FUNCTIONAL SPECIFICATIONS
FOR
CORRECTIONAL MANAGEMENT SYSTEMS

IJIS Institute Corrections Advisory Committee
July 2024
The IJIS Institute Corrections Advisory Committee

Fred Roesel
IJIS Institute Corrections Advisory Committee Chairman

John Daugherty
Vice Chairman - Montana Department of Corrections

Brian Mattson
Microsoft

Tanya Stauffer
Analysts International

Joe Russo
American Parole & Probation Association

Kimberly Ramm
Fairfax County Sheriff’s Office

Lisa Burlingame
Oklahoma DOC

Steve Viefhaus
Securus Technologies

Tom Herzog
Tom Herzog Consulting

Mary Beth Carroll
SAS

James Meyers
Richland County Sheriff’s Office

Kathy Gattin
Subject Matter Expert
IJIS Institute

Ashwini Jarral
Senior Advisor
IJIS Institute

Maria Cardiellos
Executive Director, IJIS Institute

Alex McAdoo
Communications Specialist, IJIS Institute

Special thanks to the practitioners and individuals from IJIS member companies who contributed their time and expertise to this document.
# Table of Contents

Executive Summary ............................................ 3

*Purpose — How to Use this Document — Overview of Business Functions — Chapter Organization*

1 Reception & Commitment ................................... 23
2 Sentence & Time Accounting ............................... 43
3 Classification .................................................. 63
4 Caseload Management ....................................... 81
5 Security ......................................................... 97
6 Offender Discipline .......................................... 111
7 Housing & Bed Management ............................... 134
8 Electronic Health Records ................................. 158
9 PREA .......................................................... 181
10 Grievances .................................................... 193
11 Programs ...................................................... 210
12 Scheduling .................................................... 224
13 Security Threat Groups .................................... 221
14 Trust Accounting ............................................ 231
15 Property ....................................................... 247
16 Visitation ...................................................... 259
17 Release & Discharge ........................................ 273
18 Community Supervision .................................... 297
19 Mobility & Remote Access ............................... 316
20 Geospatial Visualization ................................. 330
21 Cyber Hygiene .............................................. 348

Appendices ......................................................... 376

The purpose of this publication is to aid state and local correctional agencies (incarcerative and community supervision) in assessing, upgrading and/or replacing their Offender Management System (OMS), Jail Management System (JMS), Case Management System (CMS) and Electronic Health Records (EHR). Historically, the term Offender Management System (OMS) referred to an electronic solution primarily designed to support the operations of state correctional systems. Whereas, Jail Management Systems (JMS) support jails and local detention centers, Case Management Systems (CMS) support community supervision operations such as probation and parole, and Electronic Health Records (EHR) support the delivery of health care at any level of incarceration or detention. For the purposes of this publication, the term Corrections Management System is used to collectively represent solutions for Offender Management, Jail Management, Case Management and Electronic Health Records, when not specified.

This publication is broken into two parts, an Executive Summary followed by a chapter for each of the twenty-one primary business functions that Correctional Management Systems should support. Each chapter defines specific process flows associated with each business function. By categorizing and describing the primary business functions that correctional management systems must support, this document helps agencies identify and close gaps in their existing solution, with the goal of helping to optimize correctional agencies’ use of technology. For agencies seeking to procure a solution, this document provides a potential blueprint of the functional requirements to be met by the new system, thereby accelerating creation of the FSR, RFI and RFP, thus reducing the risk that business processes may be overlooked in the RFP. Likewise, for agencies and solution providers involved in developing and supporting a solution, this document serves as a functional “checklist” and provides input into the system design specification. Moreover, by defining business functions in precise terms, this 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 a correctional management system for state and local correctional agencies. This Executive Summary encapsulates business functions commonly supported by these systems, defines the significant differences between the different types of systems, and asserts strategic value that the solution offers corrections administrators. The following twenty-one chapters define business functions that are common across corrections agencies, applying components of Unified Modeling Language (UML) to explain these functions through use case specifications.

This document does not replace other materials used by correctional administrators and technologists in support of their initiatives. Instead, this document supplements the overall body of knowledge leveraged by correctional agencies to procure, develop, and support their solution.
This Executive Summary provides the following:

- Overview of the twenty-one primary business functions that a correctional management system should support, outlining the tactical and strategic aspects of each business function from a Correctional Administrator's perspective.

- Explanation of the chapter organization, particularly how the business function is illustrated through diagrams and is broken down into various and alternative process flows.

The Appendices provide the following:


- Summary of differences between the state-focused Offender Management System (OMS) and the county-focused Jail Management System (JMS).

- Best practices for leveraging the correctional management system to meet common legislative and judicial mandates.

- Summary of technologies widely employed by correctional agencies.

- Glossary of terms, system components, and key performance measures used in this document and widely accepted by correctional professionals.
OVERVIEW OF BUSINESS FUNCTIONS

The business functions in Chapters 1 through 18 are oriented around the typical offender lifecycle, starting with admitting offenders into custody in Chapter 1, through releasing them from custody in Chapter 17, and supervising them in the community in Chapter 18. Chapters 19 through 21 include additional business functions that support an effective correctional management system, no matter the agency size, mission, or jurisdiction.

Relationship Map Between Business Functions
This section identifies relationships and dependencies between the process areas of a correctional management system. Understanding relationships between functions enables correctional management system 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 correctional management system helps implementers guard against a stove piped solution. The relationship map below provides a high-level, generic view of correctional management system module touch points; specific implementations will have more complex and deeper interactions between business functions.

Additionally, it is worth noting the relationship between corrections and other higher level agency functions and their interactions, especially in implementations that span agencies that manage several justice functions. This ensures an implementation meets the requirements of the wider user community and maintains a single correctional management system record set. The diagram below presents a second view of relationships between business functions, within the context of the offender lifecycle.

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, clinicians, parole and probation officers, 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 custodial-based as opposed to offender-based and are germane to correctional administrators as opposed to line staff. However, these business functions are also operational in nature and typically are dictated by agency policy. Consequently, the business functions 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 facility-based/community data in a consolidated database. A critical "value add" of a correctional management system 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, agencies can achieve strategic functions beyond the tactical functions defined in 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. Below is a summary of each business function. A description of its tactical processes and
Strategic objectives help define key performance measures associated with each business function.

Business Function Relationship Diagram

- Reception and Commitment
- Sentence and Time Accounting
- Classification

- Caseload Management
  - Discipline
  - Electronic Health Records
  - PREA
  - Grievances
  - Programs
  - Scheduling
  - STG
  - Property
  - Trust Accounting
  - Visitation

- Security
- Housing and Bed Management

- Release and Discharge

- Community Supervision

- Mobility and Remote Access
- Cyber Hygiene
- Geospatial Visualization
1  RECEPTION AND COMMITMENT

Manage the offender intake and assessment process.

Tactical Processes and Objectives

- Admit inmate into custody.
- Positive identification of the inmate, associating previous incarceration and criminal history with the inmate record.
- 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 time of admission.

Strategic Objectives Associated with Each Business Function

- 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 populations (e.g., inmates with mental and physical disabilities and special precautions).

2  SENTENCE CALCULATION

Accurately record offender commitments and calculate sentences dates.

Tactical Processes and Objectives

- Enter court commitments and calculate when the inmate will be eligible for release, discharge, end of supervision, etc.

Strategic Objectives Associated with Each Business Function

- Use projected release dates to forecast monthly releases, providing a key input into population projections and future demand for prison beds.
- Determine the ‘controlling’ sentence and determine eligibility for programs that are based upon offense, sentence, and time to serve factors.
- 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).
- Enforce court orders, linking to other modules (for example, restitution payments and victim notification).
- Institute procedures that engage inmates in treatment and re-entry programs balancing program duration against remaining time to serve.
- Avoid erroneous releases and the associated risks to public safety and litigation risks.
- 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

Conduct classification processes and assessments.

#### Tactical Processes and Objectives

- Conduct risk and needs assessments and objective classification risk assessments to establish internal and external risks, health needs and other special needs to determine appropriate placement and assignment.
- 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.

#### Strategic Objectives Associated with Each Business Function

- 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 2,500 "level 3" beds but has 3,000 inmates classified as level 3. The classification system enables Administrators to place the
- Reclassify inmates on a recurring basis; reclassify inmates after inmate rules violations and after changes to the inmate commitment record (e.g., receiving additional court convictions or pending charges).
- The classification system allows administrators to “re-configure” facilities, altering staffing and operations as necessary to provide the appropriate types of beds required 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.
- Monitor key performance measures including percentage of overrides, number of improperly housed inmates, and number of inmates in a “wait list” status.

### CASELOAD MANAGEMENT

Coordinate caseload assignment and management.

**Tactical Processes and Objectives**

- 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.

**Strategic Objectives Associated with Each Business Function**

- 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 to balance counselor caseloads, 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

The “Security” business function is a composite of processes oriented around management and operation of prisons, jails, and supervision activities.

### Tactical Processes and Objectives

- 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.

### Strategic Objectives Associated with Each Business Function

- 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 OFFENDER DISCIPLINE

Manage the offender discipline process.

### Tactical Processes and Objectives

- Record and categorize information about incidents and any subsequent action (i.e., incident management).

### Strategic Objectives Associated with Each Business Function

- Track compliance with agency policy and manages risk by identifying systemic security and policy compliance issues (for
• 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 of visitation, telephone and/or canteen privileges, etc.).
• Communicate events that occur within an institution to administrators who have a "need to know" and are responsible for responding to incidents.

example, ‘use of force’, contraband, and escapes).
• Facilitates the use of objective, consistent processes for charging inmates with rule violations and doling out sanctions, particularly disciplinary detention.
• Supports collection of many metrics.

7 HOUSING AND BED MANAGEMENT

Manage beds, dorms, and housing units.

Tactical Processes and Objectives

• Track inmate movement and bed assignment history.
• Assign inmates to beds to meet classification requirements, while enforcing inmate separation requirements.
• Automate transportation scheduling processes.

Strategic Objectives Associated with Each Business Function

• 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 range, to depict trends in bed utilization).
• Allows analysis of scheduled, planned and wait list movements to determine optimum use of transportation resources.
## ELECTRONIC HEALTH RECORDS

Provide healthcare services to inmates.

### Tactical Processes and Objectives

- 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).

### Strategic Objectives Associated with Each Business Function

- 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., COVID-19, TB, Hepatitis, Influenza, Pandemics, etc.), 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.

## PREA

Support the assessment, monitoring, and reporting of the PREA Process.

### Tactical Processes and Objectives

### Strategic Objectives Associated with Each Business Function
- Manage the assessment, assignment, incident management and reporting in the CMS.
- Build key PREA requirements, terminology, and time constraints into the CMS.
- Combining the major components of the PREA process with the related functionality in the CMS enables a seamless, integrated process.
- Enables automated reporting, time edits, and information updates.

10 GRIEVANCES

Manage the Offender Grievance process.

**Tactical Processes and Objectives**

- Track offender grievances/appeals of classification decisions, disciplinary decisions, conditions, events, staff, etc.
- Track offender grievances against staff and/or treatment.
- Respond to inmate appeals, tracking remedies, and engagement of administrative managers.

**Strategic Objectives Associated with Each Business Function**

- Analyze grievance data to identify potential operational issues (for example, inordinate grievances at specific institutions, offices, or against specific individuals).
- Capture key performance measures related to number of grievances, by type and location, and the extent of compliance to response times prescribed by policy.

11 PROGRAMS

Track and assign offenders to programs.

**Tactical Processes and Objectives**

- Assign inmates to programs.

**Strategic Objectives Associated with Each Business Function**

- Analyze data related to program enrollments and program outcomes, against inmate recidivism and incidence.
- 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.
- Use data to determine optimum duration of individual programs.
- Re-allocate resources to programs that demonstrate relatively higher effectiveness.

## 12 SCHEDULING

Facilitate the appointment and scheduling of offenders.

**Tactical Processes and Objectives**

- Automate process of requesting and approving appointments, with structured rules for appointment prioritization (for example, a healthcare appointment “bumps” a case review).
- Generate a daily list of approved appointments and generate “orders to report” as prescribed by Policy.
- In community corrections, provide appointment reminders to offenders for community service appointments.

**Strategic Objectives Associated with Each Business Function**

- Automating the offender scheduling function helps administrators determine appointment types and locations having relatively lower rate of fulfilled appointments and can identify the reasons for missed appointments.
- 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.
- Providing reminders to community supervised offenders reduces missed appointments and potential violations of conditions.
## 13 SECURITY THREAT GROUPS (STG)

Identify STGs (gangs) and affiliations.

### Tactical Processes and Objectives
- Institute structured, objective process for identifying STG affiliation.
- Apply a consistent approach across all institutions, jails, and community corrections to validate affiliation.
- Document events and incidents that have an STG nexus.
- Detect and document the existence of new prison and street STG’s.

### Strategic Objectives Associated with Each Business Function
- Aggregated STG data enables administrators to define policy and operating procedures to address risks associated with specific groups and a specific location.
- Adhering to FBI standards enables investigators to exchange information with law enforcement, potentially improving security within institutions and public safety in the community.

## 14 TRUST ACCOUNTING

Track and manage offender funds.

### Tactical Processes and Objectives
- 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.

### Strategic Objectives Associated with Each Business Function
- 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
- Perform financial accounting functions.
  paid and reducing the length of time it takes
  for funds to be provided to released inmates.

### 15  PROPERTY

Inventory and track offender property.

**Tactical Processes and Objectives**

- 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.

**Strategic Objectives Associated with Each Business Function**

- Automating management of inmate property provides:
  - 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.

### 16  VISITATION

Automate the visitor visitation function, streamline processes, aid in policy compliance, and support inmate family relationships.

**Tactical Processes and Objectives**

- Manage Visitor Authorization, including background checks.

**Strategic Objectives Associated with Each Business Function**

- Correlating information about who visited whom and when with information about contraband and other incidents can help
- Schedule and track visits.
- Temporarily revoke inmate visiting privileges (after a sanction is issued in response to a rules violation).
- Temporarily or permanently revoke a visitor from visiting one or all inmates (typically in response to visitor violations).
- Incorporate biometric screened entry and exit for visitors to protect against inmate escape attempts.

- Investigators solve cases, and act to guard against violations.
- Visiting history provides valuable input into creating individualized reentry programs.
- Capture metrics include the percentage of inmates having no visits.

---

### 17

**RELEASE & DISCHARGE**

Automate the release and discharge process to improve safety and reduce recidivism.

<table>
<thead>
<tr>
<th>Tactical Processes and Objectives</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Generate rosters of inmates becoming eligible for release and parolees becoming eligible for discharge of supervision.</td>
</tr>
<tr>
<td>- 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.</td>
</tr>
<tr>
<td>- Carry out pre-release processes, such as reentry programs.</td>
</tr>
<tr>
<td>- Coordinate release/discharge with law enforcement officials.</td>
</tr>
<tr>
<td>- Notify victims in advance and at time of release in accordance with policy.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Strategic Objectives Associated with Each Business Function</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Automating Release and Discharge functions reduces risk of an inmate being released in error and risk of supervision being incorrectly terminated.</td>
</tr>
<tr>
<td>- Correlating sentence and offense data with time served and release dates can reveal data entry errors to avert incorrect release.</td>
</tr>
<tr>
<td>- On-going release audits reveal process errors, enabling administrators to identify process improvements.</td>
</tr>
</tbody>
</table>
### COMMUNITY SUPERVISION

Manage the release, case management, and supervision for Community Corrections.

**Tactical Processes and Objectives**
- Assign released inmate to parole and/or probation officer caseload, document conditions of supervision, follow 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.

**Strategic Objectives Associated with Each Business Function**
- Providing continuity of offender information across incarceration and parole and/or probation periods enables parole and probation officers to make informed decisions regarding violations and sanctions.

### MOBILITY & REMOTE ACCESS

Leverage mobile technology to improve both custodial and community supervision processes.

**Tactical Processes and Objectives**
- Extend correctional management system functionality to mobile devices for staff at correctional facilities and community corrections.
- Provide on-line as well as off-line data exchange.
- Extend secure mobile access to inmates and community supervised offenders.

**Strategic Objectives Associated with Each Business Function**
- Providing mobile access to the CMS enables staff to work remotely, in locations away from offices/workstations, in the community and where tasks are being performed.
- Providing both on-line and off-line mobile access allows staff to work remotely when there is no Wi-Fi or cellular connectivity.
- Extending mobile access to secure inmate tablets and community supervised
offenders’ smartphones allows inmates/offenders to request appointments, check status, communicate with counselors, check in, remotely attend programs, etc.

20 GEOSPATIAL VISUALIZATION

Combine event/demographics, date/time, and location/address to visualize inmate/offender data.

Tactical Processes and Objectives

- Expand the understanding of existing data on inmates and offenders using geospatial mapping.
- Add a third data point, location, to inmate and offender data.
- Select pertinent data with location of the event or data to display on maps of facilities and the community.

Strategic Objectives Associated with Each Business Function

- Leveraging offender data with the mapping of correctional facilities and communities provides new ways to correlate that data.
- Combining the geospatial location with time and data provides visualization of data.
- Increases the ability to “consume” data and understand patterns and relationships.

21 CYBER HYGIENE

Implement a Cyber Hygiene Program for agency IT systems.

Tactical Processes and Objectives

Strategic Objectives Associated with Each Business Function
• Improve online security and maintain system health.
• Implement an Incident Response Plan.
• Developing safeguards, processes, and procedures to protect systems from cybersecurity threats.
• An Incident Management and Response plan improves the potential of detecting, analyzing, containing, eradicating risk and successful recovery.

CHAPTER ORGANIZATION

Chapters 1 through 21 adhere to a consistent format:

• Summary of business function
• Use case diagram
• Use case specification
  o Associated actor table
  o Activity diagram
  o Flow of events
• Use case specification, etc.
• Use case specification, etc.

Use Case Diagram
Each chapter begins with a general description of the business function, followed by a Use Case Diagram. This diagram is a visual representation of the essential components of the business function. The diagram identifies individuals involved in the business function, labeled actors, who represent providers or users of the business function. Examples of actors may be Records Officer, Parole Board, or Case Manager. The diagram also depicts the underlying activities, called use case specifications, that comprise the business function. Examples of use case specifications are Initial Sentence Calculation, Victim Services, or Parole Board Review. The relationship between the actors and the activities are represented by action verbs such as performs, reviews, or monitors.

Sample Use Case Diagram
Activity Diagram
Following the use case diagram is an explication of the use case specifications. Each use case specification is illustrated by an Activity Diagram, which presents a series of actions and decision points. The green rectangles and blue arrows represent a sequence of events. The blue diamonds represent conditional decision points. Thus, the activity diagram depicts primary and alternative process flows that comprise the use case specification.

After the activity diagram, a table summarizes the actors and their role in the use case specification. Finally, a Flow of Events is a narrative description for each process depicted in the activity diagram.
1 Reception & 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 provide 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 may then be transitioned to an area or facility within the system that can manage the offender profile. Those offenders that returned to the prison system while still under community 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.
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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Intake Officer</td>
<td>Performs</td>
<td>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 several alternatives with which these offenders are processed into and through the system.</td>
</tr>
</tbody>
</table>
Arrival Processing Activity Diagram

Identification

Receive Offender

Evaluate Transportation Order

[Transfer Order] [New Commitment]

Verify Transfer Order

Verify Sentence Order

Booking

Utilize Inventory Property

Received
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.

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.

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 involve a search of their property, and either listing the items on an inventory record 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 to begin tracking their property items.
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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Records Staff</td>
<td>Enters</td>
<td>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.</td>
</tr>
</tbody>
</table>

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.

(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 recommittment) 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.

**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.
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 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 to begin tracking their property items.

Inventory Property Activity Diagram

1. Receive Property
2. Evaluate Property
3. Retrieve Property Record
4. Check Record
   - [Record Found] → Update Record
   - [Record Not Found] → Create Property Record
5. [Authorized Property] → Utilize Property Disposition
6. [Unauthorized Property] → Utilize Property Disposition
FLOW OF EVENTS

**Receive Property** – Property items will be received from several sources. This will initiate a process for tracking the property 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.

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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Intake Officer</td>
<td>Collects Data</td>
<td></td>
</tr>
</tbody>
</table>
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.
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, issues 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 urgent or emergency treatment.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Clinical Staff</td>
<td>Conducts</td>
<td></td>
</tr>
</tbody>
</table>

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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evaluation Staff</td>
<td>Conducts</td>
<td>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.</td>
</tr>
</tbody>
</table>
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.
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 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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Clinical Staff</td>
<td>Conducts</td>
<td></td>
</tr>
</tbody>
</table>

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:

**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.
Health Care Examination Activity Diagram

Medical Assessment

[Indication of Mental Health Issues]

[No Mental Health issues]

Generate Clinical Report

Submit Report

Assessed

Mental Health Assessment
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.

Sex Offender Identification Activity Diagram

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.

(If Sex Offender) Update Sex Offender Indicators – This is the process of establishing a record in the CMS with information about the sex offenses the offender was convicted of. Indicators include whether the offense was violent, or if the offense involved a child, etc.

---

**USE CASE SPECIFICATION: INITIATE MANAGEMENT PLAN**

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

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assessment Staff</td>
<td>Complies</td>
<td>In some agencies, the Initiate Management Plan processes may not begin until after the offender has departed the diagnostic facility.</td>
</tr>
</tbody>
</table>
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 because 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.

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.
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.

**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.
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.

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

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.
2 Sentence & 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.
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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Records Officer</td>
<td>Performs</td>
<td></td>
</tr>
</tbody>
</table>

Detail

There are instances when an offender sentenced to the correctional department/agency will be eligible for discharge or eligible for parole supervision because 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.

Initial Sentence Calculation Activity Diagram

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.

**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**

1. **Sentence Order Evaluation**
2. **Determine Controlling Sentence**
3. **Governing Sentence Identified**
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.

**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.

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.
Statutory Good Time Consideration Activity Diagram

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.

(If Eligible for Good Time) **Apply Good Time Award** – The act of applying statutory good time awards towards the reduction of incarceration periods.

**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.
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.

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.

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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Records Officer</td>
<td>Performs</td>
<td>recalculation takes place, but some rely on the last record of awarded time.</td>
</tr>
</tbody>
</table>

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.

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 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 offender behavior is unacceptable, credits may be revoked as 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 ensure 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.

**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 wants, 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.

**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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case Manager</td>
<td>Performs</td>
<td>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.</td>
</tr>
</tbody>
</table>

**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 adjust 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.

Award Earned Time Credits Activity Diagram
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 wants, 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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Records Officer</td>
<td>Performs</td>
<td>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.</td>
</tr>
</tbody>
</table>

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:

- **Data provided: STG Affiliation.**

  **Detail**

  An exchange of information from the corrections department/agency takes place any time an offender with known STG affiliation is released to the community. An alert, either electronically or a form, is sent to notify appropriate authorities of the pending release, with detailed information of known affiliations.

(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 to determine if appropriate notifications should be made.

(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 released to obtain transportation to the destination.

(If Active Want 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 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.

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.

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.
**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.

**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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Parole Board</td>
<td>Determines</td>
<td></td>
</tr>
</tbody>
</table>

**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.

**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 because 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.
3 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 to score internal and external custody. Internal custody levels correspond to the assignment to housing, work, and programs. External classification corresponds to the level of perimeter security a particular facility provides. This requires that the same set of factors or objectives are applied to all offenders during their initial inception into prison or jail and at frequent intervals, or as required by policy. From this assessment, custody levels are identified that helps sort the offenders to specific facilities, housing, 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 regarding 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 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 to accurately determine the risk and threat levels.
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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case Manager</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Classification Status Review Activity Diagram

1. Retrieve Custody Status List
2. [Requires Classification]
3. Set Custody Review Date
4. [Does Not Require Classification]
5. Utilize Score Reclassification Instrument
6. Classified
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:

<table>
<thead>
<tr>
<th>Detail</th>
</tr>
</thead>
<tbody>
<tr>
<td>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.</td>
</tr>
</tbody>
</table>

(If requires classification) **Set Custody Review Date** – If an offender requires classification because 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. These criteria will include institutional behavior.

◊ Data provided: Next Classification Date.

USE CASE SPECIFICATION: 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.
FLOW OF EVENTS

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

◇ Data provided: Override Request Document.

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.
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.

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.

Generally, 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, interfacility 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, detention orders, fines outstanding, pending charges)
- Probation/INS
- Security (escape, disciplinary, Security Threat Groups or 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 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.

### 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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case Manager</td>
<td>Performs</td>
<td></td>
</tr>
</tbody>
</table>

### 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.

Score Reclassification Instrument Activity Diagram

- Retrieve Misconducts
- Retrieve Offense Data
- Score Individual Items
- Generate Score
- Scored
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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case Manager</td>
<td></td>
<td>This function is a team effort from several business areas.</td>
</tr>
</tbody>
</table>

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:

**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.

---

**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.

Alternative Flows:

In some jurisdictions the override process will result in a recommendation that is then directed to the administrative level for final approval.

Special Requirements:

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case Manager Classification</td>
<td>Recommends</td>
<td></td>
</tr>
<tr>
<td>Officer Review Committee</td>
<td>Approves</td>
<td>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.</td>
</tr>
</tbody>
</table>
Finalize Classification Activity Diagram

- **Recommend Custody Level**
  - [Override Recommended] → **Produce Override Request**
  - [Override Not Recommended] → **Classification Review Hearing**

- **Classification Review Hearing**
  - [Offender Appeals] → **Utilize Appeal**
  - [Offender Does Not Appeal] → **Utilize Override**

- **Utilize Override**
  - **Classification Officer Review**

- **Classified**
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:

  **(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 decide. 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.

◊ Data provided: Custody Level.

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.

◊ Special Requirements:

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Offender</td>
<td>Files</td>
<td>Some jurisdictions do not offer the offender an appeal process.</td>
</tr>
</tbody>
</table>

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.
Appeal Activity Diagram

- Retrieve Appeal
- Review Appeal

  [Overtuned] →
  Overturn Sanctions
  [Appeal Denied] →
  Update Record

  Notify

  Reviewed
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, detention orders, fines outstanding, pending charges)
- Probation/INS
- Security (escape, disciplinary, Security Threat Groups or 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 such as response to risk reduction plan)

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Classification Officer</td>
<td>Submits</td>
<td></td>
</tr>
<tr>
<td>Departmental Offender Manager</td>
<td>Performs</td>
<td></td>
</tr>
</tbody>
</table>
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.

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 involved a change in classification, which would result in a move between custody levels. The information available to the facility is also available to

Data provided: Classification Decisions, Classification Report.
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:

(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 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.

◊ 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.
4 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.
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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Supervisor</td>
<td>Assigns</td>
<td>The assignment of a case manager may be automatic with the specific housing assignments as case managers may be assigned by living unit.</td>
</tr>
<tr>
<td>Case Manager</td>
<td>Receives</td>
<td></td>
</tr>
</tbody>
</table>

Caseload Assignment Activity Diagram

1. Orientation
2. Retrieve Caseload
3. Assign Case
4. Assigned
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.

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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case Manager</td>
<td>Refers</td>
<td>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.</td>
</tr>
<tr>
<td>Program Provider</td>
<td>Initiates</td>
<td>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.</td>
</tr>
</tbody>
</table>
Referral to Program Activity Diagram

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:

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.

(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.

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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case Manager</td>
<td>Records</td>
<td></td>
</tr>
</tbody>
</table>

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.

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.
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 several others relative to the offender progression during the incarceration period.
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 request.

◊ Data provided: Offender Identifiers, Date/Time, Location, Contact Meeting.

**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.
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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case Manager</td>
<td>Awards</td>
<td>Earned time credit may not be an incentive in each 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 because 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.</td>
</tr>
<tr>
<td>Program Provider</td>
<td>Initiates</td>
<td>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.</td>
</tr>
</tbody>
</table>

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 adjust 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.
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 an annual or semi-annual review, or based on an event such as behavior.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case Manager</td>
<td>Performs</td>
<td></td>
</tr>
<tr>
<td>Unit Management Team</td>
<td>Authorizes</td>
<td>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.</td>
</tr>
</tbody>
</table>

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.

**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.
Update Management Plan Activity Diagram

1. Retrieve Management Plan
2. Retrieve Program Needs
3. Retrieve Program Participation
4. Retrieve Misconducts
5. Compile Assessment
6. Record Management Plan
7. Utilize Classification Status Review

[Requires Classification]

[Does Not Require Classification]

Plan Developed
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 manager’s authority.

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.

Classification Status Review Activity Diagram

Retrieve Custody Status List

[Requires Classification]

Set Custody Review Date

Utilize Score Reclassification Instrument

[Does Not Require Classification]

Classified
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:

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.

(If requires classification) Set Custody Review Date – If an offender requires classification because 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. These criteria will include institutional behavior.

◊ Data provided: Next classification date.

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.
<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case Manager</td>
<td>Prepares</td>
<td>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.</td>
</tr>
<tr>
<td>Community Corrections Officer</td>
<td>Investigates</td>
<td></td>
</tr>
</tbody>
</table>
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 because 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.
5 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.
## Associated Actor, Relationship, Description

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Control Center Officer</td>
<td>Issues</td>
<td></td>
</tr>
<tr>
<td>Security Staff</td>
<td>Performs</td>
<td>Housing and other staff responsible for offender supervision may become involved in performing custody and control.</td>
</tr>
<tr>
<td>Program Provider</td>
<td>Monitors</td>
<td></td>
</tr>
<tr>
<td>Checkpoint Officer</td>
<td>Regulates</td>
<td></td>
</tr>
</tbody>
</table>

### 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.

### 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.

**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.
USE CASE SPECIFICATION: CUSTODY AND CONTROL

The daily security control and custody functions that include equipment, offender processing, visitor processing, census checks, breech 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.

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.

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.

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.
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.

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.

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.

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.

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

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.

Create Shift Report – Prior to the completion of a shift, all 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.

Utilize Facility Movement – The control and monitored movement of offenders to facility activities or services both within and outside the perimeter of the facility.
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.

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.

USE CASE SPECIFICATION: FACILITY COUNTS

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

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Housing Officer</td>
<td>Performs</td>
<td></td>
</tr>
<tr>
<td>Security Staff</td>
<td>Performs</td>
<td></td>
</tr>
<tr>
<td>Program Provider</td>
<td>Performs</td>
<td></td>
</tr>
<tr>
<td>Control Center Officer</td>
<td>Reconciles</td>
<td></td>
</tr>
</tbody>
</table>

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.

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 outcount is required.

◇ Data provided: Out Count.

Verify Out-Count – Verification of the outcount 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.

- 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 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.

---

**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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Control Center Officer</td>
<td>Monitors</td>
<td>Some agencies do not use electronic monitoring systems.</td>
</tr>
</tbody>
</table>
Electronic Systems Monitoring Activity Diagram

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.
Common Business Functions

Chapter 5 – Security

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.

**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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Control Center Officer</td>
<td>Activates</td>
<td></td>
</tr>
<tr>
<td>Security Staff</td>
<td>Responds</td>
<td></td>
</tr>
</tbody>
</table>
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.
6 Offender 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 potentially 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 are important for legal and administrative purposes. Statistical tracking assists administrators in determining high-risk concerns and problem offenders. The information also identifies trends and security gaps.
USE CASE SPECIFICATION: GENERATE INCIDENT REPORT

Developing the report that describes the incident in detail and any actors involved in the incident.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Staff Person</td>
<td>Documents</td>
<td></td>
</tr>
<tr>
<td>Investigator</td>
<td>Verifies</td>
<td>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.</td>
</tr>
</tbody>
</table>

FLOW OF EVENTS

Initiate Incident Report – Develop an 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 the evidence, interviewing of witnesses, and any other associated intelligence regarding the matter.

◊ Data provided: Incident Report, Offender Identifiers.

Detail
In an investigation where the staff member did not observe the event 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.

(If Facts Not Verified) File Report – Produce and record detailed information about an event or activity that can be retrieved and reviewed as needed.
USE CASE SPECIFICATION: MOVEMENT HOLD

A movement hold will prevent a lateral or progressive move of the offender until 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

1. Retrieve Request
2. Evaluate Risk
3. Determine Security Level
   - [Segregation Recommended]
   - [Segregation Not Recommended]
4. Notify
5. Placed On Hold
6. [No Risk Identified] Denied

Utilize Request Movement
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.

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
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.

(If risk identified) Determine Security Level – Decide physical security needs for an offender for transportation, and 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 because 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 making staff aware of an event and/or initiating action. The staff needing to know must have been identified for each event.
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. A supervisor to ensure the documented facts support the charges will review the misconduct report and charges. If there is insufficient support for the charges, the charges are not authorized to be filed. If authorization is given either, the process continues with the offender being formally charged, or the infraction is handled informally. In instances where a misconduct infraction is serious, a hold will be placed on the offender’s movement until the infraction is remedied. This can also include an immediate assignment to a secured location within the facility.

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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Supervisor</td>
<td>Reviews</td>
<td></td>
</tr>
<tr>
<td>Staff Person</td>
<td>Initiates</td>
<td></td>
</tr>
</tbody>
</table>

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 either must contain enough information directly or be associated with the report for the reviewing staff to act.

- Data provided: Incident Report.
- Alternative Flows:
Review Infraction Violation Activity Diagram

1. Retrieve Incident
2. Determine Charges
3. Authorization Review

   - [Not Approved]
     - [Authorize Charges]
     - Evaluate Charges
       - [Minor Infraction] Utilize Informal Disciplinary Process
       - [Serious Violation]
         - Evaluate Risk
           - [Risk Identified] Submit Request, Utilize Involvement Hold
           - [No Risk Identified] Notify, Update Record

   - [Denied]
   - [Charged]
Originating staff will sometime determine the charges, with supervisor review to affirm or recommend appropriate charges.

(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 to decide approval or denial based upon policy or rule defined by the correctional department/agency.

- Data provided: Authorization Data, Denial Reason.

Alternative Flows:

A disapproval of the misconduct report or charges may result in returning the document 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:

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 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 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 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 perform 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.

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 perform tasks that are appropriate and proportional to the infraction. Examples include extra work duty or restrictions to recreation privileges.

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.

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

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hearing Examiner</td>
<td>Finalizes</td>
<td>Findings</td>
</tr>
</tbody>
</table>

**(If reprimand recommended) Reprimand** — Action is taken to analyze 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 making staff aware of an event and/or initiating action. The staff needing to know must have been identified for each event.

**USE CASE SPECIFICATION: FORMAL DISCIPLINARY PROCESS**

Infractions that are moderate to serious, that require formal resolution.

**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.

**(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 to 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 the degree of severity that 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, because 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 either has 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 because of a finding of guilt for a rule infraction.

**Utilize Sanction** – The result of a process whereby an offender either has 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. Either a status review date or a violation/incident report may initiate a hearing.

◊ Alternative Flows:

<table>
<thead>
<tr>
<th>Detail</th>
</tr>
</thead>
<tbody>
<tr>
<td>Some jurisdictions use a formal service process, performed by a security staff person, to notify the offender of the charges.</td>
</tr>
</tbody>
</table>

**Notify** – The notification activity produces and disseminates appropriate information for 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 are 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 testimonials and physical evidence. The decision or finding will either affirm the allegations in whole, or part with amendments, or disaffirm them 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.
USE CASE SPECIFICATION: FORMAL HEARING

An administrative process is initiated when a document containing allegations of fact is filed requesting procedural remedies, and whereby information and supporting evidence are 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 testimonials and physical evidence. The decision or finding will either affirm the allegations in whole, or part with amendments, or disaffirm them 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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Offender</td>
<td>Presents Evidence</td>
<td></td>
</tr>
<tr>
<td>Hearing Examiner</td>
<td>Schedules</td>
<td></td>
</tr>
<tr>
<td>Hearing Officer</td>
<td>Determines</td>
<td>In some jurisdictions, the roles of Hearing Officer and Hearing Examiner are combined.</td>
</tr>
</tbody>
</table>

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.

◊ Special Requirements:

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

◊ 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.
Formal Hearing Activity Diagram

1. Retrieve Hearing Schedule
2. Retrieve Misconduct Report
3. Review Charges
4. Summon Offender
5. Evaluate Evidence
6. Determine Guilt or Innocence
   - [Finding of Guilt] → Determine Sanctions
     - Record Sanction
     - Utilize Sanction
   - [Finding of Not Guilty] → Update Record
7. Disposed
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.

**Detail**

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

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

◊ Data provided: Finding Information.

**(If finding of guilt) Determine Sanctions** – When it is decided that an offender has violated a rule or infraction, because 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 either has 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 because of a finding of guilt for a rule infraction.

**Utilize Sanction** – The result of a process whereby an offender either has 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:
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 the required documentation to support the appeal. The documentation must be submitted following established guidelines, to the proper authority, within a defined period.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Offender</td>
<td>Files</td>
<td>Some jurisdictions have implemented multi-level reviews in the appeal process.</td>
</tr>
<tr>
<td>Superintendent</td>
<td>Decides</td>
<td></td>
</tr>
</tbody>
</table>

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 the appropriate notification issued.

◊ Data provided: Denial Reasons, 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 making staff aware of an event and/or initiating action. The staff needing to know must have been identified for each event.
USE CASE SPECIFICATION: SANCTION

The result of a process whereby an offender either has 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.
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 the 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.

(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, as well as update the inventory record so 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 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 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 the 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’s 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, codefendants, 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.
7  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 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 agency.

The offender movement process is required to facilitate the placement of offenders into appropriate facilities. This placement is based on several 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 public all have interests in the inmate movement system regarding the verification of an inmate’s assignment or location.
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 because of classification to another custody level, or it may be a special request due to medical, security risk (enemies, gangs), or other extenuating circumstances.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Classification Officer</td>
<td>Initiates</td>
<td></td>
</tr>
<tr>
<td>Department Offender Manager</td>
<td>Receives</td>
<td></td>
</tr>
</tbody>
</table>

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 being passed to the Facility Classification Board.

Retrieve Classification Information – Retrieve specific offender classification data that may include 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, codefendants, 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 authorization or denial of the action or omission.

**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.

**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.
Request Candidates Activity Diagram

Retrieve Facility Bed Count

Retrieve Facility Waitlist

[Not a Sufficient Offender Pool] → Identify Required Offender Pool

[Available Offender Pool]

Collect Information

Received
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, detention orders, fines outstanding, pending charges)
- Probation/INS
- Security (escape, disciplinary, Security Threat Groups or 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 such as response to risk reduction plan)

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Departmental Offender Manager</td>
<td>Approves</td>
<td>Movement out of reception may be controlled by the reception facility, with coordination through offender management.</td>
</tr>
</tbody>
</table>
**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 involved 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 – In 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 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 making staff aware of an event and/or initiating action. The staff needing to know must have been identified for each event.
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 the offender’s needs have been selected, the offender is scheduled to move through central transportation. This could involve the assignment of the 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 a facility with reduced security safeguards.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Departmental Offender Manager</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Transportation Officer</td>
<td>Notified</td>
<td></td>
</tr>
</tbody>
</table>

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 of a given offender.

◊ Data provided: Facility Type, Facility Identifier, Bed Status, Offender Identifiers.

◊ Alternative Flows:
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.

**Detail**

(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:

- **Alternative Flows:**
  
  The waiting list may have alternative placement facilities if all other criteria can be met.

- **Place on Transportation Schedule** – Add an offender to 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 that 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.

**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 the offender, change of name of the 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.

**FLOW OF EVENTS**

- **(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

Victim Services Activity Diagram

[Submitted]  
Determine Type

[Victim Registration Request]  [Victim Notification Request]

Evaluate Form

[Not Approved]  [Record Not Found]

[Approved]  [Record Found]

Record Event

Respond to Requestor

Notify

Recorded  Informed

(If victim notification request) Retrieve Victim Registration – Using key identifiers the victim registration information that has

containing essential information for future retrieval and use by correctional staff.
been submitted and filed with the correctional department/agency is retrieved for processing.

- Data provided: Victim Registration Information.

**Detail**

In this process, the originator of the request receives a response to communicate that no information had been found about the inquiry.

**Respond to Requestor** – Any time a response is appropriate a document is developed and sent, and/or 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 to make staff aware of an event and/or initiating action.

The staff needing to know must have been identified for each event.

**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.

**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 to identify 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 consider a security risk.

- Data provided: Classification Report.

**Retrieve STG Information** – Information regarding security threat group affiliation will be obtained from available sources 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.

**Housing Assignment Activity Diagram**

```
Retrieve Authorized Move List

 Retrieve Custody Level

 Retrieve STG/Gang Information

 Retrieve Program Needs

 Schedule Bed Assignment

 Recorded
```

This action requires offender identifiers to 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.
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 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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Departmental Offender Manager</td>
<td>Coordinates</td>
<td></td>
</tr>
<tr>
<td>Transportation Officer</td>
<td>Reports</td>
<td></td>
</tr>
</tbody>
</table>

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 number 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 each period. Indicating what beds are available for occupancy.

(If open beds) Place on Transportation Schedule – Add an offender to 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 an appropriate facility

Bed Space Coordination Activity Diagram
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 that includes the attributes of a given offender.

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’s transportation 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.

**FLOOR 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 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 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.
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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Housing Officer</td>
<td>Receives</td>
<td></td>
</tr>
</tbody>
</table>

FLOW OF EVENTS

**Identification** – Staff validates the identification of an individual with appropriate documentation such as a 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 a 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.

**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.

◇ Data provided: Transfer Date, Transportation Voucher, Facility Identifier.

*(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 including photographs, fingerprinting, and documenting physical characteristics including scars, marks, and
tattoos. The fingerprints may be live-scanned sending them directly to the state

Arrival Processing Activity Diagram
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.

**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 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 to begin tracking property items.

**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 movement, 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, codefendants, and STG 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.

**FLOW OF EVENTS**

**Retrieve Facility Movement Report** – The retrieval of all the moves that took place into and out of a facility at each time. Indicates what beds are available for occupancy.

◊ Data provided: Available Beds.

**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 is 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.

**Assign to Bed Activity Diagram**

- **Retrieve Facility Movement Report**
- **Schedule Bed Assignment**
- **[Currently Assigned]**
  - **Depart Offender from Current Assignment**
- **[Not Currently Assigned]**
- **Receive into Bed Assignment**
- **Assigned**

◊ **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 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.

8 ELECTRONIC HEALTH RECORDS
Under current case law, correctional agencies are obligated to provide incarcerated individuals with the same basic health care services (medical and mental health) that meet the same quality standards provided to the community. Basic health care includes sick call encounters, routine access to prescribed medications, adequate screening and examinations, emergency care, ambulatory care, infirmary/hospital care, and specialty care services. To facilitate comprehensive medical care, correctional agencies should migrate to Electronic Health Record systems (EHR) to achieve benefits such as documentation consistency, easier continuity of care, real-time reporting capabilities, and better audit tracking.

Essential EHR elements include modules for medical, dental, psychiatric/mental health, scheduling, consultation management, healthcare request, infirmary care, and medication management services. The EHR has permissions/security levels to provide the role of the user (nurse, doctor, medical records, etc.) with the appropriate system functionality. The EHR should maintain accreditation with a certified entity (such as the Office of the National Coordinator for Health Information Technology (ONC) Health IT Certification Program) which establishes information technology standards shared by other certified systems.
USE CASE SPECIFICATION: MEDICAL SERVICES

The correctional department/agency provides patients access to medical services that maintain basic health. Medical services are those that are required for the prevention, restoration, and maintenance care of an individual’s basic health. Basic health is defined as the physical condition of an individual who is without chronic diseases and/or acute illnesses, which prevent an individual from functioning at his/her appropriate maximum capacity.

Physical examinations are provided to patients upon incarceration with the correctional department/agency. Medical screening is performed for patients transferring between prisons, but not to the extent and detail as noted in the preliminary health care screening process.

Medical services are provided to patients during regularly scheduled sick call hours whereby the patient can present their health problems. If the custody status of a patient precludes sick call attendance, arrangements are made to provide this service where the patient is being detained. Healthcare professionals make approval or denial of medical services.

Medical services will include emergency treatment to be provided in cases that, without treatment, could result in further deterioration of a patient’s health condition, or serious debilitating pain and discomfort.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Clinical Staff</td>
<td>Performs</td>
<td>Staff completes an initial health intake screening in EHR; identify chronic care, urgent, and mental health needs; schedule appointments as necessary; and send alerts to Primary Care Provider (PCP), Mental Health (MH), or Dental staff.</td>
</tr>
<tr>
<td>Primary Care Provider</td>
<td>Performs</td>
<td>Staff completes an initial history and physical. If needed, they also order medications and diagnostics; enroll the patient in a chronic care clinic; refer the patient for additional services; and/or create a treatment plan for a chronic care clinic.</td>
</tr>
</tbody>
</table>
FLOW OF EVENTS

**Initial Health Screening** – When the patient has completed the booking process, clinical staff will perform the initial health screening. The Healthcare vendor’s intake form should be integrated with the EHR and include business rules to help guide the clinical staff through the screening questionnaire. The form should have the ability to mandate questions and content based on data entered by the clinical user. Alerts and triggers should be built into the form to identify certain current and past high-risk behaviors and add any identified health conditions to the patient’s problem list. The form should capture the patient’s signature via an external signature pad device and allow the form to be routed to another staff member for review. Appointments for initial history and physical, dental intake, and/or mental health (if needed) should be automatically generated when the initial health screening form is completed.

◊ Data provided: Patient Interview, Intake Screening Form.

**Medication/Diagnostic Orders** – The EHR must have configurable HL7 and/or NCDPD standard interfaces with any Pharmacy, Lab,
and X-ray vendors for medication and diagnostic order management. When healthcare staff members are in the patient’s electronic medical record, diagnostic orders can be started/drawn/taken, respectively, immediately or for a particular date in the future. When results are received in the EHR, an email notification should be sent to the ordering provider so the results can be reviewed. The EHR should contain a centralized area where the review process can be easily performed.

◊ Data provided: Patient Data, Diagnosis, Diagnostic Order Information.

History and Physical – A PCP should perform and document the history and physical examination in the EHR based on ACA/NCCHC standards. The healthcare vendor’s forms and questionnaires should be completed electronically and incorporate any clinical business rules. The forms should capture the patient’s signature via an external signature pad device and allow the forms to be routed to another staff member for review. During the H&P, the PCP can order diagnostic testing, medications, and necessary treatments, and schedule the patient for any specialty services, including the Chronic Care clinic.

◊ Data provided: Patient Interview, Questionnaire.

Chronic Care – During the initial health assessment or history and physical, patients with chronic care conditions should be referred to the chronic care clinic for an initial assessment. The EHR should track chronic care encounters and all conditions that were treated during those encounters. At every chronic care visit, the PCP should track the condition of the patient and treatment progress. The EHR should allow the PCP to order medications, treatments, labs, x-rays, consultations, and special needs/restrictions, as well as have treatment plans for specific conditions. Functionality should exist for the PCP to determine follow-up visits and provide automatic or manual scheduling of appointments. Various reports, such as chronic care rosters, should be available in the EHR for healthcare staff to access.

◊ Data provided: Patient History, Diagnosis.

Specialty Services – The EHR should have modules to record specialty services, including but not limited to dialysis, optometry, OB/GYN, immunizations, physical therapy, and diet counseling. Encounters to capture patient visits should be in a SOAPe note format consistent with nursing, provider, mental health, and dental encounters. If specific structured data requires collection, the EHR functionality should include configurable and reportable form data as necessary based on the type of visit. Treatment Plan information and histories should be available when treating specialty conditions.

◊ Data provided: Patient History.

Treatment Plan – To ensure the quality of patient care, treatment plans for chronic care and specialty care patients should be available and configurable in the EHR. These treatment plans should reflect facility protocol and show historical and current health trends. Data should include specific interval lab orders, medications to order, required treatments, and patient education. All information contained within a treatment plan should be reportable.
◊ Data provided: Patient History, Diagnostic Information.
USE CASE SPECIFICATION: HEALTH SERVICE REQUESTS

Every facility should have a mechanism in place that enables all patients (including those in special housing) to request health care services daily. For facilities that utilize a paper request, the EHR should have the ability for the user to electronically enter the date and time the request was created by the patient, received by the health services staff, and triaged. The reason for the request (medication refill, nurse visit, mental health, etc.) and the urgency (Urgent, Emergent, and Routine) should also be documented. If available, facilities should have the option to implement a patient kiosk that integrates health service requests directly into the EHR.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Patient</td>
<td>Submits</td>
<td>Patients submit requests to be seen by the clinical staff for health needs.</td>
</tr>
<tr>
<td>Clinical staff</td>
<td>Triages</td>
<td>Clinical staff will determine if the patient’s need is urgent or routine and schedule an appointment with clinical staff as needed.</td>
</tr>
</tbody>
</table>

FLOW OF EVENTS

**Patient Submits Health Service Request** – The patient will complete the Health Service Request (HSR) electronically and an interface adds the patient’s request directly to the EHR system. The health services nurse will search for new HSRs and triage accordingly.

- Data provided: Patient Demographics, Reason for Request.

**HSR Is Triaged** – When the triage nurse reviews Health Service Requests, the urgency of the request is determined. Triage nurses should have the ability to indicate a follow-up due date for the HSR, and those requests should remain in a queue or wait list managed by the clinical services staff. Reporting capabilities should indicate if HSRs are not being scheduled based on the due date entered by the triage nurse.

- Data provided: Priority, Service Type, Completion Date.

**Schedule Appointment** – If the triage nurse determines a healthcare visit is warranted, an appointment can be scheduled with a clinical staff member in the specific medical area (Dental, MH, etc.) associated with the health service request. Paper HSRs completed by the patient can be scanned into the EHR and viewed at both the HSR and appointment levels. If the scheduled appointment is canceled, the status of the HSR should also be canceled.

- Data provided: Appointment Data.
**Complete Visit** – When clinical staff sees patients for requested health service needs, the EHR should update the appointment and HSR status. During the patient encounter, clinical staff should record any referrals to the primary care provider (PCP) in the patient chart and schedule appointments as appropriate.

◊ Data provided: HSR.

**Auditing and Reporting** – All information in the HSR section of the EHR should be reportable with the ability to execute pre-defined reports or create ad-hoc reports. Reports should calculate the time between the date received and the date triaged and indicate (based on the urgency and status of the HSR) whether health service request follow-up and management are compliant with facility policies.

◊ Data provided: HSR, Patient Demographics, Appointment, Encounter Data.
USE CASE SPECIFICATION: SCHEDULING

Ideally, patient appointment scheduling should be integrated between corrections services and clinical services. This ensures all patient scheduled appointments can be seen from a centralized location. EHR functionality should adhere to all rules and regulations established by HIPAA (Health Insurance Portability and Accountability Act) and will not allow sensitive medical information to be viewed by unauthorized users.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Clinical Staff</td>
<td>Schedules</td>
<td>The staff creates patient appointments based on staff availability.</td>
</tr>
</tbody>
</table>

Scheduling Activity Diagram
FLOW OF EVENTS

Scheduling Configuration – The EHR should allow users to create resource schedules based on facility, date/time, and prevent appointments from being scheduled when the resource is unavailable. Additionally, the scheduling component should allow for the creation of recurring appointments, as well as the configuration of appointment cancellation reasons. Overbooking appointments is based on schedule resource preference.

◇ Data provided: Patient Demographics, Reason for Request.

Scheduling Process – Scheduling appointments is done to ensure the delivery of timely patient health care. The scheduling process should be seamless and allow authorized users to coordinate onsite and offsite services. When medical appointments are booked, scheduling conflict alerts are displayed to the user. The EHR should provide override capabilities for instances when certain appointment types have priority. During the scheduling process, the user can view all scheduled appointments and available slots.

◇ Data provided: Priority, Service Type, Completion Date.

Schedulers will require the ability to reschedule single appointments. This includes functionality allowing mass rescheduling when scheduled appointments need to be assigned to a different provider or transferred to another date and/or time.

◇ Data provided: Clinical Staff Schedules.

Auditing and Reporting – Schedule reports should provide information regarding appointment type frequency, duration, waitlists, and over-due appointments. The EHR schedule reports should render data based on any of the scheduled appointment details.

◇ Data provided: Appointment.
USE CASE SPECIFICATION: MEDICATION MANAGEMENT

Effective medication management is critical to prison viability and the safety of the incarcerated individuals occupying those facilities. To achieve this goal, EHR functionality should encompass pharmacy services, prescriptions, and medication administration.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Clinical Staff</td>
<td>Performs</td>
<td>Staff manage patient medication orders or provide verbal authorization to the nurse with medication order instructions. They check in medications from the pharmacy, perform medication pass administration, and carry out orders from the PCP.</td>
</tr>
<tr>
<td>Primary Care Provider</td>
<td>Performs</td>
<td>The PCPs complete medication orders through EHR and review any orders not accepted.</td>
</tr>
<tr>
<td>Clinical Staff</td>
<td>Reviews</td>
<td>EHR security is given to non-formulary medication approvers. Clinical staff maintain the formulary medications and approve the non-formulary medications.</td>
</tr>
</tbody>
</table>

FLOW OF EVENTS

**Order Medication** – PCPs should have the ability to electronically order patient prescriptions in the EHR. Nursing verbal orders require a review/approval by an authorized prescriber, and the EHR should facilitate this process.

**Allergy & Interaction Checks** – The PCP should be alerted of any drug allergies and interactions when prescribing medications. The EHR should allow for prescription overrides and display provider acknowledgments when the pharmacist is verifying the medication order.

A controlled medication is any drug classified as such by the Drug Enforcement Agency (DEA). The EHR should support protocols mandated by Electronic Prescribing of Controlled Substances (EPCS) that require the provider to perform two-factor authentication before the electronic transmission of the controlled substance order.

**Medication Approval Process** – Medical facilities determine which medications require approval before electronic transmission to the pharmacy for processing.
Formulary Approvals – Formulary medication orders should be routed directly to the outside pharmacy through the interface.

Non-Formulary Review – The EHR should provide a workflow for ensuring non-formulary medication requests are reviewed for clinical appropriateness and allow the prescriber to indicate medical necessity. These non-formulary requests should be easily managed in a centralized location, and access controlled via security. If alternate therapy is recommended, a notification indicating the reason for the medication change should be sent to the ordering prescriber. The prescriber can discontinue the original order and order alternate therapy, if necessary.

◇ Data provided: Patient Data, Diagnosis, Previous Therapies Ordered.

Pharmacy Interface – The EHR must have a bidirectional interface with a contracted pharmacy, written in a standard HL7 or NCPDP format. All medication orders (either ordered as patient-specific or clinic stock) will be sent to the pharmacy and alert of any drug allergies or drug-to-drug interactions. The EHR should allow for prescription overrides and display provider acknowledgments when the pharmacist is verifying the medication order.

Pharmacy acknowledgment messages are sent back to the EHR to notify health services when a medication order has been received, refused, processed, and/or shipped. The EHR user should be able to identify and resolve any technical issues with the interface.

◇ Data provided: Patient Data, Medication Order Information.

Medication Receipt – Medication inventory is a critical component of pharmacy system medication management. When medications are received at the patient’s facility, the EHR should allow the user to record any medication changes (brand name vs. Generic, authorized refills, etc.). When receiving scheduled (controlled) medications, a second staff member should verify the medication counts and record this information in the EHR.

◇ Data provided: Patient Data, Prescription Data, Physical Medication.

Administer Medication – Clinical staff users who perform medication administration in the EHR should be able to generate either patient lists based on the following search options online or offline when WIFI is not available:

- Specific Patient badges/ID number
- Medline session designation (AM, NOON, PM, etc.)
- Alpha ranges

Entering vital signs before a medication administration event ensures clinical reference values are obtained and verified. The EHR should provide a means for documenting pertinent values before any medications are administered to the patient.

When medications are administered, the EHR should facilitate the Five Rights of Administration to verify the correct patient and medication are being accessed. The EHR should clearly display a patient photo and list the patient’s name (right patient), medication brand and generic name (right drug), pill call times or special instructions (right time), medication strength and quantity (right dose), and route of administration (right route).
**Reporting and Management** – To maintain continuity of care, the EHR should notify clinical staff when refills or medication renewals are due. Notifications for medication order requests (discontinue, etc.) must be sent to the Pharmacy via the interface.

◇ Data provided: Patient Information, Diagnosis.

The EHR will enable the clinical user to document instances when medication administrations are refused, the patient is not available (out to court/hospital), or the patient was not present for the administration (no-show). The EHR will provide reporting of administration outcomes to audit pill call sessions and quickly identify and update any missed administrations.

For patients who do not comply with medication orders, the EHR will alert the prescriber of missed medication doses. This includes the ability to report on patients who have had self-medication privileges revoked.

◇ Data provided: Patient Demographics, Medication Order Details.

---

**USE CASE SPECIFICATION: CONSULTATION MANAGEMENT**

Offsite or onsite consultations are a necessary service for providing patient care. The EHR should track the progress of the consultation from initial order placement to the patient completing the visit.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Primary Care Provider</td>
<td>Initiates</td>
<td>PCPs create an onsite or offsite referral where more specialized care is needed.</td>
</tr>
<tr>
<td>Clinical staff</td>
<td>Initiates</td>
<td>The clinical staff starts the UM process for approving the consultation request. If approved, they will schedule the consultation and track it through completion.</td>
</tr>
</tbody>
</table>
Consultation Management Activity Diagram

1. Provider Orders Consultation
2. Consultation Coordinator Notified
3. UM Process
4. [Consultation Not Approved]
5. [Consultation Approved]
6. Patient Scheduled
7. Patient Seen
8. Notification to Provider
9. Submitted
FLOW OF EVENTS

Provider Orders Consultation – PCP will facilitate the consultation process by entering an order in the EHR. The order process should be configurable for the provider to choose the specialty related to the request, urgency, and location (offsite or onsite), and include (attach) any supporting documentation.

◊ Data provided: Patient Demographics, Patient Current Health Record.

Consultation Coordinator Notified – Once the consultation order has been entered in the EHR, a notification should be generated to the consult coordinator. The consult coordinator should have access to the electronic record and can print pertinent EHR information for utilization management (UM) review. All consultation actions should be tracked in the EHR and the consultation status easily identifiable by the user. The EHR should also provide administrative users access to maintain lists of offsite facilities and contracted providers.

◊ Data provided: Patient Demographics, Health Chart.

UM Process – The consultation approval or denial process can happen within or outside the EHR, depending on the facility. If UM uses a 3rd party software to manage consultation requests, the EHR should interface with that software. After UM reviews the request and approves the cost, the coordinator should document the decision in the EHR and schedule the patient appointment. If the consultation is not approved by UM, the consult coordinator documents the decision in the EHR, and the ordering provider should receive a notification with the determination.

◊ Data provided: Patient Demographics, Health Chart.

Patient Scheduled – The EHR should allow onsite and offsite patient appointment scheduling. The coordinator will schedule the patient for a day (or series of days) to the approved offsite facility. The EHR should track transportation needs and have this information reportable so the facility director will know when offsite appointments are scheduled and plan for officer accompaniment.

◊ Data provided: Patient Demographics, Appointment Book

Patient Seen – Once the appointment is completed, all results and correspondence from the offsite location should be scanned (attached) to the initial consultation request. Conversely, if the patient’s appointment is canceled or rescheduled, the consult coordinator will track changes to the appointment in the EHR.

◊ Data provided: Offsite PCP Consultation Notes

Notification to Provider – An electronic notification should be sent to the ordering provider when the patient returns from consultation appointments and/or when diagnostic results ordered at external facilities are received. Notifications should also provide updates to consultation status changes and alert when results are ready for review.

◊ Data provided: Patient Consultation Record
USE CASE SPECIFICATION: PSYCHIATRIC/MENTAL HEALTH SERVICES

The correctional organization will provide mental health services that focus on the maintenance and improvement of the mental health of patients, contribute to their satisfactory incarceration adjustment, diminish public risk presented by patients upon release, and aid the correctional department/agency in the maintenance of an environment that preserves the basic human rights and dignity of patients and correctional staff.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Clinical Staff</td>
<td>Initiates</td>
<td>The staff creates a referral to MH.</td>
</tr>
<tr>
<td>Patient</td>
<td>Initiates</td>
<td>Patients create a request to see MH.</td>
</tr>
<tr>
<td>Mental Health Staff</td>
<td>Performs</td>
<td>MH staff perform the initial evaluation, refer to MH services, and perform Restrictive Housing round checks.</td>
</tr>
</tbody>
</table>
FLOW OF EVENTS

Emergency Referral – Psychiatric/mental health services are initiated by a referral from the clinical staff member acting as the first responder in emergent situations. This referral should be documented in the EHR.

Data provided: Patient Health Data.

Patient Requests – Patients can initiate health service requests by submitting a form via paper or a kiosk. In some facilities, a regularly scheduled sick call process allows for walk-in access. The sick call procedure, which is a function of the EHR, allows clinical staff to document, triage, and schedule patient requests for health needs. All paper health service requests completed by the patient should be scanned into the EHR system and associated with the electronic version of the service request.
Formal/Informal Evaluation – Mental health staff should complete electronic screenings using the EHR. This also includes consent, evaluations to determine the appropriate next steps, and special placement needed for the patient’s safety. Signatures should be captured with an external device and saved on any forms signed by the patient.

Data provided: Patient Name, Facility, Request Date, Triage Date, Chief Complaint, Priority.

Restrictive Housing Rounds – Documenting rounds conducted while the patient is in special housing should be streamlined to allow multiple patient encounters to be created and saved on all patients at one time. Configurable medical and mental health rounding documentation in a standardized format is essential for nursing/mental health staff to expeditiously identify any special needs or medical care the patient may require.

Data provided: Clinical Staff Observations, Patient Interviews.

Mental Health Services – 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 patients with major mental illnesses, programs for social and self-management, and services for the mental or developmentally challenged. The EHR should employ the use of treatment plans that allow the documentation and tracking of goals and objectives required for successful therapy. Reporting capabilities should alert the clinician when significant milestones are not being met.

Data provided: Patient interviews, MH Staff Observations.

Psychiatry Services – In cases where an evaluation results in a referral for psychiatric treatment, a psychiatrist PCP will diagnose and prescribe medications as needed. Psychiatric treatment is part of the medical treatment plan managed by medical services. Psychiatric/mental health staff will also respond appropriately to any emergency needs of the patient, and in some instances will initiate this process.

Data provided: Treatment Plan.
USE CASE SPECIFICATION: DENTAL SERVICES

It is the responsibility of the correctional department/agency to provide patients 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. Basic routine services consist of a routine dental examination and panoramic x-rays.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dental Staff</td>
<td>Performs</td>
<td>Dental staff complete an initial dental screen and perform and document any dental procedures need or completed.</td>
</tr>
<tr>
<td>Patient</td>
<td>Initiates</td>
<td>Patients create a request for dental health needs.</td>
</tr>
</tbody>
</table>

Dental Services Activity Diagram
FLOW OF EVENTS

Initial Dental Screening – An initial dental screening is conducted on patients within a defined time upon arrival at the correctional department/agency. During this screening, emergency dental needs will be scheduled for treatment. The patient using the health service request process can manage all other dental needs.

◊ Data provided: Patient Interview, Clinical Observations.

Patient Requests – When dental services are required, these requests should follow the same process as any health service requested by patients. These requests should be triaged based on priority, and EHR capabilities should allow for managing these requests using a waitlist.

◊ Data provided: Health Service Request.

Dental Services – During incarceration, periodic basic services provided include oral examinations and any indicated diagnostic x-rays, restorations, dental prostheses as determined by a dentist, simple or complex extractions/surgical procedures when indicated, root canal treatment and fillings, and extensive oral rehabilitation. These services should be tracked using the EHR.

The EHR should also provide capabilities for real-time dental tooth chart documentation. The dental tooth chart will serve as a treatment plan for the patient allowing the dental staff to document current tooth conditions as well as dental procedures required in the future.

◊ Data provided: Patient Demographics, Medical History.

Dental Referrals – In instances where a dental specialist is recommended, a referral to an outside provider shall be ordered (see Consult Management).

◊ Data provided: Patient Demographics, Current Health Needs.
USE CASE SPECIFICATION: INFIRMARY CARE

Infirmary care managed in the EHR should include an overview of the current health of patients housed in the Infirmary unit. Clinical staff should be able to easily track admission orders, PCP and clinical staff rounds, intake/output, specialized treatments (IV fluids, for example), administer medications, and provide discharge instructions when the patient is no longer under Infirmary care.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Clinical Staff</td>
<td>Initiates</td>
<td>Staff transfer patients into the infirmary based on patients' health needs</td>
</tr>
<tr>
<td>Primary Care Provider</td>
<td>Assesses</td>
<td>PCPs assess the patient and create treatment plans based on observations and assessments.</td>
</tr>
</tbody>
</table>

FLOW OF EVENTS

Transfer Into Infirmary Unit – Clinical staff will identify patients needing infirmary care during an emergency call, sick call, or return from an offsite visit. The EHR should have an interface with the offender management system (OMS) to display patient housing movement information in real-time.

◊ Data provided: Patient's Current Health Status, Patient Demographics.

PCP Assessment and Treatment Plan – The PCP or health services staff will evaluate the patient’s condition and recommend either a 24-hour observation or admission. The EHR should have the ability to create treatment plans, including adding an admitting diagnosis, treatment orders, medications, special diets, medical equipment, and diagnostic testing. These should be easily charted in the EHR and sent to an infirmary staff member for review and processing.

◊ Data provided: PCP Observations, Patient Interviews.

Twenty-Four Hour Observation – Clinical staff will use the EHR to process PCP orders and update the PCP on the patient’s health condition after 24 hours. The EHR may have a messaging tool to send patient information to a PCP. The PCP will determine if the patient can return to regular housing or if admission is needed for further evaluation.

◊ Data provided: Patient Health Chart, Current Health Status.

Admission – When the PCP’s admission orders are reviewed, the clinical staff will assess and monitor the patient. The EHR should have an auditing tool to ensure encounters are reviewed by staff and alert staff members when this is not occurring.

◊ Data provided: Admission Order.
Infirmary Care Activity Diagram

- Transfer Into Infirmary Unit
- PCP Assessment & Treatment Plan
- Twenty-Four Hour Observation
- Admission
- PCP/Clinical Staff Rounds
- PCP Assessment
- Discharge to Housing Unit
**PCP/Clinical Staff Rounds** – The EHR should include functionality with limited clicks for PCP and clinical staff rounds. A customizable form should be incorporated into the EHR to capture specific patient information when the clinical staff performs these rounds. All PCP orders should be available for clinical staff to perform inside the EHR. The EHR should track the administration of medications and treatments, as well as historical intake and output values for fluids and solids.

◇ Data provided: Clinical Staff Observations, Current Health Status.

**PCP Assessment** – When a PCP performs an assessment, custom forms implemented in the EHR should collect specific information. The PCP will then determine if additional care is needed or if the patient can be discharged to the general population. The PCP also determines if the patient requires offsite transport for urgent or specialized treatment(s).

◇ Data provided: Current Health Status.
9 PREA
The Prison Rape Elimination Act (PREA) is comprised of multiple components to protect offenders from the threat of sexual abuse and manage those identified as potential predators. These components include the interview at initial intake processing, initial and ongoing risk assessment, housing placement, assignment to work and programs, transfer to other facilities, recording of threats, investigation, and health care follow-up, and reporting. Although some of these functions may be included in a Correctional Management System, they are often not integrated. Fully integrating these components into the CMS will provide a seamless PREA process.

During the initial intake, an offender is interviewed and scored on the PREA Assessment Instrument to assess the risk of being a victim or a predator. To mitigate any assessed risk, this information then becomes an additional classification consideration for facility placement, housing assignment, and work or program assignment. For those inmates assessed as being potential victims, the goal is to mitigate the risk of sexual abuse from other offenders by placement in the most appropriate facility, to housing in a unit, wing, or floor that would provide additional protection, and to the assignment to work or programs where risks from predatory inmates are minimized.
USE CASE SPECIFICATION: PREA ARRIVAL ASSESSMENT

Processes associated with screening an offender for PREA risk upon arrival at the correctional department/agency, including interviews and scoring the PREA risk assessment instrument.

Table

PREA Arrival Processing Activity Diagram

Receive Offender

Interview Offender

Score PREA Screening Instrument

[Not Potential Victim or Predator]  [Potential Victim or Predator]

Routine Processing & Classification  Incorporate Risk into Classification

Continue Processing

Assessed
FLOW OF EVENTS

**Receive Offender** – Offenders received at a local or state corrections facility are subjected to numerous assessments. Pursuant to PREA Standards developed by the Department of Justice, facilities must assess new offenders for potential victims or predators within 72 hours of arrival.

**Incorporate Results of Risk Assessment** – When the initial PREA risk assessment is complete, the risk factors will be incorporated into the offender record and form one of the primary drivers of facility placement, housing decisions, and assignment to work and programs.

USE CASE SPECIFICATION: ANALYSIS OF RISK AND SUBSEQUENT PLACEMENT

After the initial PREA risk assessment is complete, staff will analyze the results. For those offenders identified as either potential victims or potential predators, these risk factors will be incorporated into their classification profile and subsequent case management decisions.

As the goal of PREA is to protect offenders from sexual abuse, all subsequent facility transfers, housing placement, and assignments to work and programs will focus on offender safety as a primary goal. The custody and/or classification staff responsible for placement decisions will utilize the risk of victimization or predation in the process.

As with Separations and Precautions, decisions for the initial and subsequent assignment to facilities, housing, work, and programs will mitigate offender contact with potential threat conditions. An integrated PREA Management Process will incorporate these risks into the classification profile and automatically prevent or warn staff when their recommended placement decisions conflict with identified risks. This may include attempts to assign potential victims where potential predators are assigned for housing and work or programs. This may also include the assignment of vulnerable offenders into housing, work, or programs where potential threats exist due to the history or other attributes of other offenders not necessarily assessed as potential sexual predators.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Custody and/or Classification Staff</td>
<td>Analyzes and Assigns</td>
<td>After analyzing the results of the PREA assessment, custody and/or classification staff will incorporate those results into subsequent facility placement, housing, and assignment to work and programs.</td>
</tr>
</tbody>
</table>
Analysis of PREA Assessment and Subsequent Assignments Activity Diagram

FLOW OF EVENTS

**Analysis** – Analyze results of PREA screening

**Determination** – Determine if there is a risk of either victimization or predation.

◊ Data provided: Results of assessment, screening, and interviews.

**Incorporate Results of Assessment into Classification System** – Ensure that the results of the screening are entered into the CMS and all factors are recorded to provide future guidance on classification and placement decisions related to PREA
Data provided: Potential victim or predator, factors leading to the determination, any subsequent separations, precautions, etc.

**Offenders not assessed as potential victims or predators** – For those not assessed as needing additional classification attention, they are to be processed according to their existing factors.

**Offenders assessed as Potential Victims or Predators** – For those offenders assessed as potential victims or predators, their PREA-related classification factors will drive specific assignment to facilities, housing, and work or programs.

**USE CASE SPECIFICATION: INVESTIGATE POTENTIAL PREA INCIDENT OR THREAT**

Pursuant to DOJ PREA Standards, incidents in a corrections facility regarding potential sexual abuse are to be investigated to determine if the incident is substantiated. The facility must separate the victim from the alleged abuser, collect evidence, determine potential disciplinary action or criminal charges against the abuser, report their findings, and provide the outcome to the victim.

Information regarding potential sexual abuse may come from several different sources including victim reporting, staff observation or investigation, hotline, etc. Upon receiving information about potential sexual abuse, the agency is charged with the responsibility of initiating an impartial investigation to determine the veracity of the report. This may include interviewing potential witnesses, separating the victim from the abuser (staff or offender), and subsequently filing disciplinary action or criminal charges against the abuser. At the conclusion of the investigation, the victim will be advised of the outcome of the investigation and any disciplinary or criminal charges filed against the abuser.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Investigative Staff</td>
<td>Investigates</td>
<td>Upon receiving notice of a potential PREA incident or threat, the investigator will investigate, track results, notify other appropriate departments, determine if the incident is substantiated, and provide the victim with action taken.</td>
</tr>
</tbody>
</table>
Investigation of Suspected PREA Incident or Threat Activity Diagram

FLOW OF EVENTS
Receive Notice of PREA Threat or Event – Notification of a suspected PREA event or threat may be received via an incident report, victim notice, hotline call, or staff/offender observation.

Notify Classification, Health, and Internal Affairs – Upon notice of a potential PREA incident/threat, the staff is to notify classification, health care, and internal affairs promptly so that any treatment or action can begin.

◊ Data provided: Information on potential victim and perpetrator and incident details (based upon who is receiving the information).

Initiate Investigation – Upon notice of a suspected PREA incident or threat, the agency will conduct an impartial investigation ensuring that the potential victim is separated from the alleged abuser.

◊ Data provided: details of incident/threat, victim(s), perpetrator, witnesses, etc.

Track Investigation and Record Results – From the initial notice of the incident/threat, all details of the investigation should be entered into the CMS. Details of the incident, reporting authority, action taken, subsequent reviews of the investigation by management staff, and other relevant details are to be recorded. The incident will be assessed as either a substantiated PREA incident or not.

◊ Data provided: All data related to the reported incident.

Notify Victim of Outcome – Upon conclusion of the investigation, appropriate authorities are to notify the victim of the results, any action to be taken on behalf of the victim and any action to be taken against the perpetrator.

◊ Data provided: Results of the investigation, notice of victim, and subsequent action.

Complete the DOJ Survey of Sexual Violence (SSV) Incident Report – Upon conclusion of the investigation and determination that it was a substantiated PREA incident, the SSV Incident Report will be completed by local staff with the details of the investigation, involved parties, and results.

◊ Data provided: Results of the investigation, details of the victim(s), abusers(s), etc.

USE CASE SPECIFICATION: POST-INCIDENT HEALTH CARE EXAMINATION

Upon notice of a potential PREA incident, authorities are to refer the potential victim to clinical staff for assessment, treatment, collection of evidence, etc. Assessment and treatment will include physical health and behavioral health. Subsequent follow-up and treatment may be necessary depending on the clinical findings and initial treatment.
Clinical Staff

Treats

Clinical staff will assess the physical and behavioral health of the potential victim and treat/follow up as necessary.

**Post Incident Health Care Examination Activity Diagram**

**FLOW OF EVENTS**

**Receive Referral of Potential Victim of PREA Incident** – Clinical staff receives a referral of a potential PREA incident victim.

**Conduct Assessment** – Clinical staff and Behavioral staff conduct interviews and examinations.

◇ Data provided: assessment results, injuries, etc.

**Treat Treatment** – Clinical and behavioral staff provide treatment and record results.

◇ Data provided: Results of findings, treatment, and required follow-up.
Record Results of Assessment and Treatment – Upon completion of assessment and treatment, all results are recorded in the CMS.

◊ Data provided: Results of assessment, treatment, and follow-up.

USE CASE SPECIFICATION: PREA DATA COLLECTION AND REPORTING

One of the most critical but challenging components of an integrated PREA system is the compilation of statistics and reporting of outcomes. Pursuant to DOJ PREA Standards, agencies (state and local) shall collect accurate, uniform data for every allegation of sexual abuse using a standardized instrument. This collection of data will come from incident-based documents, including reports, investigation files, and sexual abuse incident reviews.

The data collected shall answer all the questions from the most recent SSV Form for each reported incident. The data collected from the SSV-X incident reports shall be aggregated annually to produce Form SSV-X Annual Summary Report.

As part of an integrated PREA assessment, tracking, and reporting system, the data to complete the incident and summary report should come from the data collected in the system from the initial incident report. The SSV forms, both the incident report and the annual summary, should be e-forms designed within the system to produce both printed and electronic output. As data is collected from the incident report and other documents, it is utilized to complete other reports, including the SSV incident report and the SSV summary report.

As part of the overall reporting of the PREA program, the aggregated data from the SSV incident reports are collated to produce an electronic SSV summary report to be forwarded to the Bureau of Justice Statistics.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Local PREA Coordinator</td>
<td>Produces</td>
<td>An SSV incident report from data collected within the system.</td>
</tr>
<tr>
<td>Agency PREA Coordinator</td>
<td>Produces</td>
<td>The agency’s PREA Coordinator shall utilize the PREA System to collect aggregated PREA data from the agency’s SSV incident reports to generate an electronic PREA Summary Report for the BJS.</td>
</tr>
</tbody>
</table>
FLOW OF EVENTS

Receive Notice of PREA Threat or Event – Notification of a suspected PREA event or threat may be received via an incident report, victim notice, hotline call, or staff/offender observation.

Initiate Investigation – Upon notice of a suspected PREA incident or threat, the agency will conduct an impartial investigation ensuring that the potential victim is separated from the alleged abuser.
Data provided: details of incident/threat, victim(s), perpetrator, witnesses, etc.

**Determine if PREA Incident is Substantiated** – Upon investigation and interviews, determine if the incident is substantiated as a PREA incident.

Data provided: Results of interviews, review of the evidence, etc. indicate that the reported incident is substantiated.

**Complete the SSV Incident Report for Each Incident** – From the data collected in the system during the reporting and investigation phases, request that the system auto-generate the SSV Incident Report.

Data provided: All the data required on the DOJ PREA Incident Report.

**Complete and Submit the PREA Agency Summary Report** – Annually, request that the system aggregate and collate all the agency’s individual PREA SSV incident reports into an electronic PREA SSV Annual Summary. Submit the Annual Summary electronically to the Bureau of Justice Statistics.

Data provided: An annual aggregated report of all the PREA incidents for the agency.
10 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.
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 communicate the response with any remedies that may have resulted to the offender for review.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case Manager</td>
<td>Discusses</td>
<td></td>
</tr>
<tr>
<td>Offender</td>
<td>Initiates</td>
<td></td>
</tr>
</tbody>
</table>

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, 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 to make 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 are 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, while 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 acknowledging 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
File Grievance Activity Diagram

Informal Interview

Evaluate Time Requirement

[Within Acceptable Time Limit]

Evaluate Information

[No Attempt to Resolve]

Negotiate Resolution

[Attempt to Resolve]

[Issue Not Resolved]

Document Grievance

Log Activity

Respond to Grievance

Responded

Resolved

Denied
participants. Examples of this activity include recording attendance, movement (check-in and checkout), 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 dated and timestamped for reference and verification of the action will be completed within the required time frames.

**USE CASE SPECIFICATION: REVIEW REMEDY**

This is a process where the information that was communicated in the response to grievance issues is performed by the offender. The offender will decide to either accept the response with any remedy that was offered or take the grievance issue to the next level possible.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Offender</td>
<td>Reviews</td>
<td></td>
</tr>
</tbody>
</table>

**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 deciding.

*(If offender rejects) Consider Appeal* – Review appeal options that are available and decide to file an appeal or 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 the proper authority.
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 ensure the process is afforded to offenders a form is used at the lowest level. This affords the organization a means for evaluating the process and identifying needs or problems that may be of concern to facility management.
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, 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 to make a determination.

◇ Data provided: Denial Reason.

(If informal remedy possible) Recommend Remedy – After consideration of all the information about a grievance issue, a recommendation will be formulated to remedy the situation. The remedy may consist of granting the correction requested by the offender, a modification of the 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 dated and timestamped for reference and verification of the action completed within the required timeframes.

◇ 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 where the information that was communicated in the response to the grievance issues is reviewed by the offender. The offender will decide to either accept the response with any remedy that was offered or take the grievance issue to the next level possible.

Detail

A recommendation may consist of a correction, a denial with an explanation, or no response, indicating a denial with no explanation.
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 review process 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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Grievance Officer</td>
<td>Records</td>
<td></td>
</tr>
</tbody>
</table>

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, 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 the 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, three levels of review will receive the grievance document. After each level of review, the offender will 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.

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 dated and timestamped for reference and verification.
Formal Grievance Activity Diagram

1. Retrieve Grievance
2. Evaluate Time Requirement
   - [Within Acceptable Time Limit]
   - [Time Limit Passed]
3. Evaluate Grievance Criteria
   - [Not a Grievable Issue]
   - [Grievable Issue]
4. Coordinate Grievance Correspondence
5. Respond to Grievance
6. Log Response
7. Utilize Review Remedy
8. Responded
9. Denied
the action completed within the required timeframes.

◊ 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 decide to either accept the response with any remedy that was offered or take the grievance issue to the next level possible.

**USE CASE SPECIFICATION: MANAGEMENT LEVEL GRIEVANCE REVIEW**

Staff at the management level will review the initial grievance correspondence. The response will be produced by supervisory staff or delegated to the staff person directly involved in the offender’s issue.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Staff Person</td>
<td>Responds</td>
<td></td>
</tr>
</tbody>
</table>

**FLOW OF EVENTS**

**Receive Grievance Correspondence** – The reviewer will receive a copy of the grievance document with instructions to respond within a prescribed timeframe.

◊ 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.

**(If remedy possible) Recommend Remedy** – After consideration of all the information about 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 dated and timestamped for reference and verification of the action completed within the required timeframes.

Detail

The staff person responding to the grievance will reply to the originator of the correspondence.
USE CASE SPECIFICATION: ADMINISTRATIVE LEVEL GRIEVANCE REVIEW

Staff at the administrative level will review the secondary-level grievance correspondence. This review generally considers the appropriateness of actions and responses by the subordinate-level reviewer.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Administrator</td>
<td>Responds</td>
<td></td>
</tr>
</tbody>
</table>

Administrative Level Grievance Review Activity Diagram

1. **Receive Grievance Correspondence**
2. **Review Grievance Issue**
3. **[Affirm Subordinate Decision]**
4. **Respond to Grievance**
5. **[Overturn Subordinate Decision]**
6. **Recommend Remedy**
7. **Responded**
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 about a grievance issue, a recommendation will be formulated to remedy the situation. The remedy may consist of granting the correction requested by the offender, a modification of the 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 dated and timestamped for reference and verification of the action completed within the required timeframes.

USE CASE SPECIFICATION: GRIEVANCE COMMITTEE REVIEW

A staff person or committee with final review authority will review the final-level grievance correspondence. This review generally considers the appropriateness of actions and responses by the subordinate-level reviewer.

Associated Actor | Relationship | Description
--- | --- | ---
Review Committee | Determines | The Administrator may serve in the role of Review Committee.

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 to reach a decision. This includes making sure all procedures and policies have been adhered to within the prescribed time.

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

- **Data provided:** Denial Reasons, 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 dated and timestamped for reference and verification of the action completed within the required timeframes.

Utilize Grievance Correspondence Tracking – The grievance process involves correspondence between the offender and corrections department/agency staff 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.

USE CASE SPECIFICATION: GRIEVANCE CORRESPONDENCE TRACKING

The grievance process involves correspondence between the offender and corrections department/agency staff 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.

Grievance Correspondence Tracking Activity Diagram
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.

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.
11 PROGRAMS
Programs within a correctional setting promote the need for self-improvement and prosocialization 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 reintegration 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.

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 tracks program effectiveness.
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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case Manager</td>
<td>Generates</td>
<td>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. A classification officer in response to court-mandated programs in which the offender must participate may generate the referral.</td>
</tr>
</tbody>
</table>

| Program Provider          | Reviews      | The program provider may not be involved in the referral process. Their role as initiator or accepter may be nonexistent or may be limited. |

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:
The offender may be put on a waiting list even if the program is not offered at the current facility. The management plan may be updated to reflect the current unavailability of the 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.
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 an 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**

1. Retrieve Referral
2. Review Referral
3. [Offender Accepted]
4. Update Program Plan
5. Notify
6. Utilize Assign to Activity
7. Accepted
8. [Denied]
9. Record Program Denial
10. Notify Case Manager
11. Denied
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 from 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 decide on 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 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 board of employees representing service areas of the facility, including security and housing, may conduct a review of this process.

(If denied) Record Program Denial – After deciding 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.

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 board of employees representing service areas of the facility, including security and housing, may conduct a review of this process.
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 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 the future), or the 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 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 to the activity that might affect the facility schedule as well as that of assigned offenders. The specifics may include the time, location, and duration of the activity. The staff person would have the ability to review potential conflicts before 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 on the time to parole eligibility date (PED), the 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.

---

**USE CASE SPECIFICATION: ADMINISTER PROGRAM**
The Program Provider monitors the offender’s progress during 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 if the program has been completed.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Program Provider</td>
<td>Records</td>
<td></td>
</tr>
</tbody>
</table>

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.

(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. The work supervisor or program provider will verify and authenticate the identity of the offender and the deposit information it contains sign this form. It is then forwarded for required reviews and then to the Trust Accounting office for processing.

◇ Data provided: Payroll Form.

◇ Alternative flows:

Utilize Deposit-Withdrawal Approval – A trust accounting action is initiated by submitting a form, in electronic or another 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 a 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.

**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.

**FLOW OF EVENTS**

**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** – In instances where the offender’s 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 concerning access or movement.

Program Completed Activity Diagram

**USE CASE SPECIFICATION: UPDATE PROGRAM NEEDS**

When the offender is terminated from program participation, the Program Provider records the way the offender was terminated. Sample outcome measures include successful completion, incomplete or poor attendance, inter-facility transfer before completing the 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 program.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Program Provider</td>
<td>Records</td>
<td></td>
</tr>
<tr>
<td>Case Manager</td>
<td>Reviews</td>
<td></td>
</tr>
</tbody>
</table>
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 a 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 because 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.
12 SCHEDULING
This use case encompasses the functions that facilitate offender and activity scheduling within a correctional facility. The Activity Director will follow all applicable policies and regulations about 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.
USE CASE SPECIFICATION: SUBMIT ACTIVITY SPECIFICATIONS

A request for a new activity or to modify an existing activity is submitted. The request is formulated because 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, the location, and the approximate number of offenders expected to be assigned. A modification should be able to request a change to the schedule, location, or number of offenders. The activity request could also contain an expected termination date if the activity is limited in duration.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Facility Schedule</td>
<td>Receives</td>
<td>Coordinator</td>
</tr>
<tr>
<td>Program Provider</td>
<td>Initiates</td>
<td>The program provider may be a teacher, therapist, work supervisor, housing</td>
</tr>
<tr>
<td></td>
<td></td>
<td>staff, or any other staff responsible for assignment to a scheduled activity.</td>
</tr>
</tbody>
</table>

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 decide 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.

**(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 is necessary for 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 the program to satisfy these needs. The request to reinstate an activity will include details about the 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 is assumed the request will be documented and will require a review process that will result in either authorization or denial of the action or omission.

◊ Data provided: Request Document.
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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Facility Schedule Coordinator</td>
<td>Performs</td>
<td></td>
</tr>
<tr>
<td>Activity Coordinator</td>
<td>Coordinates</td>
<td></td>
</tr>
</tbody>
</table>

FLOW OF EVENTS

**Review Activity Request** – The process of reviewing specifications to add or modify an activity to create a new activity or make 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.

◎ Alternative 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.

**(If Pre-existing Activity) Update Activity Record** – When an 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 to decide 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 an assessment of facility needs and existing activities to determine scheduling needs.
Data provided: Activity Schedule, Staff Identifiers.

Alternative flows:

Detail
If the activity is a paid program, such as work, the pay rate for each position is 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.
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 board of employees representing service areas of the facility, including security and housing, may conduct a review of this process.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Program Provider</td>
<td>Performs</td>
<td>Facility job boards or other review committees may review recommended assignments to jobs and/or programs before 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.</td>
</tr>
<tr>
<td>Facility Job Board</td>
<td>Approves</td>
<td>Facility job boards or other review committees may review recommended assignments to jobs and/or programs before 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.</td>
</tr>
</tbody>
</table>

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 socioeconomic 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 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 the future), or the 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 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 to the activity that might affect the facility schedule as well as that of assigned offenders. The specifics may include the time, location, and duration of the activity. The staff person would have the ability to review potential conflicts before 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 on the time to parole eligibility date (PED), the 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.

**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 requires the ability to schedule the appointment directly into the schedule. The appointment would then be available to staff and will trigger appropriate notifications. By established orders of precedence, clinical appointments may override any conflicts.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Clinical Staff</td>
<td>Performs</td>
<td></td>
</tr>
</tbody>
</table>
FLOW OF EVENTS

Retrieve Activity Schedule – Access information sources to obtain activity summary or detailed 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.

Determine Availability – A determination must be made as to whether 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 the future), or the offender has risk conflicts with the location of the activity or

Data provided: Schedule Data.
other offenders currently assigned to the activity.

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

**If in-facility appointment** Notify – The notification activity produces and disseminates appropriate information for 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 the offender’s needs have been selected, the offender is scheduled to move through central transportation. This could involve the assignment of the 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 a facility with reduced security safeguards.

---

**USE CASE SPECIFICATION: MANAGE ACTIVITY SCHEDULE**

The process of managing activity schedules for day-to-day operations and exceptions such as facility disruption, holidays, etc.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Program Provider</td>
<td>Performs</td>
<td></td>
</tr>
</tbody>
</table>

**FLOW OF EVENTS**

**Retrieve Activity Schedule** – Access information sources to obtain activity summary or detailed 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.
Manage Activity Schedule Activity Diagram

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 regarding offender management concerns. Instances where issues are identified, schedule corrections are initiated, and notifications are 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 the time, location, and duration of the activity.

There would be the ability to review potential conflicts before requesting the change, to assist in specific option choices.

Data provided: Activity Schedule.

Alternative 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 authorization or denial of the action or omission.

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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Facility Schedule Coordinator</td>
<td>Performs</td>
<td></td>
</tr>
</tbody>
</table>

FLOW OF EVENTS

Retrieve Activity Schedule – Access information sources to obtain activity summary or detailed 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 regarding offender management concerns. In instances where issues are identified, schedule corrections are initiated, and notifications are 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 to address identified needs and issues.

◊ Data provided: Activity Schedule.
Notify – The notification activity produces and disseminates appropriate information for making staff aware of an event and/or initiating action. The staff needing to know must have been identified for each event.

**USE CASE SPECIFICATION: TERMINATE FROM ACTIVITY**

In instances where the offender’s 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 regarding access or movement.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Program Provider</td>
<td>Performs</td>
<td></td>
</tr>
</tbody>
</table>
FLOW OF EVENTS

**Retrieve Termination Order** – Before 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 to decide approval or denial based upon policy or rule defined by the correctional department/agency.

- Data provided: Denial Reason.

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

**Record** – The act of documenting any form of action, decision, or information that is to be placed among official records.
USE CASE SPECIFICATION: END ACTIVITY

Activities that are created with an open-ended 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 warrants discontinuing the activity, the activity will be terminated.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Facility Schedule</td>
<td>Performs</td>
<td>Coordinator</td>
</tr>
</tbody>
</table>

End Activity Diagram

Retrieve Request to End Activity

Review Program Participation

[All Offenders Not Terminated ] → Utilize Terminate from Activity

[All Offenders Terminated ]

De-Activate Activity

Inactive
FLOW OF EVENTS

Retrieve Request to End Activity – A request will have been submitted to end the 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 deactivated and will no longer show on the facility schedule. The activity will no longer be available for offender assignment.

(If not all offenders terminated) Utilize Terminate from Activity – In instances where the offender’s 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 regarding access or movement.
13 SECURITY THREAT GROUPS
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.
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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>STG Officer</td>
<td>Reviews</td>
<td>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. 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. 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.</td>
</tr>
<tr>
<td>Intake Officer</td>
<td>Performs</td>
<td>Screening for affiliation may be performed by one or more individuals removed from the intake process.</td>
</tr>
</tbody>
</table>
Offender Intake – Point of offender reception into the system or facility.

- Data provided: Admission Summary.

Evaluate STG Criteria – Review information to determine if criteria exist 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. 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 nonexistent. 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.

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. 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 nonexistent. 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.
VALIDATE STG ACTIVITY DIAGRAM

- Retrieve STG Information
- Retrieve STG Record (New)
- Evaluate Information
- [STG Criteria Identified]
- Score STG Criteria
- Evaluate STG Criteria
- [STG Affiliation Not Confirmed]
- [STG Affiliation Confirmed]
- Validate STG
- Create STG Record
- Verify STG Record
- [Removal Conditions Not Satisfied]
- [Removal Conditions Satisfied]
- Remove STG Record
- STG Validated
- Removed
- No Action

**ASSOCIATED ACTOR:**

<table>
<thead>
<tr>
<th>COMMON BUSINESS FUNCTIONS</th>
<th>CHAPTER 13 – SECURITY THREAT GROUPS</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Associated Actor</strong></td>
<td><strong>Relationship</strong></td>
</tr>
<tr>
<td>STG Officer</td>
<td>Performs</td>
</tr>
</tbody>
</table>
FLOW OF EVENTS

Retrieve STG Information – Information regarding security threat group affiliation will be obtained from available sources 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.

Evaluate Information – Evaluate information obtained from one or more sources for the purposed of deciding.

◊ 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 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 exist 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 requirements have been satisfied.

◊ Alternative flows:

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
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.

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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Staff Person</td>
<td>Monitors</td>
<td>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.</td>
</tr>
<tr>
<td>STG Officer</td>
<td>Monitors</td>
<td></td>
</tr>
</tbody>
</table>
Monitor STG Activity Diagram

1. STG Status Review
2. Evaluate Information
   - [STG Criteria Not Found] → No Action
   - [STG Criteria Identified]
3. Check STG Validation
   - [STG Record Found]
   - [No STG Record Found] → Utilize Validate STG
4. Investigation
5. File Report
6. Submitted
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 purposed 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.

(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. 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 nonexistent. 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.

14 **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.
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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accounting Officer</td>
<td>Performs</td>
<td>Freeze Account Activity Diagram</td>
</tr>
</tbody>
</table>

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.
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.

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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cashier</td>
<td>Receives</td>
<td>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.</td>
</tr>
<tr>
<td>Accounting Office</td>
<td>Performs</td>
<td>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.</td>
</tr>
</tbody>
</table>

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.

Open Trust Account Activity Diagram

Receive Monies

Check Trust Account

[Account Not Found] Create Offender Trust Account

[Account Found] Activate Offender Trust Account

Active Trust Account

◇ 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 to accept deposit and withdrawal transactions.

◊ Data provided: Account Information.

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.

Associated Actor

Accounting Officer

• Processes

The Accounting Office may perform the authorization and verification functions in lieu of other staff.

◊ Alternative flows:

Detail

This process may be automated, thus requiring little to no interaction between the user and the system.

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.

Account Transaction Processing Activity Diagram
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.

◇ Alternative flows:

<table>
<thead>
<tr>
<th>Detail</th>
</tr>
</thead>
<tbody>
<tr>
<td>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.</td>
</tr>
</tbody>
</table>

**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 ensure 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.
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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Housing Officer</td>
<td>Reviews</td>
<td>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.</td>
</tr>
<tr>
<td>Program Provider</td>
<td>Submits</td>
<td>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.</td>
</tr>
<tr>
<td>Commissary Officer</td>
<td>Submits</td>
<td>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 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 requirements of the agency.</td>
</tr>
</tbody>
</table>
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 to decide of approval or denial based upon policy or rule defined by the correctional department/agency.
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.

**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.

**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.

**(If active reparation debt) Adjust Deposit Amount** – The deposit amount will be adjusted to reflect collections of financial obligations.

◊ Data provided: Deposit Amount.
**Collect Financial Obligations Activity Diagram**

**Process Deposit**

**Access Reparations Record**

[Record Not Found]

[Active Reparations Debt]

**Adjust Deposit Amount**

**Post Transaction**

Transaction Posted

No Action

**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.
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 these 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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accounting Officer</td>
<td>Performs</td>
<td></td>
</tr>
</tbody>
</table>

FLOW OF EVENTS

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

◊ 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.
Account Reconciliation Activity Diagram

1. Retrieve Account Statement
2. Reconcile Account
   - [Sum of Deposits/Withdrawals do not Equal Balance]
   - [Sum of Deposits/Withdrawals Equal Account balance]
3. Perform Account Correction
4. Clear Transactions
5. Reconciled Account
USE CASE SPECIFICATION: ACCOUNT CLOSEOUT

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

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accounting Officer</td>
<td>Performs</td>
<td>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.</td>
</tr>
</tbody>
</table>

FLOW OF EVENTS

**Offender Release Processing** – At a prescribed time 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.
15 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
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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Intake Officer</td>
<td>Performs</td>
<td>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.</td>
</tr>
</tbody>
</table>

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.

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.

**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.

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 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.
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 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 to begin tracking their property items.
FLOW OF EVENTS

Receive Property – Property items will be received from several sources. This will initiate a process for tracking the property 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 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.
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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Housing Officer</td>
<td>Performs</td>
<td>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.</td>
</tr>
<tr>
<td>Commissary Officer</td>
<td>Provides</td>
<td></td>
</tr>
<tr>
<td>Property Officer</td>
<td>Performs</td>
<td>The property record may be maintained by another staff authority.</td>
</tr>
</tbody>
</table>

**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.

**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 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 to begin tracking their property items.

**Property Management Activity Diagram**

- **Tag Property** – Property items are marked in such a manner to identify the owner.

  ◇ Alternative flows:

  - **Detail**

  - **Check Property Requirements** – Determine if a property item has special requirements defined by policy.

  Specified property items may not be tagged.
(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.

---

**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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mailroom Officer</td>
<td>Ships</td>
<td>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. The Mailroom Officer handles mailing and shipping of property items out of the facility once the Property Officer has obtained authorization and shipping information.</td>
</tr>
</tbody>
</table>

---

**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 ensure sufficient monies are available to support an elective withdrawal.

Property Disposition Activity Diagram

- **Repossess Property**
- **Review Property Disposition Order**
- **Check Available Balance**
  - [No Evidentiary Value]
  - [Physical Evidence]
- **Determine Storage Qualification**
  - [Insufficient Available Balance]
  - [Available Balance]
  - [Eligible for Storage]
  - [Ineligible for Storage]
- **Utilize Account Transaction Processing**
- **Classify Evidence**
  - [Criminal Evidence]
  - [Administrative Evidence]
- **Property Storage**
  - [Stored]
  - [Destroyed]
  - [Evidence]
  - [Shipped]

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.

(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 transitionary periods in a secured location. Transitionary 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.
The offender visitation program is intended to promote family and supportive relationships important to offender stability during and after an incarceration period. This privilege requires that the corrections agency develop a process with a high degree of consistency and uniformity while maintaining the security of the facility.

The program considers the routine processing of civilians through various secure points within the facility. This mandates the need to identify each individual visitor appropriately and accurately 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.
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.

Associated Actor | Relationship | Description
--- | --- | ---
Visitor | Submits | 

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.
Alternative flows:

**Detail**

Criminal background checks may not be performed by some agencies.

**Detail**

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.

**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.

Alternative flows:

**Detail**

Some jurisdictions limit the changes to the visitor list to specific time blocks or other business rule.

**Associated Actor**

- **Offender**

**Relationship**

- **Submits**

**Description**

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.

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.

◊ Alternative 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.

**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.
FLOW OF EVENTS

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

- Data provided: Visitor Data, Visit Type.
- Alternative flows:

<table>
<thead>
<tr>
<th>Detail</th>
</tr>
</thead>
<tbody>
<tr>
<td>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.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Detail</th>
</tr>
</thead>
<tbody>
<tr>
<td>No waiting lists may exist, in which case, the application is simply denied.</td>
</tr>
</tbody>
</table>

**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 ensure the information is current and remove visitors that no longer meet the criteria to be retained on the list.

**USE CASE SPECIFICATION: REMOVE VISITOR**

A visitor may 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 remove visitation approval.

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.
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.
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.

◊ Alternative flows:

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Visiting Area Staff</td>
<td>Identifies</td>
<td>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.</td>
</tr>
</tbody>
</table>

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.

(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.

◊ Alternative flows:
Verify Visitor Activity Diagram

Retrieve Visitation List

Match Visitor Identifiers

[Visitor Not on List]

[Visitor on List]

Check Visitation Schedule

[Not Scheduled Visit]

[Allowed Schedule Visit]

Retrieve Sanctions

[Loss of Visitation Privileges]

[No Visitation Sanctions]

Utilize Record Visit

Utilize Special Visit

Visiting

Denied
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 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.

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.

Professional visits may be denied; however, most of these types of visit are of an official nature and are approved.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Shift Commander</td>
<td>Approves</td>
<td></td>
</tr>
</tbody>
</table>
FLOW OF EVENTS

Retrieve Visit Type – Obtain the type of visit requested.

- Data provided: Visit Type.
- Alternative flows:

  Detail
  Professional visits may be denied, however most of these types of visit are of an official nature and are approved.

  Detail
  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
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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Visiting Area Staff</td>
<td>Records</td>
<td>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.</td>
</tr>
</tbody>
</table>

Record Visit Activity Diagram

1. Retrieve Visitation Schedule
2. Verify Visit
3. [Visit Completed]
4. Enter Visit
   - Record Updated
   - No Action
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.
17 Release & 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.
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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Victim Services Coordinator</td>
<td>Inputs</td>
<td>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.</td>
</tr>
<tr>
<td>Community Review Board</td>
<td>Reviews</td>
<td>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.</td>
</tr>
<tr>
<td>Case Manager</td>
<td>Submits</td>
<td>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 halfway 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.</td>
</tr>
<tr>
<td>Community Corrections Director</td>
<td>Approves</td>
<td>The authority for community placement may belong to another actor such as a parole board.</td>
</tr>
</tbody>
</table>
Work Release Review Activity Diagram

1. Retrieve Request
   - [Request Not Appropriate]
   - [Request Appropriate]

2. Submit Referral
   - [Requires Reclassification]
   - [Does Not Require Reclassification]
     - [Not Approved]
     - [Approved]

3. Utilize Victim Services

4. Superintendent Review
   - [Not Approved]
   - [Approved]

5. Community Review
   - [Approved]
   - [Not Approved]

6. Utilize Central Authorization

7. Record Placement Denial
   - Notify

8. Accepted
   - Denied
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 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)

◊ 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: 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.

◊ Data provided: Authorized Moves.

(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.

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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Victim Services Coordinator</td>
<td>Notifies</td>
<td></td>
</tr>
</tbody>
</table>
Community Center Placement Activity Diagram

1. Retrieve Authorized Move List
2. Determine Transportation Needs
   - [Registered Victim]
   - [No Registered Victim]
3. Obtain Release Transportation
   - [Release Transportation Needed]
   - [Release Transportation Not Needed]
4. Issue Release Authorization
5. Utilize Facility Transfer
6. Placed
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.

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 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.
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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Community Corrections Officer</td>
<td>Investigates</td>
<td>An institutional parole officer may be assigned to the facility, who assists in the development of the reentry plan.</td>
</tr>
<tr>
<td>Case Manager</td>
<td>Submits</td>
<td>The reentry plan may be handled by the parole board actor for specific circumstances such as indigence, whereby a special plan is devised.</td>
</tr>
</tbody>
</table>

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 because 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.
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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Victim Services Coordinator</td>
<td>Performs</td>
<td></td>
</tr>
</tbody>
</table>

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.
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.
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 | Notifies | 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 | Grants |

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.
Parole Board Review Activity Diagram

Retrieve Reentry Plan

Schedule Hearing

[Registered Victim]

[No Registered Victim]

Utilize Victim Services

Conduct Hearing

Record

[Not Granted]

[Granted]

Evaluate Reentry Plan

[Plan Requires Update]

[Plan Adequate]

[Granted]

Set Next Hearing Date

Notify

Utilize Reentry Plan

Utilize Parole Release

Granted

Denied
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 action, decision, or information that is to be placed among official records.

- **Data provided:** Denial Reason, Hearing Date/Time, Release Order.

**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 plan will require updates before each new hearing or after hearing decisions where further issues to be addressed. Example: securing housing prior to setting a release date.

**Utilize Parole Release** – The release of an offender to parole. 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 adhere to conditions ordered by the parole board. The parole period will have an end date pending no adverse behavior. The offender is no longer subject to earned credit time.

**If not granted** **Set Next Hearing Date** – A date is set for a hearing in the future. This may be because of an incident or a periodic hearing to review the status of the offender.

**Notify** – The notification activity 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.
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 take place prior to the release of an offender include a search for active wants, warrants, and detainers. This activity initiates a 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.

◇ Alternative 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.

- **Detail**
  
  With certain sentences (e.g., sex offenses), a committee may be mandated to review the case prior to discharge where statutes permit other options.

- **Detail**
  
  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.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Victim Services Coordinator</td>
<td>Notify</td>
<td>The process of notifying victims may be performed by the adjudicating agency.</td>
</tr>
<tr>
<td>Records Officer</td>
<td>Perform</td>
<td>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</td>
</tr>
</tbody>
</table>
parole authority may perform release processes for offenders under parole supervision.

Schedule Release Activity Diagram

1. Review Release List
2. Obtain Release Information
3. Check Detainers
4. [Active Want or Warrant]
   - Place on Transportation Schedule
5. Utilize Victim Services
6. Retrieve STG Information
   - [STG Affiliation Not Confirmed]
   - [STG Affiliation Confirmed]
7. Notify
8. Determine Transportation Needs
   - [Release Transportation Needed]
   - [Release Transportation Not Needed]
9. Obtain Release Transportation
10. Issue Release authorization
11. Released From Incarceration
12. Released to Law Enforcement Agency
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.

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 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 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.
- Alternative flows:

  **Detail**

  Transportation may be provided to the nearest public transportation terminal where the offender is released to obtain transportation to their destination.

(If Active Want 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 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.

**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.

**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.
Parole Release Activity Diagram

1. Notify Housing of Release
2. Utilize Inventory Property
3. Depart Offender from Current Assignment
4. Access Trust Account
   - [Payout Available]
   - [Deficit Account balance]
5. Utilize Account Transaction Processing
6. Notify Parole Supervision
   - [Registered Victim]
   - [No Registered Victim]
7. Utilize Victim Services
8. Released
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 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 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.

◊ Alternative 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.

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.

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 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 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.

Discharge Activity Diagram
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.
18  **COMMUNITY SUPERVISION**
Community Supervision takes many forms, the three most common business functions are a sentence to probation supervision, a release to parole supervision, or a pre-trial release assignment. Probation sentences are imposed by the courts, parole status is granted by an administrative board or by statute, and pre-trial release status is assigned by the courts in conjunction with probation departments.

Community Supervision requirements include the development of a case plan by an agent responsible for assisting the supervised person in the community. Optimally, the supervision plan is developed with input from the person to be supervised. It will include protocols outlining rewards designed to incentivize success and sanctions designed to redirect behavior contrary to success. A roadmap for identifying housing, treatment, and employment needs and how services will be established in the community to address those needs will also be included.

There are two primary outcomes of the supervision process:

- Individuals successfully complete supervision and are discharged.
- Individuals fail to comply with the supervision objectives outlined in the case plan resulting in a violation hearing that may lead to incarceration.

Community Supervision Use Case Diagram
USE CASE SPECIFICATION: INTAKE, DEVELOP CASE RECORD, AND CASELOAD ASSIGNMENT

Upon determination of an individual's release, sentence, or assignment to community supervision, the intake process begins and includes the development of a case record, assignment to a supervision unit, and a community supervision agent.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Judge, parole board, community supervision supervisor and supervising agent, person being supervised, behavioral health staff</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Caseload Record Development and Caseload Assignment Activity Diagram
FLOW OF EVENTS

**Intake Process** – In most jurisdictions, an Intake Process will be conducted that includes an orientation of the individual to the supervision process and individual assessments and tests of the individual being placed under community supervision.

**Case Record Created** – For offenders being sentenced, released, or assigned to community supervision, community supervision staff create a Case Record for the person being supervised. The Case Record normally includes data like case name, unique case number, criminal history record information (CHR), demographics, family information, etc.

**Case Assignment Made** – After creating a case record, the person is assigned to a supervising agent. Assignments may be determined based on the geographic area and neighborhood where the supervised person will live. In some jurisdictions, assignments are made to specialized caseloads based upon risk/needs assessment scores (high-medium-low), and/or special assignment protocols (sex offender, juvenile offender, mental health status, high profile cases). Assignments may also be made based on workload formulas or case weighting protocols.

◊ Data provided: Case name, unique case identifier, CHR data, risk/needs assessment scores, unique agent identifier, supervision bureau identifier, mugshots, and photos, academic and psychological testing scores, and biometric indicators collected at intake.

USE CASE SPECIFICATION: PRE-SENTENCE INVESTIGATION (PSI) REPORT / PRE-PAROLE SUMMARY REPORT

Once a case assignment is made, an Agent will be tasked with developing a Pre-Sentence Investigation Report (Probation and Pre-Trial Release), or a Pre-Parole Summary Report (Parole Cases). The PSI is one of the most important documents developed in the Justice community. It includes a complete background of the individual being investigated and includes criminal history, social history, family background, behavioral health history, medical history, and an assessment of the instant offense. Many jurisdictions will also require the Agent to recommend a sentencing recommendation to the Court.

The Pre-Parole Summary is very similar to the PSI and identifies any updates on the individual that have happened since the PSI was completed and includes information on institutional behavior and treatment progress that has been attained before the individual’s appearance for Parole release consideration. The Pre-Parole Summary may also include a recommendation to the Parole Board regarding release based on Release Guidelines that have been established for each jurisdiction.
Pre-Sentence Investigation and Pre-Parole Summary Report Activity Diagram

Offender Pending Sentencing or Parole

[Pending Sentencing] --> [Pending Parole Review]

PSI Required or Requested

Collect Background Data, History, Family, Work, etc.

Complete PSI

Parole Board Requests Pre-Parole Report

Collect Data Since Incarceration

Complete Pre-Parole Report

Submit Reports to Court or Parole Board

Complete

Associated Actor

Judges, parole board, community supervision supervisor and supervising agent, person being supervised, attorneys, jail staff, prison staff

Relationship

Description
FLOW OF EVENTS

Pre-Sentence Investigation Completed – For offenders being sentenced, released, or assigned to probation or pre-trial release, the courts may require the completion of the pre-sentence investigation report. The PSI is one of the most important and referenced reports in the justice system.

Pre-Parole Summary Completed – Before release consideration by a parole board, agents will complete a pre-parole summary report. The report mirrors the PSI and includes updates on the individual since the PSI was completed.

◊ Data provided: Case name, unique case identifier, CHR data, risk/needs assessment scores, unique agent identifier, supervision bureau identifier, mugshots, and photos, risk/needs assessment scores, academic and psychological testing scores, and biometric indicators collected at intake.

USE CASE SPECIFICATION: DEVELOP SUPERVISION PLAN

The development of a supervision plan is a structured approach to identifying risk and need factors, supervision strategies consistent with the community’s public safety needs, and treatment services that will help the individual successfully complete the period of supervision. Supervision plans address issues related to housing, employment, and treatment services that are designed with community protection in mind. Many agencies utilize an empirically based Risk/Needs Responsivity model and follow evidence-based supervision practices.

Optimally, inputs from the person being supervised and other important actors (family members, significant other, treatment providers, mentors, employers, PSI, and pre-parole summary recommendations) are included in the development of the supervision plan. The plan will identify goals and objectives and will provide a roadmap for how those are to be achieved. It may also include special conditions to be followed by the supervised person. The courts, parole board, or administrative authority impose special conditions. Supervision plans may be created in advance of release/placement decisions and updated thereafter, or they may be created after the release/placement transaction occurs. Supervision plans are dynamic and change during the period of supervision.
### Associated Actor

| Agent, person being supervised, family, significant others, treatment providers, mentors, employers, courts/parole board/administrative authority |

### Relationship

### Description

---

**Supervision Plan Activity Diagram**

1. **Offender Sentenced, Released, or Assigned to Comm Supervision**
   - [Assigned to Caseload]
   - [Not Assigned to Caseload]

2. **Collect Data**
3. **Develop Plan**
4. **Update Supervision Plan**
5. **Assign to Caseload**

---

**Complete**
FLOW OF EVENTS

Supervision Plan Created – For offenders being sentenced, released, or assigned to community supervision, administrative entities create a supervision plan for the person being supervised, including goals and objectives and special conditions imposed by the courts or parole board.

Data provided: Risk/needs scores, psychological profiles, CHR data, interview data, treatment plans, special conditions, PSI/PPS.

USE CASE SPECIFICATION: CASE COMPLIANCE MONITORING: FIELD WORK, OFFICE REPORTS, AND SYSTEM ALERTS

Agents will often conduct field work wherein they make unannounced visits to the supervised person at her/his residence, place of employment, or assigned community program. Agents will frequently visit other individuals in the community who may have a relationship with the supervised person, including family members, mentors, neighborhood contacts, law enforcement agencies, and community leaders. An agent may also conduct surveillance in the community to gather additional observable information about a supervised person.

Agents will also conduct office reports wherein the supervised person appears regularly to speak to an agent. An agent often uses these events to review the supervision plan with the person and updates are made to the plan based on progress reported by the person being supervised. During office reports, agents will conduct most drug tests of the person being supervised.

In addition to field and office reports, agents may also process information received from electronic surveillance mechanisms and services, including electronic monitoring or GPS equipment, cell phone tracking applications, kiosks, or secure portals that allow individuals under supervision and other relevant actors to communicate information to an agent.

These events are recorded as contacts and will be classified according to an agency’s supervision standards. Each contact may include a narrative summary of the activities conducted by an agent and any interaction had with the supervised person or other individuals in the community with whom the agent interacted.

In some jurisdictions, community supervision agencies will receive alerts/reports about the supervised person that are generated by other agencies. These may include on-line “Hit Notices” associated with the individual’s arrest, drug test results provided by a laboratory or community program, and progress/attendance reports from treatment providers. Alerts often serve as triggering events requiring action by the supervising agent in accordance with time frames specified by agency policy.
Case Compliance Monitoring Field Visits and Office Reports Diagram

FLOW OF EVENTS
Field Visits, Office Reports, and Alerts –
The supervising agent conducts office reports, field visits, and surveillance to gather information about the supervised person from relevant actors in the community. These activities are recorded as case contacts and often include a narrative summary of what occurred. Alerts and progress reports may come in the form of on-line notifications or progress/attendance reports from community-based agencies. This information is used to inform an agent of the progress toward the supervision plan's goals and objectives.

Identify Incentives and Awards –
Information obtained may lead to the identification of incentives/rewards for the supervised person as they make progress toward the goals and objectives of the supervision plan, or the information may lead to the imposition of sanctions designed to redirect the person back to the goals and objectives of the supervision plan.

◊ Data provided: Case contact data (date and type of contact), contact summary data (a narrative outlining the contact), arrest notices, drug test results, progress reports from treatment providers, EM/GPS data (or other automated offender tracking information), body camera footage.

USE CASE SPECIFICATION: PROGRAM REFERRAL

The supervision plan will identify treatment needs and the services required by the individual in the community. An agent will also make assessments of the individual to determine any additional service needs that may arise. High-priority program referrals include housing if the person is not domiciled, employment services, and treatment services such as mental health, physical health, substance abuse, sex offender counseling, anger management, cognitive behavioral therapy, and nursing home care. In many jurisdictions, identification (driver’s license, Social Security cards) is needed for employment or before benefits can be applied for.

Referrals to community-based programs will be made based on the priority of needs identified and the availability of programs in the area where the individual will be supervised.
FLOW OF EVENTS

Assess Program Needs – The supervision plan will identify the treatment needs of the person under supervision. An agent will review the plan, observe the person being supervised and identify programs in the supervision area that provide the required services. Some programs are under contract to provide services to people under
supervision, but many referrals for services will be to non-contract programs or services provided by other governmental agencies.

**Program Referral** – A program referral will be initiated and recorded as a case contact. An agent will establish reporting requirements with the provider and the supervised person will provide disclosures to include an agent as a designated recipient of progress data. Care needs to be taken by the provider and an agent to ensure that the data received is securely sent and stored and compliant with all statutory and procedural requirements (HIPP, CJIS).

◊ Data provided: Case contact data (date and type of contact), contact summary data (a narrative outlining the referral), attendance records, drug test results, progress reports, diagnosis, and prognosis, Medicare/Medicaid eligibility data.

**USE CASE SPECIFICATION: ADMINISTER INCENTIVES, REWARDS, ADMINISTRATIVE SANCTIONS**

Supervision efforts include the informal and formal recognition of the accomplishments of the individuals under supervision and the use of incentives and rewards to encourage compliance with the supervision plan. Agencies may reference an award and sanctions grid developed to ascribe what, when, and how rewards and sanctions are to be administered as part of the agency’s approach to supervision. Research suggests that rewards should outnumber sanctions by at least a 4:1 ratio.

Incentives and rewards may include achievement certificates, commendations, verbal praise, increased privileges, and sentence reduction opportunities.

Supervising agents may also employ the use of administrative sanctions to help correct behavior that is inconsistent with the goals of the supervision plan. Sanctions can be verbal reprimands, tickets for negative behavior, loss of privileges, curfews, travel restrictions, use of EM/GPS, home detention, etc.

Some jurisdictions will follow a Swift, Certain, and Fair model that emphasizes the need for the immediate and proportionate application of rewards and sanctions.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agent, agency supervisors, person being supervised, family, treatment providers, employers, law enforcement agencies</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Administer Incentives and Sanctions Activity Diagram

Evaluate Compliance with Supervision Plan

Determine Compliant or Non-Compliant

[Non-Compliant]  [Compliant]

Determine Corrective Action

Provide Feedback, Incentives, etc.

[Administrative Sanction]  [Violation Report]

Apply Additional Conditions

Submit Recommendation to Court/Parole Board

Update Record

Notify

Resolved
FLOW OF EVENTS
Document Incentives, Rewards, and Sanctions and update the Supervision Plan.

Assess Behavior – The supervising agent continuously assesses the progress of the person under supervision. This includes meeting the goals of the program plan, remaining crime-free, meeting court obligations, etc. If the person under supervision is doing well, they may receive awards, recognition, or other acknowledgment of their accomplishments. On the other hand, if they are missing goals, or not accomplishing requirements of their program plan, an agent may resort to sanctions, increased supervision, or other appropriate options to encourage them to increase compliance.

◊ Data provided: Case contact data (date and type of contact), contact summary data (a narrative outlining the contact), arrest notices, drug test results, progress reports from treatment providers, EM/GPS data (or other automated offender tracking information), body camera footage, award, and sanction grid data.

USE CASE SPECIFICATION: VIOLATION REPORTS/PROCEEDINGS

Most jurisdictions will employ a formal process for determining if a violation of community supervision has occurred. The workflow and timeframes associated with a violation process are prescribed by statutes, regulations, and policies that reflect US Supreme Court precedents for the community supervision industry that protect the liberty interests of the person being supervised. Some jurisdictions may follow additional protocols developed by the state/county of authority to further codify the liberty interests of the individual charged with the violation.

A violation charge(s) may be triggered by an outside event, such as the arrest of the supervised person by a law enforcement agency (new crime violation), or it may be based upon the observations of an agent after consultation with a supervisor about the person’s behavior and failed compliance with the conditions outlined in the supervision plan (Technical Rule Violation).

In either case, an agent will draft a report outlining the violation charges and present that report to the court, parole board, or administrative authority, asking them to initiate a violation of supervision proceeding. At this stage, the supervision authority will direct the violation process to commence (which may include the issuance of a warrant for the person’s detention), or they will reject an agent’s request and direct the person back to the supervision process.

In cases where the supervision authority provides authorization to proceed, certain due process procedures must be followed. The alleged violator may be entitled to legal representation and must be allowed to review the written charges made against them by the supervision authority. Violation proceedings may be adversarial and include a discovery phase as well as the opportunity for the accused to cross-examine witnesses who support the charges brought
against them, or they may be more informal, as in the case of work release proceedings, but they will still follow a prescribed workflow and schedule in making a final determination of violation.

In instances where the person being charged is detained pending the outcome of the violation proceedings, stringent time frames must be adhered to with respect to hearing schedules and finding of fact determinations.

The outcome of the violation proceedings may result in charges being dismissed and the individual being restored to supervision, they may result in a finding of violation, but the person is restored to supervision with new conditions and a new supervision plan, or the proceedings may result in a finding of a violation in an important respect wherein the supervision period will be revoked, and the person incarcerated for a time prescribed by statute or regulation.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agent, agency supervisors, person being supervised, family, treatment providers, employers, law enforcement agencies, administrative law judges, parole board members, administrative hearing officers, private lawyer/legal aid/public defender</td>
<td>Relationship</td>
<td>Description</td>
</tr>
</tbody>
</table>

**FLOW OF EVENTS**

**Initiate Violation Report** – An agent initiates a violation of release report after consultation with a supervisor and based upon a triggering event (new arrest) or based upon observable behavior regarding the actions of the person being supervised (technical violation charges like non-reporting, left residence & whereabouts are unknown, failed drug test, failure to comply with treatment plan).

**Submit Report** – An agent submits a report to the supervision authority, who either directs an agent to continue the supervision process, gather additional information supporting a violation, or authorizes an agent to initiate violation proceedings.

**Request Warrant** – An agent may request a warrant for the temporary detention of the person being supervised pending the outcome of the violation proceedings, or in the case of absconders, a request may be made for a warrant and the posting of a wanted notice for the apprehension of the individual being sought.
Report Violation Activity Diagram

1. Initiate Incident Report
2. Evaluate Incident Information
3. [Requires Supervisor Review]
4. [No Supervisor Review Required]
5. [Approved]
6. [Not Approved]
7. Detain Offender
8. [Offender Detained]
9. [Offender Absconded]
10. Receive Offender
11. Request Warrant
12. Submit Report
13. Submitted
An agent (or a law enforcement partner) locates the person, takes them into custody, and initiates formal violation proceedings.

**Preliminary Hearing** – A preliminary or show cause hearing is scheduled, and if there is a finding of cause, a final violation hearing is scheduled. If there is no finding of cause, the charges are dismissed, and the person is placed back on supervision.

**Final Hearing** – A final violation hearing is conducted, and the person is either restored to supervision with new conditions, or the supervision is revoked, and the person may be incarcerated for a time specified in statute or regulation.

- Data provided: Violation of release report, supervision plan, arrest notice(s), technical rule violation charges, case contact data (date and type of contact), contact summary data (a narrative outlining the contact), drug test results, progress reports from treatment providers, EM/GPS data (or other automated offender tracking information), body camera footage, forensic computer data gathered by the agent and authorized by the supervision plan.

---

**USE CASE SPECIFICATION: DISCHARGE PROCEEDINGS – CERTIFICATE OF RELIEF/GOOD CONDUCT**

Community supervision agencies provide formal processes for the administrative discharge of persons being supervised. Some discharges are discretionary; some are non-discretionary. In the case of early discharge, there may be a formal proceeding to determine the person’s eligibility and suitability for an early discharge from supervision.

Non-discretionary discharge reasons may include completion of the period of supervision (graduation or maximum expiration), court-ordered discharge (conviction overturned, enabling legislation enacted), or discharge by death.

Discretionary discharge reasons may include compassionate discharge (age or health-related), earned early discharge (goals and objectives of the supervision plan met, defined period of unrevoked supervision is met), or transfer to another jurisdiction.

People who attain discharge from supervision may also be eligible for a certificate of relief from disabilities, or a certificate of good conduct. These certificates can help restore rights that may have been lost due to a conviction. Consideration for either is initiated by the person seeking the certificate and may be based on a specified period that must elapse after successful discharge from supervision. The final determination of eligibility is made by an administrative body in the state with authority over the proceedings.
Associated Actor
Agent, agency supervisors, person being supervised, family, treatment providers, employers, law enforcement agencies, judges, parole board members, administrative authority for certificates of relief/good conduct

Discharge Proceedings Activity Diagram

- Eligible for Discharge
- Prepare Discharge Report
- Conduct Formal Hearing
- [Discretionary Discharge]
- [Non-Discretionary Discharge]
- Validate Discharge
- Notify Offender
- [Not Approved]
- [Approved]
- Process Discharge
- Submitted
FLOW OF EVENTS

**Draft Discharge Report** – An agent drafts a discharge report for the supervision authority identifying the type of discharge being sought and provides a summary record of the person under supervision in support of the discharge recommendation.

**Conduct Formal Hearing** – In the case of early discharge, a formal hearing may be held to determine the person’s eligibility and suitability for discharge.

**Request Certificate** – In the case of a certificate for relief from disabilities or a certificate of good conduct, either an agent or the supervised person may initiate the request and an administrative authority will decide the granting of the certificate(s) after a formal investigative process.

Discharge certificates, and certificates of relief and good conduct become a part of the final record of the person under supervision.

◊ Data provided: Discharge report, supervision plan, application for certificate of relief/good conduct.
19 Mobility & Remote Access
One of the most valuable aspects of a Corrections Management System is the volume of available data that can be easily accessed. Through multiple functions of a CMS, staff track, assess, visualize, and manage all the information needed to manage offenders successfully.

Historically access to CMS information was only available via desktop or laptop. This limited access to offender information when these devices were not available. But as technology advanced, so has the ability to access information from almost any location. The days are gone when staff required a desk, workstation, or vehicle to interact with their CMS.

As smart phones, tablets, Wi-Fi, and cellular networks have advanced, it has opened the ability for staff and offenders to interact with a CMS. By fully integrating mobile devices within a CMS, this new technology has enabled staff and offenders, in prisons and jails as well as in community supervision, to retrieve information, interact with the system, provide real-time updates, communicate, request assistance, report status, and easily manage data.
Mobility and Remote Access Use Case Diagram

**USE CASE SPECIFICATION: INTAKE PROCESSING MOBILITY ACTIVITY DIAGRAM**

Intake processing offers several opportunities to use mobile technology as the process is often time-sensitive, potentially includes numerous offenders, and involves multiple processes.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Corrections Officer</td>
<td>Conducts</td>
<td>Intake processing</td>
</tr>
</tbody>
</table>
FLOW OF EVENTS

Offender Begins Intake Processing – Intake processing, whether the prison or local detention center involves numerous tasks to identify, assess, classify, etc. As an offender begins the process at a facility, they interact with various staff to complete the process.

Data provided:

Collect Demographic Information – Utilizing a mobile app, staff collect personal data including identifying information, residential history, family details, etc.

Data provided: Name, alias, height, weight, residences, etc.

Staff Use Mobile Device – As staff interacts with offenders during intake processing, staff utilize the appropriate mobile device and app to complete the processing step.

Take Facial, Scar, Mark, and Tattoo Photos – Utilizing a mobile device, staff captures photos of the front and side of the
offender’s face and details of scars, marks, and tattoos.

Diamond Data provided: Descriptive identifiers and photos of scars, marks, and tattoos.

**Administer Assessment Instruments** – There may be several assessment instruments administered during the intake process. The information for these assessments may be collected by staff from a mobile app or the offender may utilize a mobile device to directly answer questions for the assessment.

Diamond Data provided: Assessment results, score values, etc.

**USE CASE SPECIFICATION: AD SEG MANAGEMENT MOBILITY ACTIVITY DIAGRAM**

Ad Seg and similar housing units provide a good opportunity to leverage mobility. Whether on-line or off-line, using tablets to assist staff in managing Ad Seg units saves time, improves accuracy, and increases safety.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Corrections Officer</td>
<td>Conducts</td>
<td>Track Ad Seg rounds, interactions with offenders, logging of incidents, movement of staff/offenders in/out unit, etc.</td>
</tr>
<tr>
<td>Clinical Staff</td>
<td>Conducts</td>
<td>Track delivery of health care, medications, delivery of services, etc.</td>
</tr>
</tbody>
</table>
FLOW OF EVENTS

Inmate is Housed in an Ad Seg or Similar Unit – Ad Seg and similar units differ from normal housing units as the inmates are normally restricted to their cell, movement is controlled, delivery of services often occurs at the cell front, and the requirement for monitoring the housed population is more focused. The increased requirements for staff to manage this type of unit benefits from using a mobile device.

◊ Data provided: Location of inmate, status, precautions, etc.

Track Interaction with Inmate – Staff record interactions, responses, and assessments of inmates in the unit. Additionally, if using RFID or QR/bar codes, staff can validate cell checks during rounds.

◊ Data provided: Log interaction with inmates, delivery of services, routine rounds, precautions, etc.

Log Activities, Unit Visits, Movement, etc. – Corrections staff use mobile technology to track the movement of staff and inmates
common business functions

CHAPTER 19 – MOBILITY & REMOTE ACCESS

in and out of the unit, incidents, responding to requests, etc.

◊ Data provided: Movement, events, requests, etc.

Track Health Care, Interactions, and Medications – A clinician records routine rounds and interactions with the inmate, logs activities, tracks medication administration, etc.

◊ Data provided: Completed health interaction, visits, medication administration, etc.

USE CASE SPECIFICATION: CASELOAD MANAGEMENT MOBILITY ACTIVITY DIAGRAM

Of all the opportunities to utilize mobility to increase safety and efficiency, and reduce workload, the tasks performed by parole and probation officers provide numerous options. Although P&P officers perform many tasks in their office, they also perform significant duties away from the office while tracking and managing offenders in the community. Additionally, many jurisdictions are moving away from standard offices and working remotely in the community.

Many P&P officers have historically utilized laptop computers to help manage their caseloads. Although a big step from being limited to their desktop in the office, the form factor of laptops limits the portability and use of the device. As solution providers developed mobile solutions for community corrections, they have also realized that the community corrections environment provides an excellent opportunity to utilize smartphones and tablets.

Smartphones have almost all the functionality of a tablet in a smaller, easier-to-use device with voice dictation and a camera for updating photos of the offender, residence, etc. Add the ability to interact with the CMS in real-time or upload their caseload before heading out to the field, smartphones offer a great adjunct to a P&P officer’s set of tools.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Parole &amp; Probation Officer</td>
<td>Conducts</td>
<td>Conducts caseload management tasks such as reviewing offender records, tracking caseload status, conditions of supervision, dictating case notes, etc.</td>
</tr>
</tbody>
</table>
OFFENDER IS UNDER COMMUNITY SUPERVISION

An offender is under community supervision and their records reside on the CMS.

COMMUNITY CORRECTIONS STAFF USE MOBILE DEVICE TO VIEW CASELOAD

Parole and Probation officers retrieve their caseloads on the mobile device via cellular or Wi-Fi. The caseload contains details of the offender records including demographic information, addresses/phone numbers, case information, case notes, conditions of supervision, etc.

◊ Data provided: Detailed offender case records.

USE GPS NAVIGATION TO ROUTE VISITS

With detailed information residing on the mobile device, community corrections staff can build a list of offenders for home or work visits. Utilizing the inherent GPS capabilities
of the device, the app can then build the most efficient route for the visits that day.

◊ Data provided: Efficient route to home/work for offender visits.

**Record Home/Work Visits** – As parole and probation officers conduct home/work visits, they record pertinent information related to the visit (update demographics, addresses, phone numbers, vehicles, relatives, employment, etc.).

◊ Data provided: Offender Data.

**Dictate Case Notes** – One of the most beneficial aspects of using mobile devices for community supervision is the ability to dictate or record case notes. If the device is connected to cellular or Wi-Fi, the case notes feed into the CMS in real-time. If no connection is available at their location, then the case notes and other information will synchronize when they get within range of a signal.

◊ Data provided: Case notes, Chronos, etc.

**Take Photos of Offender, Home, etc.** – During home/work visits or while in the office, P&P officers can utilize the device camera function to update offender photos, photograph recent tattoos, take photos of the home and surroundings, etc. These photos will automatically upload to the appropriate location in the CMS.

◊ Data provided: Images of offender, home/work, vehicles, etc.

**USE CASE SPECIFICATION: INMATE TABLET MOBILITY ACTIVITY DIAGRAM**

In more and more correctional systems, it is becoming the norm to issue secure wireless tablets to inmates. Whether available for purchase or provided by the agency, these tablets operate on a separate secured wireless network and provide access to music, video, programming, appointment requests, offenders checking their record, ordering from the canteen, etc.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Inmate</td>
<td>Conducts</td>
<td>Utilizes mobile tablet to access entertainment such as music, video, books, video visitation, etc.</td>
</tr>
</tbody>
</table>

**FLOW OF EVENTS**

**Inmate Has Access to Tablet** – Inmate tablets are normally provided by a vendor
under contract to the agency via rent or purchase. However, in some cases, the agency provides the tablets at no charge.

Agency-Issued Tablet Mobility Activity Diagram

The device is normally issued to individual inmates but can also be shared.

◊ Data provided:

Inmate Connects to Wi-Fi with Secure Sign-On – A component of a project to provide tablets to inmates is the installation of a secure Wi-Fi network covering key locations in the facility. Inmates access this network via a secure log-on. Access is restricted to this secure network without external web access. This network provides access to vendor apps, video visitation, select functions from the agency CMS, etc.

◊ Data provided: Sign-on credentials.
**Request Music, Videos, Books** – As an entertainment option for the inmate, they can request music, games, videos, books, etc. that are provided by a vendor or the agency.

- Data provided: Request for entertainment, etc.

**Request Records, Status, Good Time Awards, etc.** – The inmate may also view information from their records that they are allowed to access. This information may include the status of requests, notices of classification changes, awards or reductions of good time, approval of visitors, and other authorized information.

- Data provided: Request authorized inmate records information, etc.

**Seek Appointment, File Grievance, Order from the Canteen, etc.** – In addition to the ability to view certain information from their records, inmates can also interact with secure CMS inmate functions as authorized. These functions may include requesting appointments with staff (classification, health, custody, etc.), filing grievances, requesting action on processes such as Interstate Compact, ordering from the canteen, interacting with their inmate funds account, etc.

- Data provided: Entertainment, Programs, Visitation Access, Appointments, Canteen Orders, Grievance Response, Release Date, etc.

## USE CASE SPECIFICATION: OFFENDER REMOTE ACCESS MOBILITY ACTIVITY DIAGRAM

Managing offenders under community supervision provides unique challenges as the offenders reside and work in the community, often in remote locations. Recent studies show that around 80% of supervised offenders carry smartphones. Using these devices to link the agency, P&P officer, and offender provides a unique opportunity to improve supervision outcomes.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Parolee or Probationer</td>
<td>Conducts</td>
<td>Submit remote check-in. View resources, obligations, and conditions. Attend video interviews, treatment sessions, etc.</td>
</tr>
</tbody>
</table>
FLOW OF EVENTS

**Offender Possesses a Smartphone** – One of the advantages of developing an agency-issued smartphone app is that most offenders under community supervision possess a smartphone. Thus, the agency does not have to procure devices for those offenders.

◊ Data provided: Mobile device phone number and identifying data.

Offender Remote Access Mobility Activity Diagram

Offender possesses a smartphone

→ Offender opens agency-issued smartphone app

→ Perform self-reporting

→ View resources, texts, obligations & conditions

→ Participate in interview and treatment via video

→ CMS updated

◊ Data provided: Sign-in credentials, biometric characteristics.

**Perform Self-Reporting** – With a secure sign-on capability supported by biometric validation, an offender can now perform a remote check-in in lieu of reporting to an office. Although smartphone self-reporting may not be appropriate for all offenders, it
may be utilized for those offenders classified as less than high-risk. Self-reporting may include responding to a questionnaire on employment & residence, status, updating contact information, etc.

◊ Data provided: Offender Status, employment, changes in residence/work, etc.

View Resources, Texts, Obligations, and Conditions – As the app is integrated with the agency CMS, an offender can easily view financial obligations, video courses, status updates, conditions of supervision, etc. Additionally, with the added benefit of issuing text messages from the CMS, an offender can receive direct communications from the agency or supervising officer.

◊ Data provided: Obligations, status, conditions, etc.

Participate in Video Interviews and Treatment – Leveraging the video call capability of the smartphone allows an offender to participate in video counseling or interviews.

◊ Data provided:

---

**USE CASE SPECIFICATION: PAROLE HEARING MOBILITY ACTIVITY DIAGRAM**

The business process for parole decisions often includes two business processes. The first process can include parole examiners or parole commissioners interviewing eligible inmates and submitting a recommendation. The second process often includes a parole board member or commissioner reviewing a recommendation for parole to the parole board, ultimately voting to parole, and setting the conditions upon release. Leveraging tablets allow commissioners and/or parole staff to complete their tasks in remote locations, within facilities, etc.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Parole Commissioner</td>
<td>Conducts</td>
<td>Review and vote</td>
</tr>
<tr>
<td>Parole Examiner</td>
<td>Conducts</td>
<td>Interview and recommendation</td>
</tr>
</tbody>
</table>

**FLOW OF EVENTS**

**Inmate Eligible for Parole Review** – In most jurisdictions where parole is an option, the determination of eligibility must meet certain qualifying conditions related to criminal history, time served, etc. Once those conditions are met, the paroling
authority is notified by the CMS of the inmate’s eligibility. Additionally, for those inmates who have already had their initial review, their names will be automatically generated for subsequent reviews.

◊ Data provided: Inmates eligible for parole review and qualifying criteria.

**Parole Examiner Interviews Inmate** – For those agencies that utilize an initial interview of the inmate, the interviews are often completed by a parole field examiner or similar position or by a parole board member. The interviews routinely occur at the facility where the inmate is housed, and the interviewer will utilize a mobile device during the interview.

◊ Data provided: Records Results and Recommendation in App – The interview, results for any objective scoring instrument, and subsequent parole recommendation are recorded in the app.

◊ Data provided: Results and recommendation.
Parole Commissioner Reviews Docket in App – Upon completion of any preliminary interview or screening process, the inmate’s name appears in the CMS as eligible for the subsequent review by the parole board or similar authority. The names of inmates awaiting review are routinely scheduled on a docket for final determination. A parole board member can then review the initial interview, assessment, and recommendation on the app.

◊ Data provided: Date for review and hearing schedule.

Parole Commissioner Records Vote in App – Once scheduled for final review by the parole board, the commissioner then uses the app to vote and provide final conditions of parole.

◊ Data provided: Votes cast for parole and subsequent conditions.
20 Geospatial Visualization
The term geospatial is defined as any data related to a geographic location. In turn, geospatial technology collects the data, while Geographic Information System (GIS) software combines maps (communities, buildings, etc.) and data to create visual layers to understand complex information better.

GIS technology has been utilized since the mid-1960s. As GIS software matured and networks and hardware improved, law enforcement adopted the technology for crime mapping by adding a third dimension to “what” occurred and “when” it occurred. By plotting crime data on a community map, law enforcement could see “where” crimes occurred and how they relate to the surrounding geographical area, e.g., community demographics, transit, businesses, schools, streets, police beats, etc.

GIS technology is now being adopted in the corrections sector for community and correctional facilities. By leveraging the vast amount of information within a CMS, a new option is now available to analyze and understand information.

For community corrections, visualizing data on a community map provides insight into the offender’s residential and employment locations, proximity to restricted areas, etc. Additionally, mapping supervised offender data visualizes caseload distribution, offender risk level, demographics, routing for residential/employment visits, calculating distances to restricted areas, etc. Caseload maps may also identify available community resources relative to an offender’s geographic location and make referrals based on proximity and mobility considerations.

However, geospatial mapping is not limited to community corrections. With GIS functionality available to diagram buildings, sidewalks, security attributes, etc., maps can be drawn of correctional facilities with the ability to view an entire facility or “drill down” into specific buildings and housing areas for more detail. For correctional facilities, the mapping of inmate data has opened an entirely new analysis methodology. Examples of data that can be analyzed include the location of incident/disciplinary events, housing relationships (clusters) of STG members and high-risk inmates, determining the placement of PREA-classified inmates, etc. Although the creation of facility maps require the development of the maps and their attributes, correctional leadership is finding that it is worth the additional investment.

Another potential application of GIS is resource allocation for both community supervision and correctional facilities. For example, in community corrections, agencies often distribute their officers geographically corresponding to different supervision catchment areas. Analyzing the distribution of offenders alongside the distribution of positions allows leadership to make more objective decisions about how those positions are allocated. Similarly, on the incarceration side, an administrator might consider the distribution of incidents within a facility to make decisions about post assignments, ensuring that more seasoned officers are assigned to areas where incidents are more prevalent.
USE CASE SPECIFICATION: CREATE A FACILITY AND COMMUNITY MAP

Unlike standard modules in a CMS, integrating GIS Mapping requires additional design normally not found in CMS development. For correctional facilities, the design integrates GIS Mapping software and drawings of facilities (buildings, housing units, fences, and other visually identifying characteristics). A community base map with local features (roads, buildings, parcel boundaries, schools, etc.) will be created for community corrections. Once these design elements are established for correctional facilities and community corrections, data from the CMS will be integrated with the maps to create layers to identify buildings, housing units, offender metadata, caseloads, etc.

This phase of GIS development involves two entities. For correctional facilities, the solution provider or internal IT staff works with agency staff to retrieve CAD diagrams or drawings and other information identifying housing attributes for each unit, building, room designation, etc. For community corrections, the two entities collect community base map data, caseload distribution, etc. From this information, the two entities create a visual representation of the...
facility or community, its components, and the corresponding identification factors to be linked from the CMS.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>GIS Designer</td>
<td>Performs</td>
<td>Create maps</td>
</tr>
<tr>
<td>Agency IT and Operational Staff</td>
<td>Performs</td>
<td>Provide visual characteristics</td>
</tr>
</tbody>
</table>

FLOW OF EVENTS

Integrate GIS Software with the CMS – The first step to establishing a GIS mapping module is integrating the GIS software with the CMS. As distinct specialty software, GIS software provides the platform to create maps, insert data layers, plot exact locations with x/y coordinates, and integrate data.

Create Facility and/or Community Map – The next step is to create either a facility map or a community map as the processes call for different approaches. A facility map requires drawings of the features of the facility being represented. A community map does not require feature drawings but needs a “base map” selected from the GIS Software.

◊ Data provided: Community base map with streets, buildings, features, etc.

Facility Map – Draw Features – A facility map requires at least two layers of images, an image of the entire facility in context with its surroundings and detailed images of buildings to allow “drilling down” to details, e.g., individual wings, floors, cells, rooms, hallways, etc. The GIS software will portray this two-dimensional visualization as if looking from above. For both the whole facility view and the individual building detail view, all the relevant features of the facility, including building footprints, sidewalks, fences, and other permanent structures like towers, storage buildings, etc., can be selected for viewing.

◊ Data provided: Drawing of facilities and features.

Facility Map – Create Map Layers – One of the unique benefits of GIS mapping is the ability to create layers. Map layers consist of individual layers of images depicting certain data. These layers can be seen one at a time on top of the base map or in combination with other layers. The layers are transparent except for the displayed data and allow visual data placement on top of the base map, other facility features, or other data.

◊ Data provided: Data layers.

Facility Map – Map CMS Data to Buildings, etc. – To complete the GIS visualization process, data from the CMS must be
Create Facility and Community Map Activity Diagram

Integrate GIS Software with the CMS

Create Facility Map or Community Map

[Facility Map] [Community Map]

Draw Facility, Features, Buildings, Units, Fences, etc.
Map CMS Data to Buildings, Units, etc.
Create Map Layers to Drill Down to Details

Map CMS Data to Community Map
Create Map Layers to Drill Down to Details

Map Creation Complete

integrated with the GIS software to create the layers via spatial data types (e.g., x/y coordinates, polygons, lines, etc.).

Data provided: CMS data including inmate data, housing, demographics, incidents, etc.

Community Map – Select GIS Base Map –
An initial step in developing community maps is to choose the base map. The base map is one of the pre-set visualizations of a community, region, state, etc., that displays streets, geographic features, property parcels, etc. The "style" of the base map
defines the look and feel of the map, and its layers of data.

◊ Data provided: Map features, colors, details, etc.

Community Map – Map CMS Data to Community Map – To complete the visualization process, CMS data is integrated with the GIS software to create the data layers on the community map.

◊ Data provided: CMS data, including offender data, residence, demographics, caseload details, etc.

USE CASE SPECIFICATION: MARK NEW INCIDENT LOCATION ON MAP

When an incident occurs and staff begins to prepare an incident report, mapping adds a new step to the process. Upon opening the incident report option in a CMS, the staff is presented with a facility or community map. Staff then identify on the map where the incident occurred. A map with expanded views of buildings will be provided within a facility. If in the community, a map of the community would appear but not with details of buildings. The location would be marked on the map. Once marked, staff will proceed in completing the report. As the location of the incident was identified first, all subsequent information and involved individuals in the report would be linked to that location.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Corrections Staff</td>
<td>Performs</td>
<td>Mark the location of the incident on the facility map</td>
</tr>
</tbody>
</table>

FLOW OF EVENTS

Event Occurs Requiring Incident Report – Which events require an incident report are normally defined by agency policy. Some events are of such a minor nature that no report is required. Some events are of such a serious or critical nature that other types of reports are required.

◊ Data provided: Which type of incidents requires a formal report.

Open Incident Reporting Function in CMS – For incidents requiring an incident report, staff open the Incident Reporting function in their CMS.

◊ Data provided:

Facility or Community Map Appears – If the incident requires mapping, a facility or community map will normally be one of the
first options to appear to the user. Based on the user’s security profile, the map will match their assigned facility or community corrections area of responsibility.

◊ Data provided: User access profile.

**Mark Location Where Incident Occurred** — The user will click on the location closest to where the incident occurred. If in a correctional facility, the user will be presented with a facility map from an elevated aerial view without all the details of each building. If the incident occurred in an exterior location, on the “yard”, or a similar location, the user marks the location on the screen. If the incident occurred in a housing unit, intake processing, kitchen, or similar location, the user would then select that building for the expanded view. This expanded view, or next layer, will now show the details of the building including walls, corridors, cells, doors, etc. The user will then click on the expanded view where the incident occurred.

If the incident occurs in the community, the user will be presented with a community map. Although many geographic details of the community will be present on the
community map such as streets, buildings, water bodies, etc., expanded details of the buildings will not be present. The user then marks the location or building where the incident occurred.

◊ Data provided: Visual location of the incident.

Complete Remainder of Incident Report – After identifying the incident location, the user will then move to the next steps in the CMS and complete the incident report details.

◊ Data provided: Remaining details of the incident.

Incident Not Required to be Mapped – Not all incidents are mapped. Incidents that require reporting but do not rise to a level of seriousness for visualization will not have a facility or community map presented.

◊ Data provided: Type of incident.

Facility Map Does Not Appear – For incidents not requiring mapping, the user will be presented with an incident reporting function without a map.

◊ Data provided:

Complete Remainder of Incident Report – The user will then complete the incident report details in the CMS.

◊ Data provided: The user completes the details of the incident report.

USE CASE SPECIFICATION: ANALYZE HOUSING, INCIDENTS, DISCIPLINARY, ETC. ON FACILITY MAP

As the number of incidents mapped to their locations increases in the CMS, a body of data builds reflecting trends, clusters, relationships, etc. This provides corrections staff with the opportunity to analyze this visualization to derive insight not previously available.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Corrections Staff</td>
<td>Performs</td>
<td>Analysis of the distribution of community-supervised offenders and the distribution of incidents in a corrections facility</td>
</tr>
</tbody>
</table>

FLOW OF EVENTS

Select Specific Facility from Agency Map – The first map level normally viewed for an agency with multiple facilities would be that of the agency’s physical jurisdiction, such as state borders for a prison system. If the agency is comprised of one facility, then that facility would be the first to be viewed. If the user wishes to view data for a
particular facility, the user selects that facility from the map and “drills down” to the next level.

Data provided: Selected Facility.

Select Data Layer to Visualize – Once a facility is selected, the user is presented with a menu of geospatial data to view. Some of these options may include locations of selected incident reports, disciplinary infractions such as violent assaults, and demographics such as race, age, ethnicity, etc. The type of data that can be viewed on a geospatial map is only limited by what is available from the CMS and its applicability to geospatial analysis.
Select Date Range for Visualization – To manage data related to a time or date, it is often presented with the option of selecting a date range. By selecting a date range, the user can focus on certain date periods and limit the amount of data to improve visualization.

DEBUG: Data provided: Range of dates for selected data.

Full Facility Map: Analyze Counts, Clusters, Relationships, etc. – On a full facility map, the user analyzes the data layer selected for the facility. Analysis may include viewing total counts of events or selected inmates, identifying clusters of certain events or selected inmates, analyzing the geospatial relationship between certain events or selected inmates, etc.

DEBUG: Data provided: Specific event or inmate data related to X-Y coordinates on a facility map.

Select Specific Building from Facility Map – A user can further analyze specific building data by selecting that building on the full facility map and “drilling down” to the next layer, the expanded view of the building. In this manner, the user is presented with details such as rooms, walls, cells, officers, etc.

DEBUG: Data provided: Building details.

USE CASE SPECIFICATION: REVIEW FACILITY FOR OPTIMUM HOUSING PLACEMENT

With multiple individual characteristics available for comparison, geospatial maps provide an excellent method for selecting the best location for assignments of inmates to housing. Inmates are often eligible for multiple housing units in a facility, although additional conditions may require a more nuanced assessment. If an inmate has special conditions to be included when assessing housing, those conditions can be compared with the inmate population of a facility or housing unit for optimum placement. Examples may include the assignment of inmates classified as potential PREA victims, members of an STG, inmates with a sensitive history, work assignments, etc.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Corrections Staff</td>
<td>Performs</td>
<td>Inmate placement</td>
</tr>
</tbody>
</table>
FLOW OF EVENTS

**Inmate Requires Assignment to Housing** – An inmate is to be initially assigned or reassigned to housing.

- Data provided: Eligibility for housing placement.

**Special Conditions for Assignment:**

**Select Special Characteristics to View and Compare** – If an inmate has special conditions that require additional assessment before housing placement, those conditions can be visually compared to other inmates in housing units at the facility. The user will select the data to be viewed, e.g., potential PREA Predators, which will then show all inmates classified as such in the facility and which beds they are assigned to.

- Data provided: Selected inmate characteristics for viewing.

**Analyze Options for Optimum Placement** – Once the user views the facility inmates on the map with the requested characteristics, they can then identify the most appropriate housing to mitigate risk, considering the housing unit, floor, wing, proximity, etc.
Data provided: Relationship of an inmate to be assigned to other inmates with the selected characteristics.

**Assign to Bed** – Once the appropriate housing location is determined, the user assigns the inmate to the bed.

Data provided: Assigned housing.

**No Special Conditions for Assignment: Analyze Typical Bed Profile for Assignment**

With no special conditions required, the user will follow the normal CMS bed assignment screening process and assign an eligible bed.

Data provided: Housing assignment.

---

**USE CASE SPECIFICATION: ANALYZE STG INCIDENTS, CLUSTERS, RELATIONSHIPS, TRENDS, ETC.**

One of the more challenging security issues for correctional facilities is how to appropriately balance the housing and assignment of inmates, especially those who may pose a particular security threat. Although the classification process routinely encompasses inmate risk, it does not always cover all challenges. Utilizing geospatial mapping, STG investigators and similar staff can leverage the added dimension of location to improve risk assessment and mitigation.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>STG Investigator, etc.</td>
<td>Performs</td>
<td>Analyze STG placement, etc.</td>
</tr>
</tbody>
</table>

**FLOW OF EVENTS**

**STG Geospatial Risk Assessment** – An STG investigator or other correctional staff proceed to analyze STG housing and incidents.

Data provided:

**Select Facility** – Staff open the agency geospatial map of correctional facilities. Based upon which facility is to be analyzed, the user selects the appropriate facility.

Data provided: Facility selected for analysis.

**Select Characteristics** – The user then chooses which STG or other STG-related characteristics they wish to review.

Data provided: STG-specific characteristics.

**View Housing Locations for a Single STG** – The user selects a specific STG and views the housing assignments for all inmates of the same STG. When the housing locations appear, the user can analyze how the STG members are distributed. Issues to look for include a cluster of STG members housed...
Analyze STG Incidents, Clusters, Relationships, etc., Activity Diagram

- STG Geospatial Risk Assessment
  - Select Facility
  - Select Characteristics
    - [Assess Housing]
    - [Assess Incidents]
    - [Assess Relationships]
     - View Housing Locations for a Single STG
     - View Housing for Related STG Members
     - View STG Related Incident and Disciplinary Reports
   - Analyze Clusters, Patterns, etc.
   - Analyze Groupings, Relationships, etc.
   - Analyze Clusters, Trends, etc.

Analysis Complete

near each other, high concentrations of STG members, STG members housed near reoccurring disruptive or criminal activity, etc.

Data provided: Assigned STG housing.

View Housing for Related STG – The user selects multiple STGs to view their housing assignments. Issues to look for include the housing relationship between STGs, clusters of STG members compared to other STGs, appropriate distribution of the STG population, etc.

Data provided: Multiple STG housing assignments.

View STG-Related Incidents and Disciplinary Reports – The user selects incident or disciplinary reports and their location for viewing. By focusing on the reports with STG-related perpetrators or accomplices, the user can analyze the relationship between disruptive or criminal behavior to specific or multiple STGs.

Data provided: Incident and disciplinary reports related to STG activity.
USE CASE SPECIFICATION: VIEW CASELOAD DETAILS, RESIDENCE, EMPLOYMENT

Utilizing Geospatial mapping for analysis is not just restricted to correctional facilities. By creating community-based maps of the community-supervised offender population, mapping provides a new dimension to managing caseloads.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Parole and Probation Officer</td>
<td>Performs</td>
<td>Analyze caseload, residential locations, caseload distribution, proximity to restricted locations, etc.</td>
</tr>
</tbody>
</table>

FLOW OF EVENTS

**Review Community Corrections Caseload** – Geospatial data for caseloads on a community map can be viewed in a variety of ways. The user can choose a specific parole and/or probation officer’s caseload, multiple caseloads at the same time, select offenders on a caseload, etc.

◊ Data provided: Caseload data.

**Select Community Corrections Area** – Upon viewing the community corrections geospatial map, the user can select a specific geographic area to view. Options include the entire jurisdiction such as a state or county or a smaller subset of that map such as a county or supervision catchment area within a state.

◊ Data provided: Defined geospatial area for viewing caseloads.

**Select Characteristics** – After a user selects the geographic area to be viewed, they select the characteristics. Options include a full caseload, a subset of a caseload, multiple caseloads, etc.

◊ Data provided: Offender’s residence or work location.

**Analyze Proximity to Crimes, Restricted Areas, Other Offenders, etc.** By viewing additional layers of data, the user can compare offenders’ residence and work
with recent criminal activity, proximity to restricted areas such as schools daycare centers, geographic proximity to other supervised offenders, etc.

Data provided: Proximity relationship to other data.
USE CASE SPECIFICATION: ANALYZE GEOSPATIAL DATA FOR RESOURCE ALLOCATION

Utilizing geospatial mapping to analyze the allocation of resources allows administrators and supervisors the capability to base their decisions on data. From incident locations to community-supervised offenders’ residence, leveraging geospatial-related data extends the usefulness of scarce resources.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Administrator</td>
<td>Performs</td>
<td>Analyze caseload, residential locations, caseload distribution, proximity to restricted locations, etc.</td>
</tr>
</tbody>
</table>

FLOW OF EVENTS
Select Facility or Community Map – Depending on the operations to be analyzed; the user selects a correctional facility and/or community corrections community map.

◇ Data provided: Visual data on events, offenders, assignments, caseloads, housing, etc.

View Facility Map – Upon viewing a facility map the user selects which data to analyze.

◇ Data provided: Defined geospatial area for viewing facility analytics.

Analyze Incidents, Assignments, Housing, etc. – After a user selects the corrections facility map, they view incident reports, disciplinary reports, and housing assignment profiles (STG offenders, violent offenders, escape risks, potential PREA victims/predators, etc.).

◇ Data provided: Incident & disciplinary reports, housing placement of inmates, PREA assignments, STG assignments, etc.

Identify Clusters, Trends, Groupings, etc. Once the facility data is viewable, the user analyzes the data for clusters of violent incidents, housing placement of similar inmate profiles, trends, disciplinary event groupings, high-risk inmates, etc.

◇ Data provided: Visual presentation of offender data related to housing, incidents, etc.

View Community Map – Upon viewing a community map, the user selects which visual data to analyze.

◇ Data provided: Defined geospatial area for viewing community corrections area map.

Analyze Caseloads, Offender Profiles, etc. – After the user selects the community corrections area map, they analyze selected caseloads, offender profiles, risk levels, proximity to restricted areas, etc.

Data provided: Geospatial visualization on locations of offenders (housing and work),

Analyze Geospatial Data for Resource Allocation Activity Diagram
select visuals of high-risk offenders, views of agents/P&P officer caseloads, etc.

**Identify Distribution, Clusters, Imbalance, etc.** Once the community corrections area geospatial data is selected, the user identifies challenging physical caseload distribution, related clusters of high-risk offenders (home or work addresses), selected offender profiles relating to different caseloads, etc.

◇ Data provided: Visualization of offender’s residence and/or work location, the geographical distribution of caseloads, disproportionate distribution of select offender profiles, caseload clusters of high-risk offenders, etc.
Reallocate, Assign, or Distribute Resources
– By analyzing the available layers of visualized data for facilities and community corrections, the user can determine if there are areas that may require additional or reallocated resources to bolster safety, improve staff effectiveness, reduce workload, etc.

Data provided: Indicators for consideration of reallocating resources.
21 Cyber Hygiene
Cyber hygiene refers to the steps to improve the online security of a system and maintain system health. Implementing cyber hygiene is adopting a security-focused mindset and developing safeguards, processes, and procedures to protect systems from cybersecurity threats.

The purpose of this chapter is to provide guidance when evaluating and maintaining the security of an application, system, and data. Correctional systems often contain information subject to various regulations and requirements regarding the protection of data and the integrity of the systems where it resides. Understanding the fundamentals outlined in this chapter guides how organizations evaluate if the proper safeguards and controls exist along with their effectiveness for the proper protection of information. This chapter outlines key considerations but by no means covers the breadth or depth when building and maintaining cyber hygiene. The concepts and fundamentals outlined can be used as a starting point, reference, and guidepost.

Additionally, the success of responding to a cybersecurity incident through detecting, analyzing, containing, eradicating risk, and successful recovery is predicated upon a solid cybersecurity program and incident response plan. This is discussed at the end of this chapter in Appendix B: Incident Management & Response.

Industry-recognized and common Information Security frameworks mentioned in this chapter are outlined below, and more detail can be found in Appendix C: References & Resources. The importance of alignment to the cybersecurity framework provides a common language and taxonomy that ensures not just practitioners but also auditors and industry partners are interpreting the same language. In addition, the outcome is a strong cybersecurity program that if followed with continuous diligence and attention, can help protect the viability of the agency and its data.
USE CASE SPECIFICATION: SELECT A CYBERSECURITY FRAMEWORK

Select a Cybersecurity Framework to align against.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cybersecurity Professional</td>
<td>Performs and Implements</td>
<td>Some agencies or companies may not have a dedicated Cybersecurity professional on staff. In this case, outsourced resources or Internal IT and or Risk professionals should be utilized.</td>
</tr>
<tr>
<td>Management</td>
<td>Reviews and Determines Risk Acceptance</td>
<td>Management reviews identified gaps and determines the appropriate level of risk acceptance for a given exposure.</td>
</tr>
</tbody>
</table>

FLOW OF EVENTS

**Align to a Framework** – Determine Cyber framework that best aligns with the business.

◇ Data Provided: Selected Cybersecurity Framework

**Detail**

Each information security framework has a similar control family and suggested action related to data protection. If there are any government or regulatory requirements pertaining to your business/organization, choosing a complementary framework is recommended. Information Security standards and requirements for data and systems should be followed to achieve and maintain required compliance. Each of the 12 sections in this chapter can be referenced back to a cybersecurity framework control family and/or data security standard.

**Conduct a Gap Analysis to Identify Control Weaknesses** – Determine information security gaps within each control area. For example, if a control is met in some places but possibly not everywhere across an organization or system, document the gap in the control.

◇ Data Provided: Control Weakness Gap Analysis

**Create a Roadmap of Prioritized Risks That Require Remediation** – Review the comprehensive list of identified gaps in the framework control areas. For example, if there is a missing control gap vs. one that is partially met, a risk decision can be made on which gap to prioritize first.
Establish a Risk Acceptance Process for Any Risks That Are Not Remediated – Some control gaps might be at an acceptable risk level for the organization. When that occurs, it is best to document via a risk acceptance process, including the right level of management authority to approve and sign off on the acceptance of risk.

Review Gap Analysis At least Bi-Anually for Progress Towards Risk Reduction – Ongoing review of control gaps and progress should be reviewed at a minimum bi-annually. Any accepted risks should also be reviewed at least annually to ensure the risk should continue to be accepted or due to current threat models, be prioritized for remediation.

Data Provided: Prioritized Remediation List

Data Provided: Documented process for the Acceptance of Risk
USE CASE SPECIFICATION: INVENTORY MANAGEMENT

Implementing a reliable inventory of all IT systems, applications, and supporting hardware is the first step in defining the scope of a cybersecurity program.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>IT System Operator</td>
<td>Documents Systems</td>
<td>IT System Administrators document the operating system, middleware, and hardware for each system.</td>
</tr>
<tr>
<td>Application Owner</td>
<td>Documents Applications</td>
<td>Application Owners document the applications they support and develop.</td>
</tr>
<tr>
<td>Cybersecurity Professional</td>
<td>Utilizes inventory</td>
<td>Cybersecurity professionals utilize the inventory to apply the proper security protections and controls.</td>
</tr>
<tr>
<td>Internal Auditor</td>
<td>Validates</td>
<td>Validate the inventory process and accuracy of the inventory.</td>
</tr>
</tbody>
</table>

FLOW OF EVENTS

Create a Repository Containing Inventory and Purpose – Create a repository that contains the inventory and purpose of all IT systems including servers, workstations, underlying supporting hardware, and assigned network IP addresses.

The inventory should be stored in a place accessible to job functions that are responsible for system health, operation, and security. Changes and updates to the inventory should be restricted to a single function, such as IT, to maintain the integrity of the information.

Establish System Owners for Each System Within the Inventory – Establish system owners for each system within the inventory. A system owner is responsible for updating information such as the operating system, IP address, and function.

Data Provided: Single IT Asset Inventory

Data Provided: Documented System Owner for each system in the IT Asset Inventory
Establish Application Owners for All Applications Within the Inventory – Application owners should be designated for all applications and associated with the underlying system in which they function.

This is important as common cyber hygiene functions, such as patch management, rely on both the application and system owners to work together. Additionally, if there is an issue with the application, a system owner may not be able to properly diagnose and fix the issue. Similarly, if there is a hardware or operating system issue, it may impact the availability of the application. Both play a key role in agreeing on acceptable
maintenance windows and the expected availability of both the application and system. Therefore, both System and Application owners must be listed in the IT asset inventory.

- Data Provided: Documented Application Owner for each system in the IT Asset Inventory

Develop a Process to Maintain Inventory – IT asset inventories must be maintained to ensure the accuracy and integrity of the data. The inventory must be updated when a new system or application is introduced before it is in production. When a system or application is decommissioned, create a step to update the inventory accordingly.

- Data Provided: Documented Maintenance Process and Procedure for IT Assets

Develop a Process to Review the Inventory for Accuracy At Least Annually – Have an independent function not responsible for maintaining the inventory, such as the Internal Audit Unit, complete an audit of inventory and processes used to maintain the integrity of the data. IT management and vulnerability reports can be helpful to compare what systems are audited vs inventoried vs exist on the network.

- Data Provided: Documented process and procedure review.

USE CASE SPECIFICATION: ACCESS MANAGEMENT

Access control is a necessary component of data security that prescribes what users are allowed to access and use information and resources. Protecting data from unauthorized access is a means to ensure the integrity and confidentiality of the data and underlying system.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cyber Security Professional</td>
<td>Performs</td>
<td>Review the appropriateness of the application and system access.</td>
</tr>
<tr>
<td>User Provisioning Staff</td>
<td>Provisions</td>
<td>User Provisioning Staff assign rights to systems and applications based on role or job function.</td>
</tr>
<tr>
<td>Application Owner</td>
<td>Creates User Roles</td>
<td>Application owners create roles with specific access rights to an application.</td>
</tr>
</tbody>
</table>
Internal Audit

Audit

Documents

Roles

Internal Audit or independent third-party reviews users assigned to roles based on their job function and data access requirements.

Business owners outline specific roles needed to perform various job functions.

Access Management Activity Diagram

Define User Roles

Outline Role Requirements

Assign Users

Audit User Access

Audit Approved?

[Yes] →

[No] →

Resolve Issues
FLOW OF EVENTS

**Define User Roles** – Cybersecurity professionals and/or identity and access management professionals work with business owners to understand user roles, including application administration roles that support business processes.

- Data provided: Documented list of User roles for each application.

**Assign Users** – Once roles are defined, specific users of the application should be assigned to a role within the application, allowing access to data and resources only needed to do the assigned business process.

**Outline Requirements** – If a role does not exist that matches a business process or data access permission, outline requirements for role creation with the application owner or third-party vendor and assign users to the newly created role. This ensures that application and data access is restricted appropriately.

- Data provided: Documented new role definition and access rights.

**Review Users** – Conduct a review of application users, and job roles at least annually to certify all user access to data is appropriate. This review should also ensure that previously employed users no longer with the organization have been properly removed from accessing the application.

Application users should be removed from applications upon the termination of employment (voluntary or involuntarily).

If a user termination process does not exist, it should be created and incorporated as part of the periodic user access review process. This will validate the effectiveness of the termination and user de-provisioning process.

Any user that has changed roles within the organization should have existing access rights reviewed and updated as appropriate to the new role.

- Data provided: Documented User Access Review Process for each Application.

USE CASE SPECIFICATION: LOGGING AND MONITORING

The purpose of an application and system log is to capture user activities and events. Log monitoring is the act of reviewing system and application logs to help identify attempts or the success of unauthorized activities. It’s nearly impossible to confirm a system’s security without having a trail of what, when, and how a system was accessed.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Application and System Owner</td>
<td>Develops and Implements</td>
<td>Application owners develop user and event logs as part of application development</td>
</tr>
<tr>
<td>Role</td>
<td>Activity</td>
<td>Description</td>
</tr>
<tr>
<td>-------------------------------------------</td>
<td>-----------------------------------------------</td>
<td>-----------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Networking Team</td>
<td></td>
<td>Networking teams assist the Security Operations Center to ingest logs centrally.</td>
</tr>
<tr>
<td>Security Operations Center (SOC)</td>
<td></td>
<td>The SOC team monitors activity on the network, applications, and operating systems for anomalous behaviors.</td>
</tr>
<tr>
<td>Outsourced Information Security Provider</td>
<td></td>
<td>If there is not a dedicated Security Operations Center within the agency, outsource the function to a third-party provider.</td>
</tr>
<tr>
<td>Business Owner</td>
<td></td>
<td>Business owners outline business processes to help develop user activities to be captured in logs.</td>
</tr>
</tbody>
</table>

**FLOW OF EVENTS**

**Outline Business Processes** – Outline business processes for each application to be monitored. Ensure user actions are recorded in logs generated by the application and the underlying operating system, including any middleware.

- Data provided: Documented Outline of each business process for an application

**Develop Use Case Requirements** – Develop threat use case requirements on what should be recorded in log data based on business processes and normal vs. abnormal user behavior. Most Commercial off-the-shelf (COTS) applications have default logging of user and system activities. This provides an audit trail of what happened when a particular user was logged into the system or application and what actions were performed.

- Data provided: Documented use case for abnormal and expected user behavior

**Inventory existing logs** – Take inventory of what log files are available and if any need to be created or customized based on the business process or function of the application.

- Data provided: Inventory list of logs available from both the application and system

**Generate/Gather Logs** – Work with SOC and Networking teams to ensure logs generated from the systems are ingested into a central logging solution and accessible for at least
90 days. Logs may be archived due to size limitations and other potential storage requirements. Archiving logs protects logs from overwriting current log data. It is recommended archived logs are saved for at least 180 days before purging. Reference any applicable regulatory or information security standards, such as PCI, for specific logging requirements.
Data provided: Inventory list of logs available from both the application and system

**Determine Normal and Anomalous Behavior** – Application owners should work with the SOC to determine what is normal and anomalous behavior. This provides important threat use case data that should be written in logs from systems, and applications. For example, repeated user authentication requests within a rapid time could signify an active threat of unauthorized access to the system. Therefore, it is important to create an alert that will trigger should that behavior exist in the logs so it can be investigated. There could be several standard threat use cases in what a user or system account should and should not do.

One way to determine what to write in a log is to put yourself in the mind of an investigator. If there are repeated login attempts, it is important to know what application(s) or system(s) the attempts took place, what user account(s) were attempting to log in if any were successful, over what time, and from what source IP address.

Data provided: System and Application Logs, Documented use cases for abnormal and unexpected user behavior

**Develop Automated Use Case Monitoring** – Use cases should be developed and entered into a monitoring and alerting solution. If there is not an automated system that is available to correlate log files against threat use cases, it will be necessary to do regular log file reviews to identify any anomalous behavior patterns. The risk in a manual log review is potentially increased time of detection of a suspicious event, and thus increased time to respond and recover. Therefore, in this case, it is recommended that an outsourced provider perform this function for the agency or company.

**Review Triggering Events** – All triggered alerts on any threat use case rules should be reviewed and investigated. It is important to document what was reviewed, the procedures used to investigate, and the outcome or resolution of the triggered event.

Continue to build and tweak use cases as application functionality and new business processes are introduced. If a threat use case alert gets triggered multiple times for the same behavior deemed a false-positive, review the rules used to trigger the alert, investigate and make any needed adjustments. This will help tune the alerting system and ensure time and energy are spent on important events, making the process increasingly efficient and effective.

Data provided: Application and/or operating system logs

There are many different log analysis solutions ranging from free to paid solutions. This by no means is a comprehensive list. What is important to consider when investing both time and money in a solution is whether it is a good fit for the agency. To clarify, solutions considered and invested in should support the technologies and applications running at the agency. Log management solutions can either be outsourced to a managed security solution partner (MSSP) or supported by agency staff. Having properly trained resources who understand both how to use the technology and what kinds of activities to log and look for is what is most important.
Reference of Common Log Analysis Solutions:

◊ Sematext
   https://sematext.com/logsene/

◊ SolarWinds Log and Event Manager
   https://www.solarwinds.com

◊ Splunk
   https://www.splunk.com

◊ LogDNA
   https://logdna.com

USE CASE SPECIFICATION: PATCH MANAGEMENT

Patch Management is the process of updating operating systems, third-party Commercial off-the-shelf (COTS) applications, middleware, and firmware. Vendors publish known vulnerability fixes in patch updates. Patches should be applied when issued to help secure the system, application, and environment.

Vulnerability Management is the control auditing the patch management process in an automated way. Vulnerability scans are run against system names and/or IP addresses to determine information such as application version, misconfiguration parameters, or settings.

Conduct regular vulnerability scans to ensure effectiveness of the Patch Management program. If the team responsible for patching has patched some or part of the relevant systems, this should be reflected in the output of the vulnerability scan showing systems still vulnerable and not patched properly.

It is recommended that all Patch Management actions, and vulnerability scans are documented and approved via a formal change management process. In addition, all systems in the environment and/or network should be included as part of the Patch Management and Vulnerability Management Policy and Procedures.

Reference of common vulnerability management tools:

◊ InsightVM (Nexpose) by Rapid7
   https://www.rapid7.com/products/insightvm/

◊ Qualys Vulnerability Management by Qualys
   https://www.qualys.com/apps/vulnerability-management/

◊ Tenable.sc by Tenable
   https://www.tenable.com/products/tenable-io
<table>
<thead>
<tr>
<th>Role</th>
<th>Activity</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>IT Operations Staff</td>
<td>Patches</td>
<td>IT Operations staff applies vendor patches and works with application owners to ensure applications are not inadvertently affected.</td>
</tr>
<tr>
<td>Application Owner</td>
<td>Business Functionality Tests</td>
<td>Application Owners test and confirm the functionality of the application is not negatively impacted due to an applied patch.</td>
</tr>
<tr>
<td>Cybersecurity Professional</td>
<td>Validates and Tests</td>
<td>Cybersecurity professionals validate and test that patches have been properly applied by running vulnerability management scans.</td>
</tr>
<tr>
<td>Outsourced Cybersecurity Professional</td>
<td>Validates and Tests</td>
<td>If there are not internal cybersecurity resources available, outsource to a trusted third party.</td>
</tr>
</tbody>
</table>
Flow of Events

**Establish a Patch Management Policy** – Receive security patch updates from third-party vendors.

◇ Data provided: Patch Management Policy

**Review The Risk Criticality of the patch** – This is an important step during the patch and vulnerability management process. If a critical risk is addressed in a patch published by a third-party vendor, the agency needs to identify what systems are affected, including where they are located on the network. Utilizing the system inventory discussed in the above section is essential for identifying system information.

If a system is exposed to the Internet, the risk of the vulnerability being exploited by an attacker is most likely higher than if the system was located on the internal network behind firewalls and other mitigating controls and security defenses.

◇ Data provided: Develop a list of affected systems requiring the patch

**Prioritize Order** – Prioritize what gets patched first based on criticality and risk,
including the acceptable time to remediate per policy.

◊ Data provided: Document prioritization of patch management processes and procedures

**Test Patches** – Test patches in test and/or lower IT environments first before patching production. This is a very important step as some patches might negatively affect the application that is running on the system and therefore more time for testing is needed.

◊ Data provided: Validation of application functionality after patch

**Run Vulnerability Tool** – Run a vulnerability management tool against the environment and determine what if any vulnerabilities exist.

**Review Missing Patches** – Review and investigate any patches that were not applied properly and determine root causes.

**Rerun Vulnerability Scan** – Rerun the vulnerability scan validating that all system patches have been properly applied. Some systems may not be able to be patched for various reasons. Some applications may not allow for an allowable downtime window where the system would be offline for patching. Other reasons can include the hardware or software is out of date, and therefore cannot accept additional patches per the outdated version of the software or firmware that is running.

Investigate any mitigating controls that might reduce the vulnerability risk if patching is unavailable. Common mitigating controls include additional network access control lists (ACLs) and further user access restriction until upgrading applications or operating systems to current and vendor-supported versions is possible.

◊ Data provided: Vulnerability report validating patch process

**Document Systems Not Patched** – Systems or applications that are not patched according to the stated Patch Management Policy timelines should be documented and reviewed by Management. Outcomes should be documented in the case of a risk acceptance or exception to the patch management policy. All exceptions should be reviewed at least bi-annually.

◊ Data provided: Documented Accepted Risks and associated applications and systems

**USE CASE SPECIFICATION: SECURE SOFTWARE DEVELOPMENT & TESTING PRACTICES**

Secure software development is a methodology for creating software that incorporates security into each development phase of the software development life cycle (SDLC). This is accomplished when secure coding standards are implemented during the development process at inception. Identifying and remediating application code vulnerabilities once an application
has gone to production requires additional time, resources, cost, and risk exposure until remediation.

An industry best practice application security reference is the Open Web Application Security Project (OWASP)

◊ Open Web Application Security Project (OWASP)  

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cybersecurity Professional</td>
<td>Tests or Outsources</td>
<td>Cybersecurity professionals test applications for code-level vulnerabilities. If the required skillset internally does not exist, they assist in outsourcing the test to a third-party application security vendor.</td>
</tr>
<tr>
<td>Development &amp; Application Owner</td>
<td>Develops and Fixes</td>
<td>Development and Application owners fix vulnerabilities discovered in the code.</td>
</tr>
<tr>
<td>Outsourced Application Security Penetration Testing Firm</td>
<td>Tests</td>
<td>Test for application code-level vulnerabilities</td>
</tr>
<tr>
<td>Management</td>
<td>Reviews and Determines Risk Acceptance</td>
<td>Management reviews vulnerabilities in code and determines the appropriate level of risk acceptance for a given exposure.</td>
</tr>
</tbody>
</table>

Secure Software Development & Testing Practices Activity Diagram
FLOW OF EVENTS

Conduct Penetration Testing – When an application is developed by an organization it should be tested to ensure there are no code misconfigurations or vulnerabilities.

In the scenario of an internally developed application, cybersecurity professionals specializing in application security penetration testing should be enlisted. Several third-party tools can be used to test application code for vulnerabilities. Select a tool that supports the coding language of the application.

Diamond

Remediation Successful?

Remediate Vulnerable Code

Validate Remediation

Determine Risk & Exposure

Conduct Penetration Testing

Document Systems Not Fixed

Follow Risk Acceptance Process

[Yes]

[No]

Diamond

Remediation Successful?

Remediate Vulnerable Code

Validate Remediation

Determine Risk & Exposure

Conduct Penetration Testing

Document Systems Not Fixed

Follow Risk Acceptance Process

[Yes]

[No]

Diamond

Remediation Successful?

Remediate Vulnerable Code

Validate Remediation

Determine Risk & Exposure

Conduct Penetration Testing

Document Systems Not Fixed

Follow Risk Acceptance Process

[Yes]

[No]

Data provided: Application Penetration Testing Report

Determine Risk & Exposure – Any vulnerabilities discovered during the testing process should be reviewed and the level of exposure determined. For example, if there is a vulnerability allowing a malicious user to take advantage of the application or system, that would be determined as a high risk and high exposure to the agency or system.

Data provided: List of vulnerabilities, including associated risk
**Remediate Vulnerable Code** – Any vulnerability that is discovered should be reviewed by the development team and based on risk, prioritized for remediation.

For example, suppose a vulnerability is determined to be High risk in terms of vulnerability exploitation and exposure. In that case, it should be fixed within a timeframe outlined by the agency's vulnerability management policy (mentioned above). Any vulnerability that is discovered that is critical, should be fixed immediately. Based on the risk, an application code-level vulnerability is just as risky as an operating system vulnerability. For example, if an attacker gains unauthorized access to an OMS application, application functionality and any data stored by the application may be affected. The integrity, confidentiality, and availability of the system have been compromised.

**Validate Fix** – Once the vulnerability has been remediated, it should be tested again and validated and fixed properly by the application security professional or outsourced third-party cybersecurity organization. This is important not only to make sure the flaw was appropriately fixed but also to ensure no other vulnerabilities were introduced as part of the fix.

◊ Data provided: Application security report indicating remediation success

**Repeat & Test New Applications** – The code should be tested regularly. New applications should be tested for application-level vulnerabilities before going live in production. In addition, any major code update or application release for an existing application should also trigger an application security test.
USE CASE SPECIFICATION: THREAT MODELING EXERCISES

Threat modeling is an exercise to identify potential threats and attack vectors for a given system or application. Threat modeling is an important process to ensure that existing controls in place to protect data and systems are designed correctly, but also to identify any new areas or vectors that are exposed or unprotected.

In OMS terms, given the complexity of interconnected systems and processes between systems and processes, performing threat modeling is important due to the unique threat model for the Corrections industry.

Several different frameworks can be used to identify and perform threat modeling exercises. A few include common ones are the OWASP Top 10, the MITRE Common Weaknesses Enumeration (CWE), and the MITRE ATT&CK frameworks. Using a threat model framework helps ensure anticipated, and more importantly potentially, unanticipated outcomes and risks are identified.

MITRE Common Weaknesses Enumeration (CWE) Top 25 lists the top 25 most common and commonly exploited vulnerabilities for a system. Understanding this list is a good way to gain an understanding of the most common threat vectors and weaknesses within systems and to work with the appropriate IT and development teams to test and identify weaknesses and vulnerabilities are identified and remediated.

◇ MITRE reference
   https://attack.mitre.org/

Open Web Application Security Project (OWASP) Top Ten is a list of the top 10 web application vulnerabilities that exist in web applications. Understand the top common vulnerabilities coded in web applications to ensure those vulnerabilities do not exist within web applications. Malicious actors, when looking to gain unauthorized access to a system or network often attempt to exploit these to gain an initial foothold on the application and/or underlying system.

◇ OWASP Top 10 reference
   https://owasp.org/www-project-top-ten/

MITRE ATT&CK Framework is federally funded and developed by the US government. The benefit of this framework is that it comprises 14 stages linked to the cyber-attack lifecycle. Each of the 14 stages is broken down into how an attacker could go about gaining access to a system or network. By understanding each stage, emulating how an attacker thinks helps the exercise of threat modeling be as thorough as possible in identifying potential weaknesses of an application or system. Fundamentally understanding potential weaknesses and exposures is necessary to properly protect a system.

DREAD is a common way to properly risk rank identified threats. Understanding Damage Potential, Reproducibility, Exploitability, Affected Users, and Discoverability can help determine the true risk of a system or application, guiding where to focus any remediation or mitigation efforts for proper protection.
A few other threat modeling frameworks can be followed in addition to what is mentioned above. There is no one size fits all framework or silver bullet. What is important is to understand the system or application's business purpose and choose the most suitable framework appropriate. Similarly, when designing a cybersecurity program to align to a cyber framework, aligning to a threat modeling framework is just as valuable.

<table>
<thead>
<tr>
<th>Associated Actor</th>
<th>Relationship</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cybersecurity Professional</td>
<td>Conducts</td>
<td>Cybersecurity professionals conduct threat modeling to identify threat actors and/or scenarios. Outsourced third-party cybersecurity professionals may be needed in place of internal resources.</td>
</tr>
<tr>
<td>Web &amp; Application Developer</td>
<td>Assists and Fixes</td>
<td>Web and application developers assist in threat modeling discussions and remediate findings if there are code changes needed to protect the application.</td>
</tr>
<tr>
<td>IT Network Engineer &amp; System Owner</td>
<td>Assists and Fixes</td>
<td>IT Network Engineers and System owners assist in threat modeling exercises and remediate findings if network or system-level changes are needed.</td>
</tr>
<tr>
<td>Business Professional</td>
<td>Participates</td>
<td>Business professionals participate in threat modeling exercises to educate them on potential threat vectors.</td>
</tr>
<tr>
<td>Management</td>
<td>Reviews and Determines Risk Acceptance</td>
<td>Business professionals participate in threat modeling exercises to educate them on potential threat vectors.</td>
</tr>
</tbody>
</table>
Understand Purpose of Application / System
→ Select Threat Modeling Framework
→ Create Detailed Application/ System Overview
→ Decompose
→ Identify Potential Threats
→ Review
→ Remediate

[Yes]

Remediate[No]

Document Threats Not Addressed
→ Follow Risk Assessment Process

Validate
FLOW OF EVENTS

Understand the Purpose of the Application or System – Cybersecurity professionals meet with business owners of applications and systems. The purpose of the meeting is to determine the criticality and risk of systems in each area or function.

◊ Data provided: List of applications including associated business risk

Pick a Threat Modeling Framework – Cybersecurity professionals review different threat modeling frameworks and pick one most suitable to the system or application selected for threat modeling.

◊ Data provided: Threat Modeling Framework

Create a Detailed Application or System Overview – Create a detailed application overview. Start with the most business-critical application and have a discussion around what the application specifically does, what systems it is connected to, and where it sits from a network perspective, i.e., internal or internet-facing.

◊ Data provided: Documented Application Overview and Business Function

Identify Potential Threats – Identify potential threats or ways the application can be misused or misconfigured to gain unauthorized access to the system, application, or data.

Risk Rank Identified Threats – Use a risk ranking methodology such as DREAD and perform a threat ranking process to properly risk rank identified threats. Prioritize threats based on risk to ensure proper attention is placed on the highest risk to protect the system, application, and data.

◊ Data provided: Documented list of potential threats by risk

Identify Potential Vulnerabilities – Identify potential vulnerabilities associated with identified threats.

◊ Data provided: Documented list of known vulnerabilities

Review for Identified Potential Threats – Review the application or system for identified threats. This can be accomplished by conducting vulnerability scanning or penetration testing.

Remediate – Remediate areas of exposure and vulnerabilities, including implementing mitigating controls to threats from a network perspective.

◊ Data provided: Documentation validating remediation or mitigating controls

Repeat – Repeat the exercise at least annually or as the application or system is updated.
APPENDIX A: PEOPLE—SECURITY AWARENESS & TRAINING

Good cyber hygiene is based not only on technological controls but also on establishing a security-focused mindset. People are just as important as technical controls and safeguards from a risk perspective. People are the first line of defense, and ensuring the user base has been trained on cybersecurity concepts can mitigate some of the most dangerous threats any agency or system faces.

People are one of the main gatekeepers of keeping systems and data protected. Having an informed work force directly impacts how people who have access to a system behave. Fundamentally understanding that their actions can lead to a direct compromise of a system’s integrity, availability, or confidentiality is the key to a successful security awareness program.

Some fundamentals that employees should be trained on from a cybersecurity perspective include but are not limited to:

1. Create a cyber security awareness culture emphasizing that security is everyone’s responsibility within the agency.

2. Establish an Acceptable Use Policy and Data handling procedures outlining what is acceptable regarding the use of data and access to systems and networks.

3. Create a policy that requires complex passwords and multi-factor authentication. Passwords should change at least every 90-180 days or follow any regulatory or compliance requirements.

4. Unauthorized software should be prohibited from being installed on agency assets as they can contain malicious code and quickly lead to unauthorized access.

5. Recognizing emails with suspicious links or unknown senders can be used to gain unauthorized access to systems and networks. In addition, knowing where to report suspicious emails if they are received is also very important. Execute a phishing awareness simulation campaign and develop a mechanism to test employees on phishing awareness and adjust training accordingly.

6. Understand and recognize social engineering attacks, how it works, and how they might be used as it pertains to the agency.
Cyber Security Awareness & Training Activity Diagram

1. Create a Cyber Aware Culture
2. Conduct Security Awareness Training to All Employees & Contractors
3. Conduct Simulation Exercises for Phishing and Social Engineering
4. Recognize & Report Suspicious Emails
5. Recognize & Report Engineering Attacks
6. Prohibit the Installation of Unauthorized Software
7. Require Multi-factor Authentication & Complex Passwords
APPENDIX B: INCIDENT MANAGEMENT & RESPONSE

An incident management and response plan is necessary to detect and defend a company or agency. The sections outlined in this chapter each play a vital role in incident recovery and the resumption of business functions. It is impossible to detect a cyber incident if there are no proper logging and monitoring controls in place. Additionally, a clear understanding of the system and application inventory during an incident can quickly identify what and where an incident may occur and provide the necessary information to contain an active incident.

Following strict patch and vulnerability management processes and procedures will protect against common vulnerabilities advisories use to penetrate a system. Training agency and company personnel on what to look for in suspicious-looking emails and links are often the first line of defense in securing an agency or company. Understanding and identifying the threats and threat actors enables the identification of control weaknesses and focus on what needs to be invested in to strengthen the agency.

Being prepared for how the agency or company can be breached is one part of incident and threat management; the other part is how to respond when it is or has happened. Oftentimes, what is written in a standard operating procedure when in crisis may not always be followed. During an active incident, when alerts are going off, and investigations are ongoing, it can be hard to follow standard procedures exactly. Therefore, the most critical thing that can be done in preparation for an incident is to have Incident Table Top exercises. These exercises can be done as a conclusion to a threat modeling exercise, or as a stand-alone activity. The goal is to pick a threat scenario, such as an agency worker mistakenly clicking on a malicious link in their email and getting infected with a virus or malware. Once the scenario is set, stepping through a set of questions on what needs to happen from a technical perspective along with who in the agency or company needs to be notified, will result in a plan should this occur. On paper, this might seem easy to think about, but that type of mentality is often misguided as people generally do not know how to or even respond as planned during an emergency. Therefore, it is imperative that several high-threat scenarios are broken down and a walkthrough is conducted so that in an emergency, there is a cohesive, workable, and socialized plan.

Responding to incidents is not all about technological controls and remediations. What incident response outside the firm is called to help, and when should they be called? When management is informed, when does the Legal department get involved? When do the authorities get called, do customer or consumer contracts require notification? What is the response to a press inquiry?

Several good industry references exist for creating an incident response plan and conducting Table Top exercises.

◊ NIST ITL Bulletin, Guide for Cybersecurity Incident Recovery

◊ CRR Supplemental Resource Guide Incident Management
Crowdstrike Cybersecurity Incident (IR) Plan & Process
https://www.crowdstrike.com/cybersecurity-101/incident-response/#:~:text=An%20incident%20response%20plan%20is%20an%20integral%20part%20of%20its%20incident%20response%20program.&text=the%20organization's%20approach%20to%20incident%2C%20responsibilities%20for%20completing%20IR%20activities

APPENDIX C: REFERENCES & RESOURCES

Common Cybersecurity Frameworks & Standards

◊ National Institute of Standards and Technology (NIST)

◊ Information Standardization Organization (ISO) ISO 2001/IEC 27001

Common software security-specific frameworks

◊ OPEN SAMM
  https://www.opensamm.org/

◊ OWASP
  https://owasp.org/

Common Regulatory and Industry Requirements

◊ Payment Card Industry (PCI)

◊ California Consumer Protection Act (CCPA)
  https://oag.ca.gov/privacy/ccpa

◊ Gramm Leach Bliley Act (GLBA)

◊ Sarbanes Oxley (SOX)

◊ Criminal Justice Information Services (CJIS)
   https://www.fbi.gov/services/cjis#
◊ Federal Information Security Management Act of 2014 (FISMA)
◊ Federal Risk and Authorization Management Program (FedRAMP)
   https://www.fedramp.gov/
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 Offender Management System (OMS) functional baseline to help state correctional agencies improve the business value of their OMS, and ultimately foster the exchange of knowledge and experience across states. The scope of this initial effort was primarily limited to state-level offender management systems (OMS). CTA partnered with an IT consulting firm, URL Integration, to solicit 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 several cases, agencies have modeled entire RFPs from the CTA document. Meanwhile, solution providers have used this 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 IJIS Institute, through its Corrections Advisory Committee, partnered with the CTA to update and expand the publication to reflect significant technological developments affecting corrections, represent evolving correctional policies and practices that impact current and future use of IT, and present a broader view of the common use of information within corrections and across the overall criminal justice community. In December 2015, the IJIS Institute and CTA released the second edition of this publication, titled Common Business Functions for Correctional Management Systems.

In 2020, the IJIS Corrections Advisory Committee published the white paper Corrections Tech 2020 - Technological Trends in Custodial & Community Corrections. This paper explored the newest innovations in information technology related to the corrections industry. From the findings in this paper, the IJIS Corrections Advisory Committee recognized that significant advances had occurred in corrections information technology and that these advances were not captured in the existing Common Business Functions for Correctional Management Systems-Version 2.0. Upon establishing their 2020-2021 Goals and Objectives, the IJIS Corrections Advisory Committee included the revision, expansion, and publication of the third edition of the document. This new edition includes four new chapters and major revisions of three existing chapters. With the expansion and revision of the document, it was retitled Functional Standards for Correctional Management Systems.

Revision History
2004: Version 1
2015: Version 2
2022: Version 3
COMMON BUSINESS FUNCTIONS: JAILS

In the initial version of this document, then titled *Common Business Functions for Correctional Management Systems*, the Corrections Technology Association (CTA) limited the scope to state corrections. While many of the business functions defined in this document apply, at least partially, to county corrections, there are distinct differences, and additional business functions apply to counties that are not relevant to state correctional agencies. This version of the document does not present county-specific use cases, the following section describes the primary operational perspective in functionality between state and county corrections.

Jails are subject to local, state, and federal mandates like those for prisons. Jails employ similar business processes as state corrections facilities with additional business processes to support specific, county/local requirements and mandates. County/local jails-specific processes include:

- State corrections/prisons generally only admit, and house sentenced inmates; whereas, county/local jails admit non-sentenced inmates and 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, state warrants, and federal warrants pending pick up of federal prisoners by federal agents.

- Newly booked inmates in county/local jails are initially held in “General Holding” or designated rooms, usually with other new inmates until a housing assignment is determined.

- New prisoners in state corrections/prisons are positively identified upon admittance; whereas county and local jails must be able to admit inmates before identification can be confirmed.

- County/local jails experience much higher volumes of booking-ins/admissions and booking-out/releases, especially at peak times.

- County/local jails experience re-admissions for the same charges. For example, a person arrested on an assault charge bails out, but is remanded into custody at their preliminary hearing and is held pending trial for the same charge number and case number booked-in as a new booking incident.

- County/local jails must be able to release inmates a short time after book-in/admission, and, at times, before the booking process is completed.

- County/local jails require specific documentation (e.g., a warrant for arrest, court card, etc.) and decision points, followed by quality assurance checks before the inmate’s booking/admission is completed. All related data and documents must be entered into the system with the ability to relate the data and documents to one or many inmates.

- County/local jails require specific documentation (e.g., updated court cards, judge’s orders, etc.) from the courts and respective jurisdictions to hold an inmate for an extended period.

- County/local jails must be able to track inmates who are “in custody” but not
physically always housed in the facility, including weekenders (inmates who return to custody each weekend), inmates on work release, inmates transferred out of the facility for treatment such as hospitals or mental health facility, or inmates reporting for court in another jurisdiction. Sometimes, these inmates are 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 that they already have an active booking number for a weekender or work release program.

◊ County/local jails must be able to move inmates from the jail cell and escort inmates to and from the courtrooms for scheduled jail appearances and visits (professional and personal). Recent technologies provide video-teleconferencing between the jail or jail cell and the courtrooms. The new procedures to support video hearings and video visitation eases the need to allocate jail staff to escort inmates and reduces risks by minimizing or eliminating the need to remove inmates from the secure jail.

Reception and Commitment (Booking-In/Receiving)
The county/local jail booking/receiving processes correspond with the prison’s Reception and Commitment process, including, but not limited to, the following: booking/receiving all new and existing inmates (e.g., new to the jail, transfers, weekenders, etc.), maintain current head counts of all inmates, creating/updating new and existing inmate files/booking jackets (e.g., assign inmate number, create booking card, commitment packet, arrest reports, background checks, mugshots, etc.), perform intake, medical and PREA screening, obtain biometric identification(s) (e.g., fingerprints, imaging, DNA samples, etc.).

Records
The county and local jail Records Section maintains all inmate files, calculates sentences, and performs quality assurance checks on all recently changed inmate files. Sentence calculation processes only apply to sentenced inmates admitted to jails. For non-sentenced inmates, the controlling legal commitment order(s) authorize custody until the next court appearance or release before the court appearance (bonded out, etc.). The Records Section also prepares inmate files for arraignments or release, updates the record, manages court dates, expunges records, and notifies other entities (e.g., jurisdictions, states, embassies, etc.).

Classification
The county/local jail Classification Section assigns 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 follow the completion of classification activities. The Classification Section performs the initial interview and PREA Risk Assessment to determine the inmates’ risk and custody level, determining where the inmate will be housed within the jail. They administer the initial PREA Risk Assessment on each inmate, notifying medical/behavioral health for all high-risk inmates (i.e., victims or aggressors) in compliance with the PREA Act. Once the inmate is classified, wristbands are created, moves are scheduled (i.e., scheduled, unscheduled, referrals, etc.), and the Confinement Section is notified to execute the moves. The Classification section performs all processes to remain in compliance with the local mandates and regulations (i.e.,
Institutional Classification Committed (ICC), Department of Corrections (DOC), etc.).

The county/local jail Classification Section processes a relatively higher volume of housing and bed management decisions due to the rate of admissions and releases. Classification is a continuous process completed after each inmate is initially booked/received, after new charges, custody level changes, or medical referrals are received, and periodically throughout the inmates’ stay. An example would be if an inmate’s charge is dropped from a felony to a misdemeanor or if additional charges are added.

Caseload Management
Jails typically employ fewer elements of caseload management than prisons, primarily due to the shorter stays of inmates (non-sentenced inmates 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.

Confinement
The county/local jail Confinement Section performs ongoing inmate management, security, discipline, and physical moves for all inmates in the facility.

Observations and actions of officers during each shift are required to document regular actions such as floor checks, head-count verification, inmate welfare or bed checks, medical needs, meals, recreation, referrals, visits, programs, incidents, and notes on general inmate activity. Serious events (potential offender rule infractions) may trigger an additional investigation of the incidents and all persons involved (including offenders, staff, or visitors). The Confinement Section also manages inmate visitation, programs, commissary, and use of the kiosks (i.e., telephone, email, and mail). Security of the facility is always performed by the Confinement Section by maintaining observation logs throughout the day and performing floor checks and head-count verification. Inmate moves introduce security risks within the jail. Inmates are being moved within the jail on a 24/7 basis resulting from reclassifications, attending scheduled court arraignments/advisements and appearances, medical appointments, visitation, programs, disciplinary hearings, and release. Confinement processes require ongoing monitoring facility searches to locate and confiscate weapons and contraband to reduce risk and liability in the facility. The Confinement Section must always be aware of the location of the inmates, with the ability to secure the facility and notify all users if the jail is on lockdown due to an issue (e.g., escape, attempted escape, or emergency operations for loss of utilities or fire, bomb threat, etc.).

Discipline
The county/local jails and prisons typically have a range of sanctions for minor and major infractions and incentives for good behavior. Incidents range from internal/within the jail, to more serious, criminal incidents requiring NIBRS-compliant, Incident-Based Reporting (IBR) state reporting. All submitted incidents require thorough documentation and tracking, followed by a stringent review, approval process, and reporting.

Transportation
Both the county/local jails and prisons must support the transportation needs of inmates including transfer to other jurisdictions or state prisons, medical appointments, and other facilities (e.g., hospitals, mental health facilities, etc.). Some larger jails provide busing throughout the state when transporting to State Prisons.

Health Care (Medical and Behavioral Health)
Jails have a higher risk of spreading 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 lockups with other inmates before being identified as a carrier of an infectious disease.

Both the county/local jails and prisons provide health care (i.e., medical and behavioral health) to the inmate population, including continuous medical and behavioral health assessment and treatment, determining dietary needs, medical dispensation, determining medical referrals and restrictions, responding to inmate medical referrals, and evaluation for possible emergency commitment orders.

Interfaces between the jail management and the electronic health records systems, or as part of an integrated JMS, streamline jail and prison processes by providing the current location of inmates and allowing the exchange of non-HIPAA information such as inmate dietary needs, notifying medical to prepare medications for inmates being released, and sick call requests potentially resulting in inmate movement within jails or prisons as found during the COVID-19 Pandemic.

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

Programs
Both county/local jails and prisons offer various programs and activities for inmates including religious services, drug and alcohol prevention and treatment programs, life skills, violence prevention, and educational classes. Inmates are provided with a schedule and sign-up instructions. Privileges may vary for non-sentenced and sentenced inmates, an inmate with restrictions, or identified as keep separate. An inmate’s length of stay may be too short to participate extensively.

The Programs Section manages the list of new and existing programs approved for the county/local jail and prison, schedules the programs, and tracks the approved rosters list. Background checks are required on all professionals, instructors, or volunteers participating in the programs. Some programs are ordered by the court, requiring the inmate file to be updated upon program completion. Inmates approved for a program must be checked for administrative, disciplinary, or medical restrictions. The Confinement Section must be notified for officers to allow attendance by approved inmates.

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

Security Threat Groups (STG)
Both jails and prisons collect information on inmate gang activities, coordinate 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.

Property
Both county/local jails and prisons are responsible for collecting, storing, and tracking inmates’ personal items upon entry to the facility. Based on the inmate’s classification (e.g., security level, psychiatric conditions, security level, etc.), inmates are assigned property for use during their residency in the
facility (e.g., shirt in color reflecting security level, pants, walkers, bedding, etc.), and entered in the inmate’s record (i.e., property, clothing type, size, etc.). Tracking the inventory assigned to inmates allows for efficient and accurate inventory management and managing item exchange for laundry or replacement.

Trust Accounting/Inmate Finance
Both county/local jails and prisons must take possession of inmate funds for safekeeping and return them upon release. The volume of inmate transactions in 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. An interface between the jail management system and the inmate finance system streamlines jail and prison processes such as providing the finance staff with alerts on upcoming inmate releases.

Visitation
Both county/local jails and prisons schedule, conduct and track all professional and personal visits for inmates. Professional visitors (i.e., lawyers, volunteers, medical, etc.) are subject to different policies than personal visits. Professional visitors must request a visit with an inmate, and if approved, background checks are conducted, a professional visitor file is created, and the visit is scheduled and tracked. Personal visitors (i.e., family members, etc.) must request a visit with an inmate, and if approved, the visit is scheduled and tracked. All professional and personal visit information must be updated in the professional’s and inmate’s record. Privileges may vary for non-sentenced and sentenced inmates, an inmate with restrictions, or identified as keep separates. The Confinement Section must be notified for deputies to allow attendance by approved inmates.

Release and Discharge (Booking-Out)
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.

The county/local jail booking-out/release processes correspond with the prison’s Release and Discharge process including preparing all inmates eligible for release, verifying the inmate records, and updating files, as needed (e.g., verifying sentencing calculations, updated background checks, DNA, mugshots, etc.), enter the release record, and notify outside jurisdictions with holds on an inmate that inmate is available for pick-up, etc. Once completed, notify sections that the inmate was added to the release list (i.e., classifications and confinement to transfer an inmate to the release area, property to release property, medical and behavioral health for medical issues and medication dispensation, and finance for issuance of checks for inmate funds.

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 before release to the 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 jail for an extended period.

External Users
The county/local jails can consider partnering with external users to facilitate and streamline the corrections process with entities directly involved including other law enforcement and judicial process. Access provided to the police
department allows police to research inmate information or transmit pre-booking information to the jail reducing the amount of time necessary for law enforcement to hand a prisoner over to the jail. Access provided to approved magistrate users allows them to research inmate information, generate reports, and seamlessly transmit commitment orders, etc. reducing manually entered data into the JMS. Access provided to the county court (i.e., Circuit Court, General District Court, and Juvenile & Domestic Relations District Court) allows approved court staff to research inmate information, generate reports, and seamlessly transmit court documents to the jail (i.e., court orders, updated court cards, etc.) reducing manually entered data into the JMS. Public access to limited inmate information supports communication with the inmate’s family on their situation and needs.

## COMMON BUSINESS FUNCTIONS FOR JAILS ONLY

### Pre-Trial
Gather and provide information for all arrestees charged with criminal offenses and booked into jail and provide court officers with verified information for pretrial release determinations.

### Pre-Book
Receipt of arrest information from law enforcement agencies before an arrestee arrives at the jail, via interface or mobile devices.

### 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 any miscellaneous charges (e.g., health care visits, transportation costs, etc.)
The business functions 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 correctional management system must be tailored to meet those unique requirements. This document does not address state or county-specific mandates. However, several business functions described in this document are federally mandated or are de facto standards to be supported by the agency’s correctional management system.

Standard Interfaces with External Systems
A correctional management system contains a wealth of information vitally important to functionality external to the agency and other criminal justice agencies. Moreover, some information stored in the correctional management system is derived or supplemented with information from external systems. The ability to exchange information with others securely and timely is an important consideration when selecting or developing a correctional management system. The implementation and development of information exchange can be challenging and complex. 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 several of the “mandates and best practices” below necessitate interfaces and data exchanges.

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 demonstrates compliance. PREA requirements that a correctional management system must support are documented in the following business functions: Reception and Commitment, Classification, Discipline and Grievances, and PREA.

Offender Registry
Legislation requiring sex offender registration was initially implemented in the 1990s. 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 photographs and addresses, and submit the information to the sex registry system. The submission of sex registry information is 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, enabling victims to access information about their
perpetrators, particularly the offender’s current location and scheduled release date. Typically, victim notification functions are implemented outside of the correctional management system. However, these notification systems depend on the correctional management system for collecting and transmitting inmate data. Business functions relative to victim notification are described under 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 that tracks offenders 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 correctional management system operated by 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 Locater
State and county correctional management systems typically provide offender information through a public access website called an “Inmate/Offender Locater”. The Inmate/Offender Locater service often is not contained within the correctional management system; however, the correctional management system is the source of all information that is made available through the website. While the data content of the Inmate/Offender Locater differs across jurisdictions, an interface between the correctional management system and Inmate/Offender Locater is normally required.

Conditions of Supervision
Geographic Restrictions: Most states and counties have mandated some geographic restriction on certain offenders under parole or probation supervision. For example, typically sex offenders are restricted from living within a specified distance of a school or daycare facility. To enforce these requirements, a correctional management system must “geocode” and visually map the physical relationship addresses to provide a spatial reference, alerting the user of rule violations.
In addition to considering functional standards supported by correctional management systems, implementers should be cognizant of technologies that are widely used in corrections and how these technologies must integrate with correctional management systems. The Criminal Justice Testing and Evaluation Consortium (CJTEC), a program within the National Institute of Justice (NIJ), provides a list of technologies used in corrections within their Technology Foraging Reports. Additionally, the National Law Enforcement and Corrections Technology Center (NLECTC) provides reports and analysis of technologies often integrated within Correctional Management Systems as described below.

**Inmate Kiosk**: a network-attached device that allows inmates to request healthcare services, submit a grievance, 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.

**QR & Bar Coding**: inmate identification cards generally use a bar code or QR 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 shares 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 a work assignment, and receiving a commissary order. QR and bar codes are also often affixed to forms and documents to efficiently integrate a document management system with the correctional management system.

**Biometrics**: biometrics refers to using the physical attributes of an offender to positively identify the person. Fingerprints are the most widely used biometric. A correctional management system typically supports fingerprinting, transmitting information to state law enforcement’s Automated Fingerprint Identification System (AFIS) and to the state criminal history repository using 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 like those described under “bar coding” above. Additionally, iris scan, palm geometry, and facial recognition are types of biometrics growing in use for corrections.

**Global Positioning System (GPS)**: Community Corrections have historically leveraged GPS technology to track the location of sex offenders, home electronic monitoring (HEM), and others.

**Geospatial Mapping**: The use of geospatial mapping for custodial facilities has expanded within the last several years. A correctional management system typically must now integrate with GPS-based solutions to provide community supervision information such as community residence, geographic restrictions, hot spot analysis, incident mapping, and housing locations for custodial facilities.
Cameras/Mug shots: Digital cameras are typically integrated with the correctional management system to take photos of inmates for identification purposes and to create ID cards. Photos of scars, marks, and tattoos (SMTs) are typically also stored in the correctional management system and used to determine Security Threat Group involvement. Photos are also commonly integrated with the correctional management system to record evidence associated with incidents and disciplinary infractions.

Video: Video technologies are widely used to provide non-contact and remote visitation, telemedicine, court hearings, disciplinary hearings, and general video surveillance.

Document Management: Although transitioning to a new CMS ultimately increases the use of electronic information, paper documents will remain a component of corrections management for documents such as commitments, external correspondence, etc. For the most part, agencies have or are transitioning to using document management systems that entail 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 and supporting documents with the corresponding functions and data in the correctional management system.

Mobility: Increasingly staff need to access information using smartphones, tablets, and other mobile devices. For example, mobility significantly benefits probation and parole officers, particularly when the mobile extension of a correctional management system takes advantage of common mobility features such as “voice to text”, alerts, calendaring, mapping, and photo capture. Additionally, as technology improves and custodial facilities begin implementing Wi-Fi or 5G connectivity, the use of mobile devices within correctional facilities is increasing.

Inmate Tablets: With the improvement in technology, the relatively new use of mobile devices includes allocating Wi-Fi-enabled tablets for inmates. Agencies are now deploying these devices to their inmate populations to deliver educational content, video visitation, access to information via the CMS, canteen orders, entertainment, etc.

Enterprise Reporting: Data stored in the correctional management system is vast in scope and voluminous. Corrections must implement an Enterprise Reporting strategy to effectively leverage information in the system. Generally, the Enterprise Reporting solution provides:

◊ Pre-Designed Reports that generate operational reports and run on a scheduled basis or can be run by end-users on an as-needed basis. Reports generated by pre-designed 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 information needs.

◊ Dashboards and Alerts graphically depict key performance measures and automatically notify designated users (email, text) when pre-defined conditions arise. Generally, dashboards present information in the simplest possible way, depicting key performance indicators as green, yellow, and red conditions and allowing 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.
An alphabetical glossary of the following key components and concepts is presented here:

**BUSINESS FUNCTION** Core and support activities carried out by correctional management systems.

**USE CASE SPECIFICATION** Individual cases of use that describe main and alternative scenarios.

**ACTOR** The providers or users of a business function.

**ACTIVITY** The steps or events carried out to complete a business process within a use case specification.

**STATE** The overall condition of the object which enters or exits an activity. States can either begin or complete an activity diagram.

**BUSINESS FUNCTION**

**Caseload Management:** Offender caseload management is the process used by institutional and community corrections service providers to structure ‘clients’ risk levels 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 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 accomplish the treatment program proactively. Periodic progress assessments allow progress benchmarks; however, managing an offender caseload requires some discretion and flexibility.

**Classification:** The dynamics of the offender classification system require that it be a key component of any correctional environment.

Ensuring that all offender assignments are based on risk, security, and programmatic needs is essential.

There is not always consensus among the three in combination, 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. This assessment identifies a custody level 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 regarding 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, a variance to this level can be requested to raise or lower the custody level. This process is referred to as an override and is supported by reasons determined to be either mandatory or discretionary.

Mandatory overrides may be supported by policy or law that requires certain category offenders not to be assigned to specific custody levels or that they are assigned only to specific prisons. Discretionary overrides are those that are justified by staff requests that are supported by sound correctional analysis. Discretionary overrides help assess the overall system validity. A classification system with high override rates does not provide an accurate assessment of the offender’s risk levels and may need to be revised to ensure that the proper factors are being applied 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 under probation supervision, incarcerated supervision, and 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 from the paroling authority to be released into the community under certain terms and conditions and within several ranges of residential living, including their residence. In some jurisdictions, the Parole authority may be responsible for all community supervision processes; in other jurisdictions, another actor(s) may be in this role.

**Cyber Hygiene:** Cyber hygiene refers to the steps to improve the online security of a system and maintain system health. Implementing cyber hygiene is to adopt a security-focused mindset and develop safeguards, processes, and procedures to protect systems from cybersecurity threats.

The purpose of this chapter is to provide guidance when evaluating and maintaining the security of an application, system, and data. Correctional systems often contain information subject to various regulations and requirements regarding the protection of data and the integrity of the systems where it resides. Understanding the fundamentals outlined in this chapter guides organizations on how they evaluate if the proper safeguards and controls exist along with their effectiveness for properly protecting information. This chapter outlines key considerations, but by no means covers the breadth or depth when building and maintaining cyber hygiene. The concepts and fundamentals outlined can be used as a starting point, reference, and guidepost.

Additionally, the success of responding to a cybersecurity incident through detecting, analyzing, containing, eradicating risk, and successful recovery is predicated upon a solid cybersecurity program and incident response plan. This is discussed in the last section of this chapter, entitled Incident Management & Response.

Industry-recognized and common Information Security frameworks mentioned in this chapter
are outlined below and more detail can be found in the References & Resources section of this chapter. The importance of alignment to the cybersecurity framework provides a common language and taxonomy that ensures not just practitioners, but also auditors and industry partners are interpreting the same language. In addition, the outcome is a strong cybersecurity program that if followed with continuous diligence and attention, can help protect the viability of the agency and its data.

**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 potentially 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 is 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 are important for legal and administrative purposes. 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 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 moving offenders between facilities with separate administrators within the same department.

The offender movement process is required to facilitate the placement of offenders into appropriate facilities. This placement is based on several 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’s 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 public are interested in the inmate movement system regarding verifying an inmate’s assignment or location.

**Electronic Health Records (EHR):** Correctional agencies must provide health care, both medical and mental health services, at the same level as the non-incarcerated community.
Basic health care includes sick calls, routine access to prescribed medications, 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, and dentists. Included in the definition of PCP are professionals, such as nurse practitioners and physician assistants, as prescribed by applicable laws. Clinical service providers have a statutory and 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. Health screenings and examinations aim for preventative health maintenance, early diagnosis, and treatment.

When 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’s health care needs to 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 on their initial assessment of the 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. Sometimes, 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 a first responder situation is presented during their duties.

**Geospatial Visualization:** The term geospatial can be defined as any data related to a geographic location. In turn, geospatial technology collects the data while Geographic Information System (GIS) software combines maps (communities, buildings, etc.) and data to create visual layers to better understand complex information.

GIS technology has been utilized since the mid-1960s. As GIS software matured and networks and hardware improved, law enforcement adopted the technology for crime mapping by adding a third dimension to "what" occurred.
and “when” it occurred. By plotting crime data on a community map, law enforcement could now see “where” crimes occurred and how they related to the surrounding geographical area, e.g., community demographics, transit, businesses, schools, streets, police beats, etc.

GIS technology is now being adopted in the corrections sector, both for community corrections and correctional facilities. By leveraging the vast amount of information within a CMS, a new option is now available to analyze and understand information.

For community corrections, visualizing data on a community map provides insight into the offender’s residential and employment locations, proximity to restricted areas, etc. Additionally, mapping supervised offender data visualizes caseload distribution, offender risk level, demographics, routing for residential/employment visits, calculating distances to restricted areas, etc. Caseload maps may also identify available community resources relative to an offender’s geographic location and make referrals based on proximity and mobility considerations.

However, geospatial mapping is not limited to community corrections. With GIS functionality available to diagram buildings, sidewalks, security attributes, etc., maps can be drawn of correctional facilities with the ability to view an entire facility or “drill down” into specific buildings and housing areas for more detail. For correctional facilities, the mapping of inmate data has opened an entirely new analysis methodology. Examples of data that can be analyzed include the location of incident/disciplinary events, housing relationships (clusters) of STG members and high-risk inmates, determining the placement of PREA-classified inmates, etc. Although the creation of correctional facility maps requires the development of the maps and their attributes, correctional leadership finds it worth the additional investment.

Another potential application of GIS is resource allocation for both community supervision as well as correctional facilities. In community corrections, for example, agencies often distribute their officers geographically, corresponding to different supervision catchment areas. Analyzing the distribution of offenders alongside the distribution of positions allows leadership to make more objective decisions about how those positions are allocated. Similarly, on the incarceration side, an administrator might consider the distribution of incidents within a facility to make decisions about post assignments, ensuring that more seasoned officers are assigned to areas where incidents are more prevalent.

**Mobility and Remote Access:** One of the most valuable aspects of a Corrections Management System is the volume of data available with the ease of access to that data. Through multiple functions of a CMS, staff track, assess, visualize, and manage all the information needed to successfully manage offenders.

Historically however, access to that information was only available via desktop or laptop. This limited access to offender information when these devices were not available. But as technology advances, so can access to information from almost any location. The days are gone when staff required a desk, workstation, or vehicle to interact with their CMS.

As smartphones, tablets, Wi-Fi, and cellular networks have advanced, it has opened the ability for staff and offenders to interact with a CMS. By fully integrating mobile devices within a CMS, this new technology has enabled staff and offenders in prisons and jails and in community supervision, to retrieve information,
interact with the system, provide real-time updates, communicate, request assistance, report status, and easily manage data.

**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, promoting pro-social choices, reducing criminal behavior, and facilitating 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 the 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, their 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 program's performance measures and who satisfactorily complete the program within the time standards allowed.

**PREA:** The Prison Rape Elimination Act (PREA) comprises multiple components to protect offenders from the threat of sexual abuse and manage those identified as potential predators. These components include the interview at initial intake processing, initial and ongoing risk assessment, housing placement, assignment to work and programs, transfer to other facilities, recording of threats, investigation, healthcare follow-up, and reporting. Although some of these functions may be included in a Correctional Management System, they are often not integrated. Fully integrating these components into the CMS will provide a seamless PREA process.

During the initial intake, an offender is interviewed and scored on the PREA Assessment Instrument to assess the risk of being a victim or a predator. To mitigate any assessed risk, this information then becomes an additional classification consideration for facility placement, housing assignment, and work or program assignment. For those inmates assessed as being potential victims, the goal is to mitigate the risk of sexual abuse from other offenders by placement in the most appropriate facility, to housing in a unit, wing, or floor that would provide additional protection, and to the assignment to work or programs where risks from predatory inmates are minimized.

**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 provide 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 are 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 offender’s 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 on status of parole, probation, community, furlough, escape, or in the 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 under 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 from the paroling authority to be released into the community under certain terms and conditions and within several ranges of residential living, including their 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 a 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 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 policies and regulations about 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, 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.

**Sentence and Time Accounting**: This business function aims to ensure offenders are incarcerated for the exact amount of time 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.

**STG 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. Establishing coordinators to perform these tasks indicates the importance of this information 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 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 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.

**Trust Accounting**: This use case describes the accounting processes for tracking 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 custody transfer, 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 internally and externally. The system also allows the correctional entity 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 regarding making payments for financial obligations.

It is important to note that the system in most jurisdictions is cashless or has 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. 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 identifying each visitor and their relationship appropriately and accurately with the offender. Various 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 is visited 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. Noncontact 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.
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 an 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.

Access Management: Access control is a necessary component of data security that prescribes what users are allowed to access and use information and resources. Protecting data from unauthorized access is a means to ensure the integrity and confidentiality of the data and underlying system.

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 transaction 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 result 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's 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 in which the 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, referenced in all recordings of information during the incarceration period.

Ad Seg Management Mobility: Ad Seg and similar housing units provide a good opportunity to leverage mobility. Whether on-line or off-line, using tablets to assist staff in
managing Ad Seg units saves time, improves accuracy, and increases safety.

**Administer Program:** The Program Provider monitors the offender's progress during the program and records attendance and compliance at pre-determined intervals. A review of the program requirements and the offender's completion level will determine if the offender is to continue in the program or if 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 considers the appropriateness of actions and responses by the subordinate-level reviewer.

**Administrative Sanction:** The detriment, loss of reward, or coercive intervention because 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.

**Agency-Issued Table Mobility:** In more and more correctional systems, issuing secure wireless tablets to inmates is becoming the norm. Whether available for purchase or provided by the agency, these tablets operate on a separate secured wireless network and provide access to music, video, programming, appointment requests, offenders checking their record, ordering from the canteen, etc.

**Analysis of PREA Assessment:** After the initial PREA risk assessment is complete, staff will analyze the results. For those offenders identified as either potential victims or potential predators, these risk factors will be incorporated into their classification profile and subsequent case management decisions.

As the goal of PREA is to protect offenders from sexual abuse, all subsequent facility transfers, housing placement, and assignments to work and programs will focus on offender safety as a primary goal. The custody and/or classification staff responsible for placement decisions will utilize the risk of victimization or predation.

**Analyze Geospatial Data for Resource Allocation:** Utilizing geospatial mapping to analyze the allocation of resources allows administrators and supervisors to base their decisions on data. From incident locations to the residence of community-supervised offenders, leveraging geospatial-related data extends the usefulness of scarce resources.

**Analyze Housing, Incidents, Disciplinary on Facility Maps:** As the number of incidents mapped to their locations increases in the CMS, a body of data reflects trends, clusters, relationships, etc. This allows corrections staff to analyze this visualization to derive insight not previously available.

**Analyze STG Incidents, Clusters, Relationships, etc.:** One of the more challenging security issues for correctional facilities is how to appropriately balance the housing and assignment of inmates, especially those who may pose a particular security threat. Although the classification process routinely encompasses inmate risk, it does not always cover all challenges. Utilizing geospatial mapping, STG investigators and similar staff can leverage the added dimension of location to improve risk assessment and mitigation.

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

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

**Approve Visitor**: The application is received, and the appropriate background checks and verification of the visitor are performed. The visitation application 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, 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 and any cells in the unit occupied by enemies, codefendants, 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 facility staff checks out or departs the offender from the originating facility. 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 inmates participate 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’s behavior during their incarceration is deemed unacceptable, the credits are revoked due to a disciplinary sanction.

**Bed Space Coordination**: The reconciliation of bed space with actual transportation must be managed. This real-time process ensures beds are not under filled or over filled. The movement of offenders between facilities is scheduled in advance, and 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 primarily intends to document events not otherwise recorded through their 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 information - warrants, detainment orders, fines, outstanding or pending charges, probation supervision, ICE
- Security - escape, disciplinary, STG, segregation units, enemies/co-defendants, medical/behavioral health restrictions, self-harm attempts
- Official version of the offense, criminal history by categories, totals by crime type
- Risk reduction and case plan
- High school level, academic degrees, vocational trades
- Family information
- Incarceration summary - notes from case managers to include program involvement, i.e., response to the case plan.

**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.

**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 by inserting 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 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, determines the minimum and maximum length of incarceration.

**Create Activity:** A new activity must first be created before appearing 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 blocks 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.
Create Facility and Community Maps: Unlike standard modules in a CMS, integrating GIS Mapping requires additional design normally not found in CMS development. For correctional facilities, the design is comprised of integrating GIS Mapping software and drawings of facilities (buildings, housing units, fences, and other visually identifying characteristics). A community base map with local features (roads, buildings, parcel boundaries, schools, etc.) will be created for community corrections. Once these design elements are established for correctional facilities and community corrections, data from the CMS will be integrated with the maps to create layers to identify buildings, housing units, offender metadata, caseloads, etc.

This phase of GIS development involves two entities. For correctional facilities, the solution provider or internal IT staff works with agency staff to retrieve CAD diagrams or drawings and other information identifying housing attributes for each unit, building, room designation, etc. For community corrections, the two entities collect community base map data, caseload distribution, etc. From this information, the two entities come up with a visual representation of the facility or community, its components, and the corresponding identification factors to be linked from the CMS.

Custody and Control: The daily security control and custody functions 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 consists of key control, tool control, searches, communications, and other operational functions regulated within each facility’s security program.

Cybersecurity Awareness and Training: Good cyber hygiene is based not only on technological controls but also on establishing a security-focused mindset. People are just as important as technical controls and safeguards from a risk perspective. People are the first line of defense, and ensuring the user base has been trained on cybersecurity concepts can mitigate some of the most dangerous threats any agency or system faces.

People are one of the main gatekeepers of keeping systems and data protected. Having an informed work force directly impacts how people who have access to a system behave. Fundamentally understanding that their actions can lead to a direct compromise of a system's integrity, availability, or confidentiality is the key to a successful security awareness program.

Cybersecurity Framework: The first step in establishing a sound Cyber Security plan is establishing a framework. Dedicated cybersecurity professionals on staff or outsourced resources should be utilized. Then, conduct a gap analysis, create a roadmap of risks that need to be remediated, establish a risk assessment process for risks not remediated, and review the gap analysis at least bi-annually.

Dental Services: The correctional department/agency is responsible for providing 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 a panoramic X-ray. An initial screening is conducted within a prescribed time 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 an oral examination, and any indicated diagnostic x-rays, restorations, dental prostheses as determined by a dentist, simple or complex extractions/surgical procedures when indicated, root canal treatment and fillings, and extensive oral rehabilitation.

When 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 another 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 the 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 in time reduction credits.

This plan is developed by the case manager with input from the offender. It contains the offender’s plans for reentry including 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 and off-site services. Onsite services include emergency first aid and crisis intervention. Off-site services include treatment at a designated hospital emergency room or another appropriate health facility. Off-site health care will provide for emergency evacuation of the offender from the facility and provide 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 because the offender's 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 created with an open ending date require periodic review to determine if they are to be continued. The factors 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 warrants 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 offender's transportation routing, 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, 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 communicate 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 review process considers information collected from a previous investigation but will generally require written responses from those associated with the offender's issue. The process will result in affirming the previous decision or recommending 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 option is 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 are presented to one or more individuals with authority to evaluate and render a decision or finding. The evidence may be presented in the form of testimonials and physical evidence. The decision or finding will either affirm the allegations in whole or in part with amendments or disaffirm them 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 until the account is released. This may be due to outstanding commitments such as fines, costs, or restitution, or it may result from a sanction.

**Generate Incident Report:** Develop the report describing the incident in detail and any actors involved.

**Grievance Committee Review:** A staff person or committee with final review authority will review the final-level grievance correspondence. This review 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 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, 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 developing and implementing a treatment plan. A treatment plan may include housing, job assignments, and program participation recommendations.

This use case includes the sick call service to ensure offender access to health care to address their needs. Offenders submit requests to the 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's incarceration period.

An alternative flow in some jurisdictions involves 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 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 the general population, assignment to the 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: The offender will be interviewed and submitted to a body search during intake processing. 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 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 perform 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 evaluating the process and identifying needs or problems that may concerning 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 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.

**Intake Processing Mobility:** Intake processing offers several opportunities to use mobile technology as the process is often time-sensitive, potentially includes numerous offenders, and involves multiple processes.
Investigation of Suspected PREA Incident or Threat: Pursuant to DOJ PREA Standards, incidents in a corrections facility regarding potential sexual abuse are to be investigated to determine if the incident is substantiated. Investigation steps include: separate victim from alleged abuser, collect evidence, determine potential disciplinary action or criminal charges against the abuser, report their findings and provide the outcome to the victim.

Information regarding potential sexual abuse may come in from several different sources including victim reporting, staff observation or investigation, hotline, etc. Upon receiving information about potential sexual abuse, the agency is responsible for initiating an impartial investigation to determine the report's veracity. This may include interviewing potential witnesses, separating the victim from the abuser (staff or offender), and subsequently filing disciplinary action or criminal charges against the abuser. After the investigation, the victim will be advised of the outcome of the investigation and any disciplinary or criminal charges filed against the abuser.

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 involve a search of their property, and either listing the items on an inventory form or checking 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 to begin tracking their property items.

IT Systems Inventory Management: Implementing a reliable inventory of all IT systems, applications, and supporting hardware is the first step in defining the scope of a cybersecurity program. The inventory should include all IT systems including servers, workstations, underlying supporting hardware, and assigned network IP addresses.

Logging and Monitoring Activity Diagram: The purpose of an application and system log is to capture user activities and events. Log monitoring is reviewing system and application logs to help identify attempts or the success of unauthorized activities. It is nearly impossible to confirm a system's security without having a trail of what, when, and how a system was accessed.

Manage Activity Schedule: Managing the 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, 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.

Mark New Incident on Facility Map: When an incident occurs, and staff begins to prepare an incident report, mapping adds a new step to the process. Upon opening the incident report option in a CMS, the staff is presented with a facility or community map. Staff then identify on the map where the incident occurred. A map
with expanded views of buildings will be provided within a facility. If in the community, a map of the community would appear but not with details of buildings. The location would be marked on the map. Once marked, staff will proceed in completing the report. As the location of the incident was identified first, all subsequent information and involved individuals in the report would be linked to that location.

**Medical Services:** The correctional department/agency provides offenders access to medical services that maintain basic health. Medical services are required for the prevention, restoration, and maintenance of care for an individual’s basic health. Basic health is defined as the physical condition of an individual 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. 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 calls whereby the offender can present their health problems. If an offender’s custody status precludes attendance at sick calls, arrangements are made to provide this service in the place of detention. Approval or denial of medical service is made by health care.

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

**Mobile Caseload Management:** Of all the opportunities to utilize mobility to increase safety, efficiency and reduce workload, the tasks performed by parole and probation officers provide numerous options. Although P&P officers perform many tasks in their office, they also perform significant duties away from the office while tracking and managing offenders in the community. Additionally, many jurisdictions are moving away from standard offices and working remotely in the community.

Many P&P officers have historically utilized laptop computers to help manage their caseloads. Although a big step from being limited to their desktop in the office, the form factor of laptops limits the portability and use of the device. As solution providers developed mobile solutions for community corrections, they have also realized that the community corrections environment provides an excellent opportunity to utilize smartphones and tablets.

Smartphones have almost all the functionality of a tablet in a smaller, easier-to-use device with voice dictation and a camera for updating photos of the offender, residence, etc. Add the ability to interact with the CMS in real-time or upload their caseload before heading out to the field, smartphones offer a great adjunct to a P&P officer’s set of tools.

**Monitor Compliance:** The case supervisor monitors affirmative acts that fulfill the 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 and coordinating offender separations related to a living unit, work, and program assignments.

**Movement Hold:** A movement hold will prevent the offender’s lateral or progressive move until 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 on 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 several others relative to the offender progression during the incarceration period.

**Offender Remote Access Mobility:** Managing offenders under community supervision provides unique challenges as the offenders reside and work in the community, often in remote locations. Recent studies show that around 80% of supervised offenders carry smartphones. Using these devices to link the agency, P&P officer, and offender provides a unique opportunity to improve supervision outcomes.

**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, which 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:** In 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 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 reflects a higher level may be warranted, or those cases that are listed but non-violent do not require 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 is based on the eligibility date. If approved the offender’s status will change from inmate to parolee, and the offender will be released into the community. If denied, the offender’s status will remain as an inmate and a new review hearing date will be 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 an offender’s eligibility to be released under parole supervision, including the projected date of parole release.
**Parole Hearing Mobility:** The business process for parole decisions often includes two business processes. The first process can include parole examiners or parole commissioners interviewing eligible inmates and submitting a recommendation. The second process often includes a parole board member or commissioner reviewing a recommendation for parole to the parole board, ultimately voting to parole, and setting the conditions upon release. Leveraging tablets allows commissioners and/or parole staff to complete their work remotely. **Parole Release:** The release of an offender to parole status. The sentence still governs the offender; however, the Parole Board now has jurisdiction over the offender. The offender is assigned a parole officer to whom the offender must report and adhere to any conditions ordered by the parole board.

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

**Patch Management:** Patch Management is the process of updating operating systems, third-party Commercial off-the-shelf (COTS) applications, middleware, and firmware. Vendors publish known vulnerability fixes in patch updates. Patches should be applied when issued to help secure the system, application, and environment.

Vulnerability Management is the control auditing the patch management process in an automated way. Vulnerability scans are run against system names and/or IP addresses to determine information such as application version, misconfiguration parameters, or settings.

To deem the effectiveness of a Patch Management program is to conduct regular **Vulnerability Scans.** If the team responsible for patching has patched some or part of the relevant systems, this should be reflected in the output of the vulnerability scan showing systems still vulnerable and not patched properly.

It is recommended that all Patch Management actions and vulnerability scans are documented and approved via a formal change management process. In addition, all systems in the environment and/or network should be included as part of the Patch Management and Vulnerability Management Policy and Procedures.

**Pharmacy Services:** The corrections department/agency is responsible for ensuring offenders have adequate access to pharmacy services. A licensed pharmacist PCP is responsible for the overall operation of pharmacy services, including 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, delivering 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 disposing outdated and unusable medications. In cases where a controlled substance is disposed of, a receipt verifying the disposal will be retained on file.

Post PREA Incident Health Care Examination: Upon notice of a potential PREA incident, authorities are to refer the potential victim to clinical staff for assessment, treatment, collection of evidence, etc. Assessment and treatment will include physical health and behavioral health. Depending on the clinical findings and initial treatment, subsequent follow-up and treatment may be necessary.

PREA Arrival Processing: During the initial intake, an offender is interviewed and scored on the PREA Assessment Instrument to assess the risk of being a victim or a predator. To mitigate any assessed risk, this information becomes an additional classification consideration for facility placement, housing assignment, and work or program assignment.

PREA Data Collection and Reporting: One of the most critical but challenging components of an integrated PREA system is the compilation of statistics and reporting of outcomes. Pursuant to DOJ PREA Standards, agencies (state and local) shall collect accurate, uniform data for every allegation of sexual abuse using a standardized instrument. This data collection will come from incident-based documents, including reports, investigation files, and sexual abuse incident reviews.

The data collected shall answer all the questions from the most recent Survey of Sexual Violence Form (SSV) for each reported incident. The data collected from the SSV-X incident reports shall be aggregated annually to produce Form SSV-X Annual Summary Report.

As part of an integrated PREA assessment, tracking, and reporting system, the data to complete the incident and summary report should come from the data collected in the system from the initial incident report. The SSV forms, the incident report and the annual summary, should be e-forms designed within the system to produce both printed and electronic output. As data is collected from the incident report and other documents, it is utilized to complete other reports, including the SSV incident report and the SSV summary report.

As part of the overall reporting of the PREA program, the aggregated data from the SSV incident reports are collated to produce an electronic SSV summary report to be forwarded to the Bureau of Justice Statistics.

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 successfully or unsuccessfully (for poor conduct). Successful completion of a fixed-length program only requires that the inmate remain enrolled at the conclusion. Successful completion of an open-ended program generally is a 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 tracking of property items issued to or received by the offender. The process includes inspecting, inventory control procedures, receipt issuance, permit issuance, and sometimes marking items for identification.

**Psychiatric/Mental Health Services:** The correctional department/agency will provide Mental Health Services that are oriented towards the maintenance or improvement of the 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 a 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 initiate the process.

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

**Referral to Program:** The offender management plan produces 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 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.

**Report Violation:** When a violation of a 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 before the report is submitted for appropriate action.

Request Candidates: The central offender management may request candidates for movement due to bed management needs. 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 an offender’s movement to another facility often begins with the facility where the offender is currently assigned. The request usually is automatic because of classification to another custody level, or it may be a special request due to medical or security risks (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 visitor will complete the application and return it to the facility where the offender they intend to visit is housed.

The application should contain background information, personal identifiers, etc., which are 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. A supervisor will review the misconduct report and charges to ensure the documented facts support the charges. If there is insufficient support for 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. In 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.

Review Facility for Optimum Housing Placement: With multiple individual characteristics available for comparison, geospatial maps provide an excellent method for selecting the best location for assignments of inmates to housing. Inmates are often eligible for multiple housing units in a facility although additional conditions may require a more nuanced assessment. If an inmate has special conditions to be included when assessing housing, those conditions can be compared with the inmate population of a facility or housing unit for optimum placement. Examples may include the assignment of inmates classified as potential PREA victims, members of an STG, inmates with a sensitive history, work assignments, etc.

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 plan that defines expectations and measures achievements.

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

**Revocation:** Revoking an offender’s community status, returning or sentencing the offender to incarceration.

**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. 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 simply affirms 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.

**Secure Software Development and Testing Practices:** Secure software development is a methodology for creating software that incorporates security into each development phase of the software development life cycle (SDLC). This is accomplished when secure coding standards are implemented during the development process at inception. Identifying and remediating application code vulnerabilities once an application has gone to production requires additional time, resources, cost, and risk exposure until remediation.

**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 by entering this into the schedule. The appointment would then be available to staff and trigger appropriate notifications. By establishing orders of precedent, clinical appointments may override any conflicts.

**Schedule Release:** Various events 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 before an offender’s release is conducting a formal search for active wants, warrants, and detainers. This activity will initiate a formal notification process whereby law enforcement or corrections agencies, and individuals 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 the offender’s needs have been selected, the offender is scheduled to move through central transportation. This could involve the offender’s assignment to a waiting list for facility transfer.

The transport date 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 bed availability status.

A notification process may be initiated when an offender is scheduled for transfer to a specified location or 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 incarceration. Risk factors relating to criminality are considered.

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

**Sentence Recalculation:** The unit responsible for sentence calculation will perform periodic audits of the offender’s sentence to ensure that the correctional management system correctly applied time credits and debits. The receipt of an amended sentence order affecting the original sentence(s) may also trigger this function, resulting in a change to the projected release date.

**Sex Offender Identification:** Assessment staff reviews the 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 relevant court function 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’s behavior during incarceration is deemed 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 because of either facility or offender needs identified where no program exists to address the needs. The request should include the type of activity, the schedule, the location, and the approximate number of offenders expected to be assigned. A modification should be able to request a change to the 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:** In instances where the offender’s 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 regarding access or movement.

**Threat Modeling Exercise:** Threat modeling is an exercise that is performed to identify potential threats and attack vectors for a given system or application. Threat modeling is an important process to ensure that existing controls in place to protect data and systems are designed correctly, but also to identify any new areas or vectors that are exposed or unprotected.

In OMS terms, given the complexity of interconnected systems and processes between systems and processes, performing threat modeling is important due to the unique threat model for the corrections industry.

Several different frameworks can be used to identify and perform threat modeling exercises. A few common ones are the OWASP Top 10, the MITRE Common Weaknesses Enumeration (CWE), and the MITRE ATT&CK frameworks. Using a threat model framework helps ensure anticipated and more importantly, potentially
unanticipated outcomes and risks are identified.

**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 an event such as behavior.

**Update Program Needs:** When the offender is terminated from program participation, the Program Provider records how the offender was terminated. Sample outcome measures include successful completion, incomplete or poor attendance, inter-facility transfer before completing the program, and any other examples 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 program.

**Update Visitor List:** Once a review process has been completed and 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. The absence of dated evidence supporting the affiliation will result in the 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 the certification of individual participation, the security threat group is also re-evaluated periodically. Data is analyzed to determine if a particular group maintains an active participation affiliation and is actively involved in security threat activities. A decline in either may result in the removal of the group from the list of active STG entities. In addition to a periodic review, an event involving the offender in an 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 sometimes, the validations are ambiguous or nonexistent.

Generally, it is a preponderance of the evidence that ultimately determines 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, 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. The visitation staff will use this list 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 to 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, the offender’s release date, change of name of the 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 and identification information of the offender to be traced.

Policies and procedures vary greatly by jurisdiction.

**View Caseload Details, Offender Residence, Employment, etc.** Utilizing Geospatial mapping for analysis is not just restricted to correctional facilities. By creating community-based maps of the community-supervised offender population, mapping provides a new dimension to managing caseloads, such as viewing residences related to schools, employment locations, proximity to victims, etc.

**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.
**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.

**Application Owner**: Application Owners document the applications they support and develop. They test and confirm that the functionality of the application is not negatively impacted due to an applied patch.

**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 agency and handles all deposits to a commercial bank account.

**Checkpoint Officer**: A 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 overseeing inmates in the community placement, either at the Department or regional level. Community centers may also hold parolees with some form of dual supervision.

**Community Corrections Officer**: Staff providing supervision of offenders while they are in community corrections status. Community corrections include probation, parole, and community residential placement. Other titles include parole officer/agent, probation officer, or parole and probation officer/agent, 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 halfway houses.

**Control Center Officer**: Staff person assigned to the central operations center for the facility. This center controls the facility's vital security and operational management functions. 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 binding ruling.

Cybersecurity Professional: Cybersecurity professionals test applications for code-level vulnerabilities. If the required skillset internally does not exist, they assist in outsourcing the test to a third-party application security vendor.

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, mental health, or a generalist.

Facility Job Board: A panel 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 for administering the grievance process within the facility.

GIS Designer: A GIS designer creates, updates, and revises sketches, working drawings, and contract documents using Computer Assisted Design (CAD) software or manual drafting means.

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

Hearing Officer: Staff person who conducts official disciplinary proceedings.

Housing Officer: Staff 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.

Internal Auditor: Internal Agency Auditors or independent third-party entities review users assigned to roles based on their job function and data access requirements. They also validate the IT system inventory process and the accuracy of the inventory.

Investigator: Staff person responsible for investigating criminal and administrative misconduct by offenders and staff.

IT Operations Staff: IT Operations staff applies vendor patches and works with application owners to ensure applications are not inadvertently affected.

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.

Networking Team: The staff managing and supporting the agency’s IT network. Networking teams assist the Security Operations Center in ingesting logs centrally.

Offender: Individual committed to the custody of the corrections or paroling authority to include incarceration, probation, parole, and community assignments.
Outsourced Application Security Penetration Testing Firm: an organization external to the agency that assesses the IT Cybersecurity design, systems, functions, and vulnerabilities.

Parole Board: The entity authorized to grant parole and has authority over the offender during the parole period. It may also be referred to as the Board of Pardons and Parole, with 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 licensed and/or certified to perform health care examinations, formulate a diagnosis, and prescribe treatment. The PCP may be a Department of Correction employee or, increasingly, a contract employee who provides these services part-time.

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 the 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 reviewing significant decisions affecting offenders.

Security Operations Center (SOC): A team of IT professionals who monitor activity on the network, applications, and operating systems for anomalous behaviors.

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 to fulfill the mission of the department/agency.

STG Officer: Staff person(s) responsible for gathering, monitoring, and collecting intelligence information on STG-affiliated offenders. The name given to this actor varies by jurisdiction.

Superintendent: Chief administrator in charge of the facility.

Supervisor: 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, caseloads, 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 approving the offender’s plan...
and continuing modification. The team may be at the unit level or the facility level and is comprised of members representing the key areas in managing the offender, such as security, work, programs, medical, and housing.

**User Provisioning Staff:** The staff responsible for authorizing IT systems, networks, and applications access. User Provisioning Staff assign rights to systems and applications based on role or job function.

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

**Visiting Area Staff:** Staff responsible for operating the visitation program at the facility.

**Visitor:** An individual approved to visit a specific offender.

### ACTIVITY

**Access Reparations Record:** Accessing the 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 is identified, it will be activated 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 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 Assessment Instruments:** Several assessment instruments may be administered during the intake process. The information for these assessments may be collected by staff from a mobile app, or the offender may utilize a mobile device to answer questions for the assessment directly.

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

**Advise:** 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 to 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 plead guilty or innocence, which will determine the next step in the disciplinary process.

**Analyze Caseload Distribution:** A user may also view the geographic distribution of one or multiple caseloads. The distribution is normally provided by residence. By viewing the locations, the user can see outliers such as offenders whose residences are inconsistent with expected caseload distribution, overlap with other staff caseloads, etc.

**Analyze Caseloads, Offender Profiles, etc.:** After the user selects the community corrections area map, they analyze selected caseloads, offender profiles, risk levels, proximity to restricted areas, etc.

Data provided: Geospatial visualization on locations of offenders (housing and work), select visuals of high-risk offenders, views of agents/P&P officer caseloads, etc.

**Analyze Incidents, Assignments, Housing, etc.:** After a user selects the corrections facility map, they view incident reports, disciplinary reports, and housing assignment profiles (STG offenders, violent offenders, escape risks, potential PREA victims/predators, etc.).

**Analyze Options for Optimum Placement:** Once the user is viewing the facility inmates on the map with the requested characteristics, they can then identify the most appropriate housing to mitigate risk, considering the housing unit, floor, wing, proximity, etc.

**Analyze Proximity to Crimes, Restricted Areas, Other Offenders, etc.:** By viewing additional layers of data, the user can compare offender’s residence and work with recent criminal activity, proximity to restricted areas such as schools and day care centers, geographic proximity to other supervised offenders, etc.

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

**Align to a Framework:** Determine a Cyber framework that best aligns with the business.

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

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

**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, including a given offender’s attributes.

**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 equipment.

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

**Assign Users:** Once roles are defined, specific users of the application should be assigned to a role within the application, allowing access to data and resources only needed to do the assigned business process.

**Authentication Review:** When an offender submits a document to initiate an action or event, the offender’s identity 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 to decide the 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 keys and/or tools assigned 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 includes a photograph, fingerprinting, and 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 about the severity of the charge. In some jurisdictions, the charges for infractions are classified by the degree of severity, which simplifies this decision process. The charges will fall into one of two classifications, 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 apply the appropriate sanction. 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 subject to 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 incarceration 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 the 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, requiring a search using other personal information. The process will result in either a new account or the activation of a previous account.

**Check Visitation Schedule**: Offender visitation is generally scheduled on prescribed days of the week at predefined times. Visits requested 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 before being added to the visitor list, provided the offender has no active visiting sanctions 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 the 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 being 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 can be used in a criminal prosecution or an administrative proceeding.

**Clear Count**: When the 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 account record 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 Corrections Staff Use Mobile Device to View Caseload: Parole and Probation officers retrieve their caseloads on the mobile device via cellular or Wi-Fi. The caseload contains details of the offender records, including demographic information, addresses/phone numbers, case information, case notes, conditions of supervision, etc.

Community Map – Map CMS Data to Community Map: To complete the visualization process, CMS data is integrated with the GIS software to create the data layers on the community map.

Community Map – Select GIS Base Map: An initial step in developing community maps is to choose the base map. The base map is one of the pre-set visualizations of a community, region, state, etc., that displays streets, geographic features, property parcels, etc. The “style” of the base map defines the look and feel of the map and its layers of data.

Community Review: The community corrections director or their designee reviews a decision made by staff before it becomes final. The outcome of the review will be entered, either approved or disapproved. With disapproval, the reasons will be provided.

Compile Assessment: When multiple assessments are reviewed, they must be collected and assimilated.

Complete Remainder of Incident Report: The user will then complete the incident report details in the CMS.

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

Conduct a Gap Analysis to Identify Control Weaknesses: Determine information security gaps within each control area. For example, if a control is met in some places but possibly not everywhere across an organization or system, document the gap in the control.

Collect Demographic Information: Utilizing a mobile app, staff collect personal data, including identifying information, residential history, family details, etc.

Complete the DOJ SSV Incident Report: Upon conclusion of the investigation and determination that it was a substantiated PREA incident, the SSV Incident Report will be completed by local staff with the details of the investigation, involved parties, and results.

Complete the SSV Incident Report for Each Incident: From the data collected in the system during the reporting and investigation phases, request that the system auto-generate the SSV Incident Report.

Complete and Submit the PREA Agency Summary Report: Annually, request that the CMS system aggregate and collate all the agency’s individual PREA SSV incident reports into an electronic PREA SSV Annual Summary. Submit the Annual Summary electronically to the Bureau of Justice Statistics.

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

**Conduct Patrol:** Patrols are to determine if areas are faulty, unsafe, or 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 Penetration Testing:** When an organization develops an application, it should be tested to ensure there are no code misconfigurations or vulnerabilities.

In the scenario of an internally developed application, cybersecurity professionals specializing in application security penetration testing should be enlisted. Several third-party tools can be used to test application code for vulnerabilities. Select a tool that supports the coding language of the application.

**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 on a person.

**Consider Appeal:** Review appeal options that are available and decide to file an appeal or accept the last decision that was made. This review considers 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, three levels of review will receive the grievance document. After each level of review, the offender will be allowed to accept the remedy produced from the review or seek a review from the next level if it is an available option.

**Create a Detailed Application or System Overview:** Create a detailed application overview. Start with the most business-critical application and discuss what the application specifically does, what systems it is connected to, and where it sits from a network perspective, i.e., internal or internet-facing.

**Create Facility and/or Community Map:** The next step is to create either a facility map or a community map as the processes call for different approaches. A facility map requires drawings of the features of the facility being represented. A community map does not require feature drawings but needs a “base map” selected from the GIS Software.

**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 to be associated with the number.

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

**Create Property Record:** Establishing the offender's property record, listing property identifiers and quantity amounts.

**Complete Remainder of Incident Report:** After the incident location is identified, the user will
then move to the next steps in the CMS and complete the incident report details.

**Create Repository Containing Inventory and Purpose:** Create a repository that contains the inventory and purpose of all IT systems, including servers, workstations, underlying supporting hardware, and assigned network IP addresses.

The inventory should be stored in a place accessible to job functions responsible for system health, operation, and security. Changes and updates to the inventory should be restricted to a single function, such as IT, to maintain the integrity of the information.

**Create a Roadmap of Prioritized Risks That Need to Be Remediated:** Review the comprehensive list of identified gaps in the framework control areas. For example, if there is a missing control gap vs. one partially met, a risk decision can be made on which gap to prioritize first.

**Create STG Record:** When affiliations or the existence of a security threat group are validated, a record is produced. 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 making offender and facility management decisions. This record is maintained separately from the offender’s working record, with specific indicators made available to alert authorized staff to view the information to be informed of STG affiliation.

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

**Deactivate Activity:** An activity is deactivated 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.

**Define User Roles:** Cybersecurity professionals and/or identity and access management professionals work with business owners to understand user roles, including application administration roles that support business processes.

**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 take the offender off the unit and/or facility count. The offender will be in unassigned or transit status until received.

**Detain Offender:** A determination is made as to whether behavior or 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 or new activity that will be added to the database.

**Determine Availability:** A determination must be made as to whether 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 the future), or the 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 situation’s circumstances.

**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 the allegations.

**Determine Normal and Anomalous Behavior** – Application owners should work with the SOC to determine normal and anomalous behavior. This provides important threat use case data that should be written in logs from systems, and applications. For example, repeated user authentication requests within a rapid time could signify an active threat of unauthorized access to the system. Therefore, it is important to create an alert that will trigger should that behavior exist in the logs so it can be investigated. There could be several standard threat use cases in what a user or system account should and should not do.

One way to determine what to write in a log is to put yourself in the mind of an investigator. If there are repeated login attempts, it is important to know what application(s) or system(s) the attempts took place, what user account(s) were attempting to log in, if any were successful, over what time, and from what source IP address.

**Determine Override Type:** Overrides for custody classification may be approved at the facility level for intra-facility movement instances. For example, an offender’s custody level may prevent that individual from performing a work assignment outside the security perimeter. The facility needs are 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’s movement to another facility to complete program needs.

Generally, 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. A central classification authority will review overrides affecting inter-facility movement.

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

**Determine if PREA Incident is Substantiated:** Upon investigation and interviews, determine if the incident is substantiated as a PREA incident.

**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 dictate what action is taken, but one or more individuals have the task of choosing one or more action options.

**Determine Risk & Exposure:** Any vulnerabilities discovered during the testing process should be reviewed, and the level of exposure determined. For example, if there is a vulnerability allowing a malicious user to take advantage of the application or system, that would be determined as a high risk and high exposure to the agency or system.

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

**Determine Security Level:** Decide physical security needs for an offender for transportation and 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 adjust time credit awards based on authorized time reduction 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 earned time credits granted.

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

**Determine Transportation Needs:** Assess the offender’s transportation needs upon release from incarceration.

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

**Develop Automated Use Case Monitoring:** Use cases should be developed and entered into a monitoring and alerting solution. If there is not an automated system that is available to correlate log files against threat use cases, it will be necessary to do regular log file reviews to try and identify any anomalous behavior patterns. The risk in a manual log review is potentially increased time of detection of a suspicious event, and thus increased time to respond and recover. Therefore, in this case, it is recommended that an outsourced provider perform this function for the agency or company.

**Develop a Process to Maintain Inventory:** IT asset inventories need to be maintained to ensure the accuracy and integrity of the data. When a new system or application is introduced before it is in production, the inventory must be updated. When a system or application is decommissioned, create a step to update the inventory accordingly.

**Develop a Process to Review the Inventory for Accuracy At Least Annually:** Have an independent function not responsible for maintaining the inventory, such as Internal Audit, complete an audit of what is in inventory and the processes used to maintain the integrity of the data. Utilization of IT management and vulnerability reports can be helpful to compare what systems are audited vs. inventoried vs. exist on the network.
**Develop Use Case Requirements:** Develop threat use case requirements on what should be recorded in log data based on business processes and normal vs. abnormal user behavior. Most Commercial off-the-shelf (COTS) applications have default logging of user and system activities that can be enabled or already enabled. This provides an audit trail of what happened when a particular user was logged into the system or application and what actions were performed.

**Dictate Case Notes:** One of the most beneficial aspects of using mobile devices for community supervision is the ability to dictate or record case notes. If the device is connected to cellular or Wi-Fi, the case notes feed into the CMS in real time. If no connection is available at their location, then the case notes and other information will synchronize when they get within range of a signal.

**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 resolving a situation, gathering information, delivering 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, while others accept less formal documentation. In situations where an offender cannot read or write, the information will be dictated and recorded. The information in the communication should include details of the problem and the desired remedy.

**Document Non-Compliance:** The non-compliance behavior, which has 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 the availability of clinical resources as well as facility requirement constraints. Conflicts within the offender’s schedule may be considered but are often resolved through an order of precedents. The appointment is entered into the offender’s 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, 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 Application Owners for All Applications Within the Inventory:** Application owners should be designated for all applications and associated with the underlying system in which they function.

This is important as common cyber hygiene functions, such as patch management, rely on both the application owner and system owner to work together. Additionally, if there is an issue with the application, a system owner may not be able to diagnose and fix the issue properly. Similarly, if there is a hardware or operating system issue, it may impact the availability of the application. Both roles play a key role in agreeing on acceptable maintenance windows and the expected availability of both the application and system. Therefore, System and Application owners must be listed in the IT asset inventory.

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

**Establish a Patch Management Policy:** Receive security patch updates from third-party vendors.

**Establish a Risk Acceptance Process for Any Risks That Are Not Remediated:** Some control gaps might be at an acceptable risk level for the organization. When that occurs, it is best to document via a risk acceptance process, including the right management authority to approve and sign off on the risk acceptance.

**Establish System Owners for Each System Within the Inventory:** Establish system owners for each system within the inventory. A system owner is responsible for updating information such as the operating system, IP address, and function.

**Evaluate Charges:** After charges have been filed, an evaluation will be performed to determine which avenue 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 specifications pertaining to good time awards and evaluate criteria that define 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 deciding.
**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. The variance custody level is approved if there is sufficient information to approve the override request. 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 to determine if criteria exist 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 on 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, 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. There will be a transfer order document when the offender is undergoing an inter-facility transfer. In instances where the sentencing agency receives an offender, there will be a sentencing order document received to support the incarceration.

**Event Occurs Requiring Incident Report:** Which events require an incident report are normally defined by agency policy. Some events are of such a minor nature that no report is required. Some events are of such a serious or critical nature that other types of reports are required.

**Facility or Community Map Appears:** A facility or community map will normally be one of the first options to appear to the user if the incident requires mapping. Based on the user’s security profile, the map will match their assigned facility or community corrections area of responsibility.
Facility Map – Create Map Layers: One of the unique benefits of GIS mapping is the ability to create layers. Map layers can be thought of as individual layers of images depicting certain data. These layers can be seen one at a time on top of the base map or in combination with other layers. The layers are transparent except for the displayed data and allow visual data placement on top of the base map, other facility features, or other data.

Facility Map Does Not Appear: For incidents not requiring mapping, the user will be presented with an incident reporting function without a map.

Facility Map – Draw Features: A facility map requires at least two layers of images, an image of the entire facility in context with its surroundings and detailed images of buildings to allow “drilling down” to details, e.g., individual wings, floors, cells, rooms, hallways, etc. The GIS software will portray this two-dimensional visualization as if looking from above. For both the whole facility view and the individual building detail view, all of the relevant features of the facility, including building footprints, sidewalks, fences, and other permanent structures like towers, storage buildings, etc., can be selected for viewing.

Facility Map – Map CMS Data to Buildings, etc.: To complete the GIS visualization process, data from the CMS must be integrated with the GIS software to create the layers via spatial data types (e.g., x/y coordinates, polygons, lines, etc.).

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

File Appeal: Submitting appeal to the proper authority.

File Report: Produce and record detailed 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 because of the offense; they may be acute or chronic and are considered dynamic.

Full Facility Map: Analyze Counts, Clusters, Relationships, etc.: On a full facility map, the user analyzes the data layer selected for the facility. Analysis may include viewing total counts of events or selected inmates, identifying clusters of certain events or inmates, analyzing the geospatial relationship between certain events or selected inmates, etc.

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/Gather Logs: Work with SOC and Networking teams to ensure logs generated from the systems are ingested into a central logging solution and accessible for at least 90 days. Not all logs have to remain readily available or online. Logs may be archived due to size limitations and other potential storage requirements. Archiving logs protect logs from overwriting current log data. It is recommended that archived logs are saved for at least 180 days before purging. For specific logging requirements, reference any applicable regulatory or information security standards, such as PCI.
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 suggest.

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 losses will affect the parole eligibility date.

Identification: Staff validates the identification of an individual using appropriate documentation, such as sentencing orders 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 then decide if a comparable program or activity 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 Clusters, Trends, Groupings, etc.: Once the facility data is viewable, the user analyzes the data for clusters of violent incidents, housing placement of similar inmate profiles, trends, groupings of disciplinary events, the grouping of high-risk inmates, etc.

Identify Distribution, Clusters, Imbalance, etc.: Once the community corrections area geospatial data is selected, the user identifies challenging physical caseload distribution, related clusters of high-risk offenders (home or work addresses), and selected offender profiles as they relate to different caseloads, etc.

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 on the various combinations of events, locations, and personnel involved.

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

Identify Potential Threats: Identify potential threats or ways the application can be misused or misconfigured to gain unauthorized access to the system, application, or data.

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.

Incident Not Required to be Mapped: Not all incidents are mapped. Incidents that require reporting but do not rise to a level of seriousness for visualization will not have a facility or community map presented.
**Incorporate Results of Risk Assessment:** When the initial PREA risk assessment is complete, the risk factors will be incorporated into the offender record and form one of the primary drivers of facility placement, housing decisions, and assignment to work and programs.

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

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

**Initiate PREA Investigation:** Upon notice of a suspected PREA incident or threat, the agency will conduct an impartial investigation, ensuring that the potential victim is separated from the alleged abuser.

**Inmate Connects to Wi-Fi with Secure Sign-On:** A component of a project to provide tablets to inmates is the installation of a secure Wi-Fi network covering key locations in the facility. Inmates access this network via a secure log-on. Access is restricted to this secure network without external web access. This network provides access to vendor apps, video visitation, select functions from the agency CMS, etc.

**Inmate Eligible for Parole Review:** In most jurisdictions where parole is an option, the determination of eligibility must meet certain qualifying conditions related to criminal history, time served, etc. Once those conditions are met, the paroling authority is notified by the CMS of the inmate’s eligibility. Additionally, for those inmates who have already had their initial review, their names will be automatically generated for subsequent reviews.

**Inmate Has Access to Tablet:** Inmate tablets are normally provided by a vendor under contract to the agency via rent or purchase. However, in some cases, the agency provides the tablets at no charge. The device is normally issued to individual inmates but can also be shared.

**Inmate is Housed in an Ad Seg or Similar Unit:** Ad Seg and similar units differ from normal housing units as the inmates are normally restricted to their cell, movement is controlled, delivery of services often occurs at the cell front, and the requirement for monitoring the housed population is more focused. The increased requirements for staff to manage this type of unit benefit from using a mobile device.

**Integrate GIS Software with the CMS:** The first step to establishing a GIS mapping module is to integrate the GIS software with the CMS. As distinct specialty software, GIS software provides the platform to create maps, insert layers of data, plot exact locations with x/y coordinates, and integrate data.

**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 the evidence, interviewing 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:** An order is issued granting authority to revoke parole status and reinstate offender status under the controlling sentence.

**Log Activities, Unit Visits, Movement, etc.:** Corrections staff use mobile technology to track the movement of staff and inmates in and out of the unit, incidents, responding to requests, etc.

**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:** The 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 to the activity that might affect the facility schedule and that of assigned offenders. The specifics may include the activity's time, location, and duration. The staff person would be able to review potential conflicts before requesting the change and assist in specific options. Conflicts identified may be between scheduled activities, which rules define as mutually exclusive, or 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 this 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, the 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.

**Mark Location Where Incident Occurred:** The user will click on the location closest to where the incident occurred. If in a correctional facility, the user will be presented with a map of the facility from an elevated aerial view without all the details of each building. If the incident occurred in an exterior location, on the “yard,” or a similar location, the user marks the location on the screen. If the incident occurred in a housing unit, intake processing, kitchen, or similar location, the user would select that building for the expanded view. This expanded view, or next layer, will now show the details of the building, including walls, corridors, cells, doors, etc. The user will then click where on this expanded view the incident occurred.

If the incident occurred in the community, the user will be presented with a map of the community. Although many geographic details of the community will be present on the community map, such as streets, buildings, water bodies, etc., expanded details of the buildings will not be present. The user then marks the location or building where the incident occurred.

**Match Visitor Identifiers:** When visitors arrive for visitation, their personal information is obtained, and the visitor records is searched 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 are adhered to when reaching an agreement.

**Notify:** The notification activity produces and disseminates appropriate information to make staff aware of an event and/or initiate 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 Classification, Health, and Internal Affairs:** Upon notice of a potential PREA incident/threat, the staff is to notify classification, health care, and internal affairs in a timely manner so that any treatment or action can begin.

**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 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 property information, which would help the facility prepare for the release.
Notify Parole Supervisor: Procedure to notify the parole supervisor responsible for a parole release.

Notify PREA Victim of Outcome: Upon conclusion of the investigation, appropriate authorities are to notify the victim of the results, any action to be taken on behalf of the victim, and any action to be taken against the perpetrator.

No Special Conditions for Assignment – Analyze Typical Bed Profile for Assignment: With no special conditions required, the user will follow the normal CMS bed assignment screening process and assign the inmate to an eligible bed.

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

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

Offenders assessed as Potential Victims or Predators: For those offenders assessed as potential victims or predators, their PREA-related classification factors will drive specific assignments to a facility, housing, and work or programs.

Offenders not assessed as potential victims or predators: Those not assessed as needing additional classification attention are to be processed pursuant to their existing factors.

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

Offender Opens Agency-Issued Smartphone App: Once the agency app is downloaded to the offender’s smartphone, secure log-in credentials (including biometrics) are established. The offender can log into the app when a cellular or Wi-Fi signal is available.

Offender Possesses a Smartphone: One of the advantages of developing an agency-issued smartphone app is that most offenders under community supervision possess a smartphone. Thus, the agency does not have to procure devices for those offenders.

Offender Release Processing: At a prescribed time before release, preparations are made for the offender’s release from custody.

Open Incident Reporting Function in CMS: For incidents requiring an incident report, staff open the Incident Reporting function in their CMS.

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 before non-compliance behavior will be imposed. This may be imposed as a part of an informal administrative sanction or because of a hearing.

Orientation: For offenders just received at a new facility, and in some cases, housing unit, staff must acquaint the offender 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 the community for supervision, this will include an initial orientation and possible reassessment.

Outline Requirements: If a role does not exist that matches a business process or data access permission, outline requirements for role creation with the application owner or third-party vendor and assign users to the newly created role. This ensures that application and data access is restricted appropriately.

Overturk 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.

Parole Commissioner Records Vote in App: Once scheduled for final review by the parole board, the commissioner then uses the app to vote and provide final conditions of parole.

Parole Commissioner Reviews Docket in App: Upon completion of any preliminary interview or screening process, the inmate's name appears in the CMS as eligible for the subsequent review by the parole board or similar authority. The names of inmates awaiting review are routinely scheduled on a docket for final determination. A parole board member can then review the initial interview, assessment, and recommendation on the app.

Parole Examiner Interviews Inmate: For agencies that utilize an initial interview of the inmate, the interviews are often completed by a parole field examiner, a similar position, or a parole board member. The interviews routinely occur at the facility where the inmate is housed, and the interviewer will utilize a mobile device during the interview.

Participate in Video Interviews and Treatment: Leveraging the video call capability of the smartphone allows an offender to participate in video counseling or interviews.

Perform Account Correction: In the event 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.

Perform Self-Reporting: With a secure sign-on capability supported by biometric validation, an offender can now perform a remote check-in lieu of reporting to an office. Although smartphone self-reporting may not be appropriate for all offenders, it may be utilized for those offenders classified as less than high-risk. Self-reporting may include responding to a questionnaire on employment & residence, status, updating contact information, etc.

Pick a Threat Modeling Framework: Cybersecurity professionals review different threat modeling frameworks and pick one most suitable to the system or application selected for threat modeling.

Place on Transportation Schedule: Add an offender to 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 on non-verified sentencing orders information. Information such as time served, the sentence for each offense, controlling sentences, etc., will all have to be validated later in the process. The preliminary calculation gives the 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 are processed according to information release procedures.

**Produce Override Request:** When 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 decide. 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 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.

**Reallocate, Assign or Distribute Resources:** By analyzing the available layers of visualized data for facilities and community corrections, the user can determine if there are areas that may require additional or reallocated resources to bolster safety, improve staff effectiveness, reduce workload, etc.

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

**Reactivate Inmate Status:** The offender is reactivated as an inmate. The parole board controls the offender’s time 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. The 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, the evaluation process to accept the results or initiate the next available action will begin.

Receive Notice of PREA Threat or Event: Notification of a suspected PREA event or threat may be received via an incident report, victim notice, hotline call, or staff/offender observation.

Receive Monies: Monies will be received via mail, electronic transfer, or hand carried by a transport person. In 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 from an arresting agency, a correctional facility, a county jail, or another 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 the 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 several sources. This will initiate a process for tracking the property to document the items as well as their 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.

Receive Referral of Potential Victim of PREA Incident: Clinical staff receives a referral of a potential PREA incident victim.

Recommend Custody Level: After reviewing the scored custody level and the program/risk factors, the case manager must be able 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 appropriate, an override can be requested.

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

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 allow the reviewer to add and subtract transaction amounts from the
beginning balance and reconcile them 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 action, decision, or information 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 Home/Work Visits:** As parole and probation officers conduct home/work visits, they record pertinent information related to the visit (update demographics, addresses, phone numbers, vehicles, relatives, employment, etc.).

**Record Management Plan:** The management plan is entered and becomes a dynamic document 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 and the reasons supporting the decision will be entered. Victim input will be kept confidential, although perhaps part of the reason will not be entered.

**Record Program Denial:** After deciding if the offender should not be accepted into the program, the Program Provider will record the reasons for the denial in the system.

**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 Results of Assessment and Treatment:** Upon completion of assessment and treatment, all results are recorded in the CMS.

**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. 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 simply affirms the policy. The sanctions that have been ordered will be recorded and linked to an infraction report. Note that many sanctions can be ordered because of a finding of guilt for a rule infraction.

**Remediate Vulnerable Code:** Any vulnerability that is discovered should be reviewed by the development team and based on risk, prioritized for remediation.

For example, if a vulnerability is determined to be High risk in terms of vulnerability exploitation and exposure, it should be fixed within a timeframe outlined by the agency's vulnerability management policy (mentioned
above). Any vulnerability that is discovered that is critical should be fixed immediately. Based on the risk, an application code-level vulnerability is just as risky as an operating system vulnerability.

For example, if an attacker gains unauthorized access to an OMS application, application functionality and any data stored by the application may be affected. The integrity, confidentiality, and availability of the system have been compromised.

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

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

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

Render Grievance Decision: After reviewing all correspondence associated with 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 to the activity that might affect the facility schedule and that of assigned offenders. The specifics may include the activity's time, location, and duration. There would be the ability to review potential conflicts before requesting the change to assist in specific option choices.

Request Activity Reinstatement: When it is determined that an activity currently is not active but does not provide for all needs outlined in the activity specification, a request is initiated to modify the program to satisfy these needs. The request to reinstate an activity will include details about the specific time and location. 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 are often considered when developing the reentry plan.

Request Music, Videos, Books: As an entertainment option for the inmate, they can request music, games, videos, books, etc. that are provided by a vendor or the agency.

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 is necessary for the decision-making process that will result in the appropriate authorization or denial of the request.
**Request Records, Status, Good Time Awards, etc.** The inmate may also view information from their records that they are allowed to access. This information may include the status of requests, notices of classification changes, awards or reductions of good time, approval of visitors, and other authorized information.

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

**Rerun Vulnerability Scan** – Rerun the vulnerability scan validating that all system patches have been properly applied. Some systems may not be able to be patched for various reasons. Some applications may not allow for an allowable downtime window where the system would be offline for patching. Other reasons can include the hardware or software being out of date, and, therefore, cannot accept additional patches per the outdated version of the software or firmware that is running.

Investigate any mitigating controls that might reduce the vulnerability risk if patching is unavailable. Common mitigating controls include additional network access control lists (ACLs) and further restriction of user access until upgrading applications or operating systems to current and vendor-supported versions is possible.

**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 dated and time-stamped for reference and verification of the action completed within the required time frames.

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

**Retain on Facility Waitlist:** A bed is available that 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.

**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 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 detailed 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:** In 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, movements, 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 approved by the appropriate authority. The authority may vary depending on the type of anticipated move. Offenders flagged as authorized can be retrieved anytime to identify the appropriate placement.

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

**Retrieve Classification Information:** Retrieve specific offender classification data that may have been generated through assessment and scoring for a custody level.

**Retrieve Clinical Needs:** Those clinical needs assessed by clinical staff for each offender while incarcerated. These could include treatment, 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 and derived through classification. The custody level reflects the offender’s security risks. The custody level will be retrieved when decisions that consider a security risk are required.

**Retrieve Custody Status List:** A classification tracking list is generated for offenders scheduled at a preset 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:** An appropriate plan is retrieved and verified based on the type of emergency. 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 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 the 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, including 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 directly or associated with the report for the reviewing staff to act.

**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 of 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’s response to the infraction may be the triggering event in determining the need for classification to take place.

**Retrieve Needs Assessment:** Offenders have ongoing needs assessments conducted upon intake and as needed by various disciplines. These areas could include medical, psychological, substance abuse, education, and 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, names, 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 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 to 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 to provide the releasing authority with 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 before 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 referred offenders. The Program Provider will perform a review of each offender retrieved from the list.

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

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

Retrieve Request to End Activity: A request will have been submitted to end 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 such as socioeconomic status, family characteristics, detention history, and other risk factors such as a history of violence, gang affiliation, and separation issues may be available. These risk factors should be updated throughout the offender’s incarceration and utilized for activity, facility, and community placement decisions.

Retrieve STG Information: Information regarding security threat group affiliation will be obtained from available sources 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 is gathered through the initial intake process or 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 detailed 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, religious, commissary, library, recreation, hobbies, medical/mental health services, etc.

Retrieve Termination Order: Before 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 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 number of offenders expected in and out of each facility and 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: In 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 to create a new activity or make 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 regarding offender management concerns. Instances where issues are identified, schedule corrections are initiated, and notifications are disseminated to all coordinators and participants using appropriate methods.

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

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

Review Community Corrections Caseload: Geospatial data for caseloads on a community map can be viewed in a variety of ways. The user can choose a specific parole and/or probation officer’s caseload, multiple caseloads at the same time, select offenders on a caseload, etc.

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 Gap Analysis At least Bi-Annually for Progress Towards Risk Reduction: Ongoing review of control gaps and progress should be reviewed at a minimum bi-annually. Any accepted risks should also be reviewed at least annually to ensure the risk should continue to be accepted or due to current threat models, be prioritized for remediation.

Review Grievance Correspondence: In the final review level, all correspondence associated with a grievance issue is reviewed to reach a decision. This includes ensuring all procedures and policies have been followed within the prescribed time.

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 determine acceptability. The review will result in either acceptance into the program or a denial.

Review Release Date: Review 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 approaching the end of their incarceration and will require processing for release.

Review the Risk Criticality of the patch: This is a very important step during the patch and vulnerability management process. If a critical
risk is addressed in a patch published by a third-party vendor, the agency needs to identify what systems are affected, including where they are located on the network. Utilizing the system inventory discussed in the above section is essential for identifying system information. If a system is exposed to the Internet, the risk of the vulnerability being exploited by an attacker is most likely higher than if the system was located on the internal network behind firewalls and other mitigating controls and security defenses.

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

Review Triggering Events: All triggered alerts on any threat use case rules that are triggered should be reviewed and investigated. It is important to document what was reviewed, the procedures used to investigate, and the outcome or resolution of the triggered event.

Continue to build and tweak use cases as application functionality and new business processes are introduced. If a threat use case alert gets triggered multiple times for the same behavior deemed a false-positive, for example, review the rules used to trigger the alert and investigate, then make any needed adjustments. This will help tune the alerting system and ensure time and energy are spent on important events, making the process increasingly efficient and effective.

Review Users: Conduct a review of application users, and job roles at least annually, certifying all user access to data is appropriate. This review should also ensure that previously employed users no longer with the organization have been properly removed from accessing the application.

Application users should be removed from applications upon the termination of employment (voluntary or involuntarily).

If a user termination process does not exist, it should be created and incorporated as part of the periodic user access review process. This will validate the effectiveness of the termination and user de-provisioning process. Any user that has changed roles within the organization should have existing access rights reviewed and updated as appropriate to the new role.

Revise Activity Schedule: Functions and tasks relative to affecting changes to the activity schedule 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.

Risk Rank Identified Threats: Use a risk ranking methodology such as DREAD and perform a threat ranking process to properly risk rank identified threats. Prioritize threats based on risk to ensure proper attention is placed on the highest risk to the protection of the system, application, and data.

Schedule Activity: The process of reviewing activity specifications and assigning days and times the activity is to be held. The process includes an 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:** In instances where the offender and staff need to communicate, a method is developed to establish the contact appropriately. Generally, this involves defining a date and time for the contact and sending appropriate notifications 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 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 a 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 include STG-related activity, history, affiliation, and confirmation by other LEA or Corrections agencies. Each criteria factor is rated with a score to determine affiliation level. The offender will be classified as passive, active, and disruptive.

**Seek Appointment, File Grievance, Order from the Canteen, etc.:** In addition to the ability to view certain information from their records, inmates can also interact with secure CMS inmate functions as authorized. These functions may include requesting appointments with staff (classification, health, custody, etc.), filing grievances, requesting action on processes such as Interstate Compact, ordering from the canteen, interacting with their inmate funds account, etc.

**Select Characteristics** – After a user selects the geographic area to be viewed, they select the characteristics. Options include a full caseload, a subset of a caseload, multiple caseloads, etc.

**Select Community Corrections Area** – Upon viewing the community corrections geospatial map, the user can select a specific geographic area to view. Options include the entire jurisdiction, such as a state or county, or a smaller subset of that map, such as a county or supervision catchment area within a state.

**Select Data Layer to Visualize:** Once a facility is selected, the user is presented with a menu of geospatial data to view. Some of these options may include locations of selected incident reports, disciplinary infractions such as violent assaults, and demographics such as race, age, ethnicity, etc. The type of data that can be viewed on a geospatial map is only limited by what is available from the CMS and its applicability to geospatial analysis.

**Select Date Range for Visualization:** To manage data related to a time or date, it is often presented with the option of selecting a date range. By selecting a date range, the user can focus on certain date periods and limit the amount of data to improve visualization.

**Select Facility or Community Map:** Depending on the operations to be analyzed, the user
selects a correctional facility and/or community corrections community map.

**Select Specific Building from Facility Map:** A user can further analyze specific building data by selecting that building on the full facility map and “drilling down” to the next layer, the expanded view of the building. In this manner, the user is presented with details such as rooms, walls, cells, officers, etc.

**Select Specific Facility from Agency Map:** The first map level normally viewed for an agency with multiple facilities would be that of the agency’s physical jurisdiction, such as state borders for a prison system. If the agency is comprised of one facility, then that facility would be the first to be viewed. If the user wishes to view data for a particular facility, the user selects that facility from the map and “drills down” to the next level.

**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 because 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 because 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.

**Special Conditions for Assignment – Select Special Characteristics to View and Compare:** If an inmate has special conditions that require additional assessment before housing placement, those conditions can be visually compared to other inmates in housing units at the facility. The user will select the data to be viewed, e.g., potential PREA Predators, which will then show all inmates classified as such in the facility and which beds they are assigned to.

**Staff Use Mobile Device:** As staff interacts with offenders during intake processing, staff utilize the appropriate mobile device and app to complete the processing step.

**Status Review:** The community corrections officer monitors events that will initiate a review of the offender’s compliance and 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 Geospatial Risk Assessment:** An STG investigator or other correctional staff proceed to analyze STG housing and incidents.
**STG Status Review:** The STG Officer monitors events that will initiate a review of the STG validation process and 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 require a review process that will result in either 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 before the decision becomes final. The outcome of the review will be entered, either approved or disapproved. With disapproval, the reasons will be provided.

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

**Take Facial, Scar, Mark, and Tattoo Photos:** Utilizing a mobile device, staff capture photos of the front and side of the offender’s face and details of scars, marks, and tattoos.

**Take Photos of Offender, Home, etc.** During home/work visits or while in the office, P&P officers can utilize the device camera function to update offender photos, photograph recent tattoos, take photos of the home and surroundings, etc. These photos will automatically upload to the appropriate location in the CMS.

**Test Patches:** Test patches in test and/or lower IT environments before patching production. This is a very important step as some patches might negatively affect the application running on the system, and therefore more time for testing is needed.

**Track Health Care, Interactions, and Medications:** A clinician records routine rounds and interactions with the inmate, logs activities, tracks medication administration, etc.

**Track PREA Investigation and Record Results:** From the initial notice of the incident/threat, all details of the investigation should be entered into the CMS. Details of the incident, reporting authority, action taken, subsequent reviews of the investigation by management staff, and other relevant details are to be recorded. The incident will be assessed as either a substantiated PREA incident or not.

**Track Interaction with Inmate:** Staff record interactions, responses, and assessments of inmates in the unit. Additionally, if using RFID or QR/bar codes, staff can validate cell checks during rounds.
Understand the Purpose of the Application or System: Cybersecurity professionals meet with business owners of applications and systems. The meeting is to determine the criticality and risk of systems in each area or function.

Update Activity Record: When an 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 before 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 the offense was violent, if the offense involved a child, etc.

Update Sex Offender Registry: The 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.

Use GPS Navigation to Route Visits: With detailed information on the mobile device, community corrections staff can build a list of offenders for home or work visits. Utilizing the inherent GPS capabilities of the device, the app can then build the most efficient route for the visits that day.

Validate Fix: Once the vulnerability has been remediated, it should be tested and validated and fixed properly by the application security professional or outsourced third-party cybersecurity organization. This is important not only to ensure the flaw was appropriately fixed but also to ensure no other vulnerabilities were introduced as part of the fix.

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 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 offenders, and child abuse.

Verify Authorization: Ensure the proper authorization has been given before acting.

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 that 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 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.

View Caseload Details: Risk Level, Drug Test Results, etc.: Once the caseload or subset is viewable, the user can view further details such as risk levels, recent drug test results, employment status, next review date, etc.

View Housing Locations for a Single STG: The user selects a specific STG and views the housing assignments for all inmates of the same STG. When the housing locations appear, the user can analyze how the STG members are distributed. Issues to look for include a cluster of STG members housed near each other, high concentrations of STG members, STG members housed near reoccurring disruptive or criminal activity, etc.

View Housing for Related STG: The user selects multiple STGs to view their housing assignments. Issues to look for include the housing relationship between STGs, clusters of STG members compared to other STGs, appropriate distribution of the STG population, etc.

View Resources, Texts, Obligations, and Conditions: As the app is integrated with the agency CMS, an offender can easily view financial obligations, video courses, status updates, conditions of supervision, etc. Additionally, with the added benefit of issuing text messages from the CMS, an offender can receive direct communications from the agency or supervising officer.

View STG-Related Incidents and Disciplinary Reports: The user selects incident or disciplinary reports and their location for viewing. The user can analyze the relationship between disruptive or criminal behavior to specific or multiple STGs by focusing on the reports with STG-related perpetrators or accomplices.
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 denying deposits, withdrawals, or both from occurring.

**Active Trust Account:** A trust account with a current balance and can have deposits and withdrawal transactions posted.

**Assessed:** The official result of applying testing or evaluation methods 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 caseload. In some instances, assignment is the retention of an existing assignment after a review process, and the relationship continues as before 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 the law.

**Classified:** Assigned to a category of custody.

**Cleared:** When an action is performed to verify or validate the 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 movements 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 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 period.

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

**Program Completed:** Instances where all program completion requirements have been satisfied.

**Property Issued:** The 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 previously scheduled one 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 the 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 where the offender is released from incarceration with the correctional department/agency.

**Released:** The 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 with 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 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.