

Common Business Functions for Correctional Management Systems



IJIS Institute



Volume 2 – Business Scenarios
Part A – Reception and Commitment

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Corrections Technology Association*

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1. BUSINESS FUNCTION: RECEPTION AND COMMITMENT

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

Reception and Commitment Use Case Diagram

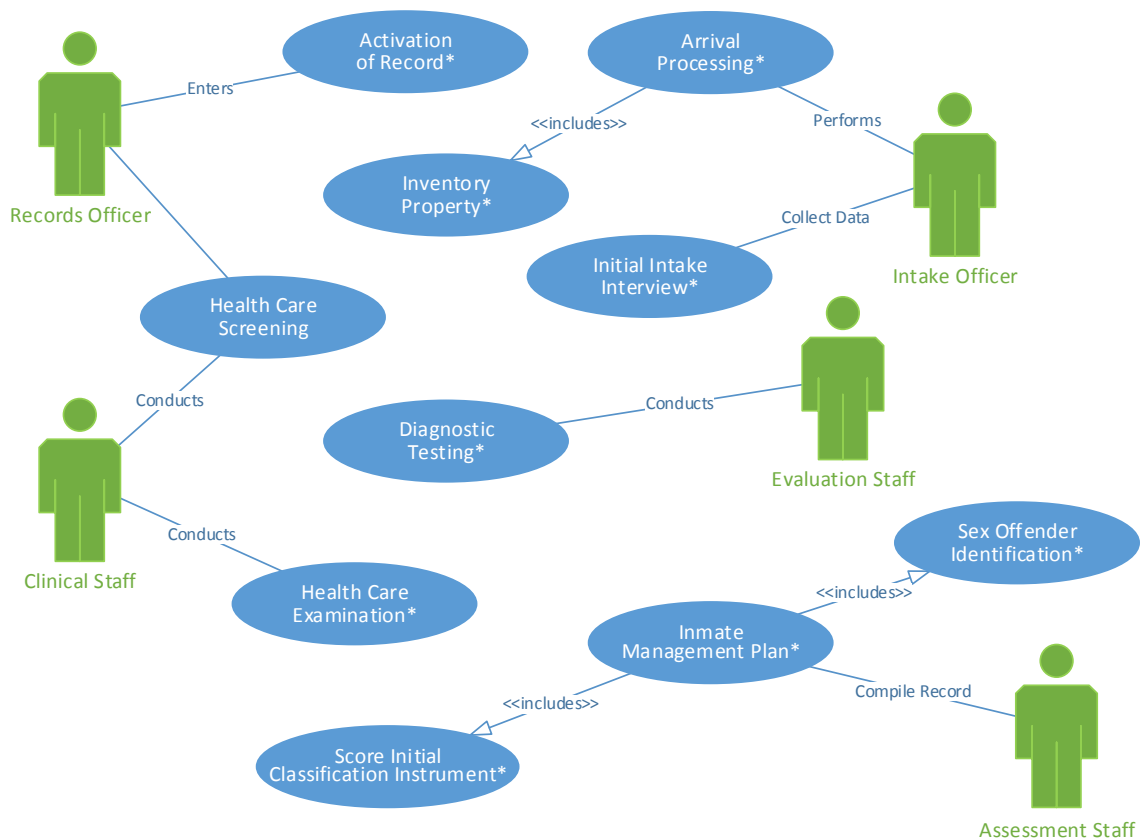


Figure 1: Reception and Commitment Use Case Diagram

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

1.1 Use Case Specification: Arrival Processing

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

Arrival Processing Activity Diagram

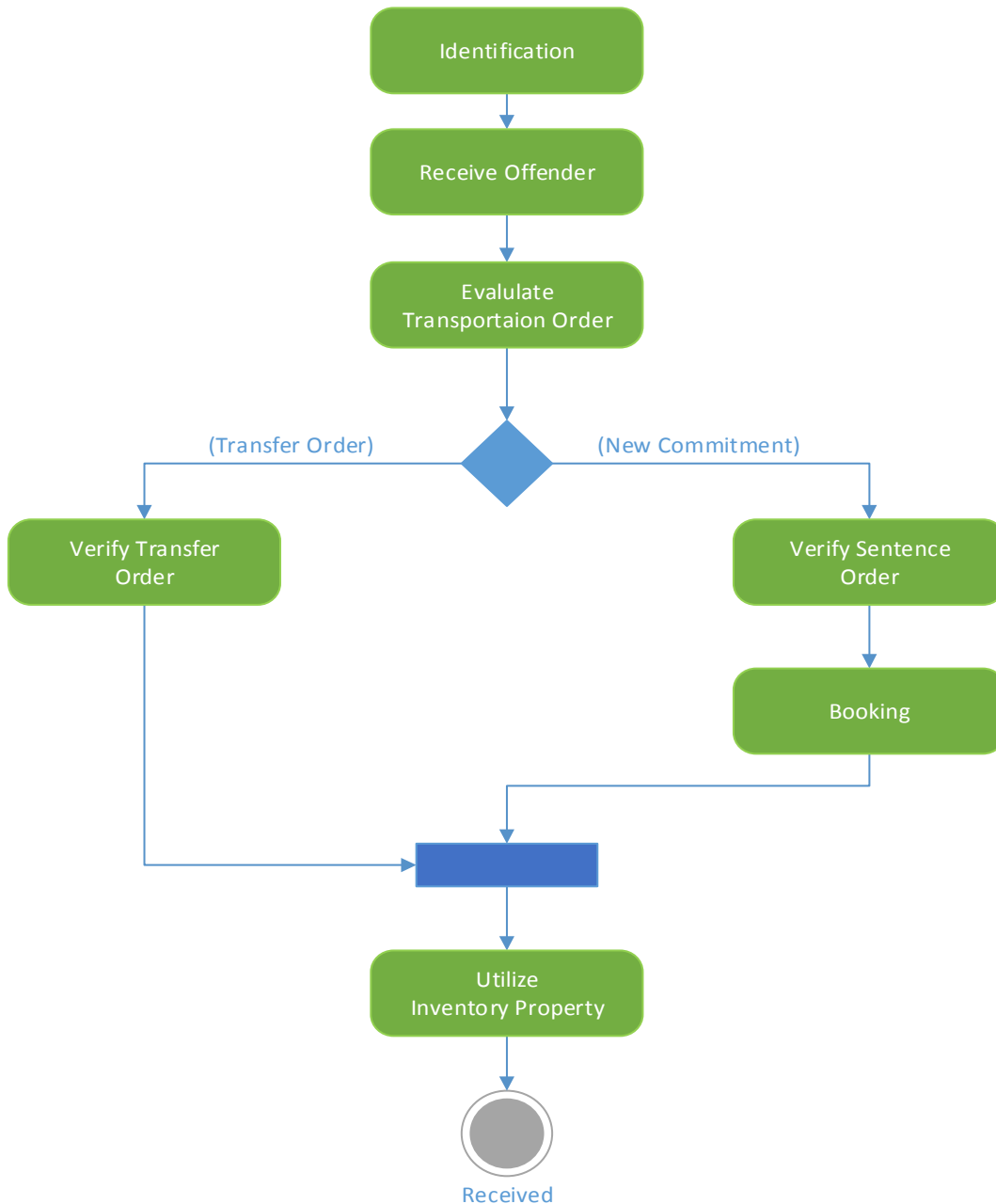


Figure 2: Arrival Processing Activity Diagram

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

1.1.1 Flow of Events

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

- Data provided: Demographic Characteristics

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

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

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

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

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

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

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

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

- Data provided: Sentences Imposed

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

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

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

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

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

1.2 Use Case Specification: Activation of Record

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

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

Activation of Record Activity Diagram

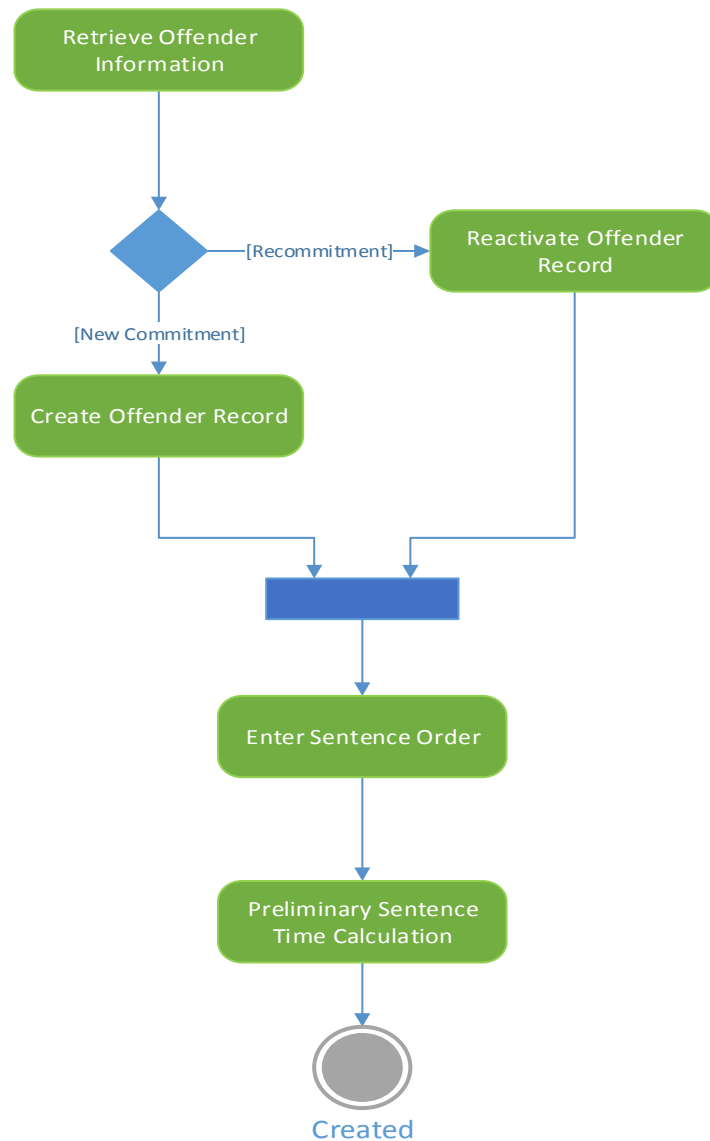


Figure 3: Activation of Record Activity Diagram

1.2.1 Flow of Events

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

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

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

- Special requirements:

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

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

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

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

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

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

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

- Data provided: Projected Release Date

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

1.3 Use Case Specification: Inventory Property

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

Inventory Property Activity Diagram

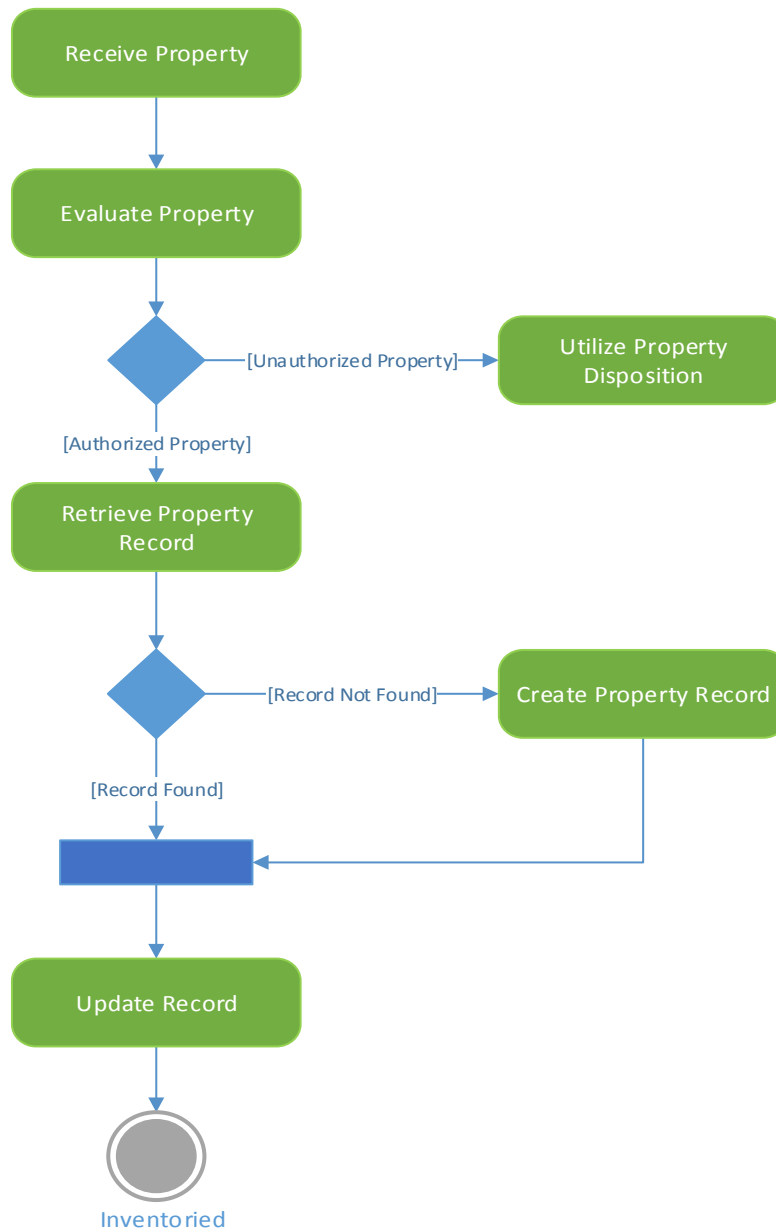


Figure 4: Inventory Property Activity Diagram

1.3.1 Flow of Events

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

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

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

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

- Data provided: Property Record

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

- Data provided: Property Record

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

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

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

1.4 Use Case Specification: Initial Intake Interview

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

Associated Actor	Relationship	Description
Intake Officer	Collect Data	

Initial Intake Interview Activity Diagram

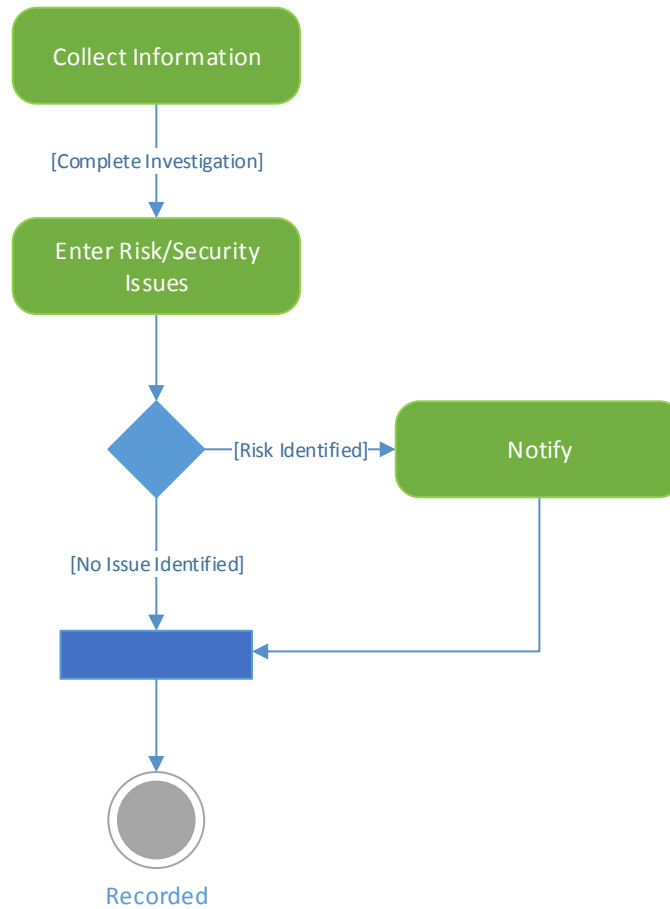


Figure 5: Initial Intake Interview Activity Diagram

1.4.1 Flow of Events

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

- Data provided: Offender Profile Data, Offender Identifiers

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

- Data provided: Security Risk Data, Security Risk Data

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

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

1.5 Use Case Specification: Health Care Screening

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

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

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

Associated Actor	Relationship	Description
Clinical Staff	Conducts	

Pre-Condition	Description
None	
Post-Condition	Description
None	

1.6 Use Case Specification: Diagnostic Testing

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

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

Diagnostic Testing Activity Diagram

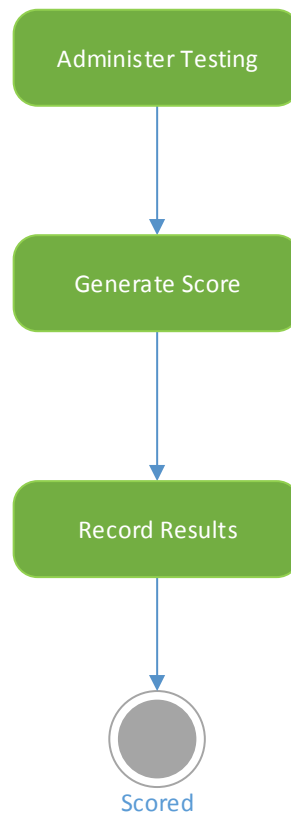


Figure 6: Diagnostic Testing Activity Diagram

1.6.1 Flow of Events

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

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

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

- Data provided: Test Scores

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

- Data provided: Test Interpretation
- Special requirements:

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

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

1.7 Use Case Specification: Health Care Examination

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

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

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

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

Associated Actor	Relationship	Description
Clinical Staff	Conducts	

Health Care Examination Activity Diagram

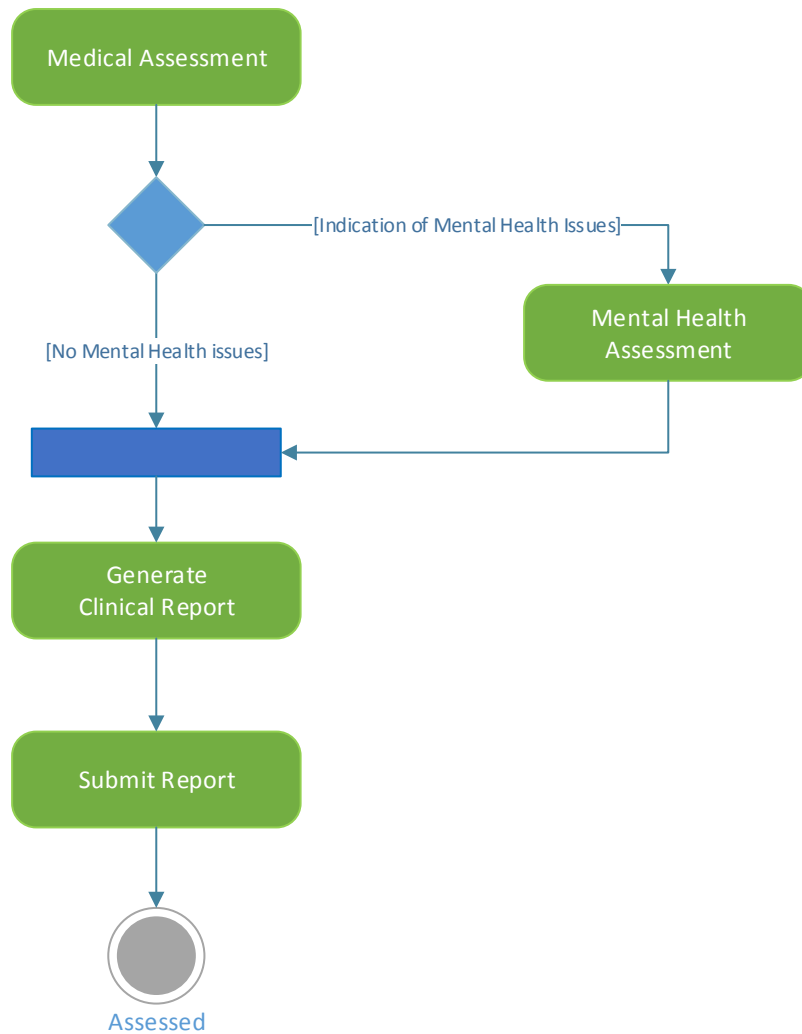


Figure 7: Health Care Examination Activity Diagram

1.7.1 Flow of Events

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

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

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

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

- Data provided: Medical Health Data, Mental Health Data

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

- Alternative flows: Medical information may not be distributed.

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

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

1.8 Use Case Specification: Sex Offender Identification

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

1.8.1 Flow of Events

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

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

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

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

Sex Offender Identification Activity Diagram

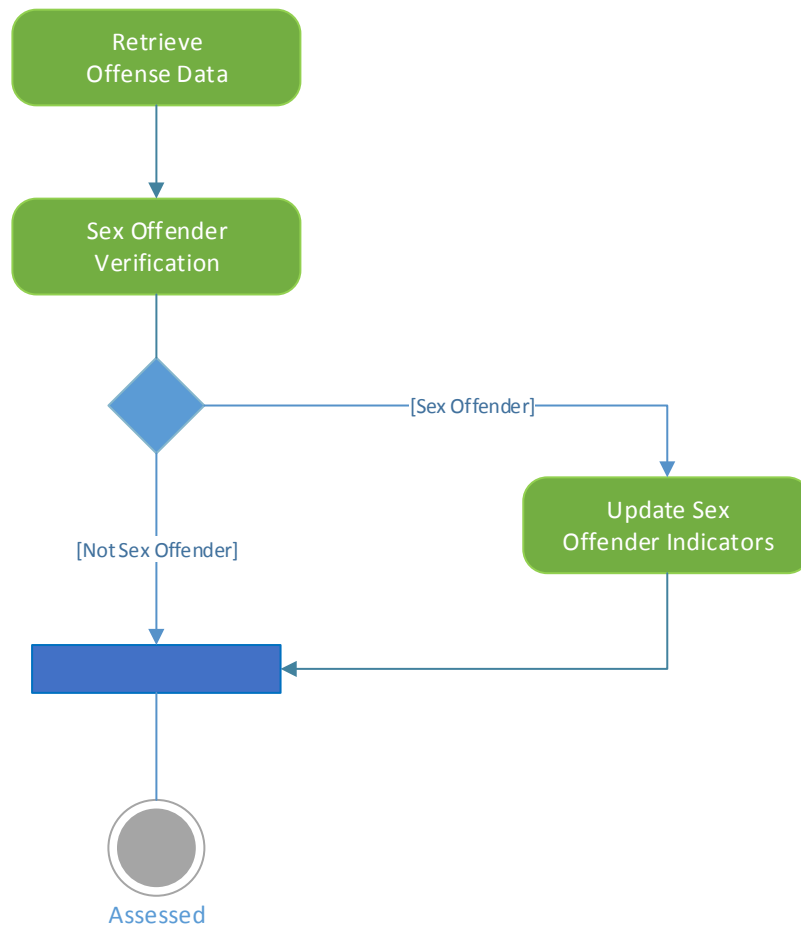


Figure 8: Sex Offender Identification Activity Diagram

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

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

1.9 Use Case Specification: Initiate Management Plan

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

Initiate Management Plan Activity Diagram

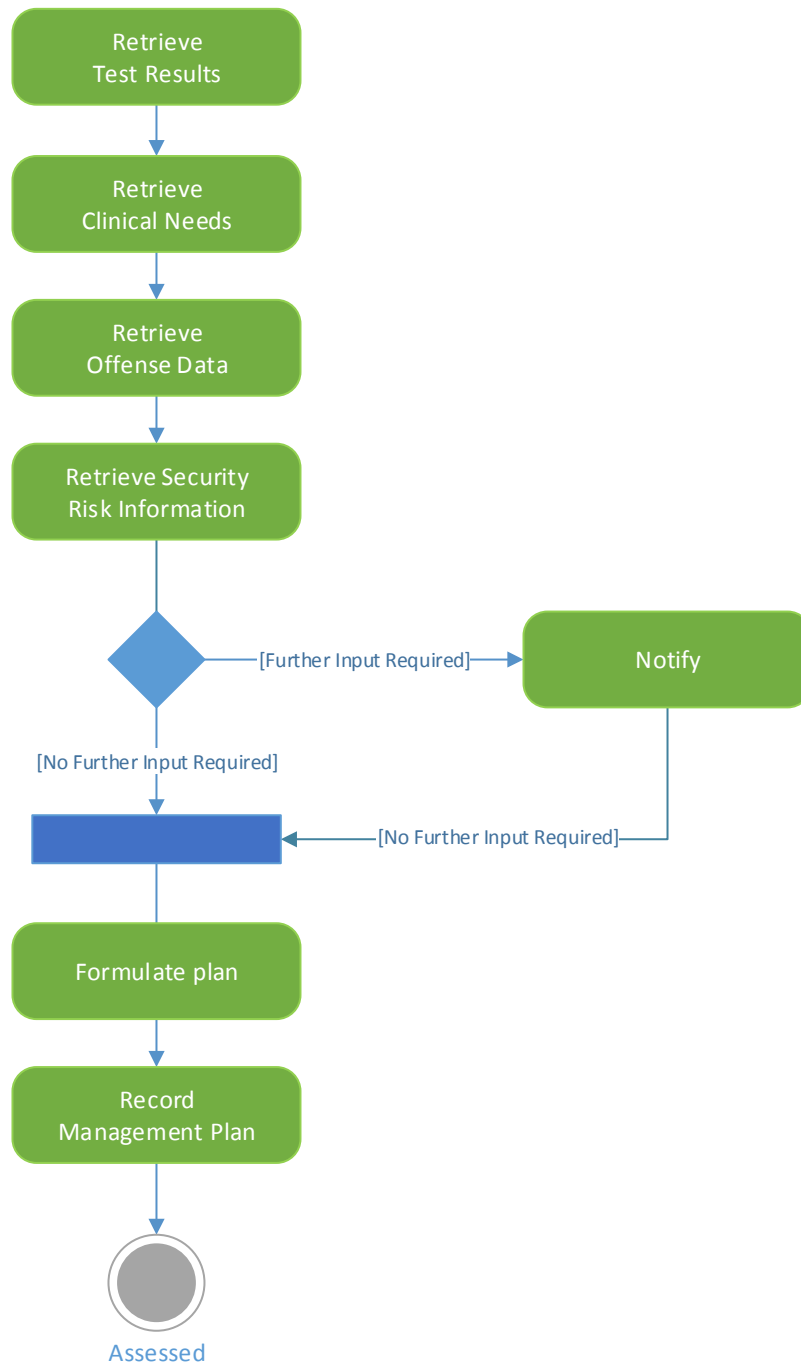


Figure 9: Initiate Management Plan Activity Diagram

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

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

1.9.1 Flow of Events

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

- Data provided: Test Scores, Test Interpretation

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

- Data provided: Clinical Data

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

- Data provided: Conviction Offenses

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

- Data provided: Security Risk Data, Security Risk Data

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

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

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

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

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

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

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

1.10 Use Case Specification: Score Initial Classification Instrument

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

1.10.1 Flow of Events

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

These risk factors may be updated throughout the offender's incarceration period and used for activity, facility, and community placement decisions.

- Data provided: Socio Economic Status, Family Characteristics, Detention History, Risk Assessment.

Score Initial Classification Instrument Activity Diagram

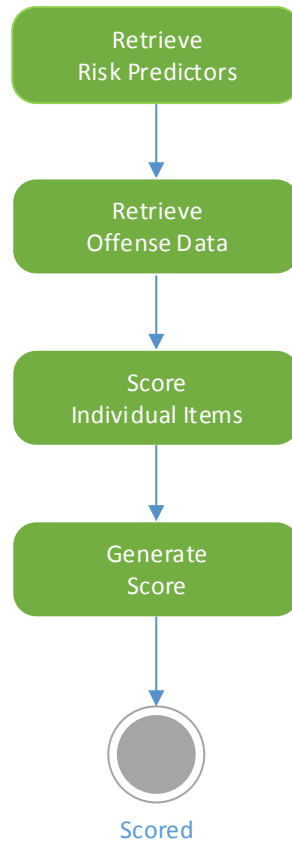


Figure 10: Score Initial Classification Instrument Activity Diagram

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

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

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

- Data provided: Classification Item Scores.

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

- Data provided: Classification Score.

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