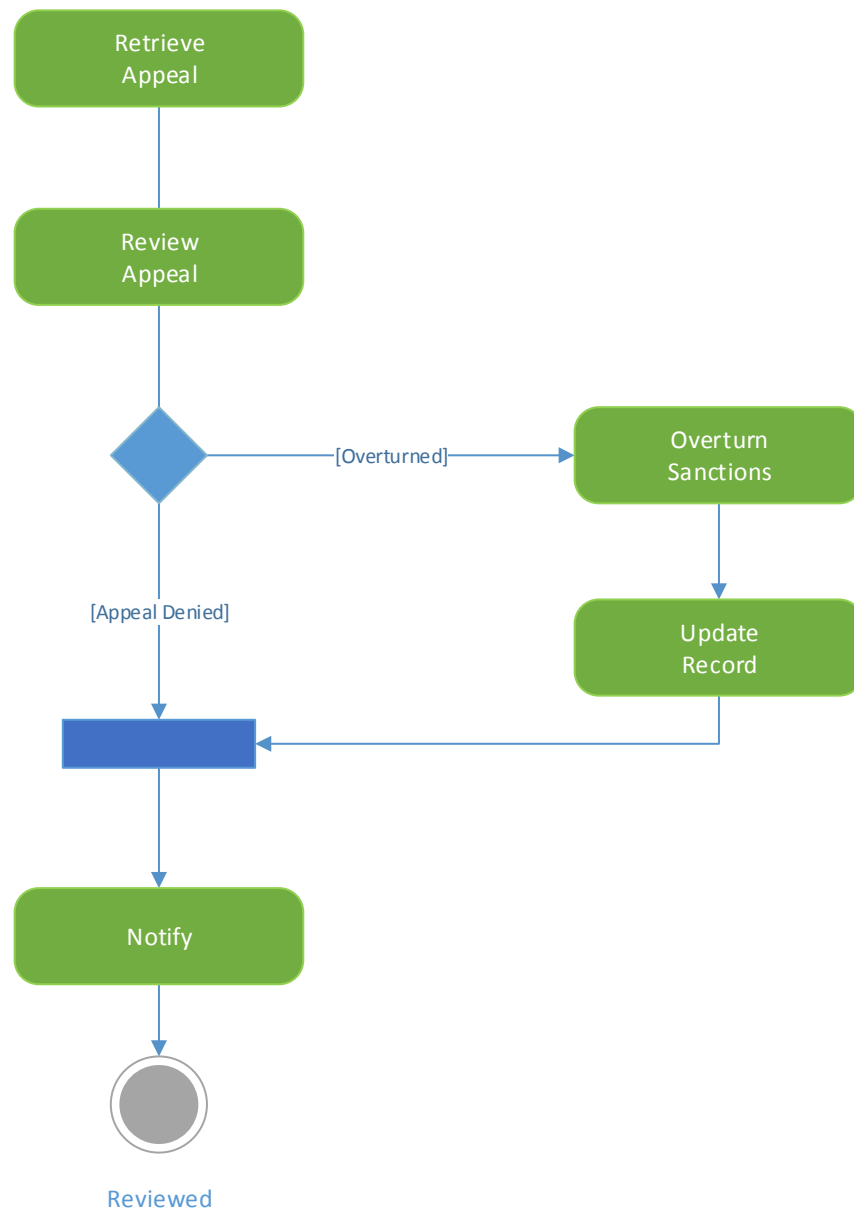


Figure 8: Appeal Activity Diagram

Review Appeal - When an offender submits a document appealing a decision or finding, a review of the information is performed to ensure procedures and policies were followed in prerequisite processes. A decision is rendered either supporting or overturning the preceding actions, with appropriate notification issued.

- Data provided: Denial Reason, Approval Reasons.

(If overturned) Overturn Sanctions - The result of an appeal review may reverse a previous decision of guilt. If so, sanctions that were imposed will be terminated, and adjustments made where feasible.

Update Record - When information is obtained for an established record, the pre-existing information in the record is amended or an addendum is added for future reference or communication.

Notify - The notification activity produces and disseminates appropriate information for the purpose of making staff aware of an event and/or initiating action. The staff needing to know must have been identified for each event.

Pre-Condition	Description
None	
Post-Condition	Description
Reviewed	Staff review of past behavior or conditions in respect to future action.

1.8 Use Case Specification: Sanction

The result of a process whereby an offender has either admitted to or has been found guilty of an infraction will result in a disciplinary action known as a sanction. The process of defining the sanction and any parameters with which to apply the sanctions is a separate step in the disciplinary process. An evaluation of available sanctions will be performed and an appropriate sanction will be applied for the infraction. In some jurisdictions, the sanction is well defined for each offense so the application is simply an affirmation of the policy. Sanctions can be in the form of housing restrictions, loss of earned or good time, loss of spending privileges, or loss of property as examples.

1.8.1 Flow of Events

Retrieve Sanctions - Obtain the sanction order information produced from a disciplinary finding.

- Data provided: Sanction Data.
- Alternative Flows:

Detail
Time sanctions in some jurisdictions will include the review of good time and apply loss of good time when appropriate.

Check Visitor Sanction - When sanctions are ordered a check will be performed to ensure the appropriate sanction is applied. In this instance, if a loss of visitation privileges has been ordered the visitor information for the offender will be updated and reflect sanction and parameters in which it is to be applied.

- Data provided: Sanction Data.

Detail
When a visiting sanction is applied, the offender record of approved visitors is updated to reflect the sanction and parameters that apply. This will prevent a visit from occurring during the sanction period.

Sanction Activity Diagram

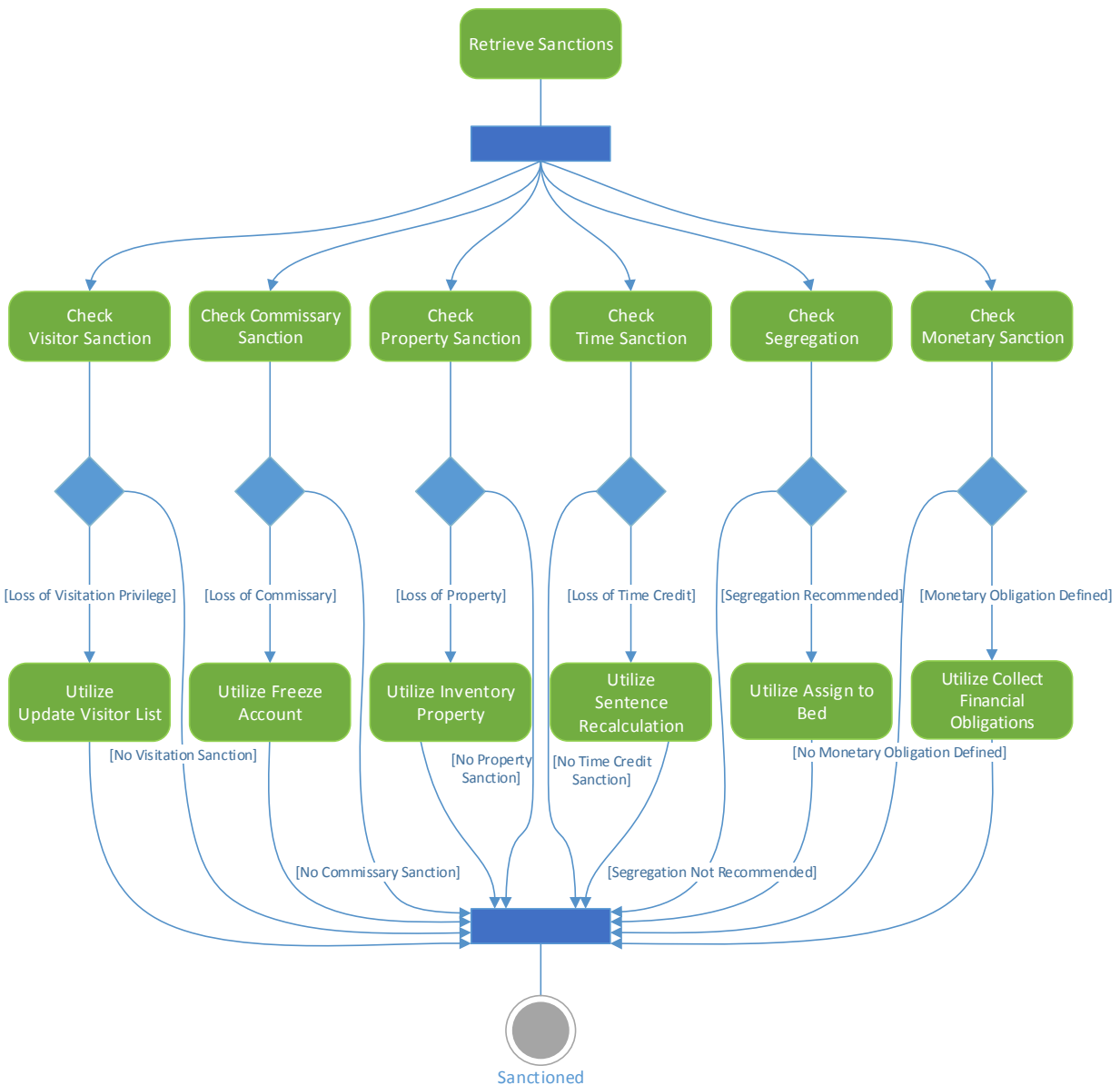


Figure 9: Sanction Activity Diagram

(If Loss of visitation privilege) Utilize Update Visitor List - Once a review process has been completed and it has been approved, the visitor information will be added to the list of approved visitors the offender can receive. When the number of approved visitors on the list exceeds the maximum number allowed, the visitor will be placed on a waiting list until such time the record can be added.

Check Commissary Sanction - When sanctions are ordered a check will be performed to ensure the appropriate sanction is applied. In this instance, if a loss of commissary privileges has been ordered the restriction information for the offender will be communicated, and reflect the sanction and parameters in which it is to be applied.

- Data provided: Sanction Data.

(If loss of commissary) Utilize Freeze Account - An offender's account is frozen and no funds may be disbursed out of the account until the account is released. This may be due to outstanding commitments such as fines, costs, or restitution, or it may be the result of a sanction.

Check Property Sanction - When sanctions are ordered a check will be performed to ensure the appropriate sanction is applied. In this instance, if a loss of property privileges has been ordered the restriction information for the offender will be communicated, and reflect the sanction and parameters in which it is to be applied.

- Data provided: Sanction Data.

Detail
When a property sanction is applied, the inventory process will address loss of property items appropriately, as well as update the inventory record to that an accurate reference of property items is provided.

(If Loss of property) Utilize Inventory Property - Accounting for offender property is an ongoing process during the incarceration period. Offenders are often moving to other living assignments. In most instances, the movement will result in a search of their property to ensure offenders have no contraband items. Intra-facility movement will definitely involve a search of their property, and either listing the items on an inventory form or a check against an existing inventory record. Contraband items will be confiscated and turned over for disposition. If a property record hasn't been produced, one will be in order to begin tracking their property items.

Check Time Sanction - When sanctions are ordered a check will be performed to ensure the appropriate sanction is applied. In this instance, if a loss of earned time has been ordered the sanction information will be communicated with parameters in which it is to be applied.

- Data provided: Sanction Data.

(If Loss of time credit) Utilize Sentence Recalculation - The Records Office will perform periodic reviews of the offender sentence to apply time credits that will affect the projected date of release from incarceration. The receipt of an amended sentence order affecting the original sentence(s) may trigger this function, resulting in a change to the projected date of release.

Check Segregation - When sanctions are ordered a check will be performed to ensure the appropriate sanction is applied. In this instance, if a reassignment of the offender to a living unit with more restrictive controls is ordered the sanction will include parameters in which it is to be applied.

- Data provided: Sanction Data.

(If segregation recommended) Utilize Assign to Bed - To move an offender from one housing unit/cell/bunk to another there is a process for reserving the bed. When the move occurs, regardless of inter or intra facility, the offender must be departed (checked out) from the previous bed assignment upon movement and received as soon as the offender arrives in the assigned bed.

The reservation may be done at the facility or central office level and may be down to the bed and bunk. However, the housing unit reserves the ability to adjust the specific bunk assignment.

The housing unit will display open bunks, as well as any cells in the unit occupied by enemies, co-defendants, and security threat group members by which co-location may violate policy.

Housing is notified of the scheduled move. The offender's property is prepared to move if the move is permanent and the property is allowed at the receiving facility. The offender is checked out or departed from the originating facility by the facility staff. The offender will be shown in transit until arriving at the receiving facility.

Check Monetary Sanction - When sanctions are ordered a check will be performed to ensure the appropriate sanction is applied. In this instance, a monetary obligation may have been defined. If it has the obligation amounts will be specified.

- Data provided: Sanction Data.

(If monetary obligation defined) Utilize Collect Financial Obligations - When a qualified deposit is processed, a portion of the deposit amount will be encumbered to satisfy reparations defined in a sentence order or disciplinary infraction. The sum of encumbrances will be withdrawn from the trust account with the insertion of a single transaction, releasing the encumbrance.

Pre-Condition	Description
None	
Post-Condition	Description
Sanctioned	The application of sanctions that were ordered.

Common Business Functions for Correctional Management Systems



IJIS Institute



Volume 2 – Business Scenarios
Part G – Housing and Bed Management

*Authored by the IJIS Institute and the
Corrections Technology Association*

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1. BUSINESS FUNCTION: HOUSING AND BED MANAGEMENT

Offender Movement within a correctional setting has several levels and variations. One variation is intra-facility movement, which takes place within one particular facility or complex. The other type of movement is inter-facility, which occurs when a distinct or permanent move is made between facilities. This common business function describes the process of moving offenders between facilities that have separate administrators but are within the same department.

The offender movement process is required to facilitate the placement of offenders into appropriate facilities. This placement is based on a number of factors including, but not limited to, classification or risk assessment, program needs, medical needs, and institutional bed space needs. In addition to the actual offender move, the process must track, record, and monitor the location of all individuals under the legal custody of any corrections department. This information can be used to verify the location of any inmate in real time. Hence, inmate accountability to official counts, housing assignments, program/work participation, visitation, food service, recreation, and external movement can be verified. Outside agencies, inmate families, legal representatives, the media, and the general public all have interests in the inmate movement system with regard to verification of an inmate's assignment or location.

Housing Bed Management Use Case Diagram

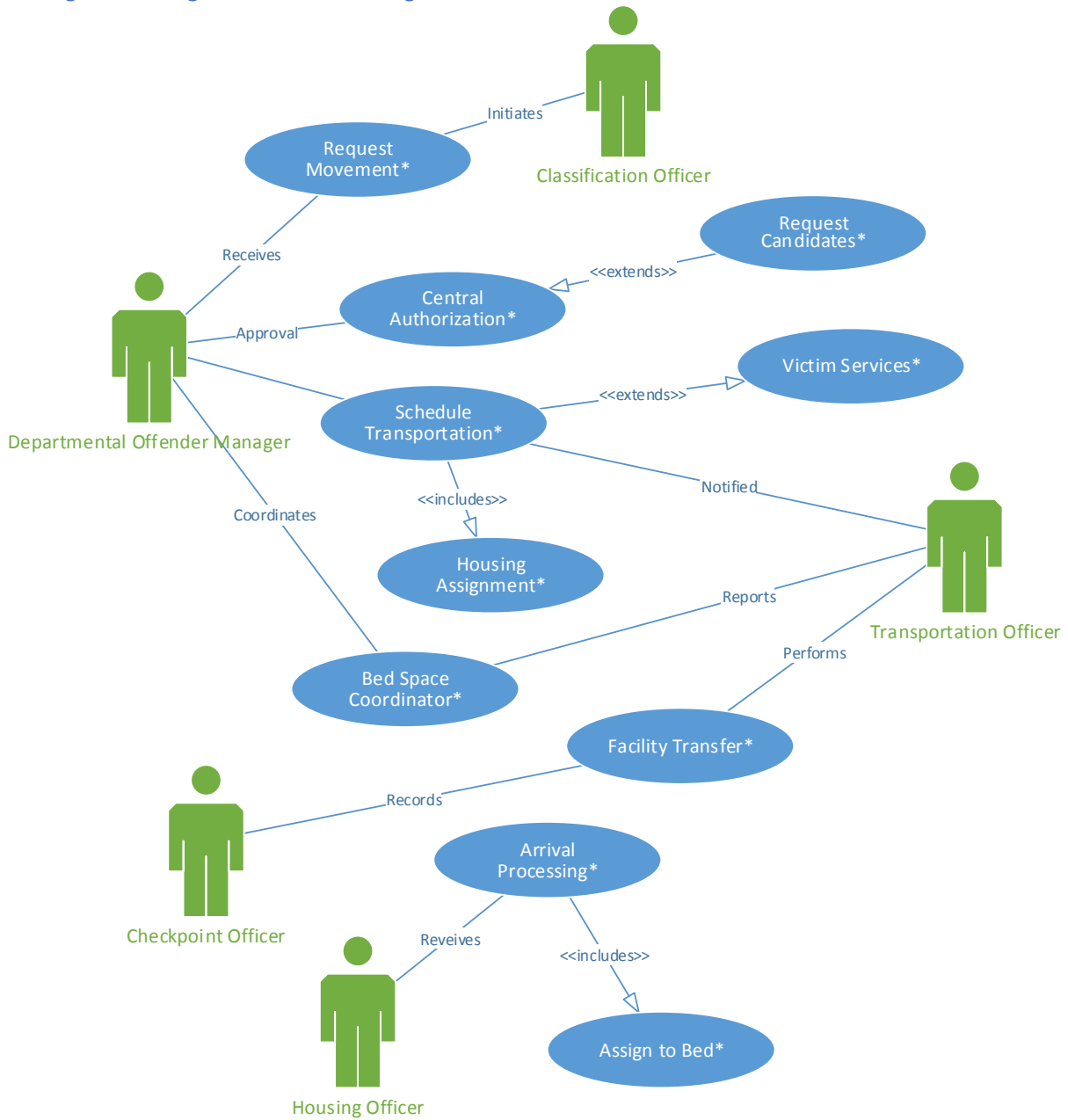


Figure 1: Housing and Bed Management Use Case Diagram

1.1 Use Case Specification: Request Movement

Movement between facilities requires central authorization. The process of initiating the movement of an offender to another facility often begins with the facility where the offender is currently assigned. The request usually is automatic as a result of classification to another custody level, or it may be a special request due to medical, security risk (enemies, gangs), or other extenuating circumstances.

Associated Actor	Relationship	Description
Classification Officer	Initiates	
Department Offender Manager	Receives	

Request Movement Activity Diagram

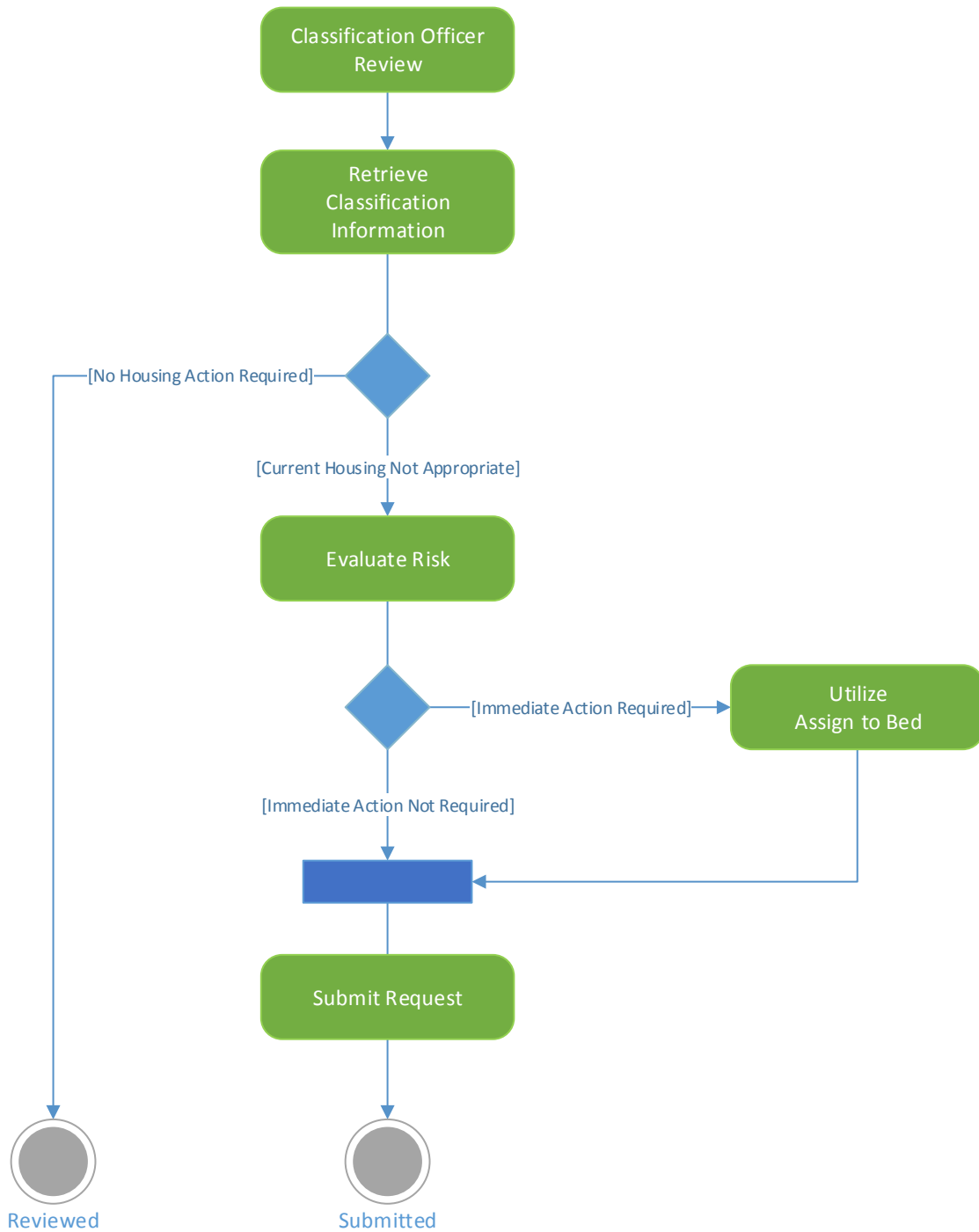


Figure 2: Request Movement Activity Diagram

1.1.1 Flow of Events

Classification Officer Review - There should be an intermediate review process for custody-level recommendations that meet defined business rules. An override request should trigger a review by a classification officer or supervisor. This would result in a recommendation passed to the Facility Classification Board.

Retrieve Classification Information - Retrieve specific offender classification data that may scores and custody levels.

- Data provided: Classification Report.

Detail
The incident initiating movement consideration may be positive or negative. The offender may have been classified, warranting a placement change as an incentive or to a more restrictive environment. The move may be due to a programming need or other issue in the offender's management plan. There will need to be a triggering mechanism after the event based on the specific rule.

(If current housing not appropriate) Evaluate Risk - An incident report must be evaluated to determine the risk level of the situation and what action needs to be taken. The risk would be primarily to the safety of staff and offenders, but also such things as escape risk, and medical risk.

- Data provided: Offender Identifiers, Security Risk Data.

(If immediate action required) Utilize Assign to Bed - To move an offender from one housing unit/cell/bunk to another there is a process for reserving the bed. When the move occurs, regardless of inter or intra facility, the offender must be departed (checked out) from the previous bed assignment upon movement and received as soon as the offender arrives in the assigned bed.

The reservation may be done at the facility or central office level and may be down to the bed and bunk. However, the housing unit reserves the ability to adjust the specific bunk assignment.

The housing unit will display open bunks, as well as any cells in the unit occupied by enemies, co-defendants, and security threat group members by which co-location may violate policy.

Housing is notified of the scheduled move. The offender's property is prepared to move if the move is permanent and the property is allowed at the receiving facility. The offender is checked out or departed from the originating facility by the facility staff. The offender will be shown in transit until arriving at the receiving facility.

- Data provided: Offender Identifiers, Security Risk Data, Bed Status.

Submit Request - A formal request is submitted to initiate an action or omission. It assumes the request will be documented, and will require a review process that will result in either an authorization or denial of the action or omission.

Pre-Condition	Description
None	
Post-Condition	Description
Reviewed	Staff review of past behavior or conditions in respect to future action.

Submitted	Any instance whereby a document is prepared or a verbal communication is issued, and is offered for consideration, study, or decision.
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1.2 Use Case Specification: Request Candidates

Due to bed management needs, the central offender management may request candidates for movement. Often this will be from higher custody to potential lower custody. The facility case managers will be required to review the custody status of offenders on their caseload. Offenders meeting the threshold will be submitted back to central offender management for review.

Request Candidates Activity Diagram

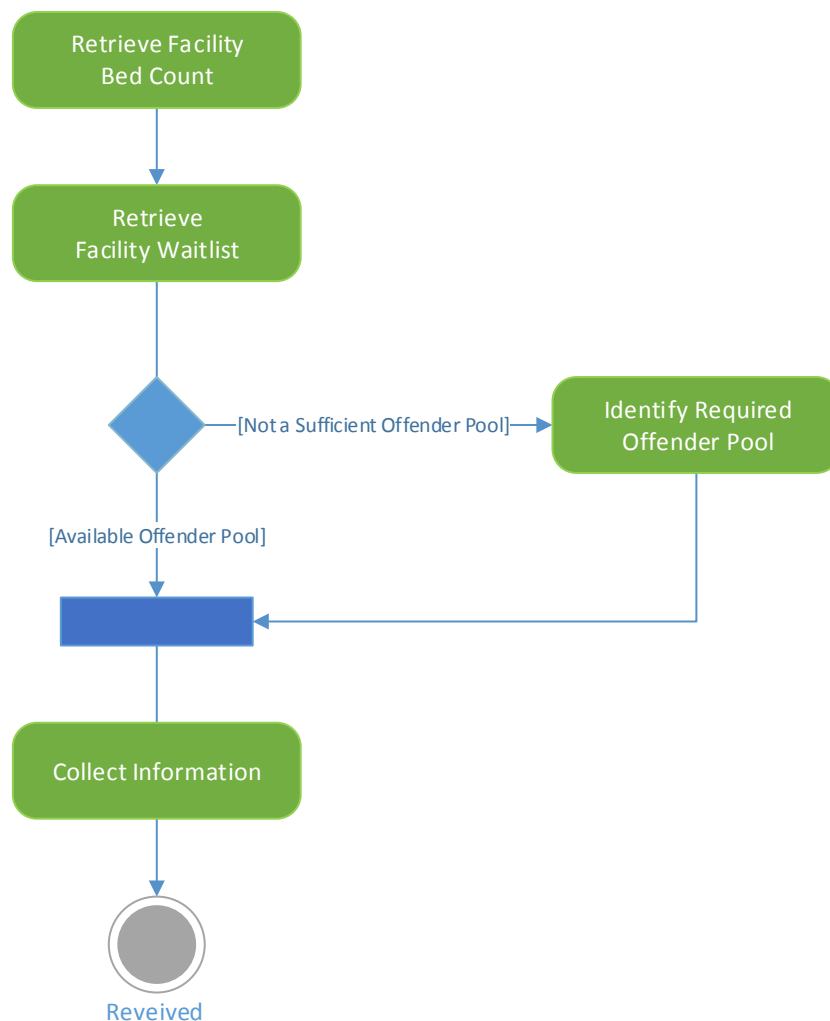


Figure 3: Request Candidates Activity Diagram

1.2.1 Flow of Events

Retrieve Facility Bed Count - Facilities will have a current capacity figure, as well as a current count. The two numbers will derive an available bed number.

- Data provided: Available Beds, Facility Capacity, Facility Count.

Retrieve Facility Waitlist - Offenders are placed on facility waitlists, based on custody level and other identified needs and risks. The list must be available for retrieval by facility, or other appropriate selection criteria.

- Data provided: Offender Profile Data, Offender Identifiers, Custody Level, Medical Care, Need Levels.

(If not a sufficient offender pool) Identify Required Offender Pool - Identify the custody level and other risk factors required for the gathering of a specific pool of offenders. This pool description may be used to acquire a specific set of offenders or identify to others the type of offender pool desired.

- Data provided: Offender Profile Data, Offender Identifiers, Custody Level, Medical Care, Need Levels.

Collect Information - Information will be collected from one or more sources, in various forms such as self-reported, visual or observed, and documented information.

Pre-Condition	Description
None	
Post-Condition	Description
Received	To take control or possession of something.

1.3 Use Case Specification: Central Authorization

Central Authorization is the review of all actions on behalf of the corrections department where policy dictates a decision is to be made at a level above that of the facility administration. Review examples include approval of offender classification, inter- facility movement, and facility assignments.

The facility staff may submit their recommendations for classification and movement to the central offender management office. The offender's classification information will be reviewed; this review may include:

- Victim Information
- Sex Offender Information
- Movement History
- Legal Issues - Warrants, Detainment Orders, Fines Outstanding, Pending Charges
- Probation/INS
- Security -Escape, Disciplinary, STG, Segregation Units
- Enemies/Codefendants
- Medical/Mental Health Restrictions
- Suicide Attempts
- Official Version of the Offense
- Criminal History by Categories

- Totals by Crime Type
- Risk Reduction Plan
- Academic Degrees
- Vocational Trades
- Family Information
- Incarceration Summary (notes from case manager to include program involvement i.e., response to risk reduction plan)

Central Authorization Activity Diagram

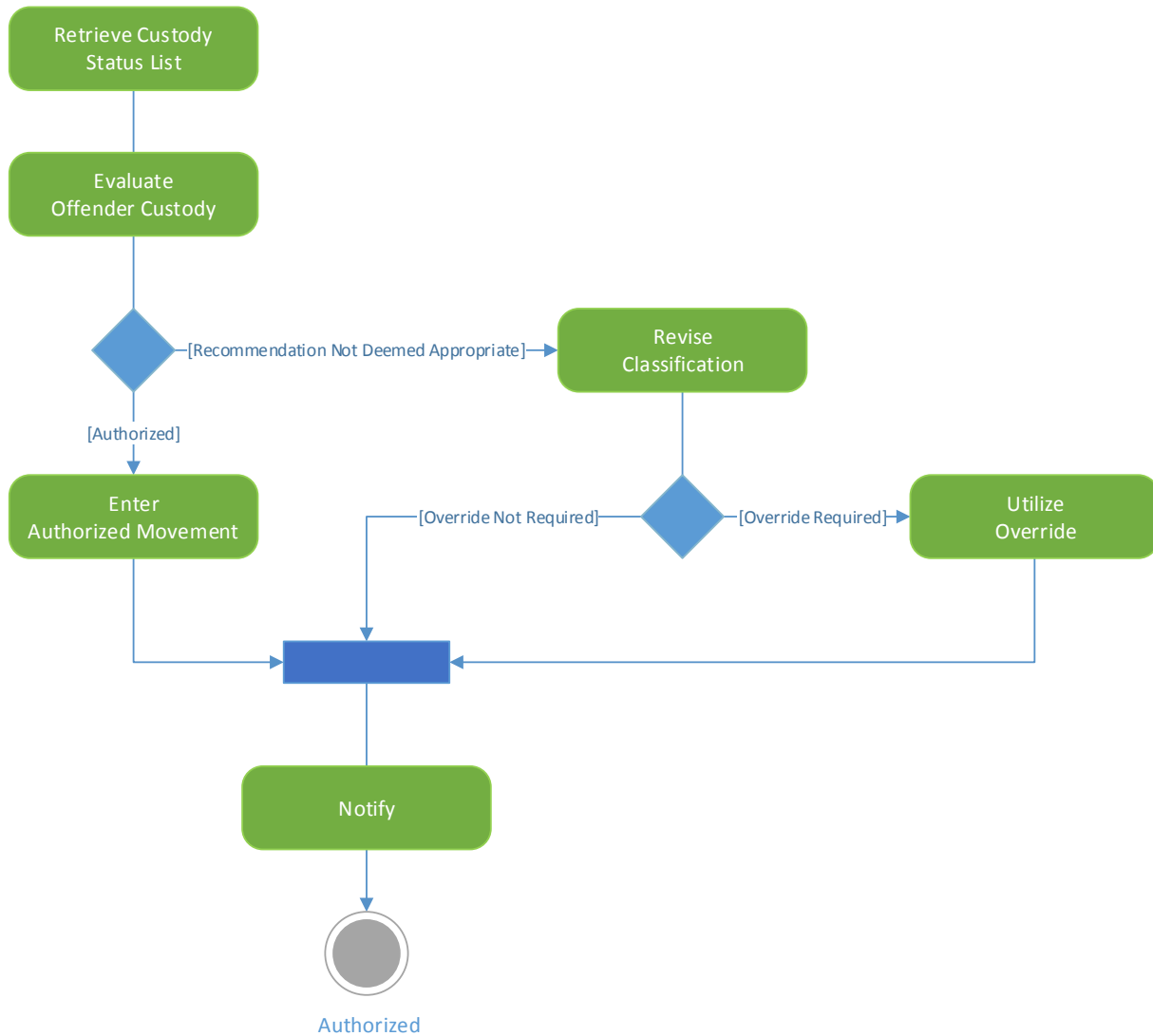


Figure 4: Central Authorization Activity Diagram

Associated Actor	Relationship	Description
Departmental Offender Manager	Approval	Movement out of reception may be controlled by the reception facility, with coordination through offender management.

1.3.1 Flow of Events

Retrieve Custody Status List - A classification tracking list is generated for offenders scheduled at a pre-set time for consideration, either through routine time requirements, or due to prescribed aggravating or mitigating factors. The offenders may be in various stages of consideration, and the list will provide offenders relevant to the staff person's role and the stage they are interested in viewing.

- Data provided: Classification Decisions, Classification Report.

Evaluate Offender Custody - The recommended classification coming out of the facility has a second step or review through central offender management. The offender classification is often only reviewed if it involves a change in classification, which would result in a move between custody levels. The information available to the facility is also available to the central office staff upon demand. Summaries of all the previous actions and facility board recommendations accompany the information.

- Data provided: Classification Decisions, Classification Change Reason.
- Alternative Flows:

Detail
Not all movement is based on classification change and, conversely, not all classification change requires a move as some facilities can handle multiple custody levels. Central offender management may not become involved in classification unless movement is an issue.

(If authorized) Enter Authorized Movement - A request for movement will have been evaluated and upon approval flagged as approved. The approved candidate will then be available for placement on a transportation waiting list.

- Data provided: Classification Decisions, Authorized Moves.

(If recommendation not deemed appropriate) Revise Classification - At a review step, the reviewing authority has the option to revise the recommended classification level. This revision may be based on the offender's situation and/or institutional needs. The offender's situation may have changed since the recommendation and the reviewing authority will need to have this information available. The change reasons will be documented.

- Data provided: Classification Decisions, Classification Change Reason,.

(If override required) Utilize Override - Instances where is determined that a custody level score is inappropriate a variance is requested. This allows for discretion on the part of the system to adjust for information that is contrary to the individual factor scores.

This request is referred to in most jurisdictions as an override. Some of the reasons for override consideration are prior supervision history, medical status, cases that have been reduced by plea agreement but the affidavit clearly reflects a higher level may be warranted, or those cases that are listed but non-violent are not in need of mandatory needs reducing programs. If sufficient justification is determined, a variance to the scored level is approved, otherwise the custody level resulting from the original score is sustained.

- Data provided: Classification Decisions, Classification Change Reason, Override Reason.

Notify - The notification activity produces and disseminates appropriate information for the purpose of making staff aware of an event and/or initiating action. The staff needing to know must have been identified for each event.

Pre-Condition	Description
None	
Post-Condition	Description
Authorized	The formal approval given by an individual in authority.

1.4 Use Case Specification: Schedule Transportation

Transportation reasons include but are not limited to court hearings, outside medical appointments, and inter-facility transport. In the case of inter-facility movement, after the facility that best meets the system and offender's needs has been selected, the offender is scheduled to move through central transportation. This could involve the assignment of offender to a waiting list for facility transfer.

Date of transport is based on the most efficient routing and combinations of other transportation needs. The central offender management primarily uses a status board to compile information on the status of bed availability.

A notification process may be initiated when an offender is scheduled for transfer to a specified location, or to a facility with reduced security safeguards.

Associated Actor	Relationship	Description
Departmental Offender Manager		
Transportation Officer	Notified	

Schedule Transportation Activity Diagram

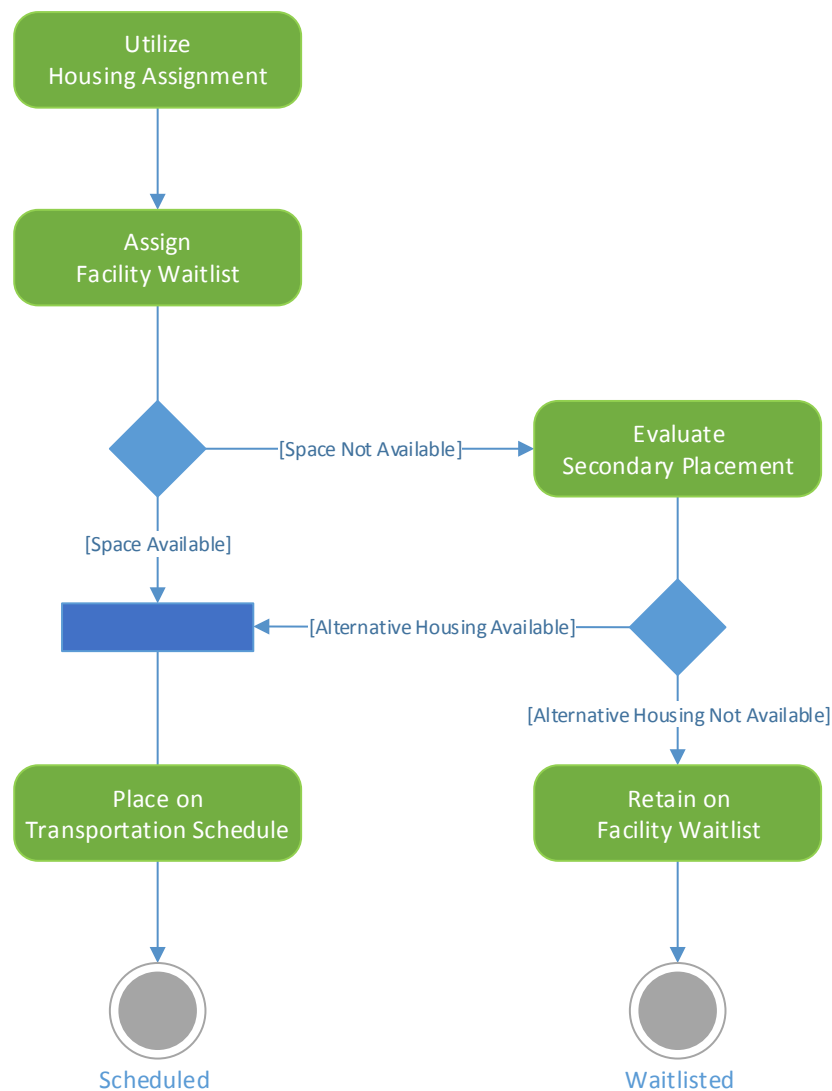


Figure 5: Schedule Transportation Activity Diagram

1.4.1 Flow of Events

Utilize Housing Assignment - The process of determining facility and housing unit assignment which involves classification, reentry needs, medical needs, mental health, and separation issues (to avoid individual offender confrontations due to family relations, STG). Movement history is a consideration, as well as visitation information. ADA will also factor in assignment decisions.

- Data provided: Offender Identifiers, Facility Type, Facility Identifier.

Assign Facility Waitlist - Priority assignment to appropriate facility waitlist based on offender custody level – offender security risk, program needs – to mitigate the risk for re-offending, and institutional

needs. The waitlist may be for several facilities identified by priority. The waitlist may also be a pool of offenders eligible for various placements.

The bed pool is system wide, which includes the attributes for a given offender.

- Data provided: Facility Type, Facility Identifier, Bed Status, Offender Identifiers.
- Alternative Flows:

Detail
A secondary placement pool may be used for facility movement. This may not be used and the offender may remain on a waiting list for the primary assignment until bed space is available.

(If space not available) Evaluate Secondary Placement - An offender may be in a pool or waitlist for an optimum facility placement based on institutional and offender needs. The need may arise to move the offender to a secondary placement. The secondary facility will be evaluated and may be deemed appropriate. The demand between bed space requirements and offender needs may be balanced through the mechanism to manage alternative placements.

- Alternative Flows:

Detail
The waiting list may have alternative placement facilities, if all other criteria can be met.

Place on Transportation Schedule - Add an offender to a scheduled transportation out of the facility, yet maintain custody and control at the current facility until actual transportation.

(If alternative housing not available) Retain on Facility Waitlist - A bed is available which matches the waitlist the offender was placed on, however for various reasons the specific facility is not deemed appropriate. The reason would be logged and the offender would remain on the waitlist, but now excluding the facility in question.

Pre-Condition	Description
None	
Post-Condition	Description
Waitlisted	Instances when an offender is added to a waiting list pending facility transfer, availability, or other factors related to acceptance or assignment to an activity.
Scheduled	The assignment to an event schedule.

1.5 Use Case Specification: Victim Services

The correctional department/agency in most jurisdictions will provide victims or appropriate individuals or entities who make a request, receive a formal notification when specific events take place while an offender is on community supervision or incarcerated in a facility. Victim information is kept confidential and maintained in a secured record.

Specific events include assignment to the offender’s current prison location, transfers from one prison location to another, release date of offender, change of name of offender, escape and recapture, parole eligibility date, parole interview date, and a parole board decision.

The notification process first requires the individual requesting to receive notification to register with the correctional department/agency, providing necessary contact information as well as identification information of the offender to be traced. Policies and procedures vary greatly by jurisdiction.

Victim Services Activity Diagram

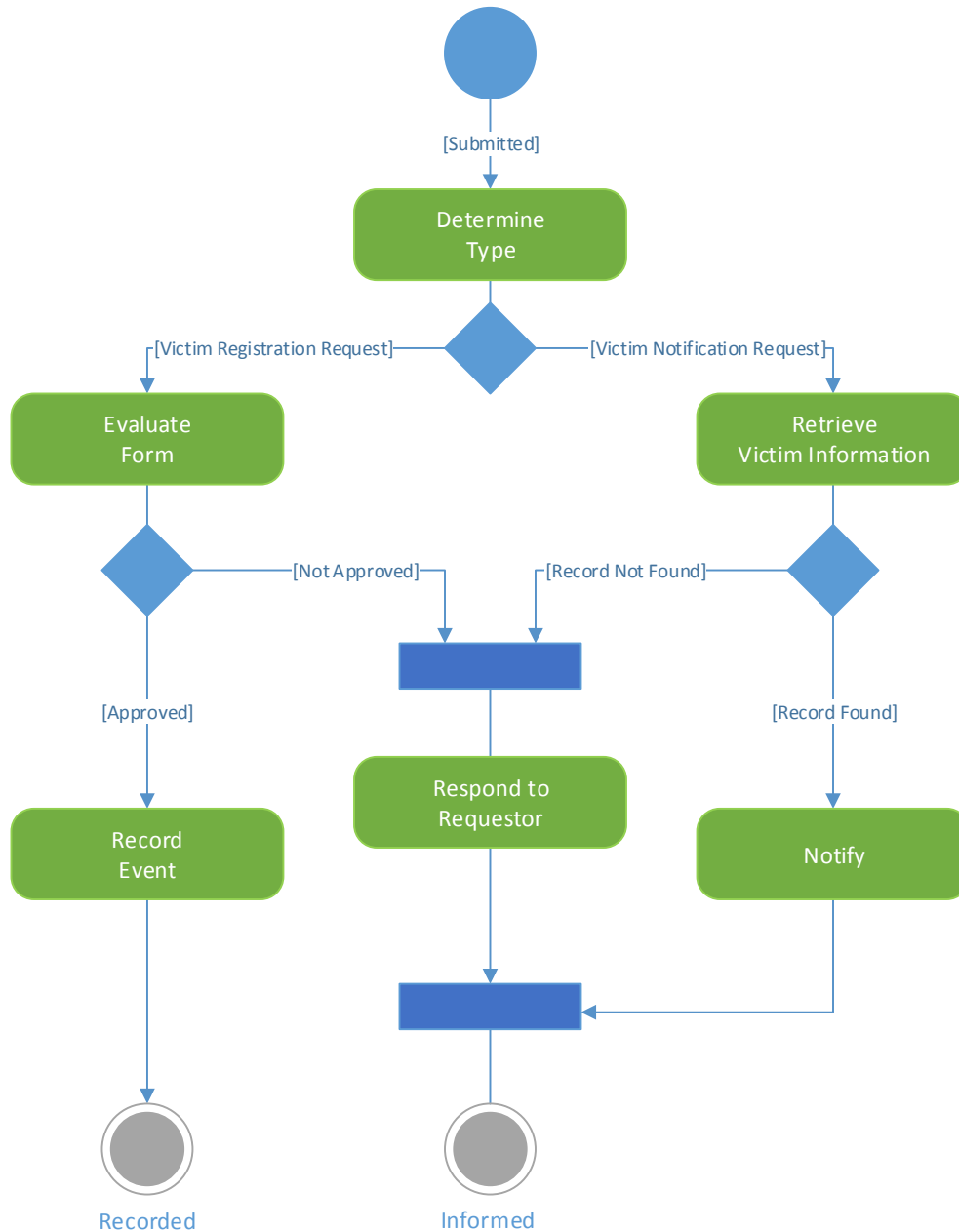


Figure 6: Victim Services Activity Diagram

1.5.1 Flow of Events

Determine Type - Used to evaluate the type of activity, such as movement outside of the facility for a day trip, or intra-facility movement such as medical appointment, work assignment, program activity, etc.

- Data provided: Offender Identifiers, Victim Identifiers.

(If victim registration request) Evaluate Form - The act of reviewing a form for required information resulting in a determination.

- Data provided: Victim Registration Information.

(If Approved) Record Event - The creation of an entry for an event or outcome containing essential information for future retrieval and use by correctional staff.

(If victim notification request) Retrieve Victim Registration - Using key identifiers the victim registration information that has been submitted and filed with the correctional department/agency is retrieved for processing.

- Data provided: Victim Registration Information.

Detail
In this transition, the originator of the request receives a response to communicate that no information had been found pertaining to the inquiry.

Respond to Requestor - Any time a response is appropriate either a document is developed and sent, and/or a verbal communication is performed to provide a requestor with information regarding their request.

(If record found) Notify - The notification activity produces and disseminates appropriate information for the purpose of making staff aware of an event and/or initiating action.

The staff needing to know must have been identified for each event.

Pre-Condition	Description
Submitted	Any instance whereby a document is prepared or a verbal communication is issued, and is offered for consideration, study, or decision.
Post-Condition	Description
Recorded	The result of compiling information and documenting results in a repository for future retrieval and reference.
Informed	Any instance where an individual receives communication of any form for the purpose of informing.

1.6 Use Case Specification: Housing Assignment

The process of determining facility and housing unit assignment which involves classification, reentry needs, medical needs, mental health, and separation issues (to avoid individual offender confrontations due to family relations, STG). Movement history is a consideration, as well as visitation information. ADA will also factor in assignment decisions.

Housing Assignment Activity Diagram

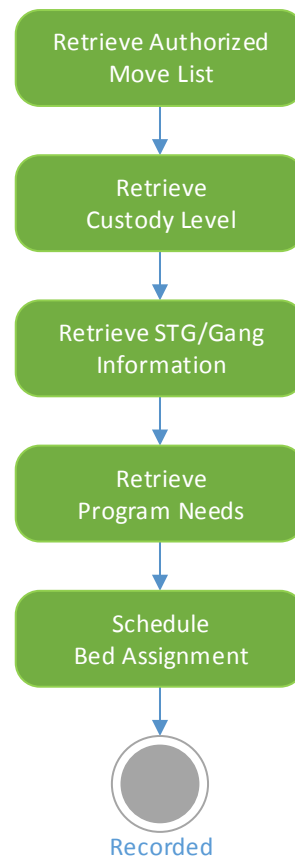


Figure 7: Housing Assignment Activity Diagram

1.6.1 Flow of Events

Retrieve Authorized Move List - Candidates for facility transfers are flagged as having been approved by the appropriate authority. The authority may vary depending on the type of anticipated move. Offenders flagged as authorized can be retrieved at any time for the purposes of identifying the appropriate placement.

- Data provided: Authorized Moves.

Retrieve Custody Level - A custody level is assigned to every offender; this has been derived through the classification process. The custody level reflects the offender's security risks. The custody level will be retrieved when decisions are required which take security risk into consideration.

- Data provided: Classification Report.

Retrieve STG Information - Information regarding security threat group affiliation will be obtained from available sources in order to determine if appropriate notifications should be made.

- Data provided: STG Affiliation Information.

Retrieve Program Needs - To begin a process where program needs are considered the assessment information is retrieved from the record storage location. This action requires offender identifiers be used to obtain the assessment information for a specified offender.

- Data provided: Program Needs Data.

Schedule Bed Assignment - When a move is imminent, a move is scheduled into the housing unit and optionally the cell and bunk. The offender may still be assigned to a current bed that will soon be departed or may be in a temporary status. The scheduling holds the bed until it is assigned or released. In the case of inter-facility movement this only denotes a preference, and is not intended to hold a bed in reserve. Specific beds will be reserved for offenders with special needs.

- Data provided: Housing Preference.

Pre-Condition	Description
None	
Post-Condition	Description
Recorded	The result of compiling information and documenting results in a repository for future retrieval and reference.

1.7 Use Case Specification: Bed Space Coordination

The reconciliation of bed space with actual transportation must be managed. This is a real time process ensuring beds are not under filled or over filled. The movement of offenders between facilities is scheduled in advance, and as this is a complicated process (one offender in requires one offender out). The purpose is to maintain optimum capacity levels, while keeping the transportation process efficient.

Associated Actor	Relationship	Description
Departmental Offender Manager	Coordinates	
Transportation Officer	Reports	

Bed Space Coordination Activity Diagram

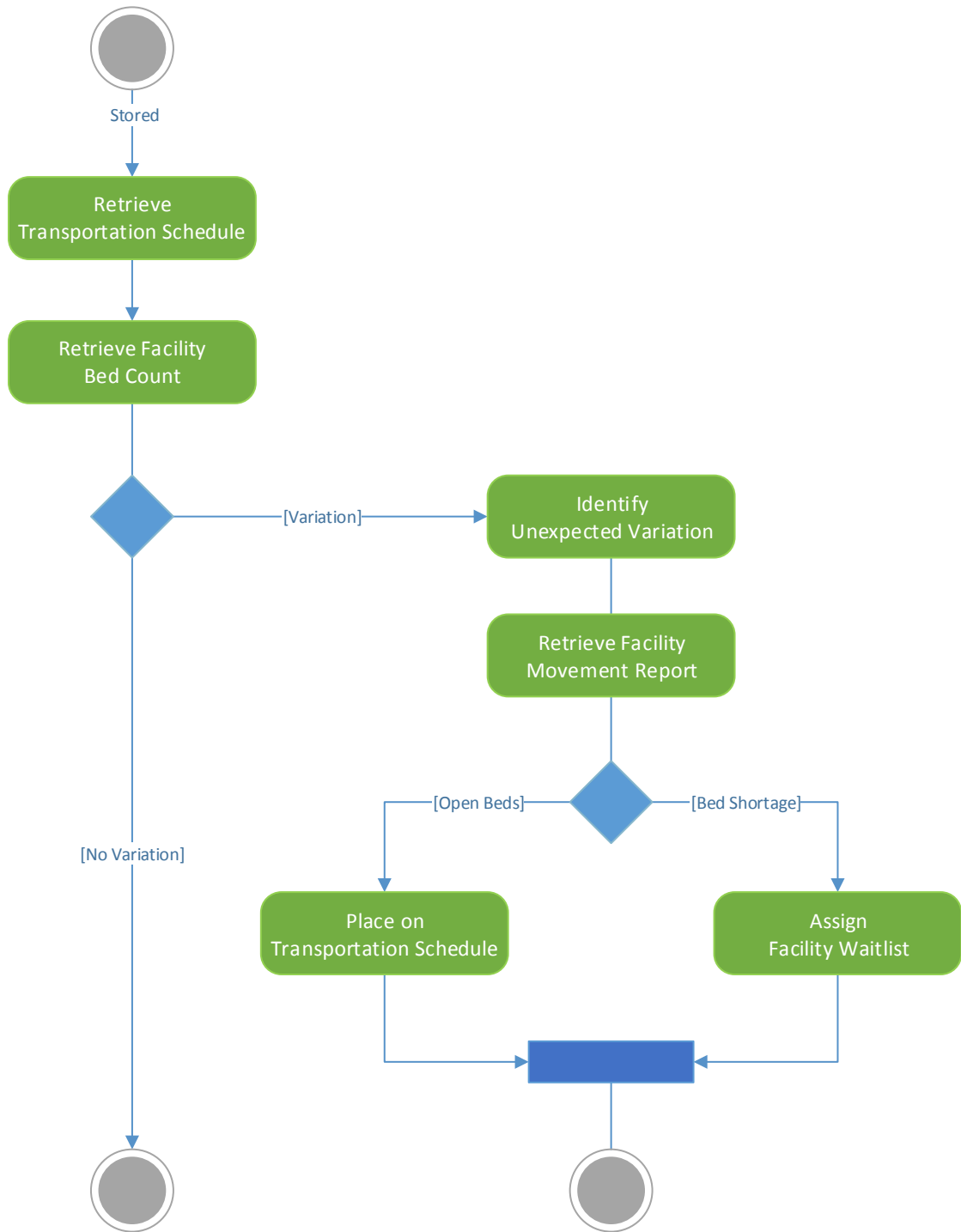


Figure 8: Bed Space Coordination Activity Diagram

1.7.1 Flow of Events

Retrieve Transportation Schedule - Transportation may be scheduled days in advance, a schedule should be available for each day of scheduled transports. It should indicate the numbers of offenders expected in and out of each facility, as well as the identifiers of each offender if needed.

- Alternative Flows:

Detail
The reception facility may not know exactly how many offenders are coming in from county jail, parole violations, or probation revocations on any given day. Often they anticipate a maximum and plan for that number.

Retrieve Facility Bed Count - Facilities will have a current capacity figure, as well as a current count. The two numbers will derive an available bed number.

(If variation) Identify Unexpected Variation - If there is a variation in expected open bed space in a facility, this variation must be identified. The variation might be due to release activity, segregation, or a change in the number of physical beds available.

Retrieve Facility Movement Report - The retrieval of all the moves that took place into and out of a facility in a given time period. Indicating what beds are available for occupancy

(If open beds) Place on Transportation Schedule - Add an offender to a scheduled transportation out of the facility, yet maintain custody and control at the current facility until actual transportation.

(If bed shortage) Assign Facility Waitlist - Priority assignment to appropriate facility waitlist based on offender custody level - offender security risk, program needs - to mitigate the risk for re-offending, and institutional needs. The waitlist may be for several facilities identified by priority. The waitlist may also be a pool of offenders eligible for various placements. The bed pool is system wide, which includes the attributes for a given offender.

Pre-Condition	Description
Stored	Property items will be stored in secured locations until the owner takes possession.
Post-Condition	Description
Scheduled	The assignment to an event schedule.
Re-scheduled	The assignment to an event schedule after a previous scheduled for the same event has been removed.

1.8 Use Case Specification: Facility Transfer

Housing is notified of the scheduled move. The offender's property is prepared to move if the move is permanent and the property is allowed at the receiving facility. The offender is checked out or departed from the originating facility by the facility staff. The offender will be shown in transit until arriving at the receiving facility.

Depending on the routing of the offender transportation it is possible an offender may temporarily stay overnight in a mid-way facility. The offender would be received in a temporary status, still showing the permanent receiving facility as scheduled.

Facility Transfer Activity Diagram

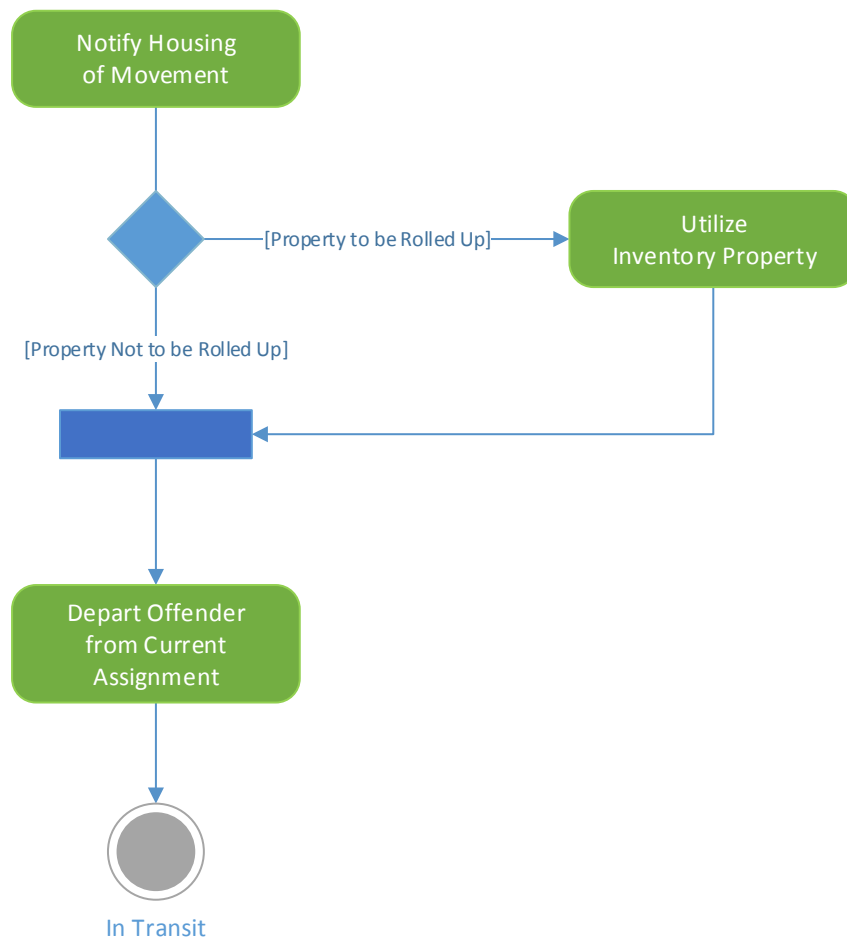


Figure 9: Facility Transfer Activity Diagram

Associated Actor	Relationship	Description
Checkpoint Officer	Records	
Transportation Officer	Performs	

1.8.1 Flow of Events

Notify Housing of Movement - The facility the offender is leaving from will be notified regarding any upcoming transport. The facility will be sent information specifying the date, time, and any property information, which would help the facility prepare for the move.

- Data provided: Property Disposition Order.

(If property to be rolled up) Utilize Inventory Property - Accounting for offender property is an ongoing process during the incarceration period. Offenders are often moving to other living assignments. In most instances the movement will result in a search of their property to insure they have no contraband items. Intra-facility movement will definitely involve a search of their property, and either listing the items on an inventory form or a check against an existing inventory record. Contraband items will be confiscated and turned over for disposition. If a property record hasn't been produced, one will be in order to begin tracking their property items.

- Data provided: Property Identifiers.

Depart Offender from Current Assignment - When an offender physically leaves a facility, housing unit, or cell to transfer to another housing assignment, the offender is departed from the current assignment. This will release the bed, and will take the offender off of the count for the unit and or facility. The offender will be in unassigned or transit status until received.

Pre-Condition	Description
None	
Post-Condition	Description
In Transit	In a mobile status.

1.9 Use Case Specification: Arrival Processing

Processes associated with the arrival of the offender at the correctional department/agency, including identification processing, receipt and initial inventory of property, clothing issuance, and living assignments.

Associated Actor	Relationship	Description
Housing Officer	Receives	

- Special Requirements:

Special Requirement	Description
ACA Standard: Transfer of Records 4-4096 Transfer of Records	<p>Written policy, procedure, and practice provide that an updated case file for any inmate transferred from one institution to another is transferred simultaneously, or, at the latest, within 72 hours.</p> <p>Comment: Continuity of correctional programming for inmates transferred from other institutions requires that staff have the benefit of a complete cumulative case record as soon as possible. The same policy and procedure should apply to the transfer of medical files.</p>

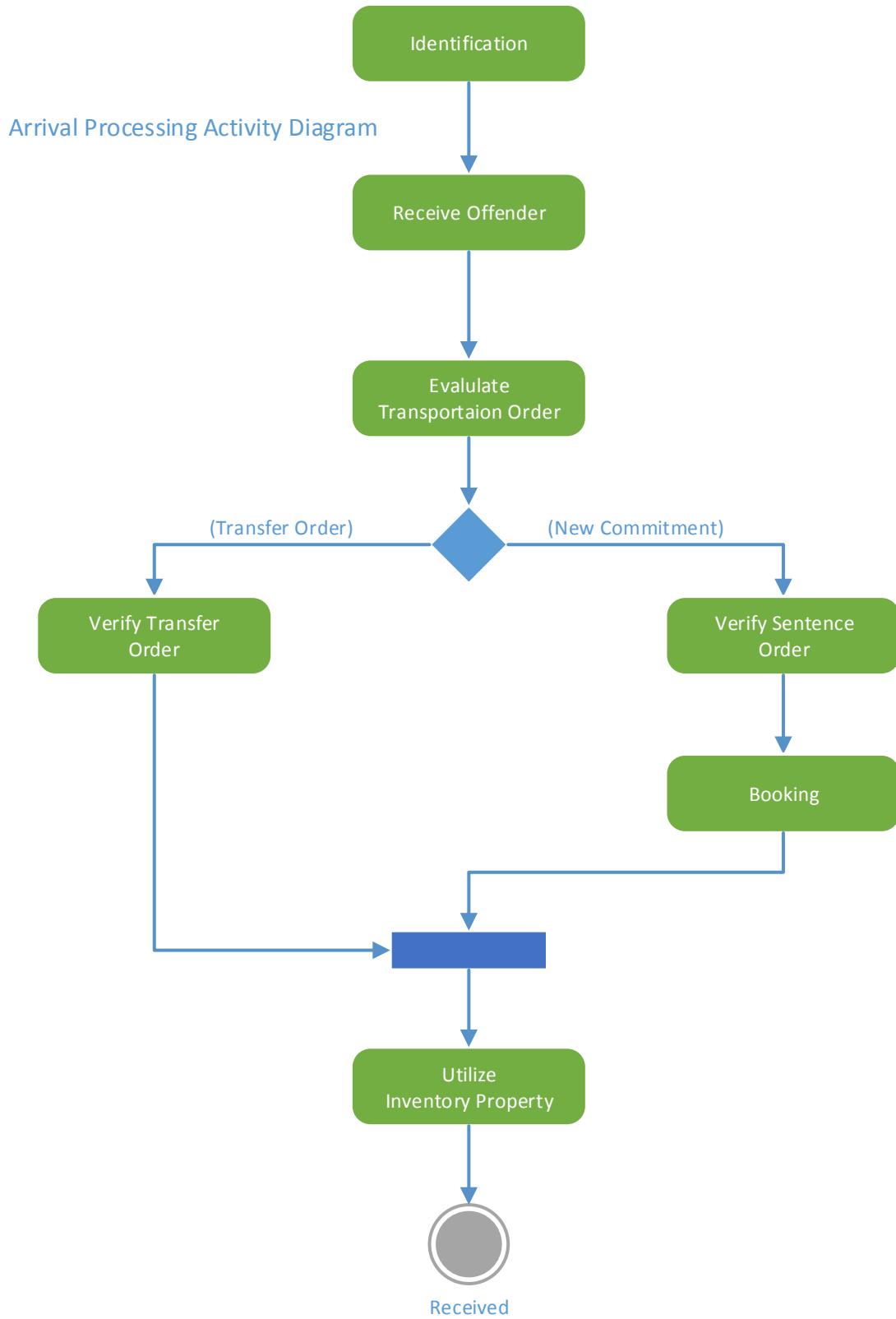


Figure 10: Arrival Processing Activity Diagram

1.9.1 Flow of Events

Identification - Staff validates the identification of an individual using with appropriate documentation such as sentencing order with demographics. This process may include the matching of pre-existing records with the individual to associate historical commitment information with a new incarceration.

- Data provided: Demographic Characteristics.

Receive Offender - An offender is received into a facility from a correctional facility, county jail, or other external jurisdiction. The offender will be immediately placed on the facility count, but may not yet have a bed assignment. An offender may also be shown on temporary status, if the facility is only a temporary stop on the way to a permanent facility assignment.

- Data provided: Facility Count, Offender Profile Data.
- Special Requirements:

Special Requirement	Description
ASCA Performance Measures: Contextual Information Offender Profile Context Indicator IV.3.a Demographics	Demographics of the prisoner population on June 30 by gender, age category, and race/ethnicity adjusted for the number of prisoners held by the agency on June 30 and reported as a percentage.

Evaluate Transportation Order - When the offender is transported, there will be supporting documentation that provides authorization and instructions regarding the transport. In instances where the offender is undergoing an inter-facility transfer, there will be a transfer order document. In instances where an offender is received by the sentencing agency, there will be a sentencing order document received to support the incarceration.

(If Transfer Order) Verify Transfer Order - This will include inter-facility transfers, parole/community returns, and returns from temporary custody with other agencies, where a transfer order is required to accept the offender into the facility.

- Data provided: Transfer Date, Transportation Voucher, Facility Identifier.

(If new commitment) Verify Sentence Order - New commitment and sentence orders are verified to ensure the correct individual has been sent to the department/agency for the correct reasons.

- Data provided: Sentences Imposed.

Booking - The initial processing of all offenders to include photograph, fingerprinting, documenting physical characteristics including scars, marks and tattoos. The fingerprints may be live-scanned sending them directly to the state AFIS for immediate positive identification. The repository may return a criminal history RAP sheet upon receiving the prints.

- Data provided: Offender Identifiers, Criminal History, Conviction Offenses.
- Special Requirements:

Special Requirement	Description
ASCA Performance Measures: Contextual Information Offender Profile Context Indicator IV.2.a	Number of prisoners serving a sentence for a Part I violent crime, other violent crime, property crime, drug offense, other public order offense, or other crime on June 30 adjusted for the number of prisoners held by the agency on June 30 and reported as a percentage.

Utilize Inventory Property - Accounting for offender property is an ongoing process during the incarceration period. Offenders are often moving to other living assignments. In most instances, the movement will result in a search of their property to ensure they have no contraband items. Intra-facility movement will definitely involve a search of their property, and either listing the items on an inventory form or a check against an existing inventory record. Contraband items will be confiscated and turned over for disposition. If a property record has not been produced, one will be in order to begin tracking their property items.

Pre-Condition	Description
None	
Post-Condition	Description
Received	To take control or possession of something.

1.10 Use Case Specification: Assign to Bed

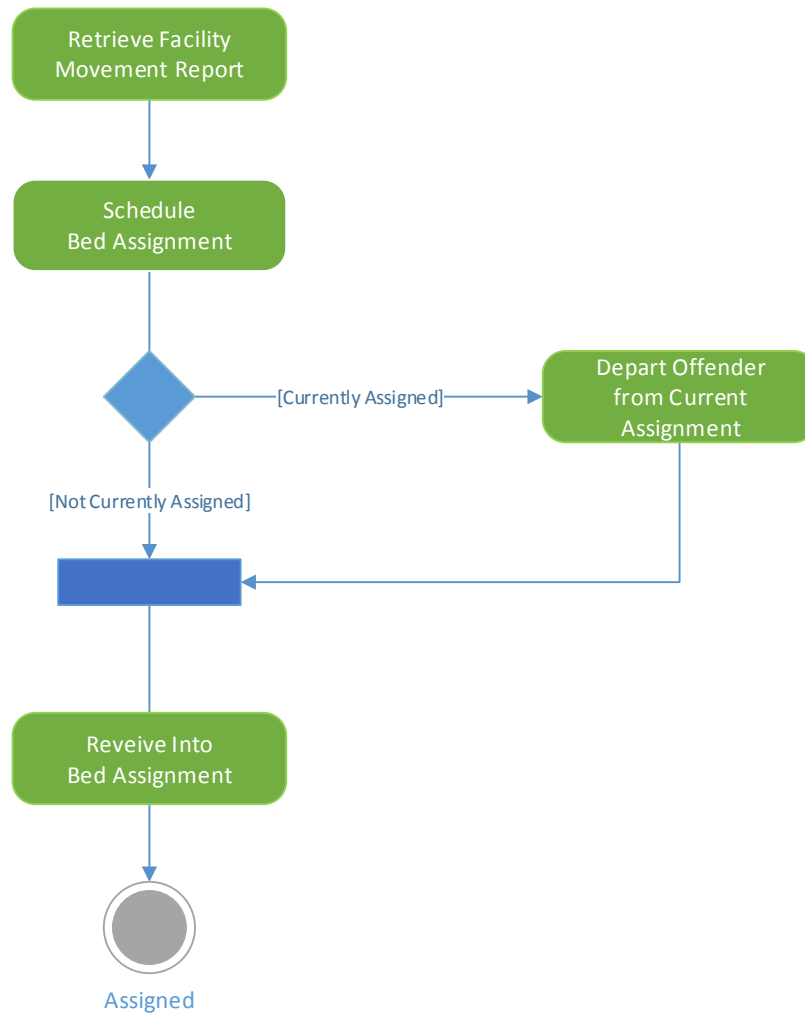
To move an offender from one housing unit/cell/bunk to another there is a process for reserving the bed. When the move occurs, regardless of inter or intra facility, the offender must be departed (checked out) from the previous bed assignment upon movement and received as soon as the offender arrives in the assigned bed.

The reservation may be done at the facility or central office level and may be down to the bed and bunk. However, the housing unit reserves the ability to adjust the specific bunk assignment.

The housing unit will display open bunks, as well as any cells in the unit occupied by enemies, co-defendants, and security threat group members by which co-location may violate policy.

Housing is notified of the scheduled move. The offender's property is prepared to move if the move is permanent and the property is allowed at the receiving facility. The offender is checked out or departed from the originating facility by the facility staff. The offender will be shown in transit until arriving at the receiving facility.

Assign to Bed Activity Diagram

**Figure 11: Assign to Bed Activity Diagram****1.10.1 Flow of Events**

Retrieve Facility Movement Report - The retrieval of all the moves that took place into and out of a facility in a given time period. Indicates what beds are available for occupancy.

- Data provided: Available Beds.
- Special Requirements:

Special Requirement	Description
ACA Standard: Master Index and Daily Reports 4-4104	The institution maintains a daily report on inmate population movement. Comment: The daily report should indicate the number of inmates in the institution and their names, identifying numbers, and housing assignments. Official daily movement sheets should detail the number and types of admissions and releases each day and the count at the close of the day.

Schedule Bed Assignment - When a move is imminent, a move is scheduled into the housing unit and optionally the cell and bunk. The offender may still be assigned to a current bed that will soon be departed or may be in a temporary status. The scheduling holds the bed until it is assigned or released. In the case of inter-facility movement, this only denotes a preference and is not intended to hold a bed in reserve. Specific beds will be reserved for offenders with special needs.

- Data provided: Bed Assignment, Bed Status.

(If currently assigned) Depart Offender from Current Assignment - When an offender physically leaves a facility, housing unit, or cell to transfer to another housing assignment, the offender is departed from the current assignment. This will release the bed, and will take the offender off of the count for the unit and or facility. The offender will be in unassigned or transit status until received.

- Data provided: Bed Status.

Receive into Bed Assignment - Once the offender has physically arrived in the housing unit scheduled to be the permanent assignment, staff receives the offender into the bed assignment placing them immediately on the count for the receiving housing unit, cell, and bunk.

- Data provided: Bed Status, Bed Assignment.

Pre-Condition	Description
None	
Post-Condition	Description
Assigned	Assignment is where a relationship has been established between a staff member and an offender or activities. Examples include enrollment of the offender in an education program or listing an offender on a caseload. In some instances, assignment is the retention of an existing assignment after a review process is performed and the relationship continues as it was prior to the review.

Common Business Functions for Correctional Management Systems



IJIS Institute



Volume 2 – Business Scenarios
Part H – Medical

*Authored by the IJIS Institute and the
Corrections Technology Association*

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1. BUSINESS FUNCTION: MEDICAL

Under current case law, correctional agencies are obligated to provide basic health care – both medical and mental health services – at the same level as the non-incarcerated community. Basic health care includes sick call and routine access to prescribed medications, as well as adequate screening and examinations, emergency care, ambulatory care, infirmary and hospital care, and specialty care. In this package, medical health care includes medical, dental, psychiatric/mental health, and pharmacy services. A health care service in this context is defined as clinical authority whereby all medical, psychiatric, pharmaceutical, and dental matters involve the judgment of a licensed and/or certified Primary Care Provider (PCP). PCPs include physicians, psychiatrists, pharmacists, or dentists. Included in the definition of PCP are professionals, such as nurse practitioners and physicians assistants, as prescribed by applicable laws. Clinical service providers have a statutory responsibility and a clinical responsibility irrespective of their contractual or established state position.

The PCP is required to perform preliminary health screening of the offender upon their arrival at the correctional department/agency, followed up by a full health care examination within a prescribed period, fourteen days, for example, from the arrival date of the offender. The purpose of health screenings and examinations is for preventative health maintenance, early diagnosis and treatment. Instances where screenings identify conditions needing further diagnosis and treatment, offenders are referred or scheduled for services as prescribed. If treatment is warranted, the PCP will prescribe the method and duration of treatment. Treatment includes, but is not limited to, medication, therapy, counseling, or transfer to an appropriate medical facility or PCP specialist.

Following initial admission screening, the first point of contact for the offender involving health services is the housing officer. Offenders will submit a request access via sick call. Offender health care needs will be brought to the attention of the PCP with a referral for services. In such cases, the PCP will conduct a screening or examination based upon their initial assessment of information provided by both the offender and case manager. It is this screening and/or examination process, often referred to as sick call, where the offender obtains access to primary diagnostic services for medical, psychiatric/mental health, and dental.

Pharmacy services are an extension of medical, psychiatric/mental health, and dental services where the dispensing of medical prescriptions is addressed. Oversight of medical prescriptions is provided by these services as it pertains to each area.

Emergency health care service is provided for offenders when and as needs are identified. In some instances, this will be when a PCP identifies a condition warranting emergency treatment during a screening or examination process. There will also be instances when a staff member will initiate an emergency process when, in the course of their duties, a first responder situation is presented.

Medical Use Case Diagram

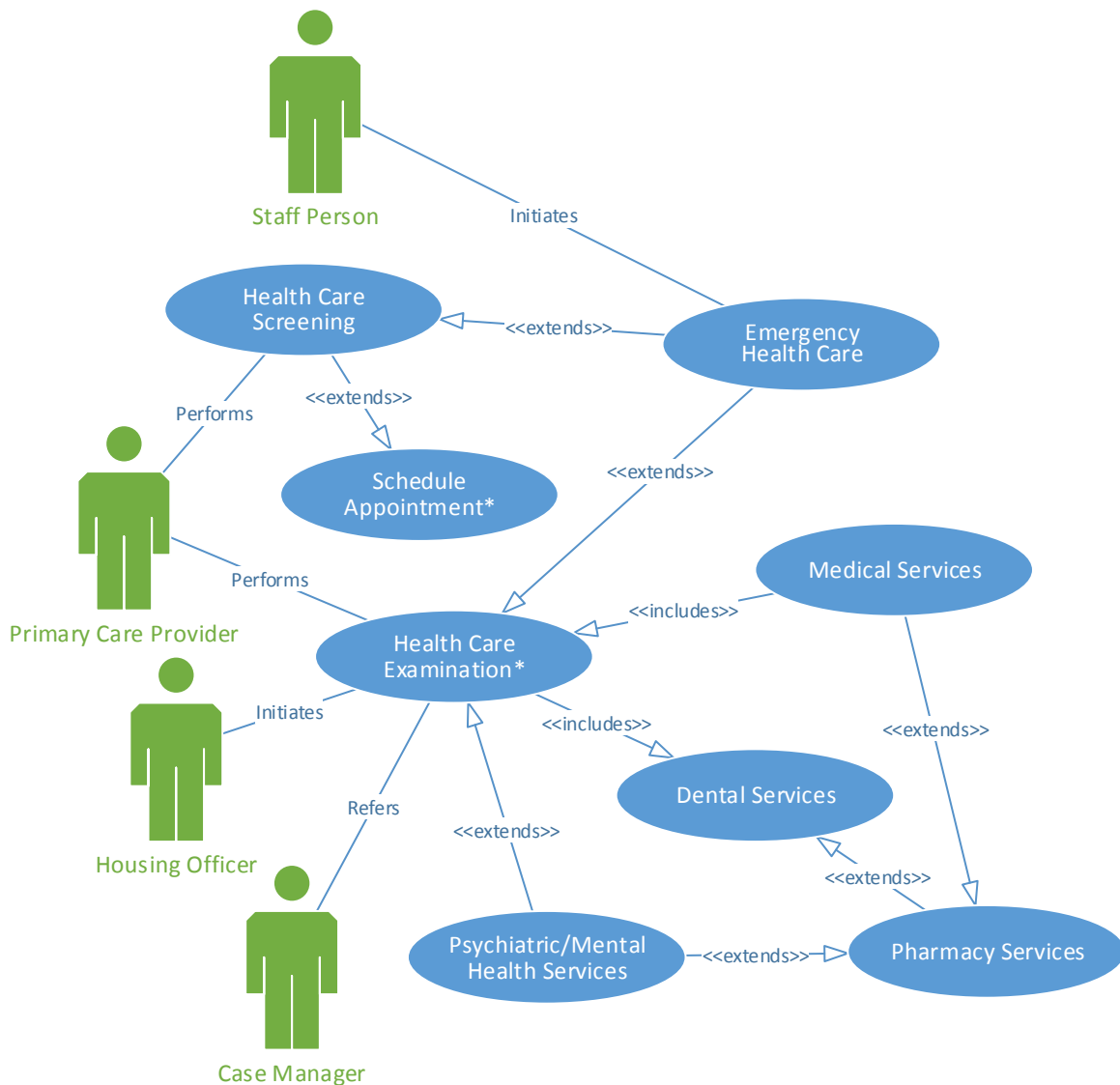


Figure 1: Medical Use Case Diagram

1.1 Use Case Specification: Medical Services

The correctional department/agency provides offenders access to medical services that maintain basic health. Medical services are that which are required for prevention, restoration, and maintenance care for an individual's basic health. Basic health is defined as the physical condition of an individual, who is absent of chronic disease and/or acute illness, that prevents that individual from functioning at his/her appropriate maximum capacity.

A physical examination will be provided to offenders upon incarceration with the correctional department/agency. A medical screening of offenders transferred between correctional facilities will be provided, but not to the extent and detail as noted in the preliminary health care screening process

Medical services are provided to offenders during regularly scheduled sick call whereby the offender can present their health problems. If the custody status of an offender precludes attendance at sick call, arrangements are made to provide this service in the place of detention. Approval or denial of medical service is made by health care professionals.

Medical services will include emergency treatment to be provided in cases that, without treatment, could result in further deterioration of an essential nature of the condition of the offender, or in serious debilitating pain and discomfort in an offender.

Pre-Condition	Description
None	
Post-Condition	Description
None	

1.2 Use Case Specification: Psychiatric/Mental Health Services

The correctional department/agency will provide mental health services that are oriented towards maintenance or improvement of mental health of offenders, contribute to their satisfactory incarceration adjustment, diminish public risk presented by offenders upon release, and aid the correctional department/agency in the maintenance of an environment that preserves the basic human rights and dignity of offenders and correctional staff.

In this use case, psychiatric/mental health services are generally initiated by referral from the case manager or clinical psychologist acting as the first responder. There are instances where the offender can access this service by submitting a form to the housing officer requesting access to the service, or in some facilities, a regularly scheduled sick call process allows for walk-in access. Access is via the sick call procedure. Mental health services include informal and formal evaluations resulting in referrals for psychiatric treatment, sex offender programs, drug and alcohol substance abuse programs, services for offenders with major mental illnesses, programs for social and self-management, and services for the mentally retarded or developmentally-disabled offenders.

In cases where an evaluation results in a referral to psychiatric treatment, a psychiatrist PCP will diagnose and prescribe medications as needed for psychiatric treatment. Psychiatric treatment is to be part of a medical treatment plan managed by medical services.

Psychiatric/mental health services will also respond appropriately to any emergency needs of the offender, and in some instances will the initiate the process.

Pre-Condition	Description
None	
Post-Condition	Description
None	

1.3 Use Case Specification: Emergency Health Care

The correctional department/agency provides 24-hour emergency health care coverage for medical, dental, and mental health care. Emergency health care will consist of onsite as well as off-site services. Onsite services include emergency first aid and crisis intervention. Off-site services include treatment at a designated hospital emergency room or other appropriate health facility. Off-site health care will provide for emergency evacuation of the offender from the facility and provide for security measures when appropriate.

Emergency health care treatment may be determined by a PCP during routine screening or examinations, or may be initiated by a staff member as a result of their assessment of offender needs stemming from injuries or other related circumstances in the role of first responder.

Associated Actor	Relationship	Description
Staff Person	Initiates	

Pre-Condition	Description
None	
Post-Condition	Description
None	

1.4 Use Case Specification: Pharmacy Services

It is the responsibility of the corrections department/agency to ensure offenders have adequate access to pharmacy services. A licensed pharmacist PCP is responsible for the overall operation of pharmacy services which include procedures for receipt, storage, dispensing, and administration or distribution of medications. To control costs, most correctional systems operate against an established formulary to control physical access to medications.

Functions included in pharmacy services are receipt and authentication of prescriptions, classifying the prescription as either a controlled or self medication, then filling the prescriptions in a timely manner, and, finally, the delivery of prescribed medications to distribution points. A controlled medication is any drug classified as such by the Drug Enforcement Agency (DEA), or a medication approved and listed in a formulary of prescribed medications. Other medications eligible for self-medication distribution include certain prescribed and non-prescription drugs approved for self-medication, such as aspirin, cold remedies, etc.

Related functions include maintaining an inventory of controlled medications for accountability purposes, reporting shortages of controlled substances as required by DEA, and the disposal of outdated and unusable medications. In cases where a controlled substance is disposed of, a receipt verifying the disposal will be retained on file.

Pre-Condition	Description
None	
Post-Condition	Description
None	

1.5 Use Case Specification: Health Care Screening

During initial admission to the correctional system offenders are questioned about their current health conditions such as illnesses and health problems, dental problems, mental health problems, use of alcohol and other drugs, past and present treatment or hospitalization for mental disturbance or suicide, or possible pregnancy.

A visual assessment will also be conducted to identify behavioral problems, body deformities requiring medical treatment, and skin conditions such as bruises, rashes, or other abnormalities.

The screening process will result in one of three dispositions: assignment to general population, assignment to general population with a referral to an appropriate health care service, or immediate referral to the appropriate health care service for emergency treatment.

Associated Actor	Relationship	Description
Primary Care Provider	Performs	The medical function describes the requirements for the interface between medical activities and the rest of the corrections system. The actual medical record requirements are not specified here as this is considered a separate domain within itself. The scheduling of appointments, sick call, med-line, alerts, constraints and special housing, as well as access issues are the focus of the requirements.

Pre-Condition	Description
None	
Post-Condition	Description
None	

1.6 Use Case Specification: Health Care Examination

This is a complete health care appraisal performed on an offender to review the initial screening that was performed and collect additional information to complete medical, dental, psychiatric/mental health, and immunization histories. Laboratory and/or diagnostic tests are performed to detect communicable diseases. Other tests and examinations are performed as appropriate. Appropriate treatment will be prescribed as needed, and/or the development and implementation of a treatment plan will occur. A treatment plan may include recommendations concerning housing and job assignments and program participation.

This use case includes the sick call service to ensure offender access to health care to have their needs addressed. Offenders submit requests to housing officer who will initiate the process by arranging appropriate notification and intra-facility movement as needed.

Case managers will also make referrals as offender needs are identified in the normal course of monitoring the progress of the offender incarceration period.

An alternative flow in some jurisdictions involve contracts to provide health care services either inside the institution or in some cases offenders are transported to the medical providers outside the facility for care.

Health Care Examination Activity Diagram

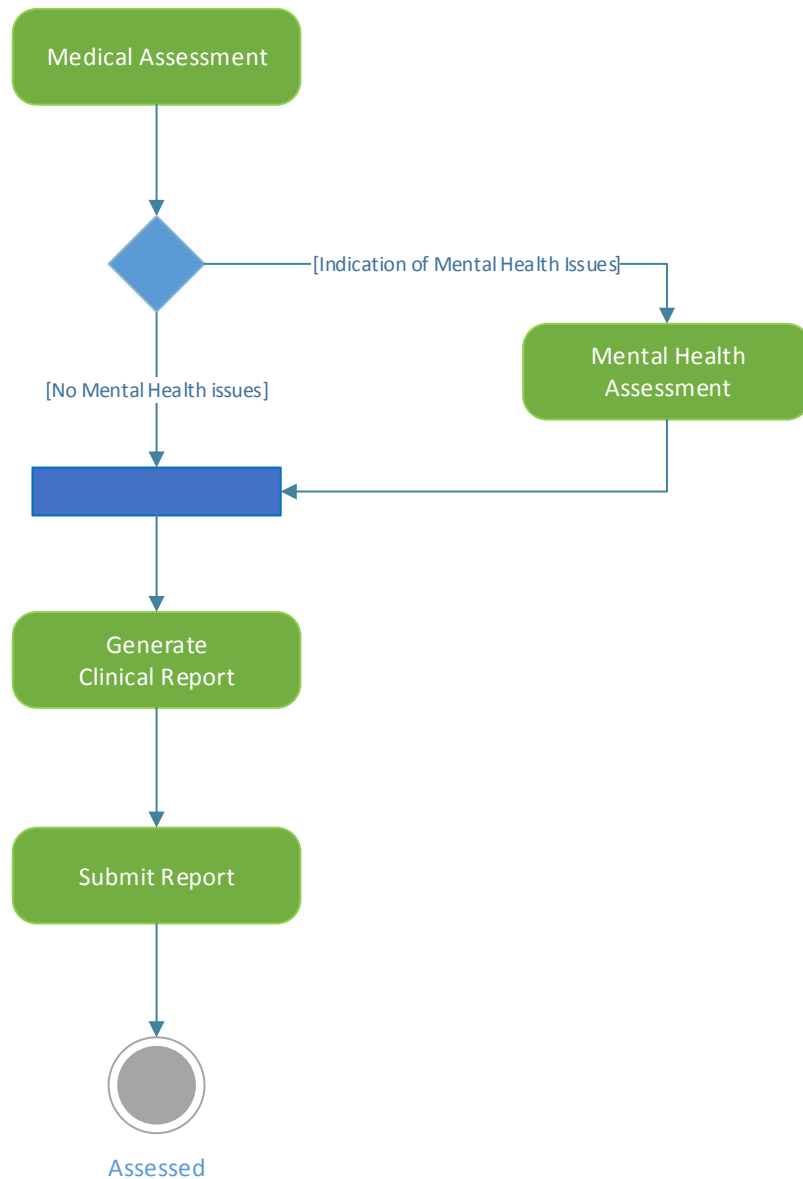


Figure 2: Health Care Assessment Activity Diagram

Associated Actor	Relationship	Description
Primary Care Provider	Performs	
Housing Officer	Initiates	Housing officers do not initiate medical processes but may contact health care staff for a referral. Offenders will self-initiate all medical contacts. Housing officer actions will be to approve medical processes such as movement in sick call.
Case Manager	Refers	Case managers do not initiate medical processes but may contact health care staff for a referral. Offenders will self-initiate all medical contacts. The case manager actor may be one or more other staff persons in a counselor role.

1.6.1 Flow of Events

Medical Assessment - A general evaluation is performed for an offender to determine medical, mental health, and dental needs.

- Data provided: Medical Health Data, Interview Data.
- Special Requirements:

Special Requirement	Description
ASCA Performance Measures: Substance Abuse and Mental Health Key Indicator III.2.1 Mental Health Assessment	Number of prisoners assessed for mental health needs by a mental health professional during the calendar year and reported as a rate per 1,000.

(If Indication of Mental Health Issues) Mental Health Assessment - A mental health evaluation is performed for an offender to determine mental health needs.

- Data provided: Medical Health Data, Mental Health Data.

Generate Clinical Report - The collection of information will be compiled, formatted, and documented in a record or produced in a report for distribution adhering to privacy guidelines.

- Alternative Flows:

Detail
Medical information may not be distributed.

Submit Report - When a report is developed and documented it will be handed over or recorded for reviewing or communication purposes.

Pre-Condition	Description
None	
Post-Condition	Description
Assessed	The official end result of applying testing or evaluation methods in order to determine the placement of an individual in a category or ranking for management purposes.

1.7 Use Case Specification: Dental Services

It is the responsibility of the correctional department/agency to provide offenders with access to necessary dental care. Access to dental services includes basic routine and emergency dental care, provided by a dental PCP. Dental service providers include dentists, dental assistants, and dental hygienists. A dentist is an individual licensed to practice dentistry. A dental assistant is an individual who may be delegated to perform dental tasks/procedures as authorized by law and under the authority of a dentist. A dental hygienist is an individual licensed to practice dental hygiene.

Basic routine services consist of a routine dental examination and panoramic x-ray. An initial screening is conducted within a prescribed time period after the arrival of the offender at the correctional department/agency. During this screening, emergency dental needs will be scheduled for treatment; all other dental needs are left to the offender to contact dental clinics and schedule appointments. During the

incarceration, periodic basic services provided include oral examination and any indicated diagnostic x-rays, restorations, dental prosthesis as determined by a dentist, simple or complex extractions/surgical procedures when indicated, root canal treatment and fillings, and extensive oral rehabilitation. In instances where a dental specialist is recommended, the offender will be referred to an outside provider.

Pre-Condition	Description
None	
Post-Condition	Description
None	

1.8 Use Case Specification: Schedule Appointment

One-time activities, such as clinical appointments, would not require the formal process of assigning the offender to an activity. The authorized clinical staff would require the ability to schedule the appointment directly entering this into the schedule. The appointment would then be available to staff as well as trigger appropriate notifications. By established orders of precedence, clinical appointments may override any conflicts.

Schedule Appointment Activity Diagram

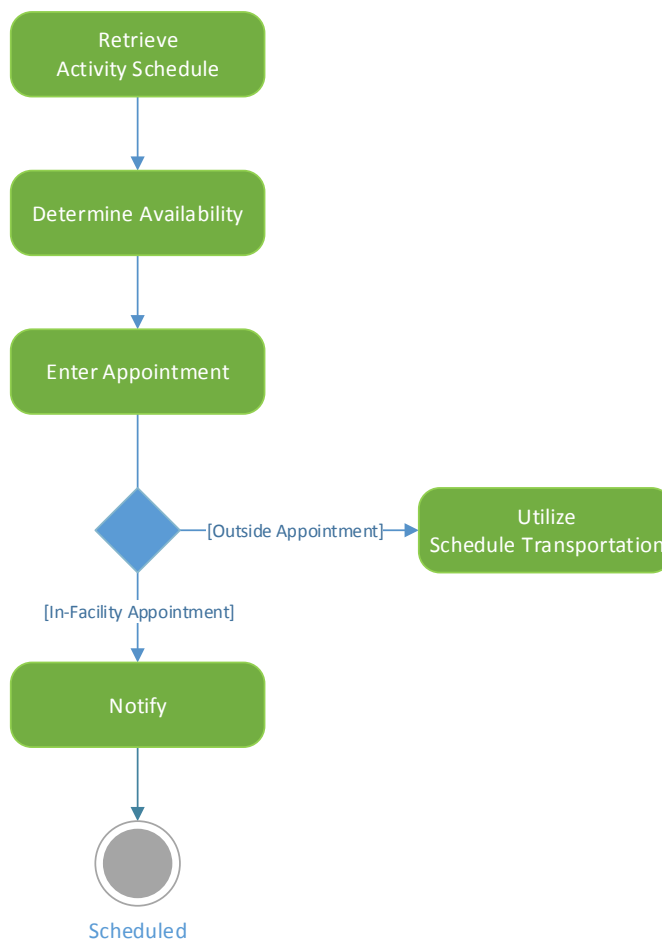


Figure 3: Schedule Appointment Activity Diagram

1.8.1 Flow of Events

Retrieve Activity Schedule - Access information sources to obtain activity summary or detail information. In some agencies, a central management area will maintain activity schedule information using methods that can be readily viewed. The information retrieved is subject to security permissions, and in some instances, the information will be filtered for specific functional units or facilities.

- Data provided: Schedule Data.

Determine Availability - A determination must be made as to whether or not an activity is available to an offender at the time of the request. Activities may not be available for several reasons including: currently full, currently not offered (may be scheduled to begin in future), or offender has risk conflicts with the location of the activity or other offenders currently assigned to the activity.

Enter Appointment - An appointment is entered based on availability of clinical resources as well as facility requirement constraints. Conflicts within the offenders schedule may be considered but are often resolved through an order of precedents.

The appointment is entered into the offender schedule and becomes available to all appropriate staff.

(If in-facility appointment) Notify - The notification activity produces and disseminates appropriate information for the purpose of making staff aware of an event and/or initiating action. The staff needing to know must have been identified for each event.

(If outside appointment) Utilize Schedule Transportation - Transportation reasons include, but are not limited to, court hearings, outside medical appointments, and inter-facility transport. In the case of inter-facility movement, after the facility that best meets the system and offender's needs has been selected, the offender is scheduled to move through central transportation. This could involve the assignment of offender to a waiting list for facility transfer.

The date of transport is based on the most efficient routing and combinations of other transportation needs. The central offender management primarily uses a status board to compile information on the status of bed availability.

A notification process may be initiated when an offender is scheduled for transfer to a specified location, or to a facility with reduced security safeguards.

Pre-Condition	Description
None	
Post-Condition	Description
Scheduled	The assignment to an event schedule.

Common Business Functions for Correctional Management Systems



IJIS Institute



Volume 2 – Business Scenarios
Part I – Grievances

*Authored by the IJIS Institute and the
Corrections Technology Association*

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1. BUSINESS FUNCTION: GRIEVANCES

Incarcerated offenders are afforded an appropriate means for communicating their problems, with an expectation their problems will be heard and resolved. The resolution may be in many forms, from an action to correct the problem to an explanation of circumstances with no action at all. The process should be timely, documented, address emergencies or special conditions appropriately, and afford the offender an appeal to have the resolution reviewed should they choose to do so.

Grievance Use Case Diagram

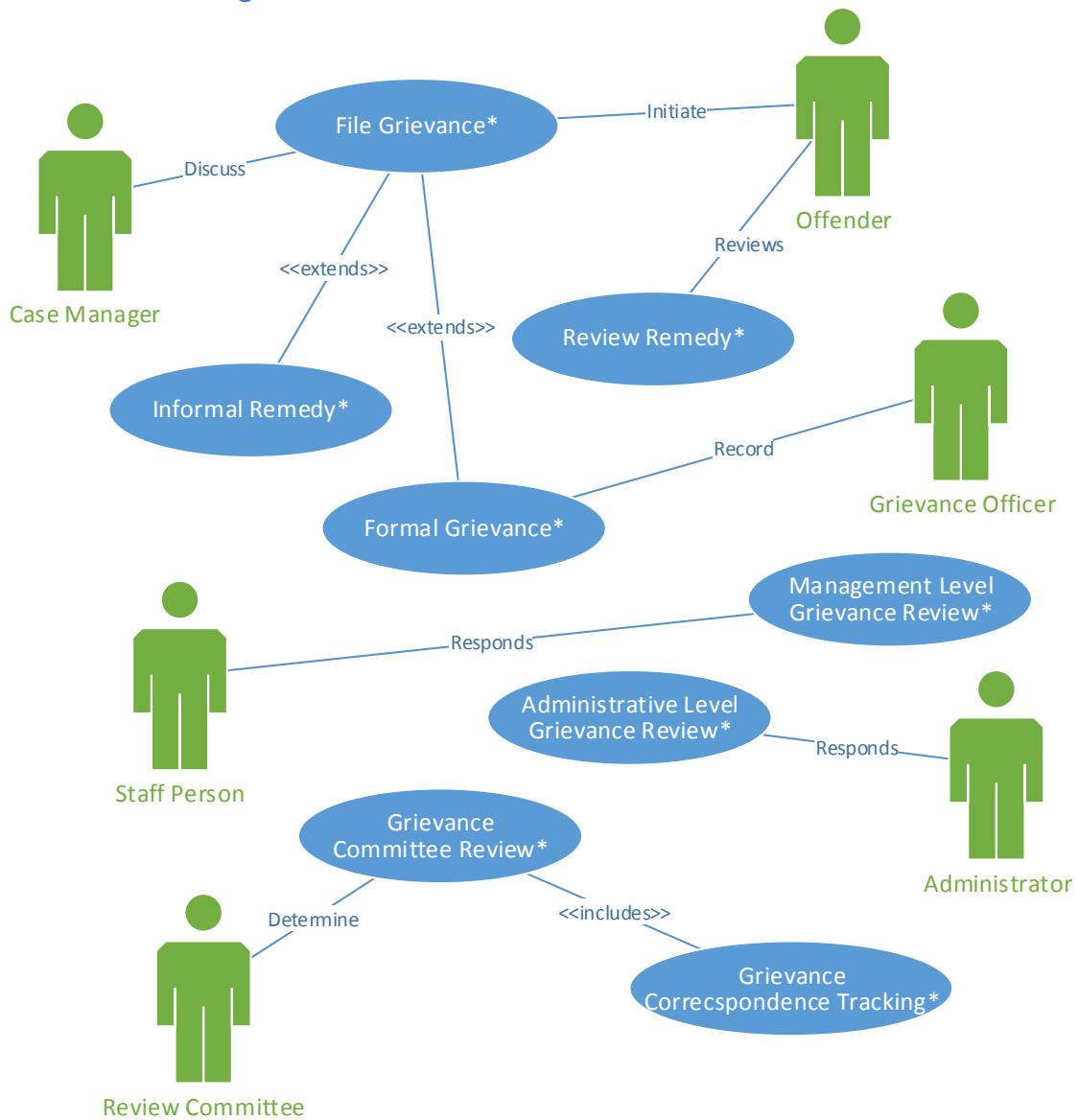


Figure 1: Grievance Use Case Diagram

1.1 Use Case Specification: File Grievance

When a staff person authorized to receive and process a grievance issue receives the document communicating the details of the issue, they will evaluate the procedural requirements to determine if the process can continue to the next step. If it is determined that the grievance can proceed, the staff person performs a coordinating role to direct the grievance issues to the appropriate area for a timed response, and communicating the response with any remedies that may have resulted to the offender for review.

File Grievance Activity Diagram

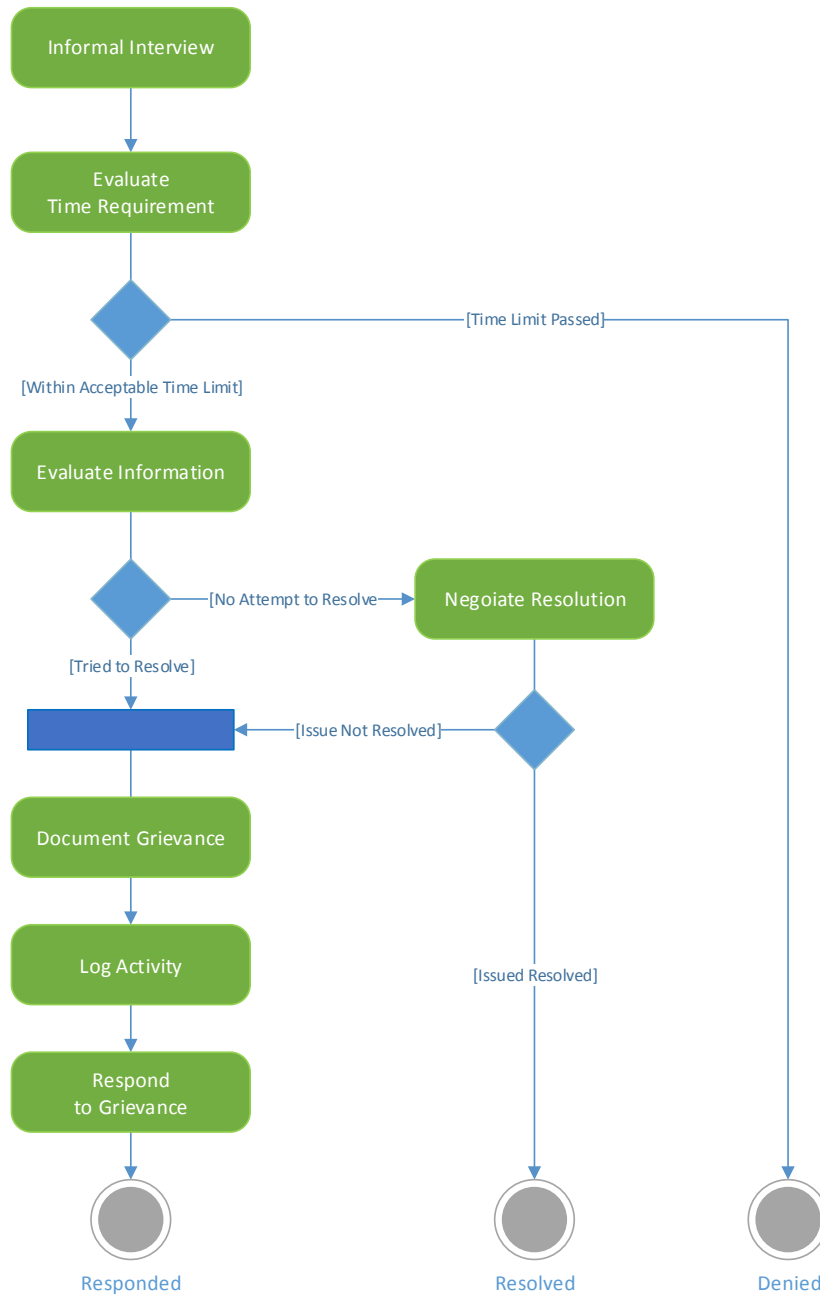


Figure 2: File Grievance Activity Diagram

Associated Actor	Relationship	Description
Case Manager	Discuss	
Offender	Initiates	

1.1.1 Flow of Events

Informal Interview - The act of communicating less formally with an individual to exchange information.

- Data provided: Date/Time.

Evaluate Time Requirement - At each step of the process where guidelines require an action or event must happen within a prescribed time period, a check is made to verify the time requirement has been met.

- Data provided: Interview Data, Date/Time.

(If within acceptable time limit) Evaluate Information - Evaluate information obtained from one or more sources for the purposed of making a determination.

(If no attempt to resolve) Negotiate Resolution - Every effort is made to resolve an issue through effective communication and compromise. Where policy applies the constraints of the compromise is adhered to when reaching an agreement.

Document Grievance - The offender will initiate the grievance process by communicating their issues with staff; some jurisdictions use a standard form that will assist in tracking the process, others accept less formal documentation. In situations where an offender cannot read or write, the information will be dictated and recorded. The information contained in the communication should include details of the problem as well as the desired remedy.

- Data provided: Offender Identifiers, Grievance Data.

Detail
This transition is a response to the offender to acknowledge receipt of their issue.

Log Activity - A formal record is produced to document events, including the date and time of occurrence, the sequence, and the participants. Examples of this activity include recording attendance, movement (check-in and check-out), recording offender contacts, etc.

- Data provided: Date/Time.

Respond to Grievance - During one or more steps of the grievance process, the offender will receive a written response from the appropriate or responsible staff person. This response will serve one or more purposes. Generally, the response will acknowledge receipt of the grievance communication, and may include a decision, reasons to support the decision, and corrections if applicable. The offender may be informed of any option for having the decision reviewed. The response will be date and time stamped for reference and verification the action completed within required time frames.

Pre-Condition	Description
None	
Post-Condition	Description
Resolved	When a problem or issue is appropriately addressed and agreed upon to the satisfaction of those involved.
Denied	A review has resulted in a decision to deny a request or action.
Responded	The result of an action taken by an individual where an event requires some form of investigation resulting in a reporting and/or recording of information.

1.2 Use Case Specification: Review Remedy

This is a process performed by the offender where they review the information that was communicated in the response to their grievance issues. The offender will make a determination to either accept the response with any remedy that was offered, or take the grievance issue to the next level possible.

Review Remedy Activity Diagram

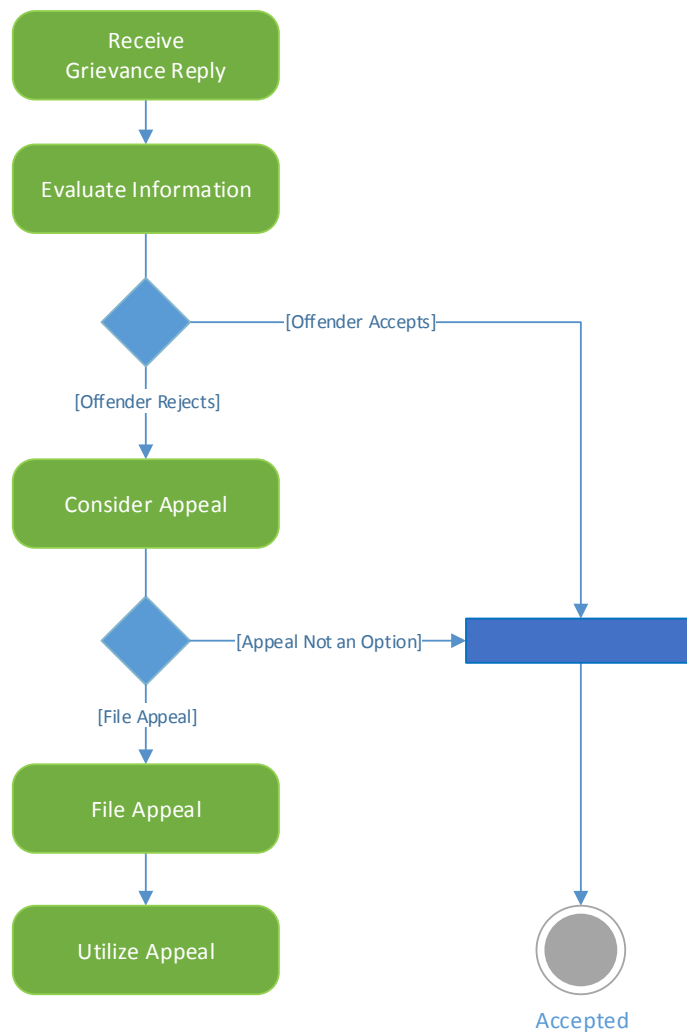


Figure 3: Review Remedy Activity Diagram

Associated Actor	Relationship	Description
Offender	Reviews	

1.2.1 Flow of Events

Receive Grievance Reply - The grievance issues will be reviewed and a reply will be documented and returned to the grievance coordinator. This staff person will communicate the results of the review to the offender. When the offender receives the reply, he/she will begin the evaluation process to accept the results or initiate the next available action.

- Data provided: Grievance Data.

Evaluate Information - Evaluate information obtained from one or more sources for the purpose of making a determination.

(If offender rejects) Consider Appeal - Review appeal options that are available and make a decision to file an appeal or to accept the last decision that was made. This review includes the consideration that an appeal is not an option because this avenue has been exhausted.

- Data provided: Appeal Document.

(If file appeal) File Appeal - Submitting appeal to proper authority

Pre-Condition	Description
None	
Post-Condition	Description
Accepted	An action resulting from a decision to approve or grant admittance.

1.3 Use Case Specification: Informal Remedy

Every effort will be made to resolve an issue an offender has communicated at the lowest level possible. This serves both the needs of the offender as well as the corrections department/agency. This process sometimes involves simple communication, where channels are opened to explain the issue and come to an acceptable resolution. To insure the process is afforded to offenders a form is used at the lowest level. This affords the organization a means for evaluation of the process, and identifying needs or problems that may be of concern to facility management.

Informal Remedy Activity Diagram

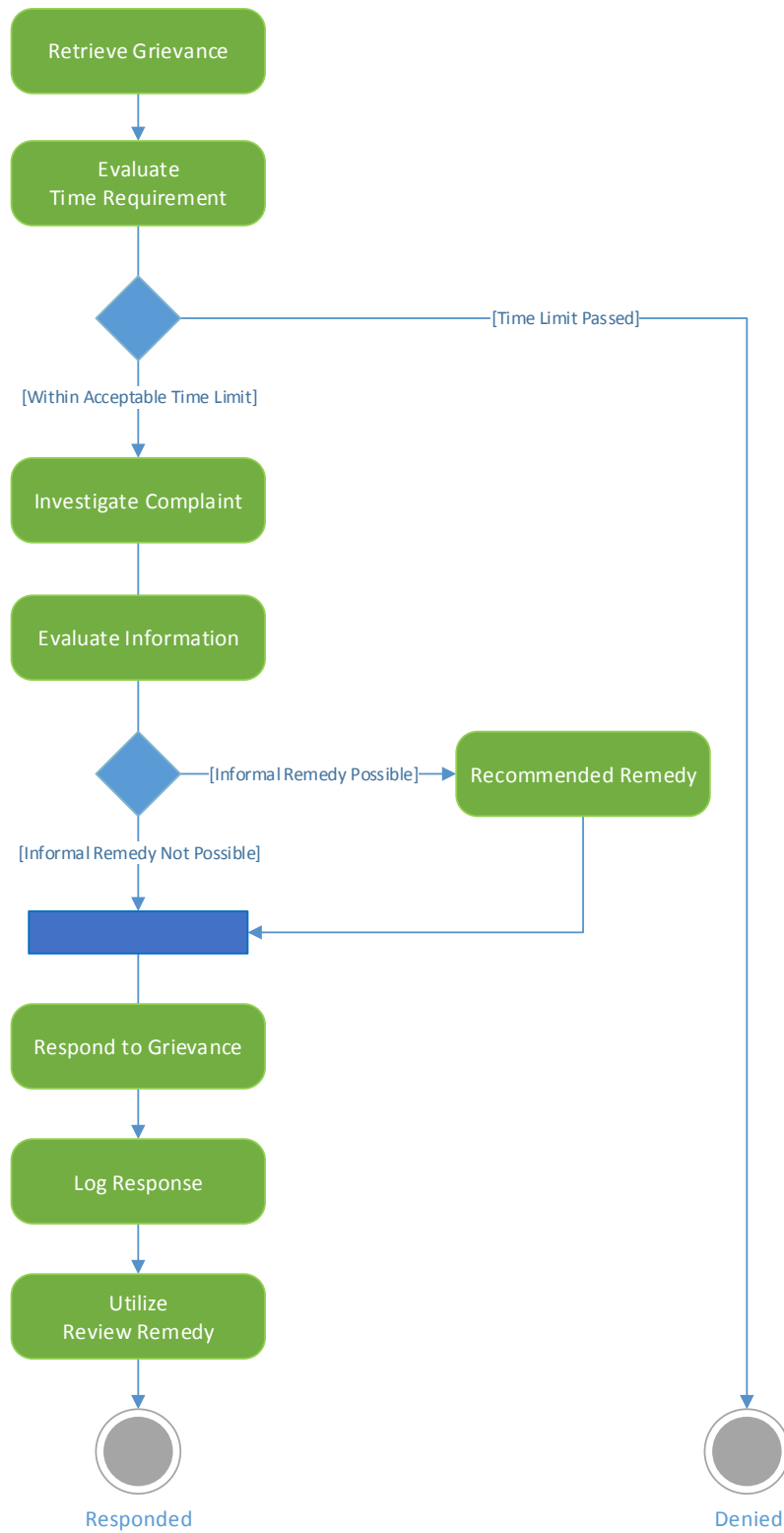


Figure 4: Informal Remedy Activity Diagram

1.3.1 Flow of Events

Retrieve Grievance - Obtain the record of the documented grievance that includes the specific details of the offender's issue and the desired remedy.

- Data provided: Offender Identifiers, Grievance Data.

Evaluate Time Requirement - At each step of the process where guidelines require an action or event must happen within a prescribed time period, a check is made to verify the time requirement has been met.

(If within acceptable time limit) Investigate Complaint - Process of reviewing information, documents, and interviewing individuals related to the complaint.

Evaluate Information - Evaluate information obtained from one or more sources for the purpose of making a determination.

- Data provided: Denial Reason.

(If informal remedy possible) Recommend Remedy - After consideration of all the information pertaining to a grievance issue, a recommendation will be formulated to remedy the situation. The remedy may consist of granting the correction requested by the offender, or a modification of request, or one formulated by the reviewing staff person.

- Data provided: Remedy Data.

Detail
A recommendation may consist of a correction, a denial with an explanation, or no response, indicating a denial with no explanation.

Respond to Grievance - During one or more steps of the grievance process, the offender will receive a written response from the appropriate or responsible staff person. This response will serve one or more purposes. Generally, the response will acknowledge receipt of the grievance communication, and may include a decision, reasons to support the decision, and corrections if applicable. The offender may be informed of any option for having the decision reviewed. The response will be date and time stamped for reference and verification the action completed within required time frames.

- Data provided: Grievance Response.

Log Response - A formal record is produced to document events, including the date and time of occurrence, the sequence, the participants, and pertinent details of the event required to support further action where appropriate.

- Data provided: Grievance Log Data, Date/Time.

Utilize Review Remedy - This is a process performed by the offender where they review the information that was communicated in the response to their grievance issues. The offender will make a determination to either accept the response with any remedy that was offered, or take the grievance issue to the next level possible.

Pre-Condition	Description
None	
Post-Condition	Description
Denied	A review has resulted in a decision to deny a request or action.
Responded	The result of an action taken by an individual where an event requires some form of investigation resulting in a reporting and/or recording of information.

1.4 Use Case Specification: Formal Grievance

When an issue communicated by an offender cannot be resolved informally, the next level of finding a resolution is implemented. This is a review process that considers information that was collected from a previous investigation, but will generally require written responses from those associated with the offender's issue. The process will result in an affirmation of the previous decision or recommend a corrective remedy. The decision is communicated to the offender who either accepts or rejects the decision. If the decision is rejected, the offender may appeal the issue if that is an option afforded to that individual.

Associated Actor	Relationship	Description
Grievance Officer	Record	

1.4.1 Flow of Events

Retrieve Grievance - Obtain the record of the documented grievance that includes the specific details of the offender's issue and the desired remedy.

- Data provided: Offender Identifiers, Grievance Data, Contact Log, Date/Time.

Evaluate Time Requirement - At each step of the process where guidelines require an action or event must happen within a prescribed time period, a check is made to verify the time requirement has been met.

(If within acceptable time limit) Evaluate Grievance Criteria - There are specific criteria that define what issues can or cannot be grieved. For example, a misconduct report is not a grievable issue but replacement of damaged personal property is grievable.

(If grievable issue) Coordinate Grievance Correspondence - The Grievance Coordinator will determine the appropriate individual to direct grievance issues, producing correspondence with adequate instructions. Generally, there are three levels of review that will receive the grievance document. After each level of review, the offender will be afforded the opportunity to accept the remedy produced from the review, or seek a review from the next level if it is an available option.

- Data provided: Grievance Review Information.

Formal Grievance Activity Diagram

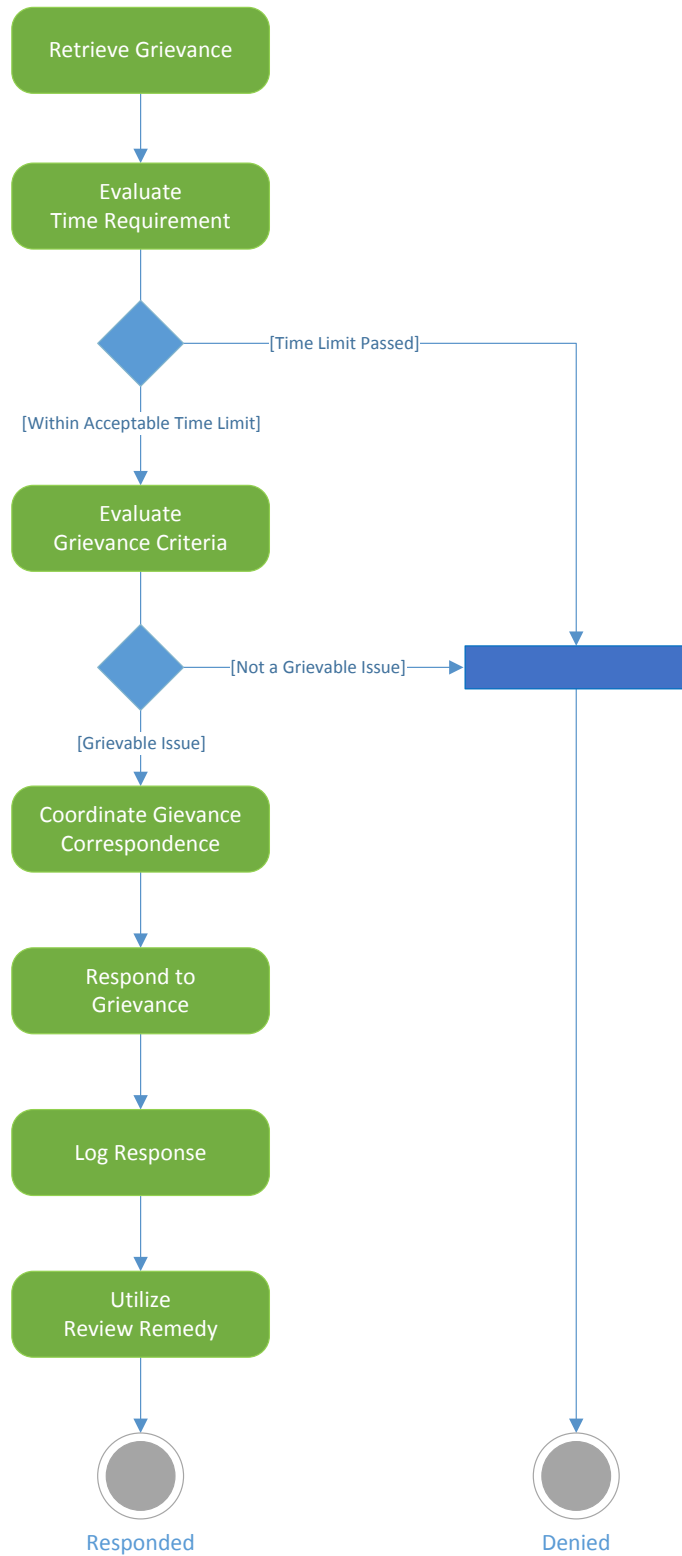


Figure 5: Formal Grievance Activity Diagram

Respond to Grievance - During one or more steps of the grievance process, the offender will receive a written response from the appropriate or responsible staff person. Generally, the response will acknowledge receipt of the grievance communication, and may include a decision, reasons to support the decision, and corrections if applicable. The offender may be informed of any option for having the decision reviewed. The response will be date and time stamped for reference and verification the action completed within required time frames.

- Data provided: Grievance Response.

Log Response - A formal record is produced to document events, including the date and time of occurrence, the sequence, the participants, and pertinent details of the event required to support further action where appropriate.

- Data provided: Grievance Log Data, Date/Time.

Utilize Review Remedy - This is a process performed by the offender where they review the information that was communicated in the response to their grievance issues. The offender will make a determination to either accept the response with any remedy that was offered, or take the grievance issue to the next level possible.

Pre-Condition	Description
None	
Post-Condition	Description
Reviewed	Staff review of past behavior or conditions in respect to future actions.
Denied	A review has resulted in a decision to deny a request or action.

1.5 Use Case Specification: Management Level Grievance Review

The initial grievance correspondence will be reviewed by staff at the management level. The response will be produced by supervisory staff or delegated to the staff person directly involved in the offender's issue.

Associated Actor	Relationship	Description
Staff Person	Responds	

1.5.1 Flow of Events

Receive Grievance Correspondence - The reviewer will receive a copy of the grievance document with instructions to respond within a prescribed time frame.

- Data provided: Grievance Data.

Review Grievance Issue - The reviewer of grievance correspondence will consider the information to determine if an appropriate remedy is possible. A response will be formulated and returned to the Grievance Coordinator.

Detail
Taking no action essentially affirms or supports the department/agency positions or that of their staff.

Management Level Grievance Review Activity Diagram

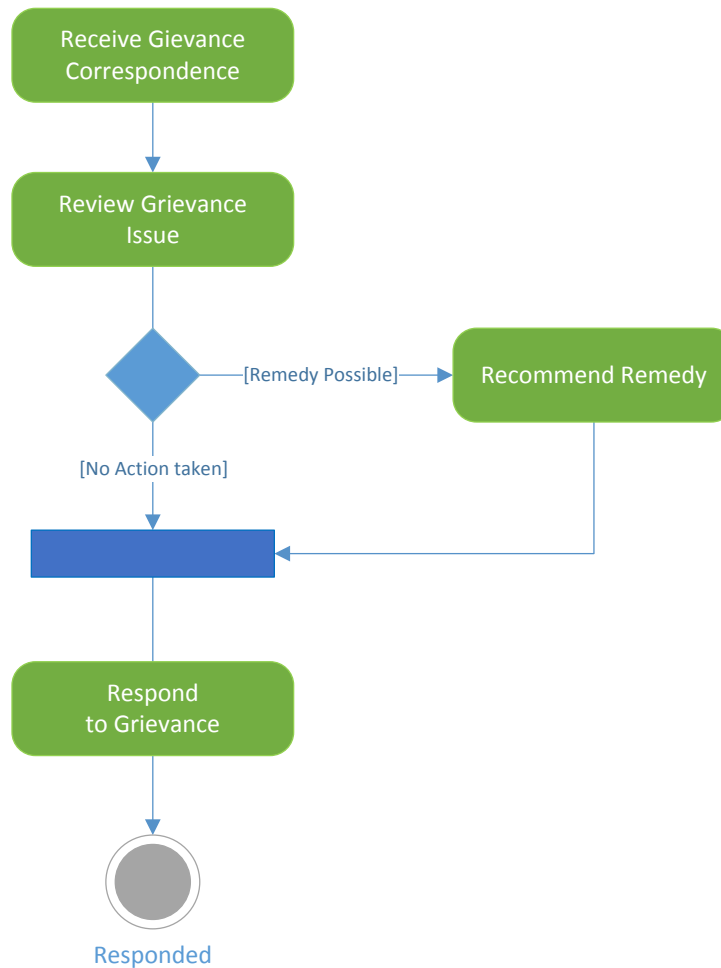


Figure 6: Management Level Grievance Review Activity Diagram

(If remedy possible) Recommend Remedy - After consideration of all the information pertaining to a grievance issue, a recommendation will be formulated to remedy the situation. The remedy may consist of granting the correction requested by the offender, or a modification of request, or one formulated by the reviewing staff person.

- Data provided: Remedy Data.

Respond to Grievance - During one or more steps of the grievance process, the offender will receive a written response from the appropriate or responsible staff person. This response will serve one or more purposes. Generally, the response will acknowledge receipt of the grievance communication, and may include a decision, reasons to support the decision, and corrections if applicable. The offender may be informed of any option for having the decision reviewed. The response will be date and time stamped for reference and verification the action completed within required time frames.

Detail
The staff person responding to the grievance will reply to the originator of the correspondence.

Pre-Condition	Description
None	
Post-Condition	Description
Responded	The result of an action taken by an individual where an event requires some form of investigation resulting in a reporting and/or recording of information.

1.6 Use Case Specification: Administrative Level Grievance Review

The secondary-level grievance correspondence will be reviewed by staff at the administrative level. This review generally considers the appropriateness of actions and responses by the subordinate level reviewer.

Associated Actor	Relationship	Description
Administrator	Responds	

Administrative Level Grievance Review Activity Diagram

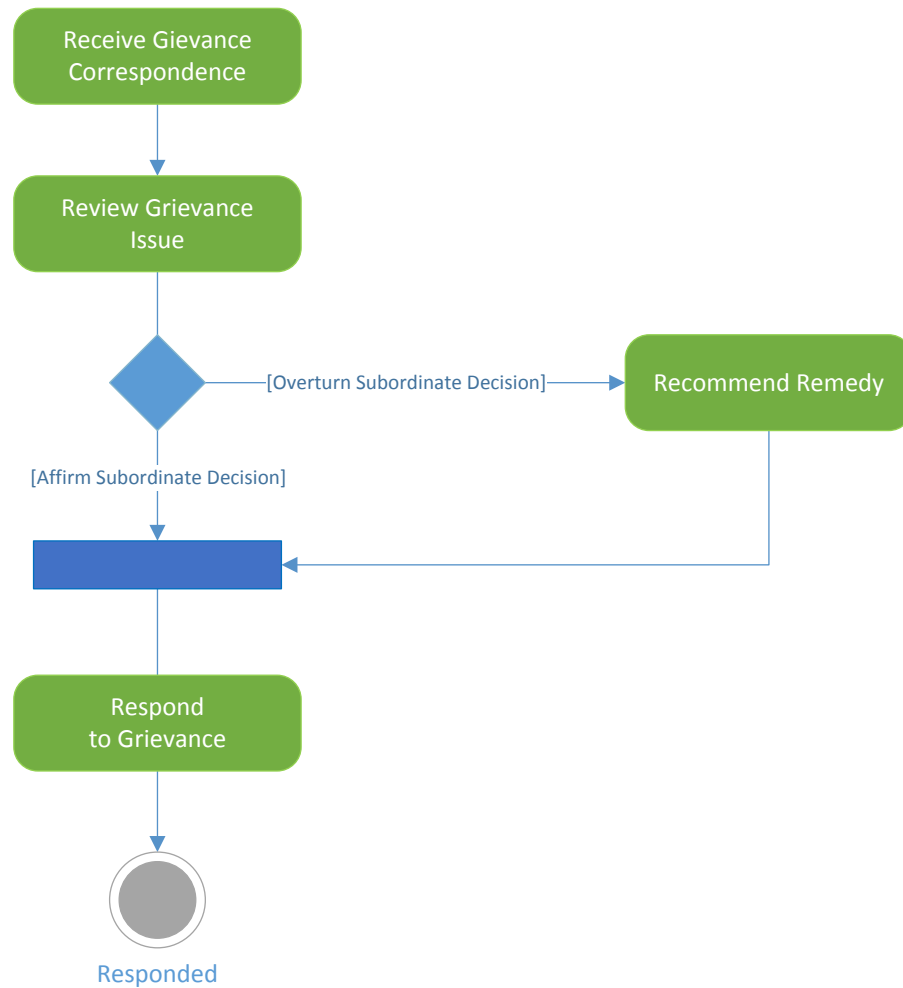


Figure 7: Administrative Level Grievance Review

1.6.1 Flow of Events

Receive Grievance Correspondence - The reviewer will receive a copy of the grievance document with instructions to respond within a prescribed time frame.

- Data provided: Grievance Data.

Review Grievance Issue - The reviewer of grievance correspondence will consider the information to determine if an appropriate remedy is possible. A response will be formulated and returned to the Grievance Coordinator.

- Data provided: Review Decision.

(If overturn subordinate decision) Recommend Remedy - After consideration of all the information pertaining to a grievance issue, a recommendation will be formulated to remedy the situation. The remedy may consist of granting the correction requested by the offender, or a modification of request, or one formulated by the reviewing staff person.

- Data provided: Remedy Data.

Respond to Grievance - During one or more steps of the grievance process, the offender will receive a written response from the appropriate or responsible staff person. Generally, the response will acknowledge receipt of the grievance communication, and may include a decision, reasons to support the decision, and corrections if applicable. The offender may be informed of any option for having the decision reviewed. The response will be date and time stamped for reference and verification the action completed within required time frames.

Pre-Condition	Description
None	
Post-Condition	Description
Responded	The result of an action taken by an individual where an event requires some form of investigation resulting in a reporting and/or recording of information.

1.7 Use Case Specification: Grievance Committee Review

The final-level grievance correspondence will be reviewed by a staff person or committee with final review authority. This review generally considers the appropriateness of actions and responses by the subordinate level reviewer.

Associated Actor	Relationship	Description
Review Committee	Determine	The Administrator may service in the role of Review Committee.

Grievance Committee Review Activity Diagram

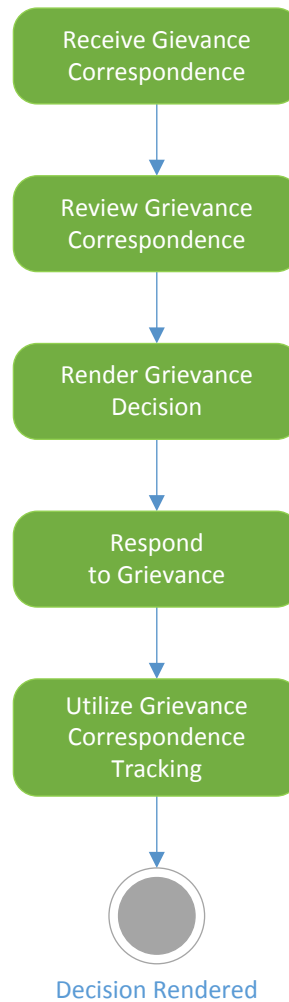


Figure 8: Grievance Committee Review Activity Diagram

1.7.1 Flow of Events

Receive Grievance Correspondence - The reviewer will receive a copy of the grievance document with instructions to respond within a prescribed time frame.

- Data provided: Grievance Data, Grievance Log Data, Grievance Response, Grievance Review Information.
- Alternative flows:

Detail
Some jurisdictions will use the Grievance Officer for tracking the grievance.

Review Grievance Correspondence - In the final review level all correspondence associated with a grievance issue is reviewed in order to reach a decision. This includes making sure all procedures and policies have been adhered to within the prescribed time period.

Render Grievance Decision - After reviewing all correspondence associated with a grievance issues a decision is made and communicated to appropriate individuals.

- Data provided: Denial Reason, Approval Reasons.

Detail
Based upon the decision, the reasons for approving or denying the review action are documented in the grievance response.

Respond to Grievance - During one or more steps of the grievance process, the offender will receive a written response from the appropriate or responsible staff person. Generally, the response will acknowledge receipt of the grievance communication, and may include a decision, reasons to support the decision, and corrections if applicable. The offender may be informed of any option for having the decision reviewed. The response will be date and time stamped for reference and verification the action completed within required time frames.

Utilize Grievance Correspondence Tracking - The grievance process involves correspondence between the offender and corrections department/agency staff in an attempt to address identified issues. A strict procedure is followed where time requirements are adhered to, and critical information is communicated. This information is tracked to verify the procedures are followed and the process is completed.

Pre-Condition	Description
None	
Post-Condition	Description
Decision Rendered	A decision has been reached and communicated.

1.8 Use Case Specification: Grievance Correspondence Tracking

The grievance process involves correspondence between the offender and corrections department/agency staff in an attempt to address identified issues. A strict procedure is followed where time requirements are adhered to, and critical information is communicated. This information is tracked to verify the procedures are followed and the process is completed.

1.8.1 Flow of Events

Receive Grievance Correspondence - The reviewer will receive a copy of the grievance document with instructions to respond within a prescribed time frame.

Data provided: Grievance Data, Grievance Log Data, Grievance Response, Grievance Review Information.

Grievance Correspondence Tracking Activity Diagram

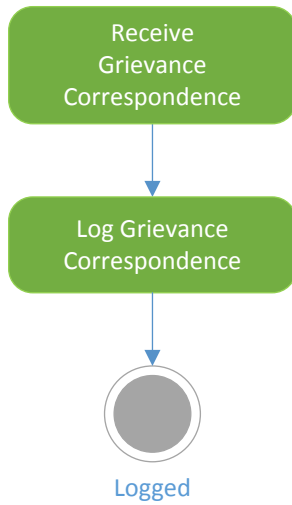


Figure 9: Grievance Correspondence Tracking Activity Diagram

Log Grievance Correspondence - A record is produced to document the grievance correspondence, including the date and time of occurrence, the sequence, and the participants. Comments may be added to summarize the context and purpose of the correspondence.

Pre-Condition	Description
None	
Post-Condition	Description
Logged	Information has been recorded and is now available for future reference.

Common Business Functions for Correctional Management Systems



IJIS Institute



Volume 2 – Business Scenarios

Part J – Programs

*Authored by the IJIS Institute and the
Corrections Technology Association*

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1. BUSINESS FUNCTION: PROGRAMS

Programs within a correctional setting promote the need for self-improvement and pro-socialization among the offender population. Programs also increase public safety by reducing the risk of recidivism once the offenders are released from custody. Offender programs can address a wide variety of education needs, treatment needs, life skills, and work skills. The primary goal of these programs is to help offenders acquire or improve appropriate skills, attitudes, and behaviors that will promote pro-social choices, reduce criminal behavior, and facilitate successful community re-integration after release. A secondary goal of programs is to provide a management tool for use by correctional staff to gain offender compliance.

Offenders may be assessed for certain programs based on educational testing or vocational interviews. Offenders may also be assessed to participate in programs based on current offense, recidivism, needs assessment, and historical criminal records information. Assignments to programs must be consistent with the offender's current classification, security, and supervision requirements as well as the needs of the program or facility. Once an offender is placed into a program, his/her performance within that program is monitored for progress based on a definitive set of performance measures.

Program effectiveness is tracked by the number of offenders who meet or exceed the performance measures of the program and who satisfactorily complete the program within the time standards allowed.

Program Use Case Diagram



Figure 1: Programs Use Case Diagram

1.1 Use Case Specification: Referral to Program

The offender management plan is used to produce a referral to a particular program. This referral is based upon the initial assessment of the offender, and the ongoing assessments of progress throughout the incarceration period. The need areas or specific programs may be identified with a priority ranking. The ranking is to ensure the most important need areas are addressed.

Referral to Program Activity Diagram

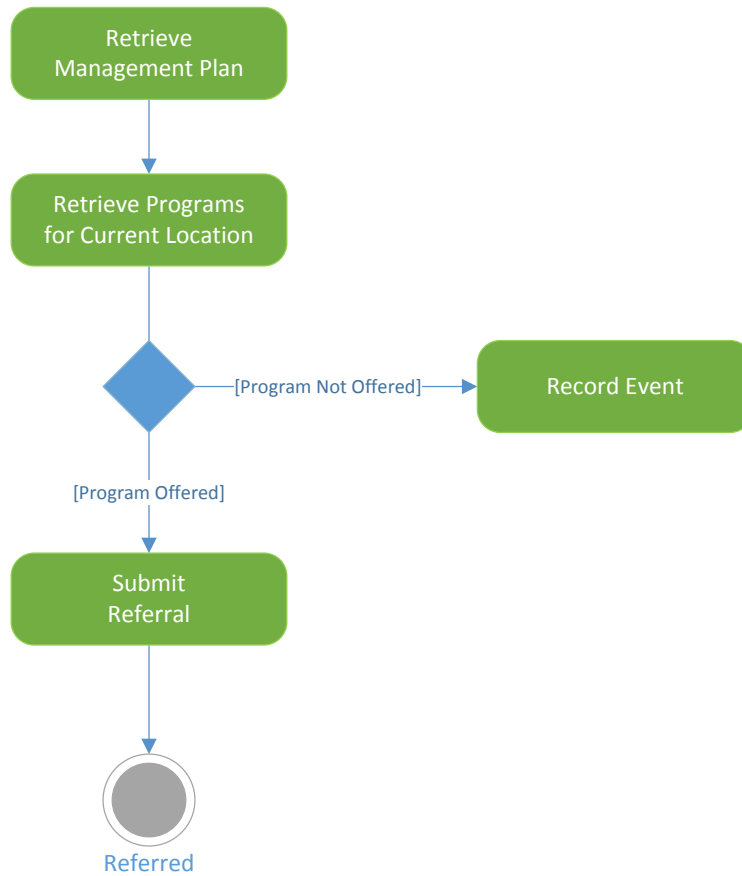


Figure 2: Referral to Program Activity Diagram

Associated Actor	Relationship	Description
Case Manager	Generates	A referral to a program is often based on the offender’s management plan, being initially developed at reception and modified during the period of incarceration. The referral may be automatically generated based on the plan or it may require a more deliberate step by the case manager. The referral may be generated by a classification officer in response to court mandated programs in which the offender must participate.
Program Provider	Reviews	The program provider may not be involved in the referral process. Their role as initiator or acceptor may be not existent or may be limited.

1.1.1 Flow of Events

Retrieve Management Plan - The current management plan for a specified offender will be obtained for review. The management plan will indicate areas the offender is required to address during the incarceration period and may include specific programs in which the offender is encouraged to participate.

- Data provided: Program Name.

Retrieve Programs for Current Location - A listing of current programs with summary information about the program will be obtained for reference. Summary information will include program availability for any given location, a synopsis of program purpose and content, capacity, prerequisites, etc.

- Data provided: Program Identifiers, Activity Schedule, Program Identifiers, Activity Schedule, Program Needs Data.
- Alternative flows:

Detail
The offender may be put on a waiting list even if program is not offered at the current facility. The management plan may be updated to reflect current unavailability of program.

(If program offered) Submit Referral - The referral will be entered specifying the time of the referral, the program, the areas to be addressed by the program/placement, and any pertinent history. The entry should trigger an event for the program provider or reviewing supervisory staff.

- Data provided: Referral.

(If program not offered) Record Event - The creation of an entry for an event or outcome containing essential information for future retrieval and use by correctional staff.

Pre-Condition	Description
None	
Post-Condition	Description
Referred	When a process is completed that results in a referral of an offender to attend, participate, or some form of assignment, the offender is in a state of referral. This state denotes a review process will be conducted and an approval/acceptance or rejection/denial decision will result.

1.2 Use Case Specification: Acceptance into Program

The program provider determines whether the offender meets the eligibility criteria for the program and either accepts or rejects the offender for placement into the program. The process includes a review of the referral, and interview with the offender. Upon completion of the review, notification will be made to the appropriate staff of the decision. Acceptance into the program will trigger a process to complete the program assignment.

Detail
Offenders mandated to complete programs such as alcohol and drug treatment or adult education programs are given priority to access limited program space and resources.

Acceptance into Program Activity Diagram

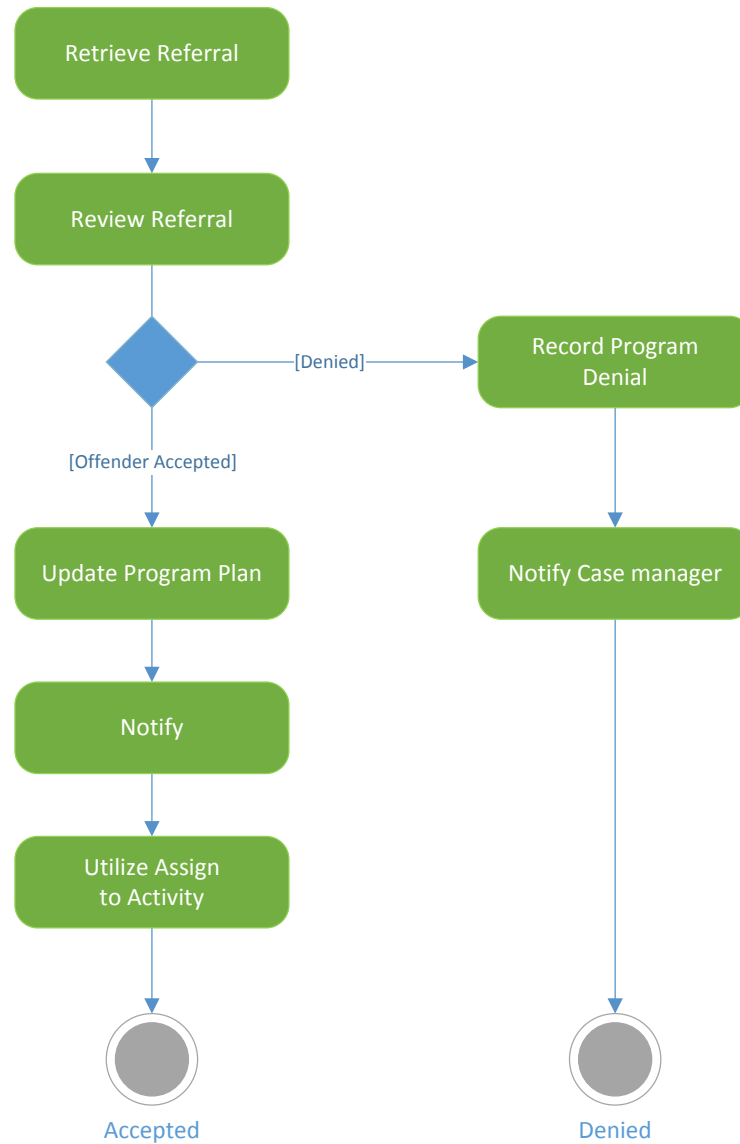


Figure 3: Acceptance Info Program Activity Diagram

1.2.1 Flow of Events

Retrieve Referral - The referral information is obtained for review. This is achieved by using the program identifiers for query purposes and will result in a list of offenders that have been referred. The Program Provider will perform a review of each offender retrieved in the list.

- Data provided: Program Name, Offender Identifiers.

Review Referral - The Program Provider will review the referral information for each offender in the retrieval result set, and make a determination of acceptability. The review will result in either acceptance into the program or a denial.

- Data provided: Program Name, Offender Identifiers, Denial Reason, Priority Level.

(If Offender Accepted) Update Program Plan - Updating the program participation is an iterative process that will happen over the life of the plan. Changes to the plan, recording of progress or program completion are examples of updates to the plan that will be entered. This should directly contribute to the offender's overall management plan.

- Data provided: Program Name, Offender Identifiers, Priority Level.

Notify - The notification activity produces and disseminates appropriate information for the purpose of making staff aware of an event and/or initiating action. The staff needing to know must have been identified for each event.

Utilize Assign to Activity - The process of reviewing offender information and making assignments to activities is based upon policy, and both facility and offender needs. In some instances, a review of this process may be conducted by a board of employees representing service areas of the facility, including security and housing.

(If denied) Record Program Denial - After making a determination the offender should not be accepted in the program, the Program Provider will record reasons for the denial in the computer database.

Notify Case Manager - Procedures to notify the Case Manager responsible for tracking the progress of the offender.

Pre-Condition	Description
None	
Post-Condition	Description
Accepted	An action resulting from a decision to approve or grant admittance
Denied	A review has resulted in a decision to deny a request or action.

1.3 Use Case Specification: Assign to Activity

The process of reviewing offender information and making assignments to activities is based upon policy, and both facility and offender needs. In some instances, a review of this process may be conducted by a board of employees representing service areas of the facility, including security and housing.

Assign to Activity Activity Diagram

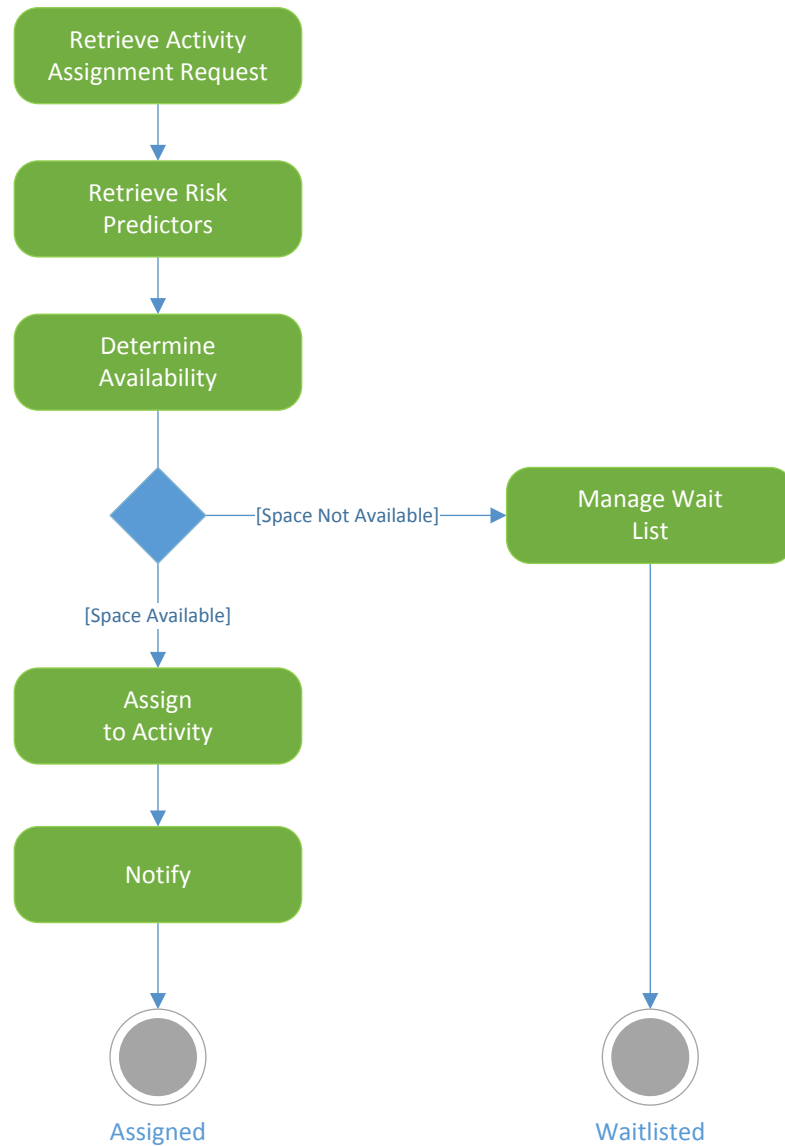


Figure 4: Assign to Activity Diagram

1.3.1 Flow of Events

Retrieve Activity Assignment Request - A request for an offender assignment to a specific activity may come from various sources, including the staff person responsible for making the actual assignment. The request may be for an activity with a specific time and location or it may be for the type of activity, which has several slot options available.

- Data provided: Offender Identifiers, Activity Identifiers.

Retrieve Risk Predictors - At the time an offender is initially classified during the intake process, institutional behavior information for the current incarceration is not available. Other risk factors may be available such as socio economic status, family characteristics, detention history, and other risk factors such as a history of violence, gang affiliation, and separation issues.

These risk factors may be updated throughout the offender’s incarceration period and used for activity, facility, and community placement decisions.

- Data provided: STG Affiliation, Security Risk Data.

Determine Availability - A determination must be made as to whether or not an activity is available to an offender at the time of the request. Activities may not be available for several reasons including, currently full, currently not offered (may be scheduled to begin in future), or offender has risk conflicts with the location of the activity or other offenders currently assigned to the activity.

- Data provided: Activity Identifiers, Activity Schedule, Offender Identifiers.

(If Space available) Assign to Activity - The act of assigning an offender to an ongoing activity, which has a time slot and location. These activities might include rehabilitation programs, vocational programs, work assignments, or any other scheduled facility activity.

- Data provided: Assignment Notification.

Notify - The notification activity produces and disseminates appropriate information for the purpose of making staff aware of an event and/or initiating action. The staff needing to know must have been identified for each event.

(If space not available) Manage Wait List - The staff person responsible for a particular activity may desire specific changes be made to the activity that might affect the facility schedule as well as that of assigned offenders. The specifics may include time, location, and duration of the activity. The staff person would have the ability to review potential conflicts prior to requesting the change and to assist in specific option choices. Conflicts identified may be between scheduled activities, which rules define as mutually exclusive, or may also be between individual offenders participating in various activities, which rules prevent conflict, or the order of precedent might remove the offender from the activity being modified.

Offender availability may have changed due to a change in facility assignment where the program is no longer available, in which case the offender is retained on the waiting list pending future facility assignments.

Priority of assignment from the waitlist may be based upon the length of time since having been placed on the list, but may also be based upon time to parole eligibility date (PED), severity of needs (public safety risk), or maintenance needs.

The waiting list management includes removal from the list when the offender is released from the jurisdiction of the corrections department/agency.

Pre-Condition	Description
None	

Post-Condition	Description
Assigned	Assignment is where a relationship has been established between a staff member and an offender, or activities. Examples include enrollment of the offender in an education program or listing an offender on a case load. In some instances, assignment is the retention of an existing assignment after a review process is performed and the relationship continues as it was prior to the review.
Waitlisted	Instances when an offender is added to a waiting list pending facility transfer, availability, or other factors related to acceptance or assignment to an activity.

1.4 Use Case Specification: Administer Program

The Program Provider monitors the offender's progress during the course of the program and records attendance and compliance at pre-determined intervals. A review of the program requirements and the level of completion by the offender will result in a determination if the offender is to continue in the program or the program has been completed.

Associated Actor	Relationship	Description
Program Provider	Records	

1.4.1 Flow of Events

Record Participation - Enter participation and evaluation information into the database.

- Data provided: Attendance.

Record Performance - Evaluate performance criteria and record a rating in the form of scores or grades.

- Data provided: Performance Rating, Performance Rating.

(If work program) Produce Payroll Form - The process of accounting for attendance in a work program by deriving the payroll amount to be deposited into the offender trust account. This form lists one or more offenders, their job assignment, the hours the offender worked, and the hourly rate they are to be compensated. This form is signed by the work supervisor or program provider to verify and authenticate the identity of the offender and the deposit information it contains. It is then forwarded for required reviews and then to the Trust Accounting office for processing.

- Data provided: Payroll Form.
- Alternative flows:

Detail
The credit to the offender's account may be automatic based on attendance and other rules pertaining to debt, or it may require accounting staff approval.

Administer Program Activity Diagram

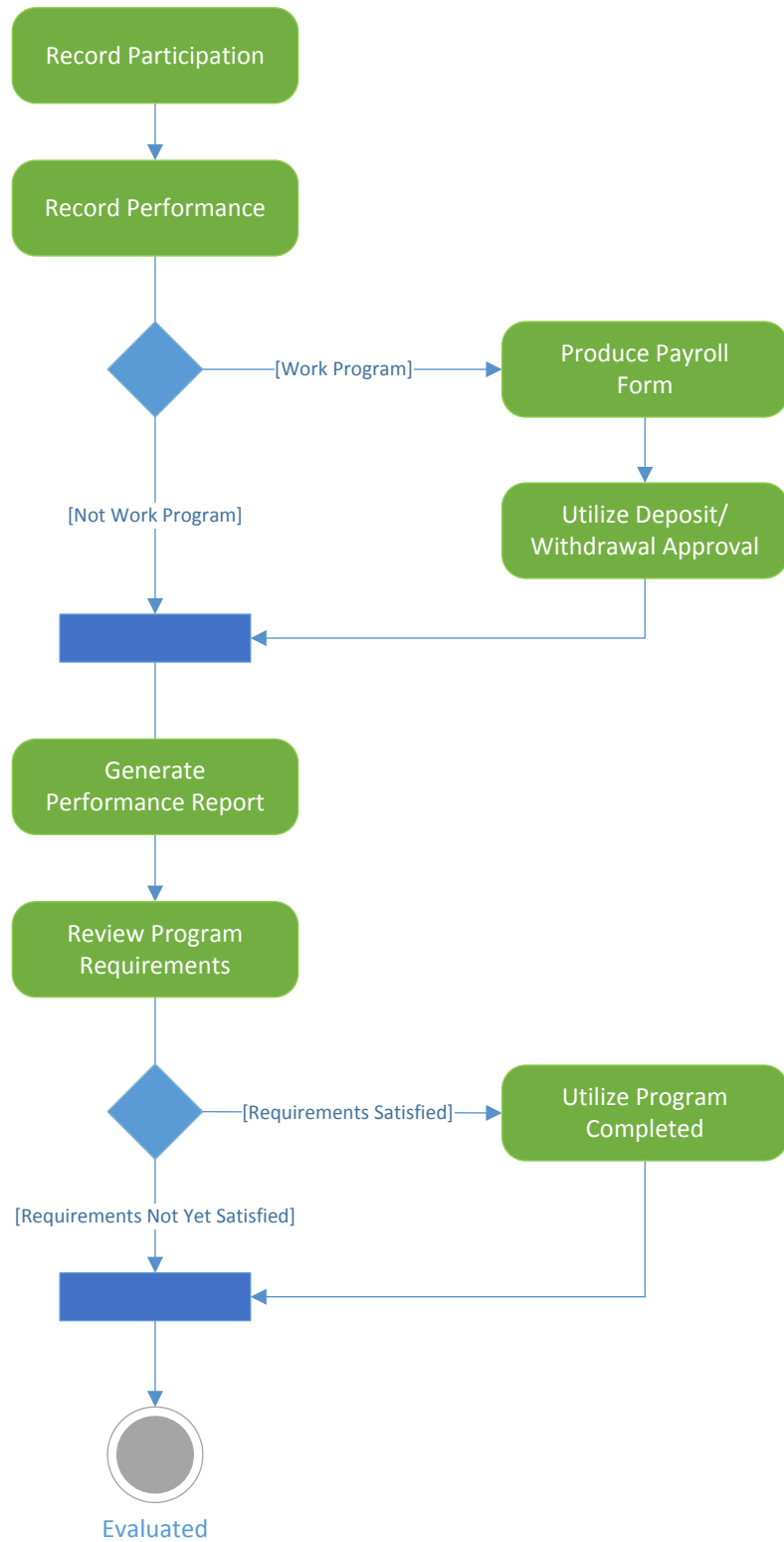


Figure 5: Activity Diagram for Administer Program Activity

Utilize Deposit-Withdrawal Approval - A trust accounting action is initiated by submitting a form, in electronic or other form, containing transaction and authorization information. The transaction will be one of two types: deposits that increment the trust account balance or withdrawals that decrease the trust account balance. The process will result in either an approval or denial decision.

Generate Performance Report - A report of performance will be produced for distribution to the offender. The report will include evaluation information and, for those programs where the offender will receive monetary compensation, payroll information that will reflect what is to be deposited in the trust accounting system.

Review Program Requirements - This is a process of reviewing program requirements and offender progress information to determine if the requirements have been achieved. This process will result in a determination that the offender either has or has not satisfied the requirements of the program.

- Data provided: Performance Report.
- Alternative flows:

Detail
Not all programs are based on goal achievement, such as many work programs. With these programs, requirement satisfaction would not be an issue, unless it was to move into a more responsible or skilled position. In some cases, satisfactory work in food services is required before more attractive positions become available.

Detail
Any instance where retention in a program is the decision of the Program Provider, the requirement for termination is not satisfied. In this instance retention in a work program is the result of an acceptable work performance rating.

(If Requirements Satisfied) Utilize Program Completed - A program may be scheduled over a fixed length of time or be open-ended. An offender may be terminated from the program either successfully or unsuccessfully (for poor conduct). Successful completion of a fixed length program only requires that the inmate still be enrolled in the program at the conclusion. Successful completion of an open-ended program generally requires some sort of passing score on an exit test.

Pre-Condition	Description
None	
Post-Condition	Description
Evaluated	This is the result of an evaluation process whereby a rating is assigned for performance or participation.

1.5 Use Case Specification: Program Completed

A program may be scheduled over a fixed length of time or be open-ended. An offender may be terminated from the program either successfully or unsuccessfully (for poor conduct). Successful completion of a fixed length program only requires that the inmate still be enrolled in the program at the conclusion. Successful completion of an open- ended program generally requires some sort of passing score on an exit test.

Program Completed Activity Diagram

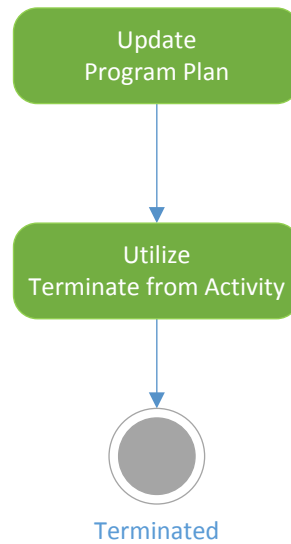


Figure 6: Program Completed Activity Diagram

Update Program Plan - Updating the program participation is an iterative process that will happen over the life of the plan. Changes to the plan, recording of progress or program completion are examples of updates to the plan that will be entered. This should directly contribute to the offender’s overall management plan.

Utilize Terminate from Activity - Instances where the offender schedule reflects the ending of a program or activity all appropriate actors are notified of this action. In some instances, notification will be directed or forwarded to security staff to reflect the change, insuring security control measures are enforced with regard to access or movement.

Pre-Condition	Description
None	
Post-Condition	Description
Terminated	The ending of an activity.

1.6 Use Case Specification: Update Program Needs

When the offender is terminated from program participation, the Program Provider records the manner in which the offender was terminated. Sample outcome measures include successful completion, incomplete or poor attendance, inter-facility transfer before completing program, and any number of other examples that are relative to the type of program. The provider may retrieve the plan and refer the offender to the next level (advanced) for the program area.

Once a program is complete the update may pertain to the next or advanced levels of program involvement in a specific area. There may also be an identification of new program needs based on the observations of the program provider during the course of the program.

Update Program Needs Activity Diagram

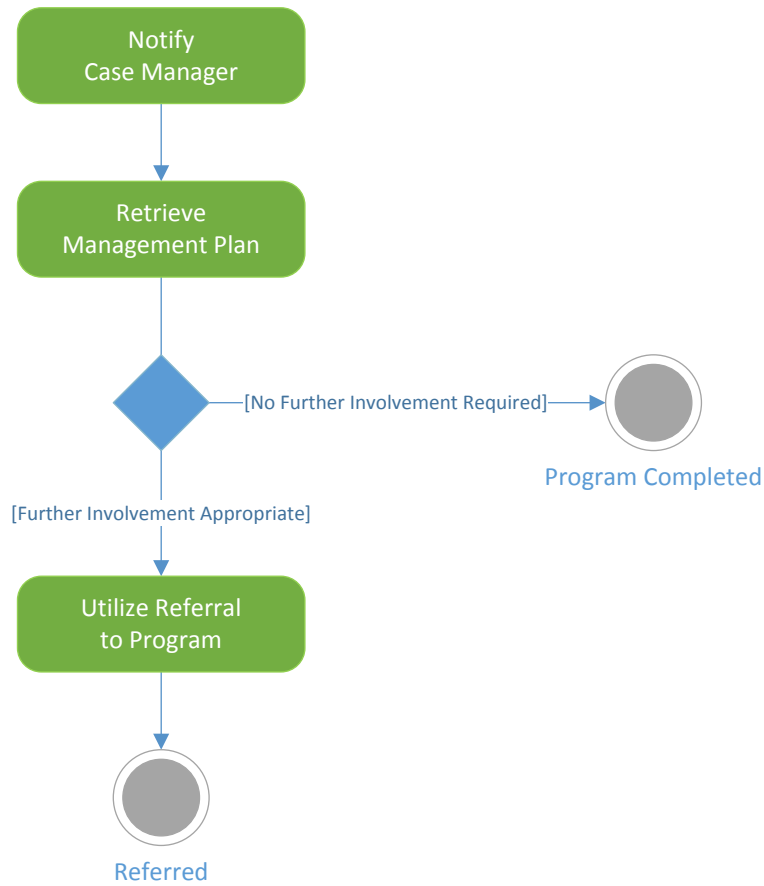


Figure 7: Update Program Needs Activity Diagram

Associated Actor	Relationship	Description
Program Provider	Records	
Case Manager	Reviews	

1.6.1 Flow of Events

Notify Case Manager - Procedures to notify the Case Manager responsible for tracking the progress of the offender.

- Alternative flows:

Detail
There will be notification of the offender’s program status change. There may be a subsequent referral to the next appropriate program made by the program provider, reversing the earlier process where the provider received the referral. The referral may be direct through the provider or from the case manager as a result of the outcome reported by the provider.

Retrieve Management Plan - The current management plan for a specified offender will be obtained for review. The management plan will indicate areas the offender is required to address during the incarceration period and may include specific programs in which the offender is encouraged to participate.

- Data provided: Program Plan.

(If further involvement appropriate) Utilize Referral to Program - The offender management plan is used to produce a referral to a particular program. This referral is based upon the initial assessment of the offender, and the ongoing assessments of progress throughout the incarceration period. The need areas or specific programs may be identified with a priority ranking. The ranking is to ensure the most important need areas are addressed.

- Data provided: Referral.

Pre-Condition	Description
None	
Post-Condition	Description
Referred	When a process is completed that results in a referral of an offender to attend, participate, or some form of assignment, the offender is in a state of referral. This state denotes a review process will be conducted and an approval/acceptance or rejection/denial decision will result.
Program Completed	Instances where all requirements for completion of a program have been satisfied.

Common Business Functions for Correctional Management Systems



IJIS Institute



Volume 2 – Business Scenarios
Part K – Scheduling

*Authored by the IJIS Institute and the
Corrections Technology Association*

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1. BUSINESS FUNCTION: SCHEDULING

This use case encompasses the functions that facilitate offender and activity scheduling within a correctional facility. The Activity Director will follow all applicable policy and regulations pertaining to offender activity assignments within the correctional facility. Offender needs as well as the needs of the facility to perform day-to-day operations are also considered when performing activity assignments. A Facility Schedule Coordinator will review facility needs and create and schedule activities to achieve the mission of the correctional department or agency.

Scheduling Use Case Diagram

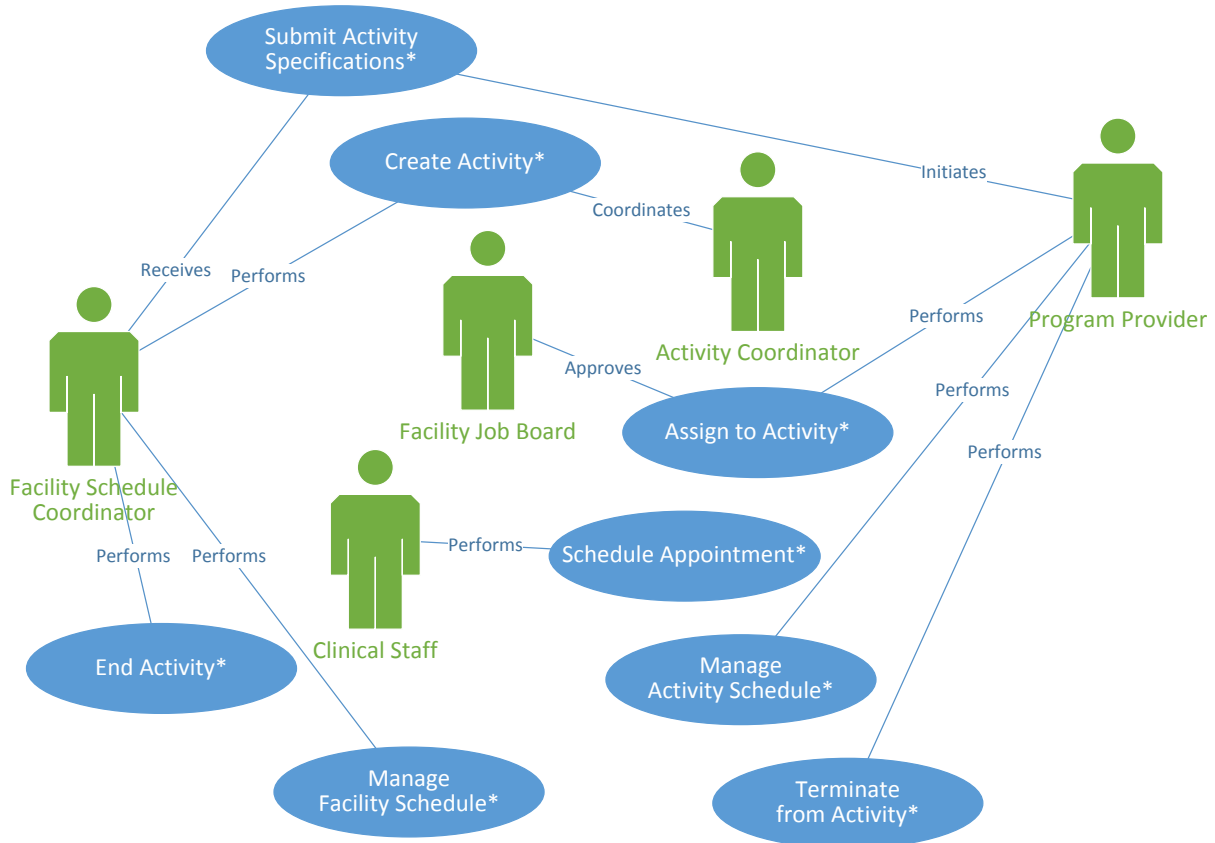


Figure 1: Scheduling Use Case Diagram

1.1 Use Case Specification: Submit Activity Specifications

A request for a new activity or to modify an existing activity is submitted. The request is formulated as a result of either facility or offender needs that have been identified where no program exists to address the needs. The request should include the type of activity, the schedule, location, and approximate number of offenders expected to be assigned. A modification should be able to request a change to schedule, location, or number of offenders. The activity request could also contain an expected termination date if the activity is limited in duration.

Submit Activity Specifications Activity Diagram

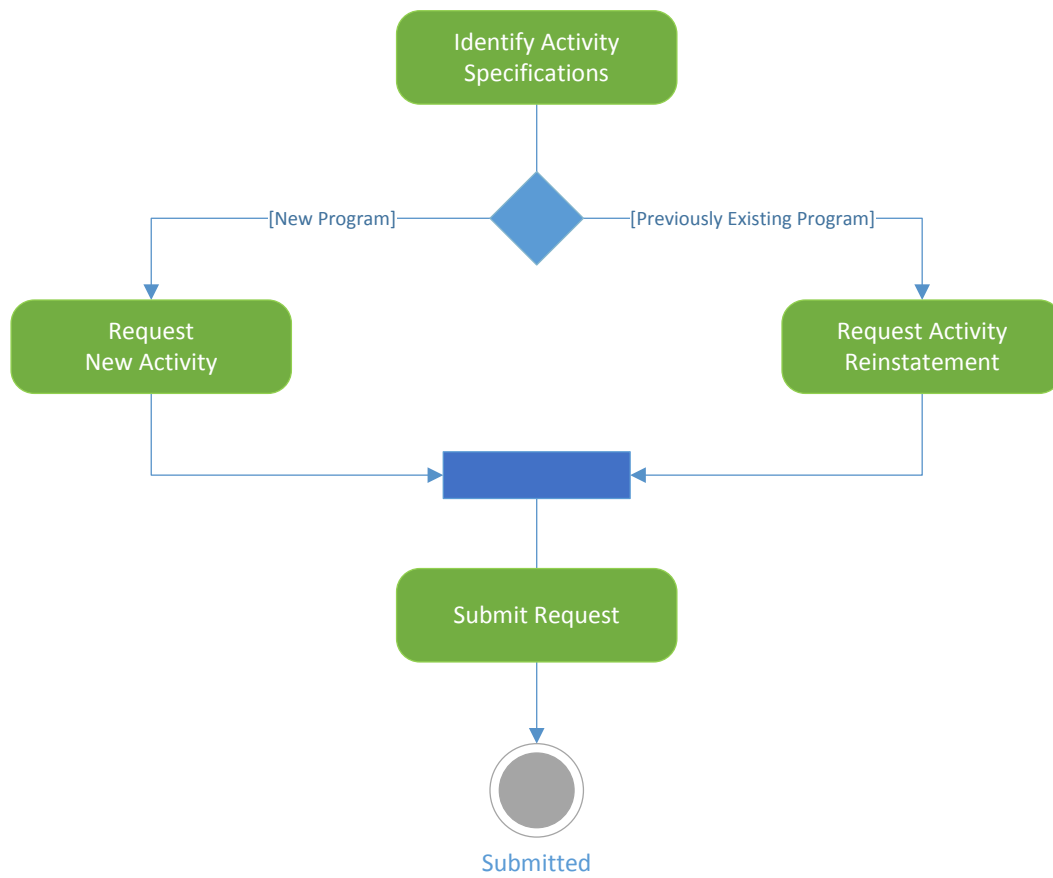


Figure 2: Submit Activity Specifications Activity Diagram

Associated Actor	Relationship	Description
Facility Schedule Coordinator	Receives	
Program Provider	Initiates	The program provide may be a teacher, therapist, work supervisor, housing staff, or any other staff responsible for assignment to a scheduled activity. Staff members from multiple business units may participate in producing activity specifications.

1.1.1 Flow of Events

Identify Activity Specifications - When a request to create an activity is received, the Facility Schedule Coordinator will extract the specifications from a request document and will make a determination if there is a comparable program or activity that already exists. If a comparable program is identified a modification to that program will be initiated to include the specifications submitted in the request. If one is not identified a new program will be created to satisfy the specifications.

- Data provided: Program Specifications, Program Specifications.

(If New Program) Request New Activity - When it is determined that an activity does not exist that will provide for specified needs, a request is initiated to produce or create a new activity to satisfy these needs. This request will include details about the activity that are necessary in the decision making process that will result in the appropriate authorization or denial of the request.

(If previously existing program) Request Activity Reinstatement - When it is determined an activity currently is not active, but does not provide for all needs outlined in the activity specification, a request is initiated to modify program to satisfy these needs. The request to reinstate an activity will include details about specific time and location of the activity. If these have not changed, the old specifications may be resubmitted. The request will include sufficient information to formulate a decision that will result in an appropriate authorization or denial of the request.

Submit Request - A formal request is submitted to initiate an action or omission. It assumes the request will be documented and will require a review process that will result in either an authorization or denial of the action or omission.

- Data provided: Request Document.

Pre-Condition	Description
None	
Post-Condition	Description
Submitted	Any instance whereby a document is prepared or a verbal communication issued and is offered for consideration, study, or decision.

1.2 Use Case Specification: Create Activity

A new activity must first be created before it will appear on the facility schedule or an offender can be assigned to the activity. There must be the ability to identify location scheduling conflicts or conflicts with time block out for all offenders in the facility. All activities will have a beginning date. Some activities will have an open completion date and will continue until abolished, while others will have an ending date that specifies the completion of the activity.

Associated Actor	Relationship	Description
Facility Schedule Coordinator	Performs	
Activity Coordinator	Coordinates	

1.2.1 Flow of Events

Review Activity Request - The process of reviewing specifications to add or modify an activity for the purposes of creating a new activity or making changes to an existing activity.

Determine Activity Request Type - Determine if the request submitted is an update to an existing activity or a new activity that will be added to the database.

- Data provided: Activity Identifiers.

- Alternatives flows:

Detail
 The coordinator for the specific activity in the facility may have approval authority for any new activities within their area. If there are conflicts between activities in areas covered by two coordinators, the conflict may be resolved through the facility schedule coordinator.

Create Activity Activity Diagram

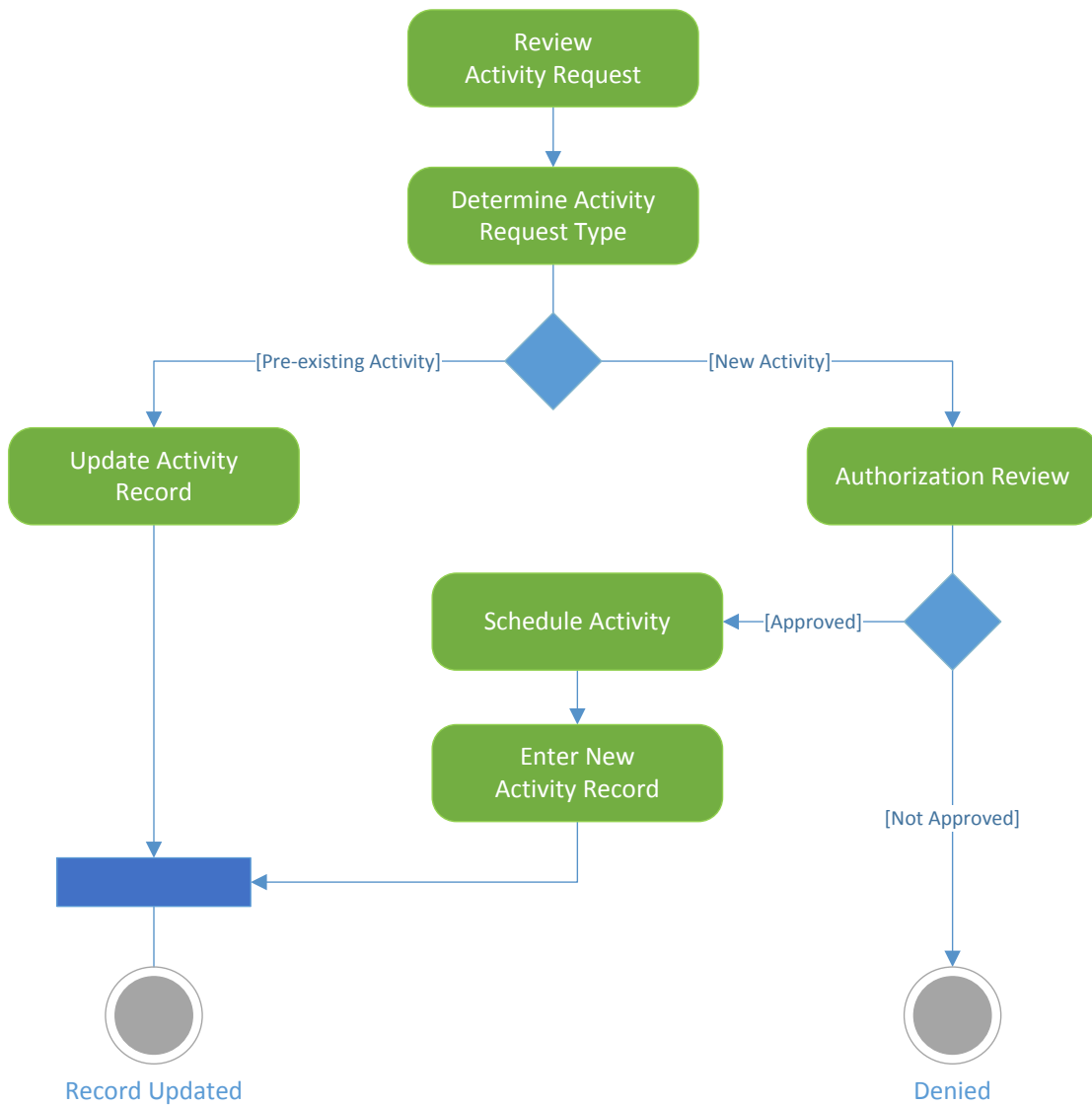


Figure 3: Activity Diagram for Create Activity

(If Pre-existing Activity) Update Activity Record - When activity has been created in the system, it will be updated with changes or addendum information as needed.

(If New Activity) Authorization Review - Review of an action or document by one in authority in order to make a determination of approval or denial based upon policy or rule defined by the correctional department/agency.

- Data provided: Denial Notification, Authorization Data, Activity Specifications.

(If Approved) Schedule Activity - The process of reviewing activity specifications and assigning days and times the activity is to be held. The process includes assessment of facility needs and existing activities to determine scheduling needs.

- Data provided: Activity Schedule, Staff Identifiers.
- Alternatives flows:

Detail
If the activity is a paid program, such as work, the pay rate for each position would be set up at the time the activity is scheduled and made ready for assignments.

Enter New Activity Record - The specifications of the activity will be defined and a record of the activity will be produced.

Pre-Condition	Description
None	
Post-Condition	Description
Record Updated	Instances where a record is successfully updated in a database or other recordkeeping system.
Denied	A review has resulted in a decision to deny a request or action.

1.3 Use Case Specification: Assign to Activity

The process of reviewing offender information and making assignments to activities is based upon policy and both facility and offender needs. In some instances, a review of this process may be conducted by a board of employees representing service areas of the facility, including security and housing.

Associated Actor	Relationship	Description
Program Provider	Performs	
Facility Job Board	Approves	Facility job boards or other review committees may review recommended assignments to jobs and/or programs prior to final placement. This review may be for all activities or specific activities. This review may take into consideration custody issues, risk factors such as affiliations (STG) or other separation issues.

1.3.1 Flow of Events

Retrieve Activity Assignment Request - A request for an offender assignment to a specific activity may come from various sources, including the staff person responsible for making the actual assignment. The

request may be for an activity with a specific time and location or it may be for the type of activity, which has several slot options available.

- Data provided: Offender Identifiers, Activity Identifiers.

Assign to Activity Activity Diagram

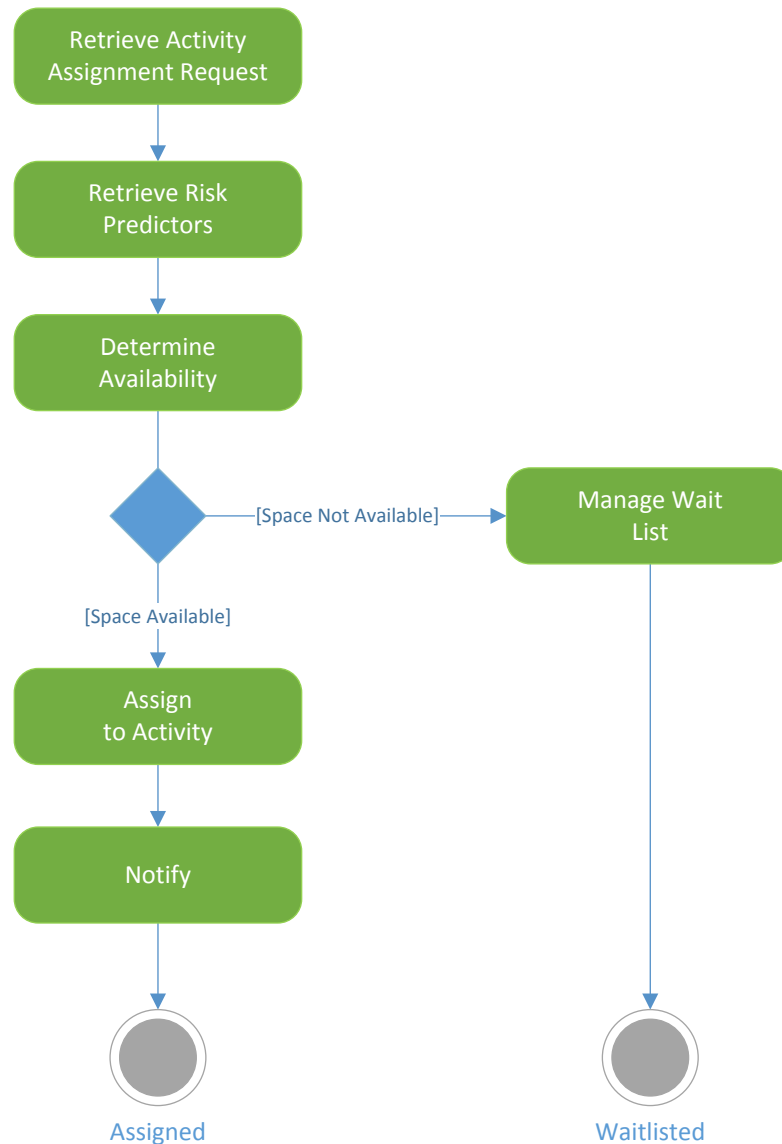


Figure 4: Activity Diagram for Assign to Activity

Retrieve Risk Predictors - At the time an offender is initially classified during the intake process, institutional behavior information for the current incarceration is not available. Other risk factors may be available such as socio economic status, family characteristics, detention history and other risk factors such as a history of violence, gang affiliation, and separation issues.

These risk factors may be updated throughout the offender’s incarceration period and used for activity, facility, and community placement decisions.

- Data provided: STG Affiliation, Security Risk Data.

Determine Availability - A determination must be made as to whether or not an activity is available to an offender at the time of the request. Activities may not be available for several reasons including, currently full, currently not offered (may be scheduled to begin in future), or offender has risk conflicts with the location of the activity or other offenders currently assigned to the activity.

- Data provided: Activity Identifiers, Activity Schedule, Offender Identifiers.

(If Space available) Assign to Activity - The act of assigning an offender to an ongoing activity, which has a time slot and location. These activities might include rehabilitation programs, vocational programs, work assignments or any other scheduled facility activity.

- Data provided: Assignment Notification.

Notify - The notification activity produces and disseminates appropriate information for the purpose of making staff aware of an event and/or initiating action. The staff needing to know must have been identified for each event.

(If space not available) Manage Wait List - The staff person responsible for a particular activity may desire specific changes be made to the activity that might affect the facility schedule as well as that of assigned offenders. The specifics may include time, location, and duration of the activity. The staff person would have the ability to review potential conflicts prior to requesting the change and to assist in specific option choices. Conflicts identified may be between scheduled activities, which rules define as mutually exclusive, or may also be between individual offenders participating in various activities, which rules prevent conflict, or the order of precedent might remove the offender from the activity being modified.

Offender availability may have changed due to a change in facility assignment where the program is no longer available, in which case the offender is retained on the waiting list pending future facility assignments.

Priority of assignment from the waitlist may be based upon the length of time since having been placed on the list, but may also be based upon time to parole eligibility date (PED), severity of needs (public safety risk), or maintenance needs.

The waiting list management includes removal from the list when the offender is released from the jurisdiction of the corrections department/agency.

Pre-Condition	Description
None	
Post-Condition	Description
Assigned	Assignment is where a relationship has been established between a staff member and an offender or activities. Examples include enrollment of the offender in an education program or listing an offender on a case load. In some instances assignment is the retention of an existing assignment after a review process is performed and the relationship continues as it was prior to the review.
Waitlisted	Instances when an offender is added to a waiting list pending facility transfer, availability, or other factors related to acceptance or assignment to an activity.

1.4 Use Case Specification: Schedule Appointment

One-time activities, such as clinical appointments, would not require the formal process of assigning the offender to an activity. The authorized clinical staff would require the ability to schedule the appointment directly entering this into the schedule. The appointment would then be available to staff as well as trigger appropriate notifications. By established orders of precedence, clinical appointments may override any conflicts.

Schedule Appointment Activity Diagram

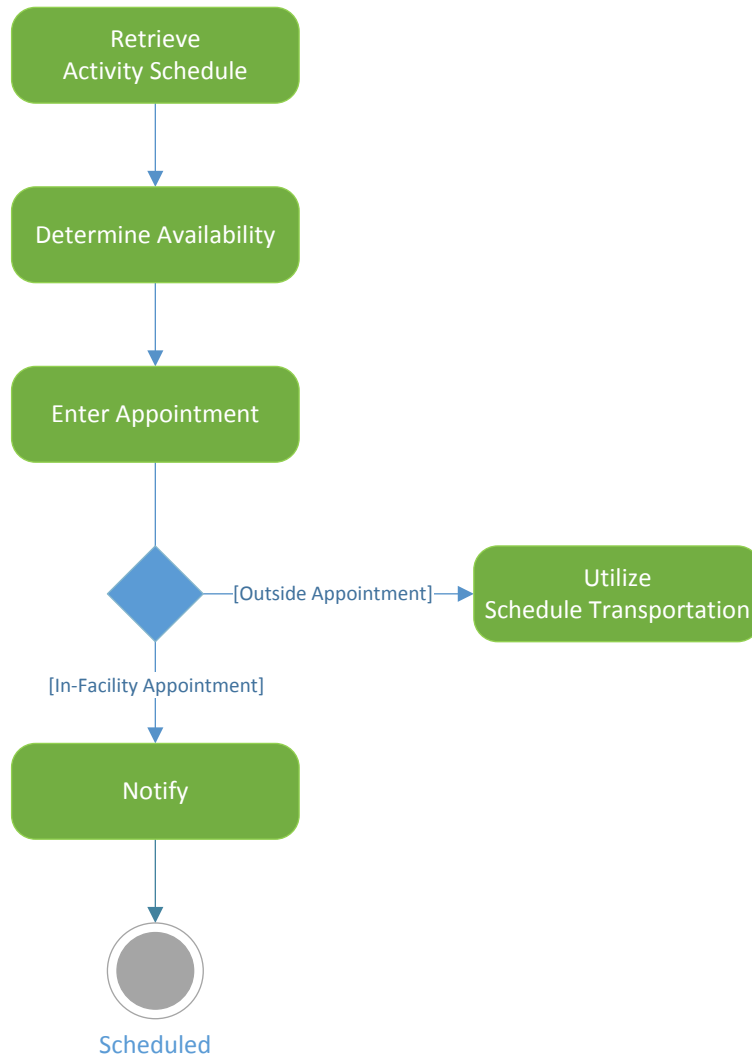


Figure 5: Schedule Appointment Activity Diagram

Associated Actor	Relationship	Description
Clinical Staff	Performs	

1.4.1 Flow of Events

Retrieve Activity Schedule - Access information sources to obtain activity summary or detail information. In some agencies, a central management area will maintain activity schedule information utilizing methods that can be readily viewed. The information retrieved is subject to security permissions, and in some instances, the information will be filtered for specific functional units or facilities.

- Data provided: Schedule Data.

Determine Availability - A determination must be made as to whether or not an activity is available to an offender at the time of the request. Activities may not be available for several reasons including, currently full, currently not offered (may be scheduled to begin in future), or offender has risk conflicts with the location of the activity or other offenders currently assigned to the activity.

Enter Appointment - An appointment is entered based on availability of clinical resources as well as facility requirement constraints. Conflicts within the offenders schedule may be considered but are often resolved through an order of precedents. The appointment is entered into the offender schedule and becomes available to all appropriate staff.

(If in-facility appointment) Notify - The notification activity produces and disseminates appropriate information for the purpose of making staff aware of an event and/or initiating action. The staff needing to know must have been identified for each event.

(If outside appointment) Utilize Schedule Transportation - Transportation reasons include but are not limited to court hearings, outside medical appointments, and inter-facility transport. In the case of inter-facility movement, after the facility that best meets the system and offender's needs has been selected, the offender is scheduled to move through central transportation. This could involve the assignment of offender to a waiting list for facility transfer.

Date of transport is based on the most efficient routing and combinations of other transportation needs. The central offender management primarily uses a status board to compile information on the status of bed availability.

A notification process may be initiated when an offender is scheduled for transfer to a specified location, or to a facility with reduced security safeguards.

Pre-Condition	Description
None	
Post-Condition	Description
Scheduled	The assignment to an event schedule.

1.5 Use Case Specification: Manage Activity Schedule

The process of managing activity schedule for day-to-day operations and exceptions such as facility disruption, holidays, etc.

Associated Actor	Relationship	Description
Program Provider	Performs	

Manage Activity Schedule Activity Diagram

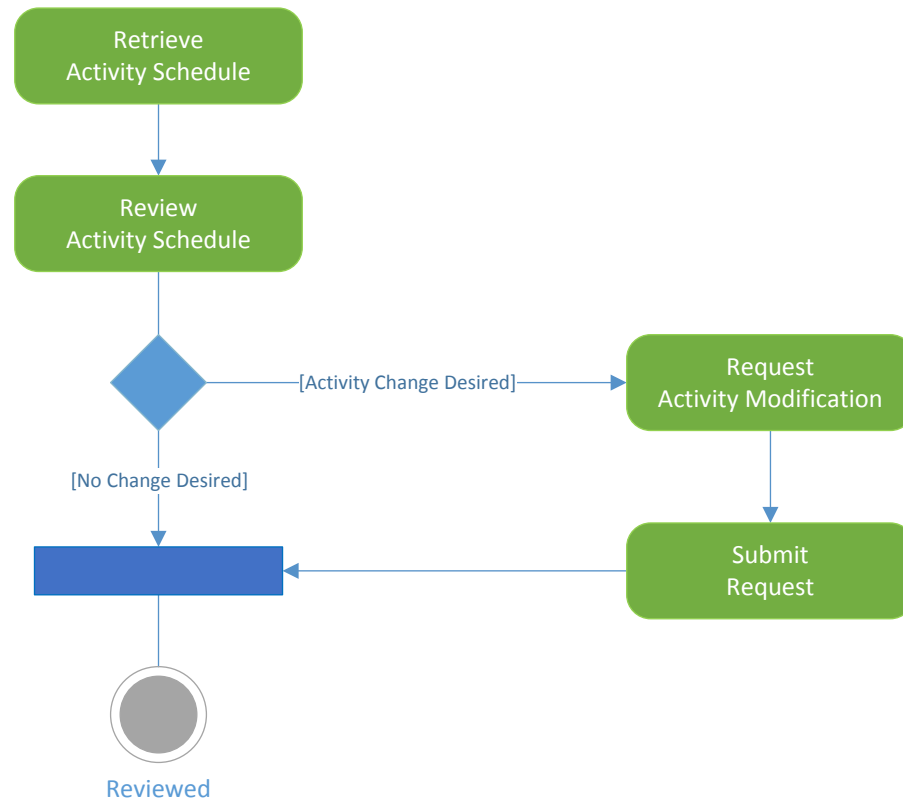


Figure 6: Manage Activity Schedule Activity Diagram

1.5.1 Flow of Events

Retrieve Activity Schedule - Access information sources to obtain activity summary or detail information. In some agencies, a central management area will maintain activity schedule information utilizing methods that can be readily viewed. The information retrieved is subject to security permissions, and in some instances, the information will be filtered for specific functional units or facilities.

- Data provided: Activity Schedule.

Review Activity Schedule - Activity schedules are reviewed as needed to determine resource needs and identify existing or potential conflicts. Security assessments are an essential element with regard to offender management concerns. Instances where issues are identified, schedule corrections are initiated, and notifications disseminated to all coordinators and participants using appropriate methods.

(If activity change desired) Request Activity Modification - Staff responsible for a particular activity may desire specific changes be made to the activity that might affect the facility schedule as well as that of assigned offenders. The specifics may include time, location, and duration of the activity.

There would be the ability to review potential conflicts prior to requesting the change, to assist in specific option choices.

- Data provided: Activity Schedule.
- Alternatives flows:

Detail	
If the program is a paid program and the modification is to adjust the pay rate or add positions, the pay rate modifications would be included with the submission of the request.	

Submit Request - A formal request is submitted to initiate an action or omission. It assumes the request will be documented and will require a review process that will result in either an authorization or denial of the action or omission.

Pre-Condition	Description
None	
Post-Condition	Description
Reviewed	Staff review of past behavior or conditions in respect to future action.

1.6 Use Case Specification: Manage Facility Schedule

The facility schedule requires persistent management and coordination to achieve optimal operational objectives. The daily schedule will include activities and events. Activities include programs, operational processes such as food preparation and serving, laundry exchange, as well as timed security and living unit functions and events.

Manage Facility Schedule Activity Diagram

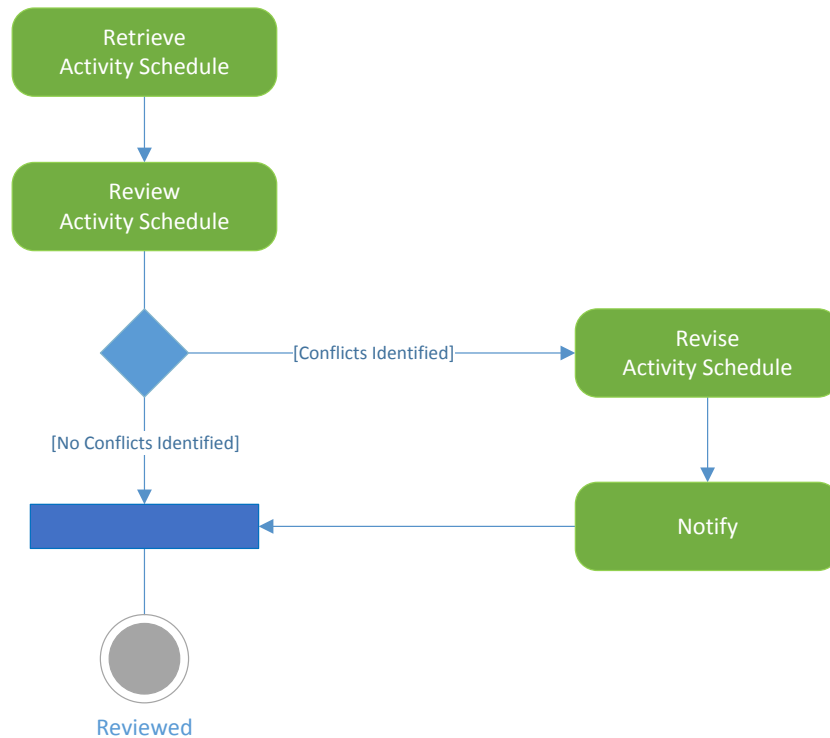


Figure 7: Manage Facility Schedule Activity Diagram

Associated Actor	Relationship	Description
Facility Schedule Coordinator	Performs	

1.6.1 Flow of Events

Retrieve Activity Schedule - Access information sources to obtain activity summary or detail information. In some agencies, a central management area will maintain activity schedule information using methods that can be readily viewed. The information retrieved is subject to security permissions, and in some instances, the information will be filtered for specific functional units or facilities.

- Data provided: Activity Schedule.

Review Activity Schedule - Activity schedules are reviewed as needed to determine resource needs and identify existing or potential conflicts. Security assessments are an essential element with regard to offender management concerns. In instances where issues are identified, schedule corrections are initiated and notifications disseminated to all coordinators and participants using appropriate methods.

Detail
Conflicts may be between scheduled activities, which rules define as mutually exclusive. Conflicts may also be between individual offenders various activities which rules prevent conflict or the order of precedent might remove the offender from the activity being modified.

(If conflicts identified) Revise Activity Schedule - Functions and tasks relative to affecting changes to the activity schedule in order to address identified needs and issues.

- Data provided: Activity Schedule.

Notify - The notification activity produces and disseminates appropriate information for the purpose of making staff aware of an event and/or initiating action. The staff needing to know must have been identified for each event.

Pre-Condition	Description
None	
Post-Condition	Description
Reviewed	Staff review of past behavior or conditions in respect to a future action.

1.7 Use Case Specification: Terminate from Activity

Instances where the offender schedule reflects the ending of a program or activity all appropriate actors are notified of this action. In some instances notification will be directed or forwarded to security staff to reflect the change, insuring security control measures are enforced with regard to access or movement.

Associated Actor	Relationship	Description
Program Provider	Performs	

Terminate from Activity Activity Diagram

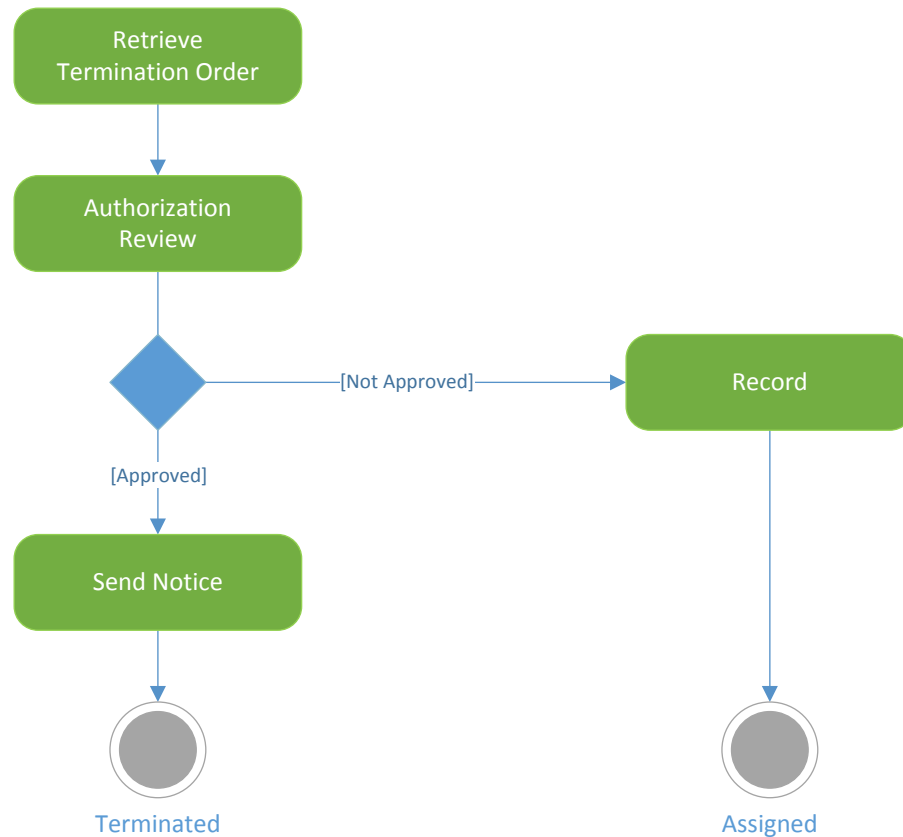


Figure 8: Activity Diagram for Terminate from Activity

1.7.1 Flow of Events

Retrieve Termination Order - Prior to reviewing an order to terminate, the order record is obtained from the storage location.

- Data provided: Termination Order.

Authorization Review - Review of an action or document by one in authority in order to make a determination of approval or denial based upon policy or rule defined by the correctional department/agency.

- Data provided: Denial Reason.

(If Approved) Send Notice - The act of sending a formal notice to communicate a decision or action.

(If not approved) Record - The act of documenting any form of action, decision, or information that is to be placed among official records.

Pre-Condition	Description
None	
Post-Condition	Description
Terminated	The ending of an activity.
Assigned	Assignment is where a relationship has been established between a staff member and an offender or activities. Examples include enrollment of the offender in an education program or listing an offender on a caseload. In some instances, assignment is the retention of an existing assignment after a review process is performed and the relationship continues as it was prior to the review.

1.8 Use Case Specification: End Activity

Activities that are created with an open-ending date require periodic review to determine if they are to be continued. The factors that are considered in making this determination are numerous, but common factors are participation levels (relative to demand) and achievement of goals and objectives. If it is determined that either of these two factors warrant discontinuing the activity, the activity will be terminated.

End Activity Activity Diagram

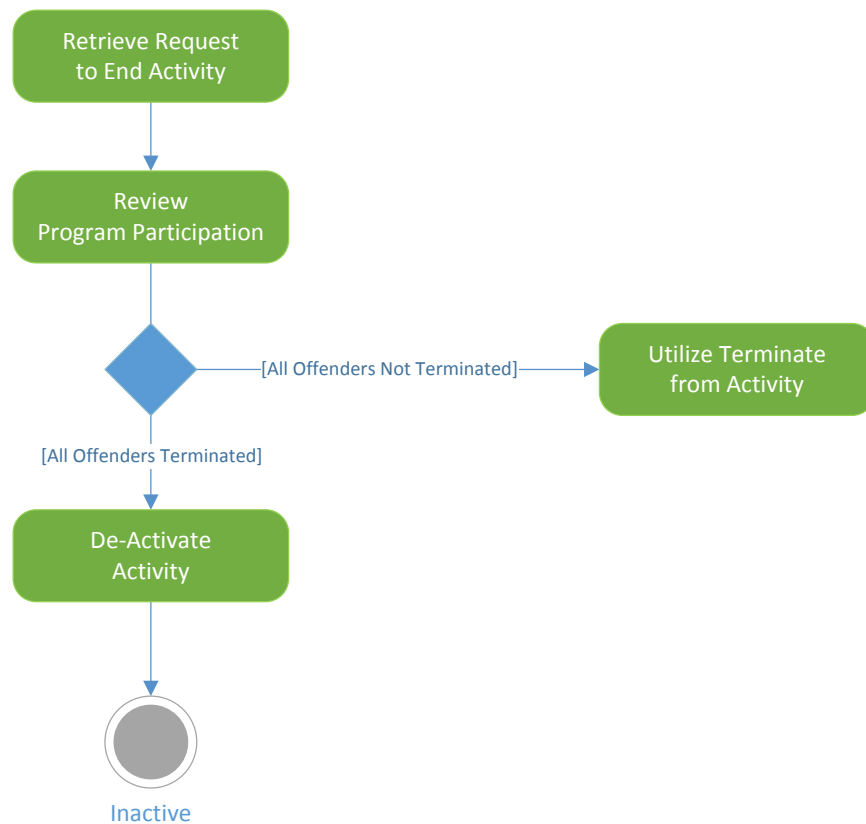


Figure 9: Activity Diagram for End Activity

Associated Actor	Relationship	Description
Facility Schedule Coordinator	Performs	

1.8.1 Flow of Events

Retrieve Request to End Activity - A request will have been submitted to end an activity from the facility schedule. The staff person responsible will require the ability to retrieve the request and related information to proceed.

- Data provided: Activity Schedule, Activity Specifications.

Retrieve Program Participation - Offender program participation should include the status in the program, whether currently assigned, attendance, and the level of participation the offender put forward. This information is needed in measuring program performance as it relates to the offender's identified needs.

- Data provided: Program Participation, Offender Identifiers.

(If all offenders terminated) De-Activate Activity - An activity is de-activated and will no longer show on the facility schedule. The activity will no longer be available for offender assignment.

(If all offenders not terminated) Utilize Terminate from Activity - Instances where the offender schedule reflects the ending of a program or activity all appropriate actors are notified of this action. In some instances, notification will be directed or forwarded to security staff to reflect the change, ensuring security control measures are enforced with regard to access or movement.

Pre-Condition	Description
None	
Post-Condition	Description
Inactive	A status issued to a record that describes and identifies the record as one that is no longer used. The purpose is to eliminate the record for future processing, but retain the record for informational purposes.

Common Business Functions for Correctional Management Systems



IJIS Institute



Volume 2 – Business Scenarios
Part L – Investigation Gang Management

*Authored by the IJIS Institute and the
Corrections Technology Association*

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1. BUSINESS FUNCTION: INVESTIGATION GANG MANAGEMENT

The processes of identifying, validating, and collecting information about offender affiliation and participation with known social groups commonly referred to as gangs or security threat groups (STG), has been accepted as a vital tool in corrections. The establishment of coordinators to perform these tasks is indicative of the importance this information plays in the secure management of offenders. This area encompasses two primary functions that include the collection of valid information and the reporting of the information to appropriate entities.

The information that is collected is often secured with restricted access to detail information. In some jurisdictions, the database is kept separate from the offender tracking system database. Status indicators or flags will communicate to appropriate users of the information that a particular offender has known gang affiliations.

The process begins during the reception process and continues with a periodic review by the coordinator, commonly referred to as the STG Officer. The STG Officer completes the screening process and validates suspected offenders with an affiliation. The STG Officer collects relevant information and maintains records of offender affiliation and activity. The STG officer disseminates this information to affect security management objectives.

A more comprehensive management plan may exist in some jurisdictions where offenders may be required to participate and successfully complete programs intended to address their gang participation behavior. These programs may be tied to the offender the management plan, or in some way be tied to requirements for progression through the system

Investigation Gang Management Use Case Diagram

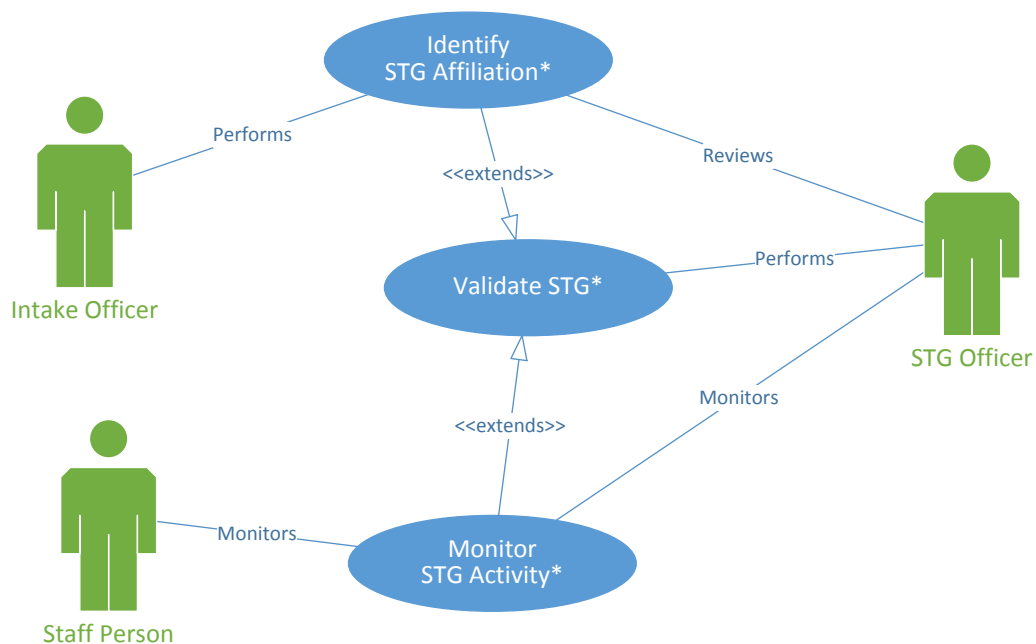


Figure 1: Investigation Gang Management Use Case Diagram

1.1 Use Case Specification: Identify STG Affiliation

During intake processing, the offender will be interviewed and submitted to body search. If the offender arrives with property, the property will be searched for contraband and inventoried. During these activities, the staff person will be vigilant to detect STG affiliation indicators. Some jurisdictions have incorporated a questionnaire and/or checklist for staff to use as part of the interview process. The information gathered using these methods will result in a suspicion of STG affiliation, or a self-admission from the offender. The information is forwarded to the STG Officer for review and verification.

STG Affiliation Activity Diagram

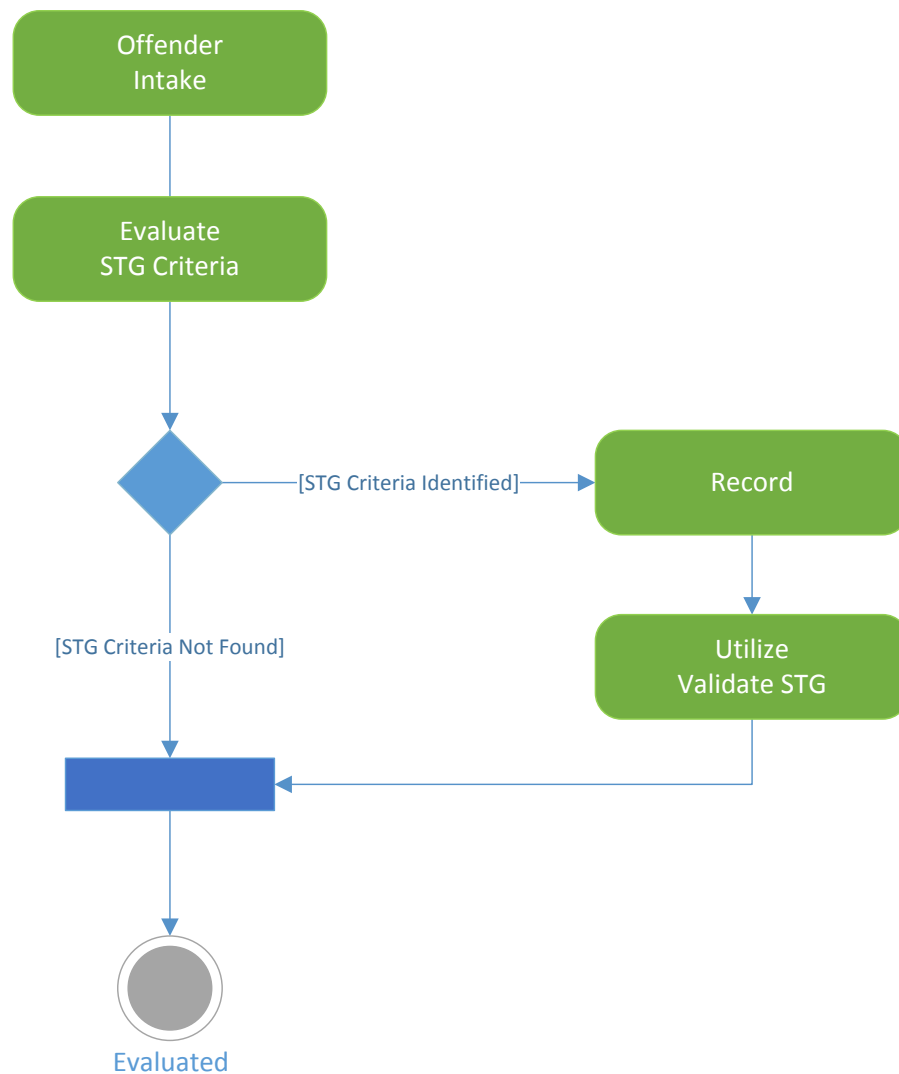


Figure 2: Identify STG Affiliation Activity Diagram

Associated Actor	Relationship	Description
STG Officer	Reviews	<p>The intake process may be the reception point for official documents where gang affiliation is identified and confirmed. The interview process may also reveal criteria factors that indicate affiliation, such as self-admission. During intake processing, the offender may be identified as a repeat offender resulting in reactivation or linking to historical information that includes threat group affiliation.</p> <p>The intake officer will perform screening for gang affiliation as one component of the intake process. A search of the offender will be routinely conducted to screen for contraband items, but, at the same time, the intake officer is looking for visual evidence of gang affiliation such as tattoos, written documentation among personal belongings, photos, or observed behavior.</p> <p>The intake process may be the reception point for official documents where gang affiliation is identified and confirmed. The interview process may also reveal criteria factors that alludes to affiliation, such as self-admission.</p>
Intake Officer	Performs	Screening for affiliation may be performed by one or more individuals removed from the intake process.

1.1.1 Flow of Events

Offender Intake - Point of offender reception into the system or facility.

- Data provided: Admission Summary.

Evaluate STG Criteria - Review information in order to determine if criteria exists to classify an offender as an STG affiliate. If there is sufficient evidence to support the affiliation, the offender will be associated with a threat group and classified based upon their level of participation.

- Data provided: STG Affiliation Information.

(If STG criteria identified) Record - The act of documenting any form of action, decision, or information that is to be placed among official records.

Utilize Validate STG - Most jurisdictions have a policy in place to review the affiliation of an individual with a security threat group. In some instances, the policy is required by statutory law. The review will be required to be performed within a defined time period. Absence of dated evidence supporting the affiliation will result in removal of the individual's affiliation with a specific group. Evaluation of supporting evidence may result in a change in participation level.

In addition to certification of individual participation, the security threat group is also re-evaluated on a periodic basis. Data is analyzed to determine if a particular group is maintaining an active participation affiliation, and is actively involved in security threat activities. A decline in either may result in removal of the group from the list of active STG entities. In addition to a periodic review, an event involving the offender in a STG activity may trigger an unscheduled review.

In most jurisdictions, an objective point assessment is used to validate an affiliation and rank offenders into various affiliation levels within an identified group. In most cases, a validation process will conclusively support the identification, but, in some instances, the validations are ambiguous or non-existent. Generally, it is a preponderance of evidence that ultimately results in a determination that an offender is affiliated with a threat group. Once identified and validated, the screening process will group offenders into multiple levels. These levels are generally based upon participation, which are described as passive, active, and disruptive, or variations of the three.

Pre-Condition	Description
None	
Post-Condition	Description
Evaluated	This is the result of an evaluation process whereby a rating is assigned for performance or participation.

1.2 Use Case Specification: Validate STG

Most jurisdictions have a policy in place to review the affiliation of an individual with a security threat group. In some instances, the policy is required by statutory law. The review will be required to be performed within a defined time period. Absence of dated evidence supporting the affiliation will result in removal of the individual's affiliation with a specific group. Evaluation of supporting evidence may result in a change in participation level.

In addition to certification of individual participation, the security threat group is also re-evaluated on a periodic basis. Data is analyzed to determine if a particular group is maintaining an active participation affiliation, and is actively involved in security threat activities. A decline in either may result in removal of the group from the list of active STG entities. In addition to a periodic review, an event involving the offender in a STG activity may trigger an unscheduled review.

In most jurisdictions, an objective point assessment is used to validate an affiliation and rank offenders into various affiliation levels within an identified group. In most cases, a validation process will conclusively support the identification, but, in some instances, the validations are ambiguous or non-existent. Generally, it is a preponderance of evidence that ultimately results in a determination that an offender is affiliated with a threat group. Once identified and validated, the screening process will group offenders into multiple levels. These levels are generally based upon participation, which are described as passive, active, and disruptive, or variations of the three.

Associated Actor	Relationship	Description
STG Officer	Performs	

1.2.1 Flow of Events

Retrieve STG Information - Information regarding security threat group affiliation will be obtained from available sources in order to determine if appropriate notifications should be made.

- Data provided: Offender Identifiers, STG Affiliation Information.

Retrieve STG Record (New) - Access files to obtain STG information kept on record.

Validate STG Activity Diagram

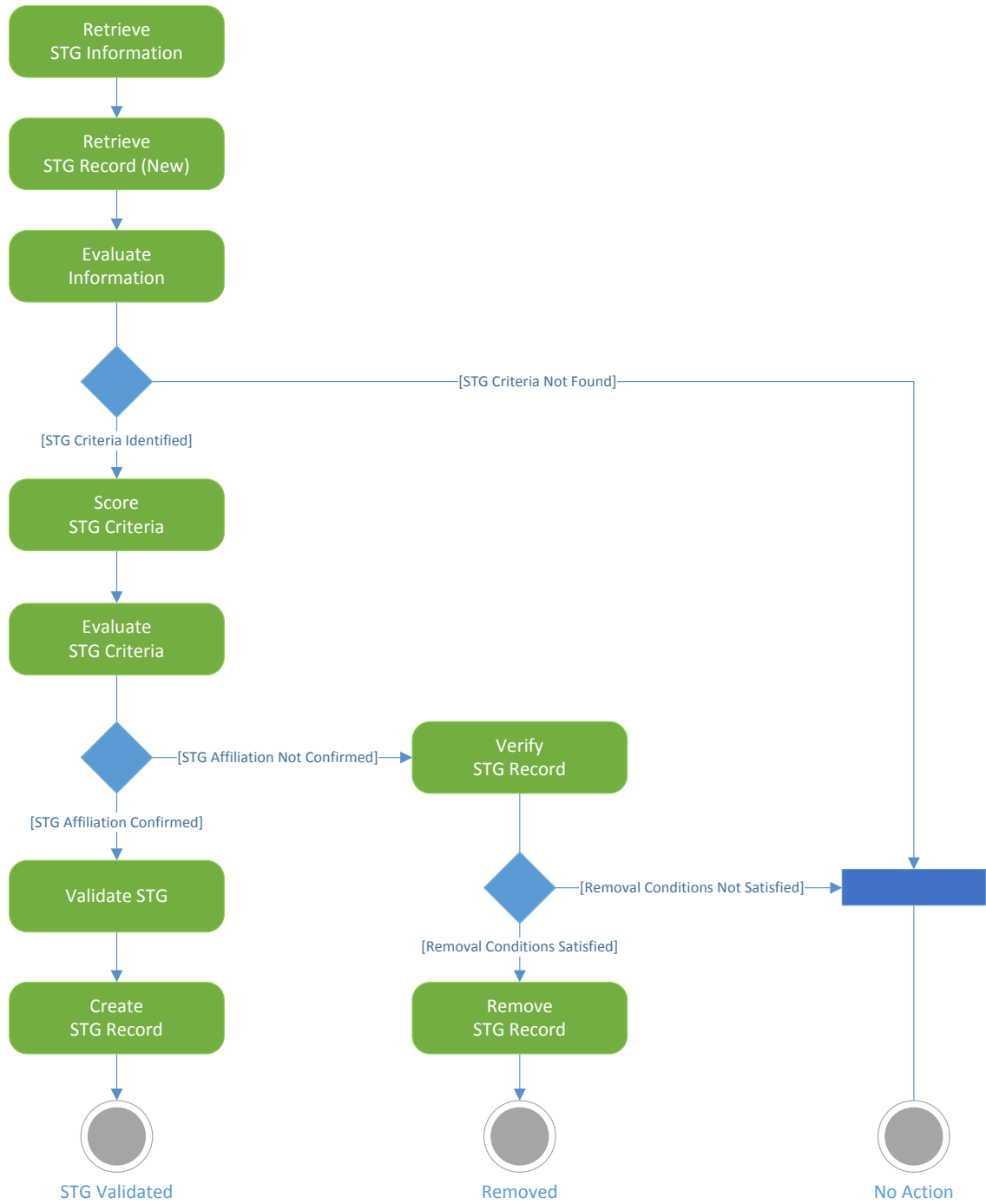


Figure 3: Validate STG Activity Diagram

Evaluate Information - Evaluate information obtained from one or more sources for the purpose of making a determination.

- Data provided: STG Affiliation Information.

(If STG criteria identified) Score STG Criteria - Criteria includes STG-related activity, history, affiliation, and confirmation by other law enforcement or corrections agencies. Each criteria factor is rated with a score in order to determine affiliation level. The offender will be classified as passive, active, or disruptive.

- Data provided: Affiliation Levels, Affiliation Criteria.

Evaluate STG Criteria - Review information in order to determine if criteria exists to classify an offender as an STG affiliate. If there is sufficient evidence to support the affiliation, the offender will be associated with a threat group and classified based upon their level of participation.

- Data provided: STG Affiliation.

(If STG affiliation confirmed) Validate STG - An objective point assessment is performed and used to validate offenders into various affiliation levels within an identified security threat group. The criteria factors used include self-admission, possession of STG contraband, tattoos, observed behavior, STG correspondence, photos, official document identification, or law enforcement agency identification.

Create STG Record - When affiliation or the existence of a security threat group is validated, a record is produced. The existence of this record acts as a flag to communicate to staff that an offender is associated with one or more security threat groups. The record will provide appropriate information to decision makers in making offender and facility management decisions. This record is maintained separate from the offender working record, with specific indicators made available as appropriate to alert authorized staff view the information to be informed of STG affiliation.

(If STG affiliation not confirmed) Verify STG Record - The validation process determined there was or is no longer an affiliation with a specific security threat group. Any pre-existing record of STG affiliation will be removed provided the time period requirements have been satisfied.

- Alternatives flows:

Detail
Some jurisdictions retain the record of affiliation but set it to inactive. The information is available to select individuals performing intelligence-related tasks, but the information is no longer used for classification, assignments, etc.
When an offender had previously been identified as an STG affiliate, and recent scoring determines they are no longer affiliated with a specific threat group, the record of the previous affiliation is removed.
In instances where an STG affiliation exists, taking no action as a result of the validation process will result in an update of the existing record, starting the time-clock over for the next mandatory review period

(If removal conditions satisfied) Remove STG Record - When pre-existing affiliation with a security threat group can no longer be substantiated, or a previously identified threat group has little or no active affiliations, all records are purged. With individuals, the affiliation record is removed to avoid falsely labeling that person.

Pre-Condition	Description
None	
Post-Condition	Description
STG Validated	Validated as an individual affiliated with a security threat group, or as an active threat group with substantial affiliation participation.
Removed	The completed elimination from pre-existing status.
No Action	When a decision or determination process results in no action taken.

1.3 Use Case Specification: Monitor STG Activity

A key role of the STG Officer is to monitor security threat group activity, collect and coordinate information, perform a thorough analysis of that information, and advise decision makers of potential risks associated with STG members. To perform this service, the STG officer uses information supplied by staff members documented in incident reports and from interviews with offenders. The product of this work provides intelligence information that may be used with offender classification, coordinating offender separations related to living unit, work, and program assignments.

Associated Actor	Relationship	Description
Staff Person	Monitors	During the regular course of performing assigned duties, staff will be watchful of activity that may be indicative of STG activity. This includes detection of STG affiliation indicators such as tattoos, symbols, and other means of communicating association with an identified threat group.
STG Officer	Monitors	

1.3.1 Flow of Events

STG Status Review - The STG Officer monitors events that will initiate a review of the STG validation process, as well as perform mandatory reviews defined by policy. Events include information obtained from incident or misconduct reports, interviews with offenders, or from other sources communicating information that would suggest a review take place.

- Data provided: Offender Identifiers, Incident Detection Information.

Evaluate Information - Evaluate information obtained from one or more sources for the purpose of making a determination.

- Data provided: STG Affiliation Information, Suspected STG Activity.

(If STG criteria identified) Check STG Validation - Search for active STG records to determine if an offender has active affiliations.

- Data provided: STG Affiliation, STG Affiliation Information.

Detail
STG affiliation is suspected, therefore, information is processed to validate STG status.

Monitor STG Activity Diagram

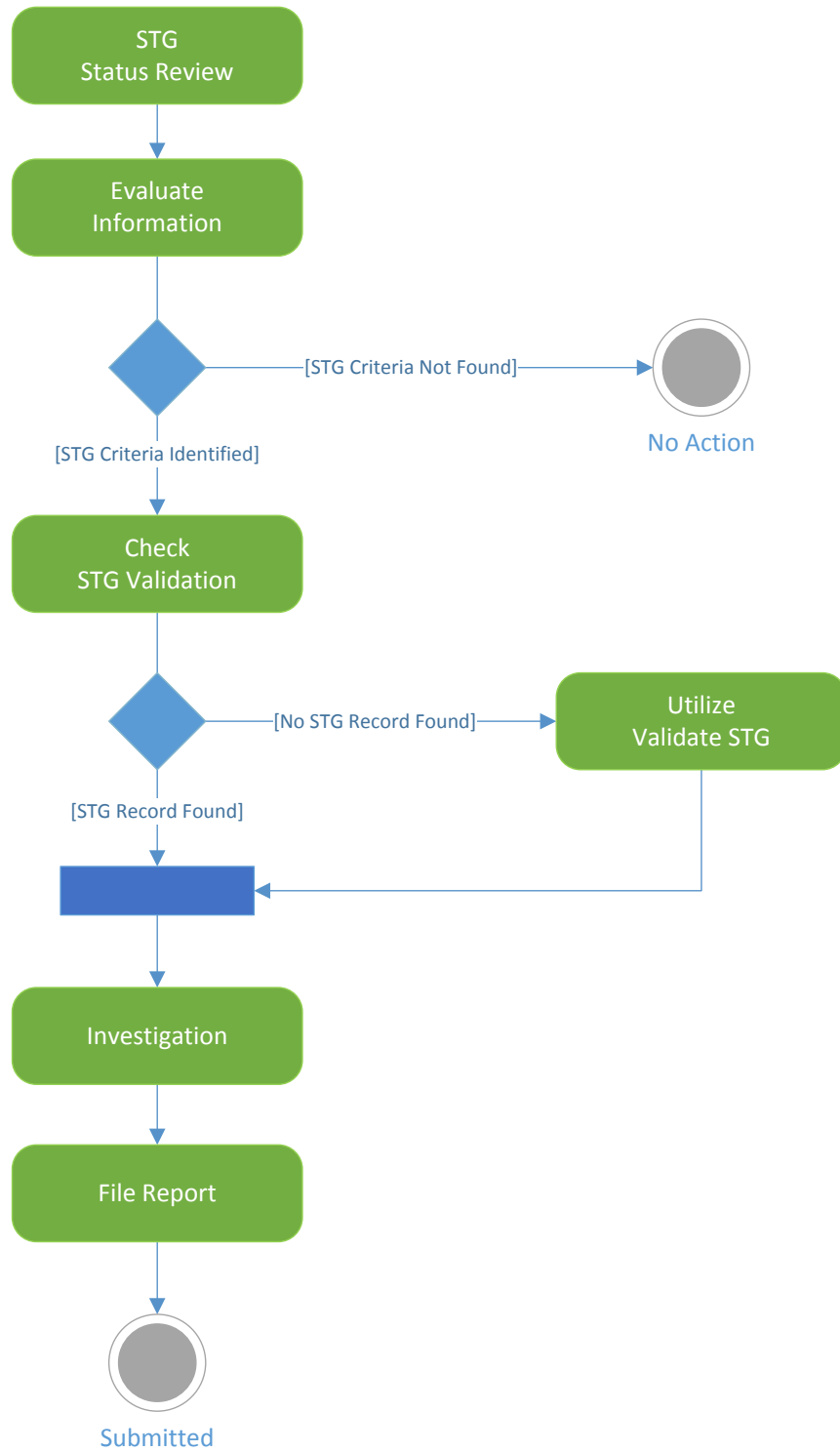


Figure 4: Monitor STG Activity Diagram

(If no STG record found) Utilize Validate STG - Most jurisdictions have a policy in place to review the affiliation of an individual with a security threat group. In some instances, the policy is required by statutory law. The review will be required to be performed within a defined time period. Absence of dated evidence supporting the affiliation will result in removal of the individual's affiliation with a specific group. Evaluation of supporting evidence may result in a change in participation level.

In addition to certification of individual participation, the security threat group is also re-evaluated on a periodic basis. Data is analyzed to determine if a particular group is maintaining an active participation affiliation, and is actively involved in security threat activities. A decline in either may result in removal of the group from the list of active STG entities. In addition to a periodic review, an event involving the offender in a STG activity may trigger an unscheduled review.

In most jurisdictions, an objective point assessment is used to validate an affiliation and rank offenders into various affiliation levels within an identified group. In most cases, a validation process will conclusively support the identification, but, in some instances, the validations are ambiguous or non-existent. Generally, it is a preponderance of evidence that ultimately results in a determination that an offender is affiliated with a threat group. Once identified and validated, the screening process will group offenders into multiple levels. These levels are generally based upon participation, which are described as passive, active, and disruptive, or variations of the three.

Investigation - An inquiry of an event or incident that includes the review of evidence, interviewing of witnesses, and any other associated intelligence regarding the matter.

- Data provided: Verified STG Activity.

File Report - Produce and record detail information about an event or activity that can be retrieved and reviewed as needed.

Pre-Condition	Description
None	
Post-Condition	Description
No Action	When a decision or determination process results in no action taken.
Submitted	Any instance where a document is prepared or a verbal communication is issued and is offered for consideration, study, or decision.

Common Business Functions for Correctional Management Systems



IJIS Institute



Volume 2 – Business Scenarios
Part M – Property

*Authored by the IJIS Institute and the
Corrections Technology Association*

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1. BUSINESS FUNCTION: PROPERTY

This use case describes functions for tracking offender property. Functions include the receipt, transfer, storage, maintenance, release, and disposal of offender personal property and items brought with them during arrival processing, issued by the corrections department/agency, or received from approved sources.

Property Use Case Diagram

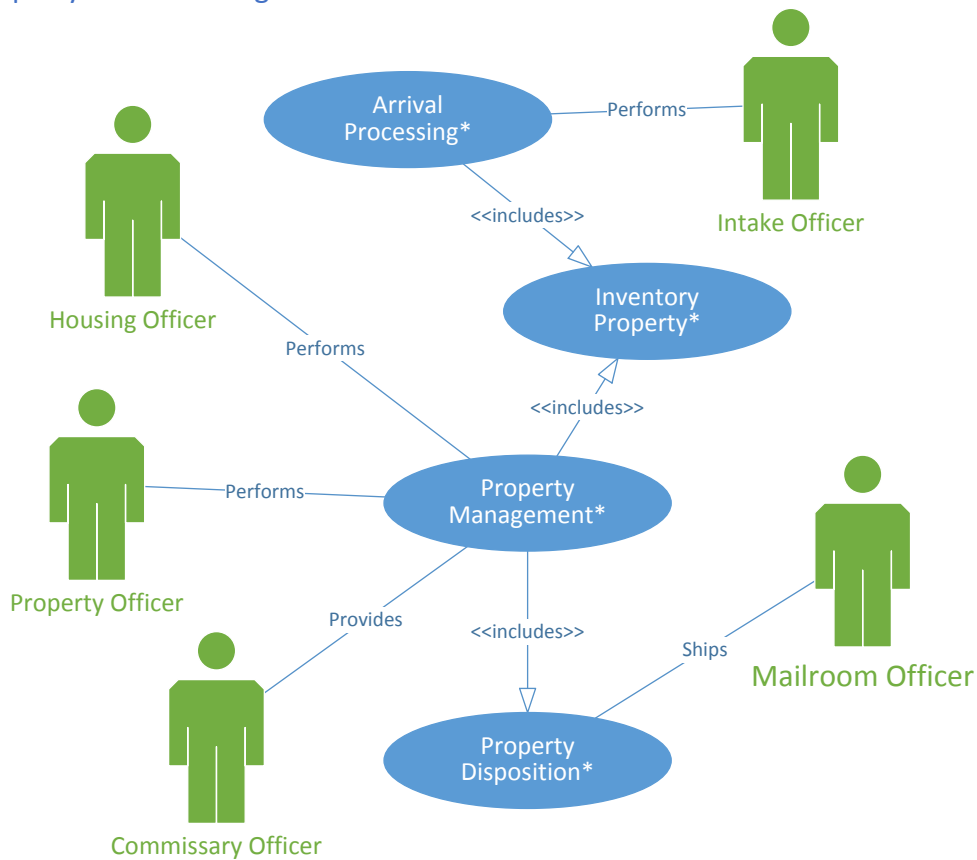


Figure 1: Property Use Case Diagram

1.1 Use Case Specification: Arrival Processing

Processes associated with the arrival of the offender at the correctional department/agency, including identification processing, receipt and initial inventory of property, clothing issuance, and living assignments.

Associated Actor	Relationship	Description
Intake Officer	Performs	In some jurisdictions, the intake officer will perform all the property control tasks. Generally the Intake Officer will search property for contraband, list the property received on a form that is signed by both the offender and staff person for receipt purposes, and placed in temporary storage until the Property Officer can take possession.

Arrival Processing Activity Diagram

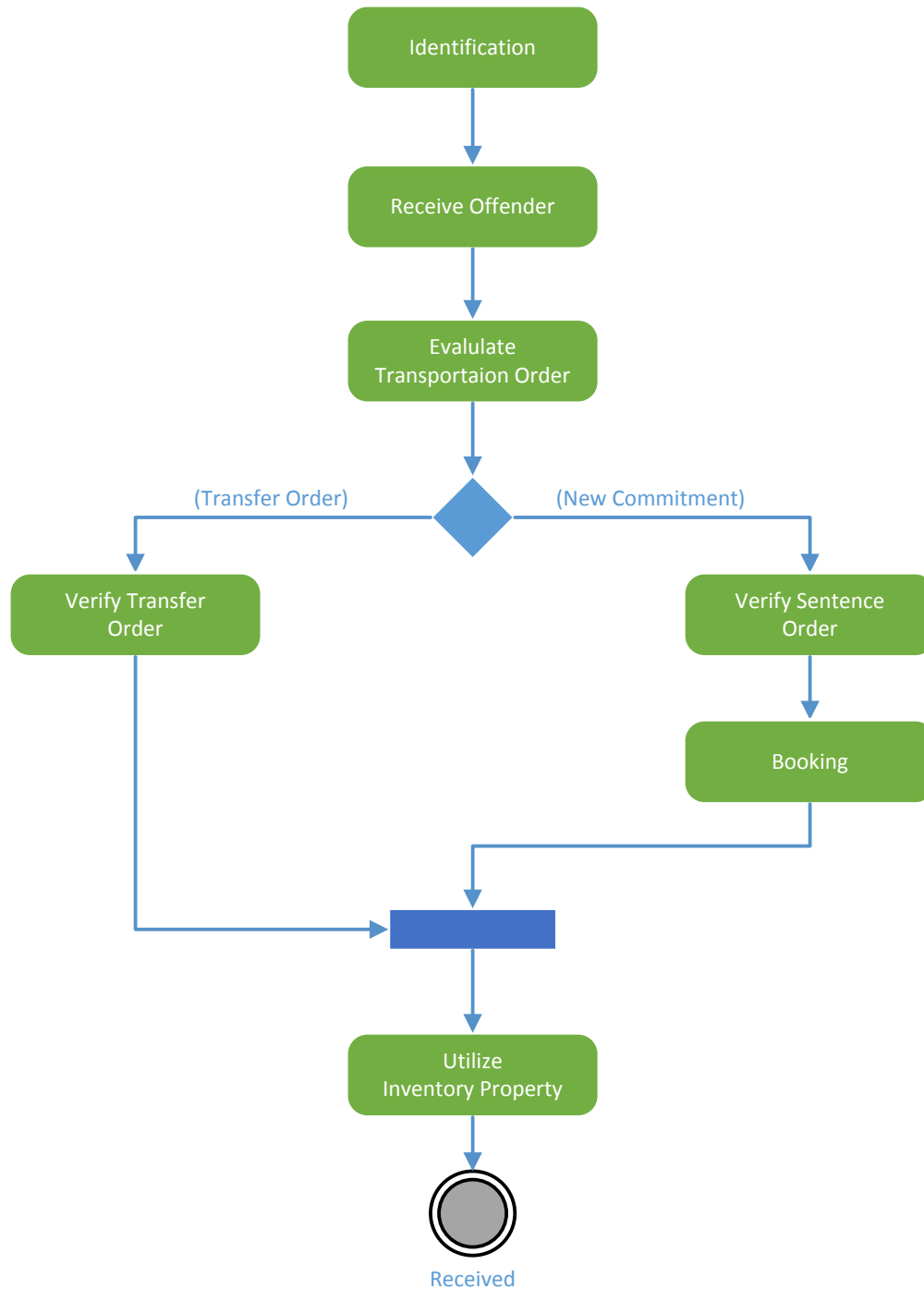


Figure 2: Arrival Processing Activity Diagram

Detail
The Intake Officer will perform a high-level inventory of offender property upon arrival at the facility. This inventory may be the verification of a property list sent with the Transportation Officer. In some instances, a receipt will be issued for items of value.

1.1.1 Flow of Events

Identification - Staff validates the identification of an individual using with appropriate documentation such as sentencing order with demographics. This process may include the matching of pre-existing records with the individual to associate historical commitment information with a new incarceration.

- Data provided: Demographic Characteristics.

Receive Offender - An offender is received into a facility either from a correctional facility, county jail, or other external jurisdiction. The offender will be immediately placed on the facility count, but may not yet have a bed assignment. An offender may also be shown on temporary status, if the facility is only a temporary stop on the way to a permanent facility assignment.

- Data provided: Facility Count, Offender Profile Data.
- Special Requirements:

Special Requirement	Description
ASCA Performance Measures: Contextual Information Offender Profile Content Indicator IV.3.a Demographics	Demographics of the prisoner population on June 30 by gender, age category, and race/ethnicity adjusted for the number of prisoners held by the agency on June 30 and reported as a percentage.

Evaluate Transportation Order - When the offender is transported there will be supporting documentation that provides authorization and instructions regarding the transport.

In instances where the offender is undergoing an inter-facility transfer, there will be a transfer order document. Instances where an offender is received by the sentencing agency there will be a sentencing order document received to support the incarceration.

(If Transfer Order) Verify Transfer Order - This will include inter-facility transfers, parole/community returns, and returns from temporary custody with other agencies, where a transfer order is required to accept the offender into the facility.

- Data provided: Transfer Date, Transportation Voucher, Facility Identifier.

(If new commitment) Verify Sentence Order - New commitment and sentence orders are verified to ensure the correct individual has been sent to the department/agency for the correct reasons.

- Data provided: Sentences Imposed.

Booking - The initial processing of all offenders to include photograph, fingerprinting, and documenting physical characteristics including scars, marks, and tattoos. The fingerprints may be live-scanned, sending them directly to the state Automated Fingerprint Identification System (AFIS) for immediate positive identification. The repository may return a criminal history rap sheet upon receiving the prints.

- Data provided: Offender Identifiers, Criminal History, Conviction Offenses.

- Special Requirements:

Special Requirement	Description
ASCA Performance Measures: Contextual Information Offender Profile Content Indicator IV.2.a	Number of prisoners serving a sentence for a Part I violent crime, other violent crime, property crime, drug offense, other public order offense, or other crime on June 30 adjusted for the number of prisoners held by the agency on June 30 and reported as a percentage.

Utilize Inventory Property - Accounting for offender property is an ongoing process during the incarceration period. Offenders are often moving to other living assignments. In most instances, the movement will result in a search of their property to ensure they have no contraband items. Intra-facility movement will definitely involve a search of offender property, and either listing the items on an inventory form or a check against an existing inventory record. Contraband items will be confiscated and turned over for disposition. If a property record has not been produced, one will be in order to begin tracking their property items.

Pre-Condition	Description
None	
Post-Condition	Description
Received	To take control or possession of something.

1.2 Use Case Specification: Inventory Property

Accounting for offender property is an ongoing process during the incarceration period. Offenders are often moving to other living assignments. In most instances, the movement will result in a search of their property to ensure they have no contraband items. Intra-facility movement will definitely involve a search of offender property, and either listing the items on an inventory form or a check against an existing inventory record. Contraband items will be confiscated and turned over for disposition. If a property record has not been produced, one will be in order to begin tracking their property items.

1.2.1 Flow of Events

Receive Property - Property items will be received from a number of sources. This will initiate a process for tracking the property in order to document the items as well as the ownership of them.

Evaluate Property - The act of visually and/or physically inspecting and evaluating property items to accurately identify and determine conformance to policy.

- Data provided: Property Identifiers, Property Disposition Order, Inventory Receipt.

(If Authorized Property) Retrieve Property Record - The property record will be retrieved to provide current information about the property an offender should have in his/her possession.

- Data provided: Property Record.

(If record not found) Create Property Record - The act of establishing the offender property record, listing property identifiers and quantity amounts.

- Data provided: Property Record.

Inventory Property Activity Diagram

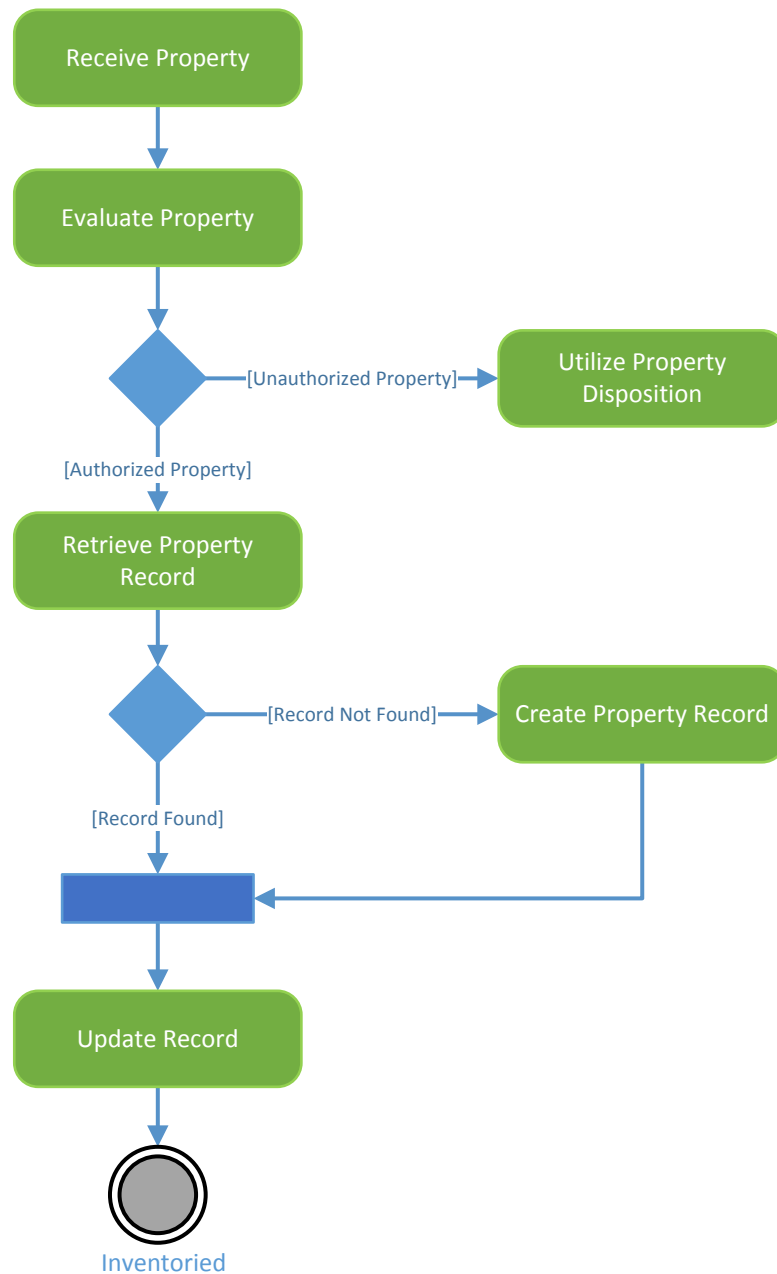


Figure 3: Inventory Property Activity Diagram

Update Record - When information is obtained for an established record, the pre-existing information in the record is amended or an addendum is added for future reference or communication.

(If Unauthorized Property) Utilize Property Disposition - Processes associated with the disposal of property, removing it, or rendering the inventory record inactive. Disposal includes releasing property items to external entities as part of the chain of evidence, destruction of contraband following established policy and procedures, and packaging and processing for shipping to a destination outside the jurisdiction of the correctional department/agency.

Pre-Condition	Description
None	
Post-Condition	Description
Inventoried	Property will be considered inventoried when a complete and accurate inspection and accounting of the property items has been performed by a staff person.

1.3 Use Case Specification: Property Management

The process of tracking property items issued to, or received by the offender. The process includes inspecting, inventory control procedures, receipt issuance, permit issuance, and, in some instances, marking items for identification.

Property Management Activity Diagram

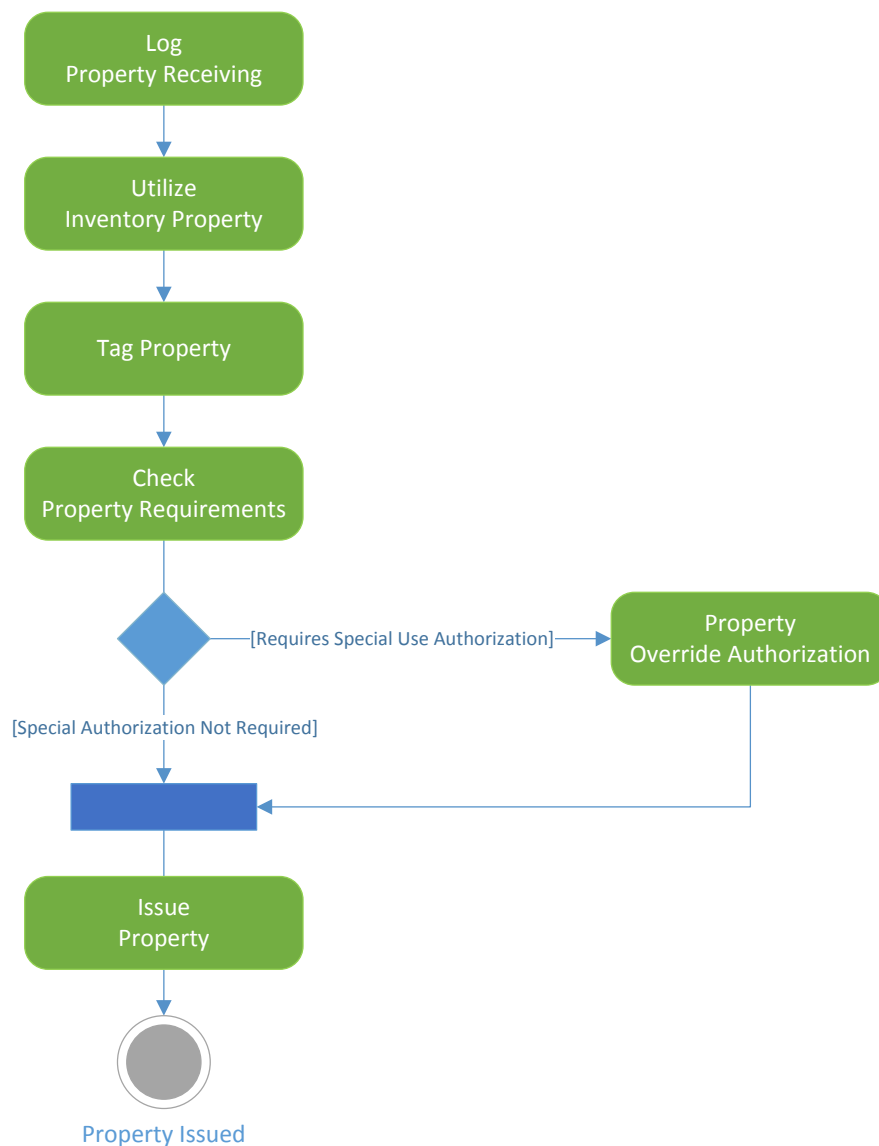


Figure 4: Property Management Activity Diagram

Associated Actor	Relationship	Description
Housing Officer	Performs	The Housing Officer may issue property items as well as inventory and take possession of property as part of their responsibilities, acting as an extension of the Property Officer.
Commissary Officer	Provides	
Property Officer	Performs	The property record may be maintained by another staff authority.

Detail
This is a detailed accounting of property items to establish a property record, evaluate acceptance based on regulations and procedures, and remove items considered to be contraband for disposition processing.

1.3.1 Flow of Events

Log Property Receiving - The act of receiving property from a delivery source and recording the receipt.

- Data provided: Property Record.

Utilize Inventory Property - Accounting for offender property is an ongoing process during the incarceration period. Offenders are often moving to other living assignments. In most instances, the movement will result in a search of their property to ensure they have no contraband items. Intra-facility movement will definitely involve a search of their property, and either listing the items on an inventory form or a check against an existing inventory record. Contraband items will be confiscated and turned over for disposition. If a property record has not been produced, one will be in order to begin tracking their property items.

Tag Property - Property items are marked in such a manner to identify the owner.

- Alternatives flows:

Detail
Specified property items may not be tagged.

Check Property Requirements - Determine if a property item has special requirements defined by policy.

(If Requires Special Use Authorization) Property Override Authorization - The act of issuing a document authorizing the possessor to possess the property item described and identified.

- Data provided: Authorization Data.

Issue Property - Property will be handed over to the offender for their control. The offender will generally sign a document to record the receipt of the property and acknowledge their responsibility for maintaining the property item.

Pre-Condition	Description
None	
Post-Condition	Description
Property Issued	Property will be handed over to the offender for his or her control. The offender will generally sign a document to record the receipt of the property and acknowledge his or her responsibility for maintaining the property item.

1.4 Use Case Specification: Property Disposition

Processes associated with the disposal of property, removing it, or rendering the inventory record inactive. Disposal includes releasing property items to external entities as part of the chain of evidence, destruction of contraband following established policy and procedures, and packaging and processing for shipping to a destination outside the jurisdiction of the correctional department/agency.

Property Disposition Activity Diagram

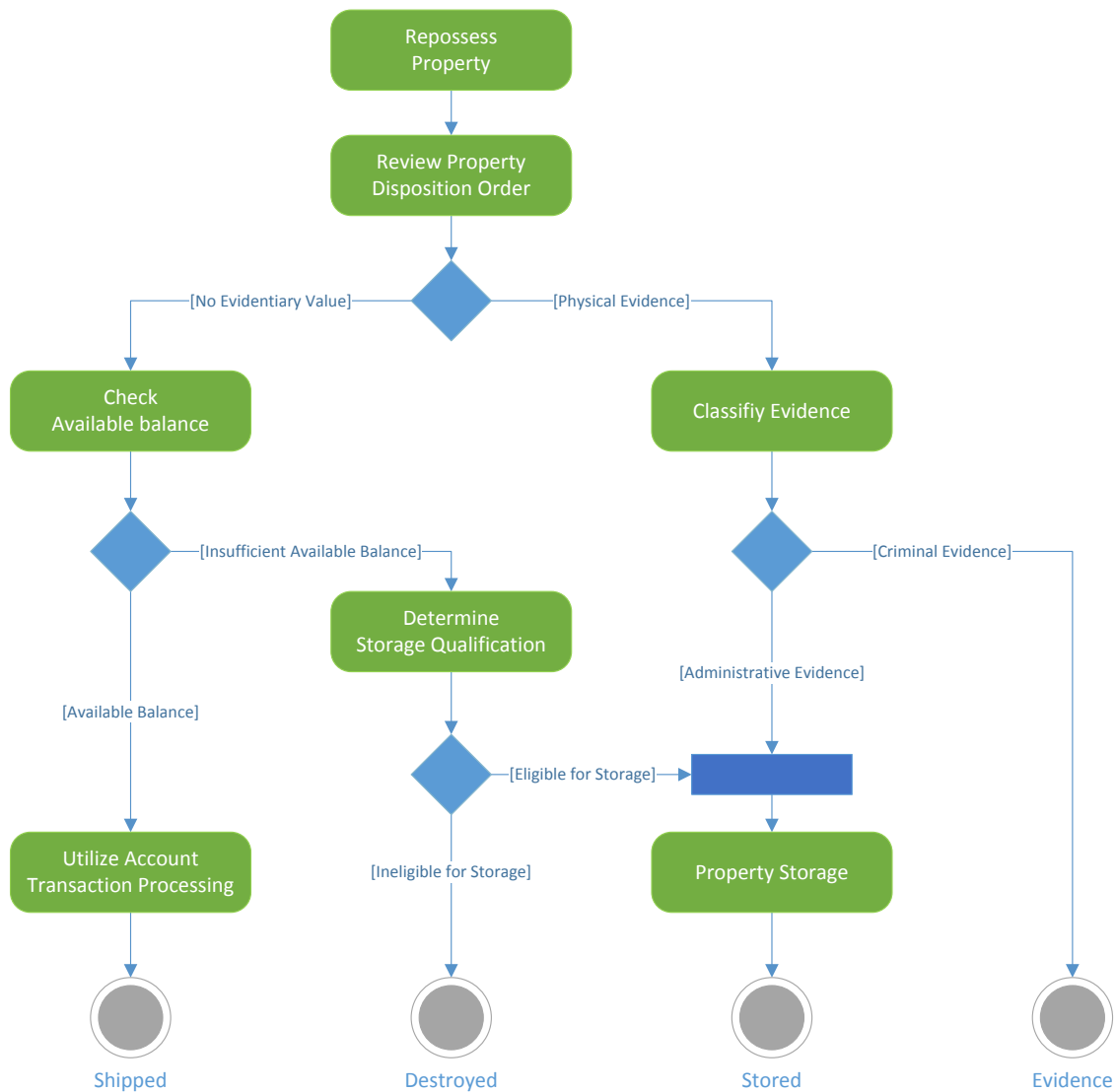


Figure 5: Property Disposition Activity Diagram

Associated Actor	Relationship	Description
Mailroom Officer	Ships	<p>There are jurisdictions that allow offenders to receive property through the mail from approved sources. In these instances, the Mailroom Officer becomes the recipient who will screen for contraband and may either route the property to the Property Officer or issue the property item and send documentation to the Property Officer for use in updating the property record for the offender.</p> <p>The Mailroom Officer handles mailing and shipping of property items out of the facility once the Property Officer has obtained authorization and shipping information.</p>

1.4.1 Flow of Events

Repossess Property - Actions taken whereby possession and control of property items are returned to the Property Officer.

Review Property Disposition Order - Verify property identifiers with items and determine disposition action.

(If No Evidentiary Value) Check Available Balance - The act of obtaining the trust account available balance to insure sufficient monies are available to support an elective withdrawal.

- Data provided: Account Available Balance.

(If Available Balance) Utilize Account Transaction Processing - Account transaction processing involves posting deposits and withdrawal transaction records to a trust account, and ensuring an accurate balance results from the transaction. In a correctional setting, the offender rarely has contact with the accounting office and is required to conduct their financial business through a third party that validates, and, in some instances, authorizes the transaction. When monies are received, the existence of the offender trust account is verified. If one is not found, an account will be opened to process the transaction request. The posting process will collect monies and apply them towards debt or other financial requirements established by law or policy. Withdrawals will be processed when sufficient monies are available to cover the requested amount. The transaction request will result in either a posted transaction or a denial of the request.

(If Insufficient Available Balance) Determine Storage Qualification - Apply established policy or rule to determine if an item can be placed in a designated storage location.

- Data provided: Notice of Disposition.
- Special Requirements:

Special Requirement	Description
ACA Standard: Programs and Services 4-4164 Personal Property	Space is provided for storing the personal property of inmates safely and securely.

(If Physical Evidence) Classify Evidence - Determine if physical evidence is to be used in a criminal prosecution or an administrative proceeding.

- Data provided: Property Record, Evidence Identifiers.

Property Storage - Storage of property items during temporary transitional periods in a secured location. Transitional periods include when offenders are away from their assigned facility for court appearances or for medical treatment, or when temporarily assigned to a segregation area where designated property items are not permitted.

Processes included in this activity will depict the return of the property to the offender at some point.

Pre-Condition	Description
None	
Post-Condition	Description
Shipped	The state of having been processed for mailing or shipping; no longer in the control of the correctional department/agency.
Destroyed	Rendered useless or completely altered beyond any usefulness.
Evidence	Authority and control are relinquished by the correction department/agency and handed over to another law enforcement entity.
Stored	Property items will be stored in secured locations until the owner takes possession.

Common Business Functions for Correctional Management Systems



IJIS Institute



Volume 2 – Business Scenarios
Part N – Trust Accounting

*Authored by the IJIS Institute and the
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1. BUSINESS FUNCTION: TRUST ACCOUNTING

This use case describes the accounting processes used to track trust account monies. Offenders incarcerated under the jurisdiction of correctional agencies are considered wards of the governing entity. The governing entity acts as trustee of monies received from offenders upon transfer of custody, during their incarceration period, until the offender’s eventual release from custody. The offender trust accounting system provides a means for offenders to conduct their financial transactions both internally and externally. The system also provides the correctional entity the ability to maintain control of the medium of exchange for goods and services during the incarceration period, which is an essential element to facility security and offender custody and control. Offender account information is used by correctional staff to process withdrawals for various programs and services; outside agencies, dependents, and legal representatives use this information to determine the offender’s financial status with regard to making payments for financial obligations. It is important to note the systems, in most jurisdictions, are cashless, or some variation that limits how much staff must handle currency.

Trust Accounting Use Case Diagram

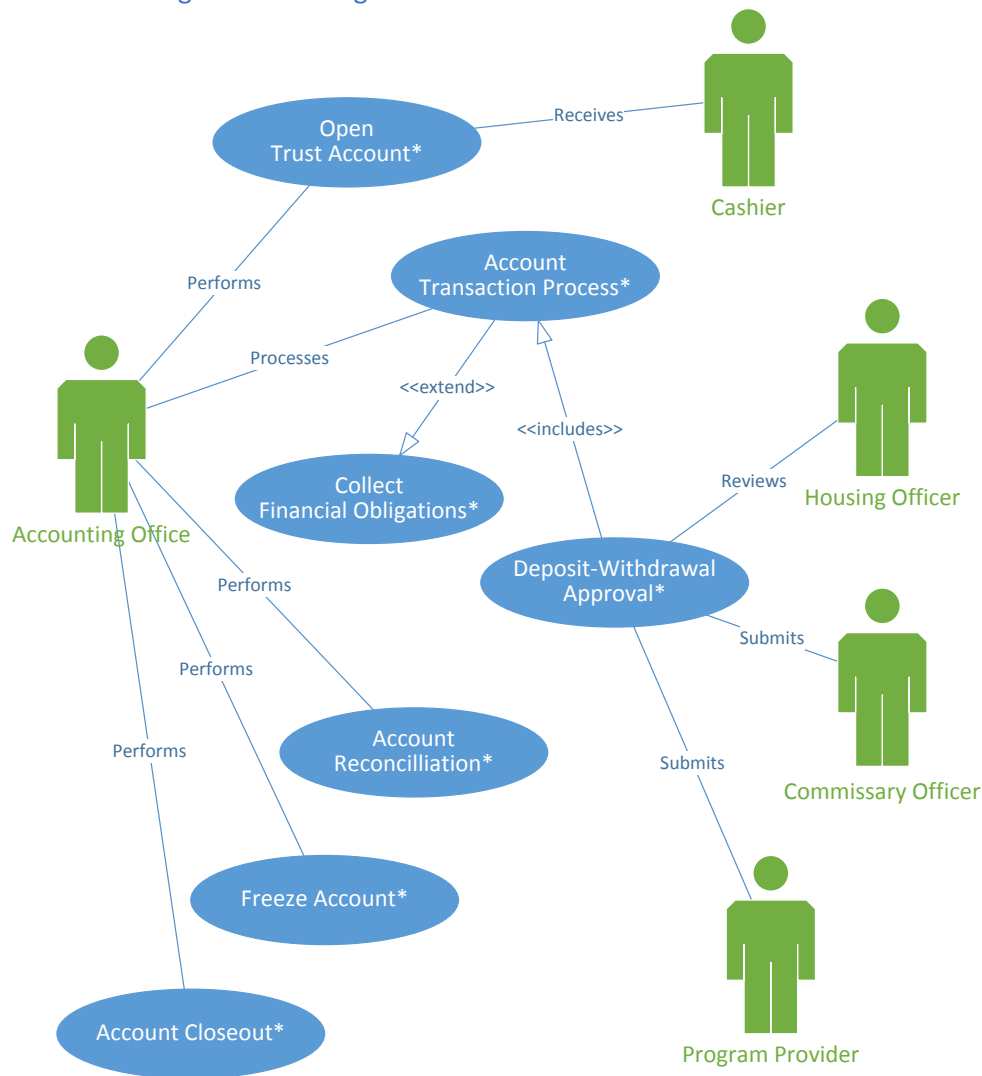


Figure 1: Trust Accounting Use Case Diagram

1.1 Use Case Specification: Freeze Account

An offender’s account is frozen and no funds may be disbursed out of the account until the account is released. This may be due to outstanding commitments such as fines, costs, or restitution, or it may be the result of a sanction.

Freeze Account Activity Diagram

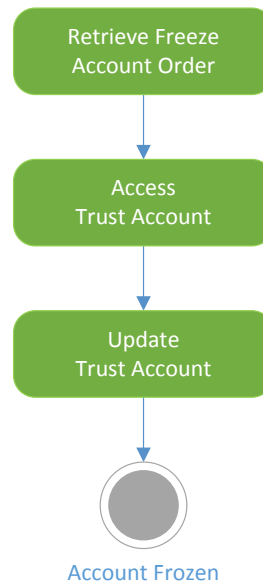


Figure 2: Freeze Account Activity Diagram

Associated Actor	Relationship	Description
Accounting Office	Performs	

1.1.1 Flow of Events

Retrieve Freeze Account Order - Obtain orders from multiple origination sources where action is to be taken to block withdrawal activity from the offender’s trust account.

- Data provided: Offender Identifiers.

Access Trust Account - Accessing the trust account will provide account information, including transaction information and available balance.

- Data provided: Account Information.

Detail
To freeze a trust account involves updating a flag in the account that is used by the system, or viewed by users of the system, to prevent or limit withdrawals from the account.

Update Trust Account - After updating the information, the account record is updated to reflect the changes.

Pre-Condition	Description
None	
Post-Condition	Description
Account Frozen	Account activity is restricted to deny either deposits, withdrawals, or both from taking place.

1.2 Use Case Specification: Open Trust Account

The offender’s trust account will be opened with the receipt of the initial deposit. This can be from multiple sources, but is generally routed to the cashier who then submits a batch deposit report to the Records Office. In some instances, the monies are received by the Records Office who produces the batch deposit report and forward all monies to the cashier. If a previous account for the offender exists, that account will be activated.

Open Trust Account Activity Diagram

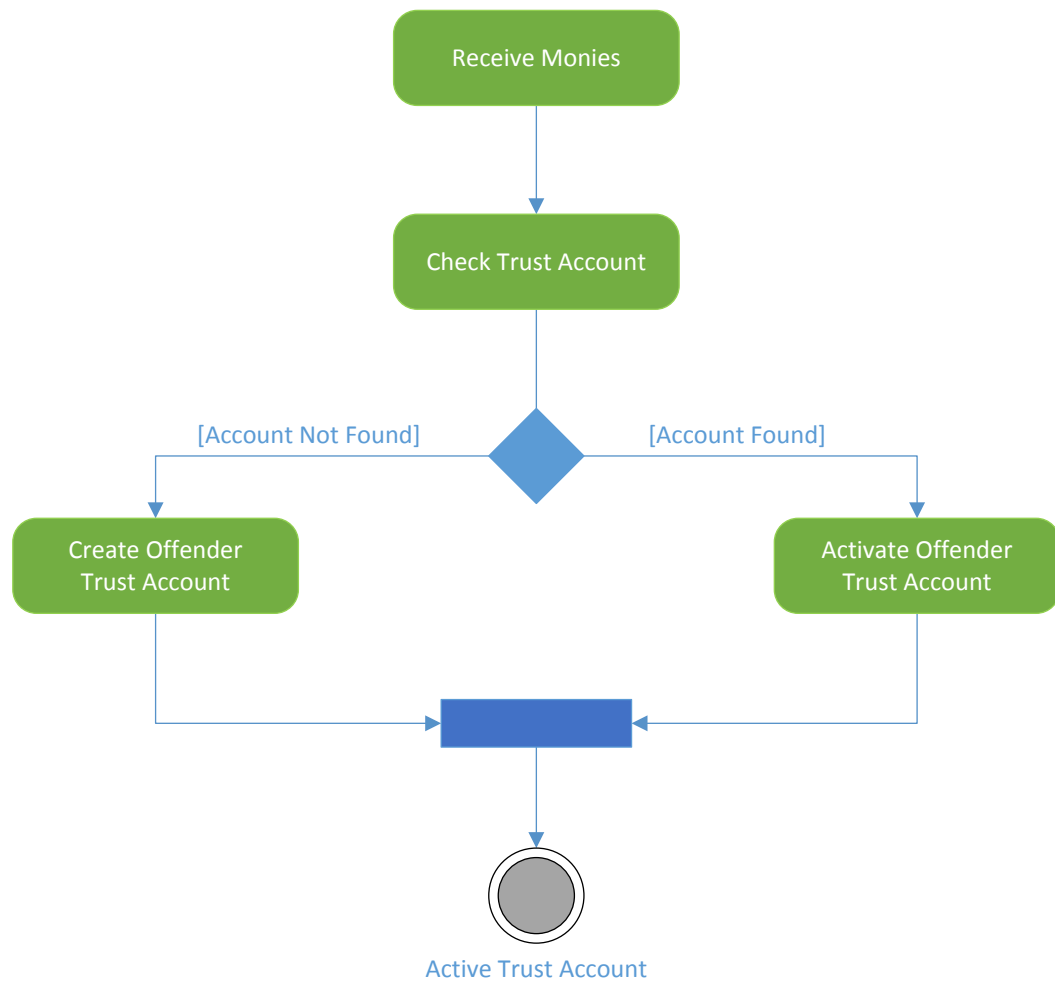


Figure 3: Open Trust Account Activity Diagram

Associated Actor	Relationship	Description
Cashier	Receives	The role of cashier may be filled by other staff members in the agency. Accounting systems may be cashless, or some variation of accounting processing that limits how much staff must handle currency. This may preclude receiving any currency directly, using an alternative means of depositing monies into the trust account.
Accounting Office	Performs	Agencies may track multiple accounts in the trust accounting process. In such instances, the account will generally include an additional identifier, but the process is similar in most cases.

1.2.1 Flow of Events

Receive Monies - Monies will be received via the mail, electronic transfer, or hand-carried by a transport person. Instances where monies are transferred between individuals will result in a receipt to document and account for the transfer.

- Data provided: Monetary Amounts.

Check Trust Account - A search will be performed to see if a trust account already exists for the offender using the identification number issued by the department/agency. In some jurisdictions, the offender may have had a previous incarceration that requires a search using other personal information. The process will result in either a new account or activation of a previous account.

(If account not found) Create Offender Trust Account - When an offender has no existing trust account, one will be opened using the offender identifiers for the current incarceration.

- Data provided: Account Information.

(If account found) Activate Offender Trust Account - When an offender trust account from a previous incarceration has been identified, it will be activated in order to accept deposit and withdrawal transactions.

- Data provided: Account Information.

Pre-Condition	Description
None	
Post-Condition	Description
Active Trust Account	A trust account that has a current balance and can have deposits and withdrawal transactions posted to it.

1.3 Use Case Specification: Account Transaction Processing

Account transaction processing involves posting deposits and withdrawal transaction records to a trust account, and ensuring an accurate balance results from the transaction. In a correctional setting, the offender rarely has contact with the accounting office and is required to conduct their financial business through a third party that validates, and in some instances authorizes, the transaction. When monies are received, the existence of the offender trust account is verified. If one is not found, an account will be opened to process the transaction request. The posting process will collect monies and apply them towards debt or other financial requirements established by law or policy. Withdrawals will be processed

when sufficient monies are available to cover the requested amount. The transaction request will result in either a posted transaction or a denial of the request.

Account Transaction Processing Activity Diagram

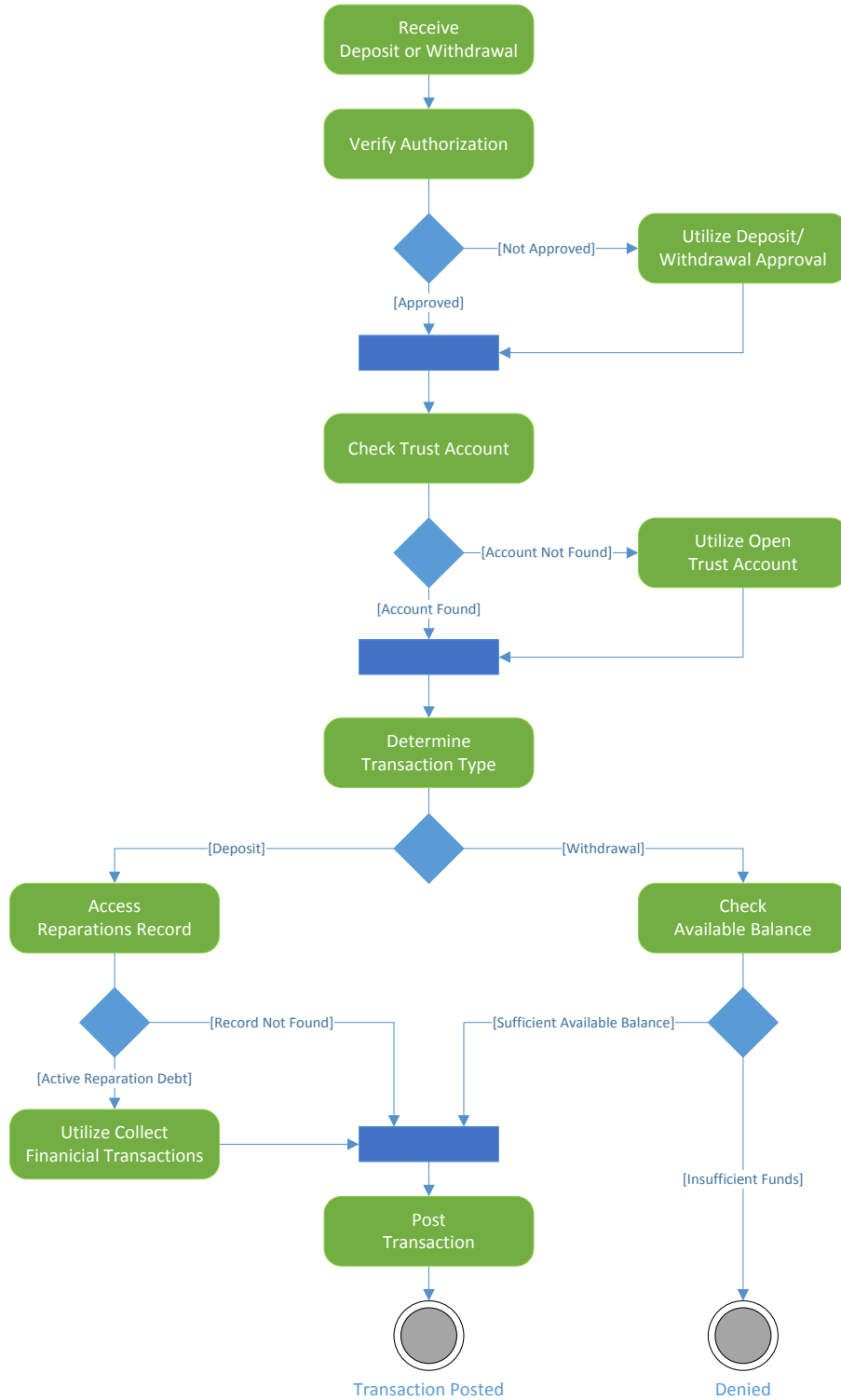


Figure 4: Account Transaction Processing Activity Diagram

Associated Actor	Relationship	Description
Accounting Office	Processes	The Accounting Office may perform the authorization and verification functions in lieu of other staff.

- Alternatives flows:

Detail
This process may be automated, thus requiring little to no interaction between the user and the system.

1.3.1 Flow of Events

Receive Deposit or Withdrawal - The deposit or withdrawal forms will be delivered to the Accounting Office by various means. In some instances, the format is electronic where an automated process has produced the form.

- Data provided: Offender Identifiers, Transaction Information.

Verify Authorization - Ensure the proper authorization has been given prior to performing an action.

- Data provided: Authorization Data.

(If not approved) Utilize Deposit-Withdrawal Approval - A trust accounting action is initiated by submitting a form, in electronic or other form, containing transaction and authorization information. The transaction will be one of two types: 1) deposits, which increment the trust account balance, or 2) withdrawals, which decrease the trust account balance. The process will result in either an approval or a denial decision.

- Data provided: Authorization Data.

Check Trust Account - A search will be performed to see if a trust account already exists for the offender using the identification number issued by the department/agency. In some jurisdictions, the offender may have had a previous incarceration that requires a search using other personal information. The process will result in either a new account or activation of a previous account.

- Data provided: Account Information.

(If account not found) Utilize Open Trust Account - The offender's trust account will be opened with the receipt of their initial deposit. This can be from multiple sources, but is generally routed to the cashier who then submits a batch deposit report to the Records Office. In some instances, the monies are received by the Records Office who produces the batch deposit report and forwards all monies to the cashier. If a previous account for the offender exists, that account will be activated.

- Data provided: Account Information.

Determine Transaction Type - The act of identifying a transaction as either a deposit or withdrawal.

(If deposit) Access Reparations Record - Accessing the reparations record will determine if an active order exists and provide reparations information such as order amount and enforcement conditions.

- Data provided: Deposit Amount.
- Alternatives flows:

Detail

Some jurisdictions will collect all deposited monies and apply them to qualified debt until the debt is satisfied. In this instance, a deposit to the trust account may not be completed.

(If active reparation debt) Utilize Collect Financial Obligations - When a qualified deposit is processed, a portion of the deposit amount will be encumbered to satisfy reparations defined in a sentence order or disciplinary infraction. The sum of encumbrances will be withdrawn from the trust account with the insertion of a single transaction, releasing the encumbrance.

- Data provided: Deposit Amount.

(If withdrawal) Check Available Balance - The act of obtaining the trust account available balance to insure sufficient monies are available to support an elective withdrawal.

Post Transaction - A transaction record will be produced and coded in such a way as to indicate if it is a deposit or withdrawal from the account: deposits will be added to the account balance and withdrawals will be subtracted from the account balance.

Pre-Condition	Description
None	
Post-Condition	Description
Denied	A review has resulted in a decision to deny a request or action.
Transaction Posted	A record has been produced to support the account balance.

1.4 Use Case Specification: Deposit-Withdrawal Approval

A trust accounting action is initiated by submitting a form, in electronic or other form, containing transaction and authorization information. The transaction will be one of two types: 1) deposits, which increment the trust account balance, or 2) withdrawals, which decrease the trust account balance. The process will result in either an approval or a denial decision.

Associated Actor	Relationship	Description
Housing Officer	Reviews	Offenders rarely have direct access to the trust accountant. Therefore, a staff member must verify and authenticate all transaction requests from the offender. This generally involves a form with inmate identifiers, transaction details, and approval notations from staff persons.
Program Provider	Submits	Providers interact with offenders in various activities that may involve withdrawing or depositing money to the offender's trust account. Activities such as hobby work, paid work programs are a few examples of where this can occur.
Commissary Officer	Submits	The offender will purchase items from the commissary with available monies. The Commissary Officer will submit a withdrawal form to the Accounting Office where the funds will be withdrawn from the offender's trust account and transferred to the a control account where the commissary funds are reconciled. The withdrawal form may be in hard copy form, electronic, or both depending upon the business

Deposit-Withdrawal Approval Activity Diagram

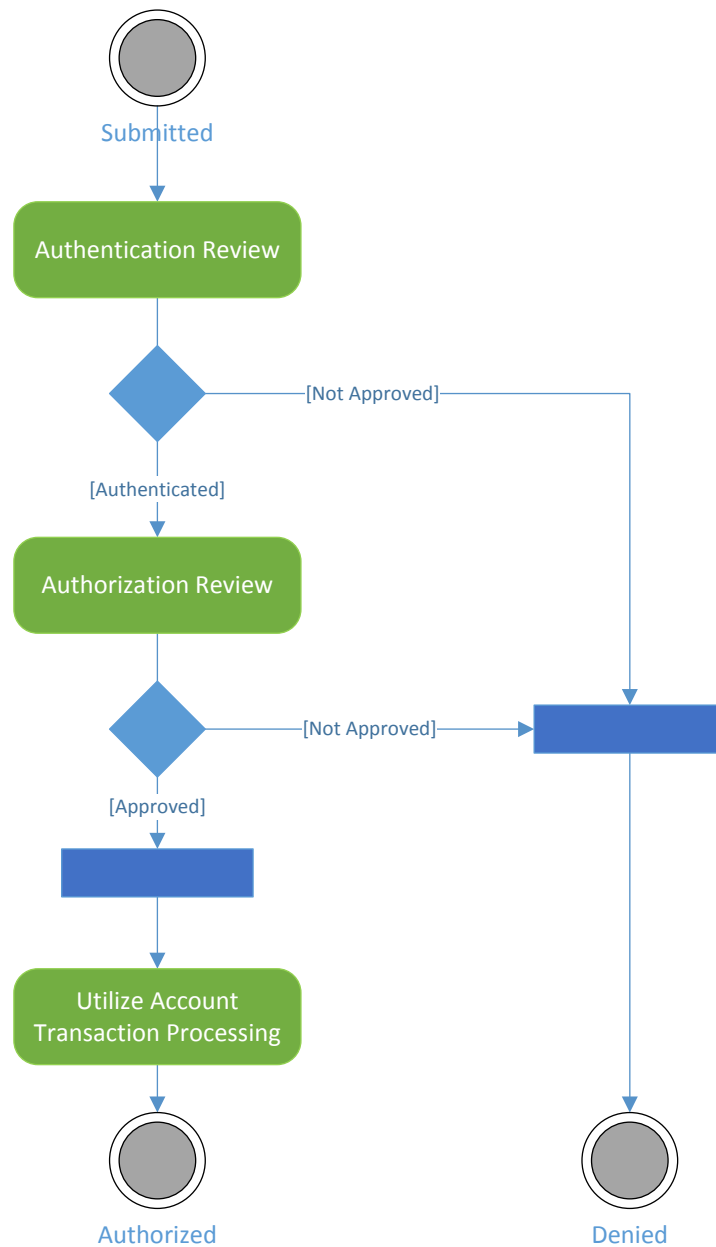


Figure 5: Deposit-Withdrawal Approval Activity Diagram

1.4.1 Flow of Events

Authentication Review - When an offender submits a document to initiate an action or event, the identity of the offender must be verified by a staff person. The signature of the staff person authenticates the document and in some instances serves to authorize the process or action it will initiate.

- Data provided: Denial Notification.

(If Authenticated) Authorization Review - Review of an action or document by one in authority in order to make a determination of approval or denial based upon policy or rule defined by the correctional department/agency.

- Data provided: Denial Notification, Authorization Identifiers.

Detail
Approval of some withdrawal requests are required depending on established policy. This allows the department/agency to oversee where an offender is spending their money for security concerns.

(If Approved) Utilize Account Transaction Processing - Account transaction processing involves posting deposits and withdrawal transaction records to a trust account, and ensuring an accurate balance results from the transaction. In a correctional setting the offender rarely has contact with the accounting office, and is required to conduct their financial business through a third party that validates, and in some instances authorizes, the transaction. When monies are received, the existence of the offender trust account is verified. If one is not found, an account will be opened to process the transaction request. The posting process will collect monies and apply them towards debt or other financial requirements established by law or policy. Withdrawals will be processed when sufficient monies are available to cover the requested amount. The transaction request will result in either a posted transaction or a denial of the request.

Pre-Condition	Description
Submitted	Any instances whereby a document is prepared or a verbal communication is issued and is offered for consideration, study, or decision.
Post-Condition	Description
Authorized	The formal approval given by an individual in authority.
Denied	A review has resulted in a decision to deny a request or action.

1.5 Use Case Specification: Collect Financial Obligations

When a qualified deposit is processed, a portion of the deposit amount will be encumbered to satisfy reparations defined in a sentence order or disciplinary infraction. The sum of encumbrances will be withdrawn from the trust account with the insertion of a single transaction, releasing the encumbrance.

1.5.1 Flow of Events

Process Deposit - The processes associated with depositing monies into an account. Rules to be enforced will affect the process, requiring validation, collection of reparations and other debts.

Access Reparations Record - Accessing the reparations record will determine if an active order exists and provide reparations information such as order amount and enforcement conditions.

Collect Financial Obligations Activity Diagram

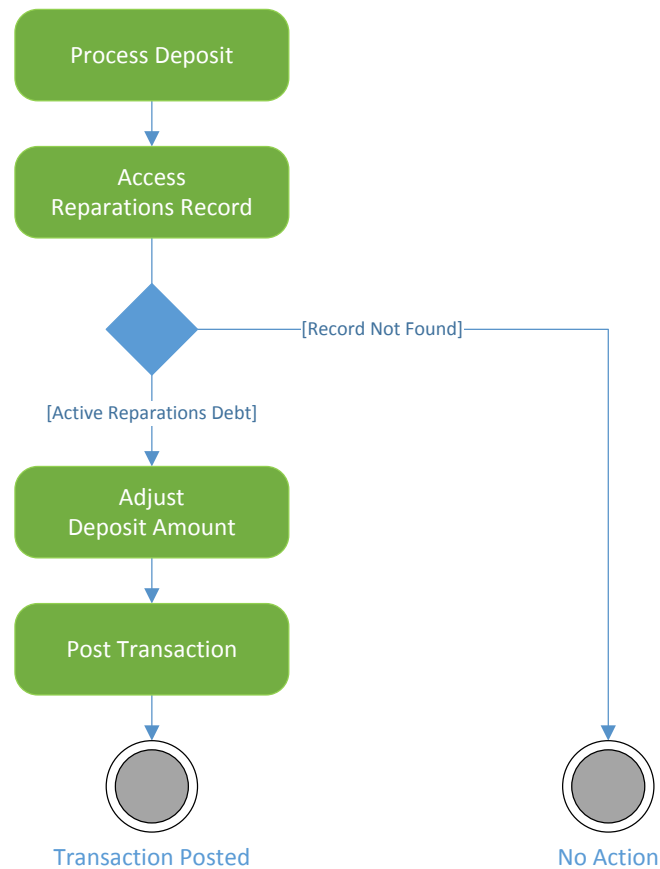


Figure 6: Collect Financial Obligations Activity Diagram

(If active reparation debt) Adjust Deposit Amount - The deposit amount will be adjusted to reflect collections of financial obligations.

- Data provided: Deposit Amount.

Detail

The deposit amount will be adjusted according to the business rules for collection of debt. Any amount remaining will be deposited into the trust account, while the amount collected to pay the debt will be posted to a separate account to track the debt.

Post Transaction - A transaction record will be produced and coded in such a way as to indicate if it is a deposit or withdrawal from the account. Deposits will be added to the account balance. Withdrawals will be subtracted from the account balance.

Detail

The transaction posted in this instance is to the reparations account that tracks the debt.

Pre-Condition	Description
None	
Post-Condition	Description
Transaction Posted	A record has been produced to support the account balance.
No Action	When a decision or determination process results in no action taken.

1.6 Use Case Specification: Account Reconciliation

Financial accounts must be reviewed periodically to ensure the account balance is accurate. This is done by summing deposits and withdrawals and adding them to a starting balance amount. If the amount derived by doing this matches what the account record shows for a balance, the account is reconciled. If the amounts do not match, then a verification process will identify any errors in posting to the account. Banking procedures generally do not allow for modifying existing transactions records, but adjustment transactions will be posted to correct discrepancies in the account and provide an audit trail to explain what was done to make the corrections. Once an account is reconciled, the ending balance becomes the beginning balance for the next statement period and all transactions that were reconciled are flagged as cleared so they will not be used in the next reconciliation process.

Associated Actor	Relationship	Description
Accounting Office	Performs	

1.6.1 Flow of Events

Retrieve Account Statement - The statement of account activity will be retrieved for a specific time period.

- Data provided: Account Statement.

Reconcile Account - The information produced in the account statement report will list deposit and withdrawal transactions with a running balance. The statement will have a beginning and ending balance to afford the reviewer the ability to add and subtract transaction amounts from the beginning balance and reconcile to the ending balance.

(If sum of deposits/withdrawals do not equal account balance) Perform Account Correction - In the even an account does not reconcile to an accurate balance a process of verification will begin to identify possible errors. If none can be found, an adjustment transaction will be posted to remedy the imbalance.

Clear Transactions - When a reconciliation process is completed, the transactions posted within the reconciliation period are flagged to indicate they no longer need to be reviewed.

Pre-Condition	Description
None	
Post-Condition	Description
Reconciled Account	The results of balancing deposits and withdrawals to verify accuracy of the ending balance.

Account Reconciliation Activity Diagram

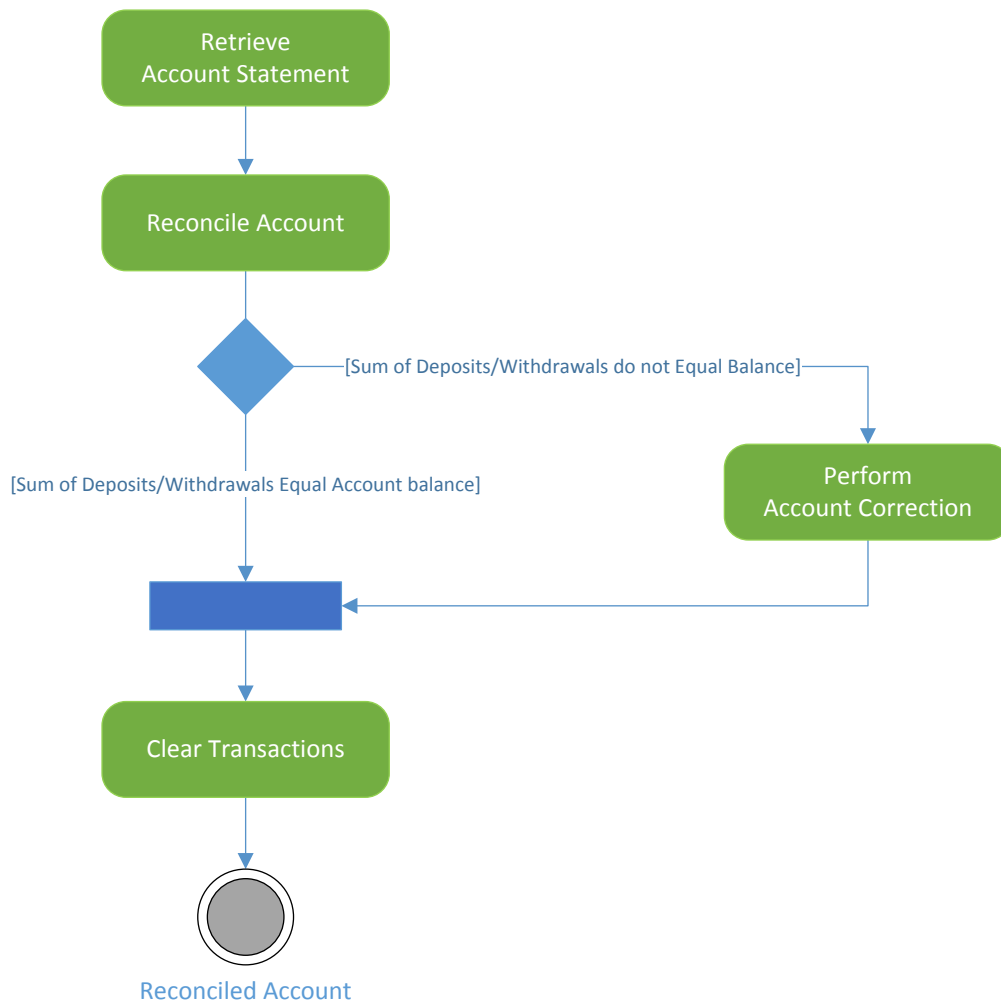


Figure 7: Account Reconciliation Activity Diagram

1.7 Use Case Specification: Account Closeout

The trust account is set inactive when the offender is released from custody and account activity ceases.

Associated Actor	Relationship	Description
Accounting Office	Performs	Accounting systems may be decentralized, in which case, this process is encapsulated internally by facility. When the offender moves from one facility to another, the account will be closed by the sending facility and a new account will be opened at the receiving facility.

Account Closeout Activity Diagram

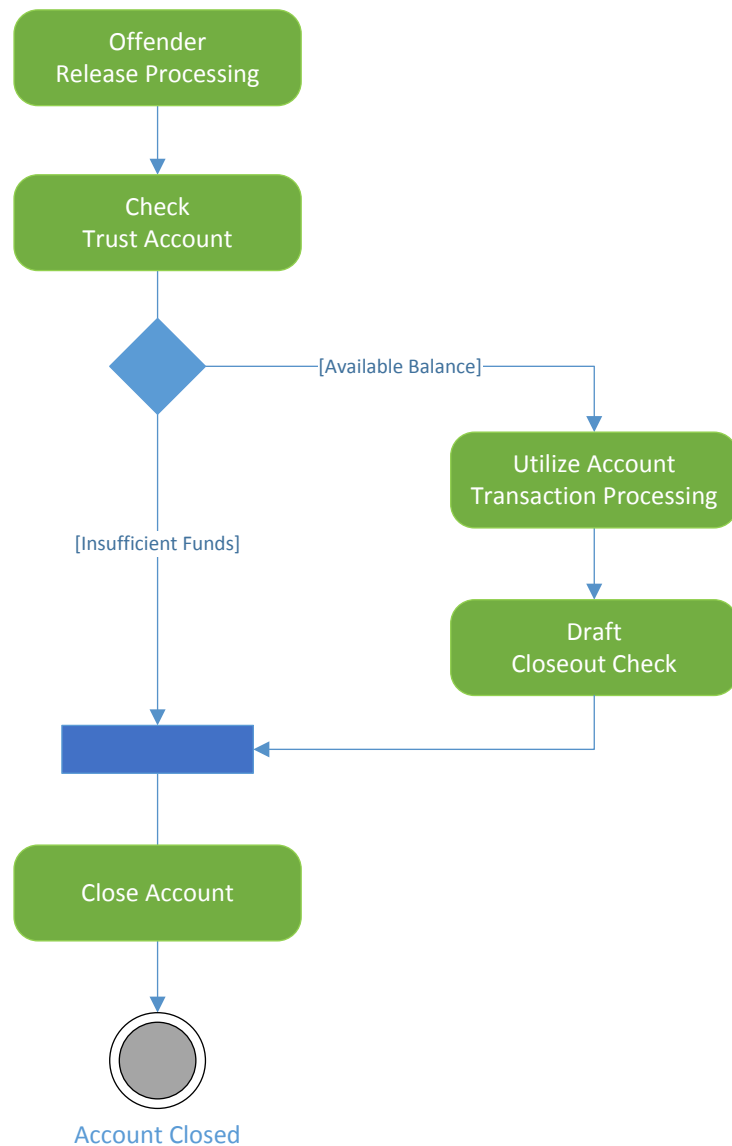


Figure 8: Account Closeout Activity Diagram

1.7.1 Flow of Events

Offender Release Processing - At a prescribed time period prior to release, preparations are made for the offender's release from custody.

Check Trust Account - A search will be performed to see if a trust account already exists for the offender using the identification number issued by the department/agency. In some jurisdictions, the offender may have had a previous incarceration that requires a search using other personal information. The process will result in either a new account or activation of a previous account.

- Data provided: Account Information, Account Available Balance.

(If Available Balance) Utilize Account Transaction Processing - Account transaction processing involves posting deposits and withdrawal transaction records to a trust account, and ensuring an accurate balance results from the transaction. In a correctional setting the offender rarely has contact with the accounting office, and is required to conduct their financial business through a third party that validates, and in some instances authorizes, the transaction. When monies are received, the existence of the offender trust account is verified. If one is not found, an account will be opened to process the transaction request. The posting process will collect monies and apply them towards debt or other financial requirements established by law or policy. Withdrawals will be processed when sufficient monies are available to cover the requested amount. The transaction request will result in either a posted transaction or a denial of the request.

Draft Closeout Check - A check is written to the offender in the amount of the trust account balance.

Close Account - The account will be flagged to indicate it is inactive and can no longer be used. In some jurisdictions the transaction history will be purged and the record of the account will be completely removed.

Pre-Condition	Description
None	
Post-Condition	Description
Account Closed	When a financial account can no longer have withdrawal or deposit transactions posted to it.

Common Business Functions for Correctional Management Systems



IJIS Institute



Volume 2 – Business Scenarios
Part 0 – Visitation

*Authored by the IJIS Institute and the
Corrections Technology Association*

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1. BUSINESS FUNCTION: VISITATION

The offender visitation program is intended to promote family and other supportive relationships important to offender stability during and after an incarceration period. This privilege requires that the corrections agency develop a process that has a high degree of consistency and uniformity while maintaining the security and integrity of the facility.

The program considers the routine processing of civilians through various secure points within the facility. This mandates the need to appropriately and accurately identify each individual visitor and his or her relationship to the offender. A variety of security and legal restraints concerning the status of each visitor will also be collected and recorded to prevent those under legal supervision or minors from unauthorized contact with offenders. The agency may also restrict visitors from visiting more than one offender in the system without special approval.

Another component of this program are visits by legal representatives, clergy, or other officially designated visits. Those involved in these visits will also be scrutinized to ensure their official capacity. Actual visits will be categorized as contact, non-contact, and legal visits. Contact visits are those under supervision in an open area, enabling some movement and restricted physical contact between visitor and offender. Non-contact visits are those conducted in an area designated with a special barrier to prevent physical contact between the visitor and offender. Legal visits are business-related visits where specific rules protect the confidentiality of the visit, yet ensure the security needs are adhered to during the visit.

Visitation Use Case Diagram

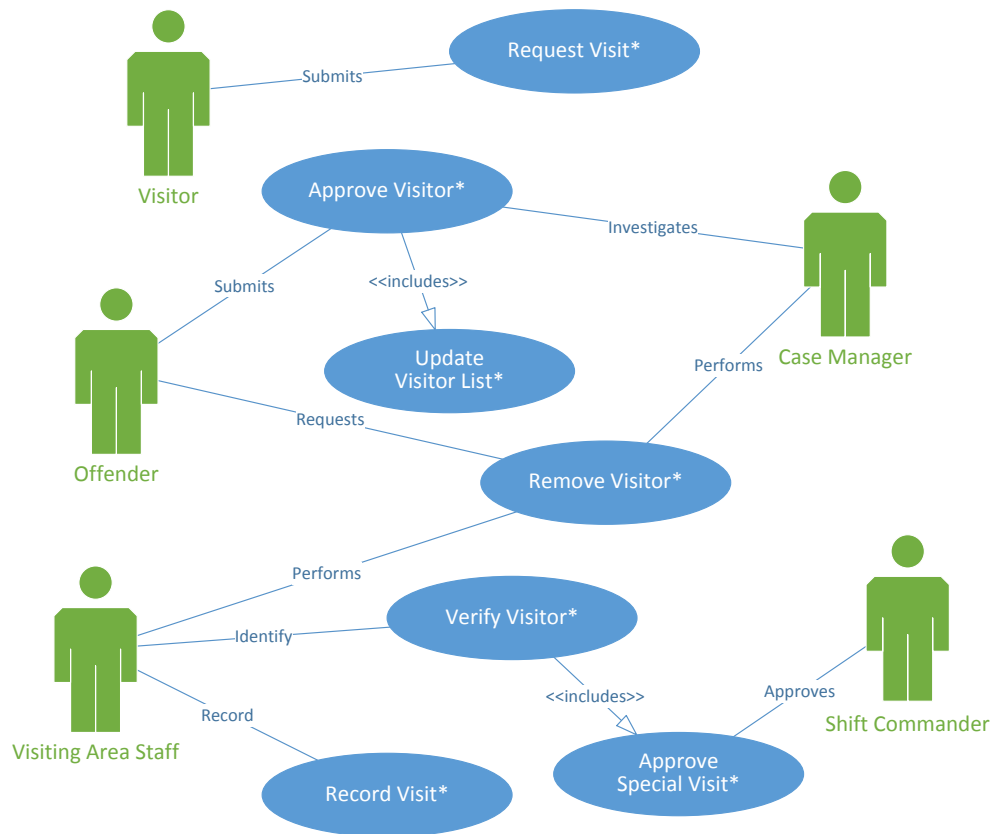


Figure 1: Visitation Use Case Diagram

1.1 Use Case Specification: Request Visit

During the admissions process and when reassigned to any facility the offender will be advised of the visitation program policies and have access to visitor applications. The application will be completed by the visitor and returned to the facility where the offender they intend to visit is housed.

The application should contain background information, personal identifiers, and other pertinent information which is used to verify criminal history and current legal status.

Request Visit Activity Diagram

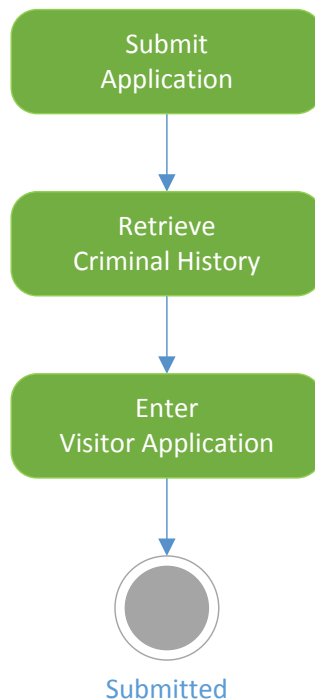


Figure 2: Request Visit Activity Diagram

Associated Actor	Relationship	Description
Visitor	Submits	

1.1.1 Flow of Events

Submit Application - Instances where an application has been handed over for processing.

- Data provided: Visitor Data, Visit Type.

Retrieve Criminal History - Obtain the history of criminal activity from appropriate sources.

- Data provided: Background Data.

- Alternatives flows:

Detail
Criminal background checks may not be performed by some agencies.
Visitors may be banned from visitation for documented criminal history.

Enter Visitor Application - Information describing the identity, residency, and relationship of the visitor is provided by the visitor or, in some cases, the offender. This information is recorded and associated with the offender for future review and reference.

Pre-Condition	Description
None	
Post-Condition	Description
Submitted	Any instance where a document is prepared or a verbal communication is issued and is offered for consideration, study, or decision.

1.2 Use Case Specification: Approve Visitor

The application is received and the appropriate background checks and verification of the visitor are performed. The application for visitation is approved for social visits with the identified offender.

Approve Visitor Activity Diagram

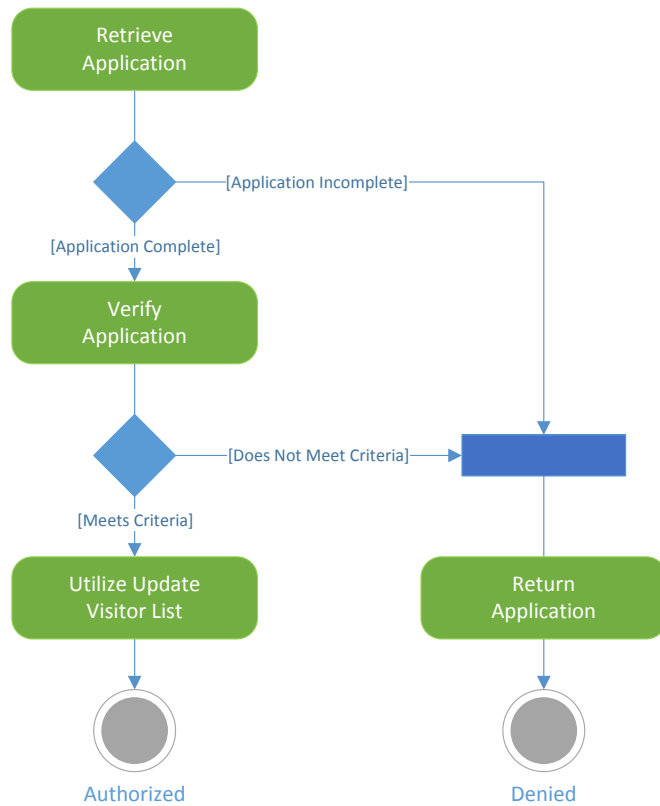


Figure 3: Approve Visitor Activity Diagram

Associated Actor	Relationship	Description
Offender	Submits	Offenders, in most instances, are required to submit a list of visitors for approval by the appropriate authority. Some jurisdictions do not establish a list of approved visitors. In such cases, simple procedures generally define visitation requirements, such as requiring proof of identification or limits on the number of visitors.
Case Manager	Investigates	The investigation and approval process varies a great deal between jurisdictions. Case Manager is shown here as the actor performing the investigation, but this activity may be performed by one or more correctional staff in various roles.

- Alternatives flows:

Detail
Some jurisdictions limit the changes to the visitor list to specific time blocks or other business rule.

1.2.1 Flow of Events

Retrieve Application - Instances where an application has been submitted requesting an action the document is obtained from the source or storage location.

- Data provided: Background Data.

(If Application complete) Verify Application - The process of evaluating the information on an application to ensure requirements have been satisfied. This may include background investigation or cross-reference with other lists such as victims, sex offender, and/or child abuse.

- Data provided: Visitor Data, Offender Identifiers, Denial Notification.
- Alternatives flows:

Detail
The agency may produce a record to track the visitor applicant and the denial of the application and any future contacts. This may include a ban on the applicant from any visits.

(If Meets criteria) Utilize Update Visitor List - Once a review process has been completed and it has been approved, the visitor information will be added to the list of approved visitors the offender can receive. When the number of approved visitors on the list exceeds the maximum number allowed, the visitor will be placed on a waiting list until such time the record can be added.

Return Application - Instances where an application has been submitted requesting an action the document is returned to the source or storage location from which it originated.

Pre-Condition	Description
None	
Post-Condition	Description
Authorized	The formal approval given by an individual in authority.
Denied	A review has resulted in a decision to deny a request or action.

1.3 Use Case Specification: Update Visitor List

Once a review process has been completed and it has been approved, the visitor information will be added to the list of approved visitors the offender can receive. When the number of approved visitors on the list exceeds the maximum number allowed, the visitor will be placed on a waiting list until such time the record can be added.

Update Visitor List Activity Diagram

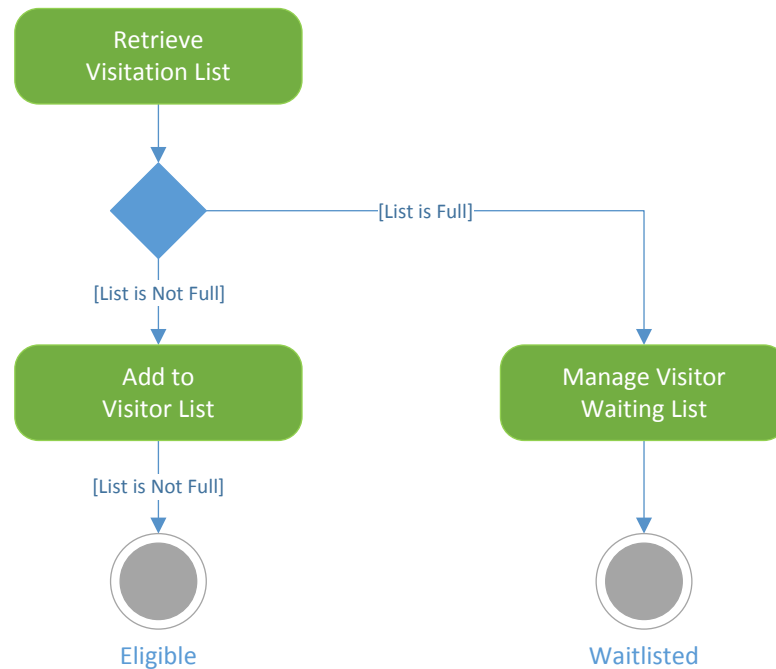


Figure 4: Update Visitor List Activity Diagram

1.3.1 Flow of Events

Retrieve Visitation List - Obtain the records listing pre-approved visitors for a specific offender.

- Data provided: Visitor Data, Visit Type.
- Alternatives flows:

Detail
Some policies have no limit to the number of approved visitors an offender can terrain on their visiting list. The visitor information may be reviewed for eligibility, but no limit would be enforced or managed.
No waiting lists may exist, in which case, the application is simply denied.

(If List is not full) Add Visitor To List - When an individual has been screened appropriately they may be added to the list of approved visitors for the offender to visit.

(If List is full) Manage Visitor Wait List - Policy generally defines a limit of active visitors that can participate in a visit with an offender. The system provides a means for managing visitors that have been approved, but must wait until an existing visitor is removed from the list of eligible visitors. Managing this list requires a periodic review to insure the information is current, and remove visitors that no longer meet the criteria to be retained on the list.

Pre-Condition	Description
None	
Post-Condition	Description
Eligible	Qualified to participate in an activity.
Waitlisted	Instances when an offender is added to a waiting list pending transfer, availability, or other factors related to acceptance or assignment to an activity.

1.4 Use Case Specification: Remove Visitor

A visitor will be removed from the list of pre-approved visitors for multiple reasons determined by a staff person. The removal process is initiated after the decision has been made and will result in the complete removal of the record.

The offender will also request a visitor be removed from the list when visits from that individual are no longer wanted.

Note that the visitor information and the association with the offender will be retained for historical or other purposes. Removing the visitor essentially renders the status of the association inactive.

Remove Visitor Activity Diagram

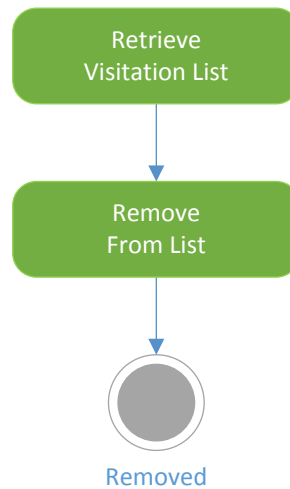


Figure 5: Remove Visitor Activity Diagram

Associated Actor	Relationship	Description
Case Manger	Performs	
Visiting Area Staff	Performs	
Offender	Requests	

1.4.1 Flow of Events

Retrieve Visitation List - Obtain the records listing pre-approved visitors for a specific offender.

- Data provided: Visitor Data.

Remove From List - Purge information from an established list of records. In most instances the information is retained but the logical association with the list is updated to indicate it is no longer active.

Pre-Condition	Description
None	
Post-Condition	Description
Removed	The complete elimination from a pre-existing status.

1.5 Use Case Specification: Verify Visitor

The list of approved visitors authorized to visit the identified offender. The approved list is normally limited to a set number of visitors for each offender.

The list of those visitors approved to visit the identified offender. This list will be used by the visitation staff to verify visitors during routine and scheduled visits. Any changes or modifications to the list by the offender must be processed through the assigned case manager.

Associated Actor	Relationship	Description
Visiting Area Staff	Identify	

- Alternatives flows:

Detail
Some jurisdictions will deny the visit if the visitor is not on the approved list unless the prior arrangements were made to approve a special visit.

1.5.1 Flow of Events

Retrieve Visitation List - Obtain the records listing pre-approved visitors for a specific offender.

- Data provided: Legal Identification.

Match Visitor Identifiers - When a visitor arrives for visitation, their personal information is obtained and a search of the visitor records is performed to match the visitor with a pre-approved visitor record.

- Data provided: Visitor Data.

Verify Visitor Activity Diagram

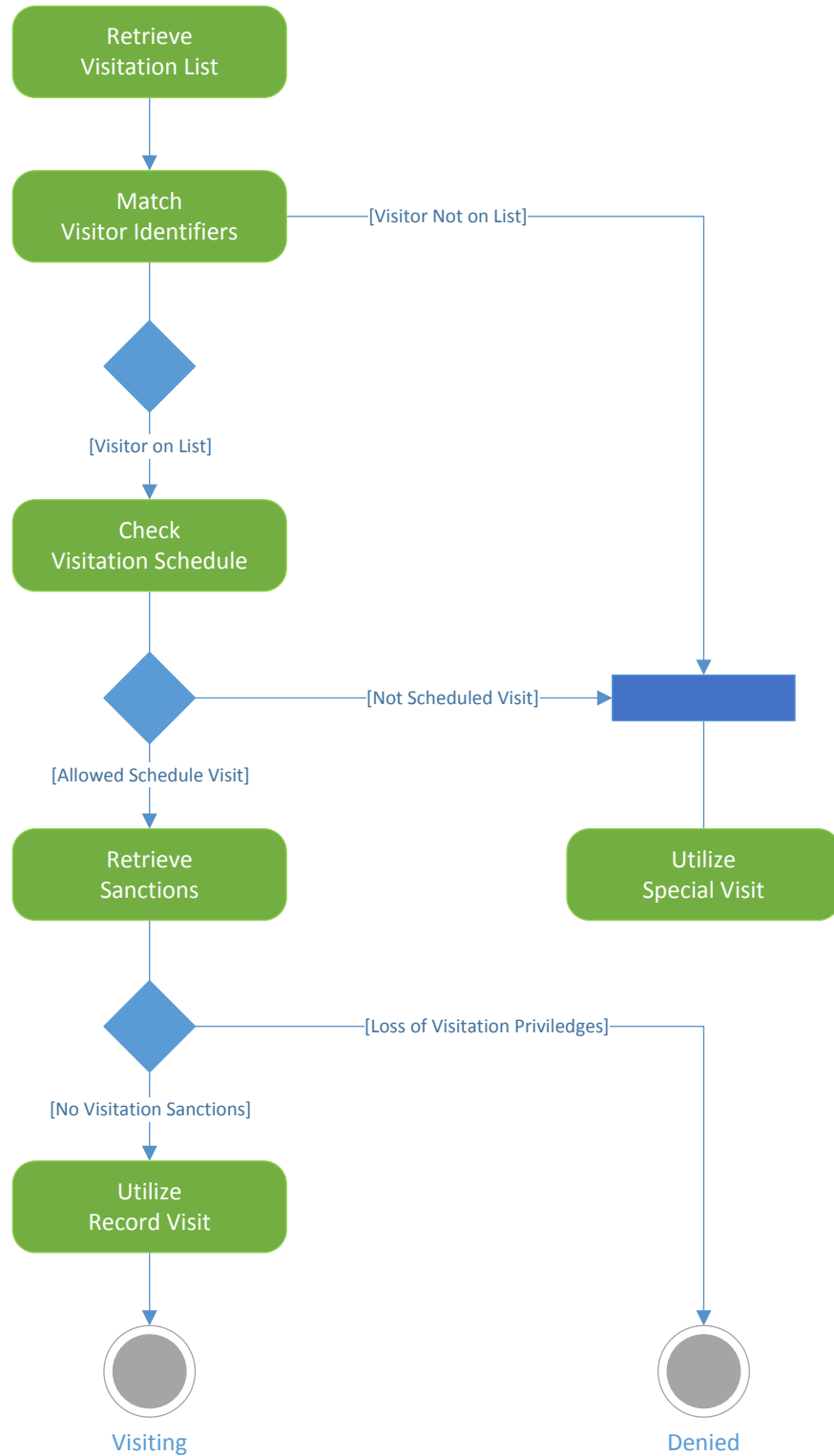


Figure 6: Verify Visitor Activity Diagram

(If Visitor on list) Check Visitation Schedule - Offender visitation is generally scheduled on prescribed days of the week at predefined times. Visits requested at times other than the regularly scheduled days and times require authorization as a special visit. Visits requested during these times are pre-approved by the visitor screening process prior to being added to the visitor list, provided the offender has no active visiting sanction imposed.

- Data provided: Schedule Data.

(If Allowed scheduled visit) Retrieve Sanctions - Obtain the sanction order information produced from a disciplinary finding.

- Data provided: Sanction Data.
- Alternatives flows:

Detail
The facility can suspend or permanently revoke an offender's visitation privileges for cause. The facility superintendent will advise the visitor in writing as to the reasons and terms of the revocation. There may be provisions that allow the visitor to appeal the decision of the superintendent.

(If No visitation sanctions) Utilize Record Visit - The list of scheduled visits for a given date will be reviewed to verify that a visit actually took place. If it has, the event will be recorded, adding to the offender's history of visits.

Utilize Special Visit – An approved visit not scheduled through the normal process or a visit that is of a professional nature i.e., attorney or clergy. A provision that allows for special visits by those who may not be on the approved visitors list. These special circumstances require approval from the facility administrative staff.

Pre-Condition	Description
None	
Post-Condition	Description
Visiting	Engaged in a visit.
Denied	A review has resulted in a decision to deny a request or action.

1.6 Use Case Specification: Approve Special Visit

A special visit is an approved visit that was not scheduled through the normal process or is of a professional nature i.e., attorney or clergy. A provision that allows for special visits by those who may not be on the approved visitors list. These special circumstances require approval from the facility administrative staff.

Associated Actor	Relationship	Description
Shift Commander	Approves	

Approve Special Visit Activity Diagram

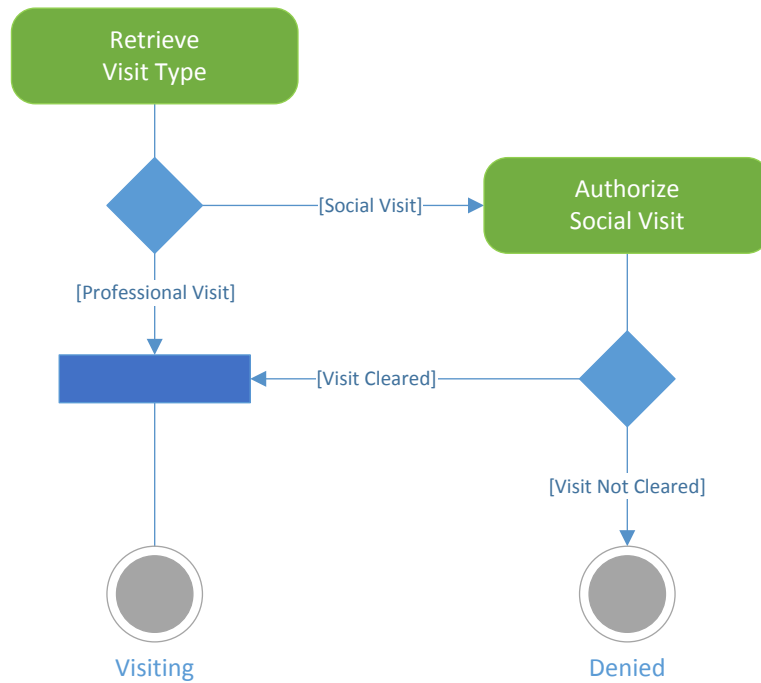


Figure 7: Approve Special Visit Activity Diagram

1.6.1 Flow of Events

Retrieve Visit Type - Obtain the type of visit requested.

- Data provided: Visit Type.
- Alternatives flows:

Detail	
Professional visits may be denied, however most of these types of visit are of an official nature and are approved.	
Professional visits may be legal visits where the offender's attorney of record and their agents may be approved for official legal visits upon providing the necessary documents and or information for verification. The names and specific titles will be added to the offender's official list of visitors. They may also be clergy and faith group representatives may request visits with specific offenders. Their verification and background checks will occur with the assistance of the agencies religious and volunteer services sections.	

(If Social Visit) Authorize Social Visit - Authorization by a staff person in authority to approve the offender to receive social visits.x

Pre-Condition	Description
None	
Post-Condition	Description
Visiting	Engaged in a visit.
Denied	A review has resulted in a decision to deny a request or action.

1.7 Use Case Specification: Record Visit

The list of scheduled visits for a given date will be reviewed to verify that a visit actually took place. If it has the event will be recorded, adding to the offender's history of visits.

Record Visit Activity Diagram

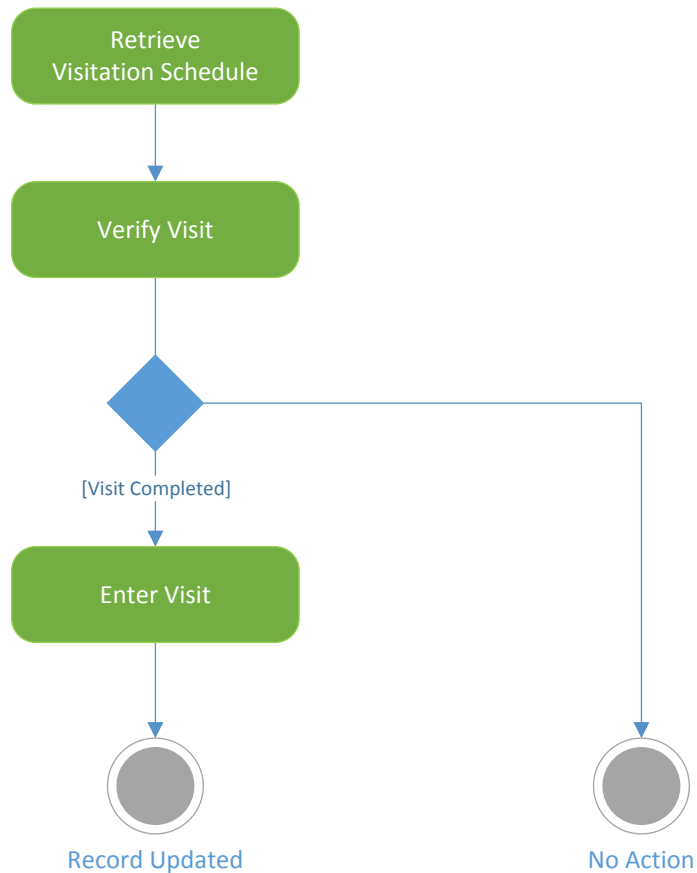


Figure 8: Record Visit Activity Diagram

Associated Actor	Relationship	Description
Visiting Area Staff	Record	Visits may not be scheduled in advance. In such instances, the visitor is unknown until they arrive at the facility and request to visit with an offender.

1.7.1 Flow of Events

Retrieve Visitation Schedule - The list of visits scheduled for a given day at a facility will be obtained for review. The purpose of the review will be to plan and coordinate the visitation schedule, or to obtain information about a visit event that took place.

- Data provided: Visit Date/Time, Visitor Data, Visit Type, Offender Identifiers.

Verify Visit – Confirm the visit took place.

- Data provided: Visit Verification.

(If visit completed) Enter Visit - Chronological recording of each visit the offender receives.

Pre-Condition	Description
None	
Post-Condition	Description
Record Updated	Instances where a record is successfully updated in a database or other record-keeping system.
No Action	When a decision or determination process results in no action taken.

Common Business Functions for Correctional Management Systems



IJIS Institute



Volume 2 – Business Scenarios
Part P – Release and Discharge

*Authored by the IJIS Institute and the
Corrections Technology Association*

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1. BUSINESS FUNCTION: RELEASE AND DISCHARGE

Release to community supervision for offenders can include a variety of assignments from community residential programs to various levels of home detention and reporting requirements. The two status levels are those under incarcerated supervision and those in parole supervision. Incarcerated supervision targets inmates in pre-release environments, with an imminent parole consideration or release date. In most cases they must be referred for consideration and require the approval of both corrections and community officials. Parole supervision requires that the offender has received approval by the paroling authority to be released into the community under certain terms and conditions, and within several ranges of residential living to include their own residence.

Offenders may discharge directly from an institution, from a community placement while still on inmate status, or from parole. Once discharged the offender is no longer under the custody of corrections. However, discharged offenders may still be under legal obligation to report for registration based on statutory requirements.

At the various stages of release, parole, and discharge the corrections department/agency may be obligated to notify registered victims of the upcoming events.

Release and Discharge Use Case Diagram

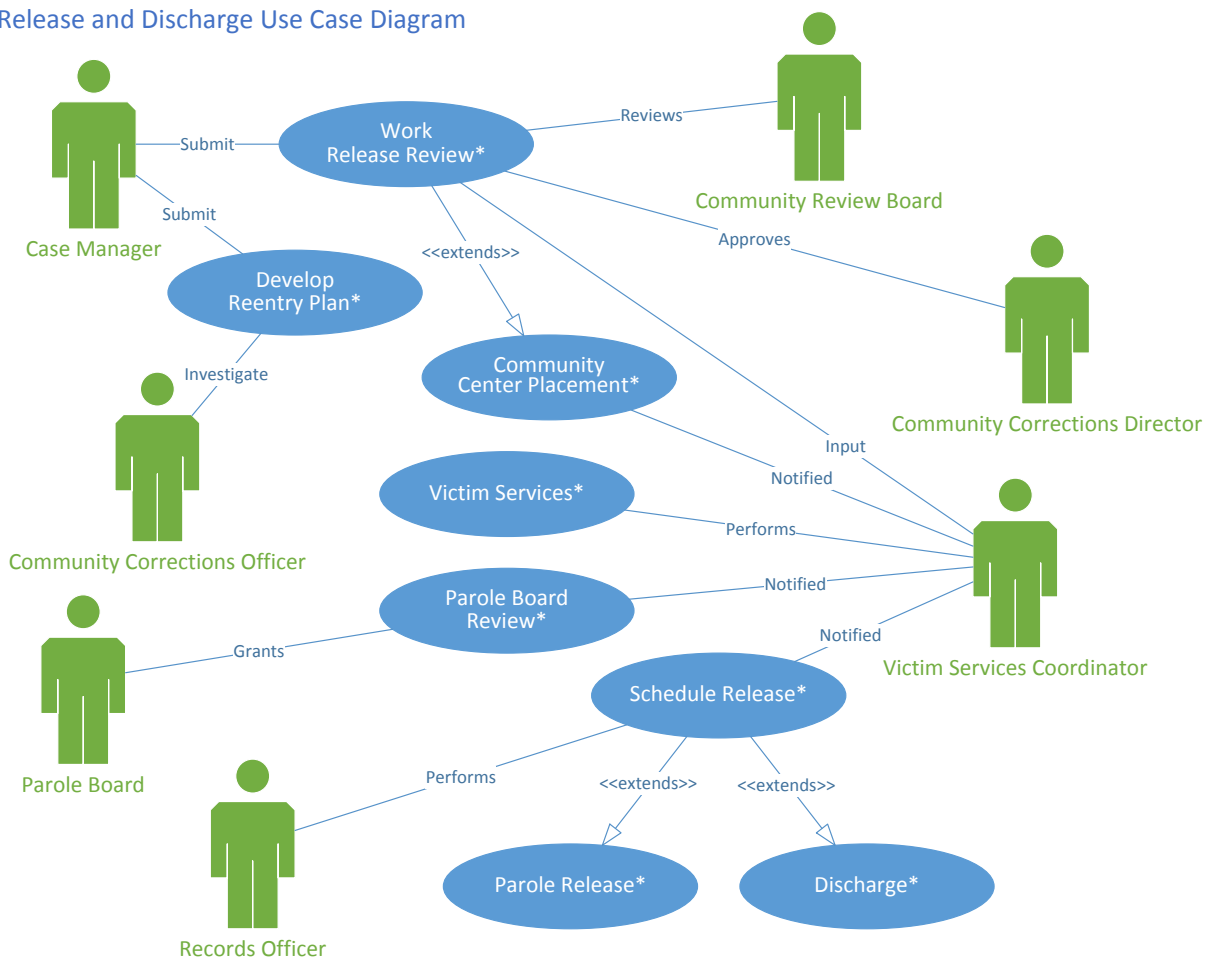


Figure 1: Release and Discharge Use Case Diagram

1.1 Use Case Specification: Work Release Review

Application for community assignment is initiated and goes through a formal review process. The offender remains in inmate status, however, there is a more stringent process for placement into community residential housing than for movement between facilities.

Work Release Review Activity Diagram

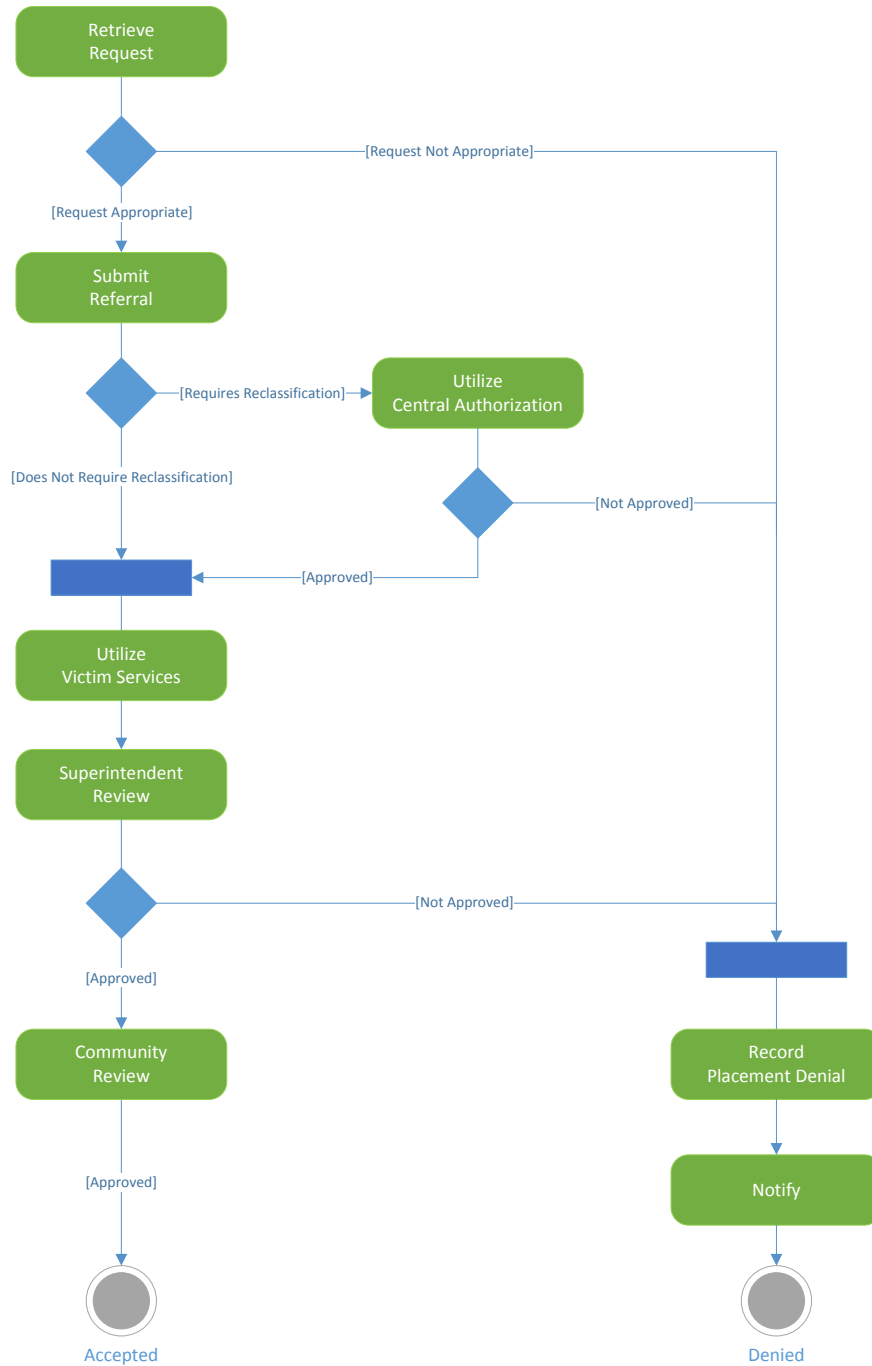


Figure 2: Work Release Review Activity Diagram

Associated Actor	Relationship	Description
Victim Services Coordinator	Input	Victim services will notify the registered victim of any consideration for community placement. There may be a formal process in place for the victim to confidentially provide input into the review process.
Community Review Board	Reviews	There may be a formal community review board that has final approval or input into inmate community placements. Other options are review by key individuals including the sentencing judge and the prosecuting attorney. The work release review may be performed by corrections agency administration.
Case Manager	Submit	An offender may be sentenced directly to a community residential placement, without entering the department's facilities. The intake process would occur in the community. Work release or half way house placement often occurs while the offender is still on inmate status. There are situations where the offender may be placed in a residential setting while on parole or probation status. There may be instances where the offender remains incarcerated and allowed to participate in the work release program. Work release and/or community placement may not be available in some jurisdictions.
Community Corrections Director	Approves	The authority for community placement may belong to another actor such as a parole board.

1.1.1 Flow of Events

Retrieve Request - This activity is the act of retrieving a formal request for an action or omission. This activity denotes the request has been documented, and will be reviewed resulting in either an authorization or denial of the action or omission.

- Data provided: Request Document.

(If request appropriate) Submit Referral - The referral will be entered specifying the time of the referral, the program, the areas to be addressed by the program/placement, and any pertinent history. The entry should trigger an event for the program provider or reviewing supervisory staff.

- Data provided: Request Document, Victim Registration Information, Override Request Document.

(If requires reclassification) Utilize Central Authorization - Central Authorization is the review of all actions on behalf of the corrections department where policy dictates a decision is to be made at a level above that of the facility administration. Review examples include approval of offender classification, inter-facility movement, and facility assignments.

The facility staff may submit their recommendations for classification and movement to the central offender management office. The offenders classification information will be reviewed, this review may include:

- Victim Information
- Sex Offender Information
- Movement History
- Legal Issues (Warrants, Detainment Orders, Fines Outstanding, Pending Charges)

- Probation/INS
 - Security (Escape, Disciplinary, STG, Segregation Units Enemies/Codefendants)
 - Medical/Mental Health Restrictions
 - Suicide Attempts
 - Official Version of the Offense
 - Criminal History by Categories
 - Totals by Crime Type
 - Risk Reduction Plan
 - Academic Degrees
 - Vocational Trades
 - Family Information
 - Incarceration Summary (notes from case manager to include program involvement i.e., response to risk reduction plan)
- Data provided: Classification Decisions.

Utilize Victim Services - The correctional department/agency in most jurisdictions will provide victims or appropriate individuals or entities who make a request, receive a formal notification when specific events take place while an offender is on community supervision or incarcerated in a facility. Victim information is kept confidential and maintained in a secured record.

Specific events include assignment to the offender's current prison location, transfers from one prison location to another, release date of offender, change of name of offender, escape and recapture, parole eligibility date, parole interview date, and a parole board decision.

The notification process first requires the individual requesting to receive notification to register with the correctional department/agency, providing necessary contact information as well as identification information of the offender to be traced. Policies and procedures vary greatly by jurisdiction.

- Data provided: Request Document, Victim Concerns.

Record Placement Denial - The reason for a placement decision will be entered along with the reasons supporting the decision. Victim input will be kept confidential and although perhaps part of the reason will not be entered as such.

- Data provided: Denial Reason.

Superintendent Review - The superintendent or their designee reviews a decision made by staff prior to the decision becoming final. The outcome of the review will be entered, either approving or disapproving. With disapproval, the reasons will be provided.

- Data provided: Request Document, Denial Reason.

(If Approved) Community Review - The community corrections director or their designee reviews a decision made by staff prior to the decision becoming final. The outcome of the review will be entered, either approving or disapproving. With disapproval, the reasons will be provided.

- Data provided: Authorized Moves.

Notify - The notification activity produces and disseminates appropriate information for the purpose of making staff aware of an event and/or initiating action. The staff needing to know must have been identified for each event.

Pre-Condition	Description
None	
Post-Condition	Description
Accepted	An action resulting from a decision to approve or grant admittance.
Denied	A review has resulted in a decision to deny a request or action.

1.2 Use Case Specification: Community Center Placement

An offender is released to a community residential placement. The offender is responsible for arriving at the center; if the offender is not present at the designated times, the offender is considered on escape status. The offender will no longer be on the trust accounting system, as the center will be responsible for managing the account. The offender will remain accountable to the department's code of penal discipline and may be regressed back into a facility without a formal status hearing.

Associated Actor	Relationship	Description
Victim Services Coordinator	Notified	

1.2.1 Flow of Events

Retrieve Authorized Move List - Candidates for facility transfers are flagged as having been approved by the appropriate authority. The authority may vary depending on the type of anticipated move. Offenders flagged as authorized can be retrieved at any time for the purposes of identifying the appropriate placement.

- Data provided: Authorized Moves.

(If registered victim) Utilize Victim Services - The correctional department/agency in most jurisdictions will provide victims or appropriate individuals or entities who make a request, receive a formal notification when specific events take place while an offender is on community supervision or incarcerated in a facility. Victim information is kept confidential and maintained in a secured record.

Specific events include assignment to the offender's current prison location, transfers from one prison location to another, release date of offender, change of name of offender, escape and recapture, parole eligibility date, parole interview date, and a parole board decision.

The notification process first requires the individual requesting to receive notification to register with the correctional department/agency, providing necessary contact information as well as identification information of the offender to be traced. Policies and procedures vary greatly by jurisdiction.

- Data provided: Authorized Moves.

Community Center Placement Activity Diagram

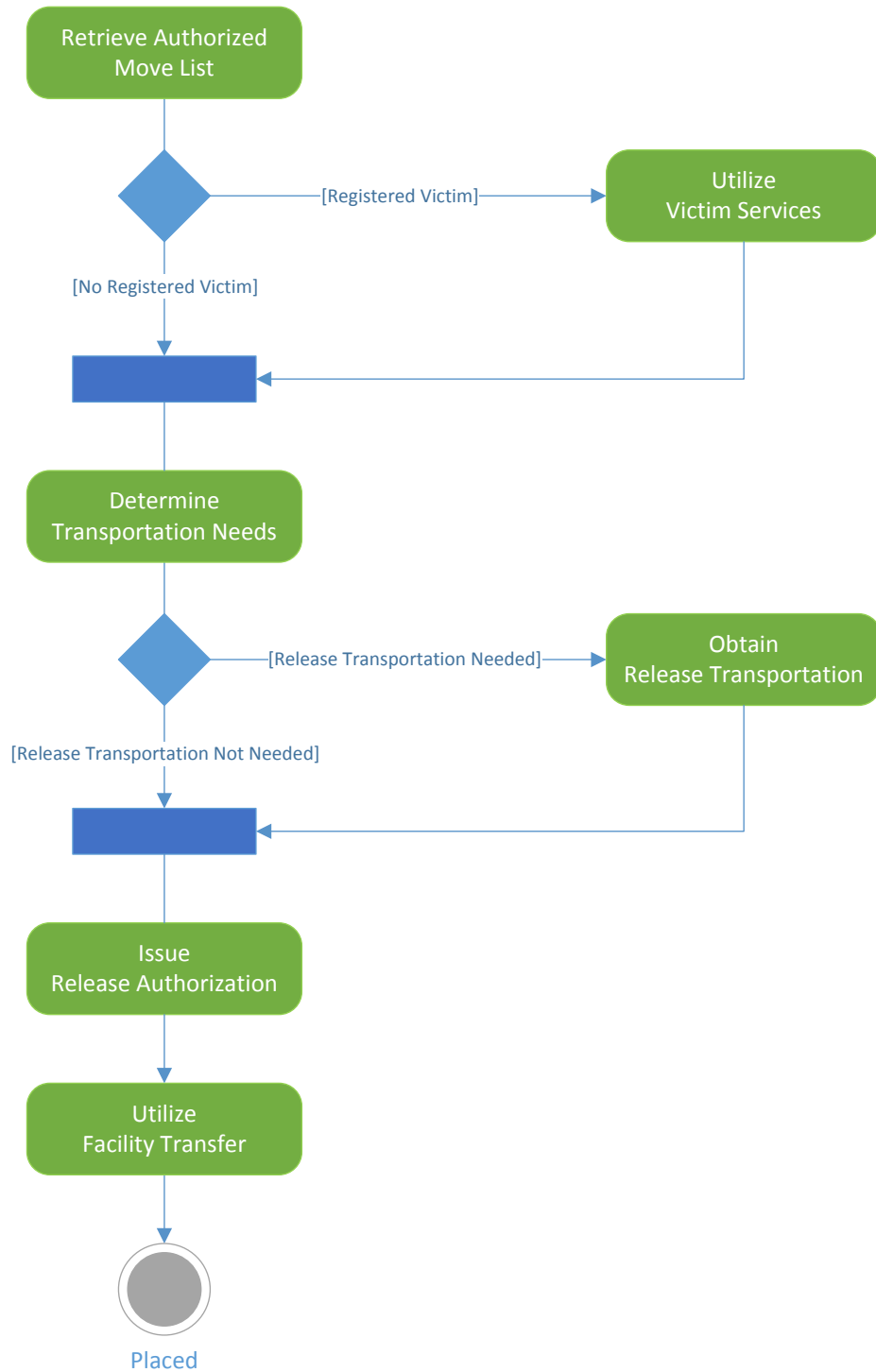


Figure 3: Community Center Placement Activity Diagram

Determine Transportation Needs - Perform an assessment of transportation needs the offender will have upon release from incarceration.

- Data provided: Transportation Voucher.

(If Release Transportation Needed) Obtain Release Transportation - Offenders to be released from custody may require public transportation to their final destination. These arrangements are made by the corrections department/agency on behalf of the offender. The costs for the transportation are generally the responsibility of the offender, although some jurisdictions have policies that include paying transportation costs as part of the release process.

Issue Release Authorization - The act of compiling necessary information and authorizations for the release of the offender from incarceration.

- Data provided: Transfer Order.

Utilize Facility Transfer - Housing is notified of the scheduled move. The offender's property is prepared to move if the move is permanent and the property is allowed at the receiving facility. The offender is checked out or departed from the originating facility by the facility staff. The offender will be shown in transit until arriving at the receiving facility.

Depending on the routing of the offender transportation it is possible an offender may temporarily stay overnight in a mid-way facility. The offender would be received in a temporary status, still showing the permanent receiving facility as scheduled.

Pre-Condition	Description
None	
Post-Condition	Description
Placed	The result of an assignment.

1.3 Use Case Specification: Develop Reentry Plan

The reentry plan determines whether and when the offender will be transitioned to community or post-incarceration supervision. States with indeterminate sentences maintain a parole process. States with presumptive sentencing policies define actual prison time and community supervision at the time of sentencing with little variance of time reduction credits.

The case manager develops this plan with input from the offender. It contains the offender's plans for reentry to include the sponsor and residential location, employment or education plan, synopsis of current crimes/sentences, criminal history, incarceration adjustments, programs completed, post release treatment recommendations, clinical issues, and other appropriate recommendations.

Associated Actor	Relationship	Description
Community Corrections Officer	Investigate	An institutional parole officer may be assigned to the facility, who assists in the development of the reentry plan.
Case Manager	Submit	The reentry play may be handled by the parole board actor for specific circumstances such as indigence, whereby a special plan is devised.

Develop Reentry Plan Activity Diagram

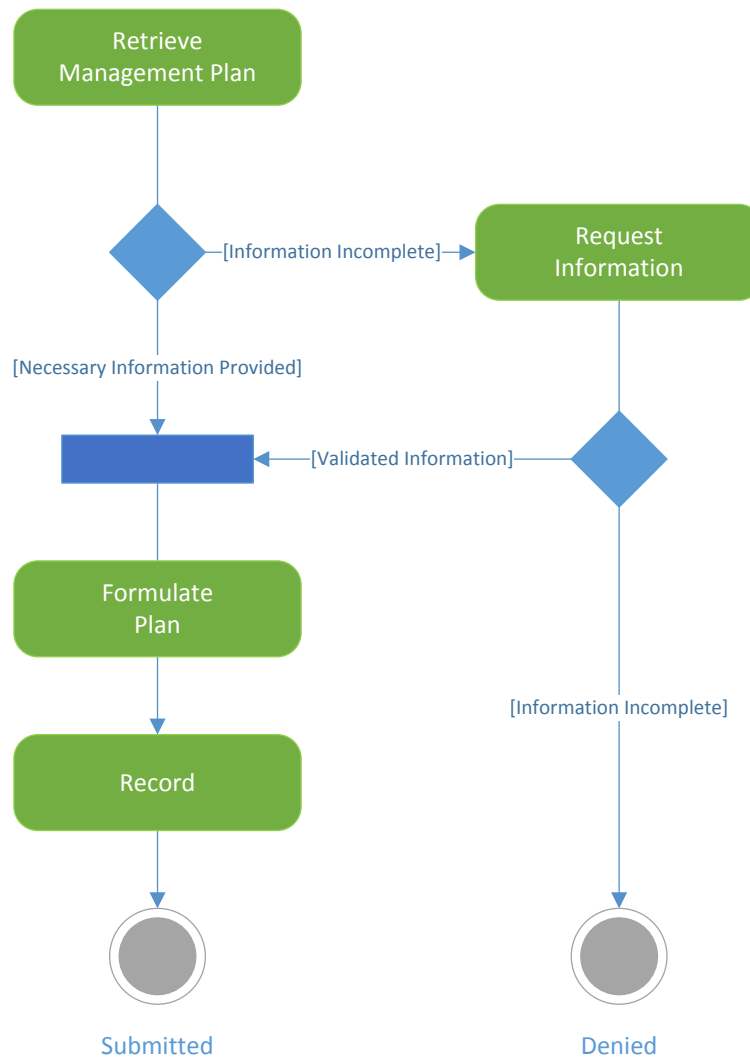


Figure 4: Develop Reentry Plan Activity Diagram

1.3.1 Flow of Events

Retrieve Management Plan - The current management plan for a specified offender will be obtained for review. The management plan will indicate areas the offender is required to address during the incarceration period and may include specific programs in which the offender is encouraged to participate.

- Data provided: Reentry Information.

(If information incomplete) Request Information - Information will be solicited and used for one or more purposes. The information generally consists of offender-related data elements, but is not restricted to this alone. Family and community support is often considered when developing the reentry plan.

- Data provided: Reentry Information.

Formulate Plan - Offender risk information and program needs will be compiled to establish accountability objectives to be addressed during the incarceration period. The plan is compiled from the information gathered in the earlier steps of the reception process. The programs outlined in the plan may be set in priority order or just under the heading of each area. Some program needs may be specifically dictated as a result of the offense, they may be acute or chronic and are considered dynamic in nature.

- Data provided: Reentry Plan.

Record - The act of documenting any form of action, decision, or information that is to be placed among official records.

Pre-Condition	Description
None	
Post-Condition	Description
Denied	A review has resulted in a decision to deny a request or action.
Submitted	Any instance whereby a document is prepared or a verbal communication is issued and is offered for consideration, study, or decision.

1.4 Use Case Specification: Victim Services

The correctional department/agency in most jurisdictions will provide victims or appropriate individuals or entities who make a request, receive a formal notification when specific events take place while an offender is on community supervision or incarcerated in a facility. Victim information is kept confidential and maintained in a secured record.

Specific events include assignment to the offender's current prison location, transfers from one prison location to another, release date of offender, change of name of offender, escape and recapture, parole eligibility date, parole interview date and a parole board decision.

The notification process first requires the individual requesting to receive notification to register with the correctional department/agency, providing necessary contact information as well as identification information of the offender to be traced. Policies and procedures vary greatly by jurisdiction.

Associated Actor	Relationship	Description
Victim Services Coordinator	Performs	

1.4.1 Flow of Events

Determine Type - Used to evaluate the type of activity, such as movement outside of the facility for a day trip, or intra-facility movement such as medical appointment, work assignment, program activity, etc.

- Data provided: Offender Identifiers, Victim Identifiers.

Victim Services Activity Diagram

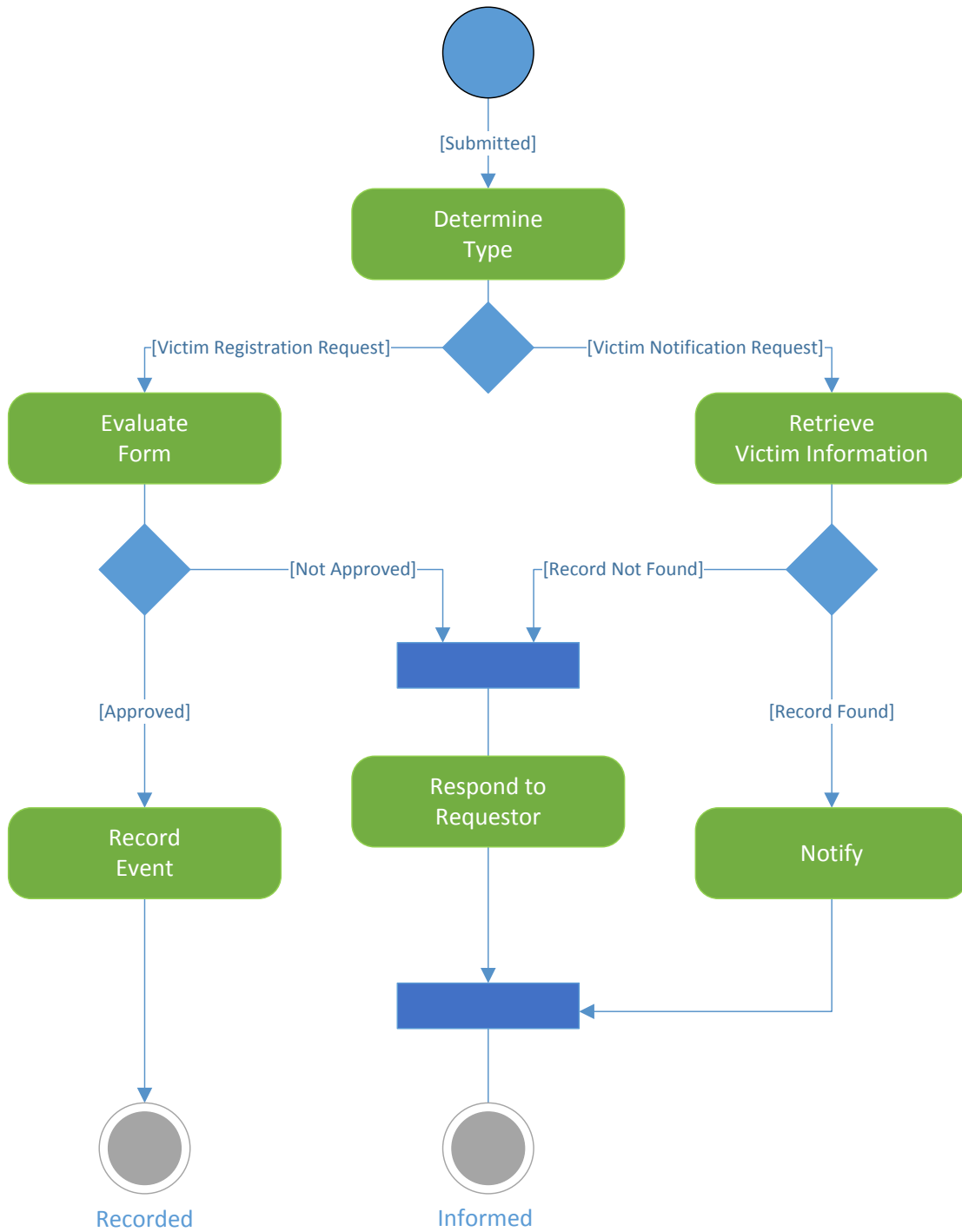


Figure 5: Victim Services Activity Diagram

(If victim registration request) Evaluate Form - The act of reviewing a form for required information resulting in a determination.

- Data provided: Victim Registration Information.

(If Approved) Record Event - The creation of an entry for an event or outcome containing essential information for future retrieval and use by correctional staff.

(If victim notification request) Retrieve Victim Registration - Using key identifiers, the victim registration information that has been submitted and filed with the correctional department/agency is retrieved for processing.

- Data provided: Victim Registration Information.

Detail
In this transition the originator of the request receives a response to communicate that no information had been found pertaining to their inquiry.

Respond to Requestor - Any time a response is appropriate, either a document is developed and sent and/or a verbal communication is performed to provide a requestor with information regarding their request.

(If record found) Notify - The notification activity produces and disseminates appropriate information for the purpose of making staff aware of an event and/or initiating action. The staff needing to know must have been identified for each event.

Pre-Condition	Description
Submitted	Any instance whereby a document is prepared or a verbal communication is issued and is offered for consideration, study, or decision.
Post-Condition	Description
Recorded	The result of compiling information and documenting results in a repository for future retrieval and reference.
Informed	Any instance where an individual receives a communication in any form for the purpose of informing.

1.5 Use Case Specification: Parole Board Review

The scheduled review for the appropriateness of parole, based upon the parole eligibility date. If approved, offender's status will change from inmate to parolee and the offender will be released into the community. If denied, offender's status will remain as inmate and there will be a new review hearing date set. From the time of the first review forward through their discharge date, the offender's time is under the control of the Parole Board.

Associated Actor	Relationship	Description
Victim Services Coordinator	Notified	
Parole Board	Grants	Parole may apply to only a portion of the offender population, as sentencing laws change redefining community release status. Where traditional parole is no longer used, there may still be a board/committee responsible for the release review and approval process.

Parole Board Review Activity Diagram

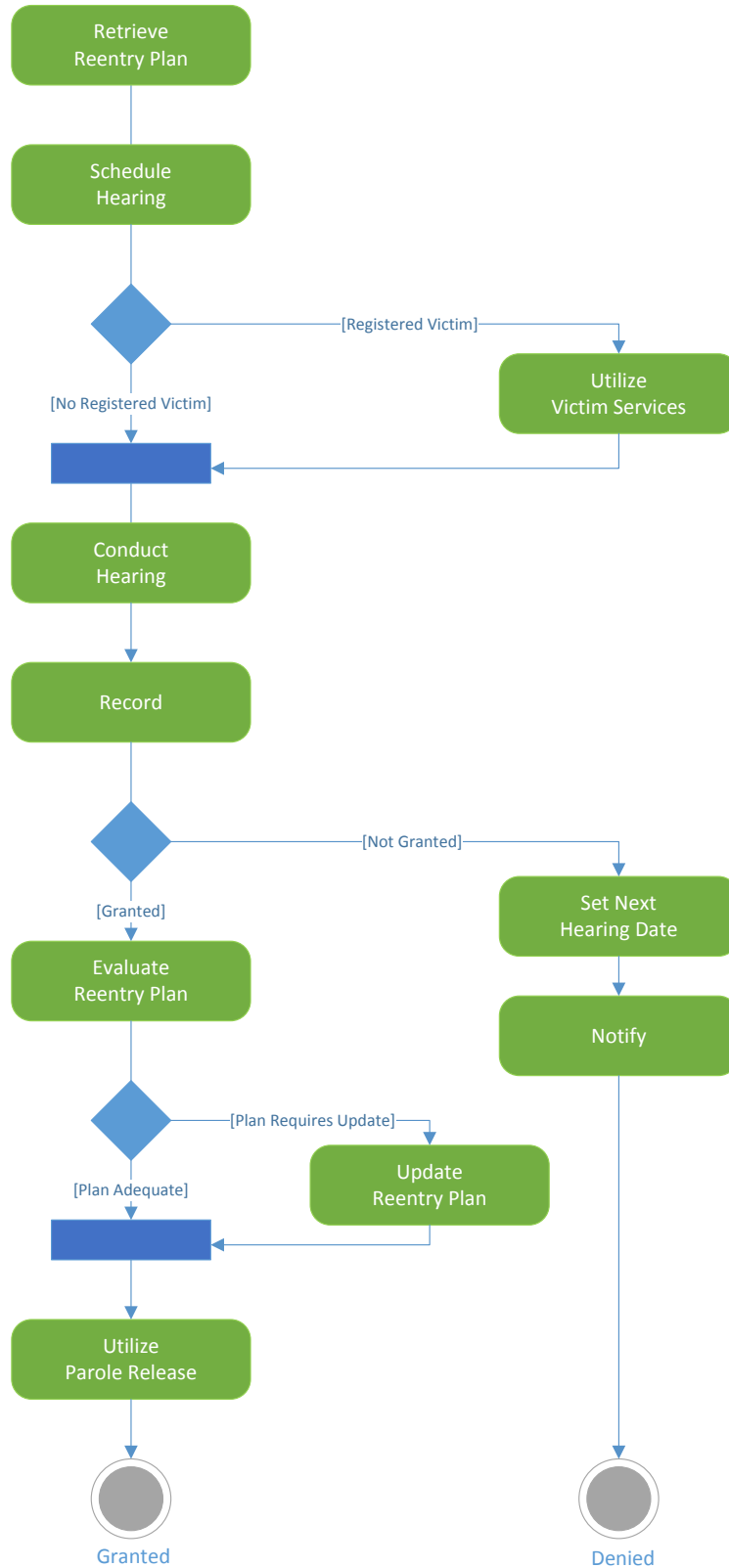


Figure 6: Parole Board Review Activity Diagram

1.5.1 Flow of Events

Retrieve Reentry Plan - The reentry plan is developed for the purpose of providing the releasing authority a plan to review before an upcoming hearing. The plan will contain risks, an accountability plan, and residential/work expectations. The plan should be sufficiently retrievable to the reviewers prior to the hearing.

- Data provided: Reentry Plan.

Schedule Hearing - Set a date for a formal review hearing of an offender's status. The hearing may be initiated either by a status review date, or a violation/incident report.

- Data provided: Hearing Date/Time, Offender Identifiers.

(If registered victim) Utilize Victim Services - The correctional department/agency, in most jurisdictions, will provide victims or appropriate individuals/entities who make a request with a formal notification when specific events take place while an offender is on community supervision or incarcerated in a facility. Victim information is kept confidential and maintained in a secured record.

Specific events include assignment to the offender's current prison location, transfers from one prison location to another, release date of offender, change of name of offender, escape and recapture, parole eligibility date, parole interview date, and a parole board decision.

The notification process first requires the individual requesting to receive notification to register with the correctional department/agency, providing necessary contact information as well as identification information of the offender to be traced. Policies and procedures vary greatly by jurisdiction.

- Data provided: Offender Identifiers.

Conduct Hearing - Directing a formal session in which testimony, written or oral, is taken from witnesses.

- Data provided: Hearing Minutes.

Record - The act of documenting any form of action, decision, or information that is to be placed among official records.

- Data provided: Denial Reason, Hearing Date/Time, Release Order.

(If granted) Evaluate Reentry Plan - A review of the reentry plan will be performed to evaluate the need to update the plan already on record.

- Alternatives flows:

Detail
The parole board may release the offender pending specified conditions are met. The date may be specified on the order but is only authorized when the conditions are satisfied.

(If plan requires update) Update Reentry Plan - A reentry plan will require updating before each new hearing or after hearing decisions where further issues are ordered to be addressed. An example would be securing housing prior to setting a release date.

Utilize Parole Release - The release of an offender to parole status. The offender is still governed by the sentence, however the Parole Board now has jurisdiction over the offender. The offender is assigned a parole officer to whom the offender must report and must adhere to any conditions ordered by the parole board. The parole period will have an end date pending no adverse behavior occurs. The offender is no longer subject to earned credit time or statutory good time.

(If not granted) Set Next Hearing Date - A date is set for a hearing in the future. This may be as a result of an incident or an periodic hearing to review the status of the offender.

Notify - The notification activity produces and disseminates appropriate information for the purpose of making staff aware of an event and/or initiating action. The staff needing to know must have been identified for each event.

Pre-Condition	Description
None	
Post-Condition	Description
Denied	A review has resulted in a decision to deny a request or action.
Granted	A decision to approve or award a requested action.

1.6 Use Case Specification: Schedule Release

There are various events that trigger the process of scheduling the release of an offender from incarceration, these include parole board action, the discharge of the offender's sentence, court order, or some other form of release while still under the jurisdiction of the corrections department/agency.

Activities that must take place prior to the release of an offender are conducting a formal search for active warrants, warrants, and detainers. This activity will initiate a formal notification process whereby law enforcement or corrections agencies, and individuals that have registered in the victim notification program, will be informed of the pending release.

Associated Actor	Relationship	Description
Victim Services Coordinator	Notified	The process of notifying victims may be performed by the adjudicating agency.
Records Officer	Performs	In some jurisdictions, the release processing is decentralized. In these instances, the scheduling and activities associated with the release to the community is performed by facility staff. The parole authority may perform release processes for offenders under parole

- Alternatives flows:

Detail
If the offender's sentence does not use traditional parole, the offender may be released to community supervision under the department's jurisdiction.
With certain sentences (e.g., sex offenses), a committee may be mandated to review the case prior to discharge where statutes permit other options.
The discharge process includes all other methods of terminating the offender incarceration period other than release to parole. Agencies that exercise the death penalty effectively discharge the offender from incarceration in the sense that the remains are released from custody.

Schedule Release Activity Diagram

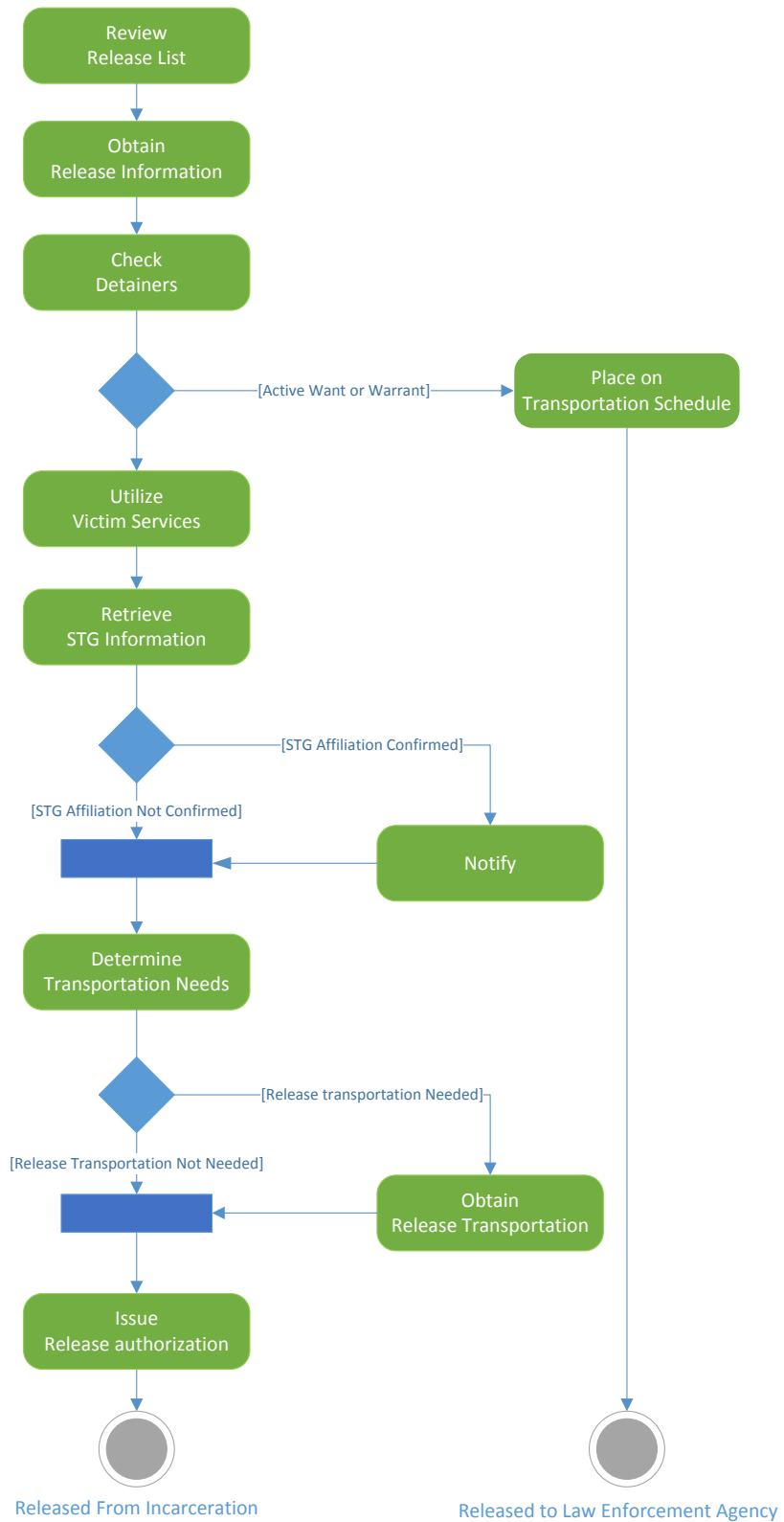


Figure 7: Schedule Release Activity Diagram

1.6.1 Flow of Events

Review Release List - View the list of offenders that are approaching the end of their incarceration and will require processing for release.

- Data provided: Offender Identifiers, Projected Release Date.

Obtain Release Information - Gather information pertinent to the release of an offender from incarceration or supervision.

- Data provided: Release Information.
- Alternatives flows:

Detail
There are jurisdictions that will detain an offender from release for outstanding fines or restitution debt obligations. Generally, this will affect only the conditional release of the offender such as parole or community.

Check Detainers - The corrections department/agency will submit queries to law enforcement networks to obtain active orders on individuals that are the subject of a detainment action. Offenders scheduled for release, individuals requesting a visit with offenders, or employee background searches are examples of actions that will trigger this query.

- Data provided: Active Want or Warrant.
- Alternatives flows:

Detail
Transportation to another agency may be provided by the receiving agency and not the sending agency.

(If registered victim) Utilize Victim Services - The correctional department/agency, in most jurisdictions, will provide victims or appropriate individuals/entities who make a request with a formal notification when specific events take place while an offender is on community supervision or incarcerated in a facility. Victim information is kept confidential and maintained in a secured record.

Specific events include assignment to the offender's current prison location, transfers from one prison location to another, release date of offender, change of name of offender, escape and recapture, parole eligibility date, parole interview date, and a parole board decision.

The notification process first requires the individual requesting to receive notification to register with the correctional department/agency, providing necessary contact information as well as identification information of the offender to be traced. Policies and procedures vary greatly by jurisdiction.

Retrieve STG Information - Information regarding security threat group affiliation will be obtained from available sources in order to determine if appropriate notifications should be made.

- Data provided: STG Affiliation.

(If STG affiliation confirmed) Notify - The notification activity produces and disseminates appropriate information for the purpose of making staff aware of an event and/or initiating action. The staff needing to know must have been identified for each event.

Determine Transportation Needs - Perform an assessment of transportation needs the offender will have upon release from incarceration.

- Data provided: Transportation Voucher.
- Alternatives flows:

Detail
Transportation may be provided to the nearest public transportation terminal where the offender is released to obtain transportation to their final destination.

(If Active Warrant or Warrant) Place on Transportation Schedule - Add an offender to a scheduled transportation out of the facility, yet maintain custody and control at the current facility until actual transportation.

(If Release Transportation Needed) Obtain Release Transportation - Offenders to be released from custody may require public transportation to their final destination. These arrangements are made by the corrections department/agency on behalf of the offender. The costs for the transportation are generally the responsibility of the offender, although some jurisdictions have policies that include paying transportation costs as part of the release process.

- Data provided: Release Transportation Itinerary.

Issue Release Authorization - The act of compiling necessary information and authorizations for the release of the offender from incarceration.

- Data provided: Release Authorization.

Pre-Condition	Description
None	
Post-Condition	Description
Released to Law Enforcement Agency	Instance where an offender is released from incarceration with the correctional department/agency and is handed over to another law enforcement entity.
Release from Incarceration	The state when the offender is released from incarceration with the correctional department/agency.

1.7 Use Case Specification: Parole Release

The release of an offender to parole status. The offender is still governed by the sentence, however the Parole Board now has jurisdiction over the offender. The offender is assigned a parole officer to whom the offender must report and must adhere to any conditions ordered by the parole board.

The parole period will have an end date pending no adverse behavior occurs. The offender is no longer subject to earned credit time or statutory good time.

Parole Release Activity Diagram

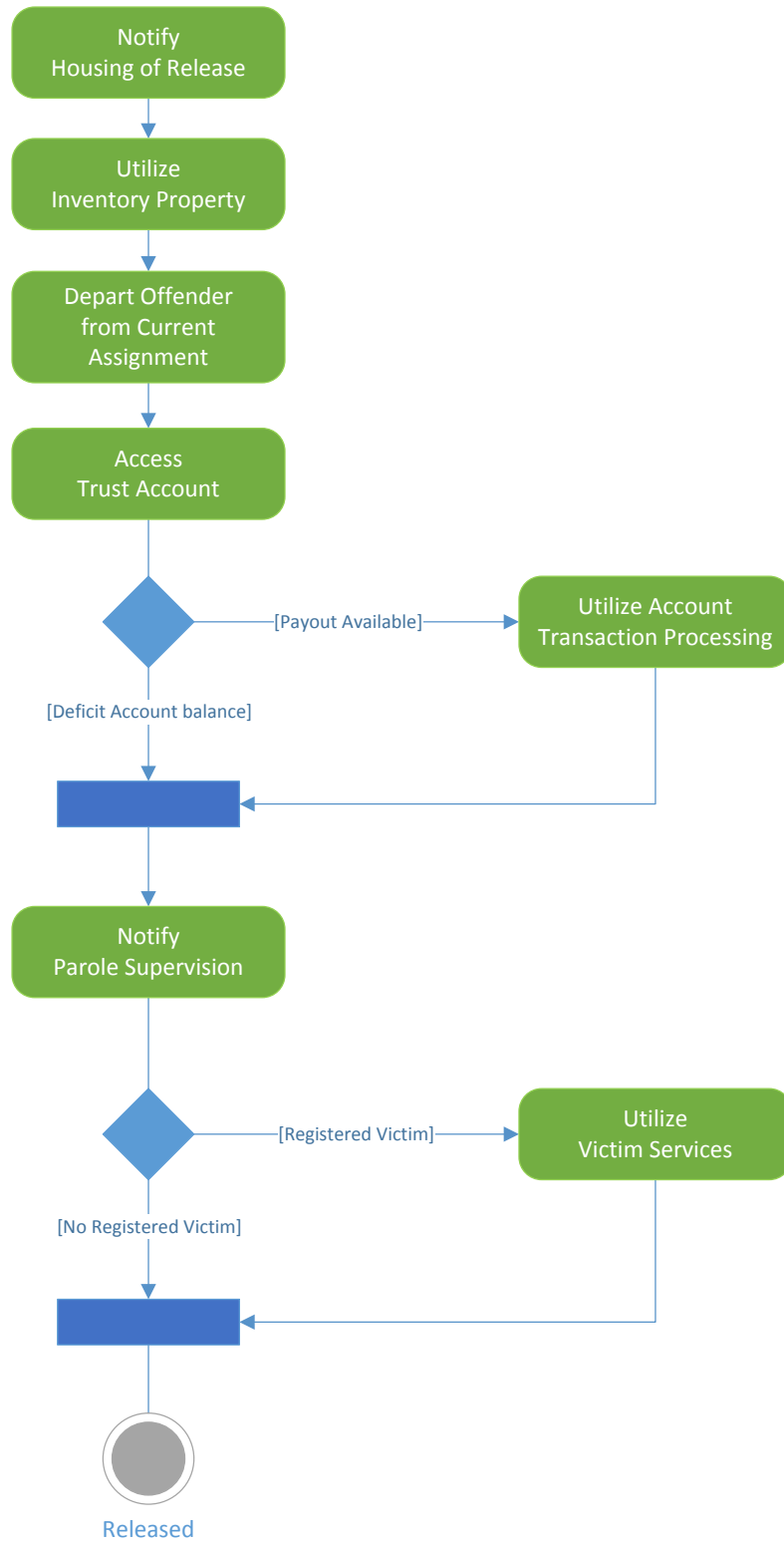


Figure 8: Parole Release Activity Diagram

1.7.1 Flow of Events

Notify Housing of Release - The facility the offender is leaving from will be notified regarding any upcoming transport. The facility will be sent information specifying the date, time, and any property information which would help the facility prepare for the release.

- Data provided: Release Order, Release Date.

Utilize Inventory Property - Accounting for offender property is an ongoing process during the incarceration period. Offenders are often moving to other living assignments. In most instances, the movement will result in a search of property to ensure there are no contraband items. Intra-facility movement will definitely involve a search of property and either listing the items on an inventory form or a check against an existing inventory record. Contraband items will be confiscated and turned over for disposition. If a property record has not been produced, one will be in order to begin tracking their property items.

- Data provided: Property Identifiers.

Depart Offender from Current Assignment - When an offender physically leaves a facility, housing unit, or cell to transfer to another housing assignment, the offender is departed from the current assignment. This will release the bed, and will take the offender off the count for the unit and or facility. The offender will be in unassigned or transit status until received.

- Data provided: Facility Count.

Access Trust Account - Accessing the trust account will provide account information, including transaction information and available balance.

- Data provided: Account Available Balance.

(If pay out available) Utilize Account Transaction Processing - Account transaction processing involves posting deposits and withdrawal transaction records to a trust account, and ensuring an accurate balance results from the transaction. In a correctional setting, the offender rarely has contact with the accounting office and is required to conduct their financial business through a third party that validates and, in some instances, authorizes the transaction. When monies are received, the existence of the offender trust account is verified. If one is not found, an account will be opened to process the transaction request. The posting process will collect monies and apply them towards debt or other financial requirements established by law or policy. Withdrawals will be processed when sufficient monies are available to cover the requested amount. The transaction request will result in either a posted transaction or a denial of the request.

Notify Parole Supervisor - Procedure to notify the parole supervisor responsible of a release to parole.

- Data provided: Release Information, Offender Identifiers.
- Alternatives flows:

Detail
Sex offenders may be prevented from residing in specified areas or communities.

(If registered victim) Utilize Victim Services - The correctional department/agency, in most jurisdictions, will provide victims or appropriate individuals/entities who make a request with a formal notification when specific events take place while an offender is on community supervision or incarcerated in a facility. Victim information is kept confidential and maintained in a secured record.

Specific events include assignment to the offender's current prison location, transfers from one prison location to another, release date of offender, change of name of offender, escape and recapture, parole eligibility date, parole interview date, and a parole board decision.

The notification process first requires the individual requesting to receive notification to register with the correctional department/agency, providing necessary contact information as well as identification information of the offender to be traced. Policies and procedures vary greatly by jurisdiction.

Pre-Condition	Description
None	
Post-Condition	Description
Released	Offender is released from incarceration.

1.8 Use Case Specification: Discharge

The process and act of releasing an offender from the custody of the correctional department/agency when sentencing conditions have been satisfied. This may be a discharge from incarceration or supervision.

1.8.1 Flow of Events

Notify Housing of Release - The facility the offender is leaving from will be notified regarding any upcoming transport. The facility will be sent information specifying the date, time, and any property information which would help the facility prepare for the release.

- Data provided: Sentence Discharge Date, Release Authorization.

Utilize Inventory Property - Accounting for offender property is an ongoing process during the incarceration period. Offenders are often moving to other living assignments. In most instances, the movement will result in a search of property to ensure there are no contraband items. Intra-facility movement will definitely involve a search of property and either listing the items on an inventory form or a check against an existing inventory record. Contraband items will be confiscated and turned over for disposition. If a property record has not been produced, one will be in order to begin tracking their property items.

- Data provided: Property Identifiers.

Depart Offender from Current Assignment - When an offender physically leaves a facility, housing unit, or cell to transfer to another housing assignment, the offender is departed from the current assignment. This will release the bed, and will take the offender off the count for the unit and or facility. The offender will be in unassigned or transit status until received.

- Data provided: Facility Count.

Discharge Activity Diagram

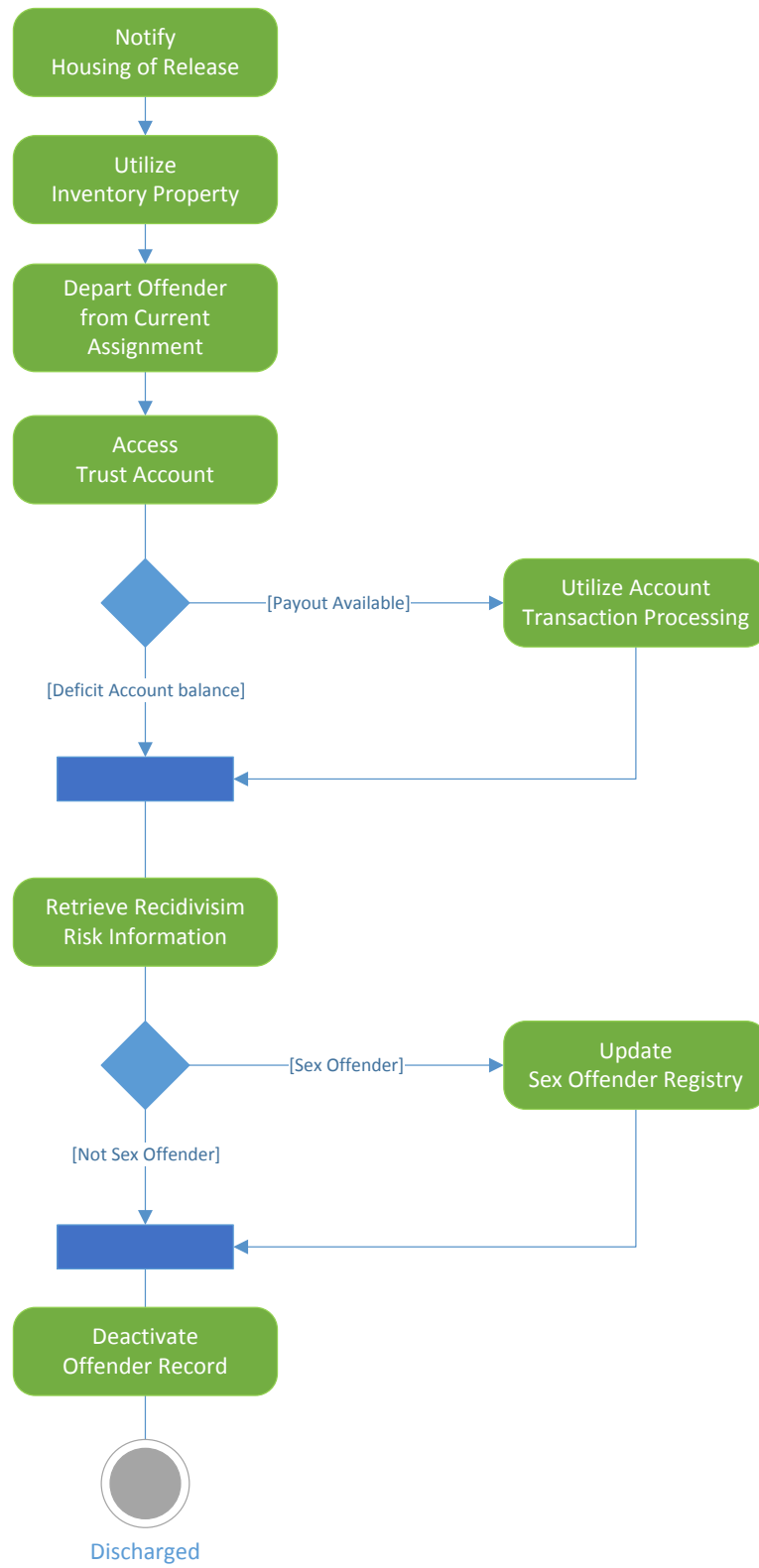


Figure 9: Discharge Activity Diagram

Access Trust Account - Accessing the trust account will provide account information, including transaction information and available balance.

- Data provided: Account Available Balance.

Detail
When an offender discharges or progresses to a community supervised program, any available monies in the trust account will be withdrawn and issued during the release process.

(If pay out available) Utilize Account Transaction Processing - Account transaction processing involves posting deposits and withdrawal transaction records to a trust account, and ensuring an accurate balance results from the transaction. In a correctional setting, the offender rarely has contact with the accounting office, and is required to conduct their financial business through a third party that validates and, in some instances, authorizes the transaction. When monies are received, the existence of the offender trust account is verified. If one is not found, an account will be opened to process the transaction request. The posting process will collect monies and apply them towards debt or other financial requirements established by law or policy. Withdrawals will be processed when sufficient monies are available to cover the requested amount. The transaction request will result in either a posted transaction or a denial of the request.

Retrieve Recidivism Risk Information - Obtain information on offender risk factors from existing sources, most notably the computer database.

- Data provided: Recidivism Risk Assessment Factors, Offender Identifiers.

(If Sex Offender) Update Sex Offender Registry - Sex offender registry will be updated with the offender's status and location.

- Data provided: Offender Identifiers.

Deactivate Offender Record - The offender's record will become inactive. The records will be retained, however, only limited update capability is allowed.

Pre-Condition	Description
None	
Post-Condition	Description
Discharged	No longer in the custody of the department/agency.

Common Business Functions for Correctional Management Systems



IJIS Institute



Volume 2 – Business Scenarios
Part Q – Community Supervision

*Authored by the IJIS Institute and the
Corrections Technology Association*

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1. BUSINESS FUNCTION: COMMUNITY SUPERVISION

Release to community supervision for offenders can include a variety of assignments from community residential programs to various levels of home detention and reporting requirements. The three status levels are those under probation supervision, incarcerated supervision, and those in parole supervision. Incarcerated supervision targets inmates in pre-release environments with an imminent parole consideration or release date. In most cases, they must be referred for consideration and require the approval of both corrections and community officials. Parole supervision requires that the offender has received approval by the paroling authority to be released into the community under certain terms and conditions, and within several ranges of residential living to include their own residence. In some jurisdictions, the parole authority may have the responsibility for all community supervision processes, and in other jurisdictions it may other actor(s) in this role.

Community Supervision Use Case Diagram

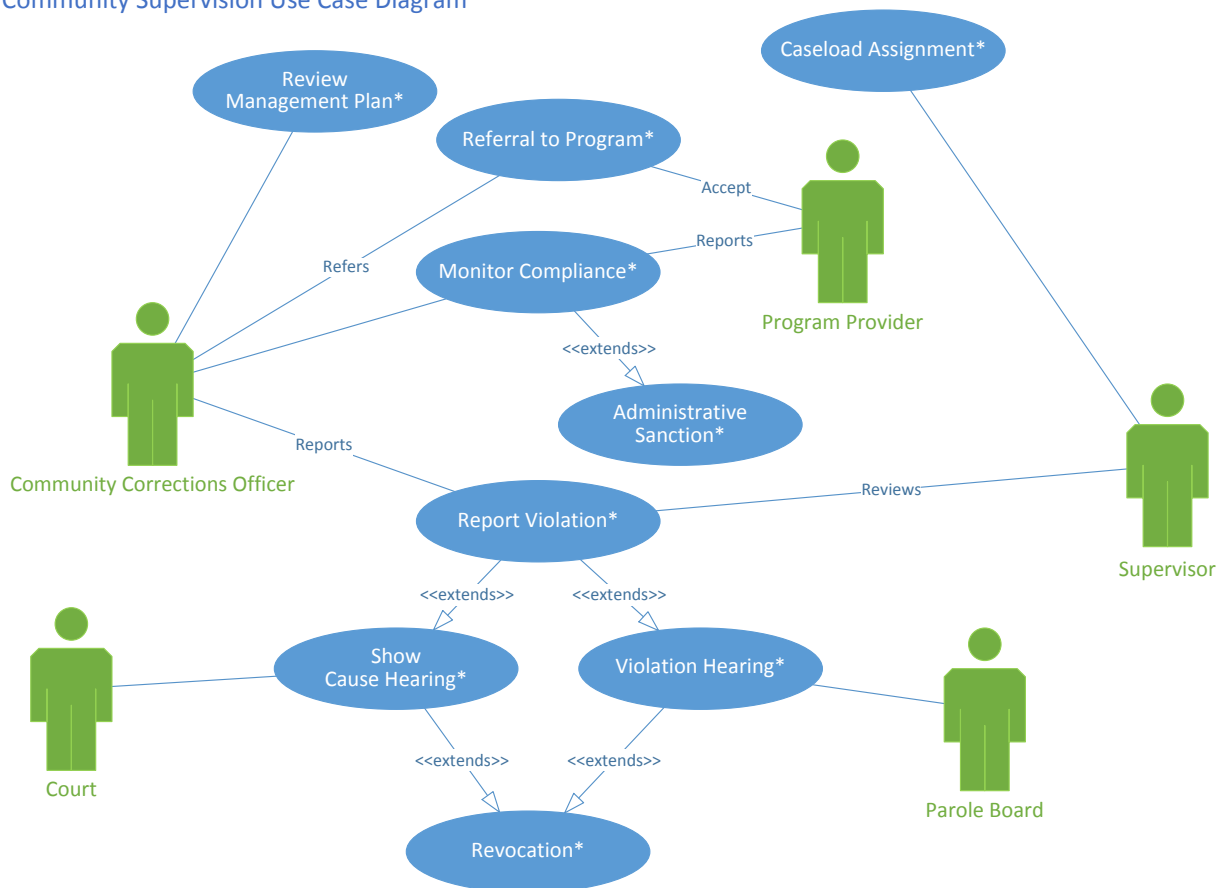


Figure 1: Community Supervision Use Case Diagram

1.1 Use Case Specification: Caseload Assignment

Upon determination of permanent location and completion of the orientation process, the offender is assigned to a specific case supervisor.

Caseload Assignment Activity Diagram

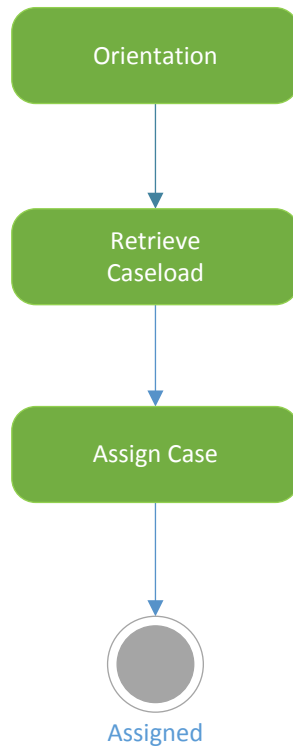


Figure 2: Caseload Assignment Activity Diagram

Associated Actor	Relationship	Description
Supervisor		

1.1.1 Flow of Events

Orientation - For offenders just received at a new facility and, in some cases, housing unit, staff must acquaint with the existing situation or environment, generally including rules, procedures, and operating guidelines for the assignment. The orientation will be logged as well as any information gathered from the offender, which may impact housing and case manager assignment. For offenders arriving in community this may also include a reassessment prior to assignment.

- Data provided: Interview Data.

Retrieve Caseload - An assigned caseload will be associated with a staff person responsible for managing offenders. The caseload must be able to be obtained by workload information and individual offenders assigned. This list will often indicate offender information such as level of supervision required and upcoming events.

- Data provided: Caseload.

Assign Case - Offender is assigned to a specific case manager/community corrections officer, this may be based on a rotation, case load weighting, the offender’s needs, or as a direct result of the bed/area assignment. Upon assignment, the offender will appear immediately on the staff person’s caseload.

Pre-Condition	Description
None	
Post-Condition	Description
Assigned	Assignment is where a relationship has been established between a staff member and an offender, or activities. Examples include enrollment of the offender in an education program or listing an offender on a case load. In some instances assignment is the retention of an existing assignment after a review process is performed and the relationship continues as it was prior to the review.

1.2 Use Case Specification: Review Management Plan

A management plan is a structure of conditions set by an authority with jurisdiction. These plans can include sentence conditions, treatment plans, parole or community supervision plans, or any form of plan that defines expectations and measures achievements.

Review Management Plan Activity Diagram

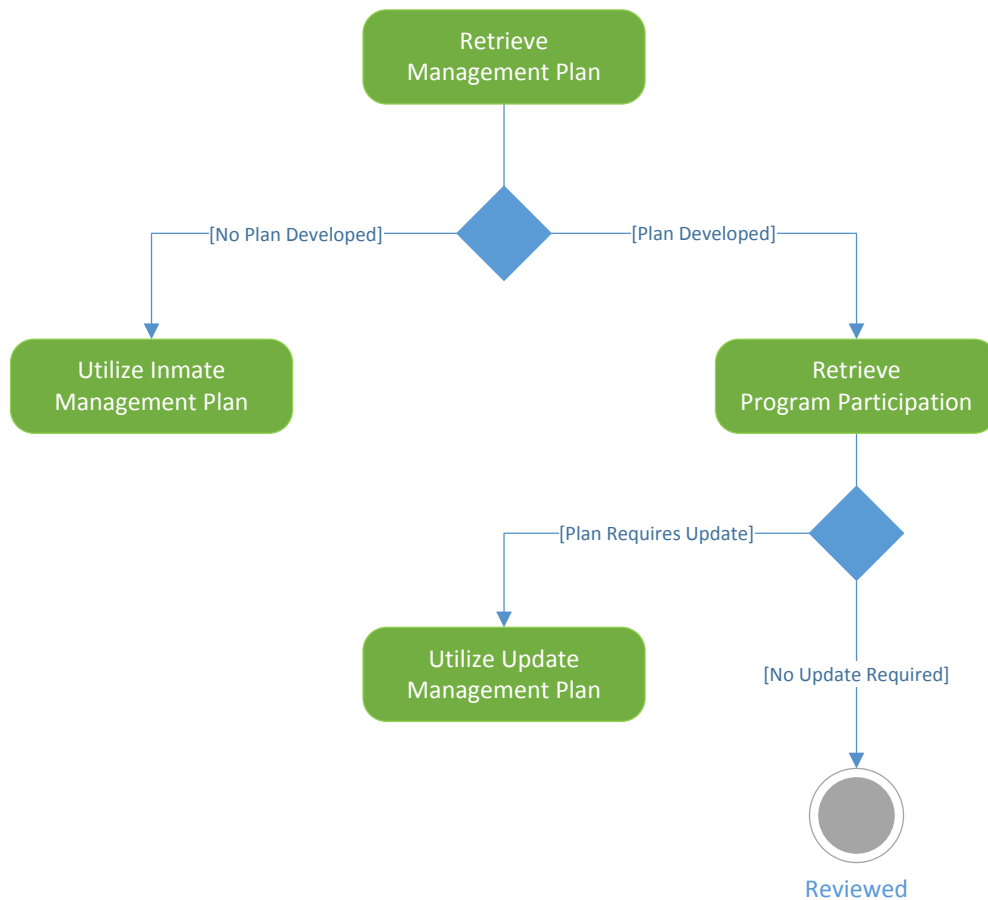


Figure 3: Review Management Plan Activity Diagram

Associated Actor	Relationship	Description
Community Corrections Officer		The parole board actor may perform this function.

1.2.1 Flow of Events

Retrieve Management Plan - The current management plan for a specified offender will be obtained for review. The management plan will indicate areas the offender is required to address during the incarceration period and may include specific programs in which the offender is encouraged to participate.

- Data provided: Program Plan.

(If no plan developed) Utilize Initiate Management Plan - The offender risk (levels), program needs, and objectives are identified in order to address them during the commitment period. They are used to create an offender management plan.

(If plan developed) Retrieve Program Participation - Offender program participation should include the status in the program, whether currently assigned, attendance, and the level of participation the offender put forward. This information is needed in measuring program performance as it relates to the offender's identified needs.

- Data provided: Program Participation.

(If plan requires update) Utilize Update Management Plan - The management plan will periodically require updating, based on changes in offender needs, program participation, test scores, or other related behavior. The review period may be based on an annual/semi-annual review or based on an event such as behavior.

Pre-Condition	Description
None	
Post-Condition	Description
Reviewed	Staff review of past behavior or conditions in respect to future action.

1.3 Use Case Specification: Referral to Program

The offender management plan is used to produce a referral to a particular program. This referral is based upon the initial assessment of the offender, and the ongoing assessments of progress throughout the incarceration period. The need areas or specific programs may be identified with a priority ranking. The ranking is to ensure the most important need areas are addressed.

Associated Actor	Relationship	Description
Program Provider	Accept	
Community Corrections Officer		The parole board actor may perform this function.

Referral to Program Activity Diagram

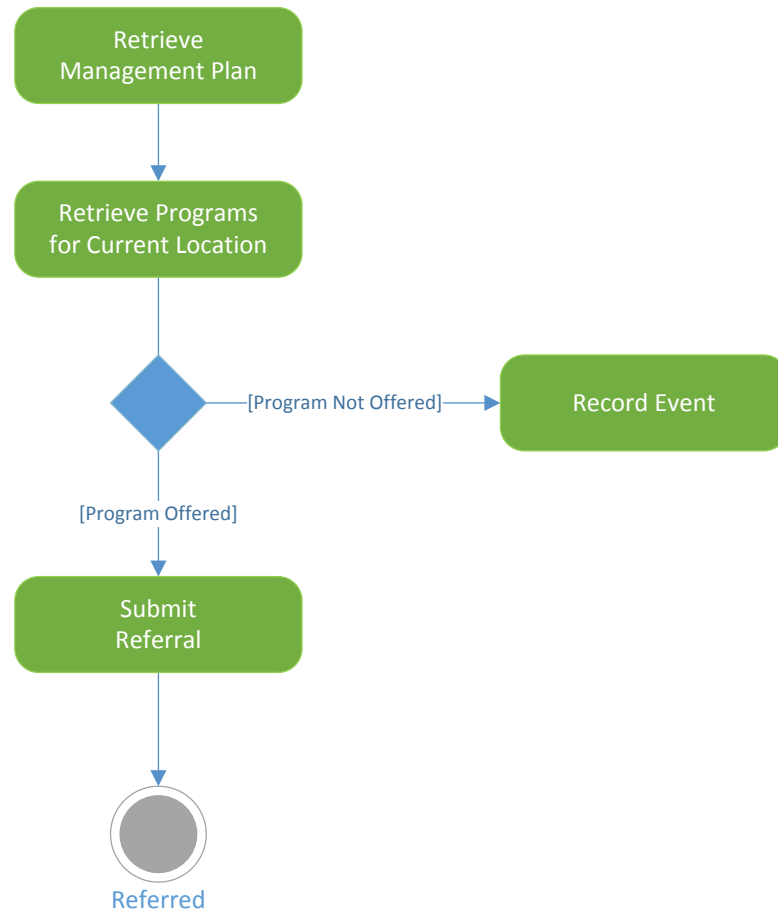


Figure 4: Referral to Program Activity Diagram

1.3.1 Flow of Events

Retrieve Management Plan - The current management plan for a specified offender will be obtained for review. The management plan will indicate areas the offender is required to address during the incarceration period and may include specific programs in which the offender is encouraged to participate.

- Data provided: Program Name.

Retrieve Programs for Current Location - A listing of current programs with summary information about the program will be obtained for reference. Summary information will include program availability for any given location, a synopsis of program purpose and content, capacity, prerequisites, etc.

- Data provided: Program Identifiers, Activity Schedule, Program Needs Data.

- Alternatives flows:

Detail
The offender may be put on a waiting list even if program is not offered at the current facility. The management plan may be updated to reflect program's current unavailability.

(If program offered) Submit Referral - The referral will be entered specifying the time of the referral, the program, the areas to be addressed by the program/placement, and any pertinent history. The entry should trigger an event for the program provider or reviewing supervisory staff.

- Data provided: Referral.

(If program not offered) Record Event - The creation of an entry for an event or outcome containing essential information for future retrieval and use by correctional staff.

Pre-Condition	Description
None	
Post-Condition	Description
Referred	When a process is completed that results in a referral of an offender to attend, participate in, or some form of assignment, the offender is in a state of referral. This state denotes a review process will be conducted and an approval/acceptance or rejection/denial decision will result.

1.4 Use Case Specification: Monitor Compliance

Case supervisor monitors affirmative acts that fulfill requirements of the plan, as well as any acts prohibited by the plan or other legal status.

Associated Actor	Relationship	Description
Community Corrections Officer		
Program Provider	Reports	

- Alternatives flows:

Detail
Additions or modifications of conditions may require approval from the courts or other authorized entities.

1.4.1 Flow of Events

Status Review - The community corrections officer monitors events that will initiate a review of the offender's compliance, as well as perform mandatory reviews defined by policy. Events include information obtained from arrests or adverse reports, interviews with offenders, or from other sources communicating information that would suggest a review take place.

Monitor Compliance Plan Activity Diagram

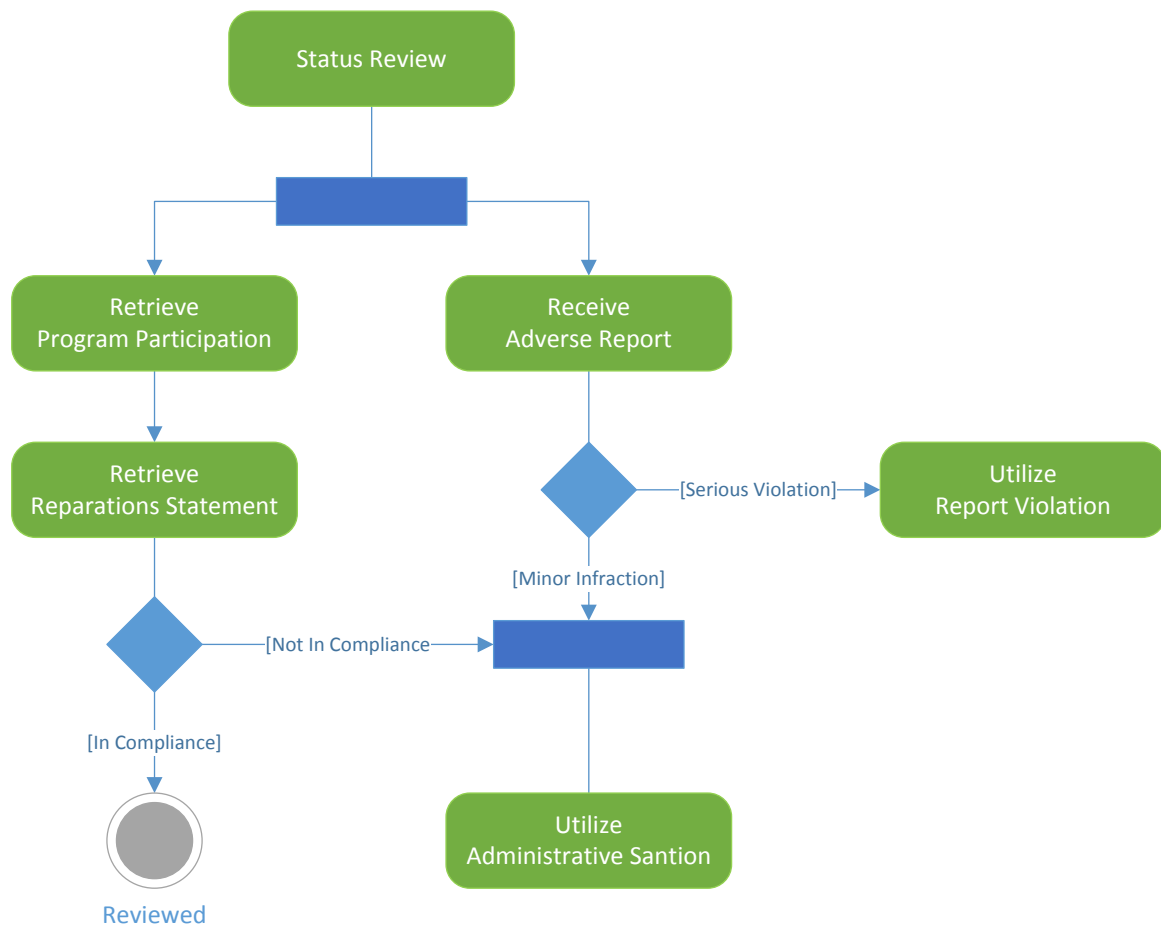


Figure 5: Monitor Compliance Activity Diagram

Retrieve Program Participation - Offender program participation should include the status in the program, whether currently assigned, attendance and the level of participation the offender put forward. This information is needed in measuring program performance as it relates to the offender's identified needs.

- Data provided: Program Participation.

Retrieve Reparations Statement - Obtain the history of payments received and applied towards reparations debt.

- Data provided: Transaction Information.

Receive Adverse Report - A report of unauthorized behavior such as suspected criminal behavior or failure to comply with conditions. Report may, in most cases, be unsolicited.

- Data provided: Incident Report.

Utilize Administrative Sanction - The detriment, loss of reward, or coercive intervention as a result of a violation of rules, regulations, or conditions while the offender is under community supervision. These sanctions are considered less severe than formal revocation. They often may include the addition of conditions.

(If serious violation) Utilize Report Violation - When a violation of rule, regulation or procedure has been identified, a procedure for reporting the violation is implemented. The reporting procedure may initially be achieved verbally, but, in all instances, the report will result in a recorded document. This document can be either in paper or electronic form. The report will contain information necessary to support allegations of the violation. In some jurisdictions, the report may undergo a review and/or approval process prior to the report being submitted for appropriate action.

Pre-Condition	Description
None	
Post-Condition	Description
Reviewed	Staff review of past behavior or conditions in respect to future action.

1.5 Use Case Specification: Administrative Sanction

The detriment, loss of reward, or coercive intervention as a result of a violation of rules, regulations, or conditions while the offender is under community supervision. These sanctions are considered less severe than formal revocation. They often may include additional conditions.

1.5.1 Flow of Events

Document Non-Compliance - The non-compliance behavior, which has either been observed by or reported to the officer, will be entered into the official record.

- Data provided: Incident Report.

Evaluate Information - Evaluate information obtained from one or more sources for the purpose of making a determination.

- Data provided: Review Decision.

(If corrective action recommended) Determine Corrective Action - The process of deciding the appropriate action to take given the circumstances of the situation.

- Alternatives flows:

Detail
Parole release order may have authorized the community corrections officer in the discretion to apply new specified conditions or to raise the level of supervision (including increased reporting) for non-compliance as an administrative sanction.

(If extra restriction recommended) Apply Additional Conditions - Additional conditions beyond those in effect prior to non-compliance behavior will be imposed. These may be imposed as a part of an informal administrative sanction or as a result of a hearing.

- Data provided: Sanction Data.

Administrative Sanction Activity Diagram

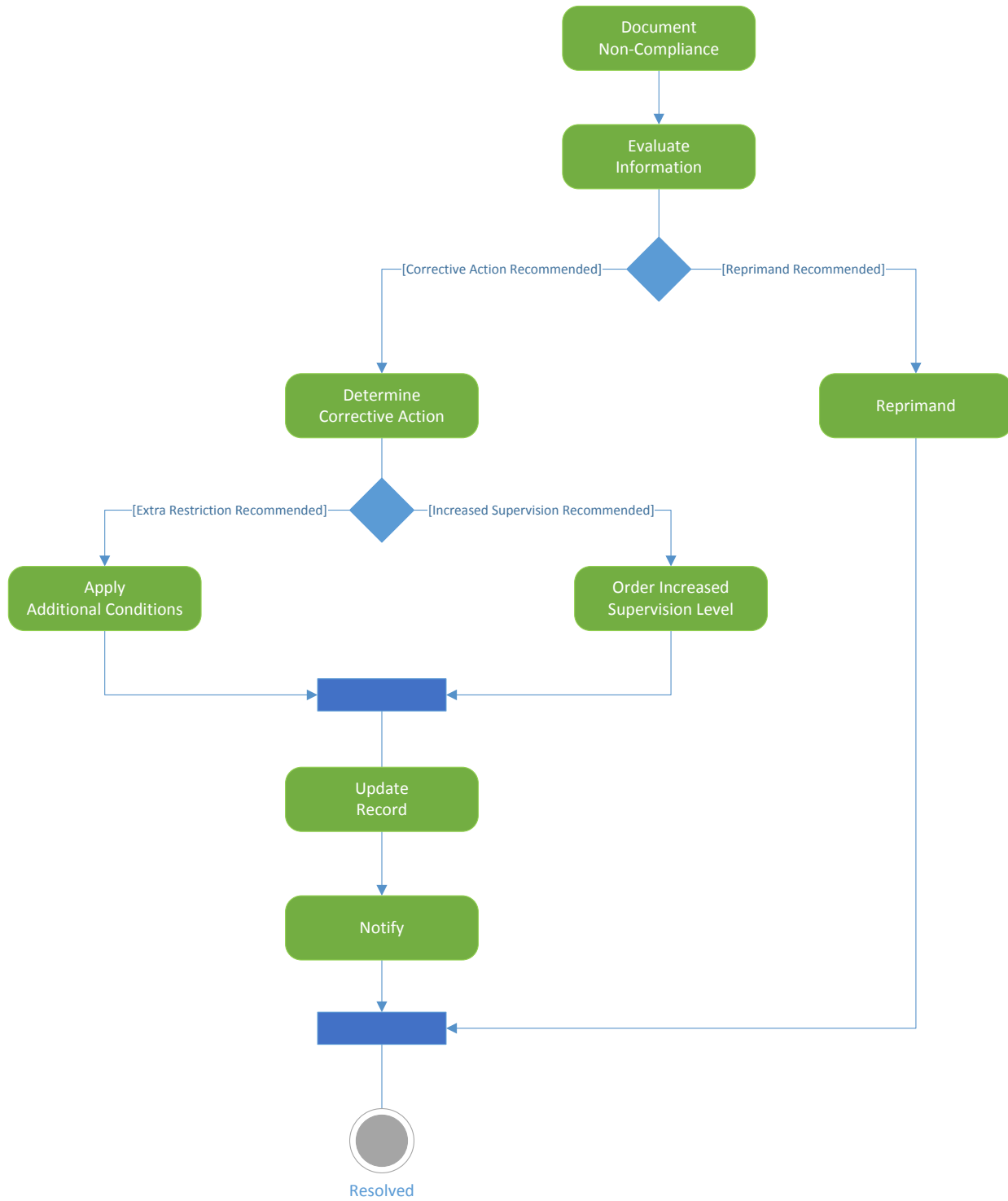


Figure 6: Administrative Sanction Activity Diagram

(If extra restriction recommended) Apply Additional Conditions - Additional conditions beyond those in effect prior to non-compliance behavior will be imposed. These may be imposed as a part of an informal administrative sanction or as a result of a hearing.

- Data provided: Sanction Data.

(If increased supervision recommended) Order Increased Supervision Level - An increased level of supervision above that which was in effect prior to non-compliance behavior will be imposed. This may be imposed as a part of an informal administrative sanction or as a result of a hearing.

- Data provided: Sanction Data.

Update Record - When information is obtained for an established record, the pre-existing information in the record is amended or an addendum is added for future reference or communication.

- Alternatives flows:

Detail
When the offender supervision level is increased, or increased conditions are applied, the parole board may be notified. In applicable, the appropriate law enforcement agency will also be notified.

(If reprimand recommended) Reprimand - Action taken to critique an individual either verbally or in writing, with the intent to correct behavior. Action will be logged as multiple reprimands may drive more serious sanctions.

Notify - The notification activity produces and disseminates appropriate information for the purpose of making staff aware of an event and/or initiating action. The staff needing to know must have been identified for each event.

Pre-Condition	Description
None	
Post-Condition	Description
Resolved	When a problem or issue is appropriately addressed and agreed upon to the satisfaction of those involved.

1.6 Use Case Specification: Report Violation

When a violation of rule, regulation, or procedure has been identified, a procedure for reporting the violation is implemented. The reporting procedure may initially be achieved verbally, but, in all instances, the report will result in a recorded document. This document can be either in paper or electronic form. The report will contain information necessary to support allegations of the violation. In some jurisdictions, the report may undergo a review and/or approval process prior to the report being submitted for appropriate action.

Associated Actor	Relationship	Description
Community Corrections Officer	Reports	
Supervisor	Reviews	

Report Violation Activity Diagram

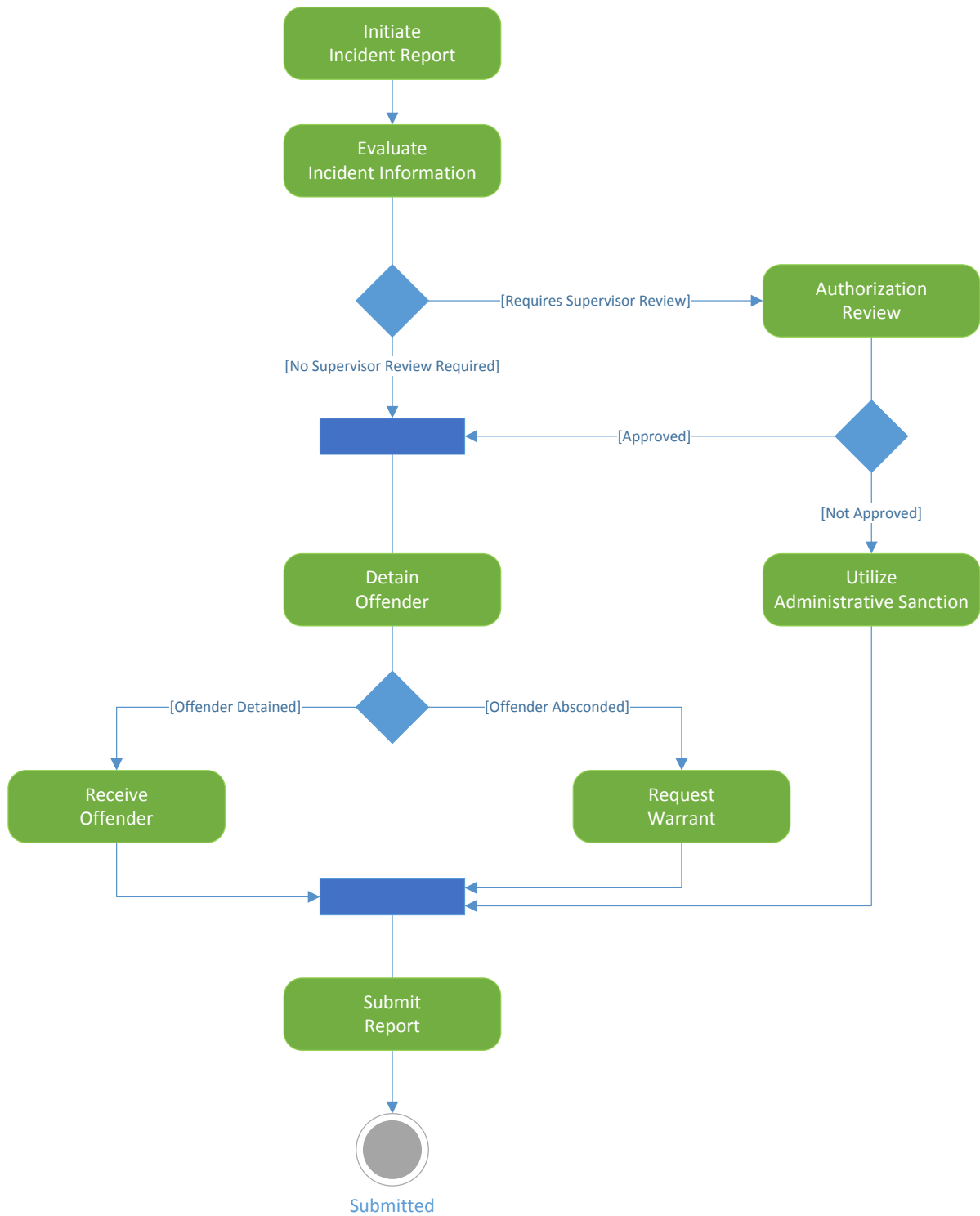


Figure 7: Report Violation Activity Diagram

1.6.1 Flow of Events

Initiate Incident Report - Develop incident report base on a potential infraction or violation, providing details as to what happened, where it happened, who was involved, and when did it occur.

- Data provided: Incident Detection Information.

Evaluate Incident Information - Review information about a specific incident to adequately formulate a belief or understanding of the facts.

(If requires supervisor review) Authorization Review - Review of an action or document by one in authority in order to make a determination of approval or denial based upon policy or rule defined by the correctional department/agency.

- Data provided: Authorization Data, Authorization Identifiers, Incident Report, Denial Notification.

Detail
The initiator of the incident report requests to handle the incident as a minor infraction.
The request was denied indicating the infraction needs to be processed with security safeguards in mind.

Detain Offender - A determination is made as to whether behavior or an action taken by an offender warrants detaining/arresting that individual based on security needs.

(If not approved) Utilize Administrative Sanction - The detriment, loss of reward, or coercive intervention as a result of a violation of rules, regulations, or conditions while the offender is under community supervision. These sanctions are considered less severe than formal revocation. They often may include additional conditions.

Submit Report - When a report is developed and documented, it will be handed over or recorded for reviewing or communication purposes.

(If offender detained) Receive Offender - An offender is received into a facility either from a correctional facility, county jail, or other external jurisdiction. The offender will be immediately placed on the facility count but may not yet have a bed assignment. An offender may also be shown on temporary status if the facility is only a temporary stop on the way to a permanent facility assignment.

(If offender absconded) Request Warrant - When an offender has absconded a warrant will be requested to initiate the apprehension process.

Pre-Condition	Description
None	
Post-Condition	Description
Submitted	Any instance whereby a document is prepared or a verbal communications is issued and is offered for consideration, study, or decision.

1.7 Use Case Specification: Violation Hearing

This is a formal process whereby evidence is presented and a decision is rendered as to whether a violation of rules, regulations, or conditions of release has occurred. If the offender is found in violation, the board may administer sanctions or revoke the offender's community status.

Violation Hearing Activity Diagram

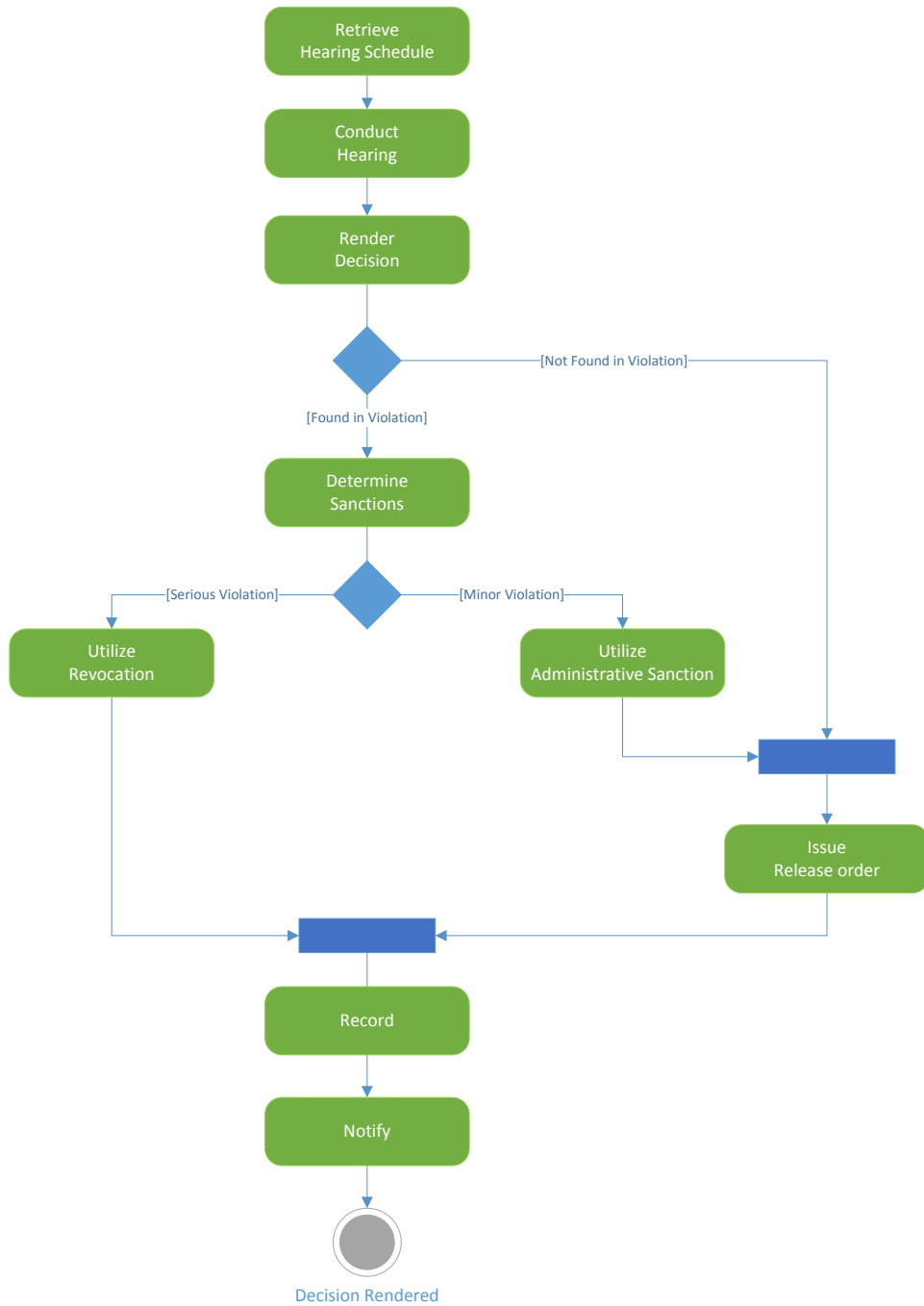


Figure 8: Violation Hearing Activity Diagram

Associated Actor	Relationship	Description
Parole Board		A designee of the board in the form of a hearing officer or supervisor may hear the violation. The appeal process may allow for board review. Where the offender is not under the jurisdiction of a parole board, some other department staff may fill the hearing officer capacity. The functions of Violation Hearing may be performed by a court.

1.7.1 Flow of Events

Retrieve Hearing Schedule - Obtain the schedule listing for a specific date that includes information necessary to perform a formal hearing.

- Data provided: Schedule Data.

Conduct Hearing - Directing a formal session in which testimony, written or oral, is taken from witnesses.

- Data provided: Hearing Minutes.

Render Decision - After considering evidence and testimony presented, a finding affirming the allegation or not affirming the allegation is rendered.

- Data provided: Finding Information.
- Alternatives flows:

Detail
Offenders may not have been detained for misconduct while under community supervision and will not require a release order.

(If found in violation) Determine Sanctions - When it is decided that an offender has violated a rule or infraction, as a result of a formal hearing, one or more sanctions will be applied.

(If serious violation) Utilize Revocation - Revoking an offender's community status, returning or sentencing the offender into an incarceration status.

- Data provided: Disposition.

(If minor violation) Utilize Administrative Sanction - The detriment, loss of reward, or coercive intervention as a result of a violation of rules, regulations, or conditions while the offender is under community supervision. These sanctions are considered less severe than formal revocation. They often may include additional conditions.

- Data provided: Disposition.
- Alternatives flows:

Detail
Offenders may not have been detained for misconduct while under community supervision and will not require a release order.

Issue Release Order - The reviewing authority must issue an order if an offender is to be released from detainment.

Notify - The notification activity produces and disseminates appropriate information for the purpose of making staff aware of an event and/or initiating action. The staff needing to know must have been identified for each event.

Record - The act of documenting any form of action, decision, or information that is to be placed among official records.

Pre-Condition	Description
None	
Post-Condition	Description
Decision Rendered	A decision has been reached and communicated.

1.8 Use Case Specification: Show Cause Hearing

Court event to determine whether the offender has violated the terms of probation. If the court determines there is cause, the court may add additional conditions or consider revoking the probation status of the offender. Note, this use case does not have an activity diagram because it is a court function that is relevant to document the package but is not a process to be included in CTA standards.

Associated Actor	Relationship	Description
Court		

Pre-Condition	Description
None	
Post-Condition	Description
None	

1.9 Use Case Specification: Revocation

Revoking an offender's community status, returning or sentencing the offender into an incarceration status.

1.9.1 Flow of Events

Issue Revocation Order - Order is issued granting authority to revoke parole status and reinstate offender status under the controlling sentence.

- Data provided: Revocation Order.

Place on Transportation Schedule - Add an offender to a scheduled transportation out of the facility, yet maintain custody and control at the current facility until actual transportation.

- Data provided: Transfer Order, Transfer Date.

Revocation Activity Diagram

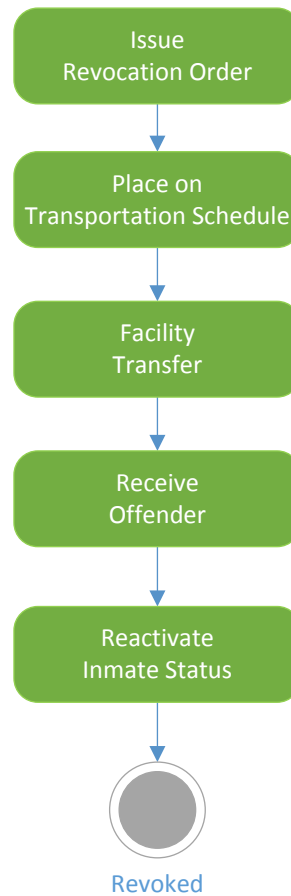


Figure 9: Revocation Activity Diagram

Facility Transfer - Physical transfer of the offender to another facility.

- Data provided: Transfer Order.

Receive Offender - An offender is received into a facility either from a correctional facility, county jail, or other external jurisdiction. The offender will be immediately placed on the facility count, but may not yet have a bed assignment. An offender may also be shown on temporary status if the facility is only a temporary stop on the way to a permanent facility assignment.

Reactivate Inmate Status - The offender is reactivated as an inmate. The offender’s time continues to be controlled by the parole board even though there is a return to inmate status.

Pre-Condition	Description
None	
Post-Condition	Description
Revoked	To retract the status or document of an individual.