

ADVANCED
Offender Classification & Intake

Facilitator Guide
دليل المدرب



مركز تدريب وتطوير القدرات النسائي في
المملكة العربية السعودية

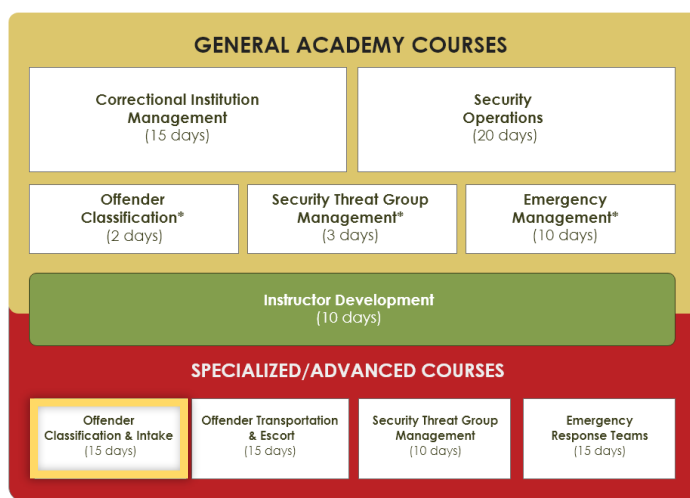
Kingdom of Saudi Arabia
Female Training Center

OFFENDER CLASSIFICATION & INTAKE

During this specialized course, participants will learn each aspect of the classification process from the time a person is arrested until she or he is reclassified or released. This includes judgment and commitment orders, initial external classification, offender intake and diagnostics, internal classifications, classifying security threat groups (STGs), interviewing techniques, disciplinary procedures resulting in protective custody, restrictive housing, and reclassification. Participants will have time to prepare teach-backs.

COURSE DETAILS

This 15-day course is part of the advanced curriculum.



Offender Classification & Intake	
Level	Advanced
Prerequisite	General Academy
Duration	15 days
Location	Riyadh, KSA
Class size	25 participants
Topics	<ul style="list-style-type: none"> • Overview/Judgment & Commitment Orders • External Classification • Offender Intake and Diagnostics • Internal Classification • Classifying STGs • Interviewing Techniques • Disciplinary Procedures • Restrictive Housing • Protective Custody • Reclassification

INSTRUCTIONAL APPROACH

- ☑ **LEARN:** During this specialized course, you will learn the globally accepted concepts and components of objective prisoner classification systems.
- ☑ **APPLY:** You will have the opportunity to apply this knowledge to the Kingdom of Saudi Arabian local context to start developing a classification system for your correctional facility or increase the effectiveness of an existing system.
- ☑ **TRANSFER:** The course will also help you facilitate the transfer of this knowledge to your co-workers and other GDP staff.

COURSE MODULES & OBJECTIVES

MODULE	LEARNING OBJECTIVES	DAYS
1 Course Overview/ Judgment and Commitment Orders	<ul style="list-style-type: none"> ▪ Describe the steps involved in the intake process ▪ Conduct initial external classification on simulated offenders ▪ Conduct internal classification on simulated offenders ▪ Explain the distinction between external and internal classification ▪ Explain the purpose of reclassification ▪ Describe four benefits of classification systems ▪ Determine problems related to over-classification of offenders 	1
2 External Classification	<ul style="list-style-type: none"> ▪ Describe the four steps involved in external classification ▪ Determine risks that will help influence offender housing ▪ Describe the three criteria for classification ▪ Determine how risk factors for women is similar to and different from that for men ▪ Classify offenders using a custody scoring system 	1
3 Offender Intake and Diagnostics	<ul style="list-style-type: none"> ▪ Identify the benefits of developing and utilizing a secure and standardized process for receiving the offender into a designated prison ▪ Describe essential components in a standard intake process ▪ Select best practices to create an intake form checklist for the KSA ▪ Create offender profiles as part of intake processing 	1
4 Internal Classification	<ul style="list-style-type: none"> ▪ Differentiate between external and internal classification systems ▪ Explain assignments given during the internal classification of offenders ▪ Explain why keeping the standardized internal classification system updated is critical ▪ Describe why a threat assessment is important during internal classification to determine escape risks ▪ Demonstrate implementing internal classification and assignments with considerations for gender and special medical needs 	1
5 Classifying STGs	<ul style="list-style-type: none"> ▪ Describe internationally known security threat groups and how they form ▪ Validate classification of offenders through a validation point system ▪ Assign housing and programs to members of security threat groups ▪ Determine the importance of debriefing former security threat group members 	1
6 Interviewing Part 1	<ul style="list-style-type: none"> ▪ Explain when interviews take place in the corrections facility ▪ Differentiate between interviews and aggressive questioning ▪ Describe how to plan, prepare, and set up an interview ▪ Demonstrate effective interviewing 	1

COURSE OVERVIEW



7 Interviewing Part 2	<ul style="list-style-type: none">▪ Identify the qualities of an ideal interviewer▪ Demonstrate active listening in a corrections setting▪ Identify building rapport in a corrections setting▪ Elicit useful information using non-coercive interview techniques▪ Analyze interviewing practices in KSA corrections facility	2
8 Disciplinary Procedures resulting in Restrictive Housing and Protective Custody	<ul style="list-style-type: none">▪ Describe the purpose of a disciplinary system▪ Describe the general principles that must apply to every disciplinary system▪ Explain why newly committed offenders should receive a copy of the facility's rules and regulations upon arrival at an institution▪ Explain the steps in a disciplinary process▪ Describe the guidelines for restrictive housing units▪ Determine appropriate sanctions for various crimes, given a scenario	1.5
9 Reclassification	<ul style="list-style-type: none">▪ Describe the goals of the classification process▪ Determine actions that cause an offender to be reclassified assigned a higher/lower classification▪ Explain reasons for periodic classification review▪ Describe the criteria for reclassification▪ Reclassify a simulated offender	.5
10 Teach Backs	<ul style="list-style-type: none">▪ Integrating learning of classification practices into facilitating▪ Practice delivering classification lesson▪ Provide peer evaluation and feedback of facilitation	5

COURSE AGENDA

Week 1

SUNDAY	MONDAY	TUESDAY	WEDNESDAY	THURSDAY
DAY 1	DAY 2	DAY 3	DAY 4	DAY 5
Intro/Pre-Test Overview of Classification Systems	External Classification Systems	Offender Intake and Diagnostics	Internal Classifications	Classifying STGs
MORNING BREAK (30 min)				
<i>Continued</i>	<i>Continued</i>	<i>Continued</i>	<i>Continued</i>	<i>Continued</i>
TEA BREAK (15 min)				
Judgment & Commitment Orders	<i>Continued</i>	<i>Continued</i>	<i>Continued</i>	<i>Continued</i>

Week 2

SUNDAY	MONDAY	TUESDAY	WEDNESDAY	THURSDAY
DAY 6	DAY 7	DAY 8	DAY 9	DAY 10
Interviewing	Interviewing	Interviewing	Disciplinary Procedures/	Restrictive Housing Issues
MORNING BREAK (30 min)				
<i>Continued</i>	<i>Continued</i>	<i>Continued</i>	<i>Continued</i>	Reclassification
TEA BREAK (15 min)				
<i>Continued</i>	<i>Continued</i>	<i>Continued</i>	Protective Custody Investigations	Post-Test Course Wrap Up/ Evaluations

Week 3

SUNDAY	MONDAY	TUESDAY	WEDNESDAY	THURSDAY
DAY 6	DAY 7	DAY 8	DAY 9	DAY 10
Teach Back: Prepare Topic	Teach Back: Prepare Topic	Teach Back: Prepare Presentation	Teach Back: Presentation/ Feedback	Teach Back: Presentation/ Feedback
MORNING BREAK (30 min)				
<i>Continued</i>	<i>Continued</i>	<i>Continued</i>	<i>Continued</i>	<i>Continued</i>
TEA BREAK (15 min)				
<i>Continued</i>	<i>Continued</i>	<i>Continued</i>	<i>Continued</i>	<i>Continued</i>

POLICY REFERENCES & RESOURCES

Each course includes a policy reference template with space to include relevant national laws, policies, executive orders, and institutional policies/procedures. This section also includes a definition of key terms and international resources used to develop this course.

RELEVANT POLICIES & PROCEDURES		
NATIONAL LAWS & POLICIES		
Bureau of Experts at the Council of Ministers	Receives executive orders from the King directly and processes them	<ul style="list-style-type: none"> ▪ https://www.boe.gov.sa ▪ Imprisonment and detention
National Center for Archives	Directory of documents and archives	<ul style="list-style-type: none"> ▪ http://ncar.gov.sa
(Placeholder)		<ul style="list-style-type: none"> ▪
(Placeholder)		<ul style="list-style-type: none"> ▪
INSTITUTIONAL POLICIES & PROCEDURES		
General Directorate of Prisons		<ul style="list-style-type: none"> ▪ GDP website
(Placeholder)		<ul style="list-style-type: none"> ▪
(Placeholder)		<ul style="list-style-type: none"> ▪
(Placeholder)		<ul style="list-style-type: none"> ▪

INTERNATIONAL STANDARDS	
Relevant Resource	Organization/Short Name
United Nations Office of Drugs and Crime (UNODC)	https://www.unodc.org
<i>The United Nations Standard Minimum Rules for the Treatment of Prisoners, This course focused on the following relevant Mandela Rules: Rule 93; Rule 89.2; Rule 54; Rule 55, Rule 4.2; Rule 5.2; Rule 30; Rule 36; Rule 45</i>	The Mandela Rules
<i>The United Nations Rules for the Treatment of Women Prisoners and Non-custodial Measures for Women Offenders</i>	The Bangkok Rules

U.S. RESOURCES	
Relevant Resource	Organization
<i>Subject matter expert and research material</i>	U.S. Department of Justice (USDOJ), Federal Bureau of Prisons
<i>Classification of High Risk and Special Management Prisoners, Developing Gender-Specific Classification Principles for Women Prisoners, Internal Prison Classification Systems, Objective Prison Classification, Prison Intake Systems</i>	National Institute of Corrections http://www.nicic.org
<u>10 Most Dangerous Prison Gangs in the World</u>	Criminal Justice Degree Hub
<u>Motivational Interviewing</u>	National Center for Biotechnology Information

KEY TERMS & CONCEPTS

TERM	DEFINITION
Classification	<ul style="list-style-type: none"> The ongoing process of collecting and evaluating information about each offender to determine risk and need for appropriate confinement, treatment, programs, and employment assignment
Intake	<ul style="list-style-type: none"> A standard, safe process for receiving the offender into the correctional system ensures fairness, consistency, proportionality, opportunity
STG	<ul style="list-style-type: none"> An association of three or more individuals whose members adopt a group identity to create an atmosphere of fear or intimidation
Validation	<ul style="list-style-type: none"> A point system used to identify and prove participation in a security threat group
Restrictive Housing	<ul style="list-style-type: none"> Refers to a place in institutions where offenders are securely separated from the general offender population
Administrative Segregation	<ul style="list-style-type: none"> A portion of the prison population that is segregated from the general population for security reasons
Protective Custody	<ul style="list-style-type: none"> A portion of the prison population that is segregated from the general population for their own protection from other offenders
Disciplinary Segregation	<ul style="list-style-type: none"> A portion of the prison population that is segregated from the general population for violation of the agency's rules and regulations; unlike administrative segregation, offenders are placed in disciplinary segregation for a specific period and must be released at the end of that period unless they have committed additional violations

Knowledge Survey

المسح المعرفي



SPECIALIZED COURSE: Offender Classifications & Intake **Knowledge Survey**

1. The ongoing process of collecting and evaluating information about each offender to determine risk and need for appropriate confinement, treatment, programs, and employment assignments is known as:
 - a. Intake
 - b. Classification
 - c. Reclassification
 - d. Internal classification

2. Select the response below that best describes the order of offender classifications:
 - a. Internal classification, reclassification, initial external classification
 - b. Reclassification, initial external classification, internal classification
 - c. Initial external classification, internal classification, reclassification
 - d. Initial external classification, reclassification, internal classification

3. The initial external classification consists of custody assessment, information/intelligence gathered, program needs assessment, and:
 - a. Facility designation
 - b. Cell assignment
 - c. Work program assignment
 - d. Needs assessment

4. Frequency, recentness, and severity of past behavior are the best indicators for determining whether the offender:
 - a. Received a judgment and commitment order
 - b. Has been reevaluated
 - c. Has abused alcohol and drugs
 - d. Should be placed in close custody

5. Intake and diagnostics include transfer to facility, pre-screening procedures, intake screening process, interviewing process, and:
 - a. Admissions and orientation process
 - b. Custody level assignment
 - c. Reviewing prior criminal record
 - d. Socio-demographic factors

6. A standard, safe process for receiving the offender into the correctional system ensures fairness, proportionality, consistency, and:
 - a. Obstacles
 - b. Crosschecks
 - c. Opportunity
 - d. Intelligence

7. Assignments of housing units or cells; medical, education, and religious status, and work assignments occur during:
 - a. The internal classification process
 - b. The external classification process
 - c. The intake and diagnostics process
 - d. The judgment and commitment order process



8. The purpose of an internal classification system is to determine appropriate housing plans and program interventions within a facility for offenders who share:
 - a. The same guard
 - b. Socio-demographic factors
 - c. The same release date
 - d. Common custody levels

9. Best practices for case management include ensure a sustainable case load, hire the right staff, establish a quality control mechanism, and:
 - a. Constantly observe offenders
 - b. Constantly evaluate offender progress
 - c. Have an excess of resources
 - d. All of the above

10. Gangs, organized crime, extremists, and syndicates are all considered:
 - a. Security threat groups
 - b. Cartels
 - c. Clubs
 - d. Terrorists

11. A system used to identify and track offender participation in a security threat group is known as:
 - a. Classification
 - b. Validation
 - c. Intake
 - d. Reclassification

12. The four classification levels for security threat groups are associates, suspects, members, and:
 - a. Relatives
 - b. Ex-members
 - c. Leaders
 - d. Trainers

13. Interviews can happen during intake, internal classification, and:
 - a. Until the offender receives a work assignment
 - b. Only when the offender arrives at the facility
 - c. Only during the reclassification process
 - d. Throughout the time the offender is at the facility

14. The correctional officer's tone of voice during an interview with an offender should be:
 - a. Distant, formal, authoritative
 - b. Conversational, polite, even-tempered, interested
 - c. Soft, friendly, apologetic
 - d. Direct, non-accommodating, responsive to offender's behavior

15. The correctional officer's tone of voice when questioning an offender should be:
 - a. Distant, formal, authoritative
 - b. Conversational, polite, even-tempered, interested
 - c. Soft, friendly, apologetic
 - d. Direct, non-accommodating, responsive to offender's behavior



16. The most important characteristic of a successful interviewer is _____:
- A good talker
 - A good listener
 - A good notetaker
 - A good writer
17. Omission, evasion, exaggeration, minimization, denial, and fabrication are forms of:
- Deception
 - Interviewing
 - Rapport-building
 - Understanding
18. The purpose of a disciplinary system is to ensure the safety of staff, offenders, and the public and to:
- Ensure that offenders are punished for all crimes
 - Provide power for the corrections officers
 - Maintain the good order and security of the institution
 - Provide as much restriction as possible to offenders
19. The first step in the disciplinary process is:
- Appeals
 - Investigation
 - Discipline committee
 - Incident report
20. The final step in the disciplinary process is:
- Appeals
 - Investigation
 - Discipline committee
 - Incident report
21. An assessment of an offender's classification and consideration for reclassification is usually done no later than:
- 6 months
 - 8 months
 - 9 months
 - 12 months
22. Criteria for offender reclassification does **not** include:
- Current charges and convictions
 - Drug and alcohol use
 - Cultural and political statements
 - Escape history



SPECIALIZED COURSE: Offender Classifications & Intake
Pre- and Post-Knowledge Survey – ANSWER KEY

1. The ongoing process of collecting and evaluating information about each offender to determine risk and need for appropriate confinement, treatment, programs, and employment assignments is known as:
 - a. Intake
 - b. **Classification**
 - c. Reclassification
 - d. Internal classification

2. Select the response below that best describes the order of offender classifications:
 - a. Internal classification, reclassification, initial external classification
 - b. Reclassification, initial external classification, internal classification
 - c. **Initial external classification, internal classification, reclassification**
 - d. Initial external classification, reclassification, internal classification

3. The initial external classification consists of custody assessment, intelligence gathered, program needs assessment, and:
 - a. **Facility designation**
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4. Frequency, recentness, and severity of past behavior are the best indicators for determining whether the offender:
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 - d. **Should be placed in close custody**

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 - c. The same release date
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 - Discipline committee
 - Incident report



21. An assessment of Offender Classification and potentially reclassification is usually done no later than:
- 6 months
 - 8 months
 - 9 months
 - 12 months**
22. Criteria for offender reclassification does **not** include:
- Current charges and convictions
 - Drug and alcohol use
 - Cultural and political statements**
 - Escape history

Offender Classification & Intake Overview



Offender Classification & Intake Overview

Purpose: The purpose of this introduction module is to gain a high-level understanding of a systematic classification process and its role in maintaining a safe and secure prison environment for staff and offenders.

Activities:

- KSA Judgment and Commitment Orders (15 min.)
- Classifying Offenders (20 min.)
- Internal Classification (20 min.)
- Offender Classification: Benefits (15 min.)
- Effective Classification Systems (30 min.)

Estimated Time: 1 day (4.5 hours)

Facilitator Notes

1. INTRODUCE yourself and any co-facilitators.
2. PROVIDE a quick energizer.
3. EXPLAIN the purpose of the course.
4. ASK the participants about their expectations of the course.
5. ADVANCE to next slide to review module objectives.

Worksheets

- Scenarios
- Gender-Responsive Programming Guidelines

Classroom Material

- Projector and computer, PowerPoint slides, flipchart paper, markers, pen, paper

Learning Objectives



- Describe the steps involved in the intake process



- Conduct initial external classification on simulated offenders



- Conduct internal classification on simulated offenders



- Explain the distinction between external and internal classification

- Explain the purpose of reclassification

- Describe four benefits of classification systems

- Determine problems related to over-classification of offenders

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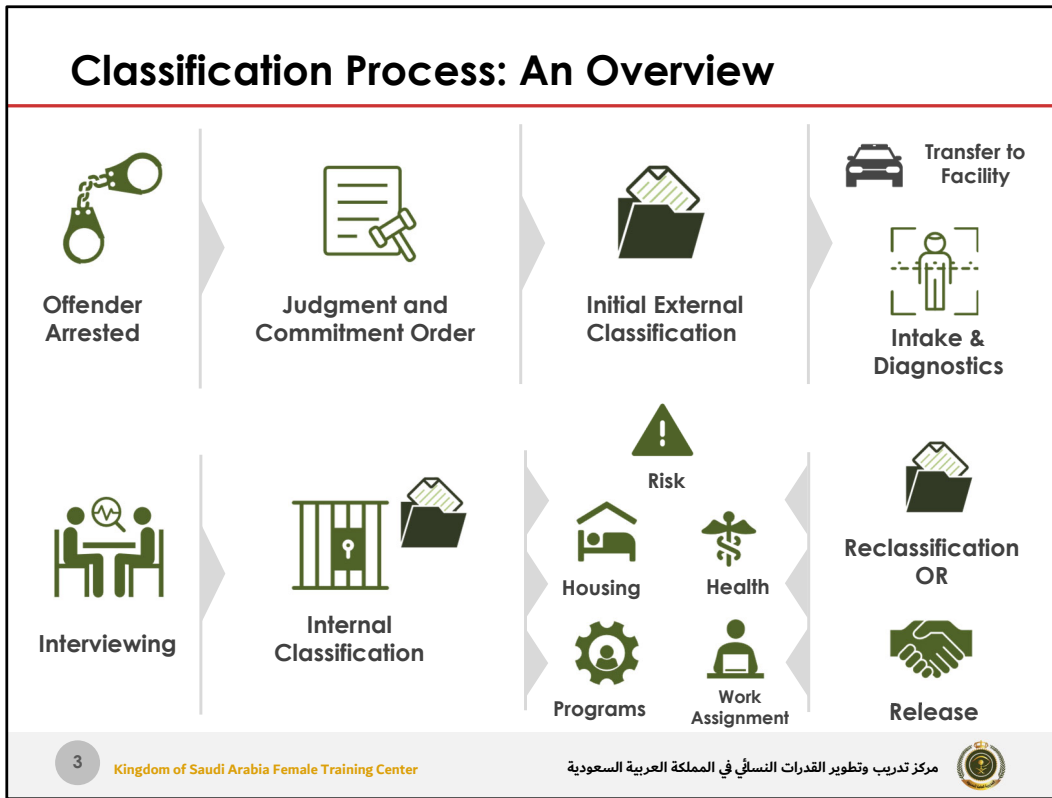
Learning Objectives

These learning objectives are the essential steps to reaching the goal of the course—understanding the importance of a systematic offender classification process and each part of the process from the time the person is arrested until she is reclassified or released.

Facilitator Notes

1. **EXPLAIN** the objectives to the participants to set expectations for the module.
2. **NOTE** that strong learning and performance objectives are specific, observable, and measurable. Each objective should build upon the other from basic understanding of a concept to applying it on the job to explaining it to others.
3. **ASK** whether participants have any questions or need clarification on the objectives.





Classification Process: An Overview

Classification is the ongoing process of collecting and evaluating information about each offender to determine her risk and need for appropriate confinement, treatment, programs, and employment assignment. The goal of classification is to balance offender, departmental, and public interest while preparing offenders for their eventual return to society.

An offender’s overall classification profile determines the appropriate facility assignment, supervisory approach, housing assignment, accessibility to the community, and program or job placement.

Facilitator Notes

1. **INTRODUCE** each step in the classification process.
2. **INFORM** participants that the course will follow each step and provide more in-depth information.
3. **CHECK** for understanding and answer any questions participants might have.



Judgment and Commitment Orders

- No facility can accept an offender without a valid commitment order issued by a competent legal authority
- The order describes the offender by name and includes charges against her



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Judgment and Commitment Orders

Judgment is the conviction of a crime, and a commitment order directs a ministerial officer to take a person to prison.

The commitment order must be in writing and show the authority of the magistrate. It includes the time and place of the order.

The order describes the offender by name and includes the particular crime charged against the offender.

Facilitator Notes

1. REVIEW the process from arrest to judgment to commitment order.
2. EXPLAIN that no person can be received in an institution without a valid commitment order issued by a competent legal authority consistent with the country's statutes.
3. ADD that the commitment order must be in writing, show the authority of the magistrate, and describe the offender by name. It must include the crime charged against the offender.
4. TELL participants that Mandela Rule #7 states: "No person shall be received in a prison without a valid commitment order."



KSA Judgment and Commitment Orders

EXERCISE

- Work in groups to answer the following:
 - How and by whom are judgment and commitment orders created?
 - What information in the commitment order is useful to prison officials?
 - Who implements the judgment and commitment order after the judge issues it?



Group work

➔

Report back



15 min.

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Judgment and Commitment Orders	
Duration	15 minutes
Purpose	The purpose of this activity is to understand best practices in the KSA and compare them to those in the U.S. or other countries.
Materials	<ul style="list-style-type: none"> • Flipchart • Markers
Steps	<ol style="list-style-type: none"> 1. Work in your small group. 2. Answer the three questions listed in the slide. 3. Be prepared to report back. 4. Regroup on the following slide.

Facilitator Notes

1. ASK participants to share the best practices they follow for judgment and commitment orders in the KSA.
2. DIVIDE participants into small groups.
3. REVIEW directions with participants.
4. REGROUP to discuss participants' responses on the next slide.



KSA Judgment and Commitment Orders

REGROUP

Share your answers to the questions with the larger group



35 min.



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KSA Judgment and Commitment Orders

Regroups allow you the opportunity to acknowledge strengths and identify opportunities for improvement, brainstorm ideas, listen to the ideas of others, and examine even the smallest details that could lead to improvement.

Facilitator Notes

1. ASK for a spokesperson from each group to present her group's answers.
2. ENCOURAGE participants to compare their responses and to ask questions of the other groups.
3. ASK questions of the groups and compare KSA processes to those in the U.S.
4. ENGAGE participants in a discussion on the role the legislative framework of a country plays in decision-making regarding the security classification of offenders. In some jurisdictions, judges are responsible for deciding on the security regime for an offender on the basis of the crime she committed; in others, the corrections institution is responsible. The recommended practice is for prison authorities to determine the security level of an offender after an individualized assessment of risks and needs.

Offender Classification: Definition

The ongoing process of collecting and evaluating information about each offender to determine risk and need for appropriate confinement, treatment, programs, and employment assignment.



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Offender Classification: Definition

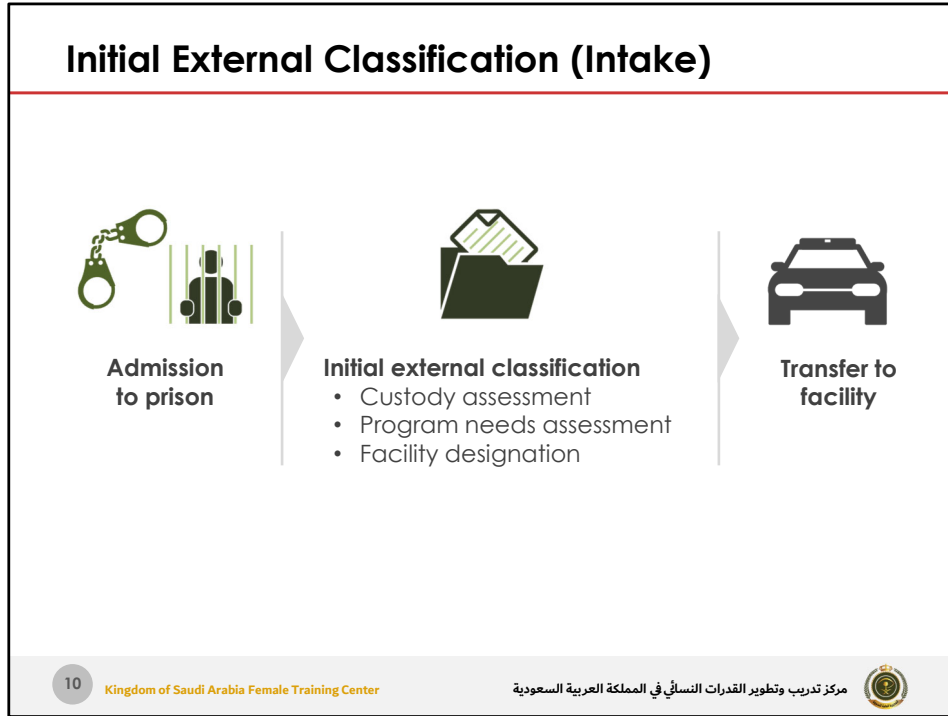
Classification allows prison officials to place offenders into different groups (high, medium, or low security) based on certain established criteria that is applied to facilitate their allocation to a suitable custody and match their risks and needs to an appropriate prison or correctional setting and resources.

The main objective of offender classification systems is to differentiate among offenders who present different security, custody, and treatment needs. These differing needs involve different management and intervention requirements.

Facilitator Notes

1. REVIEW the definition of classification.
2. EXPLAIN that effective classification enables the appropriate grouping of offenders for the purposes of management and interventions. Classification is a key element in reducing the likelihood of incidents, such as offender and staff assaults and escapes and escape attempts. It is key to maintaining the good order of a prison facility.





Initial External Classification

Custody assessment: assessment of immediate needs. This step should occur as soon as possible upon admission and before any cell or accommodation assignment within the general prison population. The goal is to identify immediate concerns related to safety and security and any physical and mental health needs.

Collection of information: gathering of reliable information regarding the offender's crime, criminal history, and personal background to conduct a more complete assessment of risks and needs to determine classification and longer-term placement. This step includes official documentation relating to identity and criminal history; it also includes interviewing the offender and, if possible, family members, and others associated with the offender.

Determine initial security level based upon a risk assessment that focuses on factors related to safety and security of offenders and staff, risk of escape, and safety of public in the event of an escape.

Case management planning: the results of these assessments should be used to develop a plan for each offender, including classification and placement.

Facilitator Notes

1. REVIEW the steps taken during the initial external classification
2. EXPLAIN that during the collection of information, prison officials may also gather information from prison intelligence services, particularly in the cases where affiliation with a security threat group is suspected.
3. EXPLAIN that effective classification enables the appropriate grouping of offenders for the purposes of management and interventions. Classification is a key element in reducing the likelihood of incidents, such as offender and staff assaults and escapes and escape attempts. It is key to maintaining the good order of a prison facility.
4. ADD that during the intake process, offenders are provided a booklet that contains the basic guidelines they are expected to follow when in custody of the prison. This orientation process supports Mandela Rules 54 and 55.
5. TELL participants that the results of these assessments should be discussed with the offender, who should have the opportunity to participate in the development of her case plan.

Special Considerations

- Offenders who require protection
- Security threat groups
- Offenders with special needs
 - Age
 - Infirmity
 - Mental illness
 - Other medical or physical health issues



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Special Considerations

Research has identified several factors that are important to consider for the purposes of classification decisions. These include:

- Gender
- Age
- Severity of current offence
- Sentence length
- Criminal history
- Previous involvement in incidents in prison settings
- Level of functioning in the community prior to admission
- Mental, physical, and emotional stability
- History of escape attempts or escape
- Risk to the public in the event of an escape

Facilitator Notes

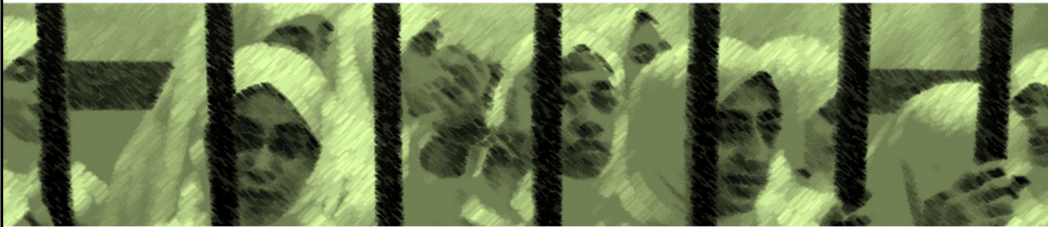
1. EXPLAIN the importance of differentiating between offenders housed in the general population—that portion of the prison population with no special security-related restriction—and those who require placement in a special prison population such as administrative segregation, protective custody, specialized mental health, or medical units.
2. EXPLAIN that both young adults (18-21) and the elderly require special consideration during classification as do offenders with mental health conditions and disabilities. Foreign offenders who cannot speak the language nor understand the justice system need special consideration.



Special Considerations: Women Offenders

U.S.-based research has identified relevant risk factors for women:

- Marital status
- Suicide attempts
- Family structure of the childhood home; childhood abuse, depression
- Physical, mental, sexual abuse
- Substance abuse
- Dysfunctional relationships
- Single parenting and reliance upon public assistance



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Kingdom of Saudi Arabia Female Training Center

مركز تدريب وتطوير القدرات النسائي في المملكة العربية السعودية



Offender Classification: Women Offenders

Historically, most classification tools have been developed for and validated on adult men. One concern is that the tools used for classification are not applicable to women because they sometimes result in over-classification whereby women are subjected to higher levels of security than required.

Consequently, drawing on available research evidence regarding the leading factors for both male and female offenders and designing an approach and tools that reflect these differences to ensure proper classification at the lowest security level required is critical.

Facilitator Notes

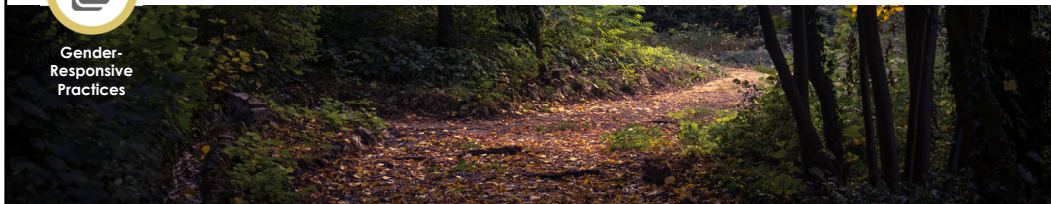
1. EXPLAIN that classification was originally designed for male offenders.
2. EXPLAIN that research has discovered more relevant risk factors for women offenders.
3. ENGAGE participants in the following discussion question:
 - Are existing classification models valid for women offenders?
 - Do you think validating correctional assessments to specific populations is required, or do you think the same should exist for all? Explain your answer.
4. EXPLAIN the importance of special considerations for special groups of offenders.

Special Considerations: Gender-Responsive Practices

- The first studies into the nature of female offenders included in-depth, open-ended, or semi-structured interviews with women and girls who had come into the justice system
- Pathways to delinquent or criminal involvement emerged, for example:
 - One tragedy (e.g., abuse) led to another (e.g., mental health problems) that led to self-medication (i.e., substance abuse) that led to being arrested for substance abuse-related crimes



Gender-Responsive Practices



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Classification: Gender-Responsive Studies

External evaluations can be done through partnerships with universities or by developing internal research capabilities.

The approach should be based on psychological, educational, or mental health theory and practice.

The program should be piloted for a time, allowing the opportunity for start-up problems to be resolved and for participants to implement the program with reliability in the outcomes.

Facilitator Notes

1. **EXPLAIN** that gender-responsive practices have been tested by methodologically rigorous research and found to be effective in reducing recidivism:

In the 1990s, a number of studies called attention to important differences between male and female offenders. Evidence showed that women and girls had much higher incidences of trauma and mental health needs than men and boys. Women and girls were more likely to be involved in dysfunctional relationships, live in poverty and unsafe environments, and be single parents.

2. **DISCUSS** how evaluations can be done through partnerships with universities or by developing internal research capabilities.
3. **DISTRIBUTE** the Worksheet: Gender-Responsive Programming.





COMMON COMPONENTS TO GENDER-RESPONSIVE PROGRAMMING

Principles

Focus on relationships. Relationships are used as the basis for personal change. Because of the relational nature of female development, attention is paid to relationships between staff members and clients and between clients and important people in their lives.

Safety. Physical and emotional safety is essential, given the high rates of trauma and maltreatment in the populations served. Clients must be able to express themselves without fear of harm or reprisal.

Attention to health, mental health, and substance use. Healthy living is a focus; attention is paid to physical, behavioral, and reproductive health issues of relevance to women.

Cultural appropriateness and competence. Services are consistent with clients' cultural values. Racism and discrimination in the broader society are recognized, and services are designed to promote equality. Given that women from foreign countries are overrepresented in the KSA criminal justice systems, cultural competence or the ability to interact with people of different cultures and an intersectional approach in which each person is understood as having a complex social identity are particularly relevant.

Response to sexism. Female development is central to service provision with focus on the broader social forces that perpetuate sexism and gender-based discrimination.

Strengths-based approach. Rather than concentrating on deficits, staff members actively identify and build on clients' individual strengths to promote their empowerment.

Holistic approach. Services focus on the well-being of the whole person rather than treatment of a particular symptom or problem in recognition of the complexities of girls and women's development.

Family involvement. Resolution of family conflict, common in girls' histories, and the development of positive family connections are critical components of services. Family members are included in decisions and treatment.

Services

Treatment for abuse and trauma. Individual and group activities focus on acknowledging and responding to interpersonal trauma and maltreatment, more commonly experienced by females than males.

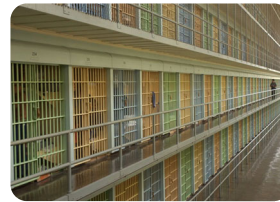
Life skills. Clients develop skills needed to make the transition to adulthood. Acquiring life skills may reduce reliance on unhealthy relationships and promote women's independence.

Educational and vocational opportunities. Clients learn about and have access to educational and job-related opportunities that prepare them to pursue any field of interest, not just female dominated professions.

Community opportunities. Connections to the wider community are encouraged through introductions and opportunities to join or volunteer to work with organizations.

Types of Facilities in the U.S.

- Custody levels are based on the level of security and control that exists within a prison or within different parts of the prison
 - ✓ A high- or maximum-security prison has significant physical, procedural, and dynamic security in place
 - ✓ A low- or minimum-security facility may have no perimeter fencing, no locks on cell or room doors, and communal housing



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Kingdom of Saudi Arabia Female Training Center

مركز تدريب وتطوير القدرات النسائي في المملكة العربية السعودية



Types of Facilities in the U.S.

Minimum-security institutions have dormitory housing, a low staff-to-offender ratio and limited or no perimeter fencing. These institutions are work- and program-oriented.

Low-security institutions have double-fenced perimeters, mostly dormitory or cubicle housing, and work and program components. The staff-to-offender ratio is higher than in minimum-security.

Medium-security institutions have strengthened perimeters (often double fences with electronic detection systems), mostly cell-type housing, a variety of work and treatment programs, a higher staff-to-offender ratio, and greater internal controls.

High-security institutions have highly secured perimeters (featuring walls or reinforced fences), multiple- and single-occupant cell housing, the highest staff- to-offender ratio, and close control of offender movement.

Administrative facilities are institutions with special missions, such as the detention of pretrial offenders, treatment of offenders with serious or chronic medical problems, or containment of extremely dangerous, violent, or escape-prone offenders. Most are capable of holding offenders in all security categories.

Facilitator Notes

1. REVIEW the categories of prisons in the U.S.
2. EXPLAIN that countries vary in terms of the number of security levels for prisons.
3. ASK participants to describe the levels of their prisons,



Classifying Offenders

EXERCISE

- Read the Worksheet: Scenarios
 - Perform a custody assessment of the two women—including immediate concerns related to safety and security and any physical and mental health needs
 - Determine initial security level based on factors related to safety and security of offenders and staff, risk of escape, and safety of public in the event of an escape



20 min.

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مركز تدريب وتطوير القدرات النسائي في المملكة العربية السعودية



Classifying Offenders

Duration	20 minutes
Purpose	The purpose of this activity is to determine the best classification for two offenders, given their different histories.
Materials	<ul style="list-style-type: none"> • Flipchart • Markers
Steps	<ol style="list-style-type: none"> 1. Work in your small group. 2. Read the scenario. 3. Perform a custody assessment of the two women—including immediate concerns related to safety and security and any physical and mental health needs. 4. Determine initial security level for both women based on factors related to safety and security of offenders and staff, risk of escape, and safety of public in the event of an escape. 5. Regroup on the following slide.

Facilitator Notes

1. ASK participants to work in their small groups.
2. DISTRIBUTE Worksheet: Scenarios.
3. REVIEW directions of the exercise with participants.
4. REGROUP on the following slide.





How Would You Classify These Two Offenders?

Case No. 1 – R.K.

R.K. is a 32-year-old woman who was convicted of drug trafficking and sentenced to 10 years in prison. She was arrested while departing from an international airport after 3 kilograms of cocaine were found hidden in her suitcase. R.K. stated that she was unaware of the drugs and that her partner had arranged for the trip, telling her that he needed to deliver some important documents and other materials securely to a business associate overseas but was unable to go himself.

Although she was suspicious of the purpose of the trip and did not want to go, she was reluctant to say no because she, her younger sister, and mother were financially dependent on her partner.

R.K. had no previous criminal history and ran a small part-time hairdressing business from her home. Her behavior while in pretrial custody was without incident. Prison officers reported that she was very respectful. They had no issues or concerns with her institutional conduct.

Case No. 2 – J.F.

J.F. is a 32-year-old woman who was convicted of drug trafficking and given a 10-year sentence. According to official reports, J.F. is a mid-level member of a well-known criminal organization involved in the drug trade, where her role is primarily the recruitment and grooming of young women as international drug couriers.

She has a lengthy criminal history that mainly involves drug offenses but also includes one conviction of forcible confinement and assault.

As a result of an informant's tip to police, J.F. was apprehended at the airport as she dropped off one of her couriers for an international flight. Police seized 3 kilograms of cocaine from a suitcase she had in her possession. During her pretrial custody, J.F. was accused of assaulting another offender during an argument and was twice found in possession of contraband, including a cell phone. She has a history of disruptive behavior during custodial sentences, including one escape attempt.

Classifying Offenders

REGROUP

Share your answers with the larger group


35 min.



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مركز تدريب وتطوير القدرات النسائي في المملكة العربية السعودية



Classifying Offenders

Regroups allow you the opportunity to acknowledge strengths and identify opportunities for improvement, brainstorm ideas, listen to the ideas of others, and examine even the smallest details that could lead to improvement.

Facilitator Notes

1. **ASK** for a spokesperson from each group to present her group's answers.
2. **ENCOURAGE** participants to compare their responses and to ask questions of the other groups.
3. **TRY** to get the groups to reach a consensus and explain the importance of consistency in classifying offenders.
4. **EMPHASIZE** that offenders, even those accused or convicted of the same offense, are not a homogeneous group. They require an individualized assessment approach that can identify unique risk and need profiles to identify the type of prison security regime and interventions they require—both to manage risks they may pose to themselves and others and to promote their social reintegration.

Classification Process: Internal Classification and Reclassification

عملية التصنيف: التصنيف الداخلي وإعادة التصنيف

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NOTES



Initial Internal Classification




- Housing assignment
- Program assignment
- Work assignment



Transfer to designated housing area

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مركز تدريب وتطوير القدرات النسائي في المملكة العربية السعودية



Initial Internal Classification

Internal classification systems are designed to complement the external systems. When an offender arrives at the facility, the internal classification staff will determine her housing unit and cell, facility program needs, and work assignment.

The task of an internal system is to devise appropriate housing plans and program interventions within a particular facility for offenders who share a common custody level (minimum, medium, close, or maximum).

Facilitator Notes

1. If feasible, SKETCH the following information on a whiteboard or flipchart to show the connection (and differences) between external and internal classification, using the guidelines below.
 - On admission, offenders are first assessed using the external, systemwide classification system to determine their custody level (maximum, close, medium, minimum, or community), program needs, and other needs that may require special housing. This custody classification determines the type of facility or housing unit in which offenders should be housed. For example, maximum-custody offenders will be transferred to a maximum-security facility.
 - On arrival at the appropriate facility, offenders undergo a second formal classification review—the internal classification process. Given their behavior, personality traits, and specific program needs, classification staff identify the appropriate housing unit or cell block, programs, and work assignments for them.
2. ADD that key areas for internal assessment include academic, vocational, clinical, treatment, work, social adjustment, medical assignments, security assignments, and institutional adjustment/violence potential.

Internal Reclassification

- Programs
- Facility
- Housing
- Community
- Work



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Internal Reclassification

The reclassification process places great emphasis on the offender's institutional behavior, adjustment, and any disciplinary incidents while incarcerated.

Benefits of reclassification include:

- Determines whether offenders are progressing in terms of behavior
- Provides offenders the opportunity to improve so they can progress to a lower-custody institution

A growing body of evidence suggests that well-designed programs can meaningfully encourage rehabilitation and reduce recidivism. The programs that have a particularly strong positive effect on prison misconduct are work, cognitive-behavioral therapy, and prison visitation programs.

Facilitator Notes

1. EXPLAIN that a reassessment should be undertaken no later than 12 months after the initial classification process to score the offender on factors such as the type and number of misconduct reports lodged against her, participation in a variety of programs offered by the prison system, and work performance.
2. EXPLAIN that in addition to reducing recidivism, rehabilitation programs can also serve other related goals, such as safely managing the offender population, improving overall offender wellbeing, and improving offender educational attainment.
3. PROVIDE examples of types of vocational training offered in prison systems in the U.S.
4. ENGAGE participants in a discussion of types of vocational training they could offer in their prison systems.



Classification versus Reclassification

- The process of initially classifying offenders upon admission is separate from the process of reassessing their classification at regular intervals during a sentence
- The goal of a reassessment is to allow for a progression through the prison system toward a less restrictive regime in order to foster the rehabilitation of offenders

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Classification versus Reclassification

By focusing on the offender's conduct and progress while incarcerated, the reclassification process acknowledges that offenders' risks and needs are not static and may change over time.

Facilitator Notes

EXPLAIN that the absence of a reclassification process or a reclassification process that does not allow offenders to work their way to lower-custody levels typically results in the over-classification of many offenders and seriously hinders social reintegration efforts.



Internal Classification


EXERCISE

- Refer to the Worksheet: Scenarios that you completed in the previous exercise
 - Determine the housing assignment for both women
 - Determine programming assignment
 - Determine work assignment


Group Work

➔

Report Back




SCENARIOS



20 min.

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مركز تدريب وتطوير القدرات النسائي في المملكة العربية السعودية



Internal Classification	
Duration	20 minutes
Purpose	The purpose of this activity is to determine the best internal classification for two offenders, given their different histories.
Materials	<ul style="list-style-type: none"> • Flipchart • Markers
Steps	<ol style="list-style-type: none"> 1. Work in your small group. 2. Read the scenario. 3. Perform an internal assessment of the two women—including determining housing, programming, and work assignments. 4. Regroup on the following slide.

Facilitator Notes

1. ASK participants to work in their small groups.
2. EXPLAIN the assignment to participants, telling them that this exercise focuses on the internal classification process.
3. CHECK for understanding of the internal process before asking participants to begin work.
4. REGROUP on the following slide.



Classifying Offenders

REGROUP

Share your answers with the larger group




35 min.



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Classifying Offenders

Regroups allow you the opportunity to acknowledge strengths and identify opportunities for improvement, brainstorm ideas, listen to the ideas of others, and examine even the smallest details that could lead to improvement.

Facilitator Notes

1. ASK for a spokesperson from each group to present her group's answers.
2. ENCOURAGE participants to compare their responses and to ask questions of the other groups.
3. TRY to get the groups to reach a consensus and explain the importance of consistency in classifying offenders.

Getting the Right Classification System

الحصول على نظام التصنيف الصحيح

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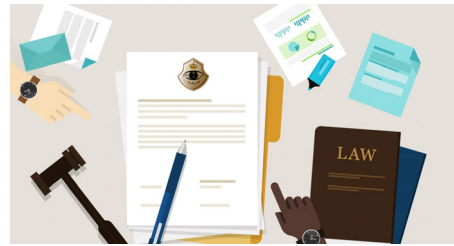


NOTES



Classification System

- A well-designed and managed classification process is a cornerstone of an effective prison system, fundamental to the:
 - ✓ Protection of human rights
 - ✓ Ability to individualize case and sentence planning
 - ✓ Efficient use of limited correctional resources



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Classification System

A transparent classification system with regular periods of review is a critical element to assist decision makers in determining the minimum security requirements necessary to manage individuals awaiting trial. Similarly, such a system ensures that offenders who have been convicted and sentenced are managed in the lowest security level consistent with ensuring protection of offenders, staff, and the public.

Offender classification has evolved to the current model of risk-need-responsivity, which uses three principles for assessing offenders:

- The risk principle maintains that supervision and treatment levels should match an offender's level of risk—low-risk offenders should receive less supervision and fewer services than higher-risk offenders.
- The need principle maintains that treatment should target an offender's dynamic risk factors to reduce her probability of recidivism and promote social reintegration.
- The responsivity principle maintains that treatment interventions should use cognitive social learning strategies and be tailored to an offender's specific characteristics that promote successful program outcomes.

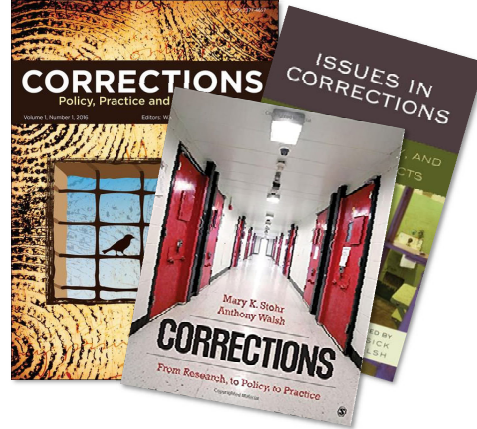
Facilitator Notes

1. DISCUSS the need for a transparent classification system with regular periods of review.
2. EXPLAIN the evolution of the classification process.
3. ADD that there is a significant body of evidence supporting the risk-need-responsivity model. So this model is what is called **evidence-based** and in line with core provisions of the Mandela Rules, which emphasize the dual purpose of classification as related to safety and security considerations (i.e., risk) and social rehabilitation efforts (i.e., needs).
4. EXPLAIN that prison systems use different criteria to determine classification. However, all systems must:
 - **Validity:** Be capable of assigning a custody level that reflects the offender's true risk for disruptive and violent behavior
 - **Reliability:** Promote similar classification decisions for comparable offenders
 - **Equity:** Use decision-making items that are non-discriminatory and consistent with commonly accepted societal values
 - **Utility:** Be efficient, simple to use, and easy to understand



Evidence-Based Practices

Research-based and replicable practices that lead to improved correctional outcomes, such as safe facility operations, institutional safety, rehabilitation of offenders, and increased public safety.



EVIDENCE-BASED
PRACTICES

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Evidence-Based Practices

Evidence-based practice is an informed strategy of correctional assessment and programming that responds to offender risk, need, and responsivity to manage risk.

The fields of medicine, education, child welfare, mental health, probation, and corrections have been influenced by evidence-based practices. These practices are a set of guidelines—based upon rigorous research, evaluations, and meta-analysis—that have proved effective in improving decision making and outcomes.

Facilitator Notes

1. EXPLAIN evidence-based practices in offender classification.
2. EXPLAIN that evidence-based policy and practice are focused on reducing offender risk, which, in turn, reduces new crime and improves public safety.
3. ADD that often improvements in correctional practice can be realized by using existing offender information, measured more systematically, and aggregated through automation. Such automation permits the profiling of changes in the offender population and linking this to classification and programming models over time.



Prison Classifications and Intake: Evidence-Based Practices

Dynamic (Criminogenic) and Static Risk Instruments in Assessments

Dynamic risk assessment is the practice of mentally observing, assessing, and analyzing an environment while we work, to identify and remove risk. The process allows individuals to identify a hazard on the spot and make quick decisions on safety.

- Focus on factors that drive criminal behavior
- Goes beyond static risk
- Identify targets for intervention

Static risk factors are usually defined as fixed aspects of the offender, such as age, gender, or previous offending that cannot be changed by interventions or treatment.

- Key components of risk prediction
- Not amenable to change through intervention
- Risk assessments answer two general concerns. First, how likely is an offender to commit a new offense? Second, what can be done to decrease this likelihood?

Bias Reduction & Structured Decision Making

What about it?

Bias is a systematic error in reasoning or logic that occurs as the result of the *automaticity* with which the human mind processes information based on expectations and experience.

Structured risk assessment tools are believed to reduce the likelihood the evaluator's estimate of an offender's reoffending risk will be influenced by bias.

Structured Decision Making

Structured decision making is a general term for carefully organized analysis of problems to reach decisions that are focused clearly on achieving fundamental objectives.

Every decision consists of several primary elements:

- Management objectives
- Decision options
- Predictions of decision outcomes

Resource Utilization

Resource utilization refers to the process of making the most of the resources available to you to achieve the objective you want to achieve.

Supervision Standards Related to Criminal Risks and Needs



Risk-Needs Assessments (RNA) are actuarial-based tools used to classify offenders into levels of risk (e.g., low, medium, and high) and to identify and target interventions to address offender needs (e.g., antisocial attitudes, antisocial peer groups) generally related to recidivism.

An RNA does not indicate whether a particular offender will actually recidivate; rather it identifies the risk or probability that the offender will recidivate.

The RNA informs risk management decisions regarding the level of supervision. In addition, RNA information informs decisions regarding risk reduction strategies (e.g., cognitive behavioral programs, drug court, employment training and job assistance) that target an offender's specific needs related to recidivism.

Gender-Responsive Practices

The first study, called *the trailer* was designed to supplement existing dynamic risk-needs assessments such as the Level of Service Inventory-Revised. The second is an assessment that can be used on its own as a stand-alone risk-needs assessment. **Gender-Responsive Practices** was initiated by conducting in-depth, open-ended, or semi-structured interviews with women and girls that had come into the justice system.

Even with evidence to support the effectiveness of gender-responsive programs, it is still necessary to be supportive of research and past practice studies of men and boys involved with the justice system. After listening to women's stories and following the research, scholars identified repeated themes they then used to differentiate between types of female offenders.

The girls' and women's narratives often told of pathways to delinquent or criminal involvement; they often related how one tragedy (e.g., abuse) led to another (e.g., mental health problems) that led to the need to self-medicate (i.e., substance abuse) that led to being arrested for substance abuse related crimes.

Prediction Studies

The findings of **prediction studies** have changed correctional practice. Prediction research resulted in assessments used to classify women and girls involved in the justice system according to their risk (high, medium, or low) of incurring offense-related outcomes.

In corrections, early prediction, or risk assessment, instruments were constructed using demographic measures (e.g., age), criminal history, and prior offense measures, but they could not be used to assess offender needs for programs. New assessments were designed to look at risk needs for programs.

Classification officers could then determine an individual's risk score and then identify the needs that contributed to that score.

High-risk offenders could be supervised more intensively and given high priority to attend programs targeted to those needs that received high scores.

Assessments specific to women offenders were developed in the late 1990s and included specific needs that were found to be predictive for women offenders.



The additional predictors included mental health, anger, dysfunctional relationships, abuse and trauma, safety, and parental stress and strengths pertaining to self-efficacy, family support, parental investment, and educational assets.

The evidence supportive of gender-responsive approaches is growing. Garnering additional evidence to support gender-responsive approaches is imperative; further studies are required.

Critics may wish to argue that the male-based studies contain more information and benefit from more years of replicated research. However, as the number of gender-responsive studies increases, the results are becoming irrefutable: *gender responsive approaches do make a difference in terms of improving outcomes for justice involving women.*

In conclusion as with most Ministry endeavors, gender responsive programs and services will continue to require supporting, empirical evidence.

Risk-Needs-Responsivity (RNR)


The **risk-need-responsivity model** is a **model** used in criminology to develop recommendations for how offenders should be assessed based on the **risk** they present, what they **need**, and what kinds of environments they should be placed in to reduce recidivism.

- Risk – match level of service to offender's risk to reoffend
- Need – target key behaviors we know will have an impact via evidence-based responses
- Responsivity – yield maximized when intervention is evidence-based and tailored to offender's risk and needs

Effective Classification Systems

EXERCISE


- Working with your group:
 - ✓ Describe at least 4 benefits of an effective classification system
 - ✓ Describe the benefits of reclassification
 - ✓ Describe problems that can occur in a prison that does not follow a classification system
 - ✓ Describe problems that can occur with over-classification of offenders



Group Work


➔

Report Back



15 min.

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The Benefits of Offender Classification System	
Duration	15 minutes
Purpose	The purpose of this final activity is to test participants' knowledge and thoughts on topics covered in this module.
Materials	<ul style="list-style-type: none"> Flipchart Markers
Steps	<ol style="list-style-type: none"> 1. Brainstorm within your group and provide a coordinated response to the following statements: <ul style="list-style-type: none"> Describe at least 4 benefits of an effective classification system. Describe the benefits of reclassification. Describe problems that can occur in a prison that does not follow a classification system. Describe problems that can occur with over-classification of offenders. 2. Regroup on the following slide.

Facilitator Notes

1. EXPLAIN the activity to participants.
2. DIVIDE participants into small groups for discussion.
3. REGROUP on the next slide to discuss participants' work and responses.



Effective Classification Systems

REGROUP

Share your answers with the larger group





35 min.

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مركز تدريب وتطوير القدرات النسائي في المملكة العربية السعودية


Effective Classification Systems

Regroups allow you the opportunity to acknowledge strengths and identify opportunities for improvement, brainstorm ideas, listen to the ideas of others, and examine even the smallest details that could lead to improvement.

Facilitator Notes

1. ASK for a spokesperson from each group to present her group's answers.
2. ENCOURAGE participants to compare their responses and to ask questions of the other groups.
3. EXPLAIN that over-classification exposes offenders to harsher conditions of confinement than necessary and hinders reintegration efforts. In addition, the lack of a consistent and clearly articulated approach to classification can lead to unfair practices in assigning security level and prison placement and be open to the influence of corruption. Therefore, an objective and evidence-based classification system with clear processes and procedures should be considered as a significant factor in protecting the human rights of offenders and ensuring transparent and accountable prison management overall.
4. FINISH the module by explaining that in the United States, Canada, Europe, New Zealand, and Australia, these systems have produced significant results. Over-classification has been reduced; institutional violence has declined; criteria for custody decisions have been validated; custody decisions are more consistent; and offender program needs are assessed more systematically.

Summary

Topics

- ✓ Classification process: judgment and commitment orders
- ✓ Initial external classification
- ✓ Internal classification and reclassification
- ✓ Getting the right classification system

Knowledge Check

In your group, answer the following:

- What is the most important point you learned today?
- What point remains least clear to you?



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Quiz

1. Review notes from previous session.
2. Work with your group to respond.

Facilitator Notes

1. SUMMARIZE the module using the topics check list
2. ASK for volunteers to answer these two questions.
3. ENCOURAGE participants to engage in a conversation to test knowledge gained in this module.

Initial External Classification



Initial External Classification

Purpose: The purpose of this module is for participants to gain more in depth knowledge on the purpose, process, and benefits of an efficient, standardized external classification system.

Activities:

- Initial External Classification in the KSA (20 min.)
- Determining Major Predictive Risks (20 min.)
- Women-Specific Risk Factors (20 min.)
- Vulnerable Populations (15 min.)
- Classifying Offenders (30 min.)

Estimated Time: 1 day (4.5 hours)

Facilitator Notes

1. INTRODUCE yourself and any co-facilitators.
2. PROVIDE a quick energizer or debrief of the last module.
3. PROVIDE a brief overview of what will be covered.
4. ADVANCE to next slide to review module objectives.

Worksheets

- External Classification Checklist
- Sample Custody Classification
- Classification Worksheet

Classroom Material:

- Projector and computer, PowerPoint slides, flipchart paper, markers, pen, paper

Learning Objectives



- Describe the four steps involved in external classification



- Determine risks that will help influence offender housing



- Describe the three criteria for classification



- Determine how risk factors for women is similar to and different from that for men

- Classify offenders using a custody scoring system

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Learning Objectives

These learning objectives are the essential steps to reaching the goal of the course—understanding the importance of a systematic offender classification process and each part of the process from the time the person is arrested until she or he is reclassified or released.

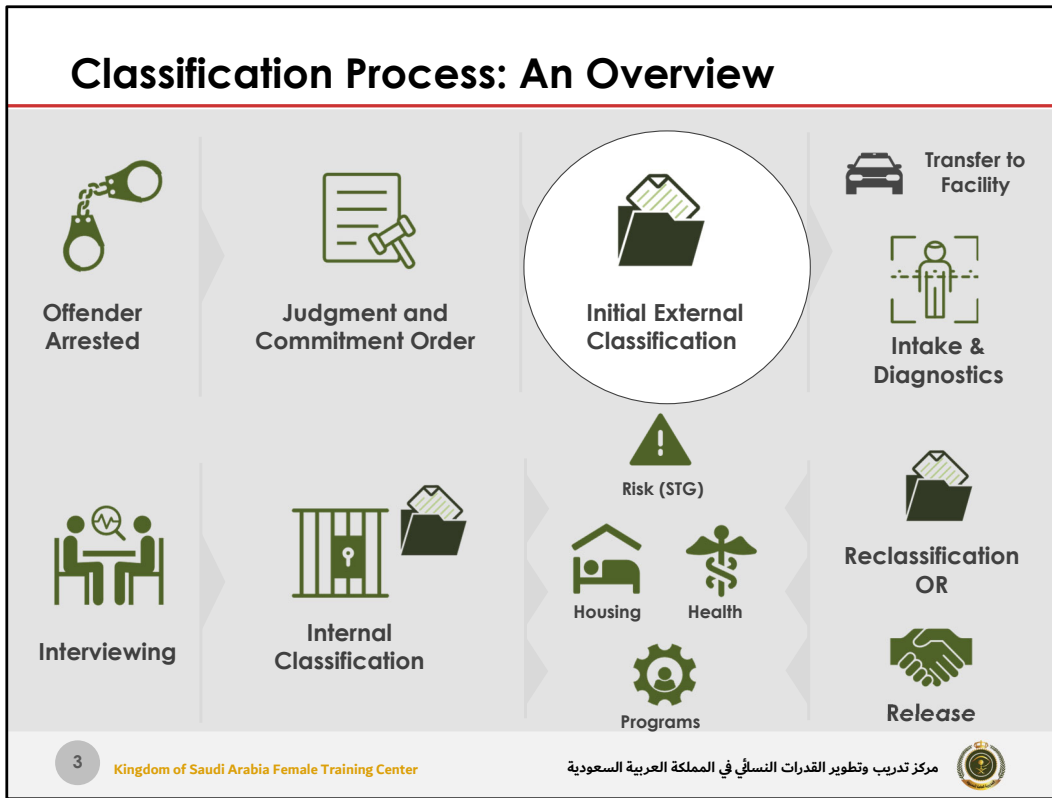
Facilitator Notes

1. **EXPLAIN** the objectives to the participants to set expectations for the module.

Note that strong learning and performance objectives are specific, observable, measurable. Each objective should build upon each other from basic understanding of a concept to applying it on the job to explaining it to others.

2. **ASK** whether participants have any questions or need clarification on the objectives.





Classification Process: An Overview

Each step of the classification process builds upon the other. The previous module provided an overview of the process, concentrating on the judgment and commitment order. This module goes into more detail on the initial external classification, explaining how the assessment works to determine the level of security and type of facility for the offender.

Facilitator Notes

1. Briefly REVIEW the classification process.
2. EXPLAIN that after an offender has been arrested and received a judgment and commitment order from the court, she is then initially classified. We will discuss this process and procedure in this module.
3. EXPLAIN that this process was touched upon in the Overview module, but this current module goes into more detail.



REVIEW: Initial External Classification

External Classification: uses risk and policy factors to determine an offender's custody level, which influences the facility at which the offender will be housed



**Admission
to prison**



Initial external classification

- Custody assessment
- Information/intelligence gathered
- Program needs assessment
- Facility designation



**Transfer to
facility**

4

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4

Initial External Classification

The external classification is designed to determine an offender's custody level, which influences the facility at which the offender will be housed. Risk and policy factors are used to make the determination.

The risk component of the external classification system focuses on the offender's offense and other risk factors associated with prison conduct.

Policy factors are not predictive of actual risk but do reflect the risk to the facility if higher risk offenders are housed in lower custody levels.

Facilitator Notes


1. REVIEW the definition of external classification.
2. REMIND participants that most prison systems use two classification domains—external and internal.
 - The **external** classification, which we will learn more about today, places an offender at a custody level that will determine where he or she will be housed.
 - Once the offender arrives at a facility, **internal** classification determines to which cell or housing unit and to which facility and work programs the offender will be assigned.
3. ADVISE that both domains have a reclassification system that allows for reevaluation of each offender's security needs.



Initial External Classification in the KSA

EXERCISE


- Work in your small groups
- Assume that you and your group members are the external assessment team in the KSA
- On a flipchart, develop a list of risks you and your team think will help predict future behavior and, thereby, influence the type of facility to send the offender



Develop List of Risks


➔

Discuss



20 min.

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Initial External Classification in the KSA	
Duration	20 minutes
Purpose	The purpose of this exercise is have participants begin to brainstorm how predictive risks influence the type of facility an offender should be delegated.
Materials	<ul style="list-style-type: none"> • Flipchart • Markers
Steps	<ol style="list-style-type: none"> 1. Work in your small groups. 2. Assume that you and your group members are the external assessment team. 3. Create a list of risks (as many as you can think of) that most likely predict future behavior and influence the type of facility to which you will send the offender. 4. Be prepared to share your list, explain why you chose the risk and why it will influence the type of facility.

Facilitator Notes

1. HAVE participants get into groups of 4 or 5.
2. EXPLAIN the exercise to the participants.
3. ANSWER any questions participants may have regarding risks. If necessary, provide an example risk—e.g., past offenses.
4. GIVE participants at least 20 minutes to work.
5. REGROUP on the next slide.



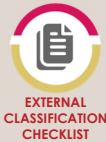
Initial External Classification in the KSA

REGROUP

- Use both **static** risk factors (e.g., offender's criminal history) and **dynamic** factors (e.g., institutional disciplinary record)
- The process results in a custody designation, which influences the security level of the facility to which the offender will be housed



25 min.



EXTERNAL
CLASSIFICATION
CHECKLIST

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Initial External Classification

Regroups allow you the opportunity to acknowledge strengths and identify opportunities for improvement, brainstorm ideas, listen to the ideas of others, and examine even the smallest details that could lead to improvement.

Facilitator Notes

1. ASK for a spokesperson from each group to present her group's list of risk factors.
2. After each group has presented, HAVE the groups walk around to other groups and reconcile their lists so that by the end of the activity, everyone has the same risks listed.
3. EXPLAIN that the goal is to use both static and dynamic risk factors. Examples include age at first arrest, gender, past problems with substance or alcohol abuse, prior mental health problems, or a history of violating terms of supervision (e.g., parole or probation). Dynamic risk factors change or can be addressed through interventions. Examples include current age, education level, marital status, employment status, current substance use, and residential stability.
4. DISTRIBUTE the Worksheet: Checklist External Classification and review with participants.



Initial External Classification Criteria:

- ✓ The level of physical security and staff supervision the offender needs
- ✓ The level of physical security and staff supervision the institution has
- ✓ The medical needs of the offender
- ✓ The medical capabilities of the prison
- ✓ The offender's program needs (e.g., drug/alcohol treatment, educational/vocational training, medical treatment, psychological treatment, specialty security programs)
- ✓ Prison bed space availability
- ✓ Proximity of the offender's family to the prison for visiting ties
- ✓ Recommendations from prosecutors, judges, arresting officers
- ✓ Keeping the offender separate from victims and witnesses

Information/Intelligence Sources Used to Classify Offenders:

- ✓ The sentencing court/prosecutor's office
- ✓ The arresting/investigating officers
- ✓ Newspapers, television, and other media sources
- ✓ The offender's own admission
- ✓ The offender's family
- ✓ Military sources (terrorists, etc.)
- ✓ Public records
- ✓ Intelligence agencies

Security Classification/Custody Scoring Criteria:

Initial external classification places an offender at a custody level that will determine where she will be housed.

- ✓ History of institutional violence
- ✓ Severity of current offense
- ✓ Severity of past convictions
- ✓ Escape history
- ✓ Alcohol and drug abuse
- ✓ Current or pending detainees
- ✓ Number of prior criminal convictions
- ✓ Stability factors
- ✓ Time to be served
- ✓ Identified as a victim of human trafficking

Discussion: Predictive Behavior

- Factors considered predictive of offender behavior:
 - ✓ Current age
 - ✓ Gender
 - ✓ History of violence
 - ✓ History of mental illness
 - ✓ Gang membership
 - ✓ Program participation
 - ✓ Recent disciplinary actions



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Discussion: Predictive Behavior

- **Current age:** older prisoners are less involved in misconduct
- **Gender:** Females are less involved in violent incidents
- **History of violence:** Offenders with a recent history of violence are more likely to continue that behavior
- **History of mental illness:** Offenders with histories of mental illness are more likely to be involved in misconduct
- **Gang membership:** Gang members are more likely to be involved in all forms of misconduct
- **Program participation:** Offenders who are either not involved in or who have not completed programs are more likely to be involved in all forms of misconduct
- **Recent disciplinary actions:** Offenders who have been recently (past 12 months) involved in misconduct are more likely to continue to be involved in future disruptive behavior

Facilitator Notes

1. ASK participants to not look at their notes for this discussion.
2. ENGAGE them in a discussion on what each of these factors can predict. For example, what can they determine from current age? Gender? Then review the content in the left column with participants, and ask whether they find the same true or whether their experience has been different.
3. SHARE any experience you may have.



Four Major Predictive Risk Factors

Risk	Indicators
History of antisocial behavior	✓ Being arrested at a young age & a large number of offenses
Antisocial personality pattern	✓ Involved in generalized trouble & restlessly aggressive
Antisocial cognition	✓ Identifying with criminals, negative attitudes toward the law and justice system
Antisocial associates	✓ Association with other criminals and dissociation from non-criminals



Four Major Predictive Risk Factors

The Risk-Needs-Responsivity (RNR) model has become the dominant paradigm in risk and needs assessment. The RNR model incorporates evidence-based practices for reducing recidivism. According to this model, these are the four major risk factors for predicting criminal behavior.

It is important to note that an offender's assessment and classification should never be based solely on the offense of which he or she is accused or convicted or the length of the sentence. Likewise, it is not the antisocial behavior displayed for this one latest offense that should be considered; it is a history of antisocial behavior that is correlated with the risk of future offending.

Facilitator Notes

1. **EXPLAIN** that The RNR (Risk-Needs-Responsivity) Model being studied in this course has become the dominant paradigm in risk and needs assessment. According to this model, these are the four major risk factors for predicting criminal behavior.
2. **EMPHASIZE** that a common mistake in risk assessment is confusing past antisocial behavior with current antisocial behavior. An offender's assessment and classification should never be based solely on the offense of which he or she is accused or convicted.
3. **REVIEW** each of the factors.
 - History of antisocial behavior—early involvement in a variety of antisocial activities. Major indicators include being arrested at a young age, a large number of prior offenses, and rule violations while on conditional release
 - Antisocial personality pattern—impulsive, adventurous, pleasure-seeking, involved in generalized trouble, restlessly aggressive, and show a callous disregard for others
 - Antisocial cognition—attitudes, beliefs, values, rationalizations, and personal identity that is favorable to crime
 - Antisocial Associates—associates with pro-criminal others and dissociates from anti-criminal others



Determining Major Predictive Risks

EXERCISE

- Continue to assume that you and your group members are the external assessment team in the KSA
- On a flipchart, develop a list of the top **four** predictive risk factors and be prepared to explain why you selected these four



Work in your group

➔

Report back



20 min.

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Determining Major Predictive Risks	
Duration	20 minutes
Purpose	The purpose of this exercise is brainstorm and determine the major predictive risks in the KSA.
Materials	<ul style="list-style-type: none"> • Pens • Pads
Steps	<ol style="list-style-type: none"> 1. Work in your small groups. 2. Continue to assume that you and your group members are the external assessment team. 3. Brainstorm among yourselves and reach a consensus on the four major predictive risks in the KSA. 4. Be prepared to present to the class and to collaborate with the other groups

Facilitator Notes

1. ASK participants to work in their small groups.
2. EXPLAIN the exercise to the participants.
3. REGROUP on the next slide to discuss participants' responses.



Determining Major Predictive Risks

- Top four predictive risk factors?
- Why these four?
- Do all groups agree?
- Why or why not?
- Can you reach a consensus?

REGROUP



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Determining Major Predictive Risks

Regroups allow you the opportunity to acknowledge strengths and identify opportunities for improvement, brainstorm ideas, listen to the ideas of others, and examine even the smallest details that could lead to improvement.

Facilitator Notes

1. ASK for a spokesperson from each group to present her group's list of the top four predictive factors.
2. After each group has presented, HAVE the groups walk around to other groups and reconcile their lists (if possible or feasible) so that by the end of the activity, everyone has the same risks listed as the top four.

Classification Criteria

Reminder—criteria must be:

- Standardized
- Used consistently for all offenders
- Based on national policy and/or laws



* Criteria can be adjusted according to evidence-based practices and new trends in prison population



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Classification Criteria

To implement appropriate classification, housing, and programming, correctional officials should validate an objective classification instrument to ensure consistent and appropriate custody and other decisions for each correctional facility's population.

- There must be detailed written procedures and policies governing the classification process.
- The classification process must provide for the collection of complete, high-quality, verified, and standardized data.
- Measurement and testing instruments used in the classification decision-making process must be valid, reliable, and objective.
- Classification procedures must be consistent with national policy and laws.

Facilitator Notes

1. EXPLAIN the importance of classification criteria.
2. DISCUSS how they must be standardized, be consistently used for all offenders, be consistent with all applicable laws, and be adjusted based on new trends in offender populations (adding and removing criteria when needed).
3. DISTRIBUTE a copy of a U.S.-based classification form and review the form with the class.



Classification Criteria/Custody Scoring

Risk Factors

- History of institutional violence
- Severity of current offense
- Severity of past convictions
- Escape history

Other Considerations

- Alcohol and drug abuse
- Current or pending detainers
- Number of prior felony convictions
- Stability factors (e.g. mental health)
- Time to be served



U.S.-BASED
CLASSIFICATION CRITERIA

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Classification Criteria/Custody Scoring

Frequency, recentness, and severity of past behavior are strong indicators of future similar behavior. Therefore, the first four risk factors determine whether the offender should be placed automatically in close custody.

The other five risk factors are also considered in the custody assessment. Stability factors should be scored to determine appropriateness of any overrides and determine progress during reclassification.

Close custody is used in some systems to indicate closer supervision locally. Initial designations designate the security level (high, medium, low, minimum) and a custody level (MAX, IN, OUT). Security level is what level prison to send them to; custody is what internal procedures you need to watch them closer.

Facilitator Notes

1. EXPLAIN the classification criteria/custody scoring.
2. STRESS that different prison systems have different criteria, but all systems are similar to the above.
3. EXPLAIN that stability factors include age, family ties, education, and employment at time of arrest.
4. DISTRIBUTE the sample classification worksheet and explain the scoring process. Provide several examples as you explain.
5. STRESS that prison systems vary in the way the risk factors are scored, so this is just one example.





IDENTIFYING DATA					
INSTITUTION CODE		UNIT		DATE	
NAME			REGISTRATION NUMBER		
MANAGEMENT VARIABLES	A – NONE B – JUDICIAL RECOMMENDATION C – RELEASE RESIDENCE/PLANNING D – POPULATION MANAGEMENT	E – MED/PSYCH TREATMENT F – PROGRAM PARTICIPATION G – WORK CADRE H – LONG-TERM DETAINEE	I – GREATER SECURITY J – LESSER SECURITY		
PUBLIC SAFETY FACTORS	A – NONE B – DISRUPTIVE GROUP (males only) C – GREATEST SEVERITY OFFENSE (males only) D – SEX OFFENDER E – THREAT TO GOVERNMENT OFFICIAL F – DEPORTABLE PERSON	G – SENTENCE LENGTH (males only) H – VIOLENT BEHAVIOR (females only) I – SERIOUS ESCAPE J – PRISON DISTURBANCE K – JUVENILE VIOLENCE L – SERIOUS TELEPHONE ABUSE			
BASE SCORING					
1.SEVERITY OF CURRENT OFFENSE	0=NONE 1=LOWEST/LOW-MODERATE	3=MODERATE 5=HIGH	7=GREATEST		
2.MONTHS TO RELEASE					
3.CRIMINAL HISTORY SCORE	0= 0-1 2= 2-3	4= 4-5 6= 7-9	8= 10-12 10= 13+		
4.HISTORY OF ESCAPE OR ATTEMPTS	NONE MINOR 0 SERIOUS 0	>15 YEARS 1 3	10-15 YEARS 1 3	5-10 YEARS 2 3	<5 YEARS 3 3
5.HISTORY OF VIOLENCE	NONE MINOR 0 SERIOUS 0	>15 YEARS 1 2	10-15 YEARS 1 4	5-10 YEARS 3 6	<5 YEARS 5 7
6.AGE	0= 55 or over 2= 36 through 54	4= 25 through 35 8= 24 or less			



7. EDUCATION LEVEL	0= Verified High School Degree/GED 1= Enrolled in or making satisfactory progress in a GED program 2= No verified High School Degree/GED & not participating in a GED program		
8. DRUG/ALCOHOL ABUSE	0=Never/> 5 years	1=<5 Years	
<i>BASE SCORE (ADD SECTION NUMBERS ITEMS 1-8)</i>			
CUSTODY SCORE			
1. PERCENTAGE OF TIME SERVED	3=0-25% 4=26-75%	5=76-90% 6=91+%	
2. PROGRAM PARTICIPATION	0=POOR	1=AVERAGE	2=GOOD
3. LIVING SKILLS	0=POOR	1=AVERAGE	2=GOOD
4. TYPE & NUMBER OF MOST SERIOUS INCIDENTS	0 = ANY GREAT IN PAST 10 YEARS 1 = > 1 HIGH IN PAST 2 YEARS 2(A)= 1 HIGH IN PAST 2 YEARS 2(B)= 1 MOD IN PAST YEAR		3(A)= 1 MOD IN PAST YEAR 3(B)= >1 LOW MOD IN PAST YEAR 4 = 1 LOW MOD IN PAST YEAR 5 = NONE
5. FREQUENCY OF INCIDENT REPORTS (IN PAST YEAR)	0=6+ 1= 2 THRU 5	2=ONE 3=NONE	
6. FAMILY/COMMUNITY TIES	3=NON OR MINIMAL	4=AVERAGE OR GOOD	
<i>7. CUSTODY TOTAL (ADD SECTION 1-6)</i>			
8. CUSTODY VARIANCE			
9. SECURITY TOTAL (ADD OR SUBTRACT CUSTODY VARIANCE TO BASE SCORE)			
10. SCORED SECURITY LEVEL		11. MANAGEMENT LEVEL	




MALE CUSTODY TABLE		6	7	8	9	10	11	12	13	14	15	16	17	18
SCORE BASE	0-11	4	4	+3	+3	+2	+1	+1	+1	0	0	-1	-1	-2
	12-15	+4	+4	+3	+3	+2	+1	+1	+1	0	0	0	-1	-2
	16-23	+8	+6	+5	+4	+4	+3	+2	+1	+1	0	0	0	-1
	24+	+8	+6	+5	+4	+4	+3	+2	+1	+1	+1	0	0	0

FEMALE CUSTODY TABLE		6	7	8	9	10	11	12	13	14	15	16	17	18
SCORE BASE	0-15	+15	+11	+7	+4	+3	+2	+1	+1	0	0	0	0	-2
	16-30	+15	+11	+7	+4	+3	+2	+1	+1	0	0	0	0	0
	31+	+15	+11	+7	+4	+3	+2	+1	+1	0	0	0	0	0

Women-Specific Risk Factors

EXERCISE


- Work in your small groups to respond to the following:
 - ✓ **Problem statement:** Most assessment tools have been designed to predict risk factors by men and do not account for women-specific factors.
 - ✓ Determine how the risk factors for women are the same as for men and how they are different.



Work in your group

➔


Report back



20 min.

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Women-Specific Risk Factors	
Duration	20 minutes
Purpose	The purpose of this exercise is consider everything discussed to this point about risk factors and then determine how the risk factors for women are the same as for the men and how they are different.
Materials	<ul style="list-style-type: none"> Pens Pads
Steps	<ol style="list-style-type: none"> 1. Work in your small groups. 2. Reflect on everything discussed to this point about risk factors. 3. Think about the offenders in your prison and in your experience and determine how the risk factors for these women are the same as for the men and how they are different. 4. Be prepared to present to the class.

Facilitator Notes

1. ASK participants to work in their small groups.
2. EXPLAIN the exercise to the participants.
3. EXPLAIN that most assessment tools are designed for and used on male offenders, so the purpose is to decide where the tools apply to women offenders and where they are different for women offenders.
4. REGROUP on the next slide to discuss participants' responses.



Women-Specific Risk Factors

How are the risk factors for women the same as for men?

How are they different?

Should the classification criteria be different for women in order to support Mandela Rules regarding classification of offenders?

REGROUP



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Women-Specific Risk Factors

Regroups allow you the opportunity to acknowledge strengths and identify opportunities for improvement, brainstorm ideas, listen to the ideas of others, and examine even the smallest details that could lead to improvement.

Facilitator Notes

1. ASK for a spokesperson from each group to present her group's response.
2. ENGAGE participants in a discussion on the responses—comparing and contrasting the responses of the class.
3. PROVIDE any feedback or insight you may have.



Relevant Mandela Rules #93


Initial External Classification

The purposes of classification shall be:

- ✓ To separate from others those prisoners who, by reason of their criminal records or characters, are likely to exercise a bad influence
- ✓ To divide the prisoners into classes in order to facilitate their treatment with a view to their social rehabilitation

So far as possible, separate prisons or separate sections of a prison shall be used for the treatment of different classes of prisoners

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Relevant Mandela Rules

Review Mandela Rule #93 regarding the purpose of classification.

Facilitator Notes

1. REVIEW relevant Mandela Rules if necessary.
2. ENGAGE participants in a discussion on their thoughts of this rule.




Relevant Mandela Rules

#89.2

Initial External Classification

Not all prisons need to provide the same degree of security for every group. It is desirable to provide varying degrees of security according to the needs of different groups. Open prisons, by the very fact that they provide no physical security against escape but rely on the self-discipline of the offenders, provide the conditions most favorable to the rehabilitation of carefully selected prisoners.

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Relevant Mandela Rules

Review Mandela Rule #89.2 regarding the security considerations in classifying offenders. This will be discussed in greater detail later in the course.


Facilitator Notes

1. REVIEW Mandela Rule #89.2.
2. ENGAGE participants in a discussion on their thoughts on this rule.
3. SHARE your thoughts.

Vulnerable Populations/Special Considerations

EXERCISE


As a group, use flipcharts or whiteboard to identify all the populations considered to be vulnerable offenders



Brainstorm

➔


Report back



10-15 min.

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Vulnerable Populations/Special Considerations	
Duration	10 -15 minutes
Purpose	The purpose of this exercise is think of populations in their facility that may be considered vulnerable and how classification impacts their level of vulnerability.
Materials	Flipchart/markers
Steps	<ol style="list-style-type: none"> 1. Work in your small group. 2. Brainstorm with your group populations that may be deemed vulnerable in your facility. 3. Discuss within your group how classification impacts their level of vulnerability and steps that can be taken to reduce their vulnerability. 4. Be prepared to share with the class.

Facilitator Notes

1. ASK participants to break into their small groups.
2. EXPLAIN the exercise to participants.
3. REGROUP on the following slide to discuss responses.



Vulnerable Populations/Special Considerations

REGROUP

- Why are these groups vulnerable?
- How does the vulnerability affect the initial classification process?
- How does KSA handle these vulnerabilities?



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Vulnerable Populations/Special Considerations

Regroups allow you the opportunity to acknowledge strengths and identify opportunities for improvement, brainstorm ideas, listen to the ideas of others, and examine even the smallest details that could lead to improvement.

Facilitator Notes

Regroup with participants to discuss:

- Why are these groups vulnerable?
- How does this affect the classification process?
- How does KSA handle these groups?

Special Consideration: Human Trafficking

Human trafficking: the trade of humans for the purpose of forced labor, sexual slavery, or commercial sexual exploitation for the trafficker or others. Human trafficking can occur within a country or transnationally and is internationally recognized as a major human rights issue.

Identification - Prioritization - Treatment & Assistance



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Special Consideration: Human Trafficking

Like drug and arms trafficking, human trafficking is a market-driven criminal industry based on the principles of supply and demand. No country is exempt from this illicit enterprise.

The UN defines Trafficking in Persons as having three elements:

1. **The Act** (What is done)

Recruitment, transportation, transfer, harboring, or receipt of persons

2. **The Means** (How it is done)

Threat or use of force, coercion, abduction, fraud, deception, abuse of power or vulnerability, or giving payments or benefits to a person in control of the victim

3. **The Purpose** (Why it is done)

For the purpose of exploitation, which includes exploiting the prostitution of others, sexual exploitation, forced labor, slavery or similar practices, and the removal of organs

Facilitator Notes

1. **EXPLAIN** that we will talk more about human trafficking.
2. **PROVIDE** the definition and ask participants whether they are aware of this issue in their facilities.
3. **ADVANCE** to the next slide to talk about how to identify, prioritize, and provide treatment for victims of trafficking.

Human Trafficking: Identification

- Correctional staff must understand the characteristics of a trafficking victim, even if the victim was classified and sentenced under a different offense.
- What type of violations could bring victims of trafficking to prison?
- How and when could a corrections officer find evidence of trafficking?



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Human Trafficking: Identification

If not detected during initial classification, intake screening is a viable opportunity to assess the potential for an offender to be a victim of human trafficking.

Take notes on what types of violations could bring in victims of trafficking to your prison and how and when you could detect signs of trafficking in persons.

Facilitator Notes

1. ASK participants what type of violations could bring victims of trafficking to prison:
Types of offenses:
 - **Immigration violators** could potentially be victims of forced labor trafficking.
 - **Drug violators** could be victims of sex-related trafficking.
 - Many **terrorist associates** and sympathizers have been trafficking victims in the past.
2. How could a corrections officer find evidence of trafficking:
Evidence:
 - During intake
 - Prison searches and prison property searches
 - Monitoring offender correspondence: Any incoming or outgoing mail, phone calls, or even visitation conversations can reveal a history of past trafficking or current victimization.
 - Offender grouping can reveal trafficking, due to known trafficking victims associating or assisting newer offenders, who may also be victims.



Human Trafficking: Prioritization

Prison agencies should prioritize the identification of human trafficking victims and provide beneficial treatment while incarcerated.

What processes can help identify victims?

- External classification process
- Intake screening process
- Internal classification process
- Information gathering from:
 - ✓ Intelligence sources
 - ✓ Outside agencies, etc.



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Human Trafficking: Prioritization

Does your facility have a process to identify victims of human trafficking?

Does your facility provide treatment services?

What are the potential complications when identifying victims?

Facilitator Notes

1. EXPLAIN the different processes that can help identify human trafficking victims.
2. ASK whether they have any process in place at their facility.
3. ASK whether they provide special treatment to victims of trafficking.
4. DISCUSS potential challenges in identifying and housing women who have been trafficked.
5. ADVANCE to next slide on best practices.



Human Trafficking: Best Practices

- ✓ Prison policy/procedure on how to handle victims of trafficking crime
- ✓ Provide medical care, psychological care, group therapy, or other types of prison-based treatment
- ✓ Mandatory staff training on how to identify trafficking victims, appropriate resources, and treatment
- ✓ Facilities should provide well-documented treatment of victims/survivors
- ✓ Notify outside law enforcement if a new victim is identified internally

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Human Trafficking: Best Practices

Discuss whether these best practices are in place at your facility.

What are some of the challenges that might arise implementing these practices?

Facilitator Notes

1. EXPLAIN that each prison should:
 - Have a policy/procedure on how to handle victims of trafficking crime
 - Provide victims with medical care, psychological care, group therapy, or other types of prison-based treatment
 - Provide mandatory courses on how to identify trafficking victims, how to refer them to the appropriate resources, and what treatment is available for these offenders during incarceration
 - Document treatment
 - Notify outside law enforcement if a new victim is identified internally, as they may be able to assist authorities in on-going trafficking investigations and bring the traffickers to justice
2. DISCUSS whether these practices are in place in KSA facilities.



Classifying Offenders

EXERCISE

- Write a profile for a typical offender in your prison system to include type of conviction, history of convictions, escape history, drug or alcohol abuse, age, and disciplinary history
- Exchange your profile with another group
- Classify the offender on the profile you just received



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Classifying Offenders

Duration	30 minutes
Purpose	The purpose of this exercise is have participants incorporate everything they have learned in this module into an activity that is relevant. Activities such as this encourage deeper thinking and help retain the information learned.
Materials	<ul style="list-style-type: none"> • Pens • Pads
Steps	<ol style="list-style-type: none"> 1. Work in your group. 2. Write a profile for an offender in your prison system. The profile must include type of conviction, history of convictions, escape history, drug or alcohol abuse, age, and disciplinary history (factors listed in Section B of the classification worksheet). 3. Exchange your profile with another group. 4. Classify the offender whose profile you received (Section B of the worksheet). 5. REGROUP on the next slide.

Facilitator Notes

1. ASK participants to work in their small groups.
2. PROVIDE the Classification Worksheet to participants if they do not have a copy.
3. EXPLAIN the activity to participants.
4. NOTE that participant will spend 15 minutes to write profile + 15 minutes to classify + discussion time
5. MAKE sure participants have no questions.
6. REGROUP on the following slide.





Offender Classification Worksheet

Use this worksheet during in-class discussions and the classification activity.

A Identification		Date:	
Offender Name (Last, First, Middle):			
Offender DOC#:		Reception Date:	
Race/Sex:		Date of Birth:	

B Custody Evaluation	Score
1 Severity of Current Conviction	
Rate most serious current charge/conviction, including detainers or warrants.	
<input type="radio"/> Low = 0 points <input type="radio"/> High = 5 points	
<input type="radio"/> Moderate = 2 points <input type="radio"/> Highest = 6 points	
2 Seriousness Offense History (Excluding Current Offense)	
<input type="radio"/> None or Low (past 5 years) = 0 points <input type="radio"/> High (past 10 years) = 4 points	
<input type="radio"/> Moderate (past 5 years) = 1 points <input type="radio"/> Highest (past 10 years) = 6 points	
3 Escape History	
<input type="checkbox"/> No escapes or attempts = 0 points	
<input type="checkbox"/> Absconding probation/parole, AWOL, bail jumping within past 1 year = 1 point	
<input type="checkbox"/> Escape from community supervision, juvenile AWOL, within past 2 years = 1 points	
<input type="checkbox"/> Escape from community corrections within past 3 years = 2 points	
<input type="checkbox"/> Escape or attempted escape from minimum security, juvenile detention center/institution within past 5 years = 6 points	
<input type="checkbox"/> Two or more escapes or attempted escapes from minimum security, community corrections, or community supervision, within past 10 years = 6 points	
<input type="checkbox"/> Escape or attempted escape from medium or maximum security within past 10 years = 7 points	
Maximum Custody Score (Add items 1, 2, and 3— Score 7 or higher, assign to maximum custody)	<i>Subtotal</i>
(Complete remaining items, but do not total score if offender has been assigned to maximum custody.)	



B Custody Evaluation			Score
4	Prior Felony Convictions (Past 10 years, excluding current charges)		
	Rate most serious current charge/conviction, including detainers or warrants.		
	<input type="radio"/> 0 – 1	= 0 points	
	<input type="radio"/> 2 – 3	= 2 points	
	<input type="radio"/> 4+	= 4 points	
5	Disciplinary History		
	<input type="checkbox"/> None	= 0 points	
	<input type="checkbox"/> Three or more Class B disciplinary convictions, past 1 year	= 1 point	
	<input type="checkbox"/> One or more Class A disciplinary convictions, past 2 years	= 2 points	
	<input type="checkbox"/> One or more Class X disciplinary convictions, past 2 years	= 2 points	
6	Alcohol/Drug Abuse (Within past 5 years)		
	<input type="checkbox"/> No social, economic, or legal problems related to abuse	= 0 points	
	<input type="checkbox"/> Abuse resulting in social, economic, or legal problems	= 1 point	
	<input type="checkbox"/> Abuse resulting in assaultive behavior	= 2 points	
7	Current Age (Deduct indicated points)		
	<input type="radio"/> Age 39 or younger	= 0 points	
	<input type="radio"/> Age 40 or older	= -1 point	
Comprehensive Custody Score (Add items 1 – 7)			<i>Total Score</i>

C Scale Summary and Recommendations		
1	Severity of Current Conviction	
	Rate most serious current charge/conviction, including detainers or warrants.	
	<input type="radio"/> 3 or fewer points on items 1 – 7	= Minimum
	<input type="radio"/> 4 to 6 points on items 1 – 7	= Medium
	<input type="radio"/> 7 or more points on items 1 - 7	= Maximum
2	Mandatory Overrides (No lower than medium security)	
	<input type="checkbox"/> Murder I or II	<input type="checkbox"/> Life without parole
	<input type="checkbox"/> Time left to serve (highest crime category)	
3	Discretionary Overrides for Higher Security Level	



C Scale Summary and Recommendations	
<input type="checkbox"/> Circumstances of the offense <input type="checkbox"/> History of violence <input type="checkbox"/> Gang affiliation <input type="checkbox"/> Other (specify)	<input type="checkbox"/> Management problem <input type="checkbox"/> Escapes <input type="checkbox"/> Felony detainer
4 Discretionary Overrides for Lower Security Level	
<input type="checkbox"/> Circumstances of the offense <input type="checkbox"/> Time left to serve	<input type="checkbox"/> Prior outstanding conduct <input type="checkbox"/> Other (specify)
5 Offender Program Needs	
<input type="checkbox"/> Physical health <input type="checkbox"/> Reintegration <input type="checkbox"/> Substance abuse <input type="checkbox"/> Other (specify)	<input type="checkbox"/> Emotional stability <input type="checkbox"/> Academic skills <input type="checkbox"/> Vocational
6 Offender Program Needs	
<input type="checkbox"/> Minimum <input type="checkbox"/> Medium <input type="checkbox"/> Maximum	
Case manager's signature Offender's signature Routine: Classification chair	Date Date Date

D Review Authority			
Security level:	<input type="radio"/> Concur	<input type="radio"/> Do Not Concur	
Changed to:	<input type="radio"/> Maximum	<input type="radio"/> Medium	<input type="radio"/> Minimum
Reason for change:			
Routine	Case manager supervisor:		
Non-routine	Facility classification coordinator:		Code:
If security level changed	Offender signature:		

Classifying Offenders

Profile and Classification

- ✓ Type of conviction
- ✓ History of convictions
- ✓ Escape history
- ✓ Drug or alcohol abuse
- ✓ Age
- ✓ Disciplinary history

REGROUP

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Classifying Offenders Regroup

Regroups allow you the opportunity to acknowledge strengths and identify opportunities for improvement, brainstorm ideas, listen to the ideas of others, and examine even the smallest details that could lead to improvement.

Facilitator Notes

1. REGROUP with participants to discuss their profiles and classifications.
2. ADVANCE to the next slide to review or end the day.

Summary

Topics

- ✓ Initial external classification
- ✓ Classification criteria
- ✓ Custody scoring system
- ✓ Classification of vulnerable populations, including survivors of human trafficking



Knowledge Check

In your group, answer the following:

- What is the most important point you learned today?
- What point remains least clear to you?

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Quiz

1. Review notes from previous session.
2. Work with your group to respond.

Facilitator Notes

1. SUMMARIZE the module using the topics check list
2. ASK for volunteers to answer these two questions.
3. ENCOURAGE participants to engage in a conversation to test knowledge gained in this module.



Offender Intake and Diagnostics



PRISON INTAKE AND DIAGNOSTICS

Purpose: The purpose of this module is to examine best practices in performing offender intake and diagnostics.

Activities:

- Intake Screening Process (30 min.)
- Intake and Screening Interviews (Role-Play)(30 min.)
- Discussion of Orientation Process

Estimated Time: 1 day (4.5 hours)





Facilitator Notes

1. INTRODUCE yourself and any co-facilitators, if necessary.
2. PROVIDE a quick energizer or debrief of the last module.
3. PROVIDE brief overview of what will be covered.
4. ADVANCE to next slide to review module objectives.

Worksheets:

- U.S. Intake Checklist
- KSA Intake Checklist (if available)
- Intake Worksheets for each station
- Offender Description Cards
- Mandela Rules 55 and 56


Learning Objectives

- Identify the benefits of developing and utilizing a secure and standardized process for receiving the offender into a designated prison
- Describe essential components in a standard intake process
- Select best practices to create an intake form checklist for the KSA
- Create offender profiles as part of intake processing

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Learning Objectives

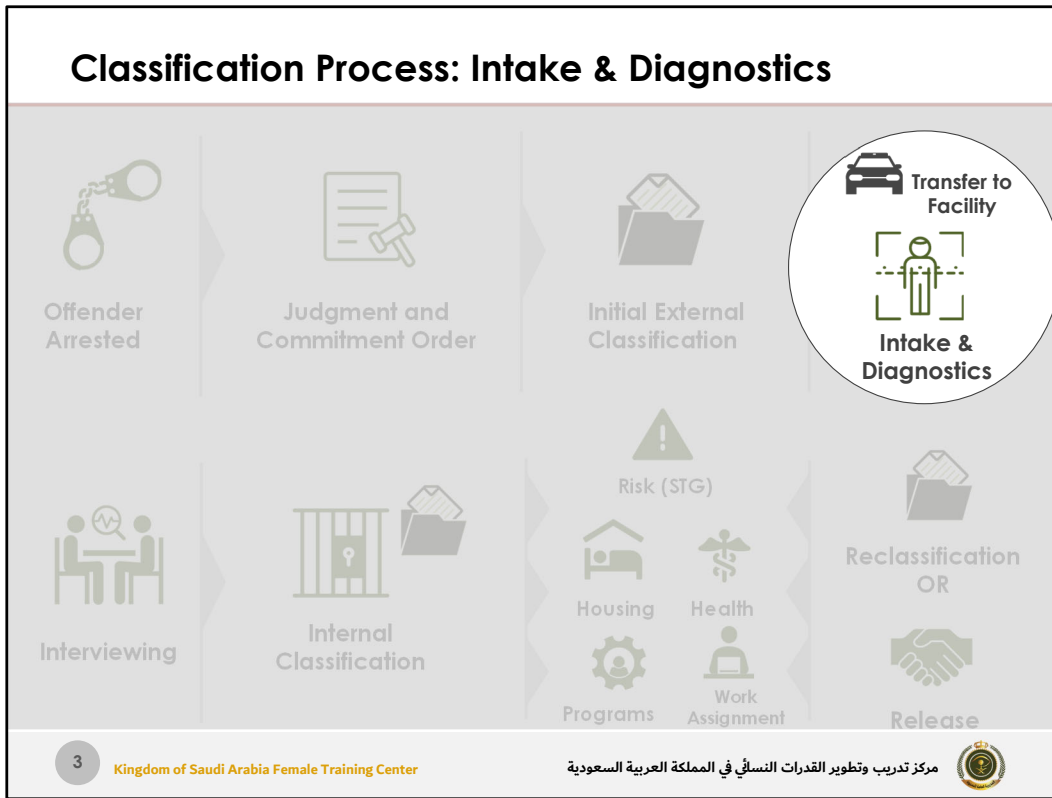
These learning objectives are the essential steps to reaching the goal of the course—understanding the importance of a systematic offender classification process and each part of the process from the time the person is arrested until she or he is reclassified or released.

Facilitator Notes

1. **EXPLAIN** the objectives to the participants to set expectations for the module.

Note that strong learning and performance objectives are specific, observable, measurable. Each objective should build upon each other from basic understanding of a concept to applying it on the job to explaining it to others.

2. **ASK** whether participants have any questions or need clarification on the objectives.



Facilitator Notes

1. REVIEW this overview slide and show where we are in the process.
2. SPEND a few moments to explain that we will cover the following procedures related to Intake and Diagnostics:
 - Transfer to facility
 - Pre-screening procedures
 - Intake screening process
 - Interviewing process
 - Admissions and orientation process
 - Internal classification



Benefits for a Standard & Safe Intake Process

- A standard, safe process for receiving the offender into the correctional system ensures:
 - ✓ Fairness
 - ✓ Consistency
 - ✓ Proportionality
 - ✓ Opportunity



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Benefits of Standard and Safe Intake Process

With many prison systems facing increased demand and decreased resources, the benefits are great for an offender intake system that will facilitate and expedite appropriate custody, housing, and programming decisions in a safe, reliable, and standardized manner.

This standardized process:

- Ensures that the offender is properly committed with appropriate documentation
- Ensures that identification procedures are completed—i.e., photographs, fingerprints, and identifying marks
- Provides a quarantine period to permit medical/dental/psychological exams and recommendations for treatment
- Introduces offenders to policies, rules, regulations, and types of programs available
- Ensures a system that adheres to the principle of fairness and dignity
- Strives to balance objectives of treating like offenders the same

Facilitator Notes

1. **EXPLAIN** the benefits of developing and utilizing a secure and standardized process for receiving the offender into a designated prison.
2. **USE** the bullet points in the left column for talking points.
3. **ADD** any other information you deem important.



Receiving & Processing in KSA

- Does your organization have a system for receiving and processing offenders?
- Do you think a standardized system is important? Why or why not?
- What obstacles do you see for such a system?



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Receiving and Processing in KSA


Intake facilities provide a core set of offender intake functions, including:

- Identifying the offender
- Developing the offender's record
- Conducting medical and mental health assessments
- Determining the offender's threat to public safety and his or her security requirements
- Identifying security threat group members
- Identifying sex offenders, sexual predators, and vulnerable offenders

Facilitator Notes

1. Briefly DISCUSS KSA's process. Does it follow the U.S. model—transfer to facility, pre-screening, intake screening, interviewing, admissions and orientation, and internal classification?
2. ASK the question in the slide above for participants to consider. Do not spend more than 10 minutes as we will discuss in more detail in the next activity.

Transfer to Facility



Secure Bus: Armed escort (prison staff, law enforcement staff, military escort, private company)

Secure Van: Armed escort (prison staff, law enforcement staff, military escort)


Self-Surrender: Must arrive at a pre-designated day and time

Airlift: Airplane or helicopter

Transfer to facility

How do offenders arrive at your KSA facility? Who is responsible for their intake?

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Transfer to Facility

Offenders arrive at the facility either as a self-surrender or in custody of the law enforcement.

Once there, they follow a standardized procedure that includes meeting with officials from various departments to conduct admission and orientation interviews.

Facilitator Notes

1. REVIEW with participants how offenders arrive at their assigned prison in the KSA.
2. DISCUSS what entities are involved in offender delivery and any issues that frequently arise.
3. Do intake records and files accompany the offender? Briefly compare procedures to see whether we can provide information to enhance their current position.



Intake & Diagnostics: Prisoner Identification



- Verification of identity through whatever means possible—fingerprints/photographs
- Searches (tattoos, marks, scars, personal property, and clothing/shoes, etc.)
- Crosscheck with other law enforcement organizations
- Inventory of personal items
- Issuance of departmental property

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Prison Identification and Verification

When offenders are brought to the facility, they are photographed, fingerprinted, and palm printed. Each offender is assigned an identification number, and an identification card is prepared. Offenders are provided state-issued clothing as well as toiletries such as deodorant, soap, and toothpaste.

This is also the time that an offender's affiliation with security threat groups is identified.

- Does your facility take photographs and fingerprints?
- Does your facility check for security threat groups?
- Does your facility systematically search for tattoos, scars, etc. to check for security issues? Does it systematically search offender property?
- Does your facility have external and internal databases to crosscheck information about offenders?
- Does your facility limit what offenders can retain at intake? Is offender property inventoried? Is departmental property, including hygiene items, issued to offenders upon entry into a facility?

Facilitator Notes

1. **EXPLAIN** that security staff verify the offender's identity on her first day at the facility. This includes taking fingerprints and photographs.
2. **POINT OUT** that facilities identify an offender's affiliation with security threat groups. This information is critical in determining whether the offender must be separated from other offenders.
3. **EXPLAIN** that offenders and their property are searched thoroughly and systematically. Searches include looking for tattoos (foreign national offenders may have tattoos), marks, and scars as well as a crosscheck with other law enforcement organizations for prior crimes, aliases, and security information.
4. **ASK** participants whether they have the capability to crosscheck internal and external databases or records. Mention that even without this capability, communicating with external and internal partner agencies is critical at this stage.
5. **EXPLAIN** that offenders are limited as to what property they can retain at intake. Offender property must be inventoried. Departmental property, including hygiene items, is issued to offenders upon entry into a facility.



Global Challenge: Excessive Personal Property

- Do you have an offender property system?
- How do you determine what an offender can keep?
- What do you do with unallowable or excess property?



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Excessive Personal Property

Offenders bringing in excessive personal property is a global challenge for prison officials.

Corrections facilities should immediately contact verified family members, if possible, to collect any property as soon as intake begins so there is no storing of excess.

When unauthorized property is brought with the offender and gets through to Intake, the offender must provide an address to send it to or it is destroyed. Intake should also include metal detection and x-ray capability should an offender have contraband inside her body cavities.

Does KSA have limitations on offender property, including safety and security and manageable amounts?

Facilitator Notes

1. DISCUSS the importance of having limitations on offender property, including safety and security and manageable amounts.
2. EXPLAIN that corrections facilities should immediately contact verified family members, if possible, to collect any property as soon as intake begins so there is no storing of excess.
3. BRIEFLY discuss storage and disposal issues.
4. EXPLAIN what happens to unauthorized property brought with the offender. Normally, the rules are shared with the transporting entity, so nothing is transferred with the offender that she cannot keep. If something gets through to Intake, the offender must provide an address to send it to or it is destroyed. Intake should also include metal detection and x-ray capability should an offender have contraband inside her body cavities.



Pre-Screening Procedures

- Information on offender needed in advance:

- ✓ Charges
- ✓ Sentence
- ✓ Identifiers
- ✓ Demographics
- ✓ Security issues
- ✓ Special measures



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Classification: Pre-Screening Procedures

The following prison staff should be informed before the offender arrives:

- Intelligence staff should review any advance intelligence/information/documentation they receive or can gather
- Security staff should be aware of any issues before arrival and be able to manage the offender effectively
- Case workers should review documentation to identify potential separation issues, co-conspirators, sentencing errors, etc.

Facilitator Notes


- ASK whether pre-screening practices are standardized. If not, ask participants whether they see the advantage of standardizing.
- DISCUSS pre-screening procedures conducted in the U.S.
- COMPARE and CONTRAST the U.S. model with the KSA model and engage participants on their best practices as well as the best practices following in the U.S. (30 minutes)
- ENGAGE participants in the following questions and provide information on the same for the U.S.:
 - What sources can you access to gather information on incoming offenders?
 - What are some challenges?
 - Is information sharing (from outside in and inside out) a problem in KSA?



Intake Screening Process

EXERCISE

- Review U.S. and KSA checklists
- Create a new checklist that incorporates best practices (from U.S. and KSA checklists and your own knowledge)
- Be prepared to explain your checklist and why you think it incorporates **the** best practices



INTAKE CHECKLIST

Create checklist

➔


Explain your checklist



30 min.

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Intake Screening Process	
Duration	30 minutes
Purpose	The purpose of this exercise is have participants review options for the intake screening process and select what they consider to work the best for their facilities.
Materials	<ul style="list-style-type: none"> Flipchart Markers
Steps	<ol style="list-style-type: none"> 1. Work in your small groups. 2. As a team, review the U.S. intake screening checklist and the KSA screening checklist and select all the best practices you believe will work best for your facility. 3. ADD any additional ideas from your own knowledge and experience that will improve the process in your facility. 4. Be prepared to share your checklist and explain why you selected what you did.

Facilitator Notes

1. ASK participants to work in small groups.
2. DISTRIBUTE Worksheet: Intake Checklist.
3. DISTRIBUTE the KSA checklist if one is available.
4. EXPLAIN the exercise:
 - Working as a team, participants should analyze the U.S. intake checklist and the KSA intake checklist and select all the best practices they believe will work the best in their facility. Essentially, they will build their own checklist, using the best of both checklists. [Note if a KSA checklist is not available, have participants select from the U.S. intake checklist the portions that will work for them.] In either case, encourage them to supplement the checklists with their own ideas and knowledge.
 - Participants will be expected to explain why they selected what they did for their checklist.
5. REGROUP on the next slide.





Intake and Diagnostics Checklist

Pre-Screening Process:

Prior to offender arrival, advance notice should be supplied to the receiving prison of the designation. It should include:

- Offender's charges, sentence, identifiers, demographics, security issues, etc.
- Intelligence staff and caseworkers to review any advance intelligence/information/documentation they receive or can gather
- Security staff who are aware of any issues before arrival and can manage the offender effectively
- Special measures needed to manage the offender and the correct authorities notified
- Case workers that review documentation to identify potential separation issues, co-conspirators, sentencing errors, etc.
- Any sources that can be accessed for information on incoming offenders

Intake Screening Process:

Intake should include at least the following:

- Receiving from the transport vehicle
- Initial containment and separation (locked cells, locked rooms, staffing pattern)
- Receiving documentation from escorts (files, offender receipts, property documentation)
- Process for escorting staff and the offender
- Any intelligence and information available for the screening to begin
- Intelligence staff present to interview
- Person responsible for conducting intake screening
- Standardized intake screening form
- Description of disciplinary issues from the last facility that need to be identified and acted upon
 - Sanctions, restrictions, enhanced accountability measure/2 hour check in, etc.

Interviewing Process:


1. **Medical screener**
 - Pathogen conditions, general health, dental, age-related issues, medicines, chronic conditions, appropriate for this prison based on medical assets available
2. **Intelligence/security screener**
 - Security threat group links, discipline issues, cooperator, hideout, separation based on prior conflict/assault, appropriate for this prison based on security concerns, etc.
3. **Psychology screener**
 - Mental health, medication issues, suicide prevention, prior assault victim, appropriate for this prison based on mental health status etc.
4. **Case Management screener**
 - Current case, prior crimes, release dates, sentence information, family ties, visitation lists, education background, programming review/needs, etc.

NOTE: Due to the sensitive nature of all these screenings, absolute privacy should be maintained.


Intake Screening Process

REGROUP

Compare and contrast



U.S. Checklist



KSA Checklist

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Intake Screening Process

Regroups allow you the opportunity to acknowledge strengths and identify opportunities for improvement, brainstorm ideas, listen to the ideas of others, and examine even the smallest details that could lead to improvement.

Facilitator Notes

1. REGROUP from previous exercise.
2. ASK participants to explain their checklist and why they selected what they did.
3. ENCOURAGE the groups to compare their checklists and to enhance them further as they gather ideas from one another.
4. PROVIDE feedback.
5. REVIEW the following to make sure it is included:
 - Receiving from the transport vehicle
 - Initial containment and separation (locked cells, metal detection, locked rooms, staffing pattern)
 - Receiving documentation from escorts (files, offender receipts, property documentation)
 - How do they identify the escorting staff and the offender?
 - What intelligence and information are available for the screening to begin?
 - Are intelligence staff present to interview?
 - Who conducts intake screening? Is there a standardized intake screening form?
 - Are there disciplinary issues from the last facility that need to be identified and acted upon? (sanctions, restrictions, enhanced accountability measure/2 hour check in, etc.)

Privacy and Safety

THINK ABOUT

- The screenings will involve sensitive information; how do you ensure absolute privacy?
- What if there are issues related to immediate restricted housing but no threat assessment has been conducted?
- If the need arises, how do you make sure the offender will not be harmed, harm others, or harm herself before she is released to the general population?



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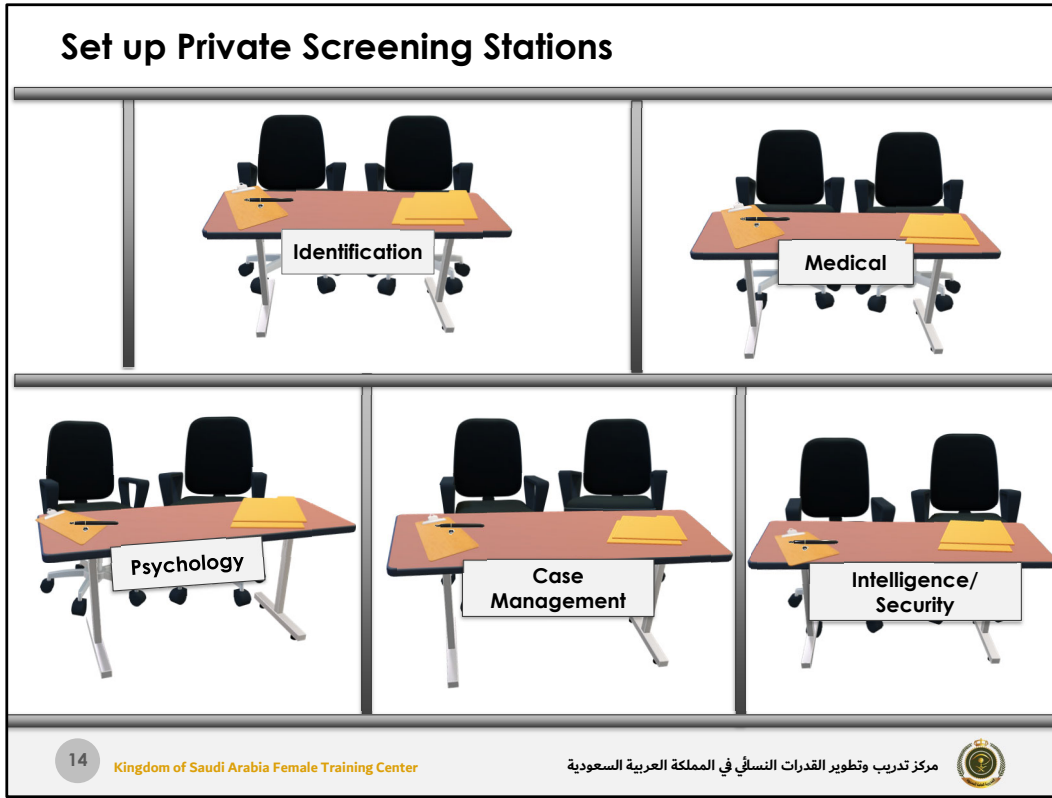
Privacy and Safety

Any record that contains clinical, social, financial, or other data on an offender should be treated in a strictly confidential manner and protected from loss, tampering, alteration, destruction, unauthorized duplication, and unauthorized or inadvertent disclosure of information.

Facilitator Notes

1. ASK the participants to think about privacy and safety. How do they ensure absolute privacy in the screenings? Do they think this is important? PROVIDE examples from your experience:
 - e.g. When offenders who may want to provide intelligence want to talk, they require privacy. If privacy is not provided, you will lose that intelligence because they know they will be harmed if they are discovered cooperating.
2. ASK participants how they handle issues with offenders who require immediate restricted housing. Provide examples from your experience.
3. ASK participants how do they ensure everyone is safe before these offenders are released in general population housing. Provide examples from your experience.





Set up Private Screening Stations

Work together to set up private screening stations.
Create Arabic/English signs for each station.

Facilitator Notes

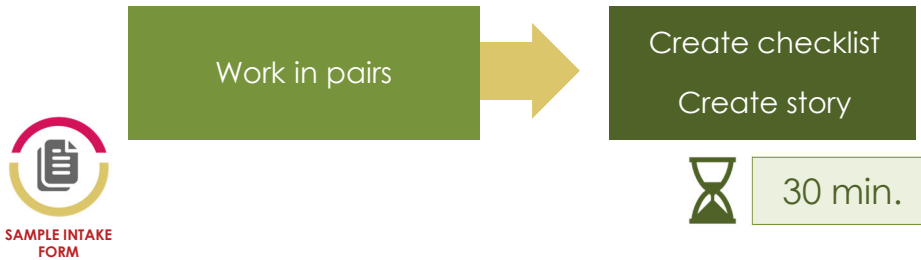
ASK participants to create signs for each screening table in Arabic for the following:

1. Identification
2. Medical
3. Psychology
4. Case Management
5. Intelligence/Security

Intake Screening Interviews

EXERCISE

- Two participants are interviewers
- One participant is an offender, and one participant is a corrections officer
- Each offender has an assigned category (security, case management, medical, psychology, intelligence)
- The offender and corrections officer create backstories
- Interviewers create intake form checklist



Intake Screening Interviews

Duration	30 minutes
Purpose	In this activity, participants will work in groups to role-play interviewers, offenders, and corrections officers. They will develop intake checklists and create backstories.
Materials	<ul style="list-style-type: none"> ▪ Classification Worksheet ▪ Note pad ▪ Pen
Steps	<ol style="list-style-type: none"> 1. Each group will write a profile for an offender in its prison system. Profile must include type of conviction, history of convictions, escape history, drug or alcohol abuse, age, and disciplinary history (factors listed in Section B of the classification worksheet). 2. Groups will then exchange their profiles. 3. The groups will classify the offender whose profile they received (Section B of the worksheet)

Facilitator Notes

1. ASK participants to work in small groups.
2. DISTRIBUTE the Worksheet: Same Intake Form to each group.
3. EXPLAIN the activity to the participants.
4. REGROUP on the next slide.

Duration: 20 min. to write backstories + 30 min. to classify + discussion time





SAMPLE INTAKE FORM - ADMISSIONS DATA SUMMARY

IDENTIFICATION DATA		Confidential				Date of Report:	
						Date of Interview:	
ATTACH PHOTO	Name:						
	DOCUMENT NUMBER:						
	Alias:						
	Height:	Weight:	Eyes:	Hair:	Sex:		
	Date of Birth:		Birthplace:				
	Age:	Complexion:	Ethnicity:	Citizenship:			
		Security Threat Group:					
	Marks, Scars, Tattoos:						

SENTENCE DATA			
Receipt:	Admission Date:	Parole Eligibility Date:	Sentence Discharge Date:
Sentencing Jurisdiction:	Sentence Date:	Sentence Effective Date:	Pre-Sentence Confinement:
Judge:			Defense Attorney:
Co-Defendant(s):			

ALERT DATA					
Academic/Vocational:	Medical/Dental:	Work:	Substance Abuse:	Sexual Violence:	Assault:
Psychological:	Leisure:	Pre-Release:	Conduct:		
Detainer/Warrant:					
		Pending Charges:			




HISTORICAL CRIMINAL DATA					
Felony Arrests:	Misdemeanor Arrests:		Prior Probation:	Probation Revocation:	
Prior Paroles:	Parole Absconds:	Parole Revocations:	Community Placements:	Community Revocations:	
Prior Escapes:	Through Security:	Walk Away:	Last Escape Date:	Last Escape Location:	
Type	Year	Offense		Disposition	


PERSONAL DATA					
Emergency Notification:				Phone Number:	
Address:					
Last Place of Residence:			Marital Status:		Dependents:
Military (Branch):	Dates:	Discharge:	Viet Vet?	Religion:	
Intelligence Level:		Claimed Education Level:		Math:	Language:
Occupation:					
<p>Note: Information gathered throughout the intake process should be used to help inform the classification of the offender.</p>					

Roles for Participants


2 participants at each station = 10 total



1 supervisor/facilitator



7 guards with 8 offenders = 15 total



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Roles for Participants

Choose the role you want to play in the intake scenario and role play.

Facilitator Notes

1. ASK participants to get into groups for the role play.
2. With a group of 25 participants, you can split the roles into the following:
 - 2 participants at each station
 - 7 guards to escort 8 offenders
 - Facilitator will be the supervisor



Create Intake Forms

- **Identification** (fingerprints/photos & intake of clothing, hygiene, distribution of uniform)
- **Medical screener** (pathogen conditions, general health, dental, age-related issues, medicines, chronic conditions, appropriate for this prison based on medical assets available)
- **Intelligence/security screener** (security threat groups, terrorist links, discipline issues, cooperator, hideout, separation based on prior conflict/assault, appropriate for this prison based on security concerns, etc.)
- **Psychology screener** (mental health, medication issues, suicide prevention, prior assault victim, appropriate for this prison based on mental health status, etc.)
- **Case management screener** (current case, prior crimes, release dates, sentence information, family ties, visitation lists, education background, programming review/needs, etc.)

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Create Intake Forms

Work together to create intake forms for the following screening stations:


- Identification
- Medical screener
- Intelligence/security screener
- Psychology screener
- Case management screener

Facilitator Notes

1. EXPLAIN that medical screenings, physical examinations, and alcohol and drug abuse tests are conducted. Mental health screens and academic achievement tests are conducted as well as psychological testing and prisoner separation concerns. These screenings are conducted by nurses and mental health staff.
2. EXPLAIN that in some cases, anger management, life skills, sex offender, compulsive behavior, financial management, parenting, and aging/elderly needs are also addressed.
3. ADVISE participants that these tests help determine the level of programming, educational, and treatment services needed. Test results also provide critical data for offender classification and housing and work assignments.
4. EXPLAIN the importance for keeping complete, accurate, and accessible files.




Create Offender Profiles

<p>Age: 28 years old Country: KSA Offense: Moral Crimes</p>   <p>OFFENDER PROFILES</p>	<p>Age: 60 years old Country: Kenya Offense: Stealing</p> 
--	--

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Create Offender Profiles

1. A handout is provided for each offender profile.
2. ASK participants to provide a backstory and more details based in reality.


Offender Profiles

<p>Age: 25 years old Country: Philippines Offense: Drugs Possession/Use</p> 	<p>Age: 40 years old Country: KSA Offense: Credit Card Fraud</p> 
--	--



OFFENDER PROFILES

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Create Offender Profiles

1. A handout is provided for each offender profile.
2. ASK participants to provide a backstory and more details based in reality.

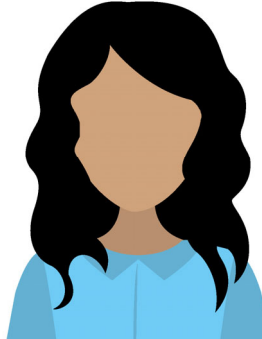
Offender Profiles

Age: 30 years old
Country: Yemen
Offense: Terrorism





OFFENDER PROFILES

Age: 28 years old
Country: United States
Offense: Assault with Weapon





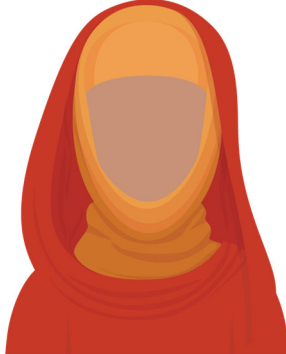
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Create Offender Profiles


1. A handout is provided for each offender profile.
2. ASK participants to provide a backstory and more details based in reality.

Offender Profiles

<p>Age: 17 years old Country: Thailand Offense: Drugs (potentially has been trafficked)</p>   <p>OFFENDER PROFILES</p>	<p>Age: 25 years old Country: Bangladesh Offense: No Visa</p> 
--	--

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Create Offender Profiles

1. A handout is provided for each offender profile.
2. ASK participants to provide a backstory and more details based in reality.




KSA OFFENDER PROFILE

	<p>Name: Age: Country: Offense:</p>

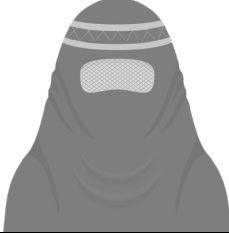


KSA OFFENDER PROFILE

	<p>Name: Age: Country: Offense:</p>




KSA OFFENDER PROFILE

	<p>Name: Age: Country: Offense:</p>




KSA OFFENDER PROFILE

	<p>Name: Age: Country: Offense:</p>



KSA OFFENDER PROFILE

	<p>Name: Age: Country: Offense:</p>

Intake Screening Interviews

REGROUP

- Did the secrets get discovered?
- Were the proper questions asked?
- Did the interviewer gain a rapport with the offender?



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Intake Screening Interviews

Take notes on how the interviews were conducted.

Did you learn anything new?

What would you do differently?

Facilitation Steps

1. REGROUP and ask the participants the following questions:
 - Did any secrets get discovered?
 - Were the proper questions asked?
 - Did the interviewer gain rapport with the offender? Why or why not?
2. ASK the participants whether they have any improvements on the activity.
3. ASK participants what comes after intake (hint: orientation).



Admissions and Orientation Process:



Orientation

- Prison rules and regulations
- Offender rights and obligations
- Other matters that enable offender to adapt to life within the prison

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Admission and Orientation Process

Offenders should be required to attend an orientation that includes information on reception center processing, the classification process, rules and regulations, fire safety, and the disciplinary process. Offenders should also be educated on available treatment and counseling options. In addition, offenders identified as foreign nationals shall be provided with information on how to contact their foreign consulate.

Facilitation Steps

1. **EXPLAIN** the orientation process for the offender: Allows staff to assess incoming offenders, distribute rule books, have lecture-based information for offenders (outlining daily functions and procedures).
2. **ASK** participants the following questions:
 - What is the orientation process like at your facility?
 - Do you provide prison laws and regulations along with offender rights and obligations?
 - What information best enables offenders to adjust to time served in your facility?
3. **ADVANCE** to next slide for more discussion and details.

Prison Orientation Process



- The discipline system is outlined and discussed with the offenders
- Inform them of charges, sanctions, and how discipline affects both staff and offenders
- Local policies and procedures clarified:
 - ✓ Feeding
 - ✓ Telephone procedures
 - ✓ Visiting procedures
 - ✓ Grievance procedures
 - ✓ Movement



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Prison Orientation Process

What is the orientation process at your facility?

Read the Mandela Rules #54 and 55 (Worksheet).

Do you follow the same procedures?

Facilitation Steps

1. **EXPLAIN** that many things are outlined during the Orientation process, including information about charges, sanctions, and discipline.
2. **ASK** about their local policies and procedures.
3. **STRESS** that the orientation process supports Mandela Rules 54 and 55 as shown in their participant guides.
4. **ADVANCE** to the next two slides to show Mandela Rules #54 and #55.





Relevant Mandela Rules #54

Intake and Diagnostics

Upon admission, every prisoner shall be promptly provided with written information about:

- a. The prison law and applicable prison regulations;
- b. His or her rights, including authorized methods of seeking information, access to legal advice, including through legal aid schemes, and procedures for making requests or complaints;
- c. His or her obligations, including applicable disciplinary sanctions; and
- d. All other matters necessary to enable the prisoner to adapt himself or herself to the life of the prison.

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Facilitation Steps

1. USE as needed to remind participants of the relevant Mandela Rules.
2. PRINT and distribute rules for participants.





Relevant Mandela Rules

#55

Intake and Diagnostics

- a. The information referred to in Rule 54 shall be available in the most commonly used languages in accordance with the needs of the prison population. If a prisoner does not understand any of those languages, interpretation assistance should be provided.
- b. If a prisoner is illiterate, the information shall be conveyed to him or her orally. Prisoners with sensory disabilities should be provided with information in a manner appropriate to their needs.
- c. The prison administration shall prominently display summaries of the information in common areas of the prison.

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Facilitation Steps

1. USE as needed to remind participants of the relevant Mandela Rules.
2. PRINT and distribute rules for participants.



Next UP: Overview of Initial Internal Classification



- Housing assignment
- Program assignment
- Work assignment
- Health
- Risk



- Transfer to designated housing area

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Initial Internal Classification

The next step in the process is internal classification. Think about how this is a natural progression from intake screening and helps in the day-to-day management of your facility.

Facilitation Steps

1. Briefly **PROVIDE** an overview of the importance of the internal classification process.
2. We will provide more details tomorrow but **IDENTIFY** some important issues on how this is a natural progression from intake screening and sets the standard for successful offender management on a day-to-day basis.



SUMMARY

Topics

- ✓ Benefits of a standard intake process
- ✓ Privacy and safety
- ✓ Receiving and processing
- ✓ Intake screening
- ✓ Admissions and orientation process

Knowledge Check

In your group, answer the following:

- What is the most important point you learned today?
- What point remains least clear to you?



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Quiz

1. Review notes from previous session.
2. Work with your group to respond.

Facilitator Notes

1. SUMMARIZE the module using the topics check list
2. ASK for volunteers to answer these two questions.
3. ENCOURAGE participants to engage in a conversation to test knowledge gained in this module.

Classifying Security Threat Groups



Classifying Security Threat Groups

Purpose: The purpose of this module is to determine how to objectively classify security threat groups.

Activities:

- Defining STGs in KSA (20 min.)
- Validation/Scoring of STGs (25 min.)

Estimated Time: 1 days (4.5 hours)

Facilitator Notes

1. INTRODUCE yourself and any co-facilitators, if necessary.
2. PROVIDE a quick energizer or debrief of the last module.
3. PROVIDE a brief overview of what will be covered.
4. ADVANCE to next slide to review module objectives.

Worksheets:

- STG in KSA Worksheet
- STG Validation Form

Learning Objectives



- Describe internationally known security threat groups and how they form



- Validate classification of offenders through a validation point system



- Assign housing and programs to members of security threat groups



- Determine the importance of debriefing former security threat group members

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Learning Objectives

These learning objectives are the essential steps to reaching the goal of the course—understanding the importance of a systematic offender classification process and each part of the process from the time the person is arrested until she or he is reclassified or released.

Facilitator Notes

1. EXPLAIN the objectives to the participants to set expectations for the module.

Note that strong learning and performance objectives are specific, observable, measurable. Each objective should build upon each other from basic understanding of a concept to applying it on the job to explaining it to others.

2. ASK whether participants have any questions or need clarification on the objectives.





Classification Process: Security Threat Groups

Review schematic and compare with KSA's classification process.

Facilitator Notes:

Briefly DISCUSS where classification of STGs fit in the classification process.





What are Security Threat Groups (STGs)?

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What Are Security Threat Groups?

There are many names for security threat groups. Although each country may use a different term, all such groups pose a security risk to our facilities. Below are a few names these groups can go by:

- Extremists
- Terrorists
- Gangs
- Cartel
- Resistance
- Organized crime
- Organized threat group
- Syndicate
- Rings
- Clubs

Facilitator Notes

1. EXPLAIN to participants that we will use the term security threat group to cover a broad group of high-risk offenders.
2. EXPLAIN that the point is all of these groups are high-risk offenders who can pose a threat to the good order of prisons.

Security Threat Groups (STGs)

Security Threat Group (STG) An association of three or more individuals whose members adopt a group identity to create an atmosphere of fear or intimidation

Include:

- International terrorists
- Domestic terrorists
- Gangs
- Non-affiliated groups

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Security Threat Groups

Security threat groups are high-risk offenders who are assessed as posing a significant threat to:

- Security—risk of escape
- Safety—risk to the safety of others
- Stability—risk to the order of the prison
- Society—risk of conducting criminal activity outside the prison






Offenders should not be classified as high risk based on political beliefs, ethnicity, or any other status. Restrictive policies and measures should be applicable only to those high-risk offenders who have undergone a proper risk assessment process and been found to require such measures strictly on the grounds of prison security, safety, and order.

Facilitator Notes

1. **DISCUSS** the following with participants:
 - In the United States, gangs present a serious challenge to the management and order of prisons. In other countries, the threat is organized crime, transnational crime, and international and domestic terrorism. All represent high risk in prisons, so the same approach should be taken regardless of the individual category of the threat group.
 - Throughout the world, including the Middle East and the United States, terrorism, cybercrime, and organized crime, including drug and human trafficking, document and identity fraud, automobile theft, and money laundering are continuing and growing risks. These enterprises rely on extensive networks of international criminal associates for joint criminal ventures that cross ethnic and geographic lines. Being aware of—and therefore prepared for—these risks is good prison management.
2. **EMPHASIZE** the importance of a proper risk assessment before placing restrictive measures on any offender.
3. **ENGAGE** participants in a discussion on their thoughts of STGs and the threat being worldwide.



Comparisons

STGs (GANGS)	NON-AFFILIATED GROUPS	INTERNATIONAL TERRORIST	DOMESTIC TERRORIST
An association of three or more individuals whose members adopt a group identity to create an atmosphere of fear or intimidation	Offenders that band together based on regional affiliations for protection and for countering other groups that attempt to intimidate or harm them	Individuals and/or groups who are inspired by or associated with designated foreign terrorist organizations or nations to commit violent, criminal acts	Persons who perpetuate acts within their homeland intended to intimidate or coerce a civilian population or domestic government policy
			
			
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Comparisons

- Gangs
- Non-affiliated groups
- International terrorists
- Domestic terrorists

Facilitator Notes

1. Briefly REVIEW the definitions for comparison.
2. NOTE: STGs will be covered in more depth during the Specialized Course on STGs. This just pertains to classification.



Security Threat Groups Examples

U.S. Examples

- Hispanic prison gangs: La Eme/Mexican Mafia, Nuestra Familia, Neta – Puerto Rico, Trinitario -Dominican Republic
- Black prison gangs: Black Guerilla Family-BGF, Blood and Crip affiliations
- White prison gangs: Aryan Brotherhood, Nazi Lowriders

Other Known STGs:

- ISIS-Sinai Province
- al-Qa'ida in the Arabian Peninsula
- Islamic Revolutionary Guard Corps (IRGC)



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Security Threat Group Examples

The list in the slide is only a small example of threats across the world. Aside from the world's most active and dangerous terrorist groups are lesser known groups, individual extremists, and newly formed groups eager to make a name for themselves. These extremists continue to exploit under-governed spaces, conflict zones, and global security gaps to recruit, fundraise, and plot attacks.

The threat posed by racially or ethnically motivated terrorism, particularly white supremacist terrorism, remained a serious challenge for the global community. Continuing a trend that began in 2015, these groups conducted numerous attacks from Texas, U.S. to Christchurch, New Zealand.

Facilitator Notes

1. ENGAGE participants in the discussion on growing and continuing threats—and the probability that members of these security threat groups will end up in prisons across the world—and therefore everyone needs to be aware of the threat and prepared to manage it.
2. ASK participants to discuss the most likely threats in their region.

Source:

<https://www.criminaljusticedegreehub.com/most-dangerous-prison-gangs/>



Security Threat Groups (Prison Gangs)

		
Aryan Brotherhood	Neta	Black Guerilla Family
		
Mexican Mafia (La Eme)	Barrio Azteca	Tangos/Tango Blast
		
Texas Syndicate	Nazi Low Riders	Mexikanemi

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Security Threat Groups

The slide lists examples of prison gang markings/tattoos in the U.S. prisons. Fewer women are involved in gangs but may be associated through family, marriage, etc.

Facilitator Notes

1. EXPLAIN that these are examples and show that tattoos and body markings are common indicators of gang involvement.
2. EXPLAIN that other security threat groups will not be so obvious in appearance but will have other indicators.



Why and How Do STGs Form?

- Response to prison conditions
- Protection
- Economic benefits (cell assignments, jobs, drugs, etc.)
- Sense of community and identity
 - ✓ Interests and ideology/geography/culture, race, or family



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Why and How Do STGs Form?

Each correctional facility in any country has a set of rules, social norms, and ideas. If there is disagreement with the rules, social norms, or ideas, similar-minded individuals may seek out each other and join together. They may be looking for protection, profit, domination, or power. They then can be disruptive and pose a security threat.

Look for the following if you are watching for security threat groups forming:

- Do you have individuals who disagree with rules in your facility?
- Do you have individuals who are in a group for protection? For profit?

Facilitator Notes

1. EXPLAIN how STGs generally form.
2. EXPLAIN as a corrections officer, there are things to look for to see whether security threat groups are forming.

Possible Threats of STGs

- Operational disruption – violence
- Dangerous contraband
- Trafficking drugs, weapons
- Extortion through money, threats, force, coercion
- Ordering murders and attacks/mass violence
- Compromised staff
- Assaulting prison staff and other offenders



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Possible Threats of Security Threat Groups

What are the possible threats and risks that STGs bring to prisons?

Dangerous Contraband: an item that is capable of such use as may endanger the safety or security of a detention facility or any person therein.

Drugs: substances that either stimulate (such as cocaine or amphetamines) or inhibit (such as heroin or sedative-hypnotics) the central nervous system or cause hallucinogenic effects (such as marijuana or LSD) to the effect that their use has been prohibited globally.

Extortion: the practice of obtaining something, especially money, through force or threats.




Compromised Staff: unable to function optimally, safely, and objectively in a correctional institution.

Facilitator Notes

EXPLAIN the possible threats of STGs in prison.



How to Identify STGs

 <div style="border: 1px solid black; padding: 10px; width: fit-content; margin: 0 auto;"> <p>Tattoos</p> </div>	 <div style="border: 1px solid black; padding: 10px; width: fit-content; margin: 0 auto;"> <p>Admission to Staff</p> </div>
 <div style="border: 1px solid black; padding: 10px; width: fit-content; margin: 0 auto;"> <p>Clothing</p> </div>	 <div style="border: 1px solid black; padding: 10px; width: fit-content; margin: 0 auto;"> <p>Signals/Signs</p> </div>
 <div style="border: 1px solid black; padding: 10px; width: fit-content; margin: 0 auto;"> <p>Affiliations Neighborhood</p> </div>	 <div style="border: 1px solid black; padding: 10px; width: fit-content; margin: 0 auto;"> <p>Colors</p> </div>

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How to Identify STGs

Although the number of offenders entering prison with extensive criminal gang and organized crime contacts are increasing, in most countries, such offenders still comprise a small proportion of the overall prison population. But identifying and managing this small proportion is critical to the good order of a prison.

Management of high-risk offenders poses a challenge to prison systems in ensuring that a proper balance is maintained between security measures and the treatment of offenders in line with fundamental human rights.

Facilitator Notes

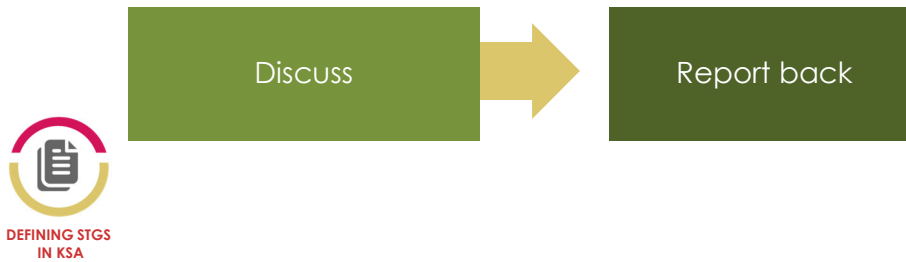
1. **EXPLAIN** that there can be a lot of ways to identify affiliations with STGs.
 - Common ways can be tattoos, clothing, colors, signals or signs, admissions from the STG member, who they are affiliated with, or where they live or came from (neighborhood, town, or village).
2. **EXPLAIN** that those identifiers might change if they are less visible than typical U.S. security threat groups.
3. **DISCUSS** in the case of extremists, you may find they have become more political or religious, dress differently in a specific way, become more socially isolated, or display intolerant and discriminatory behavior toward people of other races, ethnicities, etc.



Defining Security Threat Groups (STGs) in KSA

EXERCISE

- Work in small groups
- Refer to Worksheet: Defining STGs in the KSA
- Respond to the questions in the worksheet
- Be prepared to share with the class



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Defining STGs in KSA

Duration	20 minutes
Purpose	The purpose of this exercise is to have participants brainstorm the types of threats they are most likely to encounter in their prison system.
Materials	<ul style="list-style-type: none"> • Defining STG in KSA worksheet • Pen • Paper
Steps	<ol style="list-style-type: none"> 1. Work in small groups. 2. Refer to the worksheet: Defining STGs in the KSA. 3. Brainstorm within your group to determine the most likely threat or threats facing you in your prison system. 4. Give careful thought to the questions throughout in order to be better prepared to identify, assess, and manage the threat should it occur. 5. Be prepared to share and discuss with the class.

Facilitator Notes

1. ASK participants to work in their groups.
2. DISTRIBUTE Worksheet: Defining STGs in the KSA
3. HAND OUT the Defining STGs in KSA Worksheet.
4. REGROUP on the next slide.





WORKSHEET: Defining Security Threat Groups in KSA

What constitutes a security threat group in KSA?
What are the threats (e.g. contraband, violence)?
What are the identifiers (e.g. body markings, clothing)?
What are the common interests (religious, political)?
What are the ultimate goals?



How do security threat groups affect prison management, generally, and the classification system, specifically?
What are the risks to prison guards and other offenders?
Where do the security threat group members come from? Do they come from the same neighborhood/country of origin?
Do they associate with other groups?
With whom are they enemies?
How do your groups communicate with each other?

Follow-Up Questions to Think About:

What are the elements that create an environment where radicalization can happen?

What are the root causes of joining a security threat group and becoming radicalized?

Defining Security Threat Groups (STGs) in KSA

- What constitutes a security threat group in the KSA?
- What are their threats, identifiers, common interests, and ultimate goals?
- How do STGs affect prison management, generally, and the classification system, specifically?



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Defining Security Threat Groups in KSA

Regroups allow you the opportunity to acknowledge strengths and identify opportunities for improvement, brainstorm ideas, listen to the ideas of others, and examine even the smallest details that could lead to improvement.

Facilitator Notes

1. REGROUP from the previous activity.
2. CALL upon a spokesperson from each group to present her group's responses—or have one group respond to some of the questions and other groups respond to other questions.
3. ENGAGE participants in a discussion on their responses by comparing and contrasting the responses of the groups.
4. ASK participants for each security threat group to think of the follow-up questions:
 - What environmental factors help create a potential STG?
 - How do some offenders get initiated or recruited?
 - What are the root causes?



Classifying STGs: Validation

Validation is a point system used to identify and prove participation in a security threat group

- What are the rules of validation?
- Why do prisons validate?
- How do they validate?
- What are the criteria for validation?
- Who coordinates STG management?



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Classifying STGs: Validation

Validation is a subset of security classification. STG validation is the process that prison officials use to identify offenders suspected of being members of gangs or other security threat groups.

In the U.S., gang affiliation is determined based on criteria commonly used by law enforcement agencies to document and record street gang members. These criteria focus on gang signs and symbols in written documents or photographs, socializing with known gang members, activity on behalf of the gang, and other forms of gang intelligence.

How offenders score on an explicit list of criteria, often termed source items, are entered into a validation packet to determine gang affiliation. Different weights are applied to the source items.

Facilitator Notes

1. **EXPLAIN** the validation point system that helps identify STGs.
2. **ASK** participants what sources they can access for information on incoming offenders.
3. **DISCUSS** pre-screening procedures in order to elicit KSA processes and challenges.
4. **COMPARE** and **CONTRAST** by using a U.S. model as an example and determining how that can be modified for other types of STGs. For example, how would the KSA score various source items for international terrorists or other STGs in their prisons? Determine how the U.S. could modify the KSA model to apply to gangs.



Classification Levels for STG Offenders

Associates – Suspects – Members

- Does KSA have similar classification levels?
- Does KSA keep a master STG list?
- How does your facility manage which groups are on the list and removed from the list?



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Classification Levels of STG Offenders

Classification levels for STGs are:

- Associates
- Suspects
- Member
- Leader

Does KSA have similar levels?

Do you keep and maintain a master list?

Facilitator Notes


1. EXPLAIN the classification levels of STG offenders.
2. ASK whether KSA has similar classification levels for STGs.
3. ASK whether they keep a master list for tracking and how they manage the list.




Classifying STGs: Validation Point System

- Applicable criteria to suspect offender may be STG

✓ Self-admission	✓ Tattoos	+5 Points
✓ Symbolism	✓ Documents/publications	+5 Points
✓ Authorship	✓ Court records	+7 Points
✓ Group photos	✓ Association	+2 Points
✓ Contacts	✓ Confidential informant intelligence	+2 Points



STG VALIDATION FORM



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Classifying STGs: Validation Point System

The classification levels are based on the score on the validation sheet and intelligence gathered during their criminal case.

Review the point system and compare with KSA's practices. Determine how these points can be modified to reflect the types of STGs in KSA prisons.

Facilitator Notes

1. EXPLAIN that the classification levels are based on the score on the validation sheet and intelligence gathered during the criminal case.
2. REFER participants to Worksheet: STG Validation Point System.
3. EXPLAIN how potential members of an STG can be classified using the points shown on this worksheet.
4. ENGAGE the participants in ways in which the items on the point system can be changed to reflect terrorists (international or domestic) or other STGs they may have in their prisons.





SECURITY THREAT GROUP (STG) VALIDATION FORM

Date:

Facility/Region:

Offender Name:

Nicknames:

Gang Affiliation:

Gang Set:

DOC Number:

Place an X on each applicable criterion that causes you to suspect that the subject may be affiliated with a security threat group. **Each criterion must be supported with documentation.**

- | | | | |
|---|----------|---|----------|
| <input type="checkbox"/> Self-admission | 5 points | <input type="checkbox"/> Group photos | 2 points |
| <input type="checkbox"/> Tattoos | 7 points | <input type="checkbox"/> Association | 2 points |
| <input type="checkbox"/> Symbolism | 2 points | <input type="checkbox"/> Contacts | 2 points |
| <input type="checkbox"/> Documents | 5 points | <input type="checkbox"/> Confidential information | 2 points |
| <input type="checkbox"/> Membership | 9 points | <input type="checkbox"/> Media | 5 points |
| <input type="checkbox"/> Authorship | 7 points | <input type="checkbox"/> Intelligence | 8 points |
| <input type="checkbox"/> Court records | 9 points | | |

Total points accrued: _____ points

- 2 points = to be considered an associate
- 3 points = to be considered a suspect
- 10 points = to be considered a validated member

Staff Name/Title Completing Form (print)

Date

Certified by _____ Intelligence Agent Name (print)

Entered into Security Threat Group Database

By: _____ Date: _____



Criteria to Accrue Point Values

A. Self-admission	5 points	When possible, signed/dated by offender and staff.
B. Tattoos	7 points	Must be security threat group specific. Attach photos.
C. Symbolism	2 points	Attach photos, copies, and/or memos to document the use of security threat group-specific colors, hand signs, insignia, logos, notations, drawings, graffiti, etc.
D. Documents/ Publications	5 points	Attach memos and example copies to document simple possession of the security threat group-specific by-laws, ceremonial procedures, rosters, hit lists, address book entries, and publications to include newsletter, flier, poster, etc.
E. Authorship	7 points	Attach sample copies of security threat group-specific documents/articles of actual gang business correspondence written by the offender.
F. Court Records	9 points	Attach copies of court documents that directly identify offender as a member or the security threat group under consideration (PSI, indictment, arrest warrant affidavit, prosecution memorandum, etc.)
G. Group Photos	2 points	Attach copies of offender group photos in which the offender appears with two or more validated security threat group members.
H. Association	2 points	Attach memo(s) to document that offender is frequently observed closely associating with validated security threat group members (walks, eats, recreates with).
I. Contacts	2 points	Attach memo and sample copies to document correspondence, financial transactions, money orders, etc. or receives visits from known relatives and close associates of validated security threat group members.
J. C/I Information	2 points	Confidential informant information that is deemed credible/reliable (stating why) indicating the subject offender is a security threat group member (emphasis on other criteria is preferred).
K. Membership	9 points	Attach copies of security threat group-specific documents found in the offender's possession, such as membership certificates, membership cards/credentials, certificates of rank/title, letters of introduction, letters of recognition, etc.
L. Intelligence	8 points	Attach memos regarding or copies of reliable inter- agency law enforcement intelligence regarding membership status.
M. Media	5 points	Attach copies of detailed newspaper or magazine articles that describe arrest, prosecution, or operations of a subject offender as a security threat group member. (Court documents are preferred when available.)

Classifying STGs

- **2 points** = to be considered an associate
- **3 points** = to be considered a suspect
- **10 points** = to be considered a validated member



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Classifying STGs

The classification levels are based on the score on the validation sheet and intelligence gathered during their criminal case.

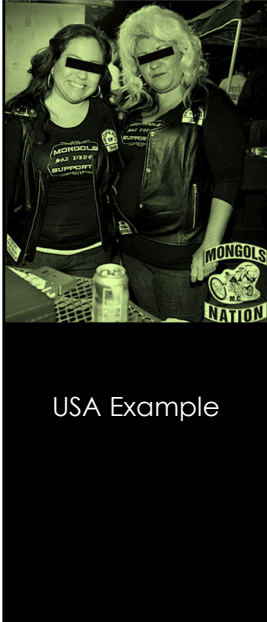
Review the point system and compare with KSA's practices.

Facilitator Notes

1. EXPLAIN how the scoring system works.
2. EXPLAIN that this is just one example and that different correction facilities have different scoring systems.



Female Offender #1



USA Example

Name: Jenna Baxter

Age: 55 years old

Available Information:

- Born and raised in Stockton, CA
- Married to the president, Stockton chapter of the Mongols Motorcycle Club
- Arrested as part of a large opioid smuggling ring. Baxter's role was unclear; however she was present when arrests were made and had 6 oz of marijuana in her possession.
- The Mongols were prosecuted under Racketeer Influenced and Corrupt Organizations Act (RICO).
- Criminal history includes numerous moving violations, larceny, disorderly conduct.

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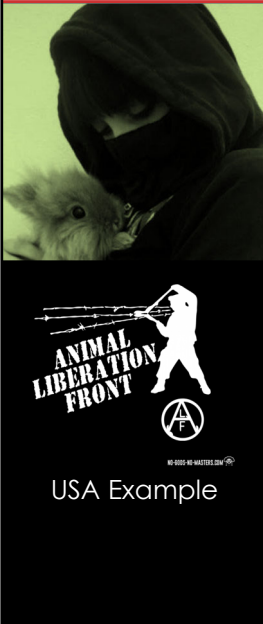
Potential STG Member/Leader/Associate

As the facilitator explains the background of this offender, take notes on any STG validation criteria you hear.

Facilitator Notes

1. **WALK THROUGH** the background of this offender.
2. **ASK** participants to take notes on any of the STG criteria.
3. **EXPLAIN** that we will look through each of the profiles and choose two profiles to score or validate.

Female Offender #2



Name: Louanne Frap
Age: 25 years old
Available Information:

- Arrested with explosives at Hoover Dam
- When interviewed, Frap stated she was attempting to blow up the dam so the Colorado River could flow in its natural state.
- Frap has sought media interviews since her arrest, stating she wanted the world to know she is a political offender for her activities on behalf of the Animal Liberation Front, or ALF.
- Frap has requested members of ALF be placed on her visitor and phone list. ALF members have held vigils outside the institution and at the courthouse.

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Potential STG Member/Leader/Associate

As the facilitator explains the background of this offender, take notes on any STG validation criteria that you hear.

Facilitator Notes

1. CONTINUE reviewing the background of the offenders.
2. ASK participants to take notes on any of the STG criteria.



Female Offender #3



USA Example

Name: Maria Sanchez

Age: 42 years old

Available Information:

- Born and raised in El Salvador, Sanchez was arrested in a safe house along the U.S./Mexico border.
- Along with Sanchez were numerous trafficking victims that identified her as the coyote.
- Investigations revealed that Sanchez was working with MS-13 to traffic women for prostitution. During intake screening, two MS-13 tattoos were identified on her body, at which point she admitted membership.

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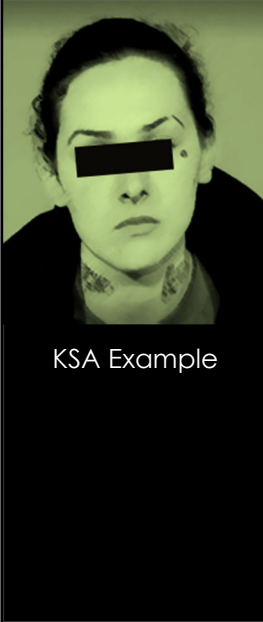
Potential STG Member/Leader/Associate

As the facilitator explains the background of this offender, take notes on any STG validation criteria that you hear.

Facilitator Notes

1. *CONTINUE* reviewing the background of the offenders.
2. *ASK* participants to take notes on any of the STG criteria.

Female Offender #4



KSA Example

Name: Sasha Krasinski

Age: 34 years old

Available Information:

- Russian national, born and raised in St. Petersburg
- While investigating illegal arms trafficking rings, Interpol reported she was seen on camera in numerous Middle Eastern countries with a known weapons dealer from Ukraine.
- Crime is facilitating illegal arms deals using cryptocurrency on the dark web.
- As part of the investigation, she was discovered to have hacked into government military networks.

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Potential STG Member/Leader/Associate

As the facilitator explains the background of this offender, take notes on any STG validation criteria that you hear.

Facilitator Notes

1. *CONTINUE* reviewing the background of the offenders.
2. *ASK* participants to take notes on any of the STG criteria.

Female Offender #5



Name: Sophia Patel
Age: 18 years old
Available Information:

- British national born to immigrant parents from India. Moved from home after high school; parents have not maintained contact.
- A Scotland Yard alert stated that a significant number of young British women have applied for visas and are leaving the UK to join ISIS fighters. Further reports state they have been recruited via the internet.
- Patel was arrested in Riyadh for immigration violations—no visa.
- Investigations revealed that Patel had flown to Yemen, married an ISIS fighter, and was living in an encampment with two children. Intelligence photographs verify this.
- ISIS propaganda was in her possession upon arrest.

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Potential STG Member/Leader/Associate

As the facilitator explains the background of this offender, take notes on any STG validation criteria that you hear.

Facilitator Notes

1. CONTINUE reviewing the background of the offenders.
2. ASK participants to take notes on any of the STG criteria.

STG Validation

EXERCISE

- As a group, select two offenders you would like to validate
- Using the point system, assign an STG level
- Determine where they should be housed
- Recommend type of programming

STG Validation	
Duration	25 minutes
Purpose	The purpose of this exercise is to assess offenders to determine whether they can be validated STGs and, if so, determine best housing and programs for them.
Materials	<ul style="list-style-type: none"> • Pad • Paper
Steps	<ol style="list-style-type: none"> 1. Work in your groups. 2. Select two offenders from those shown in the previous slides. 3. Work with the facilitator to validate classification using the point system and with the help of the facilitator (as needed). 4. Assign an STG level to the offenders. 5. Determine where each offender should be housed. 6. Determine programs you recommend for each offender.

Facilitator Notes

1. ASK participants to work in their groups.
2. EXPLAIN the exercise to participants
3. PROVIDE guidance as needed
4. REGROUP on the next slide.



STG Validation

REGROUP

- Using the point system, assign an STG level to each offender
- Determine where each offender should be housed
- Recommend type of programming for each offender



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STG Validation

Regroups allow you the opportunity to acknowledge strengths and identify opportunities for improvement, brainstorm ideas, listen to the ideas of others, and examine even the smallest details that could lead to improvement.

Facilitator Notes

ASK participants for feedback on this module.

- Do they think it is appropriate for KSA?
- Does the content relate to their work now and in the future?
- How can they modify the content to be more relevant to KSA women's correctional facilities?

Debriefing Interviews

- Often during a period of incarceration, STG members or leaders decide to leave the criminal or terrorist organization they are affiliated with
- To facilitate the departure, voluntary debriefing interviews are conducted with the offender



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Debriefing Interviews

Debriefings allow the prison system to get details of on-going criminal activity from the offender. The offender must provide reasons for leaving the criminal enterprise and intelligence to verify her involvement.

This is a great intelligence tool that is used in external classifications and internal classifications. A debrief would be a great example of why internal classifications change at times and re-designations are frequent.

Facilitator Notes

1. EXPLAIN that debriefings allow the prison system to get details of on-going criminal activity from the offender.
2. EXPLAIN that STG members who want to leave the criminal enterprise are great intelligence tools.
3. EXPLAIN how debriefs are examples of why internal classifications change.



Managing STGs: What Happens to Offenders?

- We will discuss further during the Specialized Course: Prison Intelligence Unit Operations/Security Threat Groups
- Share with the group what you are most interested in learning for your KSA facility



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What Happens to Offenders?

We will discuss further during the Specialized Course: Prison Intelligence Unit Operations/Security Threat Groups

Facilitator Notes

1. CLOSE the day.
2. EXPLAIN to participants that we will further discuss certain psychological profiles during the Prison Intelligence and STGs Specialized Course.
3. ASK participants to share what they would like to know more about.



Knowledge Check

Topics

- ✓ How to identify STGs
- ✓ Defining STGs in KSA
- ✓ Classifying STGs
- ✓ Managing STGs

Knowledge Check

1. Define security threat group.
2. Explain how STGs form in prison.
3. What is a validation point system? When do corrections officers use it?
4. Explain why debriefing former STG members is important.



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STG Knowledge Check

Work with your group and the facilitator to answer these questions. Make sure to take notes.

Facilitator Notes

ASK the participants the following questions using game format.

ANSWERS:

1. **Define security threat group:** Any group that threatens the security of prison (can go by gangs; cartel; resistance; organized crime; syndicate; rings; clubs; and extremists).
2. **Explain how STGs form in prisons:** Often formed outside prison; but a group of like-minded people can organize to cause disruption, move contraband, intimidate others, and perpetrate violence.
3. **What is a validation point system? When do corrections officers use it?** A system that provides points to score and help determine whether an offender is an STG member, associate, or suspect.
4. **Explain why debriefing former STG members is important?** Helps gather intelligence about STGs and reclassify the offender.



Relevant Mandela Rule

#93



The purposes of classification shall be:

- a) To separate from others those offenders who, by reason of their criminal records or characters, are likely to exercise a bad influence;
- b) To divide the offenders into classes in order to facilitate their treatment with a view to their social rehabilitation;
- c) So far as possible, separate prisons or separate sections of a prison shall be used for the treatment of different classes of offenders.

Classifying STGs

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USE as reference and as needed.



Relevant Mandela Rule

89.2



Prisons do not need to provide the same degree of security for every group. It is desirable to provide varying degrees of security according to the needs of different groups.

Open prisons, by the very fact that they provide no physical security against escape but rely on the self-discipline of the offenders, provide the conditions most favorable to the rehabilitation of carefully selected offenders.

Classifying STGs

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USE as reference and as needed.



Interviewing: Part I



Interviewing: Part 1

Purpose: The purpose of this module is to discuss best practices in interviewing offenders.

Activities:

- Interviewing or Questioning (10 min.)
- Real-Life Video of Interviews and Questioning Techniques (15 min.)
- Practice Setting Up an interview Room
- Interviewing Role Play

Estimated Time: 1.5 days (6 hours)

Facilitator Notes

1. INTRODUCE yourself and any co-facilitators, if necessary.
2. PROVIDE a quick energizer or debrief of the last module.
3. PROVIDE a brief overview of what will be covered.
4. ADVANCE to next slide to review module objectives.

Worksheets:

- Interviewing or Questioning
- Convicted_Murderer_Interview_Part1.mp4
- Convicted_Murderer_Interview_Part2.mp4
- Video Script 1
- Video Script 2
- Interviewing Script 1-5



Interviewing Process: Interviewing Techniques



To ensure that information on the offender is accurate, complete, and available during the screening process, a number of interviews will take place.

Facilitator Notes

Briefly DISCUSS where interviewing techniques fit in the process. Interviews can happen during intake and internal classification and throughout the time the offender is at the facility.



Learning Objectives

- 
 - Explain when interviews take place in the corrections facility
- 
 - Differentiate between interviews and aggressive questioning
- 
 - Describe how to plan, prepare, and set up an interview
- 
 - Demonstrate effective interviewing

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Learning Objectives

These learning objectives are the essential steps to reaching the goal of the course—understanding the importance of a systematic offender classification process and each part of the process from the time the person is arrested until she or he is reclassified or released.

Facilitator Notes

1. **EXPLAIN** the objectives to the participants to set expectations for the module.

Note: Strong learning and performance objectives are specific, observable, measurable. Each objective should build upon each other from basic understanding of a concept to applying it on the job to explaining it to others.

2. **ASK** whether participants have any questions or need clarification on the objectives.

When Do Interviews Take Place?

When do corrections officers conduct interviews related to classification?

- Intake
- Internal classification
- Fact finding
- Relocation
- Restrictive housing/protective custody
- Medical/mental health issues
- Staff investigative interviews (intelligence staff or Internal Affairs)
- Misconduct

NOTE: Administrative investigations and intelligence-related interviews may also be conducted by prison personnel.

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When Do Interviews Take Place?

The purposes of these interviews by the sociologists, physicians, psychologist, educational director, chaplain, and others, are to:

- Obtain a clear, detailed, well-defined picture of the offender and the problems, abilities, and liabilities she presents
- Furnish a basis for the use of the classification committee in outlining a program involving the various training and treatment facilities

Facilitator Notes

1. ASK participants when corrections officers conduct interviews in classification.
2. EXPLAIN that sometimes criminal investigation and STG-related interviews are conducted by prison staff.
3. ASK whether this is true in KSA.



Group Discussion

Describe the interview training used in your prison facility



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Group Discussion: Interviewing

Among the most important traits for a successful interview are empathy, communication, and professionalism.

Empathy is the capacity to see things as the other person does or “through the other person’s eyes.”

A key trait for a good interviewer is being a good communicator. When people communicate, they use more than words—tone, inflection, volume, and pauses are all important components of communication. These non-verbal cues are as important as what is actually being said. Gestures, posture, and hand, eye, and head movement are important components of a person’s non-verbal communication.

How the interviewer presents herself is important; she should be dressed professionally and always behave professionally.

Facilitator Notes

1. ASK the group whether anyone has taken interview training in the past.
2. ASK them how it is done in the KSA.
3. PROVIDE an overview of important traits for a successful interview.



Interviewing vs. Questioning

<p>Interviewing</p> <p>* GOAL: Gather information</p> <p>Conducted in a way that is consistent with human rights standards and applicable laws (Mandela Rules regarding special needs)</p>	<p>Questioning</p> <p>* GOAL: Extract information</p> <p>Interview sometimes leads to aggressive questioning</p> <p>Conducted in a way that is consistent with human rights standards and applicable laws (Mandela Rules regarding special needs)</p> <p><i>Not as common in the prison setting (more related to criminal investigations)</i></p>
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Interview vs Aggressive Questioning

The interviewing stage involves behavioral analysis wherein the interviewer develops rapport and establishes baseline behavior.

Questioning is the next levels of interaction. Always use a simple line of questioning to produce a certain response. "When's the last time you were arrested?" is a better question than "Have you ever been arrested?"

Note: In U.S. correctional facilities, corrections officers no longer use the word "interrogation," but instead prefer the term "questioning" to avoid being misunderstood.

Facilitator Notes

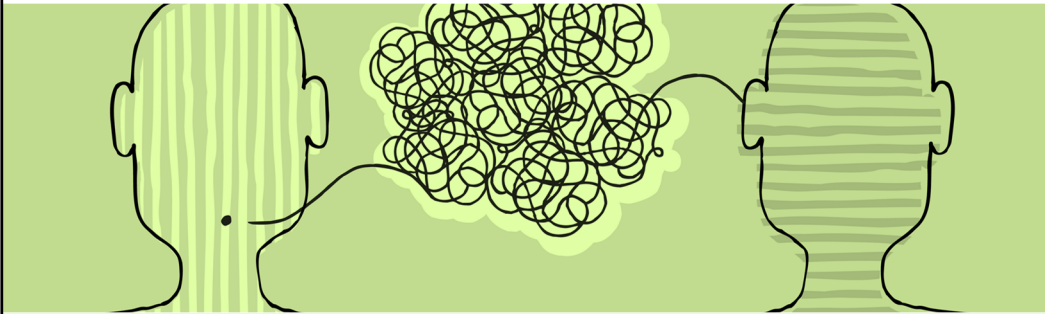
1. EXPLAIN the difference between interviews and interrogations/questioning.
2. EXPLAIN that U.S. correctional officers no longer use the word "interrogation" but instead prefer the term "questioning" to avoid being misunderstood.
3. EXPLAIN the goal of the interview is to gather information, and the goal of an interrogation/a questioning is to obtain a confession.
4. ASK participants whether they have observed an interrogation.
5. EXPLAIN that interviews can lead to questioning if enough information is gathered to show guilt.
6. ADVANCE to the next slide: Group Discussion.



Group Discussion



- How do you know when an interview has transitioned into aggressive questioning?
- How do you deal with language and translation issues?
- Discuss the laws and procedures related to interviews and questioning in KSA.



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Group Discussion

How do you know when an interview transitions into questioning?

What laws and procedures are in place in KSA when interviewing offenders? Do they differ from the U.S.?

Facilitator Notes

1. ASK the participants if and how they know when an interview has transitioned to an interrogation.
2. ASK participants if there are laws and procedures related to interviewing in KSA.
3. EXPLAIN U.S. laws if appropriate.



Successful Prison Interview

1 Obtains goal of gathering information

2 Plans ahead

3 Sets up conducive environment
A comfortable chair, comfortable air temperature, pleasant office setting, and a desk or table

Present an environment where the interviewee provides information voluntarily and freely



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Successful Prison Interview

Take notes on how you set up and plan a successful interview.

Facilitator Notes

EXPLAIN the three points on the slide:

- A successful interviewer obtains the goal of gathering solid information, which is the most relevant part for classifications.
- The interviewer plans ahead.
- The interviewer establishes a conducive environment.



Successful Prison Interview

- **Actions:** Actively listens, allows subject to do 80% of the talking, may take notes. Observes the subject's state of mind, emotions, general demeanor, and receptiveness to the interview process
- **Attitude:** Non-judgmental, cordial and polite, even-tempered, interested; build rapport
- **Posture:** Relaxed, frontally aligned, uncrossed arms
- **Tone of Voice:** Conversational, polite, even-tempered, interested



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Successful Prison Interview

Take notes on the actions, attitudes, and tone of voice of a successful interviewer.

Facilitator Notes

1. EXPLAIN the actions, attitudes, posture, and tone of voice of a successful interview.
2. EXPLAIN that the interview is a conversation with the offender where she does 80% of the talking. There is no accusations of guilt.
3. REMIND participants that the interview is about gathering information and building rapport and trust.



Successful Prison Questioning

- 1** Extract information to help obtain a confession or admission of involvement in the incident you are investigating (generally for prison-based misconduct)
- 2** Plans ahead
- 3** Sets up a controlled environment: Privacy, no distractions (no windows, pictures, computers, phones, etc.), avoid barriers between interviewer and subject in order to watch body language; keep room temperature warm



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Successful Prison Questioning

Take notes on what it takes to hold a successful interrogation/questioning and how it differs from interviews.

Facilitator Notes

1. EXPLAIN the actions, attitudes, posture, and tone of voice of a successful interrogation/questioning and how the interrogation/questioning differs from interviews.
2. EXPLAIN that the key difference is the goal has changed from information gathering to obtaining a confession of guilt.
3. EXPLAIN that the interviewer still needs to plan ahead, but the room arrangement is slightly different. The key is privacy and no distractions.
4. REMIND participants that interviews sometimes turn into interrogations.



Successful Prison Questioning

- **Actions:** Interviewer becomes challenging, does 80% of the talking, no longer takes notes; does not limit the time; situation is no longer "IF" the subject is guilty, but "WHY" she committed the act
- **Attitude:** Focused, confident, inquisitive, does NOT let subject control the conversation or continue to deny guilt
- **Posture:** Upright, feet flat on the floor, hands extended, with nonthreatening gestures
- **Tone of Voice:** Direct, non-accommodating, responsive to suspect's behavior



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مركز تدريب وتطوير القدرات النسائي في المملكة العربية السعودية



Successful Prison Questioning

Take notes on the actions, attitudes, and tone of voice of a successful questioning/interrogation and how that differs from an information gathering interview.

Facilitator Notes

1. EXPLAIN the actions, attitudes, posture, and tone of voice of a successful questioning/interrogation and point out the difference with information gathering interviews.
2. EXPLAIN that the questioning has changed the dynamic between the interviewer and the interviewee. The interviewer is doing 80% of the talking. She is now looking to gain a confession.
3. EXPLAIN that the interviewer needs to take control of the conversation and stop the subject from denying and evading.



Activity: Interviewing or Questioning?

EXERCISE

- Break into small groups
- Wait for the facilitator to bring up the next slide
- Define which approach – interviewing or questioning or both – to use in each of the situations reflected on the slide
- Be prepared to explain why



INTERVIEWING OR QUESTIONING



Interviewing or Questioning?

Duration	10 minutes
Purpose	The purpose of this activity is to determine the best approach for eliciting information from offenders in varying situations.
Materials	<ul style="list-style-type: none"> • Flipchart • Markers
Steps	<ol style="list-style-type: none"> 1. Work in your small group. 2. Refer to the Worksheet: Interviewing or Questioning. 3. For each interaction, decide which approach—interview or interrogation or both—would work best in your facility. 4. Be prepared to share your responses and discuss with the rest of the class.

Facilitator Notes

1. ASK participants to break into small groups.
2. DISTRIBUTE the Worksheet: Interviewing or Questioning.
3. EXPLAIN the exercise to participants.
4. EXPLAIN in this exercise they will decide which approach – interview or interrogation – would be used in certain situations at their facility.
5. REGROUP on the next slide.





Interview or Questioning or Both?

Write down whether the situation requires an interview or questioning or both and be ready to explain your answers.

Corrections Facility Situation	Interview or Questioning?
External classification contacts	
Intake screening	
Intelligence intake screening	
Protective custody investigations	
Restrictive housing determinations (whether to lockdown an offender and why)	
Staff misconduct investigation	
Offender disciplinary issues	
Prison misconduct investigations <ul style="list-style-type: none"> ✓ For the subject ✓ For offender witnesses ✓ For staff witnesses 	

Interviewing or Questioning Regroup

REGROUP

- What were your findings?
- Did some of the situations require both or either techniques?
- Did some start as one and evolve into another?
- How are transitions identified and adjustments made?



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Interviewing Techniques: Interview or Questioning

Regroups allow you the opportunity to acknowledge strengths and identify opportunities for improvement, brainstorm ideas, listen to the ideas of others, and examine even the smallest details that could lead to improvement.

Facilitator Notes

1. REGROUP from the previous activity.
2. ASK a spokesperson from one group to present her group's responses.
3. CALL upon the other groups and ask whether they have the same answer or a different one.
4. ASK the participants how they determined which category is applicable for each event.
5. Have them explain their thought process to determine the patterns.

Note: Some of the above may be both or either and some may start as one and evolve into the other. Discuss how transitions are identified and adjustments are made.



Videos of Interviews and Questioning



PLAY
VIDEO



PROVIDE
TRANSCRIPT



5 min.

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Real-Life Video of Interviews and Questioning

Read the script.

Watch the video.

Decide upon the goal: Are the interviewers questioning/interrogating or gathering information?

Take note of the:

- Room setup
- Body language
- Number of investigators
- Lack of distractions, etc.

Facilitator Notes

1. **INFORM** participants that this is a law enforcement video, but it shows some good interviewing and questioning techniques.
2. **ASK** participants to note the:
 - Room setup
 - Body language
 - Number of investigators
 - Lack of distractions, etc.
3. **EXPLAIN** that the key primarily is to watch what is transpiring and secondarily to listen to the words.
4. **HAND OUT** the script, which should be in English and Arabic.
5. **PLAY** the video.
 - ***Note if the video does not play, make sure you have a copy available outside the presentation.**
6. **STOP** the video for any questions.
7. **ADVANCE** to the next slide to play another video of the same interviewer and interviewee.



Interviewing Techniques: Video Script #1

Interviewer 1: Go ahead and have a seat there. Here's another water, if you need it. Ok?

Subject: Ok

{Interviewer 2 walks in}

Interviewer 2: Obviously we are doing an investigation, so I'll need to go over your Miranda Rights. Just because we're talking to you. We are talking to others.

I'll tell you what. Just from the beginning, tell me when you got up this morning until the time you pulled up at the house. Kind of explain. You walk me through that first. Then we will go through and kind of explain, ya know. Talk about some different things as far as some of the emails you've been getting, ok?

Subject: Well, I set my alarm clock for 5:30 and use my phone. I got up at 5:30. I went to the bathroom. I put these clothes here that I got on. And I went to the bathroom. Basically, got in the truck and left. I drove off. I got to where I was at. I called [the] Sherry to wake her up to get her going. And she didn't answer, of course. Um. [PAUSE] So I went to the gym. To Gold's Gym.

Started working out. I texted her, I texted her at, so at some point. I might have even called her again, I don't remember. I could probably look at my phone, if you let me.

Interviewer 2: Do you guys have a home phone number?

Subject: No just use cell phones. So, I texted her and she still doesn't respond. It had to have been well after six o'clock when I texted her or called her and she didn't respond. It's probably still on her phone what time it was.

And she didn't respond. And it's not like her because the kids should have been up and stuff or getting up and going by then, I believe. So, I called her again. I called her again on the way back or when I was getting ready to leave. She didn't respond again.

I started to get a little concerned because it's not like her not to answer the phone. Sometimes she won't answer if she is in the shower. But she always calls me back right away. So, she didn't do that at all.

So that is when I called you.

Interviewer 2: So, what time did you text her back? The second time?

Subject: I can tell you (gives me the cell phone).

Interviewer 2: 6:23. So 6:23 a.m. is the first time you text her this morning to see if she is awake. Does that sound right?

Interviewer 1: Did you try to call before that, I'm sorry?

Subject: Yeah, I can pull up a call log too if you want.



Interviewer 1: You are just looking at the text ok.

Interviewer 2: So, the first one says. Hey baby. And it's at 6:23. And she doesn't respond to you, is that correct?

Another one (text) from you says, "I was tired last night." I have about 5 minutes on cardio and then I'll be home.

Did she ever respond to any of them?

Subject: No

Interviewer 2: At 7:27. It's says, Hello, You up?

Subject: 7:27?

Interviewer 2: Yeah. I'm sorry. 6:27. Then another goes out at 6:27, and it says, "Time to get the kids up." Anything that sticks out in your mind when you left this morning. Did you notice anything?

Subject: The only thing I remember. I think I told somebody. The only thing I can remember is having to slow down for a car backing out of the driveway. That's it.

Interviewer 2: Did you notice anything about the car?

Subject: It was just a darker color. I'm sorry. I should have been more observant.

Interviewer 2: Did you notice anything that sticks out. Can you tell me what kind of car? Did you recognize it from the neighborhood?

Subject: No. I didn't even see it coming out of the garage or anything. Just backing out...

Videos of Interviews and Questioning





PLAY VIDEO



TRANSCRIPT



5 min.

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Real life Video of Interviews and Questioning

Read the script.

Watch the video.

Decide upon the goal: Are the interviewers questioning/interrogating or gathering information?

Take note of the:

- Room setup
- Body language
- Number of investigators
- Lack of distractions, etc.

Facilitator Notes

1. **INFORM** participants that this is a law enforcement video, but it shows some good interviewing and questioning techniques.
2. **ASK** participants to note the:
 - Room setup
 - Body language
 - Number of investigators
 - Lack of distractions, etc.
3. **EXPLAIN** that the key is to primarily watch what is transpiring, and secondarily is listening to the words.
4. **HAND OUT** the script, which should be in English and Arabic.
5. **PLAY** the video. *Note if the video does not play, make sure you have a copy available outside the presentation.
6. **STOP** the video for any questions.
7. **ADVANCE** to the next slide to discuss what they observed in the video.



Interviewing Techniques: Video Script #2

We've got this information. You're saying it. We're giving you the opportunity to give us something contrary to what you told us before. So, we can say: "Okay, yeah, all right. That would make sense." That hasn't happened. That hasn't happened.

Listen man. Listen, she wasn't alive.

Subject: She was. She was laying right beside me.

Interviewer: We can go back and forth with this all day long, but the physical evidence doesn't lie. She was not alive when you left this morning. The children were not alive when you left this morning.

Subject: Yes, they were.

Interviewer: Come on, Chris, we got to get over this. Now there are reasons. There are reasons.

And that's the point we are at. I want to hear the reasons.

Now is when we need to find out what happened, man. It's so important. You're at a great point to be able to help us try to figure this out. We already know what happened. We need to know why it happened.

Subject: I don't know what to tell you.

Interviewer: You do know what to tell us

Subject: No. I don't.

Interviewer: C'mon Chris. She was not alive when you left. The children were not alive when you left. You know that's true, and I know that is true.

Subject: No

Interviewer: We need to clear this up now. We need to clear it up now. Did something happen? What happened?

Subject: No, nothing happened.

Interviewer: What was going on in your life, Chris? Because I can't buy what you're saying. The physical evidence does not lie, Chris. It does not. She was not alive when you left. Period.

Physical evidence does not lie.

Subject: What do you want me to tell you?

Interviewer: The truth

Subject: I'm telling you the truth.



Interviewer: We need to know how and why we got to this point. That is what I need to know. I need to know how and why we got to the point we are at right now. We both know you're not telling me the truth. We both know that. I've done this a long time. I'm looking into your eyes, and I can you're not being truthful, Chris.

We need an answer. As bad as this sounds. As bad as this looks. Or how bad you may think it looks. We understand, and I've talked to many people who have given me reasons and it's like you know what? Okay, all right. I can understand how someone might be feeling like that at that time. And maybe they acted on it. And they shouldn't have. And maybe they regret it. There's no way to turn the clocks back. You can't turn the clocks back. You understand that? Don't you? You can't turn the clock back. The only thing you can do is go forward from this point.

They need to know what and why it happened. Come on, Chris, help me out with this.

Subject: I'm telling. I've already told you. I've told everybody. It's all the guy in the ambulance. I told you. I told him.

Interviewer: The more we go back like this, the more it makes me think that there isn't even a good explanation for it. I mean we need to know what happened. We can't keep going on with this: "It didn't happen. She was alive when I left."

We know that's not true, and there's nothing we can do about changing that. If we know she wasn't alive when you left this morning, there's got to be an explanation.

Now is the time to tell us. Now is the time to get this out in the open.

Subject: I don't know what else to tell you.

Interviewer: Yes, you do. You have to tell me the truth, Chris.

Subject: I am telling you the truth.

Interviewer: Were you involved in her death?

Subject: No

Interviewer: Ok, was someone you know involved in her death?

Subject: I don't know.

Interviewer: Did you, uh, did you talk to anybody about arranging her death?

Subject: No. Absolutely not.

Interviewing Videos: Group Discussion

EXERCISE

In your group, discuss:

- Which video showed the goal of information gathering?
- Which video showed aggressive questioning techniques?
- Explain some of the techniques you observed.



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Interviewing Videos: Group Discussion

Duration	15 minutes
Purpose	The purpose of this activity is to analyze a number of videos to determine types of techniques used to gather information from an offender.
Materials	<ul style="list-style-type: none"> • Paper • Pen
Steps	<ol style="list-style-type: none"> 1. Work in your small groups. 2. Observe the videos 3. For each video, determine whether the interviewers are interviewing or questioning/interrogating and also report on: <ul style="list-style-type: none"> • Room setup • Body language • Number of investigators • Lack of distractions • Anything else obvious to you 4. Be prepared to share with the rest of the class.

Facilitator Notes

1. ASK the participants to discuss the videos in groups of five or at their tables.
2. WALK AROUND to see whether they have any questions.
3. PROVIDE 15 minutes to discuss.
4. REGROUP on the following slide.



Interviewing Videos: Debrief

REGROUP

- What did you find?
- Which video was more of an informational interview and which video was questioning the subject?
- Did you notice how the room was set up?
- Did you notice the interviewer's body language and tone of voice?
- Did you notice in one video the interviewer was in control of the conversation?
- What else did you notice?



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Group Discussion and Debrief: Interviewing Videos

Regroups allow you the opportunity to acknowledge strengths and identify opportunities for improvement, brainstorm ideas, listen to the ideas of others, and examine even the smallest details that could lead to improvement.

Facilitator Notes

1. REGROUP from the previous activity.
2. CALL upon the groups and ask them what they observed in the two videos.
3. COMPARE and contrast participants' observations.
4. ASK the participants the question on the slide.
5. REPLAY the video if necessary to point out the various techniques and show how the room was set up.
6. POINT out that in a corrections setting, you do not often have the space or room available like in the video. You may need to conduct interviews in the only private space available.



How to Prepare for an Interview

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NOTES



How to Prepare for an Interview

- Analyzing intelligence
 - Knowledge of the incident you are investigating
 - Knowledge of the subject, background, current crime, criminal history, STG involvement, discipline history, and family ties
- Developing interview goals
- Preparing effective questions
- Planning first impressions
- Prepare how you will document the interview
- Prepare the interview room



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How to Prepare for an Interview

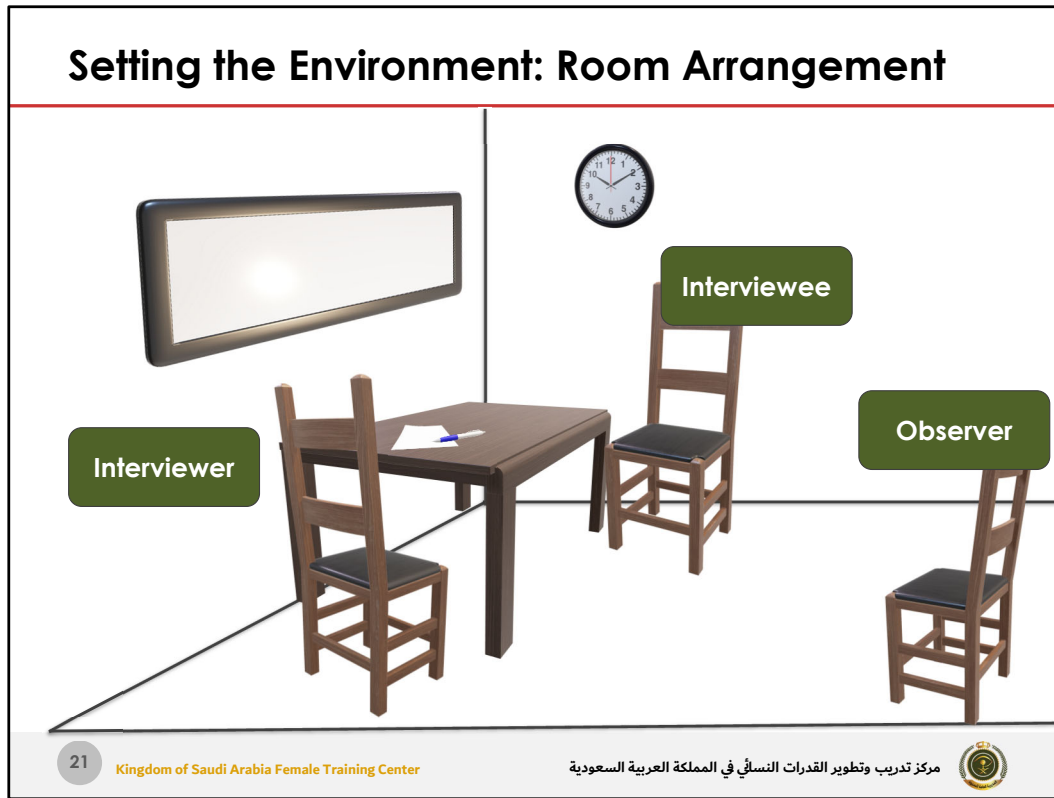
Take notes on how you prepare for an interview:

- What information do you need?
- What are your goals?
- How do you prepare your questions?
- How will you document the interview?
- How will you prepare the interview room?

Facilitator Notes

1. **EXPLAIN** to the participants that planning for an effective interview is important.
2. **ASK** them the following questions:
 - How will they gain detailed knowledge of the incident they are investigating?
 - How will they gain knowledge of the subject, her background, current crime, criminal history, STG involvement, discipline history and family ties?
 - How will they prepare for information interviews vs. confession?
 - How will they prepare the interview room?
 - *They should prepare for climate controls (cool for an interview, warmer/hot for interrogation). They should account for privacy concerns. (room should be quiet, be soundproof to limit distractions, if possible.)





Setting the Environment: Room Arrangement

Is this a similar setup to the interview rooms in KSA?

Remember that there should be complete privacy. There should be no distractions. The interviewer should have a full view of the interviewee to watch body language and make sure she is not hiding anything.

Facilitator Notes

1. SHOW participants the picture of a room setup.
2. Stress that privacy is one of the most important factors to consider when selecting the interview room.
3. EXPLAIN that subjects should feel they can talk to the interviewer and talk freely without being heard by outsiders.
4. EXPLAIN that the interviewer should normally arrange chairs across from each other about 4 feet apart for interviews, closer for interrogations. The chairs should be straight back (no roller chairs) for both parties. The interrogator should not sit between the door and interviewee to avoid having her feel trapped in room.
5. NOTE that observation rooms are a great tool during an interrogation but are rarely available in most prisons.
6. EXPLAIN that they should prepare for climate controls (cool for an interview, warmer/hot for interrogation).
7. ASK whether this is how the rooms are set up in the KSA. Are there any differences?

Activity: Interviewing Practice

EXERCISE

- Break into 5 small groups
- Read your script
- Walk through interview room setup
- Start the interview process based on your script
- Be sure to take notes

INTERVIEW SCRIPT

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Activity: Interviewing Practice	
Duration	15 minutes
Purpose	The purpose of this activity is to learn effective interviewing techniques to elicit information from the offender.
Materials	<ul style="list-style-type: none"> • Notepad • Pen • Interview Script
Steps	<ol style="list-style-type: none"> 1. Break into small groups. 2. Read the script provided to you. 3. Set up interview rooms with the facilitator. 4. Start the interview process by reading your script. 5. When complete, take some notes of your experience. 6. Report back to the larger group.

Facilitator Notes

1. ASK participants to get into pairs.
2. DISTRIBUTE the scripts (should be 5 scripts total – one script for each table).
3. ASK participants to read over the scripts but just briefly.
4. ASK for volunteers and then ASK everyone to observe setting up an interview room.
5. START the interview process where each pair reads the script and takes turns.
6. ASK participants to take notes on their experience so they can report back to the larger group.
7. REGROUP on the next slide.





Interviewing Techniques: Script #1

Name of Interviewer: _____

Name of Interviewee: _____

Date of Interaction: _____

Time of Interaction: _____

Location of Interaction: _____

Incident:

Offender was a potential witness to an assault in the housing unit last night at 8:30 pm. The assault involved a female offender attacking a female correctional officer with an unknown liquid substance. The officer was injured (sight problems) and was taken to the hospital by others on duty staff. The intent is to locate an eyewitness who can identify the offender involved and identify the liquid substance. In addition, attempt to have the offender identify other involved offenders and any history between the officer and the perpetrator of the assault. The unit cameras are not functioning, and no footage is available for review.

Question #1: Please state your name, offender number, housing unit assignment, and how long you have been here at this facility.

Response #1: My name is _____ Offender number _____ and I am currently housed in _____ unit. I have been in this facility for 6 months.

Question #2: Tell me where you were and what you saw last night at 8:30 pm.

Response #2: I was playing cards with 3 other people in the housing unit. I saw some commotion and went back to playing cards. I really didn't see anything.

Question #3: You say you were playing cards with 3 others. Who were they?

Response #3: Aisha, Imani, and Zara.

Question #4: Who else did you see that may have witnessed the incident?

Response #4: The unit was full; it was after lockdown time and the doors were locked. Everyone was out in the unit. What happened?

Question #5: An officer was assaulted with a liquid substance. Did you see anyone near the officer when she screamed out? Did you hear her scream?

Response #5: I heard a scream but did not see anything. Wait, I did see Shazmeen running from the officer's station about that time. I thought it was curious.

Question #6: Was she holding anything, or did she say anything you heard?

Response #6: No, nothing I saw or heard.



Question #7: Where did she run to and what happened next?

Response #7: She ran toward her room and then I saw other officers enter the unit and help the injured officer.

Question #8: Was there any offenders who had problems with the officer that you are aware of?

Response #8: Shazmeen received a disciplinary report from the officer on duty at the time. They told her tomorrow's visit with her family was now canceled.

Question #9: Was Shazmeen angry about the report, and did she say anything about revenge?

Response #9: Zara told me she said "This is not over yet" this morning at the morning meal.

Question #10: Are there any other offenders with a reason to harm the officer?

Response #10: There is an American on the other side of the unit who was talking angrily to this officer about 2 days ago.

Question #11: Do you know why?

Response #11: No, I don't.

Question #12: Is there anything else you want to add?

Response #12: Well, this may not be anything, but I saw a can of caustic material below the steps last night. It smelled bad, like acid.

Question #13: Was it there this morning?

Response #13: No, it was gone.

Question #14: Anything else?

Response #14: No, that is it.



Interviewing Techniques: Script #2

Name of Interviewer: _____

Name of Interviewee: _____

Date of Interaction: _____

Time of Interaction: _____

Location of Interaction: _____

Incident:

Offenders have made a complaint on this correctional officer, indicating she has stolen their personal property during unit shakedowns. Numerous complaints have been lodged, and another staff member has substantiated the offender claims. You are a prison investigator, and you are questioning the staff member who is to have stolen the property. You have videotape of the officer departing the prison with offender property and are looking for a confession.

If 2 interrogators are present, rotate questions.

Question #1: Please state your name, your title, and how long you have been here at this facility.

Response #1: My name is _____, correctional officer, and I am currently assigned to unit _____. I have been in this facility for 5 years.

Question #2: Are you aware several offenders have made a complaint against you?

Response #2: I am not; what are they alleging?

Question #3: They are indicating that on numerous occasions, you have been stealing their personal property and departing the prison with the material. How would you respond to that charge?

Response #3: I have never taken anything from offenders that has not been determined to be contraband.

Question #4: What would you say if I told you we have a staff member who has verified you took material and left the prison with it and will testify to that fact.

Response #4: The alleged staff member is a liar; this has never happened.

Question #5: There have been 3 complaints from 3 separate offenders who allege you stole from them. Rosters indicate you were working their units on each night in question.

Response #5: Coincidence. Nothing more.



Question #6: So, you are saying the fact you worked the area when materials were taken and the fact there is a staff witness are not credible? Can you explain how this could be not credible?

Response #6: The staff member must be mistaken, mistaken identity, I think.

Question #7: We also have a videotape of you departing the facility with a bag of material that you did not have when you came to work that evening. What would you say to that?

Response #7: I am obviously being framed based on false allegations. I have been an exemplary officer for a long time, and offenders are trying to get me out of their unit based on my exemplary shakedowns.

Question #8: OK, so let's review the evidence; we have 3 allegations. You were working in the area on each occasion. Staff have verified the allegations, and we have videotape evidence of you leaving the property with material. Why don't you admit your guilt and accept the discipline for these acts? Lying about the offense will only make it worse. If you are found to provide deceptive and inaccurate information, you will be immediately terminated. Do you still say you did not commit these offenses?

Response #8: I may have, mistakenly of course, taken some items that I was not sure the offender could retain. This was just to check with my supervisor, and I would return the items if they were allowed.

Question #9: Who did you check with and when?

Response #10: I don't remember.

Question #11: I will call the supervisors who were on duty at the time; wait here a minute.

Response #11: OK, OK; I did take the items.

Question #12: Why did you take these items, and what did you steal?

Response #12: I thought no one would miss the items so I took mostly _____ (fill in based on local practices).

Question #13: Are you willing to sign a confession indicating you stole offender property?

Response #13: Yes; will I lose my job?

Question #14: That's not my decision. The warden will make that decision.

Response# 14: What happens to me now? Do I go back to work?

Question #15: No; you are to go home after you sign the confession. You will be directed what to do next by your supervisor.

Response #15: I understand.



Interviewing Techniques: Script #3

Name of Interviewer: _____

Name of Interviewee: _____

Date of Interaction: _____

Time of Interaction: _____

Location of Interaction: _____

Incident:

An offender has brought forth a request for protective custody based on a threat to her safety. She indicated that last night three offenders came to her and told her to get off the yard, or she would be killed. She went to a correctional supervisor and asked to be placed in restricted housing pending a transfer. You are investigating the facts of the case to either validate the threat or file it as “unsubstantiated.”

If 2 interrogators are present, rotate questions.

Question #1: Please state your name, your offender number, and how long you have been here at this facility.

Response #1: My name is _____; I am currently assigned to unit _____. I have been in this facility for 2 years.

Question #2: You have indicated threats have been made against your safety. Please share the details of the event.

Response #2: Three other offenders in unit____ came into my room last night; they said I had told on one of them and to get off the yard, or I would get assaulted.

Question #3: What time did this occur, and were there any other witnesses that can corroborate your claim?

Response #3: It was about 7:15 pm and there were numerous offenders walking around the area.

Question #4: Who were the offenders that threatened you, and what specifically did they say?

Response #4: They were not from my unit. One of them works with me on the cleaning detail, and the other two are her friends. I don't know them. The offender on my detail said: “You told on me and if you don't get out of this prison, I will hurt you.”

Question #5: Could you identify them if you saw their pictures?

Response #5: Maybe.



Question #6: You will be required to identify the offenders via picture cards. If you refuse, your allegation will be dismissed for failing to cooperate. Are you aware of that?

Response #6: I will try.

Question #7: Did anything happen between you and your co-worker that would lead to a threat on your safety?

Response #7: Well, a couple of weeks ago, my watch came up missing from my work locker. My friend told me the offender was seen removing something from my locker that morning. I told her I wanted it back, but she denied being in my locker. I reported the loss to my unit manager and told her who I thought took it.

Question #8: What did your unit manager do then?

Response #8: I think she asked the offender about it, but I am not sure. You can check with the unit manager if you wish.

Question #9: I will. What did you do after the threat was made?

Response #9: I don't remember.

Question #10: Did you report it to a correctional supervisor?

Response #10: Yes, and I asked her for protective custody.

Question #11: OK, at this point, I will continue to gather evidence and interview offenders. When the investigation is completed, you will be notified of the outcome. You are not to discuss this issue with anyone; do you understand?

Response #11: Yes; I understand. Will I be safe until the investigation is completed?

Question #12: Yes; I will approve continued restricted housing until a determination is made.

Response #12: Thank you.

Question #13: At this point, are there any more details you can provide me?

Response #13: The unit officer asked me if I was OK after the offenders left my cell.

Question #14: The evening watch correctional officer? Officer Aizza?

Response #14: Yes, she may have seen something also.

Question #15: You will be escorted back to secure housing now; I will update you as necessary.



Interviewing Techniques: Script #4

Name of Interviewer: _____
Name of Interviewee: _____
Date of Interaction: _____
Time of Interaction: _____
Location of Interaction: _____

Incident:

Staff have identified this offender as acting in a disorderly manner during an education class earlier today. The teacher, a volunteer at the prison, was allegedly verbally assaulted by the offender. The teacher called security staff; the offender was removed from the class and placed in a holding cell in the shift supervisor's office. You are the correctional supervisor who is talking to the offender, and you have just received a discipline report from the teacher. The charge is Insolence Toward a Staff Member.

If 2 interrogators are present, rotate questions.

Question #1: Please state your name, your offender number, and how long you have been here at this facility.

Response #1: My name is _____; I am currently assigned to unit _____. I have been in this facility for 2 years.

Question #2: You have been charged with being Insolent Toward a Staff Member by Ms. _____, a teacher in the Education Department. Do you have anything to tell me in your defense?

Response #2: I was not insolent toward Ms. _____. It was a simple understanding. I like Ms. _____; she is a good teacher.

Question #3: OK, tell me what happened from your perspective.

Response #3: She had made an observation about a local news report, and I disagreed with her on what the report said. She said I was wrong and to "shut up" so she could continue. I told her she could not address me in that way, and she said she was going to get me kicked out of class. I told her that was not necessary, but she needed to speak respectfully to me in class. She said she would speak to me as she pleased and called security staff to remove me. You can ask any of the other offenders in class; I was not insolent.

Question #4: The discipline report states you were argumentative, disrupting the class, and raised your voice while calling her an idiot. How do you respond to that?

Response #4: I may have been a little loud, but I did not consider it disrespectful. I said only an idiot would agree with that news perspective but was not calling her an idiot directly.

Question #5: How many offenders are in this class that may have seen or heard this interaction?



Response #5: Maybe 10.

Question #6: I will get a roster of offenders in the class and interview them. In addition, I will interview Ms. ____ and clarify her position on the matter.

Response #6: Will I be in restrictive housing during that time?

Question #7: Yes, you will be in restriction until the matter is resolved, normally no more than 72 hours.

Response #7: Will I get a copy of the report so I can review it and mount a defense?

Question #8: Yes, you will. I will gather the information I need and route the report to your unit staff for a hearing.

Response #8: Will they contact me about the hearing?

Question #9: Yes, they will. You state you were not insolent in your earlier comments. If you had to do the incident over, would you have acted differently?

Response #9: Yes, I would have probably just let it go altogether.

Question #10: Did other offenders act out during your interaction with Ms. ____?

Response #10: Yes, a little. They were coming to my defense.

Question #11: So, at this point, you had caused an institutional disturbance by being insolent in an educational classroom, correct?

Response #11: No, the other offenders acted on their own. I am not responsible for what they do.

Question #12: I have all the information I need from you for now. You will be escorted back to secure housing now; I will update you as necessary.

Response #12: OK.



Interviewing Techniques: Script #5

Name of Interviewer: _____

Name of Interviewee: _____

Date of Interaction: _____

Time of Interaction: _____

Location of Interaction: _____

Incident: This offender has just arrived at your facility from a bus movement. She is new to the prison system but appears to be a terrorist supporter, convicted of providing material support to a terrorist organization. She appears to be in poor health and has some indications of physical abuse. You are the security investigator doing her intake screening.

If 2 interrogators are present, rotate questions.

Question #1: Please state your name, your offender number, and what you have been convicted of by the court.

Response #1: My name is _____; I received a 40-year sentence from the court in _____ for supporting terrorists.

Question #2: Tell me about the details of your crime and if you know anyone currently housed at this facility.

Response #2: I was convicted falsely for sending money to a terrorist organization over a 5-year period. The money was to support family in another country.

Question #3: Do you know anyone housed here at this facility?

Response #3: No, I do not think I know anyone.

Question #4: Is there any reason you cannot be in the general population of this prison?

Response #4: Nothing I am aware of.

Question #5: Tell me about the injuries on your face and arms.

Response #5: I tripped and fell while getting on to the transport bus, injuring my head and arms. You can ask the driver and 2 other guards; they provided first aid.

Question #6: When did this occur?

Response #6: Yesterday.

Question #7: Do you have any scars, marks, or tattoos?

Response #7: I have scars on my upper arm and lower leg. They are 1" in length.



Question #8: Do you have any chronic health concerns we should know about?

Response #8: I am a diabetic, and I have heart issues.

Question #9: Do you take medicine for these ailments, and do you have medicine with you?

Response #9: I don't have any medicines. They would not allow me to bring them from the court holdover jail.

Question #10: Is this your first prison sentence?

Response #10: Yes, except for the holdover facility.

Question #11: Do you require any immediate medical attention? You will see a medical professional during the course of intake processing.

Response #11: No, I am fine at this point.

Question #12: Do you have family close to this facility, and will they be visiting you during your incarceration?

Response #12: No, no family, no visits.

Question #13: Do you have any special skills such as a locksmith, pilot, prior military, martial arts, etc?

Response# 13: No, I was a student.

Question #14: What did you study?

Response #14: Economics.

Question #15: Is there anything else you wish to add?

Response #15: No.

Activity: Interviewing Practice

REGROUP

- Report on your experience



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Activity: Interviewing Practice


Regroups allow you the opportunity to acknowledge strengths and identify opportunities for improvement, brainstorm ideas, listen to the ideas of others, and examine even the smallest details that could lead to improvement.

Facilitator Notes

1. REGROUP from the previous activity
2. ENGAGE participants in a discussion on their experience.
3. PROVIDE feedback.

True or False Quiz



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True or False Quiz

Take notes on your answer.

Facilitator Notes

1. WRAP up this session with a short and fun TRUE or FALSE quiz.
2. INFORM participants that it is just for fun. They do not need to worry if they can't answer all the questions.
3. If appropriate, PREPARE small prizes for the participants who get the right answers.
4. ADVANCE to the next slide. (There will be 3 True and False questions.)

True or False Quiz

Interviewers should avoid silences during interviews.



TRUE

FALSE

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True or False Quiz

Did you get it right? Take notes on your answer.

Facilitator Notes

1. ASK the question.
2. Participants can raise their hands to give their response.
3. PROVIDE small prizes like chocolate or candy for winners.

ANSWER: FALSE

True or False Quiz

Both interviews and aggressive questioning search for the truth.



TRUE

FALSE

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True or False Quiz


Did you get it right? Take notes on your answer.

Facilitator Notes

1. ASK the question.
2. Participants can raise their hands to give their response.
3. PROVIDE small prizes like chocolate or candy for winners.

ANSWER: TRUE

True or False Quiz



A subject repeating an interviewer's question may indicate the subject is being deceptive.

TRUE

FALSE

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True or False Quiz

Did you get it right? Take notes on your answer.

Facilitator Notes

1. ASK the question.
2. Participants can raise their hands to give their response.
3. PROVIDE small prizes like chocolate or candy for winners.

ANSWER: TRUE

*THIS IS THE LAST QUESTION

4. WRAP UP Quiz with gauging how well the participants knew the answers.
5. INFORM participants that we will be discussing more about interviewing techniques for the next day and a half.

Knowledge Check

Topics

- ✓ Interviewing vs questioning
- ✓ Successful prison interview
- ✓ Successful prison questioning

Knowledge Check

1. When do interviews take place in a prison?
2. How do you prepare for an interview?
3. What is the goal of interviewing? Of questioning?



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Interviewing Knowledge Check

Work with your group and the facilitator to answer these questions. Make sure to take notes.

Facilitator Notes

1. SUMMARIZE the module using the topics check list
2. ASK for volunteers to answer these two questions.
3. ENCOURAGE participants to engage in a conversation to test knowledge gained in this module.

Interviewing: Part II



Interviewing: Part II

Purpose. The purpose of this module is to have participants deepen their understanding of interviewing by observing and participating in roleplays.

Activities:

- Brainstorming an Ideal Interviewer (15 min.)
- Active Listening Demonstration (20 min.)
- Active Listening Roleplay (30 min.)
- Building Rapport Roleplay (15 min.)
- Questioning Video (15 min.)
- Interviewing Roleplays (15 min.)

Estimated Time: 2 days (8 hours)

Facilitator Notes

1. **INTRODUCE** yourself and any co-facilitators, if necessary.
2. **PREPARE** a quick energizer or debrief of the last module (ideas next slide).
3. **PROVIDE** a brief overview of what will be covered.
4. **ADVANCE** to next slide to review module objectives.

Worksheets and Materials:

- Active Listening Worksheet
- Active Listening Scenario Cards
- Building Rapport Worksheet
- Video: Prison Fight
- Video: Detecting Deception

Learning Objectives



- Identify the qualities of an ideal interviewer



- Demonstrate active listening in a corrections setting



- Identify building rapport techniques in a corrections setting



- Describe indicators of truth and deception in an interview

- Elicit useful information using non-coercive interview techniques

- Analyze interviewing practices in KSA corrections facility

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Learning Objectives

These learning objectives are the essential steps to reaching the goal of the course—understanding the importance of a systematic offender classification process and each part of the process from the time the person is arrested until she or he is reclassified or released.

Facilitator Notes

1. **EXPLAIN** the objectives to the participants to set expectations for the module.

Note: Strong learning and performance objectives are specific, observable, measurable. Each objective should build upon each other from basic understanding of a concept to applying it on the job to explaining it to others.

2. **ASK** whether participants have any questions or need clarification on the objectives.





Facilitator Notes

1. This slide shows a visual story of the Classification Process.
2. ANSWER any questions or concerns participants might have with the course so far.



التعارف
تقود متطوعة المجموعة!

ICEBREAKER
Volunteer leads the group!



Group Activity

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Facilitator Notes

Ask the participants, who also do training, if they have any icebreakers they use in KSA. If no one can volunteer, below are some ice breakers. **NOTE: Try to relate the icebreaker to the topic: Interviewing/Detecting Deception/Building Rapport/Effective Communication**

Possible Ice Breaker Questions:

- Two truths and a lie
- Tell us something about yourself that nobody else knows?
- What's the grossest food you ever had to eat to be polite?

Possible Ice Breaker Activities:

Telephone Charades

Divide the group into two lines facing in the same direction, so that one line is standing behind the other. Give the two participants at the end of the line something to act out (i.e. final exams, the school mascot, writing a paper, etc.). When the orientation leader says "go," the first person will tap on the shoulder of the participant in front of her and act out the prompt. This is repeated down the line. The last person must try to guess what the original prompt was.

Activity: Ideal Interviewer

EXERCISE

- Work in small groups
- Brainstorm ideal qualities for an interviewer
- Be prepared to share



Brainstorm

➔

Report back

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Activity: Ideal Interviewer	
Duration	15 minutes
Purpose	The purpose of this activity is to encourage participants to think about requirements for a good interviewer and the importance of being qualified to interview offenders.
Materials	<ul style="list-style-type: none"> • Flipchart • Markers
Steps	<ol style="list-style-type: none"> 1. Work in small groups. 2. Brainstorm within your group about the ideal interviewer—think of traits that would make someone a good interviewer. 3. Also make a list of the demeanor a good interviewer would project. 4. Be prepared to share with the class.

Facilitator Notes

1. EXPLAIN that we will start out with getting some ideas from them.
2. ASK participants to work in their groups.
3. EXPLAIN the activity to participants.
4. REGROUP on the next slide.



Activity: Ideal Interviewer

REGROUP

- What qualities and characteristics did you identify?
- Were there recurring themes?
- What special considerations did you need to make that are unique to KSA?
 - Offenders with disabilities
 - Offenders with children
 - Offenders who do not speak Arabic



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Ideal Interview Activity

Work with your team to identify qualities of an effective interviewer. Below are some desired character or demeanor traits.

Attitude: Objective; cordial, respectful, and polite; sincere, interested, and understanding

Posture: Sits upright, frontally aligned; leaning forward, open, no crossed arms

Eye Contact: Culturally normal, acceptable eye contact when asking a question and waiting for response; avoids staring—casual breaks of eye contact are important

Facial Expressions: Avoids expressions of disbelief, shock, anger, humor, disgust, or skepticism; shows interest and understanding

Tone of Voice: Conversational; non-accusatory—no skeptical tones even if the subject is deceptive

Facilitator Notes

1. REGROUP from the previous exercise.
2. ASK each group to share its qualities of an ideal interview.
3. ASK participants the questions on the slide.
4. PULL out the recurring themes or words that you heard from each group.
5. STRESS that the most important characteristic of a successful interviewer is to be a good listener—**one who practices active listening skills**. A successful interviewer listens at a level of concentration that allows him or her to hear what is said, as well as what is not said.
6. ENSURE that we tie back into classifications.
7. FOLLOW up with special considerations that need to be made, particularly in the KSA setting.



Active Listening
الاستماع النشط

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NOTES



Active Listening: Body Language

- Maintain appropriate eye contact
- Lean slightly forward
- Respond with appropriate facial expressions
- Raise eyebrows appropriately
- Nod appropriately



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Active Listening: Body Language

Active listening is both verbal and nonverbal. Body language is important and should be used to complement the verbal active listening techniques.

Nonverbal active listening techniques include:

- Maintaining appropriate eye contact
- Leaning slightly forward
- Responding with appropriate facial expressions
- Raising eyebrows appropriately
- Nodding appropriately

Facilitator Notes

1. EXPLAIN that **active listening** is both verbal and nonverbal. Body language is important and should be used to complement the verbal active listening techniques.
2. EXPLAIN that first we will cover nonverbal active listening techniques. These include:
 - Maintaining appropriate eye contact
 - Leaning slightly forward
 - Responding with appropriate facial expressions
 - Raising eyebrows appropriately
 - Nodding appropriately
3. EXPLAIN that these are techniques in the U.S. Each country has its own social norms and should adapt nonverbal active listening techniques that reflect those norms.



Active Listening Techniques

- Paraphrasing
- Mirroring
- Silence/effective pauses
- Verbal encouragers
- Emotional labeling



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Active Listening Techniques

Current best practices promote **motivational interviewing** to gain information with offenders. These are included here.

Think about what the following words mean:

- Paraphrase
- Mirroring
- Silence
- Verbal encouragers
- Emotional labeling

Facilitator Notes

1. Briefly EXPLAIN that these are common active listening techniques. We will go over each one in more detail on the next slides.
2. EXPLAIN that **active listening** involves demonstrating an interest and understanding in what is being said by staying focused, asking questions, and listening for the main points and the rationale behind what is being said.
3. EXPLAIN that when the interviewer uses active listening techniques during an interview, she is perceived as empathetic and understanding. This perception helps break down the subject's resistance and facilitates a more complete disclosure of information.



Paraphrasing

- Choosing the most important details of what the interviewee said and reflecting them back to her
- Capturing the essence of what the interviewee is saying through your own words



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Active Listening Techniques

Paraphrasing is not simply repeating what the interviewee is saying but capturing the more essential parts of what she is saying and rephrasing it.

Paraphrasing helps the interviewer better understand what the interviewee is trying to say by putting it in her own words, which allows the interviewee to agree with the interviewer's understanding.

Facilitator Notes

1. **EXPLAIN** that paraphrasing is not simply repeating back what the interviewee is saying but capturing the more essential parts of what she is saying and rephrasing it.
2. **EXPLAIN** that this helps:
 - The interviewer better understand what the interviewee is trying to say by putting it in her own words
 - Allowing the interviewee to agree with the interviewer's understanding
 - Start building trust with the interviewee
3. **ILLUSTRATE** paraphrasing. Ask participants to paraphrase what you just said.



Mirroring

- An interview technique where you reflect the actions of the interviewee
- Not mimicking, but adapting to the body language of the interviewee
- Used to establish coherence between you and the interviewee
- Helps build rapport



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Active Listening Techniques

Mirroring is usually nonverbal. It should appear natural and not forced or awkward. Mirroring helps build rapport and trust with the interviewee.

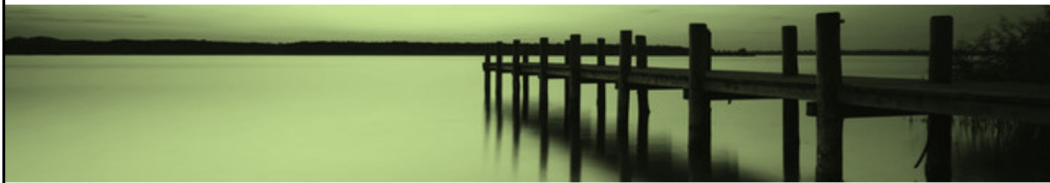
Facilitator Notes

1. EXPLAIN that mirroring is usually nonverbal. It should appear natural and not forced or awkward.
2. EXPLAIN that this helps:
 - Build rapport with the interviewee
 - Start building trust with the interviewee as a way of empathizing
3. ASK when do you think this is not an appropriate technique (e.g. if an interviewee is twitching, scratching, or flailing).
4. ILLUSTRATE mirroring. Ask participants to mirror what you just said or did.



Silence/Effective Pauses

- Silence can be a very effective communication tool
- Giving pause can help the interviewer solicit important information and make valuable observations of the interviewee's personality and state of mind
- More useful in investigative interviews as interviewee may fill in silence with more information
- NOTE: In aggressive questioning, this tactic can be more complicated because interviewer can potentially lose control of the interview



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Active Listening Techniques

Silence, if used well, can be an effective communication tool. It provides space for the interviewee to speak and allows the interviewer to see how the interviewee reacts by detecting her level of anxiety and state of mind.

Why do you think interviewers use silence in the interview process?

Facilitator Notes

1. EXPLAIN that silence, if used well, can be an effective communication tool.
2. EXPLAIN that silence helps:
 - Provide space for the interviewee to speak
 - Requires patience
 - Allows the interviewer to see how the interviewee reacts by detecting her level of anxiety and state of mind
3. REMIND participants that silence may backfire during aggressive questioning/interrogations because in that situation, the interviewer needs to control the dialogue.



Verbal and Nonverbal Encouragers

- Encouragers are a variety of verbal and nonverbal ways of prompting interviewee to continue talking
- Types of encouragers include:
 - ✓ Nonverbal minimal responses such as a nod of the head or positive facial expressions
 - ✓ Verbal minimal responses such as “Uh-huh” and “I hear what you’re saying”
 - ✓ Brief invitations to continue such as “Tell me more”



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Active Listening Techniques

Encouragers are both verbal and nonverbal ways to encourage the interviewee to continue telling her story or give information.

Why do you think interviewers use verbal and nonverbal encouragers in the interview process?

Facilitator Notes

1. EXPLAIN that encouragers are both nonverbal and verbal ways to encourage the interviewee to continue telling her story or give information.
2. EXPLAIN that this helps:
 - Put the interviewee at ease
 - Build trust with the interviewee
 - Extract more needed information to understand the interviewee
3. ASK participants to share any encouragers they may use in their language and culture.
4. SHARE encouragers that we use in the U.S.



Emotional Labeling

- Validating an interviewee's emotion by acknowledging it
- When observing an interviewee who seems angry, anxious, or nervous, the interviewer can label the emotion that seems to be driving the behavior



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Active Listening Techniques

Emotional labeling helps validate the offender's emotions. Research shows that those who have difficulty labeling their emotions also have difficulty regulating their emotions.

Emotional labeling may defuse anger or mistrust by detecting and reacting to the underlying emotions of anxiety and fear.

Why do you think interviewers use emotional labeling in the interview process?

Facilitator Notes


1. EXPLAIN that emotional labeling helps validate the offender's emotions. Research shows that those who have difficulty labeling their emotions also have difficulty regulating their emotions.
2. EXPLAIN that emotional labeling helps:
 - Give the offender words for how she is feeling and provide a sense of calm
 - May defuse anger or mistrust by detecting and reacting to the underlying emotions of anxiety and fear




Active Listening Demonstration

EXERCISE

- Work individually
- Watch the roleplay scenario
- Use the Active Listening Worksheet and check techniques you observed
- Be prepared to share your response




ACTIVE LISTENING
WORKSHEET



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Active Listening Demonstration	
Duration	20 minutes (10 minutes + 10 minutes discussion)
Purpose	The purpose of this activity is to have participants listen to an interview and identify active listening techniques.
Materials	<ul style="list-style-type: none"> • Flipchart • Markers
Steps	<ol style="list-style-type: none"> 1. Work individually. 2. Listen to the scenario. 3. Use the active listening checklist. 4. Check the active listening techniques you observe. 5. Be prepared to share with the class. <p>Background Information:</p> <ul style="list-style-type: none"> • A 35-year-old offender is displaying initial signs of a medical issue. Symptoms are nervous pacing, arguing with other offenders, and sweating. • An officer observes this behavior and brings the offender into an office to conduct an interview. • Initial charge is an immigration violation. The offender's behavior appears to be related to drug withdrawal.

Facilitator Notes

1. ASK participants to work individually.
2. DISTRIBUTE the Worksheet: Active Listening
3. EXPLAIN the activity to participants.
4. ROLEPLAY an interview using active listening techniques (refer to the background information below)
5. REGROUP on the next slide.





Active Listening Skills

Place a checkmark by the skill you observed the interviewer use during the mock interview.

Active Listening Techniques

	Paraphrasing
	Mirroring
	Silence
	Encouragers
	Emotional Labeling

Notes:

Active Listening Regroup

REGROUP

- Were you able to detect all the active listening techniques?
- Did you think the techniques were effective?



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Active Listening: Regroup

Were you able to detect all the techniques?

Which ones would you use?

Facilitator Notes

1. REGROUP by asking the questions in the slide.
2. ADVANCE to the next slide: Your Turn: Active Listening Role Play.



Your Turn: Active Listening Activity


EXERCISE

- Get in groups of four:
 - ✓ 1 interviewer
 - ✓ 1 offender
 - ✓ 2 observers
- Practice active listening
- Rotate roles

Use techniques

➔

Compare notes



**ACTIVE LISTENING
WORKSHEET**

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Active Listening Demonstration	
Duration	30 minutes
Purpose	The purpose of this activity is to have participants practice active listening skills, using a worksheet as a guide.
Materials	<ul style="list-style-type: none"> Flipchart Markers
Steps	<ol style="list-style-type: none"> 1. Work in groups of four—one will be an interviewer, one an offender, and two observers. 2. ROTATE roles so that everyone has the opportunity to be an interviewer, an interviewee, and an observer. 3. The interviewee will describe a provided incident in detail. 4. The interviewer will listen. 5. The two observers will use the Active Listening Worksheet to take notes. 6. Observers will provide feedback on observed techniques 7. Be prepared to share with the class.

Facilitator Notes

1. ASK participants to work in groups of four—one will be the interviewer, one the interviewee, and two observers.
2. EXPLAIN the activity to participants
3. REGROUP on the next slide.



Active Listening Incident Cards

Incident 1	Incident 2	Incident 3	Incident 4	Incident 5
Interview during the Intake Process	Interview during the Internal Classification Process	Interview to determine whether offender is part of STG	Interview to determine whether offender needs mental health program	Interview to determine whether offender should be in a work program
Offender has a child	Offender is a suicide risk	Offender is part of drug trafficking ring	Offender is suffering from bi-polar disorder	Offender may be a cybersecurity expert



Active Listening Cards

The facilitator will provide you with incident cards.

Facilitator Notes

1. ENSURE that each group has an Active Listening Incident Card.
2. LET participants know that the incidents are also on the slide above.
3. Follow the instructions on the previous slide.
4. When complete, ADVANCE to the next slide: Regroup.





Active Listening Incident Cards

FACILITATOR: Cut out cards and provide to participants

ACTIVE LISTENING CARD #1

Conduct interview during the Intake process.

Note: Offender has a child.

ACTIVE LISTENING CARD #2

Conduct interview to determine whether offender is part of a STG

Note: Offender is part of drug trafficking ring.



ACTIVE LISTENING CARD #3

**Conduct interview to determine whether offender needs
mental health program**

Note: Offender is suffering from bi-polar disorder.

ACTIVE LISTENING CARD #4

**Conduct interview during the Internal Classification
Process**

Note: Offender is a suicide risk.



ACTIVE LISTENING CARD #5

**Conduct interview to recommend a work program
for the offender**

NOTE: Offender may be a cybersecurity expert.

Active Listening Regroup

REGROUP

- How did the interviews work out?
- Were the interviews challenging?
- Were the active listening techniques effective?



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Active Listening Regroup

Take notes on how the activity worked out for you and your colleagues.

Facilitator Notes

1. CALL upon one or two observers from each group to provide their observations.
2. PROVIDE your feedback and ask participants whether practicing was more helpful than watching someone else demonstrate active listening.
3. ASK the participants whether the activity was challenging and if they thought the active listening techniques were effective.



Roadblocks to Listening

- Ordering, directing
- Warning, threatening
- Giving advice
- Persuading with logic
- Moralizing, preaching
- Judging, criticizing
- Agreeing, approving, praising
- Shaming, ridiculing, name-calling
- Interpreting, analyzing
- Reasoning, sympathizing
- Withdrawing, distracting, humoring, changing the subject

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Roadblocks to Listening

Did you think this list is accurate?

Facilitator Notes

1. BRIEFLY REVIEW the list of roadblocks to listening.
2. ASK participants whether they agree or disagree with this list.
3. ASK participants to add anything else they have to the list.



Building & Maintaining Rapport

بناء العلاقات والمحافظة عليها

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NOTES



Building and Maintaining Rapport

- Bridge cross-cultural differences
- Use intelligence already gathered
- Find commonalities



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Building and Maintain Rapport

Rapport builds a bridge between two people. Because people often feel more comfortable with other people who have similar characteristics, try to use self-disclosure, e.g. telling them something about yourself. This helps demonstrate empathy, increasing the subject's comfort level with the interviewer.

To help understand the offender, the interviewer should complete background research to help him or her prepare, ask, and answer questions about the case.

The interviewer should:

- Become familiar with the elements of the applicable statute or law
- Review the case file and develop an initial list of questions or topic areas to cover
- Review the witness's or suspect's background

Facilitator Notes

1. EXPLAIN that **rapport** is a positive relationship, a bond, or a connection and is critical for an interviewer to establish at the outset of any interview. It is built on a respectful and friendly approach along with a certain amount of self-disclosure in which the interviewer reveals some information about herself to create a connection with the subject.
2. EXPLAIN that rapport builds a bridge between two people. Because people often feel more comfortable with other people who have similar characteristics, this self-disclosure helps demonstrate empathy, increasing the subject's comfort level with the interviewer.
3. EXPLAIN that you should gather intelligence before the interview to understand the offender better. Then you can attempt to bridge cultural differences and find things you have in common.



Building and Maintaining Rapport

- Demonstrate kindness and respect
- Tell stories
- *NOTE: Keep stories and common interest general. Do not fabricate stories because you may risk losing trust and gain less quality information



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Building and Maintaining Rapport

Be careful to keep the self-disclosure and stories general and do not reveal too much information. e.g. share favorite food or childhood story.

Also be careful not to fabricate stories. This may damage the relationship and build up resistance.

Facilitator Notes


1. EXPLAIN that the interviewer should demonstrate kindness and respect.
2. EXPLAIN that the interviewer can use stories to help ease any tension.
3. REMIND participants that self-disclosure should ALWAYS be kept rather general. This could range from childhood issues to a favorite sport or food. The interviewer must be careful not to disclose too much information.
4. EXPLAIN that if the interviewee discovers that the interviewer has fabricated information about herself, her trust will be seriously damaged. Once damaged, there is little chance that the interviewer—or any other interviewer—will be able to win the interviewee's trust and overcome her resistance.



Building Rapport Demonstration

EXERCISE


- Work individually
- Watch the demonstration
- Use the Building and Maintaining Rapport Worksheet and check techniques you observed



**BUILDING RAPPORT
WORKSHEET**

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Building Rapport Demonstration	
Duration	15 minutes
Purpose	The purpose of this activity is to have participants observe the techniques of establishing rapport with the interviewee.
Materials	<ul style="list-style-type: none"> • Flipchart • Markers
Steps	<ol style="list-style-type: none"> 1. Work individually. 2. Observe the demonstration. 3. Identify the techniques the facilitators used in this demonstration. 4. Use the worksheet to check the techniques used. 5. Be prepared to share your response.

Facilitator Notes

1. ASK participants to work individually.
2. EXPLAIN the exercise to participants.
3. DISTRIBUTE the Worksheet: Building Rapport.
4. Roleplay a scenario with another facilitator.
5. Use the following script: **Building Rapport Script**.
6. ASK the participants to use their Building Rapport Worksheet to check off the techniques used.
7. REGROUP on the following slide.





Building and Maintaining Rapport

Place a checkmark by the skill you observed the interviewer use during the mock interview.

Building and Maintaining Rapport Techniques

	Bridge cross-cultural differences
	Using intelligence
	Finding commonalities
	Demonstrating kindness and respect
	Telling stories

Notes:



Facilitator Script – Building Rapport

Offender Tonya Jones has come into the system as a foreign national who was arrested for not having the appropriate visa and/or paperwork. We know that Tonya is originally from Spain and, when arrested, she was staying in a house where there were several other women and 3 men. Local officials would like you to interview her to see whether she will give you any information on the men with her.

Building Cross-Cultural Differences

Interviewer: Hi Tonya, My name is _____. I understand you're originally from Spain. Saudi Arabia is a bit different from Spain, isn't it? Did you travel with the other ladies who were in the house with you? At least you had them to keep you company.

Offender: I miss Spain. Have you been there? I haven't seen much of Saudi Arabia...we stay in the house. Yes...the girls...we try to help each other...

Using Intelligence

Interviewer: So, you're here because you didn't have the appropriate documents. I know the local authorities also couldn't find any record of your leaving Spain. How did that happen?

Offender: I don't know. I was told where to go and what to do, and I did it...I had to. I do not know what happened to my passport.

Finding Commonalities

Interviewer: I know when I've traveled, it can all be overwhelming at times. A new culture is hard to navigate. How did you manage?

Offender: I only did what I was told. They took care of everything. I haven't been able to go out and see Saudi...I have to work.

Demonstrating Kindness and Respect

Interviewer: Are you doing okay? Are the staff treating you well and getting you what you need? I know you haven't been feeling well; are you taking medication?

Offender: I am scared and miss my family. I don't say much because I am afraid for my family's safety...you don't understand what they will do.

Telling Stories

Interviewer: A few years ago, I flew to Thailand by myself. It was rough not being able to speak the language or know where to go in the airport. I can imagine you felt the same way traveling here. Can you tell me about your trip?

Offender: I don't remember much. They told me where to go and what to do. I didn't see the airport, just cars and a boat. On the boat we stayed in the rooms...cabin rooms...it was very hard.

Building Rapport Regroup

REGROUP

- Were you able to detect all the rapport-building techniques?
- Did you think the techniques were effective?
- What happens if an offender breaks your trust and lies during an interview?



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Building Rapport Demonstration: Regroup

Write notes on all the rapport-building techniques your fellow participants identified.

Would you have done anything differently?

Facilitator Notes

1. ASK the participants whether they were able to detect all the rapport-building techniques.
2. ASK the participants whether they thought the techniques were effective.
3. ASK the participants whether they would have done something differently.



Indicators of Deception during an Interview

مؤشرات الخداع خلال المقابلة

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NOTES



Detecting Deception

- Subjects may omit facts, pretend ignorance, or feign forgetfulness
- Detecting this deception requires practice and concentration
- Detecting deception is not an exact science



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Detecting Deception

Evaluating behavior for indicators of deception requires practice and concentration to recognize possible nonverbal signals and listen for and be alert to verbal responses indicating possible deception.

No single gesture or statement always indicates deception.

Nonverbal leakage, where a person says one thing but his or her body language indicates another, could indicate an innocent interviewee's fear of not being believed or some other emotion.

All investigations must rely on case facts. Accomplished liars can appear to be truthful, and truthful people may exhibit what seems to be deceptive behavior.


Facilitator Notes

1. EXPLAIN that detecting deception is challenging because most people do not lie directly. Instead, they omit crucial facts, pretend ignorance, and feign forgetfulness.
2. NOTE that evaluating behavior for indicators of deception is not an absolute science. It requires practice and concentration to recognize possible nonverbal signals and listen for and be alert to verbal responses indicating possible deception.
3. STRESS that no single gesture or statement always indicates deception.
4. EXPLAIN that you need to listen closely to verbal responses as well as look for patterns or clusters of nonverbal behavior.
5. EXPLAIN nonverbal leakage, where a person says one thing but his or her body language indicates another, could indicate an innocent interviewee's fear of not being believed or some other emotion.




Types of Deception

- Omission
- Evasion
- Exaggeration
- Minimization
- Denial
- Fabrication



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Types of Deception

Omission—Answering a question but omitting details that may be embarrassing or incriminating. The lie of omission is the most common and the easiest lie to tell. It is usually the truth with important details intentionally left out. If questioned about omitted details, the interviewee can say she forgot to mention it, which provides a verbal escape hatch for her.

Evasion—Avoiding answering a question or accusation by talking off subject. The statement is usually true, but the response is deceptive because the interviewee deliberately avoids answering the question through avoidance.

Exaggeration—Reporting some accurate information but exaggerating certain details.

Minimization—A lie that minimizes involvement or amounts.

Denial—Refuting an accusation by denying involvement.

Fabrication—Making intentional false statements by providing false information about persons, places, or events. This is the most difficult lie to tell because it requires quick thinking and excellent memory. This type of lie increases the interviewee's fear of detection, which can cause a change in the physiological behaviors in the interviewee.

Facilitator Notes

1. **EXPLAIN** the definition of each type of deception.
2. **NOTE** that this information is also in the Participant Guide.
3. **CHECK** for understanding.
4. **ASK** participants whether they can give examples of these types of lies.

Evaluating Indicators of Deception

- Establish a behavioral norm
- Evaluate the subject in context
- Look for behavioral clusters



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Evaluating Indicators of Deception

Establish a behavioral norm. Evaluate the subject against herself and establish a baseline for the interviewee's behavior when she is telling the truth. For example, ask questions you know are true. The only way to know what an interviewee's behavior looks like when telling a lie is to know what her baseline behavior looks and sounds like when telling the truth.

Evaluate the interviewee in context to the situation. For example, if it is extremely hot, this should be taken into consideration to explain why she is perspiring. Her perspiring and breathlessness should not be attributed to a sign of deception given the circumstances.

Look for behavioral clusters. Observed behavioral indicators during an interview are more likely to be accurate when **clusters of two or more different behaviors occur at or near the same time**. For example, if the guilty interviewee was asked whether she was involved in stealing from another offender, in responding she might demonstrate a cluster of behaviors that are indicative of deception (e.g., significant shift in body position by turning to the side, crossing legs and arms, averting eye contact, picking lint from her sleeve, while verbally responding with feigned laughter and then denying involvement in a weak, unconvincing tone of voice).

Facilitator Notes

1. **EXPLAIN** how to evaluate the indicators of deception.
2. **USE** examples from your own experience.
3. **EXPLAIN that creating a baseline is important.** Ask questions that you know are true to see how the offender reacts/behaves. This will set the baseline.
4. **EXPLAIN** to look for clusters of behaviors.
5. **CHECK** for understanding.
6. **ASK** participants whether they can give examples of how this works in KSA.



Indicators of Deception: Considerations

- Cultural, ethnic, and geographical differences
- Timing and consistency of behavior
- Mental capacity



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Evaluating Indicators of Deception

Consider cultural, ethnic, and geographical differences. People may exhibit certain physical behaviors during communication based on their cultural and geographical upbringing. The interviewer should be aware of these behaviors when assessing the interviewee's behavior for truth and deception.

Consider the timing and consistency of behavior. Every truthful and deceptive interviewee will exhibit some behavioral clues to some extent. The interviewer must evaluate these behaviors based on their timing and consistency. The closer in time these behavioral indicators occur in context of the question, the greater weight the interviewer will give to the accuracy of the behavioral indicator. If the behavior occurs at the same time or a few seconds after the question is asked, the likelihood is greater that the interviewee was having an emotional response to the question. However, if the behavior occurs more than 10-15 seconds after the question, the interviewer should give little to no weight to the behavioral response.

Consider the mental capacity of the interviewee. For example, when interviewing a person with a low mental capacity, the interviewer should expect her to have long pauses to think before responding to a question. This should not be considered an indicator of deception unless it is contrary to what was determined to be her baseline behavior.

Facilitator Notes

1. EXPLAIN the special considerations when you are trying to detect deception:
 - Cultural, geographical differences
 - Timing of behaviors
 - Mental capacity of offender
2. USE examples from your own experience.
3. ASK participants whether they can give examples of how this may play out in a KSA interview.



Quick Question

If the interviewer detects a certain behavioral symptom every time the offender is deceptive, should the interviewer bring that to the attention of the offender?

(e.g., "I know you're not telling me the truth because every time you answer that question, you can't look me in the eye.")



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Quick Question

Do you know the answer to this question?

Facilitator Notes

1. ASK participants this question.
2. **PROVIDE ANSWER:** This can be debated.
One answer: **No**, because the interviewee will then change his or her behavior, making it more difficult for the interviewer to detect deception.



Nonverbal Indicators of Deception



- Shifting or moving around
- Faster breathing or pulse
- Perspiration on lip, under arms, or on palms
- Dry mouth
- Stomach noises or belching
- Complaints of dizziness, headache, or stomach pain

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Nonverbal Indicator of Deception

Note that nonverbal indicators of deception may result from the fight or flight syndrome.

The fight or flight syndrome is the body's natural defense mechanism to a perceived threat or danger (stressful situations). When the mind perceives a threat to its well-being, it prepares the body to either fight or flee the threat.

Hormones such as adrenaline and cortisol are released into the circulatory system. This causes the heart rate to increase, rate of breathing and perspiration to increase, saliva to decrease, digestion to slow down, and the flow of blood to major muscle groups to increase along with other changes to the autonomic nervous system. The purpose is to give the body a burst of energy and strength to fight or run away.

Facilitator Notes

1. EXPLAIN that nonverbal indicators of deception may result from the fight or flight syndrome.
2. EXPLAIN that an interview setting with specific questioning can cause an interviewee to have a fear of being caught in a lie, which can activate the fight or flight response. This can result in the interviewee having noticeable physiological changes.
3. REMIND the participants that **individual nonverbal gestures or indicators do not automatically mean a person is deceptive**. It is a combination of indicators and the timing of these indicators combined with the verbal responses that can indicate to an interviewer that an interviewee is deceptive in her responses.



Truthful versus Deceptive Behaviors

- Individual behaviors may be shown by a truthful or deceptive person
- Nervous
- Angry
- Quiet



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Truthful versus Deceptive Behaviors

Nervous—Both a truthful (innocent) and a deceptive (guilty) interviewee may be nervous at the outset of any interview. Innocent nervousness will usually decrease once the interviewee realizes what the interview is about and if she was not involved in the issue at hand. Guilty nervousness will usually increase as the interview proceeds because of their fear of being caught for the crime or caught in a lie.

Angry—Both innocent and guilty interviewees may become angry at the outset of a noncoercive questioning if confronted with an allegation of involvement in a criminal act. Typically, the innocent interviewee's anger will increase throughout the interrogation if falsely accused for a crime she did not commit. However, a guilty interviewee's anger usually decreases during the noncoercive interrogation as she becomes more certain her guilt has been determined.

Quiet—Both innocent and guilty interviewees may be quiet at the outset of an interview. Both may listen. The innocent interviewee listens to find out what the interview is about. The guilty interviewee may listen to determine whether evidence has been uncovered to show her involvement in a criminal act.

Facilitator Notes

1. EXPLAIN that truthful (innocent) and deceptive (guilty) offenders may both be:
 - Nervous
 - Angry
 - Quiet
2. EXPLAIN that the innocent person will become less nervous as the interview proceeds.
3. EXPLAIN that the innocent person may become more angry as the interview proceeds because she feels falsely accused.
4. EXPLAIN that the innocent person will listen to find out what the investigation is about. The deceptive person may listen to see what the investigation has revealed and what evidence has been recovered.



Large Group Discussion: Stalling Tactics

- Stalling slows down the interview, during which time the interviewee is likely trying to remember what she previously said or is trying to formulate a deceptive answer
- What are some examples of stalling tactics you have experienced during interviews?



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Large Group Discussion: Stalling Tactics

- Answering a question with a question (which is a significant indicator of deception).
- Repeating the questions verbatim or rephrasing the questions.
- Asking the interviewer to repeat the question.
- Thinking for an abnormally long time before answering (long pause).
- Stammering or stuttering: Um, er, ah.
- Clearing the throat or coughing continually, especially when asked significant questions.
- Lighting a cigarette or taking a drink of water.
- Changing the subject.
- Asking to take a break.

Facilitator Notes

1. ENGAGE participants in the discussion question.
2. ADD any stalling tactics that you have experienced.



How to Handle Anger during the Interview

- Avoid confrontation with the subject
- If possible, allow the subject to vent verbally
- Use motivational interviewing practices to enhance rapport



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How to Handle Anger during the Interview

A typical anger response is a short, angry tirade. When this happens, an appropriate response by the interviewer is important. Avoid confrontation with the interviewee. If possible, allow the interviewee to vent verbally.

After an interviewee has finished an angry tirade, she is more amenable to providing information.

Facilitator Notes

1. **EXPLAIN** that a typical anger response is a short, angry tirade. When this happens, an appropriate response by the interviewer is important.
2. **NOTE** that after an offender has finished an angry tirade, she is more amenable to providing information. The tirade also gives the interviewer an opportunity to use motivational interview techniques (affirmations to enhance rapport and subsequent success).
3. **STRESS** that a confrontation with the interviewee can end the interview without accomplishing the goals of the interview.

Video: Detecting Deception





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Detecting Deception Video

Watch the video to see real life examples of detecting truthfulness and deception.

Video is available online:

<https://youtu.be/tpJcBozuF6A>

Facilitator Notes

1. TEST VIDEO:
Former_FBI_Agent_Detecting_Lying_and_Deception.mp4
2. PLAY the video and stop for translation when needed.
3. EXPLAIN that these are not an exact science, but gives good explanations with real people.

NOTE: Video is 11 minutes long so you can fast forward through different parts. It reinforces what we have learned and gives real life examples.

VIDEO is available online:

<https://youtu.be/tpJcBozuF6A>

Large Group Discussion: Reflection

- Have you noticed these indicators of deception when you are interviewing in your KSA facility?
- During the classification process, when would deception occur?



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Large Group Discussion: Reflection

Ask yourself whether the deception you saw in the video is because the offender:

- May be fearful of telling the truth because she does not understand the law
- May have trafficking or terrorist-related connections she wants to conceal
- May be emotionally unstable

Facilitator Notes

1. TRY to bring the topic back to the KSA experience.
2. ASK: When have you seen offenders use deception.
3. ASK why and when would you see deception during the classification process.
Examples:
 - The offender may be fearful of telling the truth because she does not understand the law.
 - The offender may have trafficking or terrorist-related connections she wants to conceal.
 - The offender may be emotionally unstable.



Effective Questioning

- Open-ended (“Describe what happened next...”)
- Unexpected (“Draw me a picture...”)
- Spatial (“Where were you sitting...”)
- Clarifying (Who? What? Where? When? Why? How?)



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Effective Questioning

Take notes on the examples of effective questioning.

Facilitator Notes

1. EXPLAIN that these are some examples of effective questioning.
 - Use open-ended questions
 - Ask the unexpected, e.g. draw a picture
 - ASK for spatial details, e.g. where were you standing or sitting
 - ASK clarifying questions, e.g. who, what, when, where, how
2. GIVE an example from your own experience.



Effective Questions: Behavior-Provoking

- **Bait:** Specific, non-accusatory questions
 - ✓ Designed to encourage the subject to change her story
 - ✓ Use only one or two in an interview
 - ✓ Establish a premise for the question
 - ✓ Pose the question to imply the presence of contradictory evidence
 - ✓ Evidence can include video camera recording, eyewitnesses, fingerprints, cell phone texts, GPS data (if outside the facility)
- **Funnel strategy:** Open-ended questions followed by probing and clarifying questions



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Effective Questioning

Take notes on the examples of effective questioning.

Facilitator Notes

1. EXPLAIN that these are more advanced examples of effective questioning.
 - Behavior provoking
 - Bait
 - Funnel strategy
2. STRESS that bait question should be asked only of suspects, not innocent witnesses or victims. The bait question should be used only on people who are suspected of involvement in the issue under investigation or someone who was deceptive during the interview. It is usually asked of the suspect toward the end of an interview.
3. GIVE examples from your own experience.

Questioning Strategies

- Silence
- Strategic use of intelligence
 - ✓ Request a narrative on the incident
 - ✓ Ask the subject to repeat the narrative
 - ✓ Question the subject to validate information
 - ✓ Introduce evidence and ask subject to explain
- Memory enhancing questions
 - ✓ What did you hear? Smell? Feel?
 - ✓ Recall events in backward order
- Recording session to catch cues the interviewer might have missed

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Questioning Strategies

Review and take notes on these questioning strategies. Have you seen these used in the videos we have shown you?

Can you think of other strategies interviewers use?

Facilitator Notes

1. **EXPLAIN** the different questioning strategies.
 - The use of silence
 - Using evidence and intelligence
 - Using memory enhancing questions
 - Recording the session if possible
2. **ASK** whether the participants can think of other strategies.
3. **ADD** examples from your experience.



Questioning Activity

EXERCISE

- One-half of the participants will leave the room (interviewers)
- One-half will remain and watch a video (no audio) of a prison fight/incident (witness)
- Interviewers will return and question the witnesses to elicit information

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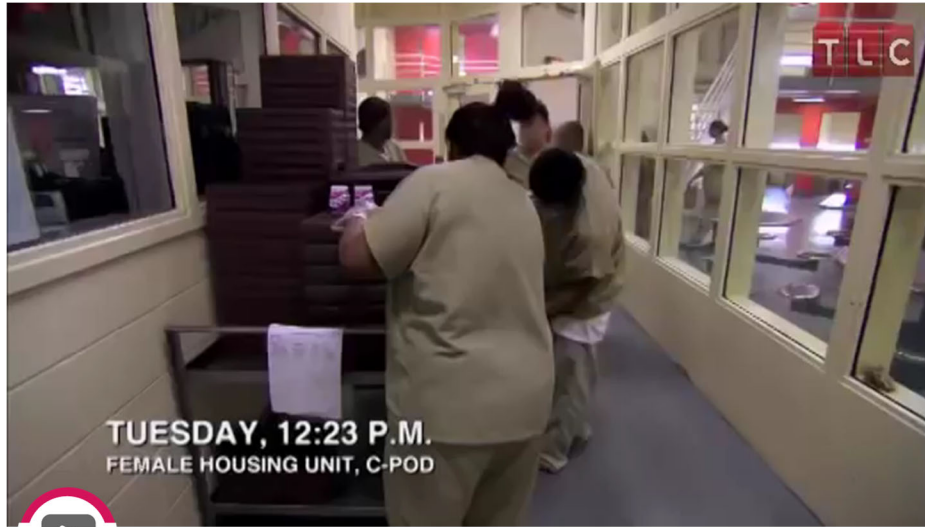
Questioning Activity	
Duration	15 minutes
Purpose	The purpose of this activity is to have participants practice eliciting information during an interview.
Materials	<ul style="list-style-type: none"> • Flipchart • Markers
Steps	<ol style="list-style-type: none"> 1. Half the class will leave the room. 2. The other half will stay to watch a video. 3. The participants who stay to watch the video are the witnesses 4. The participants who left the room will return as interviewers. 5. The participants will follow the facilitator's instructions to conduct the interview.

Facilitator Notes

1. EXPLAIN the activity to participants.
2. Half the class will leave the room. The other half will watch a video.
3. PLAY the video and ask those participants in the room to watch and take notes. They will be the witnesses.
4. BRING the other half of the class back into the classroom.
5. ASK the interviewers (those who did not watch the video) to interview the witnesses (those who did watch the video).
6. ASK the participants what will happen to the offender who was part of the disturbance? Should she get reclassified?
7. ADVANCE to the video and then REGROUP on the next slide.



Disturbance Video



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Female Prison Disturbance Video

Watch the video and try to remember everything that happens.

Available online:

<https://youtu.be/sSxEpMnkHJl>

Facilitator Notes

1. TEST the video:
Pregnant_Prisoner_Fight.mp4

ONLINE:

<https://youtu.be/sSxEpMnkHJl>

2. NOTE: You can play the video with NO AUDIO.
Warning: There is profanity used in this video.
3. ADVANCE to the next slide: Regroup.

Questioning Regroup

REGROUP

- What information were you able to gain?
- What techniques were used?
- Were the witnesses reliable?
- Was the information they gave you accurate?



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Questioning Regroup

If you were an interviewer, were you able to gain information about what happened?

If you were a witness, did the interviewer help you recall what happened?

Facilitator Notes

1. REGROUP: Ask the participants the questions on the slide above.
2. SHARE any insights you have.



Review: Basic Interview Process

- 1 Plan and prepare for the interview
- 2 Create a positive first impression
- 3 Collect biographical information/develop rapport
- 4 Address the relevant issue
- 5 Review and close



BASIC INTERVIEW
PROCESS

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Interview Process: 5 Basic Steps

Review the Worksheet: Basic Interview Process and Motivational Interviewing Concepts.

Facilitator Notes

1. DISTRIBUTE the Worksheet: Basic Interview Process and Motivational Interviewing Concepts.
2. REVIEW the 5 steps.
3. ASK participants to read the worksheet.
4. CHECK for understanding.





5 Steps of a Basic Interview

STEP 1: Plan and Prepare

- Determine the objectives
- Complete background research
- Arrange logistics/interview location
 - Logistics may be out of your control given urgency of situation and space available
 - Regardless of the location, the interview should be conducted with as much privacy as possible; from a psychological perspective, a victim, witness, or suspect will be much more likely to share information if that person is afforded a sense of privacy during the interview
- Make final preparations

STEP 2: Create a Positive First Impression

- Behave professionally
- Use a respectful and friendly (cordial) greeting
- Use an engaging tone of voice
- Watch nonverbal cues and adjust accordingly
- Never use profanity

STEP 3: Collect Biographical Information/Develop Rapport

- Begin the interview by briefly explaining the purpose of the interview
- Next, collect biographical information
- Develop rapport
- Establish a baseline for behaviors

STEP 4: Address Relevant Issue

- Once rapport is established, address the relevant issue by asking appropriate questions

STEP 5: Review and Close

- Review the interview with the subject
- Close the interview
- Document the interview
 - Accurately report the information provided and the conditions for the interview
 - If possible, record the interview with audio or videotape

Questioning Guidelines

- Ask one question at a time
- Use pauses
- Avoid interrupting
- Avoid leading questions

Open-Ended Questions

- Cannot be answered with yes/no
- Help establish rapport
- Typically begin with what, why, or how

Open-Ended Questions with Narration

- Elicit an account of events
- Start with general questions and move to specific details

Close-Ended Questions

- Can be answered with yes/no
- Used to:
 - Help get the person talking
 - Ask questions that are easy and quick to answer
- Allow the interviewer to control the conversation

Clarifying Questions

- Who?
- What?
- Where?
- When?
- Why?
- How?



Motivational Interviewing Concepts

In general, people disclose information more freely and accurately when they feel they are being listened to, respected, and supported.

The active listening skills of motivational interviewing include:

- **O**pen questions
- **A**ffirmations
- **R**eflections
- **S**ummaries

Open Questions:

- "What would you like to see change?"
- "You mentioned _____. What is frustrating to you about that?"
- "What was that like for you when...?"
- "Why do you think that happened?"
- "What are your views about that?"
- "Tell me more..." "Explain to me..." "Describe to me..."
- "What do you think things would look like 5 years from now if nothing changed?"

Affirmations:

Statements that accentuate the positive by seeking and acknowledging a person's strengths and efforts

- Specific
- Genuine
- Personal
- Supporting behavior change

Examples:

- "This is hard work you're doing."
- "You are dealing with a tough situation right now and managing it really well!"

Reflective Listening

- A hypothesis about meaning
- A statement of understanding
- Intonation down
- Avoid stems that imply uncertainty:

"It sounds like..."

"It seems like..."

"So you..."

"I hear you saying..."

"I think I hear you saying..."

Summaries

Let me see if I have this right..."

-Reflection

-Reflection

-Reflection

"How does what I said align with your experience?"

"What did I miss?"

Interviewing Non-Arabic Speakers

- Notes for translators
- Should not be familiar with the subject
- Should be fluent in the subject's native language
- Translate in the first person
- Match the interviewer's tone and meaning
- Help keep the subject's focus on the interviewer
 - ✓ Keep head down, looking toward the ground, during the translation so the subject will keep her complete attention on the primary interviewer and not the translator

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Notes for Translators

This is relevant if you are interviewing a foreign national who does not speak Arabic and requires a translator.

Facilitator Notes

1. Clarify that "match the interviewer's tone and meaning" means to use the exact words as the interviewer rather than summarizing the question or response. Do not express frustration or judgment of the suspect.
2. EXPLAIN that the translator should not engage in side-banter with the witness or suspect.
3. REMIND participants that by keeping their head down, looking toward the ground, during the translation, the translator will help keep the offender's complete attention on the primary interviewer.



Practice Interviewing

EXERCISE

- Review the 5 basic steps to interviewing worksheet
- Using what you have learned during this course, work with a partner to create an interviewing plan and roleplay
- Be prepared to explain your plan, and then act out how you build rapport, address a relevant issue, and close the interview

**BASIC INTERVIEW
PROCESS**

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Practice Interviewing	
Duration	15 minutes
Purpose	The purpose of this activity is to have participants incorporate the interviewing techniques they learned in this module into a realistic scenario using interviewing guidelines.
Materials	<ul style="list-style-type: none"> • Basic Interviewing Process Worksheet • Notepad & Pen
Steps	<ol style="list-style-type: none"> 1. Work with a partner. 2. Refer to the Worksheet: Basic Interviewing Process. 3. Using everything you learned about active listening, motivational interviewing, building rapport, detecting deception, and effective questioning, build a plan and interview role play. 4. Your interview plan and role play should address one step in the classification process – intake, internal classification, STG, disciplinary procedures. 5. It should address a relevant issue you have identified. Explain how you will close the interview effectively, including documentation. 6. Be prepared to share with the class.

Facilitator Notes

1. EXPLAIN the activity to the participants.
2. DISTRIBUTE the Worksheet: Basic Interviewing Process, Motivational Interviewing and everything they have learned so far - active listening, building rapport, detecting deception, effective questioning, etc.
3. ASK them to get into groups of 2-4 people. (Use your discretion depending on time.)
4. If time allows, each group will report back and present to the group.
5. REGROUP on the following slide.



Group Roleplay Presentations

REGROUP

- Present your interview plan and roleplay to the group
- Provide feedback to your fellow participants



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Group Roleplay Presentations

Take notes on your favorite presentations and write down any new idea you may have learned.

Facilitator Notes

1. ENSURE that each interview plan addresses a step in the classification process – intake, internal classification, STG, disciplinary procedure.
2. ENSURE that the groups create an interviewing role play relevant to the KSA setting.
3. ENSURE that each group's interview addresses a relevant issue and closes the interview effectively, including how they will document it.
4. CONGRATULATE each group for its hard work.
5. ADVANCE to the next slide to close out the module.

Summary

Topics

- ✓ Active listening
- ✓ Building and maintaining rapport
- ✓ Indicators of deception
- ✓ Effective questioning

Knowledge Check

In your group, answer the following:

- What is the most important point you learned today?
- What point remains least clear to you?



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Quiz

1. Review notes from previous session.
2. Work with your group to respond.

Facilitator Notes

1. CLOSE OUT the module using the topics that were covered.
2. ASK participants if they have any questions that need clarification or follow up.
3. ASK for volunteers to answer the two questions on the slide.
4. ENCOURAGE participants to engage in a conversation to test knowledge gained in this module.



Disciplinary Procedures and Restrictive Housing



Disciplinary Procedures and Restrictive Housing

Purpose: The purpose of this module is to understand the general principles and steps that apply to disciplinary systems.

Activities:

- Standards and Guidelines in the KSA (20 min.)
- Disciplinary Process in KSA (30 min.)
- Protective Housing in KSA (20 min.)
- Facilitator Roleplay (60 min.)
- Restrictive Housing (30 min.)
- Determining Sanctions: Scenario-Based Incidents (40 min.)

Estimated Time: 1.5 days (6.5 hours)

Facilitator Notes

1. INTRODUCE yourself and any co-facilitators, if necessary.
2. PROVIDE a quick energizer or debrief of the last module.
3. PROVIDE a brief overview of what will be covered.
4. ADVANCE to the next slide to review module objectives.

Worksheets:

- Sample Disciplinary Report
- Mandela Rules
- Prohibited Acts and Sanctions
- Scenario-Based Incidents

Learning Objectives



- Describe the purpose of a disciplinary system
- Describe the general principles that must apply to every disciplinary system



- Explain why newly committed offenders should receive a copy of the facility's rules and regulations upon arrival at an institution



- Explain the steps in a disciplinary process
- Describe the guidelines for restrictive housing units



- Determine appropriate sanctions for various crimes, given a scenario

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Learning Objectives

These learning objectives are the essential steps to reaching the goal of the course—understanding the importance of a systematic offender classification process and each part of the process from the time the person is arrested until she or he is reclassified or released.

Facilitator Notes

1. **EXPLAIN** the objectives to the participants to set expectations for the module.

Note that strong learning and performance objectives are specific, observable, measurable. Each objective should build upon each other from basic understanding of a concept to applying it on the job to explaining it to others.

2. **ASK** whether participants have any questions or need clarification on the objectives.



Purpose of a Disciplinary System

Serves to ensure the safety of staff, offenders, and the public and to maintain the good order and security of the institution



THINK ABOUT

How does a disciplinary system ensure the safety of staff, offenders, and the public?

How does it maintain the good order and security of the institution?

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Purpose of a Disciplinary System

Protects the safety of staff, offenders, and others. Offenders incarcerated in a jail or prison that lacks proper discipline are at substantial risk from offender-on-offender violence and other threats as a result of reduced order and control.

Safeguards facility security. Poor discipline increases the incidents of offenders trafficking contraband and a greater potential for escape and other security-related problems.

Maintains order. Neither safety nor security can be maintained in a facility that operates in an environment of disorder, confusion, or disruption. Maintaining order helps improve confidence and creates a calm environment that reduces tension and anxiety among offenders and staff.

Ensures compliance. In prisons, officers are substantially outnumbered by offenders. Thus, it is extremely important that offenders exercise personal discipline, temperance in their interactions with others, and compliance with regulations, orders, and instructions from staff.

Facilitator Notes

1. EXPLAIN that corrections officers have legitimate interests in receiving reasonable support from the offender disciplinary system to provide sanctions, when appropriate, to help control offender misconduct. They need a system unencumbered by time-consuming procedural requirements, which undermine the ability of line officers to effectively manage and control offenders. They also need a disciplinary system that ensures the due process provided to offenders at a disciplinary hearing is compatible with the needs of prison security, safety, and order.

NOTE: Do not go into deep discussion.


2. ASK participants to think about these questions.
3. EXPLAIN that they will be covering this topic throughout the day.




Restrictions, Discipline, and Sanctions

Relevant Mandela Rule

#36



Rule 36: Discipline and order shall be maintained with no more restriction than is necessary to ensure safe custody, the secure operation of the prison and a well-ordered community life




In your own words, describe what this rule means to you. Provide examples from your experience of “no more restriction than is necessary to ensure safe custody, the secure operation of the prison, and a well-ordered community life.”

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USE as reference and as needed.

Standards and Guidelines in the KSA

EXERCISE

- Work in your groups
- Describe the standards and guidelines in place for your disciplinary system
- Compare your group's answers with the other groups



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Standards and Guidelines in the KSA

Duration	20 minutes
Purpose	The purpose of this activity is for participants to be able to explain standards and guidelines for disciplinary procedures.
Materials	<ul style="list-style-type: none"> • Flipchart • Markers
Steps	<ol style="list-style-type: none"> 1. Work in small groups. 2. Describe standards and guidelines for your disciplinary system. 3. If these guidelines are not yet in place, brainstorm within your group on what should be involved in the guidelines. 4. Be prepared to share with the rest of the class.

Facilitator Notes

1. ASK participants to work in small groups.
2. EXPLAIN the activity to participants.
3. REGROUP on the next slide.



Standards and Guidelines in U.S.

REGROUP

- Incident reports can be written by all staff
- Staff take disciplinary action to regulate an offender's behavior within facility rules and guidelines and to promote a safe and orderly environment
- Staff control offender behavior in an impartial and consistent way
- Disciplinary action may not be erratic or retaliatory
- Disciplinary action must comply with Mandela Rules



SAMPLE INCIDENT
REPORT

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Standards and Guidelines in the U.S.

These general principles apply to every disciplinary action.

Facilitator Notes

1. REGROUP and ask each group to compare its responses to the responses of other groups.
2. ENGAGE participants in a discussion on the similarities and differences between the standards and guidelines.
3. Also COMPARE the standards and guidelines in KSA to those in the U.S.
4. PROVIDE **sample incident report** and examples of list of consequences (redact agency) from U.S.

OFFENDER DISCIPLINARY REPORT/ACTION				REPORT DATE (YYYYMMDD)			
1. OFFENDER							
a. NAME (Last, First, Middle)							
2. CUSTODY LEVEL		3. HOUSING UNIT/DORM		4. CELL BLOCK	5. CELL #/BUNK #		
7. INCIDENT							
a. RULES VIOLATION							

b. DATE (YYYYMMDD)		c. TIME		d. LOCATION			
e. DETAILS OF CHARGE(S) (Include evidence (if any), use of force, list staff witness(es), and action taken.)							

8. INCIDENT REPORTED BY							
a. NAME (Last, First, Middle)		b. RANK	c. TITLE	d. SIGNATURE	e. DATE (YYYYMMDD)	f. TIME	
9. INCIDENT REPORTED TO							
a. SUPERVISOR NAME (Last, First, Middle)				b. DATE (YYYYMMDD)	c. TIME		
d. DISPOSITION TAKEN:							

10.a. WAS IMMEDIATE MEDICAL ATTENTION NEEDED?				YES <input type="checkbox"/>	NO <input type="checkbox"/>	b. DATE (YYYYMMDD)	c. TIME
d. DESCRIBE ANY MEDICAL ATTENTION GIVEN:							

11. INVESTIGATION REQUIRED?							
				YES	NO	N/A	
12.a. ADVISEMENT OF RIGHTS GIVEN? <i>(If yes, attach original rights acknowledgment form)</i>							
				YES	NO	N/A	
b. OFFENDER WAIVED RIGHTS? <i>(If yes, see attachment)</i>				YES	NO	N/A	
c. OFFENDER STATEMENT <i>(If yes, attach statement)</i>				YES	NO	N/A	
13.a. INVESTIGATIVE SUMMARY?							
				YES <i>(Please attach copy of report)</i>	NO		
b. BRIEF SYNOPSIS:							

c. NAME AND TITLE OF INVESTIGATOR				d. SIGNATURE		e. DATE (YYYYMMDD)	

**OFFENDER DISCIPLINARY
REPORT/ACTION**

15.a. INITIAL REVIEWING AUTHORITY DISPOSITION

b. INITIAL REVIEWING AUTHORITY NAME, GRADE AND TITLE	c. SIGNATURE	d. DATE (YYYYMMDD)
--	--------------	--------------------

16. RESULTS OF DISCIPLINARY AND ADJUSTMENT BOARD

a. FINDINGS: OFFENDER DID COMMIT THE OFFENSE REPORTED OFFENDER DID NOT COMMIT THE OFFENSE REPORTED
 FINDINGS ARE BASED ON THE FOLLOWING:

b. RECOMMENDATION OF DISCIPLINARY AND ADJUSTMENT BOARD

c. APPEAL RIGHTS EXPLAINED TO OFFENDER:	<input type="checkbox"/> YES	<input type="checkbox"/> NO
d. NAME AND TITLE OF BOARD PRESIDENT	e. SIGNATURE	f. DATE (YYYYMMDD)

17.a. RECOMMENDATION OF THE REVIEWING OFFICER

b. NAME AND TITLE OF REVIEWING OFFICER	c. SIGNATURE	d. DATE (YYYYMMDD)
--	--------------	--------------------

18.a. ACTION TAKEN BY THE APPROVING AUTHORITY

b. NAME AND TITLE OF APPROVING OFFICER	c. SIGNATURE	d. DATE (YYYYMMDD)
--	--------------	--------------------

19.a. ACTION TAKEN BY THE APPEAL AUTHORITY

b. NAME AND TITLE OF APPEAL AUTHORITY	c. SIGNATURE	d. DATE (YYYYMMDD)
---------------------------------------	--------------	--------------------

How Do Offenders Know?

- How do offenders know what is considered prohibited acts or behavior?
- How do they know the sanctions for prohibited acts or behavior?
- Why is advising offenders of the prohibited acts and subsequent sanctions important?



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How Do Offenders Know?

Upon arrival at a facility, offenders should receive a summary of the offender discipline system, which should include offender rights and responsibilities and prohibited acts and applicable sanctions.

The list of prohibited acts is divided into four categories based on severity: **Greatest; High; Moderate; and Low.**

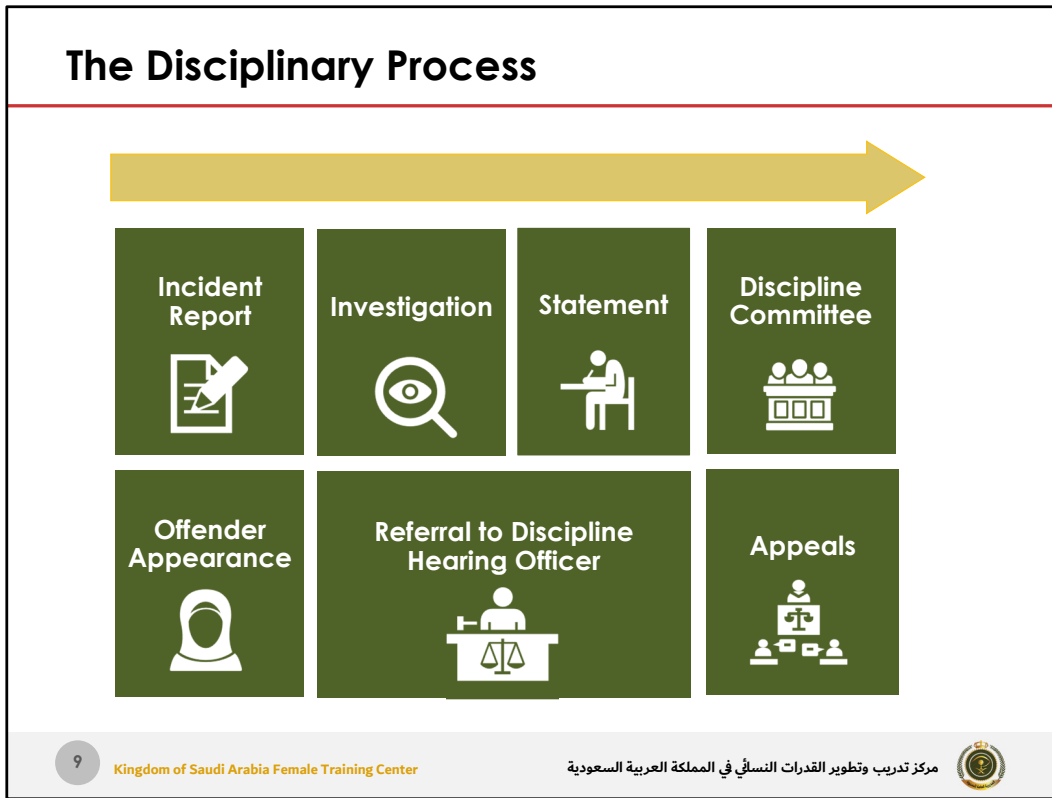
The list of available sanctions for committing prohibited acts is provided to offenders. Additional sanctions for repeated prohibited acts are also explained in the document.

Receipt of these documents must be noted on the intake screening form and maintained in the offender's central file.

Facilitator Notes

1. **ENGAGE** participants in the discussion questions in the slide.
2. **EXPLAIN** the notification system in the U.S.
3. **ASK** for a volunteer to explain the system in the KSA for notifying offenders of prohibited acts and subsequent sanctions.
 - When are the offenders notified?
 - Is the notification in writing?
 - Are offenders required to sign a copy to attest to receipt of the notification?
 - Does the notification also include offender rights and responsibilities?

DURATION: 20-30 minutes



The Disciplinary Process

Offender discipline is a process that utilizes punitive actions as a means of enforcing administrative rules and regulations governing offender behavior.

To be effective, the discipline system should be developed with a clear mission to provide an equitable system for enforcing offender compliance with facility rules and regulations.

The elements of a fair and effective system need to be identified to formalize effective policies and procedures for offender discipline.

Facilitator Notes

1. REVIEW the disciplinary process as illustrated in the slide.
2. ADVANCE to the following slides to discuss each step.



Disciplinary Process: Incident Report

- When a staff member witnesses or reasonably believes that an offender committed a prohibited act, he or she will issue an incident report describing the incident and the prohibited act(s)
- The offender will receive a copy of the incident report within 24 hours and given due process (statement of rights)



Incident Report



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Disciplinary Process: Incident Report

The discipline process starts when staff witness or believe that an offender committed a prohibited act. The officer writes an incident report describing the incident and prohibited act(s) the offender is charged with.

The offender normally receives the incident report within 24 hours of staff becoming aware of her involvement in the incident. She is given a statement of her rights.

The reporting officer should list persons (staff, offenders, others) at the scene as well as physical evidence (weapons, property, etc.). The report reflects any actions taken, including use of force. The reporting officer signs the report, enters his/her title, date, and time, and forwards it to the supervisor.

Facilitator Notes

1. **EXPLAIN** the first step—incident report—as discussed in the left column.
2. **ASK** participants whether they have questions or whether this is similar to their process. They will be asked later to explain their process, so this will be a brief overview only.
3. **REFER** to Worksheet: Sample Disciplinary Report.



Disciplinary Process: Investigation

- The incident will be investigated
- The investigator will inform the offender of the charges against her



Investigation



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Disciplinary Process: Investigation

The investigating officer must not be the staff member reporting the incident or otherwise be involved in the incident.

The investigating officer can informally resolve the incident report except for prohibited acts in the greatest or high severity-level categories.

The investigating officer is normally appointed within 24 hours of the incident report. The investigation should be completed within 24 hours after initiation.

Facilitator Notes

1. **EXPLAIN** the second step—investigation—as discussed in the left column.
2. **NOTE** that in the U.S. the investigator provides offenders their rights and explains due process.
3. **ASK** participants whether they have any questions or whether this is similar to their process. They will be asked later to explain their process, so this will be a brief overview only.



Disciplinary Process: Statement

- The offender may explain the incident and request that witnesses be interviewed or that other evidence be obtained and reviewed
- Investigator will document offender response and statements made during interview to set a baseline for the discipline committee and discipline hearing officer in case of inconsistencies



Statement



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Disciplinary Process: Statement

The investigator talks to persons with direct and relevant information and summarizes their statements. The investigator should interview witnesses to the incident (and victims, if applicable) to record their statements. The investigator records the disposition of evidence.

The investigator reads the charge(s) to the offender and asks for her statement about the incident. The offender can explain the incident and request witnesses be interviewed or that other evidence be obtained and reviewed. She does not receive a copy of the investigation.

The incident report may be informally resolved at any stage of the process except for prohibited acts in the greatest and high severity levels or as otherwise required by law.

Facilitator Notes

1. EXPLAIN the third step—statement—as discussed in the left column.
2. EXPLAIN that if the offender requests exculpatory evidence—such as video or audio surveillance—the investigator must make every effort to review and preserve the evidence.
3. EXPLAIN that if the incident report is informally resolved, it will be removed from the offender's record.
4. EXPLAIN that staff are required to write the incident report before starting informal resolution so the facts of the incident will be preserved if informal resolution is not successful.
5. ASK participants whether they have any questions or whether this is similar to their process. They will be asked later to explain their process, so this will be a brief overview only.

Disciplinary Process: Discipline Committee

- Reviews the incident report once the staff investigation is complete
- The review normally takes place within five workdays after the incident report is issued



Discipline
Committee



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Disciplinary Process: Discipline Committee

A discipline committee will review the incident report once the staff investigation is complete. The committee's review involves the following:

- The committee will make one of the following decisions after reviewing the incident report:
 - You committed the prohibited act charged and/or a similar prohibited act as described in the incident report.
 - You did not commit the prohibited act charged.
 - The incident report will be referred to the discipline hearing officer for further review.
- The committee ordinarily consists of two or more staff. Members will not be victims, witnesses, investigators, or otherwise significantly involved in the incident.

Facilitator Notes

1. EXPLAIN the fourth step—discipline committee—as discussed in the left column.
2. EXPLAIN that if the offender is charged with the greatest or high severity prohibited act, the discipline committee will automatically refer the incident report to the discipline hearing officer for further review.
3. EXPLAIN that the committee can consist of only one staff member when other members are not reasonably available.



Disciplinary Process: Offender Appearance

- The offender is permitted to appear before the discipline committee during its review of the incident report
 - ✓ She may provide evidence and supporting witnesses
- The offender may waive the appearance and the discipline committee will review the incident report in her absence



Offender
Appearance



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Disciplinary Process: Offender Appearance

Offenders are permitted to appear before the discipline committee during its review of the incident report except during deliberations or when their presence would jeopardize institution security. The offender may:

- Appear either in person or electronically (video or telephone conferencing) at the committee's discretion
- Waive appearance

The committee must document its reasons for excluding an offender from the hearing. The offender receives a written copy of the discipline committee's decision following its review of the incident report. A record of the hearing and supporting documents is kept in the offender's central file.

Facilitator Notes

1. **EXPLAIN** the fifth step—offender appearance—as discussed in the left column.
2. **DISCUSS** the importance for the offender to appear before the discipline committee during its review of the incident. (Sanctions could be imposed that might change her housing location—i.e., moved to disciplinary segregation.)
3. **ASK** participants about this process at their facility.



Disciplinary Process: Referral

- The discipline committee may refer the case to a discipline hearing officer with a statement of reasons for the referral, along with recommendations for sanctions if the discipline hearing officer finds the offender has committed the prohibited act



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Disciplinary Process: Referral

The discipline hearing officer conducts a hearing on the incident report only if referred by the discipline committee. The discipline hearing officer will make one of the following decisions after a hearing on the incident report:

- The offender committed the prohibited act(s) charged, and/or a similar prohibited act(s) as described in the incident report.
- The offender did not commit the prohibited act(s) charged.
- The incident report will be referred for further investigation, review, and disposition.

The term *discipline hearing officer* refers to a one-person, independent officer who conducts hearings and imposes sanctions for incidents of misconduct referred by the discipline committee.

Facilitator Notes

1. EXPLAIN the sixth step—referral to discipline hearing officer.
2. EXPLAIN that a discipline hearing officer may not conduct hearings without receiving specialized training and passing a certification test.
3. ADD that the discipline hearing officer also may not hear any case not referred by the discipline committee.
4. EXPLAIN that the offender is entitled to have a staff representative during the hearing process. The staff representative will help the offender understand the incident report charges and potential consequences. He or she may also assist the offender by speaking with and scheduling witnesses, obtaining written statements, and otherwise helping the offender prepare evidence for presentation at the hearing. The staff representative may appear either in person or electronically at the hearing.




Disciplinary Process: Appeal


Appeals process

- Warden—first level of appeal
- Regional Director—second level of appeal
- General Counsel—final appeal

NOTE: Not the process for all agencies




Appeals



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Disciplinary Process: Appeal

An offender who is not satisfied with the first-level response may **submit an appeal** to the appropriate regional director. An offender who is not satisfied with the second-level (regional director) response may submit an appeal to the general counsel.

The reviewing official (warden, regional director, or general counsel) may approve, modify, reverse, or send back with directions (including ordering a rehearing) any action of the discipline committee or discipline hearing officer but may not increase a valid sanction.

*Note this is based on the U.S. federal process.

Facilitator Notes

1. **EXPLAIN** the final step of the disciplinary process—**appeals**.
2. **ASK** participants whether they have regional directors and general counsels or whether they have different titles.
3. **EXPLAIN** that the reviewing authority for the appeals considers whether:
 - The discipline committee and discipline hearing officer substantially complied with regulations on offender discipline
 - The discipline committee and discipline hearing officer based decisions on facts
 - The decision was based on the greater weight of the evidence
 - An appropriate sanction was imposed on the severity level of the prohibited act and other relevant circumstances
4. **ADVANCE** to the next slide: Disciplinary Process in KSA Exercise.

NOTE: This may be a good point for a BREAK.



Disciplinary Process in the KSA

EXERCISE

- Work in your group
- Describe the major components of the disciplinary process in the KSA
- Compare your group's answers with the other groups



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Disciplinary Process in KSA

Duration	30 minutes
Purpose	The purpose of this activity is to have participants describe procedures that are either in place or should be in place to establish a Disciplinary Process.
Materials	<ul style="list-style-type: none"> • Flipchart • Markers
Steps	<ol style="list-style-type: none"> 1. Work in your small groups. 2. Brainstorm within your group and describe the disciplinary process in the KSA. If a process is not in place, describe the type of process that should be in place to establish a Disciplinary Process. 3. Be prepared to share and discuss with the class.

Facilitator Notes

1. ASK participants to work in their small groups.
2. EXPLAIN the activity to participants.
3. REGROUP on the next slide.



Disciplinary Process in the KSA

REGROUP

- Describe the major components of the disciplinary process in the KSA
- Compare your group's answers with the other groups

Next step: Continue working in your groups to match each Mandela Rule in the handout to the major components just identified



MANDELA RULES

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Disciplinary Process in the KSA

Refer to the Mandela Rules and compare with the process used in your institution.

Facilitator Notes

1. REGROUP and ask each group to share its response.
2. After groups have discussed their responses, DISTRIBUTE the worksheet: Mandela Rules to each group.
3. ASK the groups to compare each Mandela Rule listed in the handout to the major components of their disciplinary process.

DURATION: 35 minutes

WORKSHEET: Mandela Rules





Relevant Mandela Rules

Rule 36

Discipline and order shall be maintained with no more restriction than is necessary to ensure safe custody, the secure operation of the prison and a well-ordered community life.

Rule 37

The following shall always be subject to authorization by law or by the regulation of the competent administrative authority:

- a. Conduct constituting a disciplinary offence.
- b. The types and duration of sanctions that may be imposed.
- c. The authority competent to impose such sanctions.
- d. Any form of involuntary separation from the general prison population, such as solitary confinement, isolation, segregation, special care units or restricted housing, whether as a disciplinary sanction or for the maintenance of order and security, including promulgating policies and procedures governing the use and review of, admission to and release from any form of involuntary separation.

Rule 38

1. Prison administrations are encouraged to use, to the extent possible, conflict prevention, mediation or any other alternative dispute resolution mechanism to prevent disciplinary offences or to resolve conflicts.
2. For prisoners who are, or have been, separated, the prison administration shall take the necessary measures to alleviate the potential detrimental effects of their confinement on them and on their community following their release from prison.

Rule 39

1. No prisoner shall be sanctioned except in accordance with the terms of the law or regulation referred to in rule 37 and the principles of fairness and due process. A prisoner shall never be sanctioned twice for the same act or offence.
2. Prison administrations shall ensure proportionality between a disciplinary sanction and the offence for which it is established and shall keep a proper record of all disciplinary sanctions imposed.
3. Before imposing disciplinary sanctions, prison administrations shall consider whether and how a prisoner's mental illness or developmental disability may have contributed to his or her conduct and the commission of the offence or act underlying the disciplinary charge. Prison administrations shall not sanction any conduct of a prisoner that is considered to be the direct result of his or her mental illness or intellectual disability.

Rule 40

1. No prisoner shall be employed, in the service of the prison, in any disciplinary capacity.
2. This rule shall not, however, impede the proper functioning of systems based on self-government, under which specified social, educational or sports activities or responsibilities are entrusted, under supervision, to prisoners who are formed into groups for the purposes of treatment.



Rule 41

1. Any allegation of a disciplinary offence by a prisoner shall be reported promptly to the competent authority, which shall investigate it without undue delay.
2. Prisoners shall be informed, without delay and in a language that they understand, of the nature of the accusations against them and shall be given adequate time and facilities for the preparation of their defense.
3. Prisoners shall be allowed to defend themselves in person, or through legal assistance when the interests of justice so require, particularly in cases involving serious disciplinary charges. If the prisoners do not understand or speak the language used at a disciplinary hearing, they shall be assisted by a competent interpreter free of charge.
4. Prisoners shall have an opportunity to seek judicial review of disciplinary sanctions imposed against them.
5. In the event that a breach of discipline is prosecuted as a crime, prisoners shall be entitled to all due process guarantees applicable to criminal proceedings, including unimpeded access to a legal adviser.

Rule 42

General living conditions addressed in these rules, including those related to light, ventilation, temperature, sanitation, nutrition, drinking water, access to open air and physical exercise, personal hygiene, health care and adequate personal space, shall apply to all prisoners without exception.

Rule 43

1. In no circumstances may restrictions or disciplinary sanctions amount to torture or other cruel, inhuman or degrading treatment or punishment. The following practices, in particular, shall be prohibited:
 - a. Indefinite solitary confinement.
 - b. Prolonged solitary confinement.
 - c. Placement of a prisoner in a dark or constantly lit cell.
 - d. Corporal punishment or the reduction of a prisoner's diet or drinking water.
 - f. Collective punishment.
2. Instruments of restraint shall never be applied as a sanction for disciplinary offences.
3. Disciplinary sanctions or restrictive measures shall not include the prohibition of family contact. The means of family contact may only be restricted for a limited time period and as strictly required for the maintenance of security and order.

Special Considerations

- When the act turns into a criminal investigation
 - ✓ Internal discipline process is suspended, and all information is turned over to external law enforcement
- When the act is committed by mentally irresponsible or mentally incompetent offenders
 - ✓ Decisions are made whether the offender is responsible



What is the process in the KSA when the prohibited act is criminal?
What is the process when the act is committed by an offender who is mentally incompetent?

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Special Considerations


When the prohibited act is committed by a mentally irresponsible or mentally incompetent offender, professionals must assess whether the offender is responsible (can be sanctioned) or not responsible (incident documented but not sanctioned).

If, at any stage of the discipline process, an offender appears mentally ill, staff will refer her to a mental health professional to determine whether she is responsible for her conduct or is incompetent. Staff may take no disciplinary action against an offender who is determined by a mental health professional to be incompetent to participate in the disciplinary proceedings or not responsible for her behavior.

Facilitator Notes

1. **DISCUSS** the special considerations.
2. **EXPLAIN** that if evidence indicates the offender cannot understand the nature of the disciplinary proceedings or cannot help in her own defense, disciplinary proceedings may be postponed until she is competent to participate.
3. **ENGAGE** participants in the following question: Who might be able to help determine competency?






Relevant Mandela Rules

#45

Solitary Confinement

- Solitary confinement shall be used only in exceptional cases as a last resort, for as short a time as possible and subject to independent review, and only pursuant to the authorization by a competent authority. It shall not be imposed by virtue of a prisoner's sentence.
- The imposition of solitary confinement should be prohibited in the case of prisoners with mental or physical disabilities when their conditions would be exacerbated by such measures. The prohibition of the use of solitary confinement and similar measures in cases involving women and children, as referred to in other United Nations standards and norms in crime prevention and criminal justice, continues to apply

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USE as reference and as needed

Rule 44

For the purpose of these rules, solitary confinement shall refer to the confinement of prisoners for 22 hours or more a day without meaningful human contact. Prolonged solitary confinement shall refer to solitary confinement for a time period in excess of 15 consecutive days.

Rule 46

1. Health-care personnel shall not have any role in the imposition of disciplinary sanctions or other restrictive measures. They shall, however, pay particular attention to the health of prisoners held under any form of involuntary separation, including by visiting such prisoners on a daily basis and providing prompt medical assistance and treatment at the request of such prisoners or prison staff.

2. Health-care personnel shall report to the prison director, without delay, any adverse effect of disciplinary sanctions or other restrictive measures on the physical or mental health of a prisoner subjected to such sanctions or measures and shall advise the director if they consider it necessary to terminate.

Restrictive Housing

Restricted housing refers to a place in institutions where offenders are securely separated from the general offender population



- 1. Administrative Segregation (non-punitive)**
Temporary detention for medical reasons, security reasons, investigative reasons
- 2. Protective Custody (non-punitive)**
Separated for personal safety
- 3. Disciplinary Segregation (punitive)**
Based on sanctions issued by hearing officer

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Restrictive Housing Units

Restrictive housing units help ensure the safety, security, and orderly operation of correctional facilities and protect the public by providing alternative housing assignments for offenders removed from the general population.

Offenders in administrative detention and disciplinary segregation are provided regular reviews of their housing status.

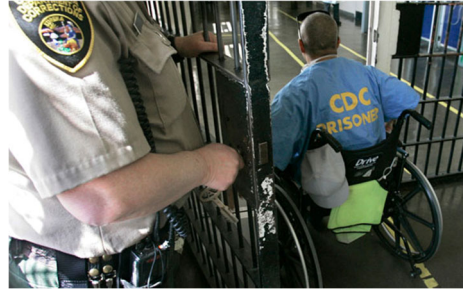
Facilitator Notes

1. **INTRODUCE** restrictive housing and the types of restrictive housing.
2. **ADVANCE** to the following slides to discuss the types of restrictive housing units.



Special Considerations

- Offenders who require protection
 - ✓ Former government officials/civil servants
 - ✓ Sex offenders
 - ✓ Informants
- Gang members
- Offenders with special needs—age, infirmity, mental illness, and other medical or physical health issues, need for medication



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Special Considerations

Think about the special considerations needed in your KSA facility. Do they differ from the examples given above?

Facilitator Notes

1. EXPLAIN the importance of differentiating between offenders housed in the general population—that portion of the prison population with no special security-related restriction—and those who require placement in a special prison population, such as administrative segregation, protective custody, specialized mental health, or medical units.
2. EXPLAIN other reasons include seizures and hitting staff, drug interactions causing behavioral changes, etc.
3. ADVISE that in the U.S. approximately 80% of offenders are in the general population; these offenders are classified as minimum, medium, close, or maximum custody.

Photo: Center for American Progress



Restrictive Housing: Administrative Segregation

- Preventive measure used to separate those with medical issues or those likely to pose a threat to institutional security from the general population
- Typically involves single-cell confinement for extended periods
- Offenders are allowed one hour out of the cell for exercise and showers



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Restrictive Housing: Administrative Detention

Discretion should be used with respect to the types of visits/visitors permitted, whether visits could be contact or not, and the frequency and duration of the visits allowed.

Facilitator Notes

1. EXPLAIN that the warden, deputy director, or commissioner will meet with the offender periodically to review her status.
2. EMPHASIZE that appropriate monitoring and health record review procedures should be in place.
3. EXPLAIN that offenders may be placed in administrative detention status for the following reasons:
 - Pending classification or reclassification
 - Holdover status during transfer to a designated institution or other destination
 - Presence in the general population poses a threat to life, property, self, staff, other offenders, and the public or interferes with security or orderly running of the institution
 - Offender requested or staff determined offender be placed in administrative detention for her own protection
 - Under investigation or awaiting a hearing for possibly violating a regulation or criminal law
 - Pending transfer to another institution or location



Restrictive Housing: Protective Custody

EXERCISE

- In groups of five, answer:
- Why do we need a protective custody provision in prison?
- Do you have a protective custody provision?
- What are some examples of offenders in your prison who would need protection?



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Restrictive Housing: Protective Custody

Duration	20 minutes
Purpose	The purpose of this activity is have participants consider the need for protective security provisions and the types of offenders who would need protection.
Materials	<ul style="list-style-type: none"> • Flipchart • Markers • Incident Reports
Steps	<ol style="list-style-type: none"> 1. Work in your small groups. 2. Answer the three questions in the slide. 3. Be prepared to share your responses and discuss with the class.

Facilitator Notes

1. ASK participants to work in their small groups.
2. EXPLAIN the activity to participants.
3. REGROUP on the following slide.



Protective Custody

Examples of offenders who need protection:

REGROUP

- The victim of an offender assault or threatened by other offenders
- When safety is threatened because the offender provided or is perceived as having provided information to staff or law enforcement authorities
- Offender refusal to enter general population because of alleged pressures or threats from unidentified offenders or for no expressed reason
- Based on evidence, staff believe offender's safety may be seriously jeopardized by placement in the general population



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Protective Custody

Protects the offender from threats of violence, death, and extortion from other offenders.

Prevents potential self-harm or suicide.

The offender remains in this status until the threats have been removed or she is released from prison.

Facilitator Notes

1. REGROUP from the previous exercise.
2. ASK a spokesperson from one group to present its responses.
3. ASK other groups to add to the response or present theirs if different from the first group.
4. INTRODUCE the examples of offenders who need protection in the U.S.
5. COMPARE this list to the responses given by the participants.
6. ADD that protective custody is also used in the U.S. to prevent potential self-harm or suicide.
7. EXPLAIN how the term protective custody is used in the United States.
8. EMPHASIZE the importance of a protective custody program.
9. EXPLAIN that protective custody can be based on an offender's request or on staff initiation. Prison staff often receive intelligence that requires them to place an offender in protective custody.



Threat Assessment

- An investigation into an offender's contention that her safety has been threatened
- Assessments must conclude with a verification of an existing threat or that no threat can be verified



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Threat Assessment

Does your KSA facility use threat assessments? What do you do when an offender files a complaint about her safety?

It is imperative that the potential victim cooperates and provides specifics relating to the threat (who, what, where, when, why) if she is to be protected. If the offender fails to cooperate, the threat cannot be verified, and she will be ordered back to general population. If the threat is verified, the report will be routed up the chain of command to the warden, who must approve the report and findings. An internal reclassification would then be conducted and a transfer request submitted.

Facilitator Notes

1. DESCRIBE the threat assessment and relocation components for protective custody.
2. ASK participants whether they have threat assessment and relocation components in their system.
3. EXPLAIN that it is imperative that the potential victim cooperates and provides specifics relating to the threat (who, what, where, when, why). If the offender fails to cooperate, the threat cannot be verified, and she will be ordered back to general population. If the threat is verified, the report will be routed up the chain of command to the warden, who must approve the report and findings. An internal reclassification would then be conducted and a transfer request submitted.

Protective Custody: Facilitator Roleplay

Two facilitators will roleplay an interview of an offender requesting protective custody

ROLEPLAY



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Protective Custody: Facilitator Roleplay

Duration	60 minutes
Purpose	The purpose of this activity is for participants to observe how to interview an offender who has requested protective custody. The roleplay will also reinforce interviewing techniques, internal classification, and reclassification
Materials	<ul style="list-style-type: none"> • Interview scripts (provided by facilitators) • Interview Room set-up
Steps	<ol style="list-style-type: none"> 1. Observe the facilitator roleplay. 2. Take notes during the roleplay to better understand the interviewing process for an offender who requests protective custody. 3. Be prepared to ask questions of the facilitators regarding the roleplay

Facilitator Notes

1. **EXPLAIN** the facilitator roleplay to participants. One facilitator is the interviewer; the other is the interviewee (the offender who requested protective custody).
2. **REVIEW** the following to set up the roleplay.
3. **SET UP** interview room (as in prior classes).
4. **DISCUSS** the role play with the participants





Restrictive Housing Script

Two facilitators will roleplay a threat-based protective custody threat assessment.

Warden (Facilitator #1), Amir Azizi received an offender sentenced to 10 years for aggravated physical assault of a minor. The case was well known and created a large out-cry from the local community who felt the sentence was not harsh enough. The offender, Joshua Goglo, age 63, is in poor health and suffered a minor stroke during his processing in. He was taken to the hospital for treatment but has now returned to the facility to begin his sentence. Citizens are protesting in the streets in front of the facility, and the news media is covering the protests. The offenders inside are all in an uproar and threaten to take care of the culprit if they get their hands on him. Providing enough staff to supervise the offender while he was in the hospital was taxing to the facility because of the threats being made toward him. Now that he has been returned to the facility, a decision must be made on where he will be housed given the threats and his medical condition. The Warden, Amir Azizi, has called in the **Associate Warden (Facilitator #2)**, Abdulla Abbas, to discuss the situation and decide on where they will house the offender.

Warden: Abdulla, we have a serious situation on our hands. Offender Goglo has returned, and we need to place him in medical for the time being because of his medical condition. I'm concerned that we do not have a single-cell available to house him. He is not able to protect himself from attack, and we both know that there are many offenders threatening to harm him. Who can we move out of a medical cell that can go into an open area so that we can house Goglo separately?

Associate Warden: I'm not sure, let me contact the medical officers to see whether they can provide some assistance; after all, they will have to be the ones to decide who gets moved from a cell.

{After a few minutes, the Associate Warden comes back with an answer – medical can move a few offenders around to make a cell available for Goglo.}

Associate Warden: Medical has a bed. We need to assess how long we will keep the offender in medical housed in a single cell. We also need to assess the other offenders currently housed in the medical unit to ensure they will not have access to Goglo; we must keep him from harm.

Warden: We have another problem. The child Goglo assaulted is the nephew of one of the nurses who works in the medical unit. The family is extremely angry about what happened. I'm not sure what the nurse will do. Let's discuss perhaps relocating Goglo to a facility outside the Kingdom for his own safety.

Associate Warden: Great idea. This could be best for the local community. It would stop the protests, and our medical staff member would be spared the anguish. I'll see where we can send him. After completing a risk assessment, I'll notify you of who can take him, and we can begin transport measures to get him out of here and to a safer place.

END OF CONVERSATION

Restrictive Housing: Disciplinary Segregation

- Placement to hold an offender accountable for a violation of a major disciplinary rule
- The offender is released into the general population once the period of disciplinary segregation has been served



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Restrictive Housing: Disciplinary Segregation

An offender may be placed in disciplinary detention only by order of the discipline hearing officer following a hearing in which it was found that the offender violated a rule in the greatest, high, or moderate categories, or a repeated offense in the low moderate category.

Offenders housed in disciplinary segregation for an extended period in a cell have limited interaction with other offenders or prison staff. Offenders' access to other privileges such as recreation, programming, and visitation is restricted during time in disciplinary segregation.

Prison officials have the discretion to place offenders found guilty of violations of the rules of conduct in disciplinary segregation. It is expected that confinement in disciplinary segregation will deter offenders' subsequent rule breaking.

Facilitator Notes

1. EXPLAIN that disciplinary segregation does not mean solitary confinement. An offender often shares a cell with another offender in the same class of restrictive housing depending on housing capacity.
2. EXPLAIN that disciplinary segregation is a punishment that prison officials impose in response to offender violations of prison rules, such as assaulting another offender or disrespecting an officer.
3. Disciplinary segregation is distinct from other types of restrictive housing, but it is the most commonly used form of restrictive housing.



Restrictive Housing in the KSA

EXERCISE

- Work in your group
- All groups: Explain what restricted housing involves and how it is used in the KSA
- Groups 1 & 2: On a flipchart, list all the reasons for administrative detention
- Groups 3 & 4: On a flipchart, list all the reasons for disciplinary segregation



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Restrictive Housing in the KSA

Duration	30 minutes
Purpose	The purpose of this activity is for participants to discuss what restrictive housing involves and how it is used in the KSA. Through exercises like these, the KSA and U.S. can share best practices.
Materials	<ul style="list-style-type: none"> • Flipchart • Markers
Steps	<ol style="list-style-type: none"> 1. Work in your small group. 2. All groups will explain what restrictive housing involves and how it is used in the KSA. 3. Groups 1 & 2 will list the reasons for administrative detention in the KSA. 4. Groups 3 & 4 will list the reasons for putting offenders in disciplinary segregation in the KSA. 5. Be prepared to share your responses.

Facilitator Notes

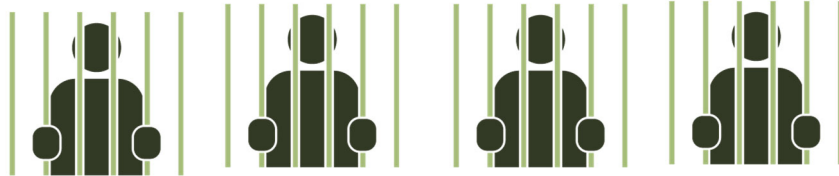
1. ASK participants to work in their small groups.
2. EXPLAIN the activity to participants.
3. REGROUP on the next slide.



Restrictive Housing in the KSA

REGROUP

- What restricted housing involves and how it is used in the KSA
- Reasons for administrative detention
- Reasons for disciplinary segregation



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Disciplinary Process in the KSA

Compare your responses to those of your colleagues. Are there differences in KSA and U.S. examples?

Facilitator Notes

1. REGROUP from the previous exercise.
2. ASK a spokesperson from one group to respond to the first question.
3. ASK other groups whether they have anything to add to the response.
4. ASK a spokesperson from Group 2 to respond to reasons for administrative detention in their prison.
5. ASK a spokesperson from Group 1 to add anything they may have that is different from Group 2's answers.
6. ASK a spokesperson from Group 3 to respond to reasons for disciplinary segregation in their prisons.
7. ASK a spokesperson from Group 4 to add anything they may have that is different from Group 3's answers.
8. DISCUSS the similarities and differences between the KSA responses and the procedures in the U.S.



Determining Sanctions Scenarios

EXERCISE

- Work in your group
- The facilitator will assign your group a scenario from the handout
- Prepare an incident report for the scenario
- Determine the appropriate sanctions



DISCIPLINARY
OFFENSES SCENARIOS

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Determining Sanctions

Duration	40 minutes
Purpose	The purpose of this activity is to have participants incorporate what they have learned in this module and apply it to a realistic scenario.
Materials	<ul style="list-style-type: none"> • Flipchart • Markers • Incident Reports
Steps	<ol style="list-style-type: none"> 1. Work in your small groups. 2. Each group will be assigned a scenario. 3. For the scenario, you will prepare incident reports and determine sanctions for the fictional—but realistic—offenders. 4. Be prepared to share responses and discuss with the large class.

Facilitator Notes

1. ASK participants to work in their small groups.
2. EXPLAIN activity to participants
3. HAVE participants create short incident reports on their scenario.
4. REGROUP on the next slide.

Worksheet: Scenario-Based Incidents





Disciplinary Offenses: Scenarios

Facilitator cut out each case and give one to each group.

Case 1.

Offender Giza Al Bishy, offender #3275, assigned to Cellblock 2 - Bunk 8, approached Nurse Milly Zarea on Tuesday, April 15, 2019, at 2 pm to receive her weekly dose of medication without her refill bottle in the medical clinic. Offender Giza claimed she lost the bottle and all the pills inside and needed a replacement. The nurse sent Officer Sara Alghamadi to search Offender Giza's bunk area to ensure Giza was being honest about her story. Officer Alghamadi went to Cell Block #2 and searched bunk 8, which is assigned to Offender Giza. Officer Alghamadi found Offender Giza's pill bottle with her medication inside along with other medication assigned to another offender under Offender Al Bishy's bunk and inside a small storage cabinet used to store personal items. Officer Alghamadi confiscated the pill bottle and all the medication and reported back to Nurse Milly Zarea. Nurse Milly Zarea took possession of the medication and stored it in a locked storage cabinet and recommended Offender Giza Al Bishy be placed into administrative segregation pending investigation. Is this an infraction? If so, fill out the corresponding offense report.

Case 2.

Offender Joan Abdalla, offender #4476, assigned to Cell Block 5 - Bunk #6, was yelling at Sgt. Cher Ahsan in the hallway on Wednesday, March 11, 2020, at noon. Offender Joan Abdalla was complaining that Officer Sara Alghamadi was not letting her make a phone call to her family. Sgt. Cher Ashan called Officer Alghamadi over to ask her about the issue when Offender Joan Abdalla stepped around Sgt. Ashan and slapped Officer Alghamadi in the face with her open right hand. Sgt. Ahsan tried to grab Offender Abdalla's hand to stop her from striking Officer Alghamadi a second time when Offender Abdalla kicked Sgt. Ashan in the right leg. Sgt. Ashan lost her balance falling to the ground and pulling Offender Abdalla with her. Officer Alghamadi was able to call for backup and bring the situation under control. Officers Azar and Azizi responded to assist managing the disturbance, which was brought under control at 12:08 pm. Neither Officer Alghamadi nor Sgt. Ahsan were seriously injured. Sgt. Ashan and Officer Alghamadi handcuffed Offender Abdalla and escorted her to administrative segregation pending investigation. Is this an infraction? If so, fill out the corresponding offense report.

**Case 3**

Offender Sally Bashir, offender #2788, assigned to Cell Block 2 – Bunk #4, was found using a cell phone by Officer Maria Amir at midnight on Friday March 3rd, 2020, in the West Wing bathroom to Cell Block 2. Offender Bashir tried to throw the cell phone down the toilet when asked what she was doing in the bathroom at that late hour. Officer Amir was able to retrieve the cell phone, identified as a black Samsung Galaxy 10. Officer Amir placed the phone in a clear evidence bag and labeled the bag with the date, time, and place the phone was confiscated. Officer Amir gave the evidence bag containing the cell phone to her supervisor, Sgt. Molly Galla. Sgt. Galla instructed Officer Amir to escort Offender Bashir to her office for questioning. Once Offender Bashir was in the sergeant's office, she was asked by Sgt. Galla about the phone, but Offender Bashir refused to tell Sgt. Galla how she obtained the cell phone. Sgt. Galla instructed Officer Amir to escort Offender Bashir to administrative segregation pending investigation. Is this an infraction? If so, fill out the corresponding offense report.

Case 4

Offender Birdy Hamidi, offender #28647, assigned to Cell Block 3 – Bunk 9, has been lying on her bunk for the past three days. Officers have noticed her behavior and thought she was ill. When Sgt. Cher Ashan spoke to Offender Hamidi on Monday, March 20, 2020, at 9:00 am, Offender Hamidi stated she has been on a hunger strike for the last three days because she did not get released at Eid. Is this an infraction? If so, fill out the corresponding offense report.

Case 5

Sgt. Cher Ashan received a radio call from Officer Maria Abdulla at 5:00 pm on Thursday March 27, 2020, that all the offenders in the West Wing have refused to leave their bunks for the lunch meal as they are protesting conditions of their confinement. When Officer Abdulla gave the offenders a direct order to get off their bunks and line up to be escorted to the dining room for the lunch meal, the offenders sat on the floor and linked arms, stating they will not be moved until conditions are made better for them. Is this an infraction? If so, fill out the corresponding offense report.

DISCIPLINARY OFFENSE REPORT

Name of Facility _____

Section I

Offender Name: _____ # _____ Date of Offense: _____ Time: _____

Place of Offense: _____ Housing Assignment: _____

Offense: _____

Description of Incident (to include any unusual offender behavior):

Staff or Offender Witness (if any) _____

Disposition of Physical Evidence (if any) _____

Immediate Action Taken (to include the use of force and prehearing detention) _____

Printed Name and Title of Reporting Employee _____

Signature of Reporting Employee _____

Name _____

Title _____ Date ____/____/____ Time _____

Section II

To be referred within 24 hours from the time the violation is reported.

____ Informal Resolution
____ Dismissed
____ Referred for investigation

Name _____

Title _____

Date ____/____/____ Time: _____

Section III Offender should initial appropriate response

____ I have received a copy of the written charge against me. I realize that I have a right to remain silent.

____ I plead guilty and waive my right to an appeal.

____ I plead not guilty.

____ I plead not guilty and waive my right to 24 hours' preparation time.

Offender's Signature _____ # _____ Date ____/____/____ Time _____

____ Offender chose not to sign for a copy of the Offense Report at this time.

Offense Report Delivered to above offender by (Print and Sign) _____

Date Delivered _____

Time Delivered _____

Determining Sanctions

- What was the prohibited act?
- What was the sanction?
- Do you agree with the sanctions imposed by the other group? Why or why not?
- Do you think your sanctions would conform to the Mandela Rules?

REGROUP

Rule 36: Discipline and order shall be maintained with no more restriction than is necessary to ensure safe custody, the secure operation of the prison and a well-ordered community life.



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Kingdom of Saudi Arabia Female Training Center

مركز تدريب وتطوير القدرات النسائي في المملكة العربية السعودية



Determining Sanctions

Regroups allow you the opportunity to acknowledge strengths and identify opportunities for improvement, brainstorm ideas, listen to the ideas of others, and examine even the smallest details that could lead to improvement.

Facilitator Notes

1. REGROUP and have each group present its response.
2. COMPARE the responses of the two groups that worked on the same scenario. Discuss any differences in sanctions imposed and help the groups reach a consensus.
3. DISCUSS Mandela Rule 36 as it pertains to sanctions.
4. Finally, DISTRIBUTE Handout: Prohibited Acts and Sanctions to discuss the levels of crimes and available sanctions in the U.S.

DURATION: 30 minutes

Worksheet: Prohibited Acts and Sanctions (in the U.S.)



Prohibited Acts and Available Sanctions

GREATEST SEVERITY LEVEL <u>PROHIBITED ACTS</u>	<u>AVAILABLE SANCTIONS FOR GREATEST SEVERITY LEVEL PROHIBITED ACTS</u>
<ul style="list-style-type: none"> • Killing • Assaulting any person or armed assault on the institution's secure perimeter (when serious physical injury has been attempted or accomplished) • Escape from escort; escape from any secure or non-secure institution, including community confinement; escape from unescorted community program or activity; escape from outside a secure institution • Setting a fire (when found to pose a threat to life or a threat of serious bodily harm or in furtherance of a prohibited act of Greatest severity) • Possession, manufacture, or introduction of a gun, firearm, weapon, sharpened instrument, knife, dangerous chemical, explosive, ammunition, or any instrument used as a weapon • Rioting • Encouraging others to riot • Taking hostage(s) • Possession, manufacture, introduction, or loss of a hazardous tool (tools most likely to be used in an escape or escape attempt or to serve as weapons capable of serious bodily harm; or those hazardous to institutional security or personal safety) • Refusing to provide a urine sample; refusing to breathe into a Breathalyzer; refusing to take part in other drug-abuse testing • Introduction or making of any narcotics, marijuana, drugs, alcohol, intoxicants, or related paraphernalia, not prescribed for the individual by the medical staff • Use of any narcotics, marijuana, drugs, alcohol, intoxicants, or related paraphernalia, not prescribed for the individual by the medical staff • Possession of any narcotics, marijuana, drugs, alcohol, intoxicants, or related paraphernalia, not prescribed for the individual by the medical staff • Sexual assault of any person, involving non-consensual touching by force or threat of force • Destroying and/or disposing of any item during a search or attempt to search 	<ul style="list-style-type: none"> • Recommend parole date rescission or retardation • Forfeit and/or withhold earned statutory good time or non-vested good conduct time (up to 100%) and/or terminate or disallow extra good time (an extra good time or good conduct time sanction may not be suspended) • Disallow ordinarily between 50% and 75% (27-41 days) of good conduct time credit available for year (a good conduct time sanction may not be suspended) • Disciplinary segregation (up to 12 months) • Make monetary restitution • Monetary fine • Loss of privileges (e.g., visiting, telephone, commissary, movies, recreation) • Change housing (quarters) • Remove from program and/or group activity • Loss of job • Impound offender's personal property • Confiscate contraband • Restrict to quarters • Extra duty



GREATEST SEVERITY LEVEL <u>PROHIBITED ACTS</u>	<u>AVAILABLE SANCTIONS</u> FOR GREATEST SEVERITY LEVEL PROHIBITED ACTS
<ul style="list-style-type: none">• Use of the mail for an illegal purpose or to commit or further a Greatest category prohibited act• Use of the telephone for an illegal purpose or to commit or further a Greatest category prohibited act• Interfering with a staff member in the performance of duties most like another Greatest severity prohibited act—used only when another charge of Greatest severity is not accurate; the offending conduct must be charged as “most like” one of the listed Greatest severity prohibited acts• Conduct that disrupts or interferes with the security or orderly running of the institution most like another Greatest severity prohibited act—to be used only when another charge of Greatest severity is not accurate; the offending conduct must be charged as “most like” one of the listed Greatest severity prohibited acts	



Prohibited Acts and Available Sanctions	
HIGH SEVERITY LEVEL PROHIBITED ACTS	AVAILABLE SANCTIONS FOR HIGH SEVERITY LEVEL PROHIBITED ACTS
<ul style="list-style-type: none"> • Escape from a work detail, non-secure institution, or other non-secure confinement with subsequent voluntary return to institutional custody within 4 hours • Fighting • Threatening another with bodily harm/other offense • Extortion; blackmail; protection; demanding or receiving money or anything of value in return for protection, to avoid bodily harm, or under threat of informing • Engaging in sexual acts • Making sexual proposals or threats to another • Wearing a disguise or a mask • Possession of unauthorized locking device, or lock pick, or tampering with or blocking lock device, or destroying, altering, interfering with, improperly using, or damaging security device, mechanism, or procedure • Adulteration of any food or drink • Possessing officers' or staffs' clothing • Engaging in or encouraging a group demonstration • Encouraging others to refuse to work or participate in a work stoppage • Giving or offering an official or staff member a bribe or anything of value • Giving money to or receiving money from any person to introduce contraband or any other illegal or prohibited purpose • Destroying, altering, or damaging government property, or property of another person, valued in excess of \$100, or destroying, altering, damaging life-safety devices regardless of financial value • Stealing; theft (including data obtained through the unauthorized use of a communications device) • Demonstrating, practicing, or using martial arts, boxing (except a punching bag), wrestling, or other forms of physical encounter, or military exercises or drill (except for drill authorized by staff) • Being in an unauthorized area with a person of the opposite sex without staff permission 	<ul style="list-style-type: none"> • Recommend parole date rescission or retardation • Forfeit and/or withhold earned statutory good time or non-vested good conduct time up to 50% or up to 60 days, whichever is less, and/or terminate or disallow extra good time (an extra good time or good conduct time sanction may not be suspended) • Disallow ordinarily between 25% and 50% (14-27 days) of good conduct time credit available for year (a good conduct time sanction may not be suspended) • Disciplinary segregation (up to 6 months) • Make monetary restitution • Monetary fine • Loss of privileges (e.g., visiting, telephone, commissary, movies, recreation) • Change housing (quarters) • Remove from program and/or group activity • Loss of job • Impound offenders' personal property • Confiscate contraband • Restrict to quarters • Extra duty



Prohibited Acts and Available Sanctions	
HIGH SEVERITY LEVEL PROHIBITED ACTS	AVAILABLE SANCTIONS FOR HIGH SEVERITY LEVEL PROHIBITED ACTS
<ul style="list-style-type: none"> • Assaulting any person (when less serious physical injury or contact has been attempted or accomplished by an offender) • Stalking another person through repeated behavior that harasses, alarms, or annoys the person, after having been previously warned to stop such conduct • Possession of stolen property • Refusing to participate in a required physical test or examination unrelated to testing for drug abuse (e.g., DNA, HIV, tuberculosis) • Tattooing or self-mutilation • Sexual assault of any person, involving non-consensual touching without force or threat of force • Use of the mail for abuses other than criminal activity that circumvent mail monitoring procedures • Use of the telephone for abuses other than illegal activity that circumvent the ability of staff to monitor frequency of telephone use, content of the call, or the number called; or to commit or further a High category prohibited act • Interfering with a staff member in the performance of duties most like another High severity prohibited act (when another charge of High severity is not accurate); the offending conduct must be charged as “most like” one of the listed High severity prohibited acts • Conduct that disrupts or interferes with the security or orderly running of the institution most like another High severity prohibited act (when another charge of High severity is not accurate); the offending conduct must be charged as “most like” one of the listed High severity prohibited acts 	



Prohibited Acts and Available Sanctions	
MODERATE SEVERITY LEVEL <u>PROHIBITED ACTS</u>	AVAILABLE <u>SANCTIONS</u> FOR MODERATE SEVERITY LEVEL <u>PROHIBITED ACTS</u>
<ul style="list-style-type: none"> • Indecent exposure • Misuse of authorized medication • Possession of money or currency, unless specifically authorized, or in excess of the amount authorized • Possession of anything not authorized for retention or receipt by the offender and not issued to him through regular channels • Refusing to work or to accept a program assignment • Refusing to obey an order of any staff member (may be categorized and charged in terms of greater severity, according to the nature of the order being disobeyed) • Violating a condition of a furlough • Violating a condition of a community program • Unexcused absence from work or any program assignment • Failing to perform work as instructed by the supervisor • Insolence toward a staff member • Lying or providing a false statement to a staff member • Counterfeiting, forging, or unauthorized reproduction of any document, article of identification, money, security, or official paper (may be categorized in terms of greater severity according to the nature of the item being reproduced) • Participating in an unauthorized meeting or gathering • Being in an unauthorized area without staff authorization 	<ul style="list-style-type: none"> • Recommend parole date rescission or retardation • Forfeit and/or withhold earned statutory good time or non-vested good conduct time up to 25% or up to 30 days, whichever is less, and/or terminate or disallow extra good time (an extra good time or good conduct time sanction may not be suspended) • Disallow ordinarily up to 25% (1-14 days) of good conduct time credit available for year (a good conduct time sanction may not be suspended) • Disciplinary segregation (up to 3 months) • Make monetary restitution • Monetary fine • Loss of privileges (e.g., visiting, telephone, commissary, movies, recreation) • Change housing (quarters) • Remove from program and/or group activity • Loss of job • Impound offender's personal property • Confiscate contraband • Restrict to quarters • Extra duty



- Failure to follow safety or sanitation regulations (including safety regulations, chemical instructions, tools, MSDS sheets, OSHA standards)
- Using equipment or machinery without staff authorization
- Using equipment or machinery contrary to instructions or posted safety standards
- Failing to stand count
- Interfering with the taking of count
- Gambling
- Preparing or conducting a gambling pool
- Possession of gambling paraphernalia
- Unauthorized contacts with the public
- Giving money or anything of value to, or accepting money or anything of value from, another offender or any other person without staff authorization
- Destroying, altering, or damaging government property, or the property of another person, having a value of \$100 or less
- Being unsanitary or untidy; failing to keep person or quarters in accordance with posted standards
- Possession, manufacture, introduction, or loss of a non-hazardous tool, equipment, supplies, or other non-hazardous contraband (tools not likely to be used in an escape or escape attempt or to serve as a weapon capable of doing serious bodily harm to others or not hazardous to institutional security or personal safety)
- Smoking where prohibited
- Fraudulent or deceptive completion of a skills test (e.g., cheating on a GED, or other educational or vocational skills test)
- Conducting a business; conducting or directing an investment transaction without staff authorization
- Communicating gang affiliation; participating in gang related activities; possession of paraphernalia indicating gang affiliation
- Circulating a petition
- Use of the mail for abuses other than criminal activity which do not circumvent mail monitoring; or use of the mail to commit or further a Moderate category prohibited act
- Use of the telephone for abuses other than illegal activity that do not circumvent the ability of staff to monitor frequency of telephone use, content of the call, or the



number called; or to commit or further a Moderate category prohibited act

- Interfering with a staff member in the performance of duties most like another Moderate severity prohibited act—when another charge of Moderate severity is not accurate; the offending conduct must be charged as “most like” one of the listed Moderate severity prohibited acts
- Conduct that disrupts or interferes with the security or orderly running of the institution most like another Moderate severity prohibited act; this charge is to be used only when another charge of Moderate severity is not accurate; the offending conduct must be charged as “most like” one of the listed Moderate severity prohibited acts



Prohibited Acts and Available Sanctions	
LOW SEVERITY LEVEL <u>PROHIBITED</u> ACTS	AVAILABLE SANCTIONS FOR LOW SEVERITY LEVEL PROHIBITED ACTS
<ul style="list-style-type: none"> • Malingering, feigning illness • Using abusive or obscene language • Conduct with a visitor in violation of institutional regulations • Unauthorized physical contact (e.g., kissing, embracing) • Interfering with a staff member in the performance of duties most like another Low severity prohibited act—when another charge of Low severity is not accurate; the offending conduct must be charged as “most like” one of the listed Low severity prohibited acts • Conduct that disrupts or interferes with the security or orderly running of the institution most like another Low severity prohibited act—when another charge of Low severity is not accurate; the offending conduct must be charged as “most like” one of the listed Low severity prohibited acts 	<ul style="list-style-type: none"> • Disallow ordinarily up to 12.5% (1-7 days) of good conduct time credit available for year (where offender found to have committed a second violation of the same prohibited act within 6 months); disallow ordinarily up to 25% (1-14 days) of good conduct time credit available for year (where offender found to have committed a third violation of the same prohibited act within 6 months) (a good conduct time sanction may not be suspended) • Make monetary restitution • Monetary fine • Loss of privileges (e.g., visiting, telephone, commissary, movies, recreation) • Change housing (quarters) • Remove from program and/or group activity • Loss of job • Impound offender's personal property • Confiscate contraband • Restrict to quarters • Extra duty

Summary

Topics

- ✓ Purpose of disciplinary system
- ✓ Disciplinary process
- ✓ Restrictive housing
- ✓ Protective custody
- ✓ Determining sanctions

Knowledge Check

In your group, answer the following:

- What is the most important point you learned today?
- What point remains least clear to you?



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Kingdom of Saudi Arabia Female Training Center

مركز تدريب وتطوير القدرات النسائي في المملكة العربية السعودية



Quiz

1. Review notes from previous session.
2. Work with your group to respond.

Facilitator Notes

1. CLOSE OUT the module using the topics that were covered.
2. ASK participants if they have any questions that need clarification or follow up.
3. ASK for volunteers to answer the two questions on the slide.
4. ENCOURAGE participants to engage in a conversation to test knowledge gained in this module.



Reclassification



Specialized Course: Reclassification

Purpose: The purpose of this module is to reinforce the goals of classification and to introduce the requirements of reclassification.

Activities:

- Your Thoughts on Reclassification (20 min.)
- Reclassifying Offenders (20 min.)

Estimated Time: 2 hours

Facilitator Notes

1. INTRODUCE yourself and any co-facilitators, if necessary.
2. PREPARE a quick energizer or debrief of the last module.
3. PROVIDE a brief overview of what will be covered.
4. ADVANCE to next slide to review module objectives.

Worksheets:

- Reclassification Worksheet
- Reclassification Cases

Learning Objectives



- Describe the goals of the classification process



- Determine actions that cause an offender to be reclassified assigned a higher/lower classification



- Explain reasons for periodic classification review



- Describe the criteria for reclassification

- Reclassify a simulated offender

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مركز تدريب وتطوير القدرات النسائي في المملكة العربية السعودية



Learning Objectives

These learning objectives are the essential steps to reaching the goal of the course—understanding the importance of a systematic offender classification process and each part of the process from the time the person is arrested until she is reclassified or released.

Facilitator Notes

1. EXPLAIN the objectives to the participants to set expectations for the module.

Note that strong learning and performance objectives are specific, observable, measurable. Each objective should build upon each other from basic understanding of a concept to applying it on the job to explaining it to others.

2. ASK whether participants have any questions or need clarification on the objectives.





Facilitator Notes

1. This slide shows a visual story of the Classification Process.
2. ANSWER any questions or concerns participants might have with the course so far.



Review: Classification Goals



For Facility Staff and Administration

- Ensure efficient use of facility resources (housing space, staff, offender programs) by avoiding over- or under-classification
- Classify accurately, efficiently, and speedily
- Achieve orderly operations and discipline using appropriate separation and housing
- Minimize offender-to-offender conflict, violence, and victimization
- Cost savings by housing offenders in the least restrictive security level commensurate with their security needs



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Review: Classification Goals for Facility Staff and Administration

Can you think of other goals?

Facilitator Notes

1. EXPLAIN that this is a review of the classification process.
2. EXPLAIN that participants should have a deeper understanding of these goals now that they have gone through each section: judgment & commitment orders, external classification, intake and diagnostics, internal classification, interviewing, STGs, disciplinary procedures, and housing.
3. ASK participants to reflect on how this learning may influence training and operations at their facility.



Review: Classification Goals



For Facility Staff and Administration (continued):

- Ensure documentation and legal protection for decisions or actions of facility staff (proof of validity of officer decisions and actions)
- Comply with legal requirements regarding classification procedures, due process, and legitimate offender's rights
- Ensure staff safety by correct classification of dangerous offenders
- Monitor changes in the offender population using classification data



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Classification Goals for Facility Staff and Administration (continued)

Can you think of other goals?

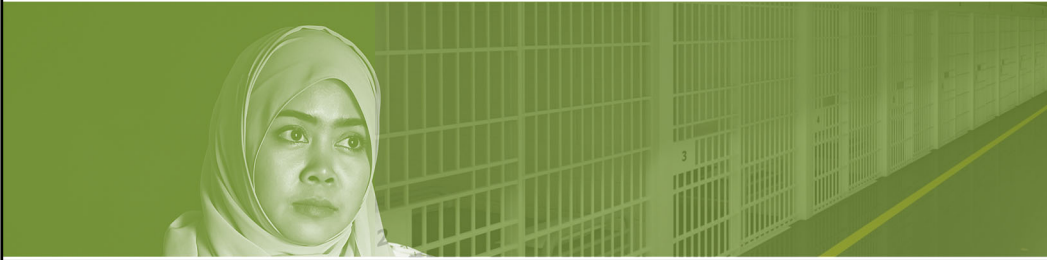
Facilitator Notes

CONTINUE to explain the goals for facility staff and administration.



Review: Classification Goals for Offenders

- Ensure protection and safety
- Ensure separation of violent offenders from potential victims
- Provide equity, fairness, and consistency
- Allow offender participation and access to information
- Provide access to appropriate treatments and identification of needs
- Ensure incarceration at the least restrictive custody level, where feasible



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Review: Classification Goals for Offenders

Can you think of other goals not mentioned here?

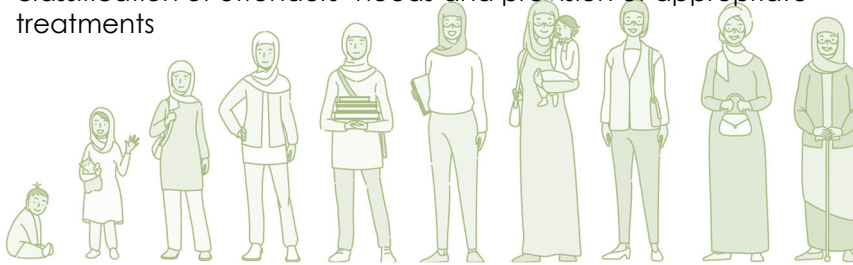
Facilitator Notes

1. EXPLAIN the goals for offenders.
2. EXPLAIN the goal of incarceration is rehabilitation. An effective classification process helps ensure offenders receive basic human rights and paves the way for re-entry into society.



Review: Classification Goals for KSA Citizens

- Ensure public safety using valid classification and security arrangements
- Ensure cost efficiency by incarcerating at least restrictive custody level
- Ensure educational, religious, programming, and family needs are met
- Enhance rehabilitation by minimizing isolation from the community and by reintegration consistent with public safety
- Enhance rehabilitation and reduce future crime by correct classification of offenders' needs and provision of appropriate treatments



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Review: Classification Goals for KSA Citizens

Can you think of other benefits to society?

Facilitator Notes

1. **EXPLAIN** that a valid classification process ultimately serves the people of KSA.
2. **DISCUSS** that offenders reintegrating back into society as reformed individuals help in the maintenance of public safety and reduction of crime.

Review: Classification Goals for GDP/MOI



- Provide for efficient use of limited facility resources
- Promote cost effectiveness
- Ensure identification of offender subpopulations (women and their children) for alternative management options
- Encourage offender involvement in various treatment programs (e.g., behavior modification)



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Review: Classification Goals for Management (GDP/MOI)

Can you think of other goals not stated here?

Facilitator Notes

EXPLAIN that effective classification helps with the management of the prison system and individual correction facilities, including cost effectiveness, efficient use of resources, safe rehabilitation, and better public relations.



What Is Reclassification?

- Review and reassessment are important features of any classification system that seeks to balance security and rehabilitation
- Classification reviews should be conducted:
 - Throughout an offender's term of custody and supervision
 - When a significant event has occurred that may have an impact on security level and placement



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What Is Reclassification?

Reclassification assesses determinants (behavior, adjustment, disciplinary offenses) that were not available at intake and during initial classification.

No later than 12 months after the initial classification process, a reassessment is undertaken to score the offender on factors such as the type and number of misconduct reports lodged against him or her, participation in a variety of programs offered by the prison system, and work performance.

During this internal **reclassification**, staff reviews the appropriateness of work assignments to maintain balance between offenders who may be vulnerable to being taken advantage of.

The reassessment has a benefit of allowing the offender to have a positive impact on her security level based on her own actions while in prison.

Facilitator Notes

1. EXPLAIN how reclassification places great emphasis on the offender's institutional behavior, adjustment, and disciplinary incidents while incarcerated.
2. PROVIDE an example of reclassification and walk participants through it.
3. EXPLAIN that no later than 12 months after the initial classification process, a reassessment is undertaken.
4. DESCRIBE the factors that are considered to score the reassessment—e.g., type and number of misconduct reports, participation in a variety of programs offered by the prison system, and work performance.
5. EXPLAIN the need to balance work assignments with vulnerabilities of being taken advantage of.
6. NOTE that staff also reviews the appropriateness of assignment based on level of direct supervision and access to staff and other offenders.



Activity: Your Thoughts on Reclassification

EXERCISE

Work with your small group to respond to the following:

- Groups 1 & 2: Write a profile of an offender whose classification should be changed to a higher level.
- Groups 3 & 4: Write a profile of an offender whose classification should be changed to a lower level.
- Be prepared to explain your response.



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Activity: Your Thoughts on Reclassification

Duration	20 minutes
Purpose	The purpose of this activity is to encourage participants to think about incidents that could cause a classification to change—whether higher or lower.
Materials	<ul style="list-style-type: none"> • Flipchart • Markers
Steps	<ol style="list-style-type: none"> 1. Work in small groups. 2. Determine the profile of an offender who will be reclassified to a higher or a lower classification level (according to your assignment). 3. Write the profile (include the incident causing the change) on a flipchart. 4. Be prepared to share with the class.

Facilitator Notes

1. ASK participants to break into groups of five.
2. EXPLAIN the activity to participants
3. ASSIST participants if they need help.
4. REGROUP on the next slide.



Your Thoughts on Reclassification

REGROUP

- Lower custody level, different programs/work
- Higher custody level, revoke privileges
- Move from disciplinary or administrative segregation
- Move from protective custody
- Prior relationship with current staff member or threatened staff safety



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مركز تدريب وتطوير القدرات النسائي في المملكة العربية السعودية



Your Thoughts on Reclassification

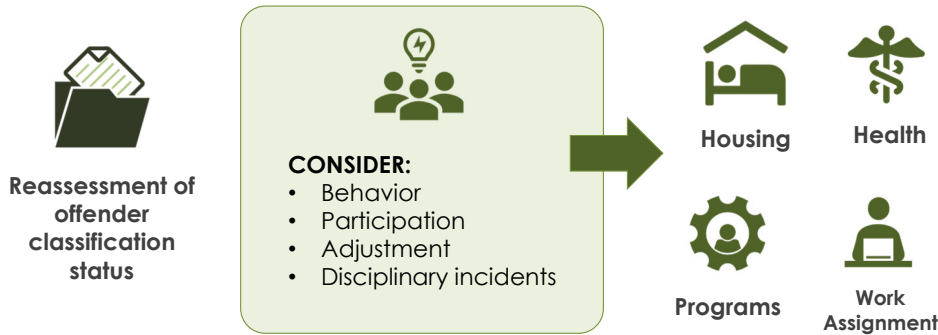
Regroups allow you the opportunity to acknowledge strengths and identify opportunities for improvement, brainstorm ideas, listen to the ideas of others, and examine even the smallest details that could lead to improvement.

Facilitator Notes

1. ASK participants to present their response.
2. PROVIDE feedback.
3. Possible answers for reclassification would be:
 - Remove offender from disciplinary segregation
 - Remove offender from protective custody
 - If person is getting close to be eligible for parole, may move to minimum custody facility (goes before classification committee to review the criteria)
 - Move to lower custody level based on behaviors—e.g., completing a program
 - Move to a higher custody level based on serious infractions

Reasons for Periodic Classification Review

- Provides structure for monitoring and tracking behavior
- Allows the offender to progress to lower (i.e., increased eligibility for programs, housing, special privileges) or higher security levels (i.e., restricted housing, programming)



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Periodic Classification Review

Reclassification involves consideration of:

- Percentage of time served
- Type and frequency of disciplinary reports incurred
- Involvement with drugs or alcohol in the institution
- Mental stability
- Staff assessment of level of personal responsibility
- Family or community ties
- Program participation
- Job and living area conduct

Facilitator Notes

1. EXPLAIN that classification reviews help monitor and track behavior over time.
2. WALK through the schematic to show how it relates to housing, programs, and work assignments.
3. EXPLAIN that reclassification involves consideration of such factors as:
 - Percentage of time served – The objective is to have an offender work her way down in security levels as she gets nearer to release to give her an opportunity to experience an environment with less restrictions—i.e., working toward being able to handle what she will experience upon release.
 - Program participation: no education – go to school; no work skills – get a job; anger/ violence issues – counseling classes; drug problem – drug treatment programs
 - Living skills - ability to live clean and collaboratively, do what staff ask of you
 - Family/community ties – working toward transitioning into the community



Reclassification: A Success Story

- Reclassification is used throughout prisons in the United States to incentivize good behavior
- Instead of being classified and housed based solely on the crime that sent them to prison and the length of their sentence, offenders are being reclassified under a system that rewards good behavior
- This change eases the chronic staffing shortage and cuts down on violence



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Reclassification: A Success Story

Instead of being classified and housed based solely on the crime that sent them to prison and the length of their sentence, offenders who behave can earn privileges.

Expectations are that by the end of the year, there will be 4,000 fewer offenders in maximum-security prisons in the state [of South Carolina, U.S.] after they are reclassified under a new system that rewards good behavior. Most offenders will move to medium- and minimum-security prisons, where they will have more freedom to move, take classes, and potentially work outside the perimeter as they prepare for a job after they are released.

Facilitator Notes

1. **EXPLAIN** that more and more prisons in the U.S. are changing their policy to one that enables reclassification based on behavior. This particular story is about the system in South Carolina.
2. **ADD** that offenders sentenced for particularly violent crimes and the severely mentally ill in specialized units are ineligible for the moves. Also, offenders who belong to a gang cannot be moved to minimum-security, which hopefully will encourage offenders to leave the groups responsible for much of the violence in prisons.

Reclassification Criteria

Consider the offender's:

- ✓ Severity of current offense
- ✓ Severity of convictions within the last 4 years
- ✓ History of escapes or attempts to escape
- ✓ History of prior institutional violence within the last 3 years
- ✓ Number of guilty disciplinary reports within the last 6 months
- ✓ Most severe guilty disciplinary within the last 9 months
- ✓ Age
- ✓ Time to be served
- ✓ Program participation



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Reclassification Criteria

Each criterion is measured on the offense severity scale—e.g., the first criterion is measured as follows:

- Low 1
- Moderate 3
- High 5
- Highest 7

Facilitator Notes

1. EXPLAIN that the above criteria are considered during reclassification.
2. EXPLAIN that reclassifications are based on points accrued.
3. ASK participants whether there are any other consideration unique to female offenders.



Reclassification Forms

Forms are designed so that the offender is assigned a level of supervision according to her criminal history and institutional behavior/adjustment

Forms may vary by facility



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Reclassification Forms

Reclassification forms are designed so an offender is assigned a level of supervision according to her criminal history and institutional behavior and adjustment.

Custody classifications are ordinarily scored every 12- month period. (Exceptions would be new incident reports, a new sentence, etc.)

Sections of the form include:

- Management variable: can be housed at an institution that does not match her security level for the reasons listed
- Public safety factors: relevant factual information that requires additional security measures (factors listed)
- Custody scoring: positive data on offender's institutional behavior and adjustment, which can positively affect the security level

Facilitator Notes

1. **DISTRIBUTE** two sample reclassification forms— federal form and state form. Review the scoring criteria.
2. **EXPLAIN** that the reclassification forms are designed so an offender is assigned a level of supervision according to her criminal history and institutional behavior/adjustment.
3. **REMIND** participants that custody classifications are ordinarily scored every 12- month period.
4. **EXPLAIN** each section of the form.
5. **NOTE** that federal sentence is determinate/non-eligible for parole.

CUSTODY CLASSIFICATION CDFRM

U.S. DEPARTMENT OF JUSTICE

FEDERAL BUREAU OF PRISONS

A. IDENTIFYING DATA			
1. INSTITUTION CODE	2. UNIT	3. DATE	
4. NAME		5. REGISTER NUMBER	
6. MANAGEMENT VARIABLES	A - NONE B - JUDICIAL RECOMMENDATION D - RELEASE RESIDENCE/PLANNING E - POPULATION MANAGEMENT	G - CIMS I - MED/PSYCH TREATMENT N - PROGRAM PARTICIPATION M - WORK CADRE	S - PSF WAIVED U - LONG-TERM DETAINEE V - GREATER SECURITY W - LESSER SECURITY
7. PUBLIC SAFETY FACTORS	A - NONE B - DISRUPTIVE GROUP (males only) C - GREATEST SEVERITY OFFENSE (males only) F - SEX OFFENDER G - THREAT TO GOVERNMENT OFFICIALS H - DEPORTABLE ALIEN	I - SENTENCE LENGTH (males only) K - VIOLENT BEHAVIOR (females only) L - SERIOUS ESCAPE M - PRISON DISTURBANCE N - JUVENILE VIOLENCE O - SERIOUS TELEPHONE ABUSE	
B. BASE SCORING			
1. TYPE OF DETAINEER	0 = NONE 1 = LOWEST/LOW MODERATE	3 = MODERATE 5 = HIGH	7 = GREATEST
2. SEVERITY OF CURRENT OFFENSE	0 = LOWEST 1 = LOW MODERATE	3 = MODERATE 5 = HIGH	7 = GREATEST
3. MONTHS TO RELEASE			
4. CRIMINAL HISTORY SCORE	0 = 0-1 2 = 2-3	4 = 4-6 6 = 7-9	8 = 10-12 10 = 13 +
5. HISTORY OF ESCAPE OR ATTEMPTS	NONE MINOR SERIOUS	0 0 0	>15 YEARS 1 3 (S)
6. History of Violence	NONE MINOR SERIOUS	0 0 0	>15 YEARS 1 2
7. VOLUNTARY SURRENDER STATUS	0 = NOT APPLICABLE (-3) = VOLUNTARY SURRENDER		
8. AGE	0 = 55 and over 2 = 36 through 54		
9. EDUCATION LEVEL	0 = Verified High School Degree/GED 1 = Enrolled in and making satisfactory progress in GED Program 2 = No verified High School Degree/GED & not participating in GED Program		
10. DRUG/ALCOHOL ABUSE	0 = Never/>5 Years 1 = <5 Years		
11. BASE SCORE (ADD \$ B. ITEMS 1 - 10)			
C. CUSTODY SCORING			
1. PERCENTAGE OF TIME SERVED	3 = 0-25% 4 = 26-75%		
2. PROGRAM PARTICIPATION	0 = POOR 1 = AVERAGE 2 = GOOD		
3. LIVING SKILLS	0 = POOR 1 = AVERAGE 2 = GOOD		
4. TYPE & NUMBER MOST RPT	0 = ANY GREAT (100) IN PAST 10 YRS 1 = > 1 HIGH (200) IN PAST 2 YRS 2 (A) = 1 HIGH (200) IN PAST 2 YRS 2 (B) = > 1 MOD (300) IN PAST YR		
5. FREQUENCY OF INCIDENT REPORTS (IN PAST YEAR)	0 = 6+ 1 = 2 THRU 5		
6. FAMILY/COMMUNITY TIES	3 = NONE OR MINIMAL 4 = AVERAGE OR GOOD		
7. CUSTODY TOTAL (ADD \$ C. ITEMS 1 - 6)			
8. CUSTODY VARIANCE (FROM APPROPRIATE TABLE ON BP-338, PAGE 2)			
9. SECURITY TOTAL (ADD OR SUBTRACT CUSTODY VARIANCE (\$ C.8) TO BASE SCORE (\$ B.11))			
10. SCORED SECURITY LEVEL		11. MANAGEMENT SECURITY LEVEL	

D. INSTITUTION ACTION		
1. TYPE OF REVIEW: (EXCEPTION OR REGULAR)		
2. CURRENT CUSTODY: (MAXIMUM, IN, OUT, COMMUNITY)		
3. NEW CUSTODY: (MAXIMUM, IN OUT, COMMUNITY)		
4. ACTION: (APPROVE, DISAPPROVE)		
5. DATE OF NEXT REVIEW		
6. CHAIRPERSON	<p style="text-align: center;">_____</p> <p style="text-align: center;">NAME AND SIGNATURE</p>	
7. EXCEPTION REVIEW	<p style="text-align: center;">_____</p> <p style="text-align: center;">NAME (WARDEN OR DESIGNEE) AND SIGNATURE</p>	
8. SUMMARY OF FINAL ACTION	SECURITY LEVEL	
	CUSTODY	

CUSTODY CHANGE RECOMMENDATIONS BASED ON CUSTODY VARIANCE	
IF CUSTODY VARIANCE IS IN THE (+) RANGE	CONSIDER A CUSTODY INCREASE
IF CUSTODY VARIANCE IS IN THE (-) RANGE	CONSIDER A CUSTODY DECREASE
IF CUSTODY VARIANCE IS ZERO	CONTINUE PRESENT CUSTODY

MALE CUSTODY VARIANCE TABLE	CUSTODY																	
	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	
S 0-11	+4	4	+3	+3	+2	+1	+1	+1	0	0	-1	-1	-2	-3	-4	-5	-5	
B C 12-15	+4	+4	+3	+3	+2	+1	+1	+1	0	0	0	-1	-2	-3	-4	-5	-5	
A O 16-23	+8	+6	+5	+4	+4	+3	+2	+1	+1	0	0	0	-1	-1	-2	-2	-3	
S R 24 +	+8	+6	+5	+4	+4	+3	+2	+1	+1	+1	0	0	0	-1	-1	-2	-3	
E E																		

FEMALE CUSTODY VARIANCE TABLE	CUSTODY																	
	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	
S 0-15	+15	+11	+7	+4	+3	+2	+1	+1	0	0	0	0	-2	-4	-8	-12	-16	
B C 16-30	+15	+11	+7	+4	+3	+2	+1	+1	0	0	0	0	0	-4	-8	-12	-16	
A O																		
S R 31 +	+15	+11	+7	+4	+3	+2	+1	+1	0	0	0	0	0	0	-1	-5	-8	
E E																		

Federal Custody Classification Form Explanation

Designed so an offender is assigned a level of supervision according to her criminal history and institutional behavior/adjustment.

Custody classifications are ordinarily scored every 12-month period. (Exceptions would be new incident reports, a new sentence, refusal to pay fines, etc.)

Section A. Identifying Data

1-5. Standard Data

6. Management Variable: An offender can be housed at an institution that does not match her security level for the reasons listed.

7. Public Safety Factors: Relevant factual information that requires additional security measures. The factors are listed.

Section B. Base Scoring

1-11. Self-explanatory

Section C. Custody Scoring

A Federal sentence is determinate, or not eligible for parole. This section scores positive data regarding the offender's institutional behavior and adjustment. This can positively affect the offender's security level.

Section D. Institution Action

The scoring results and recommendations.



RECLASSIFICATION CUSTODY SCORING WORKSHEET

I. IDENTIFICATION

 Offender Name (Last, First, MI)

 Offender ID#

 Reclassification Date

 Classification Officer

II. CUSTODY EVALUATION

1. SEVERITY OF CURRENT CHARGES/CONVICTIONS

(Rate the most serious charge including any pending charges)

	Score 1
Low (0 points)	
Moderate (1 points)	
High (4 points)	
Highest (6 points)	

2. SERIOUS OFFENSE HISTORY (Rate the most serious prior conviction)

	Score 2
None or Low (0 points)	
Moderate (1 points)	
High (3 points)	
Highest (6 points)	

3. ESCAPE HISTORY (Exclude current charges)

	Score 3
No escape or attempts (0 points)	
Walkaway or attempted escape from minimum security facility (2 points)	
Escape or attempted escape from medium or maximum facility (6)	

MAXIMUM CUSTODY SCORE – Add scores 1-3 *Score of 7 or higher: Assign to Maximum Custody	TOTAL

Note: Always complete the remaining items, but do not total score if the offender has already been assigned to maximum security.



4. NUMBER OF DISCIPLINARY CONVICTIONS (Since last classification)

	Score 4
None (0 points)	
One (2 points)	
Two (4 points)	
Three or more (6 points)	

5. MOST SERIOUS DISCIPLINARY CONVICTION (Rate during this period of confinement)

	Score 5
None (0 points)	
Low (1 point)	
Moderate (2 points)	
High (5 points)	
Highest (7 points)	

6. PRIOR FELONY CONVICTIONS (Exclude current charges)

	Score 6
None (0 points)	
One (1 point)	
Two or more (2 points)	

7. ALCOHOL/DRUG USE

	Score 7
No social, economic, or legal problems related to abuse (0 points)	
Abuse related to social, economic, or legal problems (1 point)	
Abuse resulting in assaultive behavior (2 points)	

COMPREHENSIVE CUSTODY SCORE (Add scores 1-7)	TOTAL



III SCALE SUMMARY AND RECOMMENDATIONS

CUSTODY LEVEL INDICATED BY SCALE			CUSTODY LEVEL
1 — Minimum	2 — Medium	3 — Maximum	
Custody Classification Scale			
7 or more points on items 1-3			Maximum
5 or fewer points on items 1-7			Minimum
5 or fewer points on items 1-7, with a detainer			Medium
6 to 10 points on items 1-7			Medium
11 or more points on items 1-7			Maximum

SPECIAL MANAGEMENT ISSUES (Check all that apply to offender)			
<input type="checkbox"/>	Protective custody	<input type="checkbox"/>	Known management problem
<input type="checkbox"/>	Psychological impairment	<input type="checkbox"/>	Suspected drug trafficker
<input type="checkbox"/>	Mental deficiency	<input type="checkbox"/>	Suicide risk
<input type="checkbox"/>	Escape threat	<input type="checkbox"/>	Medical problem
<input type="checkbox"/>	Serious violence threat	<input type="checkbox"/>	Physical impairment
<input type="checkbox"/>	Known gang/ terrorist affiliation	<input type="checkbox"/>	Other (specify)
<input type="checkbox"/>	Substance abuse problem	<input type="checkbox"/>	

OTHER CONSIDERATIONS (Circle what applies to the offender)				
Percentage of Time Served	0-25%	26-75%	76-90%	91+%
Program Participation	Poor	Average	Good	
Living Skills	Poor	Average	Good	
Family/Community Ties	None or Minimal		Average or Good	

OVERRIDE OF SCALE CUSTODY LEVEL IS RECOMMENDED			
<input type="checkbox"/>	1 – YES	<input type="checkbox"/>	2 – NO
If yes, give rationale (required)			

RECOMMENDED CUSTODY LEVEL					
<input type="checkbox"/>	1 – MINIMUM	<input type="checkbox"/>	2 – MEDIUM	<input type="checkbox"/>	3 – MAXIMUM

Specialist Signature _____ Date _____

Supervisor Signature _____ Date _____

Reclassifying Offenders

EXERCISE

- Separate in groups of five
- Review the offender profile
- Use the reclassification worksheet and reclassify the offender



**CUSTODY
RECLASSIFICATION
WORKSHEET & CASES**

16 Kingdom of Saudi Arabia Female Training Center

مركز تدريب وتطوير القدرات النسائي في المملكة العربية السعودية



Activity: Reclassifying Offenders	
Duration	20 minutes
Purpose	The purpose of this activity is to encourage participants to use a reclassification worksheet to become proficient with the consistent and systematic process of reclassification.
Materials	<ul style="list-style-type: none"> • Pen • Worksheet • Reclassification Cases
Steps	<ol style="list-style-type: none"> 1. Work in small groups. 2. Review the offender's profile. 3. Use the Custody Reclassification Worksheet to score the offender. 4. Reclassify the offender based on the score. 5. Be prepared to share with the class.

Facilitator Notes

1. ASK participants to work in their small groups.
2. DISTRIBUTE the Reclassification Worksheet.
3. DISTRIBUTE Reclassification Cases--a different offender's profile for each group.
4. EXPLAIN the activity.
5. REGROUP on the next slide.





Offender Reclassification Worksheet

A	Identification	Date:
	Offender Name (Last, First, Middle):	
	Offender DOC#:	Reception Date:
	Race/Sex:	Date of Birth:

B	Custody Evaluation	Score
1	Severity of Current Conviction	
	Rate most serious current charge/conviction, including detainers or warrants. <input type="radio"/> Low = 0 points <input type="radio"/> High = 5 points <input type="radio"/> Moderate = 2 points <input type="radio"/> Highest = 6 points	
2	Seriousness Offense History (Excluding Current Offense)	
	<input type="radio"/> None or Low (past 5 years) = 0 points <input type="radio"/> High (past 10 years) = 4 points <input type="radio"/> Moderate (past 5 years) = 1 point <input type="radio"/> Highest (past 10 years) = 6 points	
3	Escape History	
	<input type="checkbox"/> No escapes or attempts = 0 points <input type="checkbox"/> Absconding probation/parole, AWOL, bail jumping within past 1 year = 1 point <input type="checkbox"/> Escape from community supervision, juvenile AWOL, within past 2 years = 1 point <input type="checkbox"/> Escape from community corrections within past 3 years = 2 points <input type="checkbox"/> Escape or attempted escape from minimum security, juvenile detention center/institution within past 5 years = 6 points <input type="checkbox"/> Two or more escapes or attempted escapes from minimum security, community corrections, or community supervision, within past 10 years = 6 points <input type="checkbox"/> Escape or attempted escape from medium or maximum security within past 10 years = 7 points	
Maximum Custody Score (Add items 1, 2, and 3— Score 7 or higher, assign to maximum custody)		Subtotal

B Custody Evaluation	Score
Complete remaining items, but do not total score if offender has been assigned to maximum custody.	
4 Prior Felony Convictions (Past 10 years, excluding current charges)	
Rate most serious current charge/conviction, including detainers or warrants. <ul style="list-style-type: none"> <input type="radio"/> 0 – 1 = 0 points <input type="radio"/> 2 – 3 = 2 points <input type="radio"/> 4+ = 4 points 	
5 Disciplinary History	
<ul style="list-style-type: none"> <input type="checkbox"/> None = 0 points <input type="checkbox"/> Three or more Class B disciplinary convictions, past 1 year = 1 point <input type="checkbox"/> One or more Class A disciplinary convictions, past 2 years = 2 points <input type="checkbox"/> One or more Class X disciplinary convictions, past 2 years = 2 points 	
6 Alcohol/Drug Abuse (Within past 5 years)	
<ul style="list-style-type: none"> <input type="checkbox"/> No social, economic, or legal problems related to abuse = 0 points <input type="checkbox"/> Abuse resulting in social, economic, or legal problems = 1 point <input type="checkbox"/> Abuse resulting in assaultive behavior = 2 points 	
7 Current Age (Deduct indicated points)	
<ul style="list-style-type: none"> <input type="radio"/> Age 39 or younger = 0 points <input type="radio"/> Age 40 or older = -1 point 	
Comprehensive Custody Score (Add items 1 – 7)	Total Score

C Scale Summary and Recommendations	
1 Severity of Current Conviction	
Rate most serious current charge/conviction, including detainers or warrants. <ul style="list-style-type: none"> <input type="radio"/> 3 or fewer points on items 1 – 7 = Minimum <input type="radio"/> 4 to 6 points on items 1 – 7 = Medium <input type="radio"/> 7 or more points on items 1 - 7 = Maximum 	
2 Mandatory Overrides (No lower than medium security)	
<ul style="list-style-type: none"> <input type="checkbox"/> Murder I or II <input type="checkbox"/> Life without parole <input type="checkbox"/> Time left to serve (highest crime category) 	

C Scale Summary and Recommendations	
3 Discretionary Overrides for Higher Security Level	
<input type="checkbox"/> Circumstances of the offense <input type="checkbox"/> History of violence <input type="checkbox"/> Gang affiliation <input type="checkbox"/> Other (specify)	<input type="checkbox"/> Management problem <input type="checkbox"/> Escapes <input type="checkbox"/> Felony detainer
4 Discretionary Overrides for Lower Security Level	
<input type="checkbox"/> Circumstances of the offense <input type="checkbox"/> Time left to serve	<input type="checkbox"/> Prior outstanding conduct <input type="checkbox"/> Other (specify)
5 Offender Program Needs	
<input type="checkbox"/> Physical health <input type="checkbox"/> Reintegration <input type="checkbox"/> Substance abuse <input type="checkbox"/> Other (specify)	<input type="checkbox"/> Emotional stability <input type="checkbox"/> Academic skills <input type="checkbox"/> Vocational
6 Offender Program Needs	
<input type="checkbox"/> Minimum <input type="checkbox"/> Medium <input type="checkbox"/> Maximum	
7 Case manager's signature	Date
Offender's signature	Date
Routine: Classification chair	Date

D Review Authority	
Security level:	<input type="radio"/> Concur <input type="radio"/> Do Not Concur
Changed to:	<input type="radio"/> Maximum <input type="radio"/> Medium <input type="radio"/> Minimum
Reason for change:	
Routine	Case manager supervisor:
Non-routine	Facility classification coordinator:
If security level changed	Offender signature:
	Code:



Reclassification Cases

Facilitator: Provide one case per group/table.

Case 1. Velma Ann Washington, Offender #37652

Charge: Misdemeanor Drug Violation/Probation violation

Velma has been in the facility for 6 months and has served 7 months (1-month jail credit) on a 2-year sentence for a misdemeanor drug violation/probation violation. This conviction is Velma's 2nd incarceration for a misdemeanor drug violation. Velma violated probation with the current charge. She is up for a 6-month review; she has attended mandatory alcohol and drug treatment classes without complaint and has obeyed the rules. Her unit officers say she is no problem, keeps to herself, and is looking forward to going home. She is hoping to be considered for an Eid release.

Case 2: Janet Brice Walters, #25643

Charge: Robbery with a Dangerous Weapon

Janet has been in the facility for over a year. She is serving a 20-year sentence for armed robbery and is getting a second file check. The first was an emergency re-classification as she violently assaulted another offender and had to be placed in segregation for 30 days. She has had 7 disciplinary tickets for fighting and being insolent to staff for which she has been given a higher security score. Her family has stopped coming to see her as she was verbally abusive to them when they did visit. She is one of the more threatening offenders in her unit, and staff were told to be vigilant when she is released from segregation. She has yet to complete any of her programming. Janet was charged for walking away (escape) from a minimum camp in 2008.



Case 3: Ray Charlene Jones #12786

Charge: Moral Crimes

Ray has been in the facility for two years and is serving a 5-year sentence for moral crimes. Her last file check was six months ago, and she has been behaving well. She has complained the last several months of heart problems. The medical staff have seen her many times; their consensus is that she will die in the next six months from heart failure. Her family has come forward to ask the Ministry of Interior to let her be released to die at home.

Case 4: Roberta (Robby) Lavell Highland #53287

Charge: Running Away from Servitude

Robby has been in the facility for 6 months. She is serving a 5-year sentence for running away from servitude and is due a review. Kenya and the Kingdom of Saudi Arabia have been meeting to have her deported back to Kenya where she has a warrant for her arrest. She has had visits from a United Nations Agency that is asking KSA to not deport her; they fear she will be tortured if returned to Kenya.

Case 5: Jonette East Lorraine #12659

Charge: Alcohol Possession

Jonette has been at the facility for six months and is serving a 2-year sentence for possession of alcohol. Jonette is due for a first review and has been in protective custody twice for attempting suicide by cutting herself. She has been tested for mental illness. The alcohol she consumed before being imprisoned was determined to have affected her mental state. She is showing signs of early dementia. She has not followed her programming recommendations and is withdrawn from other offenders and staff.

Reclassifying Offenders Regroup

REGROUP

- Discuss how each group reclassified the offenders.
- Do you agree or disagree with the reclassification?
- Do you think this is a good process for your KSA facility?



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Reclassifying Offenders Regroup

Regroups allow you the opportunity to acknowledge strengths and identify opportunities for improvement, brainstorm ideas, listen to the ideas of others, and examine even the smallest details that could lead to improvement.

Facilitator Notes

1. REGROUP from the previous activity.
2. CALL upon a spokesperson from each group and have her explain why and how her group reclassified the offenders.
3. ASK whether other groups agree or disagree with the decisions.
4. DISCUSS whether participants use reclassification in their facility. If not, do they think it is a good process to use?
5. FINALIZE this module.
6. ADVANCE to the next slide: Post-Test and Preparing for Teach Backs/Presentations.



Summary

Topics

- ✓ Goals of classification
- ✓ Purpose of reclassification
- ✓ Periodic reclassification review
- ✓ Reclassification criteria

Knowledge Check

In your group, answer the following:

- What is the most important point you learned today?
- What point remains least clear to you?



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Knowledge Check

Work with your group and the facilitator to answer these questions. Make sure to take notes.

Facilitator Notes

1. CLOSE OUT the module using the topics that were covered.
2. ASK participants if they have any questions that need clarification or follow up.
3. ASK for volunteers to answer the two questions on the slide.
4. ENCOURAGE participants to engage in a conversation to test knowledge gained in this module.

Course Evaluation

تقييم الدورة

END-OF-WEEK EVALUATION

ANONYMOUS FEEDBACK

Please take a moment to complete an evaluation of this training program. Your input is important and will help us improve future programs. Thank you!



Course: _____ Date: _____

1	I understood the training content and concepts.	<i>Strongly disagree</i>	<i>Disagree</i>	<i>Neither</i>	<i>Agree</i>	<i>Strongly agree</i>
2	The training was engaging and relevant to me.	<i>Strongly disagree</i>	<i>Disagree</i>	<i>Neither</i>	<i>Agree</i>	<i>Strongly agree</i>
3	I will be able to apply what I learned at my job.	<i>Strongly disagree</i>	<i>Disagree</i>	<i>Neither</i>	<i>Agree</i>	<i>Strongly agree</i>
4	What topic did you find particularly valuable this week?					
5	If you could change or improve one topic, what would it be?					
6	The pace of the training was (circle one)	<i>Too Slow</i>	<i>About Right</i>	<i>Too Fast</i>		
Please provide any additional comments or suggestions.						

Thank You!

COURSE EVALUATION

ANONYMOUS FEEDBACK

Please take a moment to complete an evaluation of this training program. Your input is important and will help us improve future programs. Thank you!



Course: *Offender Classification & Intake*

Date: _____

1 Rate each aspect of the training: <i>(circle rating)</i>	Strongly disagree	Disagree	Neither	Agree	Strongly agree
a. I understood the training content and concepts.	1	2	3	4	5
b. The training was engaging and relevant to me.	1	2	3	4	5
c. I will be able to apply what I learned at my job.	1	2	3	4	5
d. The training program met my expectations.	1	2	3	4	5

2 What did you find particularly valuable?

3 What did you wish to receive but did not?

6 Rate the instructional methods used: <i>(circle rating)</i>	Poor	Not bad	Average	Good	Excellent
a. Presentations (lecture, demonstration, slides)	1	2	3	4	5
b. Discussions and interactions (exercises, activities)	1	2	3	4	5
c. Teach-backs (instructional practice, coaching)	1	2	3	4	5
d. Resources (training tools, guides, job aids, media)	1	2	3	4	5

7 What would you change or improve?

8 What did you enjoy most?



COURSE EVALUATION

9 Rate your experience with the instructors: <i>(circle rating)</i>	Strongly disagree	Disagree	Neither	Agree	Strongly agree
a. It was easy to understand the instructors.	1	2	3	4	5
b. The instructors encouraged my participation.	1	2	3	4	5
c. The instructors answered most of my questions.	1	2	3	4	5
d. The instructors contributed to my development.	1	2	3	4	5

10 Rate the language/translation services: <i>(circle rating)</i>	Poor	Not bad	Average	Good	Excellent
a. Translation of written materials (slides, forms)	1	2	3	4	5
b. Interpretation of instructors (lecture, directions)	1	2	3	4	5
c. Interpretation of interactions (discussions, activities)	1	2	3	4	5
d. Availability and access to interpreters	1	2	3	4	5

Please circle the rating that best describes your overall experience.

1	2	3	4	5
Poor	Acceptable	Average	Good	Excellent

Additional Notes

Please provide any additional comments or suggestions.

Thank You and Congratulations!