

Common Business Functions for Correctional Management Systems



IJIS Institute



Volume 2 – Business Scenarios

Part E – Security

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Corrections Technology Association*

26 November 2015 – v2.0

Revision History		
Version 1.0	June 2004	Original Document
Version 1.1	June 2015	Content Revision
Version 1.2	Nov. 2015	Technical Edit and Formatting

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1. BUSINESS FUNCTION: SECURITY

This use case describes the functions that are necessary for establishing and maintaining the security of a correctional department/agency. These functions include the custody and control of offenders during their incarceration period, by enforcement of a defined secured perimeter, accountability of offenders by conducting regularly scheduled and unscheduled counts, and processing offenders into and out of facility control. Key control, searches, tool control, communications and other operational functions are regulated within the security program for each facility. Emergency planning is an integral part of this process, which includes escapes, hostage incidents, disturbances, fires, natural disasters, external breaches, employee and inmate strikes.

Security Use Case Diagram

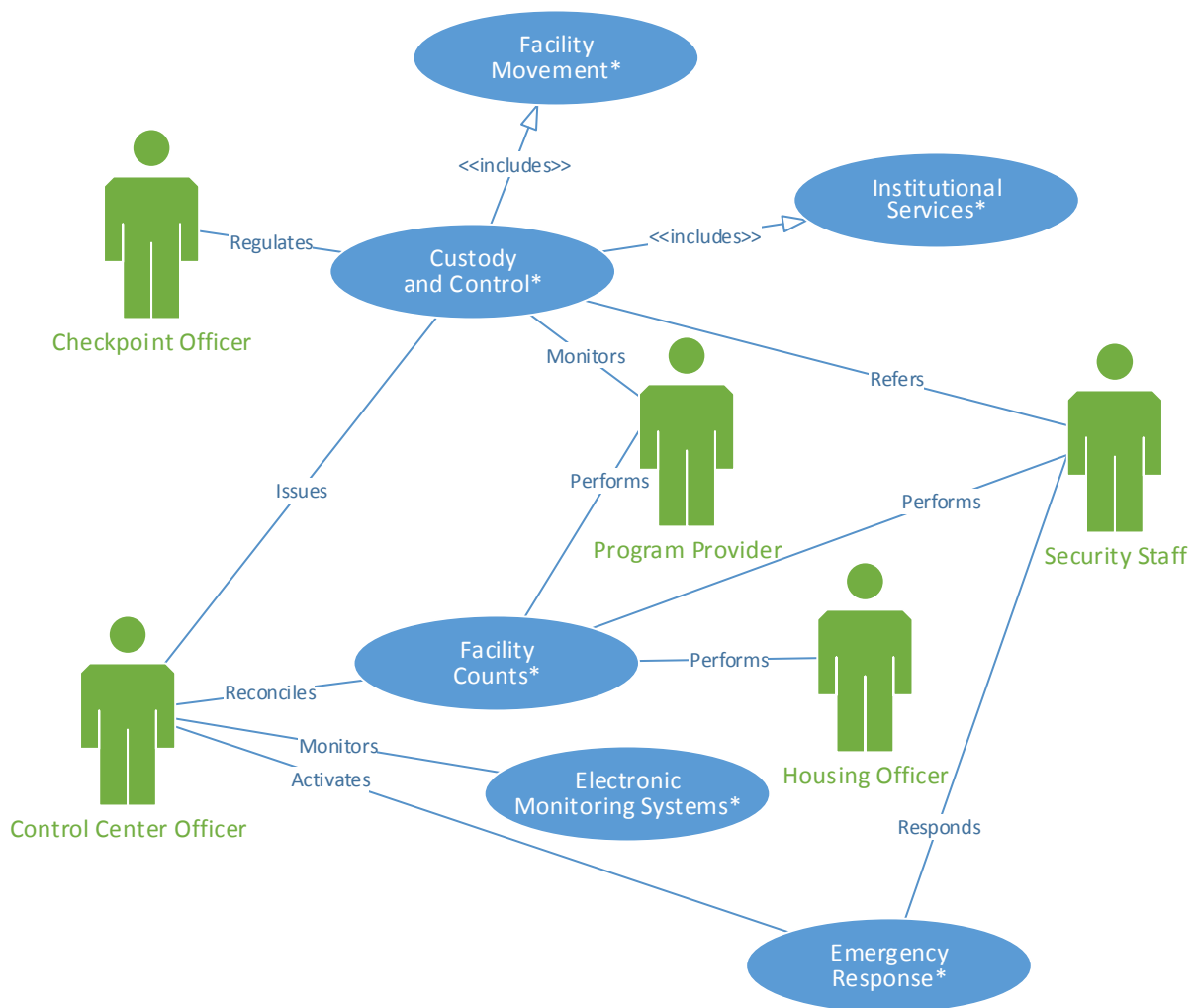


Figure 1: Security Use Case Diagram

Associated Actor	Relationship	Description
Control Center Officer	Issues	
Security Staff	Performs	Housing and other staff responsible for offender supervision may become involved in performing custody and control.
Program Provider	Monitors	
Checkpoint Officer	Regulates	

1.1 Use Case Specification: Facility Movement

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

1.1.1 Flow of Events

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

- Data provided: Schedule Data, Schedule Data, Activity Schedule, Activity Specifications.
- Special Requirements:

Special Requirement	Description
ACA Standard: Inmate Movement 4-4188 Regulate Inmate Movement	<p>Written policy, procedure, and practice provide that the staff regulate inmate movement.</p> <p>Comment: All inmate movement from one location to another should be controlled and supervised by staff, including individual and group inmate movement to and from work and program assignments. A master pass list for each day can assist in accounting for movement without restricting or discouraging participation in program activities.</p>

Facility Movement Activity Diagram

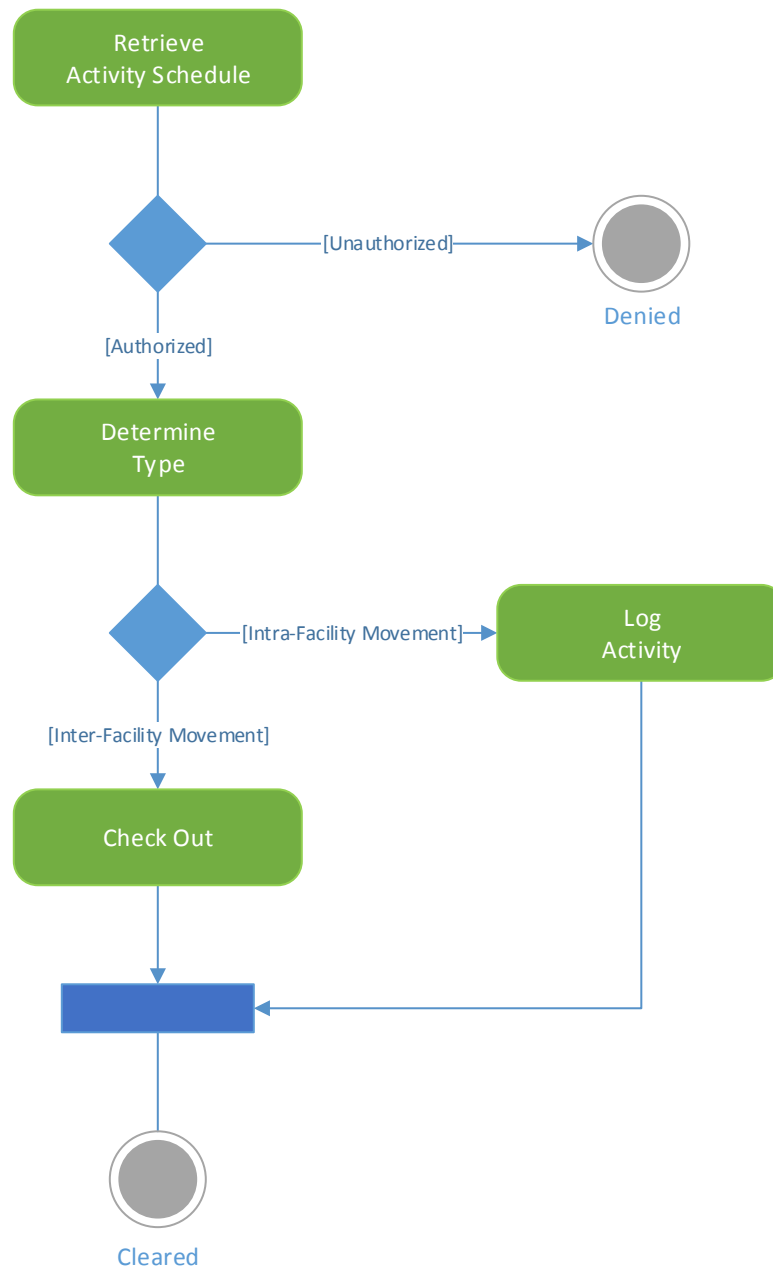


Figure 2: Facility Movement Activity Diagram

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

- Data provided: Movement Type, Movement Type.

(If inter-facility movement) Check Out - Logging the offender out to transportation, maybe for a day trip or a facility transfer.

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

Pre-Condition	Description
None	
Post-Condition	Description
Cleared	When an action is performed to verify or validate information and it is accepted as factual, the instance is considered completed, or cleared for further activity.
Denied	A review has resulted in a decision to deny a request or action.

1.2 Use Case Specification: Custody and Control

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

1.2.1 Flow of Events

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

- Data provided: Incident Report.

Alternative Flows:

Detail
Agencies may not schedule searches; instead, they perform searches at random.

Custody and Control Activity Diagram

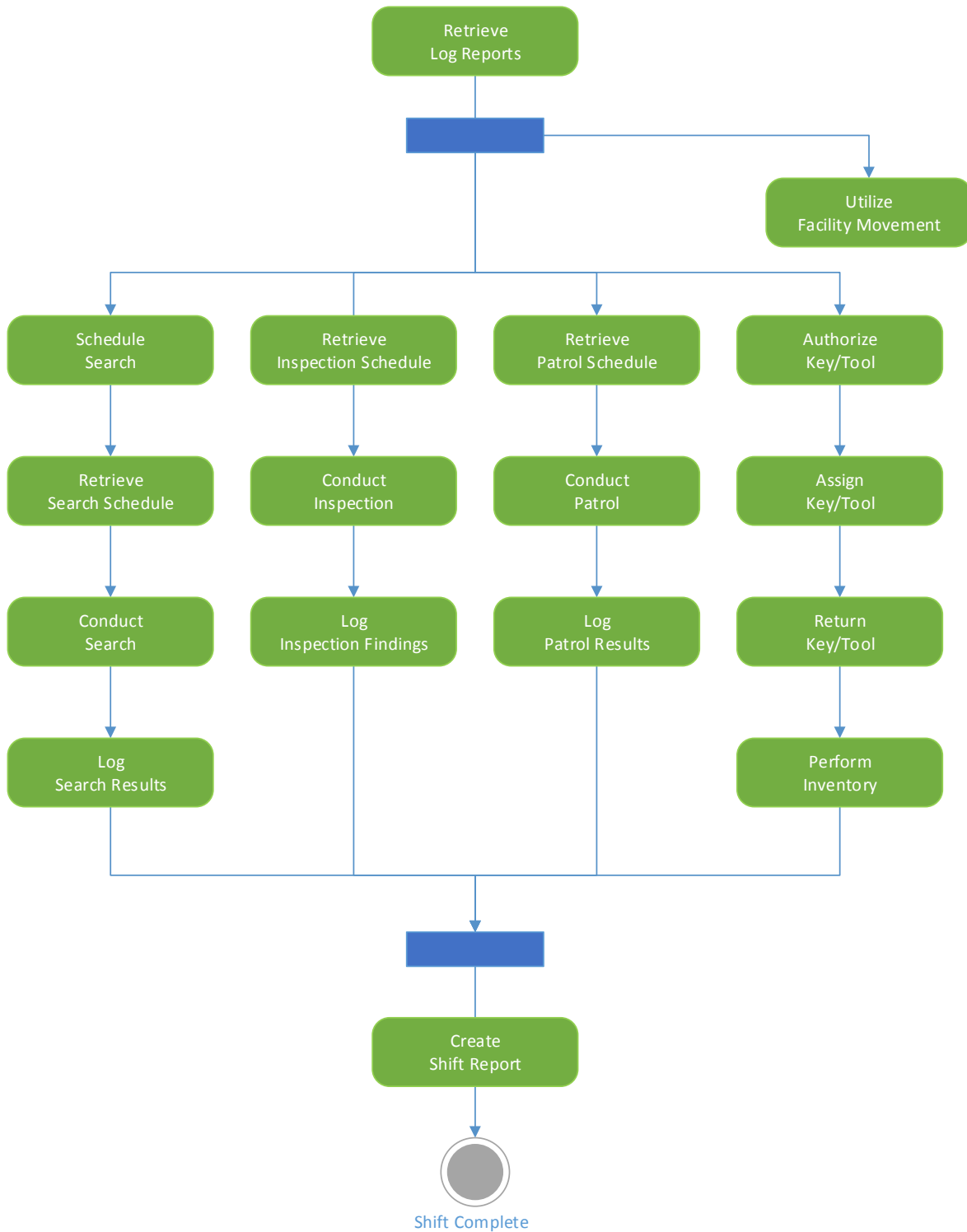


Figure 3: Custody and Control Activity Diagram

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

- Data provided: Activity Schedule.
- Special Requirements:

Special Requirement	Description
ACA Standard: Control of Contraband 4-4192 Searches	<p>Written policy, procedure, and practice provide for searches of facilities and inmates to control contraband and provide for its disposition.</p> <p>Comments: The institution's search plans and procedures should include the following:</p> <ul style="list-style-type: none"> • Unannounced and irregularly timed searches of cells, inmates, and inmate work areas. • Conduct of searches only as necessary to control contraband or to recover missing or stolen property.

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

- Data provided: Schedule Data, Location.

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

- Data provided: Property Identifiers, Offender Identifiers, Location, Date/Time.

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

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

- Data provided: Property Identifiers, Schedule Data.

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

- Data provided: Property Identifiers, Equipment Condition.
- Special Requirements:

Special Requirement	Description
ACA Standard: Inspections 4-4186 Security Device Inspections	Written policy, procedure, and practice require that the chief security officer or qualified designee conduct at least weekly inspections of all security devices needing repair or maintenance and report the results of the inspections in writing.

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

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

- Data provided: Schedule Data, Location.

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

- Data provided: Patrol Observations.
- Special Requirements:

Special Requirement	Description
ACA Standard: Patrols and Inspections 4-418 Daily Patrol	Written policy, procedure, and practice provide that supervisory staff conduct a daily patrol, including holidays and weekends, of all areas occupied by inmates and submit a daily written report to their supervisor. Unoccupied areas are to be inspected weekly.

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

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

- Data provided: Equipment Data.
- Special Requirements:

Special Requirement	Description
ACA Standard: Controlled Access and Use 4-4195 Key Control	(Mandatory) Written policy, procedure, and practice govern the control and use of keys.
ACA Standard: Controlled Access and Use 4-4196 Tool Control	(Mandatory) Written policy, procedure, and practice govern the control and use of tools, culinary, and medical equipment.

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

- Data provided: Equipment Data, Equipment Accountability.

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

- Data provided: Equipment Data, Equipment Condition.

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

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

- Special Requirements:

Special Requirement	Description
ACA Standard: Permanent Log 4-4183 Permanent Log and Shift Report	Written policy, procedure, and practice require that correctional staff maintain a permanent log and prepare shift reports that record routine information, emergency situations, and unusual incidents.

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

Pre-Condition	Description
None	
Post-Condition	Description
Shift Complete	The termination of a scheduled work period.

1.3 Use Case Specification: Institutional Services

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

Institutional Services Activity Diagram

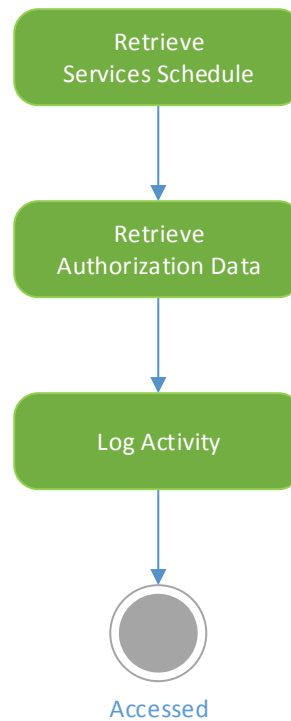


Figure 4: Institutional Services Activity Diagram

1.3.1 Flow of Events

Retrieve Services Schedule - Access information sources to obtain institutional services summary or detail information. In some facilities a central management area will maintain services schedule information on boards that can be readily viewed. The information retrieved is subject to security permissions, and in some instances, will be filtered for specific functional units or facilities. Services include food services, religious services, commissary, library, recreation, hobbies, medical/mental health services etc.

- Data provided: Schedule Data.

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

- Data provided: Authorization Data.

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

- Data provided: Activity Identifiers, Offender Identifiers, Date/Time.

Pre-Condition	Description
None	
Post-Condition	Description
Accessed	A successful result of obtaining access to someone or something.

1.4 Use Case Specification: Facility Counts

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

Associated Actor	Relationship	Description
Housing Officer	Performs	
Security Staff	Performs	
Program Provider	Performs	
Control Center Officer	Reconciles	

- Special Requirements:

Special Requirement	Description
ACA Standard: Security and Control 4-4187 Inmate Counts	<p>The institution has a system for physically counting inmates. The system includes strict accountability for inmates assigned to work and educational release, furloughs and other approved temporary absences.</p> <p>Comment: There should be at least one inmate count per shift. Counts should be scheduled so that they do not conflict with activity programs and normal operating procedures.</p> <p>The officer responsible for maintaining the master count record should have up-to-the-minute information regarding all inmate housing moves, work assignment changes, hospital admissions, and so on. Adequate checks should be instituted to allow for human error. All inmates in legal custody should be accounted for in the master count; all temporary absences from the facility should be explained in writing.</p>

1.4.1 Flow of Events

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

- Data provided: Schedule Data.

Facility Counts Activity Diagram

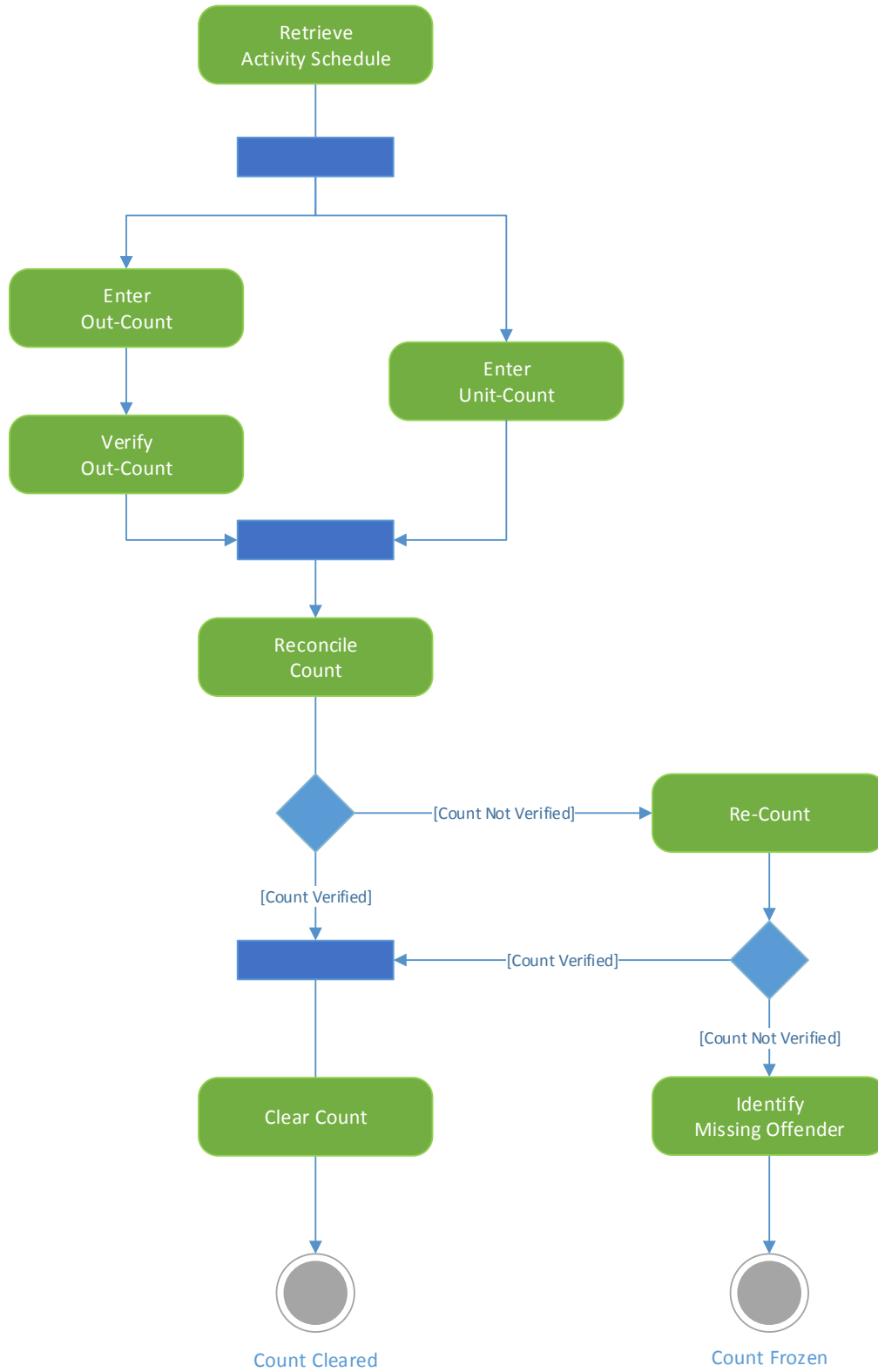


Figure 5: Facility Counts Activity Diagram

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

- Data provided: Out Count.

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

- Data provided: Out Count.

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

- Data provided: Unit Count.

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

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

- Data provided: Unit Count, Out Count, Offender Identifiers.

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

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

Pre-Condition	Description
None	
Post-Condition	Description
Count Frozen	When a formal count of offenders is performed to verify or validate their present location, and it is not accepted due to incomplete accountability, all activities and movement are suspended.
Count Cleared	When a formal count of offenders is performed to verify or validate their present location, and it is accepted as factual, the event is considered completed, or cleared, allowing for movement to resume.

1.5 Use Case Specification: Electronic Monitoring Systems

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

Electronic Systems Monitoring Activity Diagram

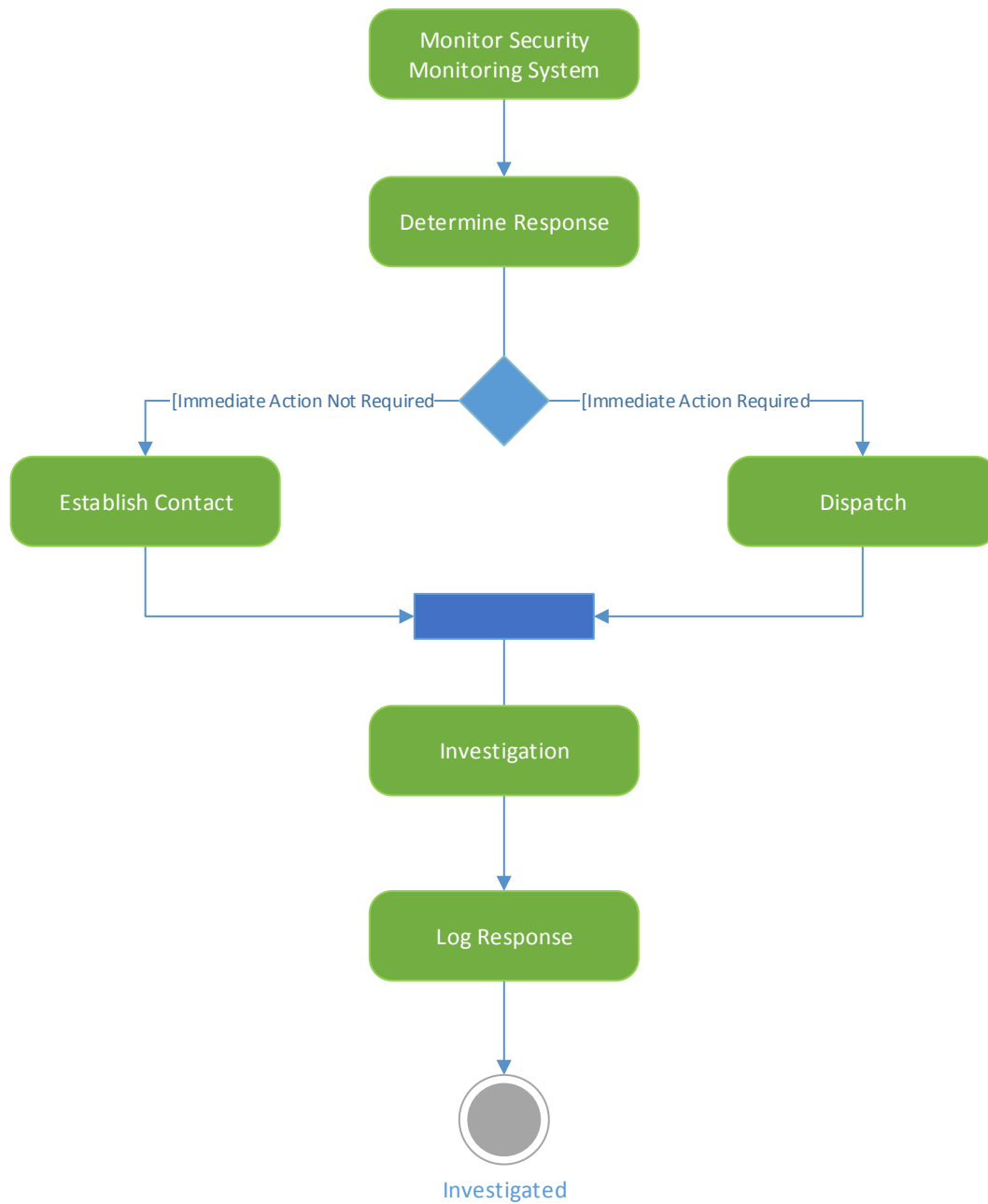


Figure 6: Electronic Monitoring Systems Activity Diagram

Associated Actor	Relationship	Description
Control Center Officer	Monitors	Some agencies do not use electronic monitoring systems.

1.5.1 Flow of Events

Monitor Security Monitoring System - Electronic systems are designed to perform specified monitoring functions utilizing a variety of technologies. Common to all monitoring functions is detection. When an event occurs that is monitored for detection, most systems use visual and/or audio notification methods. Video surveillance is included as an electronic monitoring system although it requires an individual to view and detect events of importance.

- Data provided: Incident Detection Information, Location, Contact Identifiers.

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

(If immediate action not required) Establish Contact - using appropriate methods to establish communication to deliver or obtain information. The methods of communication vary depending upon the needs and purpose of the individual initiating the communication.

(If immediate action required) Dispatch - The act of directing an individual to a specified location to perform specified tasks, such as resolve a situation, gather information, deliver communication, etc.

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

- Data provided: Incident Report.

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

Pre-Condition	Description
None	
Post-Condition	Description
Investigated	The result of an investigation that was completed.

1.6 Use Case Specification: Emergency Response

Response to disturbances, fires, riots, escapes, serious criminal acts, external threats, natural disasters, work/activity stoppage or strikes, and any other incidents that disrupt normal facility operations which may be categorized as an emergency.

Associated Actor	Relationship	Description
Control Center Officer	Activates	
Security Staff	Responds	

Emergency Response Activity Diagram

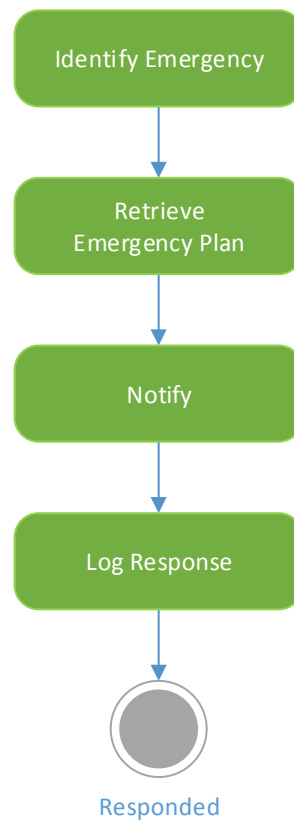


Figure 7: Emergency Response Activity Diagram

1.6.1 Flow of Events

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

- Data provided: Emergency Type.

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

- Data provided: Emergency Plan.

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

- Data provided: Response Direction.

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

Pre-Condition	Description
None	
Post-Condition	Description
Responded	The result of an action taken by an individual where an event requires some form of investigation resulting in a reporting and/or recording of information.