

# Basic Offender Classification

## تصنيف الجناة

### Facilitator Guide



مركز تدريب وتطوير القدرات النسائي في  
المملكة العربية السعودية

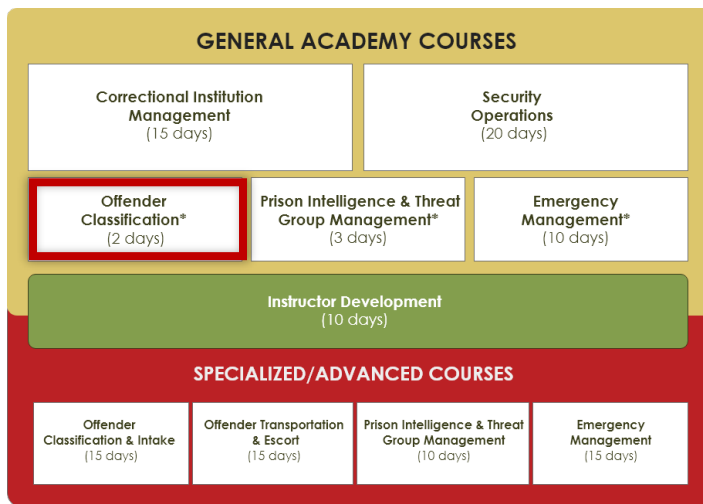
Kingdom of Saudi Arabia  
Female Training Center

## OFFENDER CLASSIFICATION & INTAKE

The purpose of the foundational course is to provide background information about the importance of a classification system, best practices for classifying offenders, creating, maintaining, and securing offender records, and planning for offenders' re-entry into society. This course is a prerequisite to the advanced course: Offender Classification and Intake.

## COURSE DETAILS

This 2-day course is part of the General Academy curriculum.



Offender Classification	
<b>Level</b>	Foundations
<b>Prerequisite</b>	None
<b>Duration</b>	2 days
<b>Location</b>	Riyadh, KSA
<b>Class size</b>	25 participants
<b>Topics</b>	<ul style="list-style-type: none"> <li>• Synopsis: UNODC Classification of Prisoners</li> <li>• Basic Classification Principles</li> <li>• Offender Records and Privacy</li> </ul>

## 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 OVERVIEW



## COURSE MODULES & OBJECTIVES

MODULE	LEARNING OBJECTIVES	DAYS
<b>1 Basic Classification Principles</b>	<ul style="list-style-type: none"> <li>Define offender classification</li> <li>Name 5 reasons for individualized classification</li> <li>Name 4 considerations for risk assessments</li> <li>Explain the point value system for classifying</li> <li>Explain the difference between internal and external classification</li> <li>Explain the override process</li> <li>Given multiple scenarios, reclassify simulated offenders</li> </ul>	1.5
<b>2 Offender Records and Privacy</b>	<ul style="list-style-type: none"> <li>Explain why keeping accurate records helps guard against human rights violations</li> <li>Explain why keeping accurate records is a prerequisite for effective prison management</li> <li>Determine types of information that should be recorded upon admission, on-going detention, and release</li> <li>Name the types of records that should be kept on offenders</li> <li>Describe the security considerations for offender records</li> </ul>	.5

## COURSE AGENDA

### Week 1

SUNDAY	MONDAY	TUESDAY	WEDNESDAY	THURSDAY
DAY 1	DAY 2	DAY 3	DAY 4	DAY 5
Pre-Knowledge Survey <b>Classification Principles</b>	<i>Continued</i>			
<b>MORNING BREAK (30 min)</b>				
<i>Continued</i>	<b>Offender Records &amp; Privacy</b>			
<b>TEA BREAK (15 min)</b>				
<i>Continued</i>	Post-Knowledge Survey and Evaluations			

# COURSE OVERVIEW



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

INTERNATIONAL STANDARDS	
Relevant Resource	Organization/Short Name
United Nations Office of Drugs and Crime (UNODC) Handbook on the Classification of Prisoners	<a href="https://www.unodc.org">https://www.unodc.org</a> <a href="https://www.unodc.org/documents/dohadeclaration/Prisons/HandBookPrisonerClassification/20-01921_Classification_of_Prisoners_Ebook.pdf">https://www.unodc.org/documents/dohadeclaration/Prisons/HandBookPrisonerClassification/20-01921_Classification_of_Prisoners_Ebook.pdf</a>
The United Nations Standard Minimum Rules for the Treatment of Prisoners, This course focused on the following relevant Mandela Rules: Rule 6; Rule 26; Rule 92.3	<a href="#">The Mandela Rules: Arabic</a>
The United Nations Rules for the Treatment of Women Prisoners and Non-custodial Measures for Women Offenders	<a href="#">The Bangkok Rules: Arabic</a>
UNODC's Handbook on Dynamic Security and Prison Intelligence	<a href="#">UNODC: Dynamic Security and Prison Intelligence</a>
The United Nations Rules for the Treatment of Women Prisoners	<a href="#">Arabic</a>

U.S. RESOURCES	
Relevant Resource	Organization
Subject matter expert and research material	U.S. Department of Justice (USDOJ), Federal Bureau of Prisons

# COURSE OVERVIEW



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

National Institute of Corrections  
<https://nicic.gov/prison-classification>

## KEY TERMS & CONCEPTS

TERM	DEFINITION
<b>Classification</b>	<ul style="list-style-type: none"><li>▪ The ongoing process of collecting and evaluating information about each offender to determine risk and need for appropriate confinement, treatment, programs, and employment assignment</li></ul>
<b>External Classification</b>	<ul style="list-style-type: none"><li>▪ Classification that focuses on the offender's security level and assignment to a facility</li></ul>
<b>Internal Classification</b>	<ul style="list-style-type: none"><li>▪ Classification that focuses on facility-level decisions—where and with whom the offender will be housed within the prison facility, the types of programs and interventions to which she will be assigned, and the types of work assignments most appropriate</li></ul>
<b>Overrides</b>	<ul style="list-style-type: none"><li>▪ Authorized deviations taken by the classification staff on the offender's scored custody level</li></ul>
<b>Discretionary Overrides</b>	<ul style="list-style-type: none"><li>▪ Overrides taken by trained classification staff</li></ul>
<b>Nondiscretionary Overrides</b>	<ul style="list-style-type: none"><li>▪ Overrides that reflect an agency's policy</li></ul>
<b>Intake</b>	<ul style="list-style-type: none"><li>▪ A standard, safe process for receiving the offender into the correctional system that ensures fairness, consistency, proportionality, opportunity</li></ul>
<b>Validation</b>	<ul style="list-style-type: none"><li>▪ A point system used to identify and prove participation in a security threat group</li></ul>
<b>Risk Assessments</b>	<ul style="list-style-type: none"><li>▪ Assessments that focus on factors related to the safety and security of prisoners and staff in a prison setting, the risk of escape, and the safety of the public in the event of an escape</li></ul>
<b>Needs Assessments</b>	<ul style="list-style-type: none"><li>▪ Assessments that focus on criminogenic need areas, specifically those identified as being related to criminal behavior and changeable with intervention</li></ul>

## Background Reading

معلومات خلفية دراسة تصنيف الجاني



## Offender Classification Background Information

*Note: The preferred U.S. term for an incarcerated person is offender; however, a number of the documents referenced below use the term prisoner.*

International experts agree that a well-designed and managed classification process is a cornerstone of an effective prison system, fundamental to the protection of human rights, the ability to individualize case and sentence planning and the efficient use of limited correctional resources.

Sources used for developing this course include:

- The United Nations Office of Drug and Crimes (UNODC) Handbook on the Classification of Prisoners  
[https://www.unodc.org/documents/dohadeclaration/Prisons/HandBookPrisonerClassification/20-01921\\_Classification\\_of\\_Prisoners\\_Ebook.pdf](https://www.unodc.org/documents/dohadeclaration/Prisons/HandBookPrisonerClassification/20-01921_Classification_of_Prisoners_Ebook.pdf)
- UNODC's Handbook on Dynamic Security and Prison Intelligence  
[https://www.unodc.org/documents/justice-and-prison-reform/UNODC\\_Handbook\\_on\\_Dynamic\\_Security\\_and\\_Prison\\_Intelligence.pdf](https://www.unodc.org/documents/justice-and-prison-reform/UNODC_Handbook_on_Dynamic_Security_and_Prison_Intelligence.pdf)
- A series of manuals/documents from the United States Department of Justice, Federal Bureau of Prisons' National Institute of Corrections

A preeminent source of information is *The United Nations Office of Drug and Crimes (UNODC) Handbook on the Classification of Prisoners*<sup>1</sup>. This 106-page document provides guidelines to assist national prison or corrections administrations with the development of policies and protocols for the implementation and operation of an effective system of offender classification that meets international standards and is based on accepted research evidence.

The handbook is designed to help these administrations put into practice the guidelines provided by international standards and norms related to prison management—including:

- The United Nations Standard Minimum Rules for the Treatment of Prisoners (the Nelson Mandela Rules)
  - عربي : [https://www.un.org/ar/events/mandeladay/mandela\\_rules.shtml](https://www.un.org/ar/events/mandeladay/mandela_rules.shtml)
- The United Nations Rules for the Treatment of Women Prisoners
  - عربي : <https://digitallibrary.un.org/record/691193?ln=ar>
- Non-custodial Measures for Women Offenders (the Bangkok Rules)
  - عربي : <https://cdn.penalreform.org/wp-content/uploads/2013/07/PRI-Bangkok-rules-A5-booklet-ARABIC-WEB.pdf>
- United Nations Rules for the Protection of Juveniles Deprived of their Liberty

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<sup>1</sup> The *Handbook on Classification of Prisoners* was written by an expert consultant on penal reform and criminal justice issues with contributing authors from multiple United Nations entities, international organizations, and non-governmental organizations. The book was reviewed by national experts from Algeria, Burkina Faso, Ghana, India, Japan, Kazakhstan, Kenya, Morocco, Qatar, Germany, Sweden, and Uganda, among other countries.



- [https://www.unodc.org/pdf/criminal\\_justice/United Nations Rules for the Protection of Juveniles Deprived of their Liberty.pdf](https://www.unodc.org/pdf/criminal_justice/United_Nations_Rules_for_the_Protection_of_Juveniles_Deprived_of_their_Liberty.pdf)

The handbook is also designed to complement other relevant guidance material developed by UNODC and other international and regional organizations. It offers a review, grounded in research evidence, international guidelines, and the experience of numerous countries that have implemented the classification systems.

Below is a synopsis of the **UNODC Handbook on the Classification of Prisoners**, which can be accessed [online](#). (Currently only available in English)

### **Chapter I. Importance of prisoner classification**

Classification has a direct impact on many aspects of prison management, including the:

- Safety and security of the prisoners, prison staff, and public
- Humane custody of prisoners
- Ability to individualize case and sentence planning

It also increases the cost-effectiveness of operating a prison system by minimizing over-classification and preventing resources from being expended on high-security prisons, restrictive conditions, and other measures that may not be necessary.

### **Chapter II. Key issues for the classification of prisoners**

The legislative framework of a country plays a determining role in decision-making regarding the security classification of prisoners. In some jurisdictions, the judges are responsible for deciding on the security regime for a prisoner on the basis of the crime they committed; in others, the prison service is responsible for that decision. The recommended practice is for prison authorities to determine the security level of a prisoner after an individualized assessment of risks and needs.

The successful development, implementation, and management of a prisoner classification system are dependent on several infrastructural requirements, including those related to the:

- Physical infrastructure of prisons
- Policies and guidelines
- Staff resources
- Established system of documentation and record-keeping

### **Chapter III. Research on approaches to the assessment of prisoners**

Approaches to the assessment of prisoners to assist in classification decisions have evolved over time. Current methods typically use research-based actuarial or structured professional judgment approaches to inform the classification of prisoners and case management from the beginning of a sentence to its completion, with regular reassessments and identification of key individual factors to allow for the appropriate interventions.

The evolution of approaches to prisoner classification has been strongly influenced by the risk-need-responsivity model of prisoner assessment and rehabilitation (developed by Andrews, Bonta, and Hoge in 1990).



## **Chapter IV. Overall principles and components of prisoner classification systems**

A prisoner classification system should include the following sequence and elements:

- *Step 1: Assessment of immediate needs and provision of information to the prisoner.* This step should occur as soon as possible upon admission (within 24 hours) and before any cell or accommodation assignment. The purpose is to identify any immediate concerns related to safety and security as well as physical and mental health-care needs.
- *Step 2: Collection of information.* This step refers to the gathering of reliable information on the prisoner's offense, criminal history, and personal background to conduct a more complete assessment of risks and needs to determine classification and placement. The information includes, where possible, official documentation related to the confirmation of identity, the offense, criminal history, and previous incarcerations. It also includes an interview with the prisoner and sometimes with family members and others affiliated with the prisoner. Finally, it includes information provided by prison intelligence services.
- *Step 3: Determination of initial security level required: assessment of risk, need, and responsivity factors.* This step is typically achieved through the administration of tools by appropriately trained staff.
  - Risk assessments focus on factors related to the safety and security of prisoners and staff in a prison setting, the risk of escape, and the safety of the public in the event of an escape.
  - Needs assessments focus on criminogenic need areas, specifically those identified as being related to criminal behavior and changeable with intervention.
  - Responsivity issues are those that may have an impact on the prisoner's participation in interventions and overall prison adjustment, such as language barriers, literacy deficits, intellectual or physical disabilities, and mental health issues. Factors such as the prisoner's motivation and willingness to participate in interventions should also be evaluated.
- *Step 4: Using assessment results for prison placement decisions and case or sentence management planning.* The results of risk and needs assessments should be used to develop a case or sentence management plan for each prisoner, including his or her classification and placement. The results of the assessment should be discussed with the prisoner, who should have the opportunity to participate in the development of his or her case plan.

Case or sentence plans that are concise, concrete and realistic are likely to be the most useful. Objectives identified in the plan should be directly related to assessment results and follow SMART principles—specific, measurable, achievable, realistic, and time bound. Reassessment and reclassification activities are aided by a clear and well-structured case or sentence plan.

## **Chapter V. Development and implementation of a prisoner classification system**



The implementation and modification of a prisoner classification system require extensive planning and broad support within a prison system, including senior government officials and front-line officers.

Once a prisoner classification system has been piloted and implemented, creating a process of ongoing monitoring, reviewing, and evaluation is important in order to determine whether the system is working as intended, verify its predictive ability and validity, and assess its intended and unintended consequences.

[UNODC's Handbook on Dynamic Security and Prison Intelligence](#) includes a chapter on Assessment and Categorization, which was included as a source. Below is a synopsis of that chapter, which highlights the importance of performing risk assessments on each prisoner:

Prison authorities should assess the risk posed by each individual prisoner to make sure he or she is subject to the appropriate conditions of security, neither too high nor too low. Different levels of risk call for different levels of security.

Security measures should be the minimum necessary to achieve the prisoner's secure custody for a number of reasons:

- Research suggests that the fewer the number of high-security prisoners, the more likely that staff will be aware of those prisoners and focus their attention on them
- Lower levels of security involve more humane treatment than higher security levels, so good practice is to hold as few prisoners in high-security conditions as possible to respect their human rights
- At a practical level, security is expensive, so the more prisoners held in higher security conditions, the greater the cost

### **Risk assessment**

A careful risk assessment should be made by the prison administration. The risk assessment must differentiate between the four prevailing types of risk posed:

1. Risk of escape
2. Risk of violence towards staff, other prisoners, and visitors
3. Risk to good order
4. Risk of prisoners from within the prison directing criminal activity taking place outside the prison (for example, conducting organized crime-related activities, terrorist or gang activity, drug trafficking, intimidating or corrupting witnesses, judiciary, lawyers, or jurors)

The type of risk the prisoner poses will have a profound impact on the risk management strategy. For example, the risk management of prisoners who are assessed to be a serious escape risk will need to emphasize security routines and measures, while that of prisoners who are assessed to represent a risk to good order may not need to emphasize security as much as efforts to change attitudes and behavior.

The highest consideration in risk assessment is the protection of the public. Prison staff who perform risk assessments must be satisfied that the risk associated with the prisoner is decreasing before recommending progressive moves to lower security institutions and that the risk has



reduced to an acceptable level compatible with the protection of public safety before recommending release.

A number of criteria have been identified for assessing escape risk. They would usually include the following:

- The threat the prisoner might present to the community if he or she were to escape
- The likelihood that the person will try to escape, either on his or her own or with external assistance
- Previous history of attempting to escape and access to external help
- The nature of the crime for which the prisoner was convicted
- The number and types of any previous offences
- Length of sentence, which usually reflects the nature of the crime
- The potential for threat to other prisoners and staff

The initial risk assessment should not over-focus on observable behavior but rather encourage identification of less obvious features that may signify risk. The following aspects should not be overlooked, including:

- The existence of a criminal lifestyle
- The presence of sexual deviance (e.g. history of sexual violence, child abuse, etc.)
- Offender's attitude to the victim of the offense
- Thinking skills deficits, such as the failure to anticipate consequences
- Emotional immaturity, such as difficulty coping with loss, rejection, or stress
- Analysis of the motivation for the violence within the offense

Intelligence, both internal prison intelligence and intelligence from other law enforcement agencies, can be a vital part of any risk assessment as it often provides insight that other sources cannot bring to the assessment.

### **Categorization and allocation**

Once a thorough risk assessment has taken place, prisoners should be categorized according to the appropriate level of security they need to be held in. The categorization of prisoners is also essential to determine their allocation to a suitable prison or unit within a prison. Together with the findings of the risk and needs assessment, it provides the basis for the development of individualized sentence plans.

The small number of prisoners who are assessed and categorized as high security would usually be allocated to a high-security prison or a high-security unit within a prison that has a lower security category (e.g., a medium-security prison). The even smaller number of prisoners who are considered particularly dangerous may need to be held in maximum-security facilities, which may be special prisons or separate units within a prison. Different arrangements should be made for women and young offenders, who should be held in less restrictive environments.

Different considerations should also apply to prisoners with mental illness, who should be held in conditions that consider their mental health requirements.

Pretrial prisoners may also be held in high-security conditions as potential high-risk prisoners if there is a high probability they will be assessed as high-risk if convicted and sentenced. Such a preliminary risk assessment may be made based on the offense with which they are charged



and additional reports on their background, affiliation with crime syndicates or terrorist organizations, and circumstances of the offense among others.

Review and reassessment are important features of any humane classification system that seeks to balance security and rehabilitation. These steps should be scheduled and conducted with reasonable frequency and with sensitivity to the individual prisoner's development.

The final sources used in developing this course are a number of documents from the **United States Department of Justice, Federal Bureau of Prisons' National Institute of Corrections**. These sources include:

- Objective Prisoner Classification: A Guide for Correctional Agencies <https://s3.amazonaws.com/static.nicic.gov/Library/019319.pdf>
- Prisoner Intake Systems: Assessing Needs and Classifying Prisoners <https://s3.amazonaws.com/static.nicic.gov/Library/019033.pdf>
- Internal Prison Classification Systems: Case Studies in Their Development and Implementation <https://s3.amazonaws.com/static.nicic.gov/Library/017381.pdf>

The first document, **Objective Prisoner Classification: A Guide for Correctional Agencies** concentrates on effective strategies for implementing classification systems and evaluations of prison classification systems. The chapter that relates most to the course is Chapter 3: What Is Objective Prison Classification.

The chapter defines key terms and concepts necessary to understanding classification systems and outlines the essential components of an objective classification system.

Below is a synopsis of that chapter.

Classification systems fulfill a wide range of correctional purposes, including preserving order in an institution, sustaining prisoner discipline, assessing prisoners' needs, assigning prisoners to appropriate programs, providing equitable treatment, protecting staff, prisoners, and the public, allocating prison resources, and planning for prison management.

The chapter explains overrides, both nondiscretionary and discretionary.

Nondiscretionary overrides are static in that they reflect an agency's policy, which typically restricts the placement of certain prisoners in minimum- or low-security facilities. For example, a correctional agency may prohibit a sex offender assessed as a minimum-custody level prisoner from residing in a minimum-security unit until within 6 months of the prisoner's projected release date and/or until the prisoner has completed sex offender treatment. Likewise, an agency's policy may prohibit a prisoner of any classification status who has more than 2 years to serve from residing at a minimum-security level unit. In these examples, the classification staff would have no discretion over the prisoner's designated custody level.

Discretionary overrides are dynamic in that they reflect the professional judgment of trained classification staff to consider other factors not explicitly used in the scoring process. The classification staff have the discretion to recommend a higher or lower custody level based on other pertinent factors associated with the prisoner. For example, the classification staff may recommend a lower custody level because of the prisoner's exceptional behavior during a prior incarceration. Alternatively, the staff may override the custody level of a prisoner classified as medium custody because the nature of the prisoner's current offense is more serious than



indicated by the initial classification form. In this case, the prisoner's medium-custody classification would be overridden to place the prisoner at a maximum-security unit.

The chapter also explains the difference between the two classification systems, as highlighted below:

### **External versus internal prisoner classification systems**

External classification determines a prisoner's custody classification and facility assignment. Shortly after a prisoner is admitted to the prison system, the external classification system places her in one of several custody levels that directly affects the type of facility to which she will be assigned and the level of supervision the prisoner will receive at the facility. Custody levels are defined in different manners; however, they generally conform to the broad categories of minimum, medium, close, and maximum security. Some classification systems designate these custody levels numerically, e.g., I through IV.

Since the institutional adjustment of a prisoner who has no history of incarceration is unknown, the initial instrument places greater emphasis on the prisoner's current offense, criminal history, and a number of socioeconomic factors associated with institutional conduct. Professional staff use the initial screening process and initial classification form to determine the most appropriate level of custody for the prisoner. (Note: Sample classification forms are included in a number of these references.)

After a custody level has been defined, the prisoner is transferred to a correctional facility that best meets his or her security and program needs.

A prisoner's external custody level is often modified through a reclassification process, which places greater emphasis on the prisoner's behavior and conduct while incarcerated than does the initial classification instrument. No later than 12 months after the initial classification process, a reclassification instrument is used to score the prisoner on factors such as the type and number of misconduct reports lodged against her or the number of programs completed. A reclassification process that does not allow prisoners to work their way to lower custody levels results in significant over-classification of prisoners.

Internal classification governs facility-level decisions such as:

- Where and with whom the prisoner will be housed
- Types of programs and services to which the prisoner should be assigned
- Prison industry or work assignment most appropriate for the prisoner

Most often, the intent of internal classification systems is to ensure that prisoners who are at risk for placement in a special management population are supervised accordingly. Minimizing classification errors requires both external and internal classification systems.

By design, internal classification systems complement external classification systems. The task of an internal system is to devise appropriate housing plans and program interventions within a particular facility for prisoners who share common custody levels, whether minimum, medium, close, or maximum.

The second Bureau of Prisons document, **Prisoner Intake Systems: Assessing Needs and Classifying Prisoners**, focuses on steps that should be taken during the intake process, that is, the period immediately following a prisoner's entrance into the prison system.



These steps include:

- Identify the prisoner
- Develop the prisoner's record
- Conduct medical and mental health assessments
- Determine the prisoner's threat to public safety and his/her security requirements
- Identify security threat group members
- Identify sex offenders, sexual predators, and vulnerable prisoners

Most prisoner intake systems include comprehensive medical, mental health, and security assessments. These systems help ensure that prisoners are properly classified, housed, and provided with critical medical and mental health services and programming.

Trained security staff verify the prisoner's identity during his/her first day at the facility. Fingerprints, photographs, and inventories of the prisoner's personal items are common to most identification procedures. Most states identify a prisoner's affiliation with security threat groups. This type of information is critical in determining whether a prisoner needs to be separated from other prisoners or staff members.

**Needs assessment:** Needs assessments determine the programs and/or services in which the prisoner should be encouraged to participate while incarcerated. Most states conduct mandatory medical, mental health, education, alcohol abuse, and drug abuse assessments through interviews and standardized testing instruments. More in-depth needs assessments address anger management, work and vocational training, English as a second language, criminogenic risks and needs, and prerelease/reentry planning needs.

**Classification.** The classification assessment is typically completed after the results from the medical, mental health, education, and other tests have been made available to classification staff. At this stage, classification staff compiles a social and criminal history of the prisoner, identifies potential separation needs from staff and/or other prisoners, and reviews the presentence investigation report (if available) to determine the initial custody level, housing requirements, and program or service needs.

**Processing Time and Flexibility.** Several factors may delay or expedite the intake process. Lack of space at the appropriate long-term facility, medical and mental health staff shortages, special assessments, and lack of information about technical violations may delay the process. On the other hand, needs (e.g., mental health and sex offender needs) identified through special assessments may expedite the intake process by requiring placement of the prisoner in a particular treatment facility.

### **Reclassification**

The reclassification process parallels the initial classification process. Risk factors, including history of institutional violence, recency of institutional violence, severity of current offense, and severity of prior convictions, are tallied to determine whether the prisoner should be placed automatically in close custody. Additional risk factors include number of prior felony convictions, detainer/pending charges, escape history, number and type of disciplinary reports during the past 24 months, history of disciplinary convictions (coded as time since last infractions), and time to parole eligibility date. Again, the system provides for mandatory and discretionary override considerations.



The last source used for this course is the Bureau of Prison's Internal Prison Classification Systems: Case Studies in Their Development and Implementation. Only one chapter directly responded to our needs and that is Chapter 1: The Role of Internal Classification Systems.

With its focus on internal classifications, this chapter offers some additional information on the benefits and purpose of an internal classification system.

The information below is a brief overview of this information.

A properly functioning classification system is seen as the brain of prison management, which governs many important decisions, including those that heavily influence such fiscal matters as staffing levels, bed space, and programming.

Internal classification systems are designed to complement external systems. The task of an internal system is to devise appropriate housing plans and program interventions within a particular facility for prisoners who share a common custody level (minimum, medium, close, or maximum). External classification models influence inter-institutional placement, whereas internal management systems focus on intra-institutional placement and program assignment.

On arrival at the appropriate facility, prisoners 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.

As with external classification systems, formal internal classification systems may include structured scoring instruments, staff specialists who have been formally trained to use them, and a reclassification process to update previous classification records.

This document includes a chapter on lessons learned implementing new classification systems.

Knowledge Survey

المسح المعرفي



## GENERAL ACADEMY COURSE: Basic Offender Classification Knowledge Survey

1. The ongoing process of collecting and evaluating information on each offender to determine the risk and need for appropriate confinement, treatment, and programs is known as Offender \_\_\_\_\_:
  - a. Collections
  - b. Classification
  - c. Evaluations
  - d. Assignments
2. Classification helps minimize violations of the offender's human rights by allowing prisons to house offenders \_\_\_\_\_:
  - a. At the least restrictive facility according to risk profile
  - b. With other offenders from their community
  - c. In the most restrictive facility to ensure close oversight
  - d. In the least crowded facility regardless of level of security
3. In addition to placing offenders where they will do the least harm, the classification process allows prisons to place offenders where they \_\_\_\_\_:
  - a. Are the closest to family members
  - b. Have the best chance of rehabilitation
  - c. Are farther away from their family members
  - d. Are within their own community
4. For offenders with special needs, the following consideration should be documented \_\_\_\_\_:
  - a. Extreme anger and insolence
  - b. Literacy deficits (basic reading and writing skills)
  - c. High aptitude testing
  - d. Low technical skills
5. Non-discretionary overrides are based on \_\_\_\_\_
  - a. Professional judgment
  - b. Managerial request
  - c. Agency policy
  - d. Staff consensus
6. Keeping accurate records helps guard against human rights violations by:
  - a. Providing details on human rights requirements
  - b. Explaining policies, procedures, and best practices that support human rights
  - c. Demonstrating that offenders have been treated in accordance with the law
  - d. Explaining how to develop appropriate rehabilitative and treatment programs



7. Keeping accurate records is a prerequisite for effective prison management because prison managers can use that information to:
  - a. Demonstrate compliance
  - b. Better inform their decisions
  - c. Classify new offenders
  - d. Assign housing
  
8. A central file register should contain information indicating the current location of each general offender file.
  - a. False
  - b. True
  
9. The offender files should be stored\_\_\_\_\_:
  - a. In an open bay where all staff have easy access
  - b. In an open file room
  - c. In lockable, fireproof, and waterproof cabinets
  - d. In case worker's personal file cabinets
  
10. Information on the health status and medical treatment of offenders should be \_\_\_\_\_.
  - a. Recorded in files available only to health personnel
  - b. Recorded in the offender's general file
  - c. Available to all staff upon request
  - d. The first item in the offender's file for easy access



## GENERAL ACADEMY COURSE: Offender Classification Knowledge Survey

1. The ongoing process of collecting and evaluating information on each offender to determine the risk and need for appropriate confinement, treatment, and programs is known as Offender \_\_\_\_\_: **(Basic Classification Principles)**
  - a. Collections
  - b. Classification**
  - c. Evaluations
  - d. Assignments
2. Classification helps minimize violations of the offender's human rights by allowing prisons to house offenders \_\_\_\_\_: **(Basic Classification Principles)**
  - a. At the least restrictive facility according to risk profile**
  - b. With other offenders from their community
  - c. In the most restrictive facility to ensure close oversight
  - d. In the least crowded facility regardless of level of security
3. In addition to placing offenders where they will do the least harm, the classification process allows prisons to place offenders where they \_\_\_\_\_:  
**(Basic Classification Principles)**
  - a. Are the closest to family members
  - b. Have the best chance of rehabilitation**
  - c. Are farther away from their family members
  - d. Are within their own community
4. For offenders with special needs, the following consideration should be documented \_\_\_\_\_: **(Basic Classification Principles)**
  - a. Extreme anger and insolence
  - b. Literacy deficits (basic reading and writing skills)**
  - c. High aptitude testing
  - d. Low technical skills
5. Non-discretionary overrides are based on \_\_\_\_\_  
**(Basic Classification Principles)**
  - a. Professional judgment
  - b. Managerial request
  - c. Agency policy**
  - d. Staff consensus
6. Keeping accurate records helps guard against human rights violations by:  
**(Offender's Records and Privacy)**
  - a. Providing details on human rights requirements
  - b. Explaining policies, procedures, and best practices that support human rights
  - c. Demonstrating that offenders have been treated in accordance with the law**
  - d. Explaining how to develop appropriate rehabilitative and treatment programs



7. Keeping accurate records is a prerequisite for effective prison management because prison managers can use that information to: **(Offender's Records and Privacy)**
- Demonstrate compliance
  - Better inform their decisions**
  - Classify new offenders
  - Assign housing
8. A central file register should contain information indicating the current location of each general offender file. **(Offender's Records and Privacy)**
- False
  - True**
9. The offender files should be stored \_\_\_\_\_: **(Offender's Records and Privacy)**
- In an open bay where all staff have easy access
  - In an open file room
  - In lockable, fireproof, and waterproof cabinets**
  - In case worker's personal file cabinets
10. Information on the health status and medical treatment of offenders should be \_\_\_\_\_ . **(Offender's Records and Privacy)**
- Recorded in files available only to health personnel**
  - Recorded in the offender's general file
  - Available to all staff upon request
  - The first item in the offender's file for easy access

Basic Classification Principles

مبادئ التصنيف الأساسية



### Offender Classification

**Purpose:** The purpose of this module is to provide best practices for offender classification processes, including planning for re-entry into society.

#### **Activities:**

- What If You Didn't Have a Classification System? (15 min.)
- Classifying Offenders (15 min.)
- Reclassifying Offenders (20 min.)

**Estimated Time:** 6 hours





### **Facilitator Notes**

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

### **Worksheets**

- Example Management Plan
- Classifying Offenders
- Reclassifying Offenders

## Learning Objectives

- 
  - Define offender classification
  - Name 5 reasons for individualized classification
- 
  - Name 4 considerations for risk assessments
- 
  - Explain the point value system for classifying
  - Explain the difference between internal and external classification
- 
  - Explain the override process
  - Given multiple scenarios, reclassify simulated offenders

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### Learning Objectives

These learning objectives are the essential steps to reaching the goal of the course—understanding procedures and best practices for classifying offenders.

### Facilitator Notes

1. **EXPLAIN** the objectives to the participants to set expectations for the module.
2. **ASK** whether participants have any questions or need clarification on the objectives.





## Guiding Principles of Offender Classification

Classifications are conducted using standardized instruments, which reflect a wide range of guiding principles, including:

- ✓ KSA law
- ✓ Prison policy
- ✓ Prison procedures
- ✓ Court judgment and commitment orders
- ✓ Mandela Rules
- ✓ Bangkok Rules



### Guiding Principles of Offender Classification

These principles and their application must be consistent for all offenders.

Classification is a structured and individualized assessment of the risks and needs of each offender to assist in decision-making regarding the most appropriate placement and interventions. The legislative framework of a country plays a decisive role in decision-making regarding the security classification of offenders.

In some jurisdictions, the judges are responsible for deciding on the security regime for an offender based upon the crime committed. In other jurisdictions, the prison service is responsible for those decisions.

The recommended practice is for prison authorities to determine the security level of an offender after an individualized assessment of risks and needs.

To ensure the consistent application of classification, the process must be carried out by trained and experienced staff. These staff must know the dynamics of their current offender population in order to classify accurately and effectively.

### Facilitator Notes

1. DISCUSS the guiding principles of offender classification.
2. EXPLAIN that classification entails a structured and individualized assessment of the risks and needs of each offender to assist in decision-making on the most appropriate placement and interventions.
3. ADD that the legislative framework of a country plays a determining role in decision-making regarding the security classification of offenders.
4. EXPLAIN that in some jurisdictions, the judges are responsible for deciding on the security regime for an offender on the basis of the crime she committed. The recommended practice is for prison authorities to determine the security level of an offender after an individualized assessment of risks and needs.
5. EXPLAIN that the successful development, implementation, and management of an offender classification system are dependent on several infrastructural requirements, in particular those related to the physical infrastructure of prisons, policies, and guidelines, staff resources and an established system of documentation and record-keeping.

## Definition: Offender Classification

- The ongoing process of collecting and evaluating information on **each offender** to determine the risk and need for appropriate confinement, treatment, and programs

**Why should classification be based on the individual rather than on the crime?**



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### Definition: Offender Classification

Offender classification is based on the concept of individualized assessments. An individualized assessment in a prison or correctional context refers to a systematic analysis of an offender using structured tools, reviews of documentation, interviews, and observations to determine her future risks (including the risk of self-harm or suicide, the risk to prison staff or other offenders, the risk of destruction of infrastructure, the risk of escape, and the risk to the public in the event of an escape) as well as the factors that should be addressed to reduce or manage those risks.

Individualized assessments are used throughout the correctional process to aid in decision-making, effective management, and sentence planning.

Assessments for classification and reclassification purposes focus on risk to safety and security in the prison setting and on risk to the community in the event of an escape; the primary focus of pre-release risk assessments is on public safety with respect to the risk of recidivism.

### Facilitator Notes

1. **EXPLAIN** that the reliance on individualized assessments recognizes that common stand-alone factors—such as the crime committed—are not the best representations for estimating the risk an offender may pose in a prison setting or to the community. Therefore, the crime itself is not a suitable sole determinant of classification.
2. **ENGAGE** participants in the following examples:
  - A woman with no history of violence and poses a low risk of future violence may be convicted of a serious or grave offense according to the criminal code of a jurisdiction.
  - Another woman with an extensive history of criminal behavior, including violence, may be convicted of a non-violent crime for the current custodial sentence.
  - Should the woman with no history of violence but who is convicted of a serious offense be automatically sentenced to a high-security system and the woman with an extensive history of criminal behavior be automatically placed in a less restrictive system?
3. **EMPHASIZE** that a key aspect of classification is determining the offender's readiness for re-entry into society. Refer again to the two previous examples and discuss their potential path for re-integration.



## Classify for Risks

Evaluate information on each offender to:

- ✓ Maintain the safety of the public
- ✓ Ensure the housing is proportionate to the risk
- ✓ Ensure the offender has access to appropriate programming
- ✓ Minimize risk of escape or other problems
- ✓ Reduce cost
- ✓ Reduce recidivism
- ✓ Ensure operational efficiency

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### Classify for Risks

- To maintain the safety of the public (primary concern)
- To ensure the offender is housed in a facility that is appropriate to the risk posed by the offender to staff and other offenders
- To ensure that the offender has access to programming that is appropriate to her needs
- To minimize risk of escape or other problems
- Cost efficiency (saving maximum security beds for offenders who require that level of control/oversight)
- To reduce recidivism
- To ensure operational efficiency (staffing levels and training, need for specialist staff, etc.)

Classification helps minimize violations of the offender's human rights by allowing prisons to house offenders at the least restrictive facility indicated by the individual offender's risk profile. Proper classification promotes social reintegration efforts.

### Facilitator Notes

1. DISCUSS the specific reasons for individualized classifications.
2. EXPLAIN that classifying for risks should focus on factors related to the risk of escape, the safety of the public in the event of an escape, and the safety and security of offenders and staff in a prison setting.
3. ADD that classifying also promotes social reintegration efforts and helps prison staff individualize case and sentence planning.
4. EMPHASIZE that classification, then, refers to the categorization of offenders into different groupings (e.g., low, medium, or high security) based on certain established criteria applied to facilitate their allocation to a suitable custody or supervision level and matching their risks and needs to an appropriate prison.
5. EXPLAIN that classification helps prisons save money by identifying the areas of highest need (correction staff, security infrastructure, specialist program staff, etc.) and focusing resources there, rather than establishing blanket security and program standards that might not meet (or may exceed) the needs of the offenders at a particular prison.



## Security Infrastructures

The main intent of a classification system is to identify distinct groups of offenders who require **different security infrastructures** and potentially different interventions

**Custody levels** are based on the level of security and control that exists within a facility or within different parts of the same facility

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### Security Infrastructures

Classification systems differentiate among those offenders who present different security, custody, and treatment needs and therefore have different management and intervention requirements.

Federal prisons in the U.S. can be one of five levels of security, with each level designed to best meet the needs of offenders.

- Minimum security is the lowest level of security; house non-violent offenders with a relatively clean record. These prisons have little-to-no perimeter fencing; offenders are housed in dorm-style units.
- Low security have perimeter fencing and a higher staff-to-offender ratio; offenders must have less than 20 years left on their sentence to be placed in this level facility.
- Medium security moves to cell-based housing and has perimeter fencing that often includes razor wire with electronic detection systems.
- High-security prisons are surrounded by razor-wire fencing or walls; most have watch towers. They provide the highest level of security.
- Administrative prisons are designed to house offenders with special considerations, such as those who are chronically ill, extremely dangerous or a high-escape risk.

### **Facilitator Notes**

1. **EXPLAIN** the main intent of a classification system.
2. **EXPLAIN** custody levels.
3. **ADD** that 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 for offenders.
4. **ADD** that countries vary in terms of the number of security levels for their prisons.
5. Some prison facilities may have separate wings that have different security levels.
6. **ADD** that security placements are limited by the availability of different levels of custody. However, for a country to implement a flexible system of classifying offenders, as called for under the Mandela Rules, a country must, at a minimum, be able to provide different security regimes supported by variations in infrastructure so that assessment results can be used to separate different categories of offenders on the basis of the risks they pose in a prison setting.

## Discussion: At What Level Would You Classify?

An offender:

- Who killed a neighbor who repeatedly abused her and her child. She has committed no previous crimes.
- Who tortured and killed a neighbor because of her political beliefs. She has been arrested for assaulting a store manager.
- With intellectual disabilities who stole money to feed her child. She has been arrested twice before for stealing.



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### Discussion: At What Level Would You Classify?

Think about the offenders, their crimes, and their history. Reflecting on the process and purpose of classification, determine the level of security you would classify each offender.

### Facilitator Notes

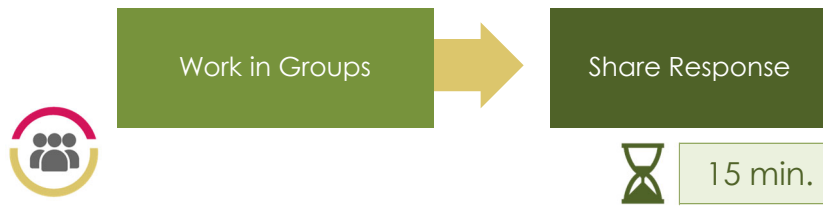
1. **ENGAGE** participants in the discussion.
2. **ASK** for multiple volunteers to respond.
3. **COMPARE** and **CONTRAST** their responses.
4. **OFFER** your opinion and provide feedback on the responses.

### What If You Didn't Have a Classification System

**EXERCISE**

Based on what you have learned so far, describe a day in a prison facility that:

- Group 1:** Houses all security levels together without classification
- Group 2:** Houses only low security offenders together
- Group 3:** Houses only high security offenders together
- Group 4:** Is not segregated by gender or security level



#### What If You Didn't Have a Classification System

Duration	15 minutes
Purpose	The purpose of this activity is to brainstorm management of prisons under various scenarios to show the benefits of classification.
Materials	<ul style="list-style-type: none"> <li>• Flipchart</li> <li>• Markers</li> </ul>
Steps	<ol style="list-style-type: none"> <li>1. Work in small groups.</li> <li>2. Brainstorm efforts required to maintain order in a prison facility under the circumstance assigned to you:                             <ul style="list-style-type: none"> <li>• Group 1: A prison that houses all security levels together without classification</li> <li>• Group 2: A prison that houses only low security offenders together</li> <li>• Group 3: A prison that houses only high security offenders together</li> <li>• Group 4: A prison that is not segregated by gender or security level</li> </ul> </li> <li>3. Be prepared to share with the class.</li> </ol>

#### Facilitator Notes

1. HAVE participants work in their small groups.
2. EXPLAIN the activity.
3. ADD that participants should include staff and other resources that would be required to maintain order.
4. REGROUP on the next slide.



## What If You Didn't Have a Classification System?

Each group debriefs their findings:

**REGROUP**

1. Houses all security levels together without classification
2. Houses only low security offenders together
3. Houses only high security offenders together
4. Is not segregated by gender or security level



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### What If You Didn't Have a Classification System?

Regroup from the previous activity and discuss the responses as a group.

### Facilitator Notes

1. REGROUP from the previous activity.
2. CALL upon a spokesperson from each group to give the group's response.
3. ENCOURAGE participant interaction as they discuss their responses.
4. ENCOURAGE participants to ask questions of other groups.
5. PROVIDE your observations and ask any questions you may have of the groups.
6. The purpose of this activity is to reinforce the necessity of a classification system to maintain order.



## Offender Classification Process

- In addition to placing offenders where they will do the least harm, the classification process allows prisons to place offenders where they
  - ✓ Have the best chance of rehabilitation
  - ✓ Can be managed most effectively

The classification process

- ✓ Assesses an offender's immediate needs to reduce probability of recidivism
- ✓ Includes interviews and examination by a qualified health-care professional
- ✓ Determines programs and/or services in which the offender is encouraged or required to participate

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### Offender Classification Process

*The risk assessment process is followed by equally important decisions concerning proper housing and treatment. Providing proper housing and treatment affords the offender the opportunity to live in a less restrictive correctional environment and, ultimately, return to the community.*

*Most prisons in the U.S. conduct mandatory medical, mental health, education, alcohol abuse, and drug abuse assessments through interviews and standardized testing instruments. More in-depth assessments address anger management, work and vocational training, language needs, and prerelease/reentry planning needs.*

*If rehabilitative programs, treatments, and services are not available to assist offenders when they reenter the community, the offenders are more likely to recidivate, placing communities at risk.*

### Facilitator Notes

1. **EXPLAIN** the next steps of the classification process—allocating offenders to a suitable prison regime that can manage their risks in the least restrictive manner and provide a setting to foster their rehabilitation and social reintegration prospects.
2. **DISCUSS** the importance of interviewing to gain critical information to better understand and assess offender risks and needs.
3. **DISCUSS** the issues if offenders are not forthcoming with this information. The interviewer needs to work to overcome the resistance or reluctance to discuss aspects of the offenders' lives or offending behavior and to motivate them to engage in the assessment.



## Management Plans

- Individualized classification recognizes that each offender has different needs and problems
- The management plan should:
  - ✓ Focus on the specific issues in each offender's life that contributed to her criminal activity
  - ✓ Draw on a wide network of services and programs to help the offender address those issues



MANAGEMENT PLAN

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### Management Plan

The results of the risk and needs assessments are used to develop a case or sentence management plan for each offender that summarizes the strategy to manage any risk and treatment interventions to address needs.

For example, if a lack of employment opportunities was identified during the classification process as an area contributing to the offender's criminal activity, interventions to address that need would have been identified. As a result, the plan would be for the offender to develop job skills through work programs in prison.







Offering the right programs and services provides the following benefits:


- Ensures that the offenders have the tools and skills to successfully re-enter society
- Breaks the cycle of incarceration and re-incarceration, which enhances the safety of neighborhoods and communities
- Reduces the rate at which individuals return to prison, which reduces the sheer size of the prison population, which ultimately lowers costs of running a prison

### Facilitator Notes


1. EXPLAIN that the first and most important step in re-entry planning is obtaining information about an individual offender's risk of recidivating.
2. EXPLAIN the benefits of offender programs and services including offender management within the facility and reintegration upon release. All programming is identified and implemented to maximize the offenders' chances for successful re-entry back into the community
3. EXPLAIN that studies show the benefits to society, offenders, and prison management when programs are offered.
4. REVIEW the example outline of a case and sentence management plan for offenders.

### Offender Programs and Services

 <b>Education</b>	<b>Life Skills and Release Preparation</b> 
 <b>Occupational Training</b>	<b>Recreation and Leisure</b> 
 <b>Cognitive-Behavioral</b>	<b>Religious/Spiritual</b> 



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### Offender Programs and Services

Below are programs and services offered in the U.S.

- **Education**—basic literacy, GED-high school, college/advanced degree, further enrichment, literacy for non-native language speakers, special education
- **Occupational**—occupational education, experience/apprenticeship
- **Cognitive-behavioral**—social skills, problem-solving skills, criminal thinking, victim impact, trauma, emotional self-regulation/impulsive control, mental health, relationship management, substance abuse treatment, sex offender treatment, anger management
- **Life skills and release preparation**—basic life skills, financial management, healthy living; release planning informational & procedural; family ties and relationships, parenting; employment preparation
- **Recreation/leisure**—wellness & fitness/sports, hobbies/crafts, music, book club & library, social & cultural organizations
- **Religious & spiritual**—spiritual practices including meditation and prayer groups, faith-based re-entry programs, chapel services, worship services, sacred scripture studies

### Facilitator Notes

1. EXPLAIN that all programming is identified and implemented to maximize the offenders chances for successful re-entry back into the community.
2. EXPLAIN that experts and studies suggest a prison system should offer programs that span multiple categories. The categories listed in the slide have been adopted by many prison systems in the U.S.
3. EXPLAIN that one California study revealed the following:
  - 66% of offenders were assessed with a moderate or high need for substance use disorder treatment
  - 51% were assessed with a moderate or high need for anger management
  - 41% were assessed with a moderate or high need for criminal thinking treatment
  - 38% were assessed with a moderate or high need for employment services
  - 22% were assessed with a moderate or high need for family support services
4. ASK participants which needs they think would have the highest requirements in their system.



## Offenders with Special Needs

The following considerations should be documented

- ✓ Language barriers
- ✓ Literacy deficits (basic reading and writing skills)
- ✓ Problems with attention and concentration
- ✓ Intellectual disabilities
- ✓ Physical disabilities
- ✓ Chronic mental health issues
- ✓ Medical conditions such as chronic care and pregnancy



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### Offender with Special Needs

During the initial assessment, identify and document special considerations, which can include the following:

- Language barriers that interfere with communication with staff and other offenders as well as participation in education, vocational training, work, or other interventions
- Literacy deficits (basic reading and writing skills)
- Problems with attention and concentration
- Intellectual disabilities
- Physical disabilities
- Chronic mental health issues
- Any other issues that would interfere with institutional adjustment or participation in programs or interventions

### Facilitator Notes

1. ENGAGE participants in the discussion on offenders with special needs.
2. ADD any other special needs you may think of.
3. ASK participants to share any other special needs they may be aware of.

## Sources of Information

The information used in the classification process is derived from a variety of sources, including:

- ✓ Intelligence sharing
- ✓ Court data
- ✓ Medical records/evaluation
- ✓ Mental health records/evaluation
- ✓ STG validation
- ✓ Disciplinary record (if incarcerated before)
- ✓ Educational records
- ✓ Family ties
- ✓ Financial records



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### Sources of Information

Having reliable information on the offender's current offense, criminal history, and background is crucial to informing the classification process.

Information from official reports is preferable; however, interviews with family members and others can provide valuable information. Interviews and self-reported information from the offenders are important data sources for the assessment of risks and needs. Internal prison intelligence and intelligence from other law enforcement agencies can be vital to any risk assessment.

### Facilitator Notes

1. **DISCUSS** the sources of information.
2. **EMPHASIZE** that the offender herself may offer valuable information.
3. **ADD** any other sources you are aware of and ask participants to do the same.

### Point Values

Classification assigns a point value to each offender according to certain pre-determined factors, such as:

- ✓ Severity of current offense
- ✓ Prior criminal record
- ✓ Stability factors (including age, marital status, etc.)
- ✓ Mental health history
- ✓ Medical history
- ✓ Educational achievement
- ✓ STG affiliation
- ✓ Sentence length
- ✓ Substance abuse history
- ✓ Escape history
- ✓ History of violence
- ✓ Vocational aptitude
- ✓ Program participation/ completion
- ✓ Vulnerabilities



#### Point Values

Each offender is evaluated using information from a wide variety of sources according to a standardized point checklist. The offender's total points at the conclusion of the checklist determine her initial custody level, housing requirements, and program needs.

The results of the medical, mental health, and educational tests are made available to classification staff, who compile a social and criminal history of the offender, identify potential separation needs from staff and/or other offenders, and review the presentence investigation report (if available).

Initial classification scores are less about the offender and more about the prison's best strategies for minimizing problems.

#### **Facilitator Notes**

1. **EXPLAIN** that a significant portion of the assessment is spent on analyzing an offender's medical, mental, and educational needs. Medical screens, physical examinations, criminal history checks, and substance abuse tests are conducted as are mental health screens, academic achievement tests, and psychological testing. Together, these tests help determine the level of programming, educational, and treatment services needed.
2. **NOTE** that scores in these categories are not necessarily predictive; a long sentence does not automatically mean an offender will attempt to escape, nor does a short sentence automatically mean an offender will be easy to manage.



## Discussion: Treatment/Programs

Determine treatment/program needs for an offender:



Who killed an acquaintance she was staying with who repeatedly abused her and her child. She is estranged from her family.



With intellectual disabilities and is uneducated; she stole money to feed her child.



Who is a high-level member of a terrorist group; she does not speak Arabic and is pregnant.



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### Discussion: Treatment/Programs

Engage in critical thinking on the questions in the slide above. Think about the crime and the circumstances behind it to determine best treatment options and best rehabilitative programs.

### Facilitator Notes

1. ENGAGE participants in the discussion questions.
2. LEAD a discussion on the differences between managing an offender with a long history of non-violent crime versus a first-time offender convicted of a violent crime. For example, would you manage an international drug dealer serving a sentence for narcotics possession the same way as you would an offender who killed someone in self-defense? Is an offender who stole from her employer to pay bills more or less of a security risk than one who stole a car to support a drug habit?

## Classifying Offenders


**EXERCISE**

- Refer to the Worksheet: Offender 1 and Offender 2.
- For each offender, read the description.
- Highlight factors you would use in classifying her.
- Be prepared to share with the class.


Work in Groups

➔

Share Response




**CLASSIFYING OFFENDERS**



15 min.

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Classifying Offenders	
Duration	15 minutes
Purpose	The purpose of this activity is to analyze the story of two offenders to determine factors (considerations) you would use to classify them.
Materials	<ul style="list-style-type: none"> <li>• Flipchart</li> <li>• Markers</li> <li>• Worksheet: Classifying Offenders</li> </ul>
Steps	<ol style="list-style-type: none"> <li>1. Work in small groups.</li> <li>2. Read the two scenarios.</li> <li>3. In each scenario, highlight any factors you would use to help determine the offender's classification.</li> <li>4. Be prepared to share with the class.</li> </ol>

### Facilitator Notes

1. ASK participants to work in their small groups.
2. DISTRIBUTE the Worksheet: Classifying Offenders.
3. EXPLAIN the activity.
4. REGROUP on the following slide.



## What If You Didn't Have a Classification System?

**REGROUP**

1. Offender 1
2. Offender 2



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### Classifying Offenders

Regroup from the previous activity and discuss the responses as a group.

### Facilitator Notes

1. REGROUP from the previous activity.
2. CALL upon a spokesperson from each group to give the group's response.
3. ENCOURAGE participant interaction as they discuss their responses.



## External vs Internal Classification

- External classification determines an offender's custody classification and facility assignment
- Internal classification governs facility-level decisions such as:
  - ✓ Where and with whom the offender will be housed
  - ✓ Types of programs/services the offender should be assigned
  - ✓ The most appropriate prison industry or work assignment



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### External vs Internal Classification

The two types of classification are external and internal.

The focus of external classifications is on the offender's security level and assignment to a facility that meets security and programming needs.

The focus of internal classifications is facility-level decisions—where and with whom will the offender be housed within the prison facility, the types of programs and interventions to which she will be assigned, and the types of work assignments most appropriate for the offender.

### Facilitator Notes

1. EXPLAIN the classification process from the initial external classification to the initial internal classification.
  - Shortly after an offender is admitted to the prison system, she goes through the initial external classification process, which places her in a custody level that directly affects the type of facility to which she will be assigned and the level of supervision she will receive.
  - At the facility, the internal classification system focuses on facility-level decisions, such as where she will be housed and with whom, types and sequences of programs and interventions she will be assigned.
2. EXPLAIN that both external and internal classification systems are essential for minimizing errors, housing and managing offenders, and safeguarding prison staff, offenders, and the public.



## Classification Overrides

Classification staff may override classification decisions on the basis of agency policy or professional judgment

- ✓ Discretionary overrides can occur when on the rare occasion classification personnel identify concerns that may not be reflected in the scoring process
- ✓ Non-discretionary overrides are based on agency policy



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### Classification Overrides

Classification staff have the authority to deviate from (or override) the offender's scored custody level.

The two types of overrides are discretionary and nondiscretionary.

Discretionary overrides can occur when trained classification staff use their professional judgment to consider other factors not explicitly used in the scoring process. These staff have the discretion to recommend a higher or lower custody level.

Nondiscretionary overrides reflect an agency's policy, which may restrict the placement of certain offenders in minimum- or low-security facilities. For example, an agency may prohibit a sex offender assessed as a minimum-custody level offender from residing in a minimum-security unit until completion of treatment. In cases such as this, the classification staff would have no discretion over the offender's designated custody level. Agency policy would always apply.

### Facilitator Notes

1. EXPLAIN the process of discretionary and nondiscretionary overrides.
2. PROVIDE examples of each.
3. ASK for a number of volunteers to provide examples of each to ensure that participants understand the concept.



## Reclassification

After the offender has had time to get acclimated to the prison, and staff have been able to collect data on her conduct, she should be reclassified to ensure that the security level is still appropriate.



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### Reclassification

Classification reviews should be conducted throughout an offender's custody and in instances where a significant event has occurred that may impact the security level and placement—for example, the offender was involved in serious misconduct or other security issue or, on the other hand, she successfully completed a program or other intervention.

### Facilitator Notes

1. EXPLAIN the reclassification process.
2. EMPHASIZE that the initial classification process is based on the offender's attributes at the time of admission, so it uses a predictive model to estimate custody risk while incarcerated. The factors that determine initial classification are not the same as those determining reclassification once the offender has spent time in a prison setting.

## The Reclassification Process

The reclassification process should examine prison-specific data points, including:

- ✓ Record of misconduct
- ✓ Completion or refusal to participate in mandated programs
- ✓ Population pressures (e.g., to better utilize existing bedspace)
- ✓ Changes in medical or mental health needs
- ✓ Detainer lodged based on charges pending in another jurisdiction
- ✓ Destination security level (e.g., transfer to lower-security facility)
- ✓ Programming, as appropriate

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### The Reclassification Process

The goal of a reclassification is to reduce the level and to provide for progression toward a less restrictive regime to better prepare the offender for eventual release.

The frequency and method of classification reviews should be outlined in policy and guidelines.

Review and reassessment are important features of any humane classification system that balances security and rehabilitation. Best practice is to set standards for when and under what circumstances offenders must be reclassified. Usually, guidelines recommend reassessment after six months of incarceration and at least annually thereafter.

Reviews and reassessments are conducted regularly (quarterly or yearly) and as a particular situation dictates.

### Facilitator Notes

1. EXPLAIN that reclassification places emphasis on the offender's conduct and changing needs during imprisonment including any misconduct and participation in programs.
2. EXPLAIN that a good classification system is dynamic—that is, changing—and helps prepare for an offender's reintegration into the community.
3. DISCUSS the alternative—the offender being released into the community without going through a pre-release regime that prepares her for social reintegration.



## Reclassifying Offenders

### EXERCISE

- Refer to the Worksheet: Reclassifying Offenders
- Determine whether you would reclassify each offender and how
- Explain your decisions
- Be prepared to share with the class



RECLASSIFYING OFFENDERS

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20 min.

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### Reclassifying Offenders

Duration	20 minutes
Purpose	The purpose of this activity is to analyze two scenarios and determine whether you would reclassify them and, if so, how you would reclassify them.
Materials	<ul style="list-style-type: none"> <li>• Flipchart</li> <li>• Markers</li> <li>• Worksheet: Reclassifying Offenders</li> </ul>
Steps	<ol style="list-style-type: none"> <li>1. Work in small groups.</li> <li>2. Read the two scenarios.</li> <li>3. In each scenario, determine whether you would reclassify the offender and if so, how you would reclassify her.</li> <li>4. Be prepared to share with the class.</li> </ol>

### Facilitator Notes

1. ASK participants to work in their small groups.
2. DISTRIBUTE Worksheet: Reclassifying Offenders.
3. EXPLAIN the activity to participants.
4. REGROUP on the next slide.



## Reclassifying Offenders

Each group shares their decision:

- ✓ Offender 1
- ✓ Offender 2
- ✓ Offender 3
- ✓ Offender 4

**REGROUP**



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### Reclassifying Offenders

Regroup from the previous activity and discuss the responses as a group.

### Facilitator Notes

1. REGROUP from the previous activity.
2. CALL upon a spokesperson from each group to give the group's response.
3. ENCOURAGE participant interaction as they discuss their responses.
4. COMPARE and CONTRAST participants' responses.
5. PROVIDE constructive feedback.

## SUMMARY

### Topics

- ✓ Offender Classification
- ✓ Offender Needs
- ✓ External vs Internal Classification
- ✓ Reclassification

### 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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### Summary

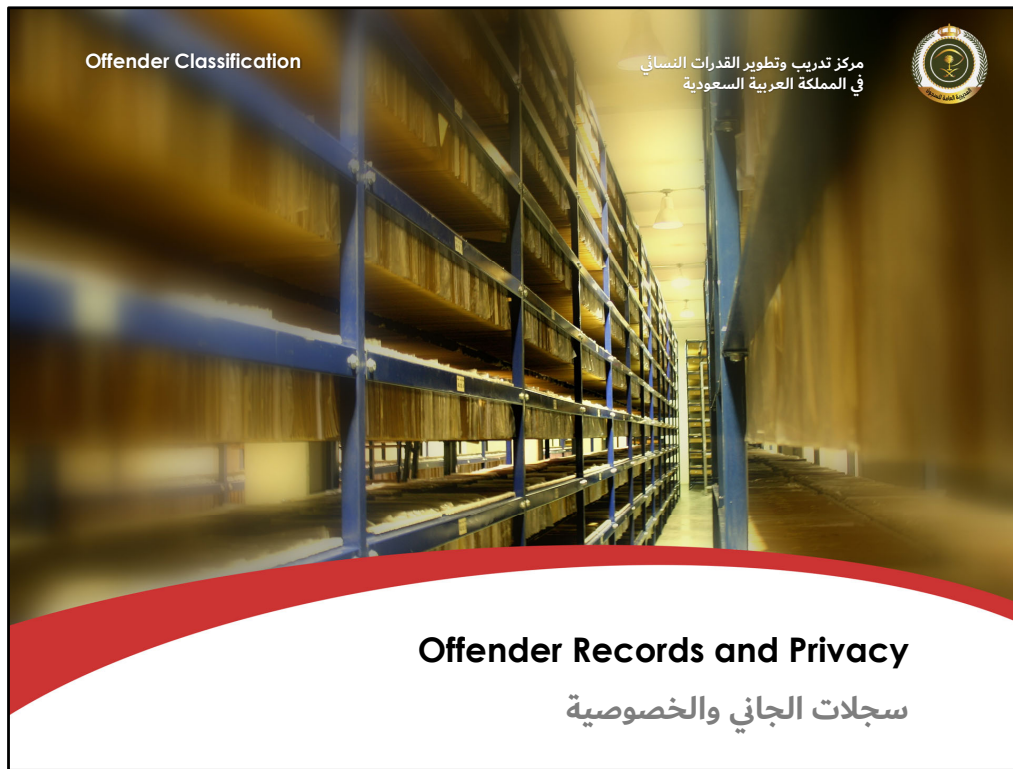
1. Review notes from previous session.
2. Work with your group to respond.

### Facilitator Notes

1. ASK for volunteers to answer these two questions.
2. ENCOURAGE participants to engage in a conversation to test knowledge gained in this module.

Offender Records and Privacy

سجلات الجاني والخصوصية



### Offender Records and Privacy

**Purpose:** The purpose of this module is to explain standards and best practices for creating, maintaining, and securing records on offenders.

#### **Activities:**

- Creating Checklists (20 min.)
- Storing & Securing Records (15 min.)

**Estimated Time:** 3 hours

### **Facilitator Notes**

1. INTRODUCE yourself and any co-facilitators.
2. LEAD a quick energizer.
3. PROVIDE a brief overview of what will be covered.
4. EXPLAIN that many of these best practices are gleaned from UN documents, notably the Standard Minimum Rules for the Treatment of Prisoners, the Body of Principles for the Protection of All Persons under any form of Detention or Imprisonment, and the Basic Principles for the Treatment of Prisoners. The intent is to inform participants of best practices adopted by many countries, including the U.S. The best practices described in this module are meant to be modified to best support policies, procedures, and standards that KSA has in place.
5. ADVANCE to next slide to review module objectives.

### **Worksheets**

- Checklists for Offender Files
- Consequences

## Learning Objectives



- Explain why keeping accurate records helps guard against human rights violations



- Explain why keeping accurate records is a prerequisite for effective prison management



- Determine types of information that should be recorded upon admission, on-going detention, and release



- Name the types of records that should be kept on offenders
- Describe the security considerations for offender records

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### Learning Objectives

These learning objectives are the essential steps to reaching the goal of the course—understanding procedures and best practices for classifying offenders.

### Facilitator Notes

1. **EXPLAIN** the objectives to the participants to set expectations for the module.
2. **ASK** whether participants have any questions or need clarification on the objectives.





## Keeping Records to Support Human Rights

*“Experience shows that detainees who are not properly documented are extremely vulnerable to gross violations of their human rights.”*

» Philip Alston, United Nations Special Rapporteur on extrajudicial, summary, or arbitrary executions



**Why do you think this is a true statement?**

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### Keeping Records to Support Human Rights

Except for limitations inherent to incarceration, offenders retain human rights and fundamental freedoms specified in the Universal Declaration of Human Rights.

Law enforcement, prison systems, and other state bodies responsible for detaining these individuals are also responsible for ensuring that the decision to detain is lawful and the treatment and care are compliant with human rights standards.

The detaining authority must demonstrate that detained persons have been treated in accordance with the law. A file that contains evidence of the physical and mental health of the detained person is necessary to confirm that no abuses have been committed against the individual.

### Facilitator Notes

1. **ENGAGE** participants in the quote and discussion question.
2. **PROVIDE** the following examples of how offenders' human rights can be violated without accurate records.
  - Consider a person who has been detained without charge. What record exists of the arrest? With no recorded medical observation, how would you know the person has not been subjected to torture?
  - If there is no file recording the classification of detainees or offenders as juveniles, how can you be sure that juveniles will be separated from adults? If there is no formal record of medical examinations, how can you be sure female offenders have not been subjected to abuse?
3. **BRING** the discussion back to classifications and the types of information required—e.g., risk assessments, programming needs, medical needs, etc. Ask participants the same questions. How can they rehabilitate an offender if they do not know what her risk needs are?
4. **Note:** This topic will be discussed in more detail later in the module.



## Relevant Mandela Rules

### Rule 6:

There shall be a standardized offender file management system in every place where persons are imprisoned. Such a system may be an electronic database of records or a registration book with numbered and signed pages.



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### Mandela Rule 7

No person shall be received in a prison without a valid commitment order.

The following information shall be entered in the prisoner file management system upon admission of every prisoner:

- Precise information enabling determination of his or her unique identity, respecting his or her self-perceived gender;
- The reasons for his or her commitment and the responsible authority, in addition to the date, time and place of arrest;
- The day and hour of his or her admission and release as well as of any transfer;
- Any visible injuries and complaints about prior ill-treatment;
- An inventory of his or her personal property;
- The names of his or her family members, including, where applicable, his or her children, the children's ages, location and custody or guardianship status;
- Emergency contact details and information on the prisoner's next of kin.

### Mandela Rule 8

The following information shall be entered in the prisoner file management system in the course of imprisonment, where applicable:

- Information related to the judicial process, including dates of court hearings and legal representation;
- Initial assessment and classification reports;
- Information related to behaviour and discipline;
- Requests and complaints, including allegations of torture or other cruel, inhuman or degrading treatment or punishment, unless they are of a confidential nature;
- Information on the imposition of disciplinary sanctions;
- Information on the circumstances and causes of any injuries or death and, in the case of the latter, the destination of the remains.

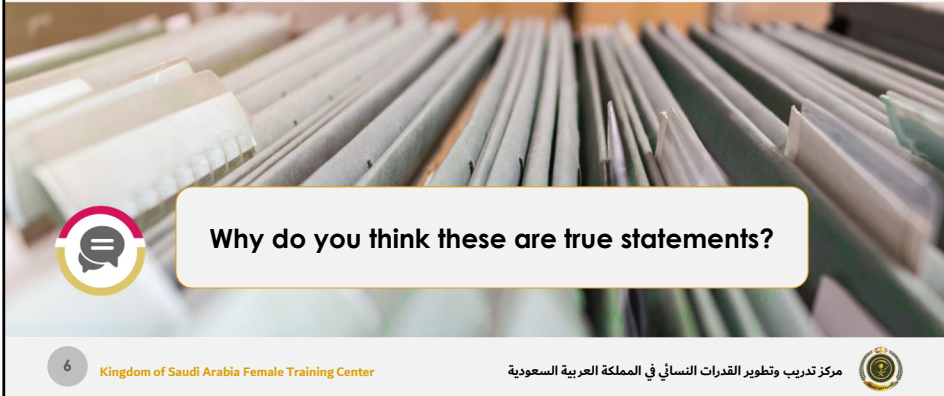
### Facilitator Notes

DISCUSS the three Mandela Rules on prisoner file management. (Note, other rules will be discussed later in the module.)



## Keeping Records for Effective Management

- Creating and maintaining offender files:
  - ✓ Is an essential component of effective prison management
  - ✓ Plays an important part in improving the transparency and accountability of prison administrations



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### Keeping Records for Effective Management

Accurate, timely, and accessible information on offenders is critical to informing day-to-day prison management and long-term prison planning.

Think of the information gathered and retained during classification and imagine the number of ways in which prison managers can use that information to better inform their decisions.

Just as paper records, electronic records must be protected from unauthorized access, properly stored and handled, and preserved for historical or evidential value. Procedures—including backup and recovery procedures for electronic records—should be documented, and staff should be trained to provide for consistency in records maintenance.

### Facilitator Notes

1. ENGAGE participants in the information and discussion question in the slide.
2. REMIND participants of the module you just completed on Classification. Ask participants to consider the types of information gathered and retained from the classification process.
3. ENCOURAGE brainstorming on the benefits of this information to prison management.
4. Then INTRODUCE the following:
  - The offenders' classification, health, and rehabilitative needs provide important information for prison managers to identify resource requirements, set budgets, manage health and safety, and develop appropriate rehabilitative and treatment programs.
  - Offender information enables prison managers to plan daily activities such as meals, medical treatment, and cell allocations.
  - They can also help managers determine staffing levels. At the strategic level, the size and profile of the prison population guides managers in planning the development and delivery of prison services, such as health care, vocational training, education, and rehabilitation programs.
5. Note: This topic will be discussed in more detail later in the module.





## Admission and Registration Record

- The arrest and imprisonment must be documented, to include:
  - ✓ Time of the arrest and placement of the arrested person in custody
  - ✓ The arrested person's first appearance before a judicial or other authority
  - ✓ Identity of the law enforcement officials concerned
  - ✓ Precise information concerning the place of custody



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### Admission and Registration Record

The types of records discussed in this and the next six slides are intended to describe a model system that has been accepted by multiple countries as being good practice.

The purpose is for the KSA to be able to blend its own best practices with these and enhance its record-keeping processes.

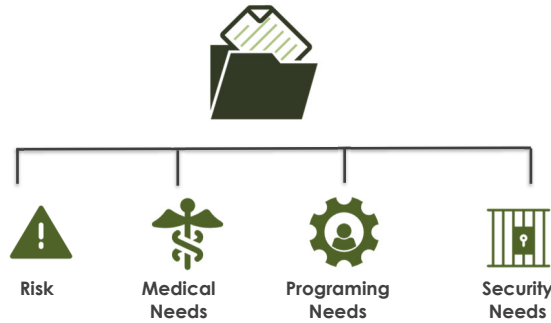
### Facilitator Notes

1. EXPLAIN that the arrest and imprisonment of a person must be thoroughly documented.
2. To meet the provisions of law, relevant documentation must record and demonstrate that the arrest, detention, or imprisonment is lawful.
3. ADD that in every place where persons are imprisoned, a bound registration book should be kept.
4. REMIND participants that no person will be received in an institution without a valid commitment order.



### Classification and Placement Record

- The classification and placement of offenders are based upon accurate, timely, and accessible files that document:



#### Classification and Placement Record

The Standard Minimum Rules underline the rehabilitative purpose of imprisonment and the need for every offender to receive an appropriate program of treatment.

Appropriate treatment is dependent on the assessment and recording of the individual needs of an offender and her program of treatment, all of which should be kept in the offender's file.

These reports must be kept up to date and classified in such a way that responsible authorities can access when the need arises.

#### Facilitator Notes

1. REMIND participants of the assessments conducted in the previous module.
2. EXPLAIN that these assessments must be included in the offender's file and kept at the facility of custody.
3. ADD that the Standard Minimum Rules also require that in the event of employment (again remind participants of work assignments from the previous module), earnings must be recorded and kept in the offender's file.
4. EXPLAIN that the assessments must also address security needs.
5. EXPLAIN that a medical file on every offender must document her condition upon arrival and any medical interventions that may occur thereafter. The name of the physician and results of any medical examination must be recorded.
6. ADD that these records demonstrate compliance with the standard and address allegations of physical or mental abuse.
7. Documentation also helps in legal disputes (lost property, abuse, substandard medical treatment, etc.)





## Relevant Mandela Rules

### Rule 26:

The health-care service shall prepare and maintain accurate, up-to date and confidential individual medical files on all offenders, and all offenders should be granted access to their files upon request. An offender may appoint a third party to access his or her medical file.

Medical files shall be transferred to the health-care service of the receiving institution upon transfer of a prisoner and shall be subject to medical confidentiality.



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### Mandela Rules

### Facilitator Notes

Briefly REVIEW Mandela Rule 26 regarding international standards for medical records.



## Belongings and Personal Effects

- A record of all items belonging to the offender should be included in the offender's file
- The record will ensure that all personal effects are returned to the offender upon her release



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### Belongings and Personal Effects

An inventory list should be made of all money, valuables, clothing, or other personal belongings and provided to the offender to review and sign.

This inventory list should be kept in the offender's files. Upon release, the offender will sign a receipt for her belongings.

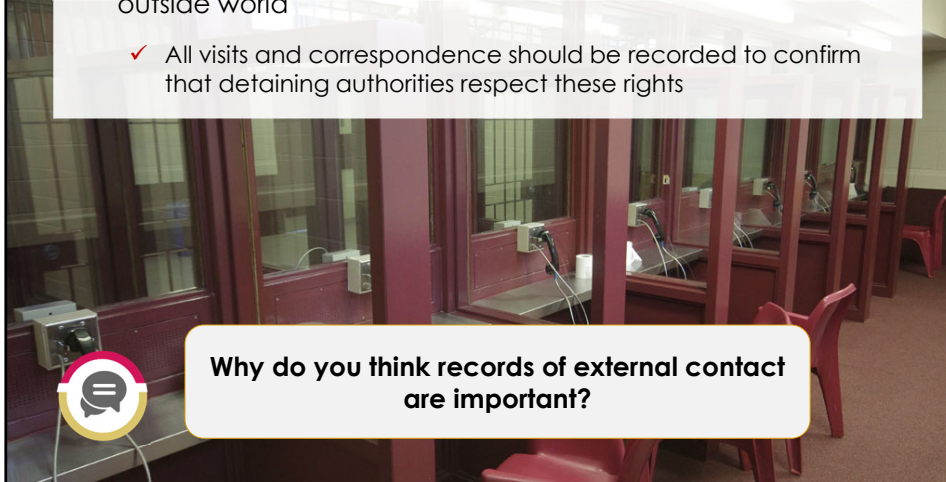
### Facilitator Notes

1. EXPLAIN the steps that should be taken to ensure that offender belongings are accounted for.
2. EXPLAIN that the inventory list should be signed by the offender and maintained in the offender's file. Upon release, the offender will receive her belongings and sign a receipt.



## Record of External Contact

- Offenders have certain rights to have contact with the outside world
  - ✓ All visits and correspondence should be recorded to confirm that detaining authorities respect these rights



Why do you think records of external contact are important?

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### Record of External Contact

The Standard Minimum Rules state that offenders will be allowed to communicate with their family and reputable friends at regular intervals, both by correspondence and in-person visits. However, these communications will be under supervisions, and records of the contact must be kept.

Additionally, the Body of Principles states that detained or imprisoned persons are entitled to consult with legal counsel without delay or censorship and in full confidentiality.

Documentation of these visits demonstrate compliance with the standard, especially when the visit is official, such as from a foreign consulate or counsel. This documentation should become a part of the offender's file.

### Facilitator Notes

1. EXPLAIN the right to external contact.
2. ENGAGE participants in the discussion question.
3. PROVIDE examples of why visits and correspondence are monitored. For correspondence, explain that prison officials are looking for contraband or plans for escape, etc.
4. EXPLAIN why records should be kept on meetings and correspondence with outside contacts.
5. ADDRESS the right to meet with attorneys or other legal counselors and the need for documentation to show compliance.
6. ADD any information you may have on how and why keeping records on outside communications help keep the prison secure.



## Inspections, Complaints, and Grievances

- Documentation of the use of complaint and grievance procedures by any offender is critical
- Information contained in the offender file is of great value to any person reviewing the situation



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### Inspections, Complaints, and Grievances

An offender has the right to file a complaint regarding her treatment—in particular, in case of reported torture or other cruel or degrading treatment.

Prison authorities should maintain accurate, complete, and accessible files of any inspections, complaints, and grievances that enable external review. The failure to do so invites suspicion and distrust.

### Facilitator Notes

1. EXPLAIN the UN standards (Body of Principles) that state a detained or imprisoned person has the right to make a request or complaint regarding her treatment to authorities responsible for the administration in the place of detention and higher authorities, when necessary.
2. ENGAGE participants in the discussion question on why keeping a record of any inspections, complaints, and grievances is important.
3. EXPLAIN the appearance of guilt by not having these files and the benefits of proving innocence by having accurate and accessible files that document the history.
4. ADD any information you may have.



## Transfer and Release

- Transfer details of offenders must be recorded to ensure the offender's rights are exercised
  - ✓ An incarcerated person has the right to notify appropriate persons of her choice of her arrest, imprisonment, or transfer
- Accurate records should contain parole eligibility and/or release date



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### Transfer and Release

Transfer details of offenders should be duly recorded to ensure their rights are protected and to ensure against disappearances. Accurate records should contain parole eligibility and/or release dates.

Offenders may be transferred from one prison to another for a number of reasons, including: their security category has changed so they can serve the final weeks of their sentence in a prison closer to their home, they are behaving in a disruptive way, for their own safety, or their sentence plan requires them to complete a course that is not available at the other prison.

Amendments to security and risk classification, details of disciplinary charges, appeals made, and results of disciplinary processes must be documented and kept in the offender's file. Details of transfers, including reasons for transfer and confirmation that next of kin have been notified must be kept in the offender's file.

### Facilitator Notes

1. EXPLAIN that after an arrest and after each transfer from one place of detention or imprisonment to another, a detained or imprisoned person is entitled to notify family members or other appropriate persons of her arrest, detention, or imprisonment. She also is entitled to notify them of any transfer of custody.
2. EXPLAIN reasons in which an offender may be transferred and the importance of documenting the transfer, any progress reports and amendments to the plan, or details of disciplinary charges and appeals.
3. EXPLAIN again the benefits of keeping these types of records—transparency and accountability.






### Creating Checklists

**EXERCISE**


- Create a checklist of information that should be in an offender's file:
  - ✓ Group 1: Upon admission
  - ✓ Group 2: During ongoing detention
  - ✓ Group 3: Upon release



Work in Groups

➔


Share Response



20 min.

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Creating Checklists	
Duration	20 minutes
Purpose	The purpose of this activity is to brainstorm types of information that should be kept in the offenders' files at all times.
Materials	<ul style="list-style-type: none"> <li>Flipchart</li> <li>Markers</li> </ul>
Steps	<ol style="list-style-type: none"> <li>1. Work in small groups.</li> <li>2. Think about the types of files discussed throughout the module.</li> <li>3. Discuss among your small group all information that should be included in these files.</li> <li>4. Group 1: Determine the information that should be included in the offender's file upon admission.</li> <li>5. Group 2: Determine the information that should be included in the offender's file during ongoing detention.</li> <li>6. Group 3: Determine the information that should be included in the offender's file upon release.</li> <li>7. Be prepared to share with the class.</li> </ol>

**Facilitator Notes**

1. HAVE participants work in their small groups.
2. EXPLAIN the activity.
3. REGROUP on the next slide.



## Creating Checklists

### REGROUP

- Group 1: Upon admission
- Group 2: Ongoing detention
- Group 3: Upon release



CHECKLISTS FOR  
OFFENDER FILES

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### Creating Checklists

Regroup from the previous activity and discuss the responses as a group.

### Facilitator Notes

1. REGROUP from the previous activity.
2. CALL upon a spokesperson from each group to give the group's response.
3. ENCOURAGE participant interaction as they discuss their responses. Ask participants to identify anything they think should be added to each checklist.
4. DISTRIBUTE the checklists of information that should be added to all groups and give participants a few minutes to review.
5. CONGRATULATE participants on the items they included.



### Consequences of Not Keeping Records

- For offenders who:
  - ✓ Have not been charged
  - ✓ Have been sentenced
  - ✓ Are vulnerable
  - ✓ Are foreign nationals
- For detaining authorities
  - ✓ Admissions
  - ✓ Treatment & rehabilitation
  - ✓ Security & risk management
  - ✓ Transfer & release
  - ✓ Resources



CONSEQUENCES

What are the consequences for offenders?  
Detaining authorities?

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#### Consequences of Not Keeping Records

Think of the consequences of not keeping records on offenders who have not been charged, those who have already been sentenced, vulnerable or special needs offenders, and foreign national offenders.

Now think of the consequences for detaining authorities. What information would be missing that the admissions staff would need? What about treatment and rehabilitation, security and risk management, and transfer and release? How would not having essential information on offenders affect obtaining the right amount of resources?

#### Facilitator Notes

1. ENGAGE participants in the discussion question.
2. ENCOURAGE brainstorming on the consequences for each entity mentioned above.
3. ASK probing questions to encourage the brainstorming or offer some thoughts, but leave most of the answers to the participants.
4. After some time, DISTRIBUTE the checklist of consequences and review with participants.



## Demonstrating Accountability

- Offender file management is an essential tool for demonstrating open and transparent institutions, including:
  - ✓ The arrest and detention are lawful
  - ✓ The rehabilitative purpose of imprisonment is respected & fulfilled
  - ✓ Imprisonment is serving to protect the public
  - ✓ Prisons and detention facilities are not subjecting offenders to abuses such as torture and ill-treatment
  - ✓ Appropriate security measures are considered & implemented



**Why does demonstrating accountability matter?**

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### Public Accountability

Offender file management is an essential tool for demonstrating open and transparent institutions. In addition to the items listed above, offender file management helps instill public confidence in criminal justice and the rule of law by providing openness and transparency. Public confidence has direct implications on public willingness to interact and cooperate with the criminal justice system.

### Facilitator Notes

1. EXPLAIN that offender file management demonstrates accountability.
2. ADD that it also helps instill public confidence in criminal justice and the rule of law.
3. EXPLAIN that it illustrates oversight and professionalism. The completeness and accuracy of the files tell an inspection body a great deal about the professionalism of the detaining authority and the commitment to international human rights.







## Relevant Mandela Rules

### Rule 92.3:

The reports and other relevant documents shall be placed in an individual file. This file shall be kept up to date and classified in such a way that it can be consulted by the responsible personnel whenever the need arises.



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### Mandela Rules

### Facilitator Notes

Briefly DISCUSS Mandela Rule 92.3 regarding classification and security of offender files.



## Offender File Management Protocol

- ✓ Dedicated personnel
- ✓ Systematically organized files
- ✓ Secure storage
- ✓ Clear guidelines
- ✓ Central file register
- ✓ Separate medical files with dedicated staff
- ✓ Procedures for file release
- ✓ Transfer of files between institutions
- ✓ Written file management procedures
- ✓ Training?



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### Offender File Management Protocol

Develop an offender file management protocol by asking the following questions:

- Are dedicated staff responsible for creating and maintaining offender files and registers?
- Are the files organized in a systematic way?
- Are the files stored in a secure area, accessible only to authorized personnel?
- Are clear guidelines given to staff on what information needs to be collected and how it is collected and organized within each file?
- Is there a central file register to record where files are located and who has access to them?
- Are medical files kept separately from general offender files?
- Are dedicated staff responsible for these files?
- What procedures are in place to monitor how files are released and how information within the files is shared with external parties?
- What procedures are in place to support the transfer of files between institutions?
- Are the offender file management procedures written down and made available to relevant personnel?
- Is training provided to staff to ensure they work in compliance with the procedures?

### Facilitator Notes

1. REVIEW the guidelines listed in the slide and left column.
2. ADD that medical files should not be made available to non-medical personnel. Information on the health status and medical treatment of offenders is confidential and should be recorded in files available only to health personnel.
3. EXPLAIN that a central file register should contain information indicating the current location of each general offender file. A designated member of staff should be responsible for maintaining the register and have clear procedures that outline how the register should be updated and used.
4. ADD that separate file registers may be set up to record information about released or deceased offenders, offenders under disciplinary measures, and offenders who have been transferred to another institution.
5. EXPLAIN that the central file register and general offender files need to be stored in a prison registry (or registry office) that should be a secure area with controlled access. The offender files should be stored in lockable, fireproof, waterproof, and vermin-proof cabinets.



### Discussion: Providing Access

- To whom do you allow access to offender files?
- What procedures are in place?
- Do offenders have access to their records?



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مركز تدريب وتطوير القدرات النسائي في المملكة العربية السعودية



#### Discussion: Providing Access

Think about the way in which you manage offender files and determine your best practices or consider whether you can improve upon your system.

#### Facilitator Notes

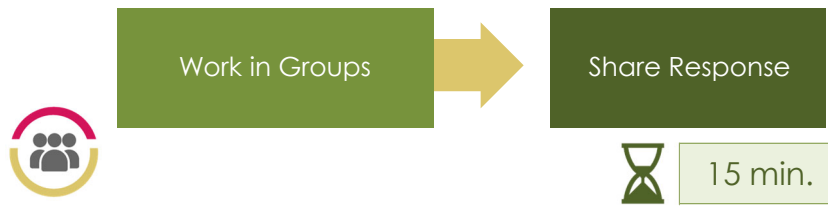
1. ENGAGE participants in the discussion questions.
2. DISCUSS offender access to their records.
3. EXPLAIN that access to files should be on a need-to-know basis; the central file register should record all access given to offender files.
4. Best practice dictates that access to information contained in the general offender files by external parties should follow national legislation and protocols relating to data protection and should at all times respect the offender's right to privacy and confidentiality.



## Storing & Securing Records

### EXERCISE

- Going back to the previous exercise on information that should be in offenders' files:
  - ✓ **Group one:** Upon admission
  - ✓ **Group two:** During ongoing detention
  - ✓ **Group three:** Upon release
- Explain how your records will be stored and secured
- Determine who should have access to these records



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مركز تدريب وتطوير القدرات النسائي في المملكة العربية السعودية



### Storing & Securing Records

Duration	15 minutes
Purpose	The purpose of this activity is to brainstorm best practices for storing and securing offender files in the KSA.
Materials	<ul style="list-style-type: none"> <li>• Flipchart</li> <li>• Markers</li> </ul>
Steps	<ol style="list-style-type: none"> <li>1. Work in small groups.</li> <li>2. Looking back to the last exercise in which you determined information that should be included in files at various times during the offender's incarceration, now determine how those files or records can best be stored and secured. Also determine who can have access to these records:                     <ul style="list-style-type: none"> <li>• Group 1: Records upon admission</li> <li>• Group 2: Records during ongoing detention</li> <li>• Group 3: Records upon release</li> </ul> </li> <li>3. Be prepared to share with the class.</li> </ol>

### Facilitator Notes

1. HAVE participants work in their small groups.
2. EXPLAIN the activity.
3. REGROUP on the next slide.



## Storing & Securing Records

### REGROUP

Explain how records will be stored and secured

- ✓ Group one: Upon admission
- ✓ Group two: During ongoing detention
- ✓ Group three: Upon release



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### Storing and Securing Records

Regroup from the previous activity and discuss the responses as a group.

### Facilitator Notes

1. REGROUP from the previous activity.
2. CALL upon a spokesperson from each group to give the group's response.
3. ENCOURAGE participant interaction as they discuss their responses.
4. ENCOURAGE participants to ask questions of and offer advice to other groups.
5. PROVIDE your observations and ask any questions you may have of the groups.



## SUMMARY

### Topics

- ✓ Why Keep Records?
- ✓ Best Practices in File Management
- ✓ Information to Keep in Records
- ✓ Consequences of Not Keeping Complete Records
- ✓ Keeping Records Secure

### 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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### Summary

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

### Facilitator Notes

1. ASK for volunteers to answer these two questions.
2. ENCOURAGE participants to engage in a conversation to test knowledge gained in this module.



# Course Worksheets



## Example Outline of a Case and Sentence Management Plan

### 1. Introductory comments and case status

Basic information, including the offender's age, length of sentence, current offense, court-ordered obligations, outstanding charges or appeals, and, if applicable, deportation or extradition status. Identify prison officers and other staff who have completed work on the assessments and the offender's level of participation in the development of the case and sentence plan.

- Current offense:
- Summary of official version and offender's version of the offense:
- Criminal history:
- Concise summary of the offender's previous criminal history:
- Assessment results:

Discuss each of the following subsections:

### 2. Offender management and classification

- Offender management rating:
- Criminal history:
- Institutional adjustment:
- Escape risk:
- Stability factors:
- Overall assessment:

### 3. Other management issues: recommended housing assignment:

- Criminogenic need areas and recommended interventions:
- Dynamic and criminogenic need factors identified:
- Treatment priorities (based on assessment):
- Prisoner motivation:
- Prisoner accountability:
- Recommended treatment intensity (based on assessment):



## Classifying Offenders

### Offender Profile #1

Offender #1 has been sentenced to 10 years for her role in a conspiracy to smuggle weapons into the country. She has two previous convictions: One for weapons possession (2-year sentence), and the other for burglary (6-year sentence).

Records from her previous incarcerations indicate that she is a validated member of a security threat group that has members serving sentences in every prison in the Ministry. She shows 3 incident reports in 8 years of incarceration, 1 for Assault on Staff, 1 for Insolence, and 1 for Being in an Unauthorized Area.

Immediately after her sentencing, Offender #1 assaulted a bailiff during a failed escape attempt. The bailiff suffered a broken arm and several bruises during the attack. Offender #1 is 29 years old. Court-ordered mental health evaluations indicate that Offender #1 tests on the spectrum for Autism Disorder. She was sentenced to 10 years' incarceration on her instant offense.

### Offender Profile #2

Offender #2 is a 19-year-old woman serving her first prison sentence for receiving stolen property (4-year sentence). Arrest and court records indicate that Offender #2 was taken into custody without incident; a subsequent medical examination determined that she was under the influence of narcotics at the time of her arrest as well as suffering from malnutrition. The court has ordered that she undergo addiction treatment during her sentence. She has no known direct ties to any security threat group identified by the Ministry.

Offender #2 cooperated with authorities throughout the investigation and trial and has requested that she be incarcerated within a reasonable distance of her hometown to allow for visits from her family. As part of her cooperation, she provided information used to help convict her 2 accomplices, who were associates of the \_\_\_\_\_ terrorist group.



## Reclassifying Offenders

### Offender Profile #1

Offender #1 has been sentenced to 10 years for her role in a conspiracy to smuggle weapons into the country. She has two previous convictions: One for weapons possession (2-year sentence), and the other for burglary (6-year sentence).

Records from her previous incarcerations indicate that she is a validated member of a security threat group that has members serving sentences in every prison in the Ministry. She shows 3 incident reports in 8 years of incarceration, 1 for Assault on Staff, 1 for Insolence, and 1 for Being in an Unauthorized Area.

Immediately after her sentencing, Offender #1 assaulted a bailiff during a failed escape attempt. The bailiff suffered a broken arm and several bruises during the attack. Offender #1 is 29 years old. Court-ordered mental health evaluations indicate that Offender #1 tests on the spectrum for Autism Disorder. She was sentenced to 10 years' incarceration on her instant offense.

### 12 months later:

Offender #1 was enrolled in an anti-STG program, which is a three-tier process to provide offenders skills to be able to denounce their STG lifestyle. During the subsequent 12 months, she graduated from each tier and re-established family ties with her mother and son. Frequent family visits during the last year have been successful, and the offender has requested a parenting program at another facility. She has been discipline-free for the past 10 months but received an incident report for insolence toward a staff member (based on a verbal confrontation over her cell cleanliness) 6 weeks after arrival. Her mother has sent a letter to the warden indicating the offender's wish to be a better parent and to leave the STG for good. The parenting program is located 100 miles away at a lower-level secure facility.

Based on the above circumstances, would you reclassify the offender to be housed in a lower level facility to attend the parenting program? Explain why or why not.

### Offender Profile #2

Offender #2 is a 19-year-old woman serving her first prison sentence for receiving stolen property (4-year sentence). Arrest and court records indicate that Offender #2 was taken into custody without incident; a subsequent medical examination determined that she was under the influence of narcotics at the time of her arrest as well as suffering from malnutrition. The court has ordered that she undergo addiction treatment during her sentence. She has no known direct ties to any security threat group identified by the Ministry.

Offender #2 cooperated with authorities throughout the investigation and trial and has requested that she be incarcerated within a reasonable distance of her hometown to allow for visits from her family. As part of her cooperation, she provided information used to help convict her 2 accomplices, who were associates of the \_\_\_\_\_ terrorist group.

### 5 months later:

Offender #2 was assigned to a minimum-security prison. She has been reprimanded twice for hiding contraband. She completed the first drug treatment program but refused any follow-up programs. The contraband was linked to a staff member who convinced the offender to become involved in a smuggling for profit enterprise. She was told she had to help facilitate the introductions or be sent farther from her family on a fabricated charge. Since the enterprise was discovered, the staff member has been on home duty pending the investigation completion.

Based on her separation needs, her involvement with a staff investigation, and a possible charge for contraband introduction, would you re-classify the offender? If so, when would you do the re-classification?



## Information that Should Be Included in Offenders' Files

**Note:** The following best practices are gleaned from the UN Handbook on Prisoner File Management and are applicable to any correctional institution that accepts untried and/or convicted offenders.

### Upon admission to a correctional facility

1. The name of the person must be entered into an official registry for the correctional facility, and an official file must be opened, recording the date and time of admission.
2. The file must identify the person, using a means that is acceptable in the state. A photograph must be taken as soon as possible.
3. The file must contain a lawful warrant authorizing admission. The transfer to correctional institution authority must be a formalized and documented procedure. Admitting staff must be as certain as possible of the identity of the person being admitted.
4. Admitting documentation must include contact information for next of kin, and the offender's initial contact of next of kin or legal counsel must be recorded. Where no such contact occurs, the offer of opportunity for contact must be recorded.
5. Admitting documentation must include a medical examination and must note the condition of the person, with particular attention to any mental or physical health concerns, having due regard to the possibility of medication requirements and of abuse at the hands of the original detaining authority.
6. The file must contain detailed identification of personal effects either allowed into the institution or taken from the person to be held by the institution.
7. The file of a sentenced offender must include a sentence calculation that is completed within a specified period, and a copy must be provided to the offender.
8. The file of a sentenced offender must identify the cell number or bed number to which she is assigned.
9. The file of a sentenced offender must contain her classification, which has been completed using methods defined in policy and procedure.
10. All of the foregoing requirements also apply to the detained person, with the exception of No. 9.
11. The file must document all disciplinary charges against the person and the results of any disciplinary processes undertaken.
12. The file must document all transfers and the lawful reasons for those transfers.
13. The file must document all releases and the lawful reasons for those releases.
14. All files may be accessed by an external oversight authority that is defined. The external authority can be administrative or judicial, but in all cases must report to a higher authority than the head of the correctional system.
15. File audits are required at identified periods by an external oversight authority.
16. Files must be retained indefinitely.



**Ongoing detention/imprisonment.** Additional files are required when a person is held in custody pursuant to a judicial decision. All the foregoing requirements on admission continue to apply in addition to the following:

1. A description of the plan that is to be followed by the person during the period of detention/imprisonment
2. The plan must describe the program the person is required to follow to achieve a reduced classification and to prepare for return to the community.
3. Periodic evaluations of the person's progress against the plan, including the modification of the plan where that is required
4. Periodic re-evaluations of the person's security requirements to ensure she is being held in a prison consistent with her classification
5. Records of any ongoing physical or mental health concerns
6. Medical records detailing visits to physicians, dentists, or mental health professionals

**Upon release.** Most offenders serve determinate sentences and return to their communities. Correctional systems have a responsibility to help prepare such persons for that return and to document their efforts to do so. Much of this documentation will be contained in the file already, describing the progress of the offender against the plan created for her. However, there are some important elements that must be recorded near or at the time of release, such as the following:

1. Pre-release medical, dental, and optician examination
2. A record of identification documents that will be required by the offender following release
3. Notation of the funds that are available to the offender upon release
4. Notation of the return to the offender of her effects, as recorded upon admission, and during the period of imprisonment
5. Precise date and time of release
6. Planned destination
7. The issue of clothing that is appropriate to the climate and season
8. Where required by law, the file must record that notifications of community authorities are completed.



## Consequences of Not Having an Offender File System

Consequences of Not Having an Accessible, Accurate, or Up-to-Date Offender File System	
Absent or incomplete files for <b>offenders who have not been charged</b> can have the following consequences	
✓	The reason for arrest and detention may not be recorded or made available to the detainees or their lawyer
✓	The location of their detention or details of transfer to other institutions may not be documented
✓	Lack of records will leave detainees vulnerable to abuses in detention
✓	Medical examinations may not occur or be documented, limiting access to appropriate health care and treatment
✓	Access to external contacts, including legal counsel may be limited
Absent or incomplete files for <b>sentenced offenders</b> can have the following consequences	
✓	The lack of a documented assessment of their individual needs will hinder efforts to plan a program of treatment or rehabilitation
✓	The lack of a recorded risk assessment will prevent officials from making informed decisions about risks they may pose to themselves and others
✓	The lack of a documented assessment will compromise efforts to review parole
✓	Lack of sentencing information, including dates to review sentences, may result in offenders exceeding their prison terms
Absent or incomplete files for <b>vulnerable categories of offenders</b> can have the following consequences	
✓	Their individual needs may not be assessed or recorded, thereby preventing them from receiving appropriate treatment and care
✓	They may not be classified as vulnerable, or their vulnerable status may not be recorded, which may result in being held in the wrong type of institution and not being treated according to their classification status
✓	Detaining authorities may neglect the needs of dependents of the offender or detainee if they are not recorded or assessed
Absent or incomplete files for <b>foreign national offenders</b> can have the following consequences	
✓	Offenders may be denied access to consular assistance
✓	If they do not speak the language of the detaining authorities and their language is not identified and recorded, they may not receive information about their detention or criminal proceedings



Consequences for the <b>detaining authority</b>	
✓	<p><b>Admissions:</b></p> <ul style="list-style-type: none"> <li>• The number of offenders received into the system is unknown; therefore, knowing the total prison population at any given time is difficult</li> <li>• With incomplete information on the classification of offenders or detainees, authorities are unable to correctly segregate different categories</li> </ul>
✓	<p><b>Treatment and rehabilitation:</b></p> <ul style="list-style-type: none"> <li>• Without a record of whether a medical examination and needs assessments have taken place, including findings and recommendations, authorities are unable to plan and resource rehabilitation programs or medical treatment</li> </ul>
✓	<p><b>Security and risk management:</b></p> <ul style="list-style-type: none"> <li>• Authorities are ill-informed of the risk offenders present to themselves and others and are unable to protect offenders and staff from harm</li> <li>• Authorities will be unable to identify the level of security or observation needed for individual offenders</li> </ul>
✓	<p><b>Transfer and release:</b></p> <ul style="list-style-type: none"> <li>• Offender information does not accompany the offender as they move from one institution to another</li> <li>• Receiving institution does not have information to inform it about the offender's needs and appropriate treatment and care</li> <li>• Receiving institution will not know about medical needs, behavioral history, etc.</li> </ul>
✓	<p><b>Resource planning:</b></p> <ul style="list-style-type: none"> <li>• Prison authorities are unable to effectively plan the allocation of resources, both in terms of finance and personnel</li> </ul>

Course Evaluation

تقييم الدورة

# 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: CIM

Date: \_\_\_\_\_

1 Rate each aspect of the training: (circle rating)	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: (circle rating)	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.

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*Thank You and Congratulations!*