UNODC
United Nations Office on Drugs and Crime

Handbook on
**Dynamic Security and
Prison Intelligence**

CRIMINAL JUSTICE HANDBOOK SERIES

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Acknowledgements

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Introduction

Who the Handbook is for

This Handbook is one of a series of tools developed by UNODC to support countries in the implementation of the rule of law and the development of criminal justice reform. It is designed to be used by all actors involved in the prison system, including policymakers, legislators, prison managers, prison intelligence officers and prison staff. Members of other law enforcement bodies, non-governmental organizations and other individuals interested or active in the field of criminal justice and prison reform may find it of interest. It can be used in a variety of contexts, both as a reference document and as a training tool.

What the Handbook covers

The theme of the Handbook is prison security—the means by which escapes and other crimes are prevented. Its main focus is on the contribution made by dynamic security and highlights one particular element of dynamic security—prison intelligence[1]—which provides important intelligence for use within the prison to prevent escapes and maintain order and control. Prison intelligence can also be used more widely by criminal justice, law enforcement and security bodies and agencies to prevent 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.

Chapter 1 describes the three key elements in the prison security framework—physical security, procedural security and dynamic security—and sets those within the context of international human rights instruments. It makes clear that effective security and human rights are compatible and both can be delivered within a well-managed prison. The four main high-level security functions (categorization and assessment, accounting and control, searching, communications and surveillance) are described, and related objectives and baselines identified. The importance of security risk assessment and security risk indicators is also explored.

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[1] While the term "intelligence" can have negative associations in some jurisdictions, it is now commonly used across law enforcement agencies and prison administrations in most Member States.

Dynamic security and the importance of staff directly supervising and engaging with prisoners is the focus of chapter 2. It highlights the need for staff to communicate with prisoners, have regular contact with prisoners, establish professional relationships and involve themselves in prisoners' daily lives. The importance of preventing the conditioning and manipulation of staff is explored. The second part of the chapter emphasizes another element of dynamic security—putting in place a programme of constructive activities that provides prisoners with opportunities to change and develop, gain qualifications, and maintain their health and intellectual and social functioning. It makes the point that such programmes contribute to prison security by keeping prisoners active and occupied.

Chapter 3 focuses on defining what is meant by intelligence, before going on to explain the rationale for intelligence gathering in prisons. It describes types of intelligence and provides definitions for key terms used by intelligence practitioners. The chapter looks at the policy and organization required for an effective intelligence operation in prisons. It goes on to describe the role and function of a Prisons Intelligence Unit. The need for having effective safeguards in place is highlighted. The issues of internal and external coordination are explored and the importance of multi-agency working emphasized. The role and benefits of having prison-based police intelligence officers is discussed. The use of covert surveillance measures and prisoner informers involves a careful balancing of a prisoner's rights against the need to investigate serious criminality and is considered at the end of the chapter.

The final chapter, chapter 4, outlines the intelligence cycle, its components and principles. It describes in detail the key elements of the intelligence cycle: tasking, collection, evaluation, collation, analysis, dissemination and re-evaluation. Examples of various intelligence-related template forms are provided in the annexes.

This Handbook considers the challenges faced by prison managers in running secure prisons and the importance of good quality intelligence in ensuring that the prison is safe, well ordered and that prisoners held within it are not directing criminal activity outside the prison. The intention of the Handbook is to complement existing United Nations Office on Drugs and Crime (UNODC), United Nations Department of Peacekeeping Operations (UNDPKO) and the Office of the United Nations High Commissioner for Human Rights (OHCHR) publications which provide more detailed consideration of specific themes and prisoner groups.[2] It must be emphasized that this Handbook does not cover the detail of prison security management or operations and is not intended as a security manual.

Further information on managing prison security and high security prisoners can be found in the UNODC *Handbook on Managing High-Risk Prisoners*.

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[2] UNODC: *Handbook for Prison Leaders; Handbook on Prisoner File Management; Handbook on Prisoners with Special Needs; Handbook on Women and Imprisonment.* UNDPKO: *Prison Incident Management Handbook.* OHCHR: *Human Rights and Prisons (Manual on Human Rights Training for Prison Officials; Compilation of International Human Rights Instruments concerning the Administration of Justice; Trainer's Guide on Human Rights Training for Prison Officials; Pocket Book of International Human Rights Standards for Prison Officials)*. See also, International Centre for Prison Studies: *A Human Rights Approach to Prison Management* (second edition).

Why a handbook?

The credibility of any prison system rests on its ability to keep prisoners in custody—in other words, to prevent them from escaping and from committing further crimes while in custody. This is a fundamental activity of prison management as it protects the public from further criminal acts; contributes to giving the public, media and politicians confidence in the rule of law and the criminal justice system; and enables prisoners to benefit from rehabilitation activities provided within the prison system. The consequences of failure can be severe. There have been instances where prisoners in custody and escaped prisoners have perpetrated acts of terrorism, murdered and seriously injured members of the public and law enforcement personnel, or committed other serious criminal activity.

Prison security refers not only to the means by which escapes are prevented but also to measures that are necessary to stop high-risk prisoners from directing criminal activity taking place outside the prison. Such criminal activity may include conducting organized crime, directing terrorist or gang activity, organizing drug trafficking, and seeking to intimidate or corrupt witnesses, judiciary, lawyer or jurors.

Maintaining a proper balance between security measures and obligations enshrined in international law, namely that all prisoners' fundamental human rights are respected and that they are treated accordingly, can be a challenge for prison administrators when faced with prisoners who are determined to escape and commit crime.

> "Secure prisons are essential to making our justice system an effective weapon against crime. When prisoners—convicted or awaiting trial—are entrusted to your care, they must know and the public must know that they will remain there until they are legally discharged …
>
> The full contribution which our prisons can make towards a permanent reduction in the country's crime-rate lies also in the way in which they treat prisoners. We cannot emphasise enough the importance of both professionalism and respect for human rights."
>
> — Nelson R. Mandela (Speaking to the South African Department of Correctional Services, 1998)

Treating all prisoners with humanity

A fundamental principle set out in international law and all relevant international standards relating to the treatment of prisoners is that their treatment should be humane and respect the inherent rights and dignity of the human person.[3] Torture, and inhuman and degrading treatment is prohibited under international law with respect to all prisoners, including those who are considered to be high security. Prison administrations cannot invoke any circumstances whatsoever as a justification to use torture or ill-treatment.[4]

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[3] International Covenant on Civil and Political Rights, Article 10; United Nations Standard Minimum Rules for the Treatment of Prisoners (the Nelson Mandela Rules), Rules 1 and 5(1); Body of Principles for the Protection of All Persons under Any Form of Detention or Imprisonment, Principles 1 and 6; European Prison Rules, Rules 1 and 72.1; Principles and Best Practices on the Protection of People Deprived of Liberty in the Americas, Principle I; Kampala Declaration on Prison Conditions in Africa, Recommendations 1-3; Recommendation CM/Rec(2014)3 of the Committee of Ministers to member States concerning dangerous offenders, Adopted by the Committee of Ministers on 19 February 2014 at the 1192nd meeting of the Ministers" Deputies, para. 3.

[4] Convention against Torture and Other Cruel, Inhuman and Degrading Punishment (CAT), Articles 2 and 16; International Covenant on Civil and Political Rights, Article 7; Universal Declaration of Human Rights, Article 5; United Nations SMRs (the Nelson Mandela Rules), Rule 1.

Treating prisoners with humanity does not hinder security and order in prisons but, on the contrary, is fundamental to ensuring that prisons are secure and safe. Good practice in prison management has shown that when the human rights and dignity of prisoners are respected and they are treated fairly, they are much less likely to cause disruption and disorder and to more readily accept the authority of prison staff.

United Nations Universal Declaration of Human Rights

Article 3

Everyone has the right to life, liberty and security of person.

International Covenant on Civil and Political Rights

Article 10

All persons deprived of their liberty shall be treated with humanity and with respect for the inherent dignity of the human person.

United Nations Standard Minimum Rules for the Treatment of Prisoners (the Nelson Mandela Rules)

Rule 1

All prisoners shall be treated with the respect due to their inherent dignity and value as human beings. No prisoner shall be subjected to, and all prisoners shall be protected from, torture and other cruel, inhuman or degrading treatment or punishment, for which no circumstances whatsoever may be invoked as a justification. The safety and security of prisoners, staff, service providers and visitors shall be ensured at all times.

Rule 36

Discipline and order shall be maintained with no more restriction than is necessary to ensure safe custody, the secure operation of the prison and a well-ordered community life.

Code of Conduct for Law Enforcement Officials

Article 2

In the performance of their duties, law enforcement officials shall respect and protect human dignity and maintain and uphold the human rights of all persons.

European Prison Rules

Rule 49

Good order in prison shall be maintained by taking into account the requirements of security, safety and discipline, while also providing prisoners with living conditions which respect human dignity and offering them a full programme of activities in accordance with Rule 25.

Principles And Best Practices On The Protection Of Persons Deprived Of Liberty In The Americas

Principle I

All persons subject to the jurisdiction of any Member State of the Organization of American States shall be treated humanely, with unconditional respect for their inherent dignity, fundamental rights and guarantees, and strictly in accordance with international human rights instruments.

In particular, and taking into account the special position of the States as guarantors regarding persons deprived of liberty, their life and personal integrity shall be respected and ensured, and they shall be afforded minimum conditions compatible with their dignity.

They shall be protected from any kind of threats and acts of torture, execution, forced disappearance, cruel, inhuman, or degrading treatment or punishment, sexual violence, corporal punishment, collective punishment, forced intervention or coercive treatment, from any method intended to obliterate their personality or to diminish their physical or mental capacities.

Some limitations on certain rights may, however, be necessary and legitimate to maintain security. Additional security measures may be required to ensure that prisoners do not escape and that they do not cause harm to themselves or others in prison. However, these limitations and additional measures should never go as far as undermining the dignity and humanity of prisoners.

Least restrictive measures necessary

A fundamental principle of good prison management is that prisoners should be subject to the least restrictive measures necessary for the protection of the public, other prisoners and staff.[5] Restrictions placed on prisoners' rights should adhere to the principles of legality, necessity, proportionality, accountability and non-discrimination. All limitations imposed upon a prisoner should be in accordance with national law and have a legitimate objective. The measures must be necessary—i.e. it should be very clear that using less restrictive means would not fulfil the objective of ensuring safety and security. All restrictive measures should be proportional to the risk posed, with an appropriate balance between the protection of the fundamental rights of the prisoner and the State's lawful interference in the exercise of these rights. Such interference should be the least intrusive possible to fulfil the aim of ensuring security and order in prison and should be imposed for the shortest possible duration. Finally, decisions should be objective and impartial, taking into account only the relevant factors. There should be no discrimination against certain groups of prisoners, based on race, colour, religion, ethnicity, nationality, gender, sexual orientation, political views or any other factor.[6] Security measures applied to all prisoners should be reviewed and, as necessary, revised regularly.

The number of prisoners who present a genuine risk of escape, and who require these additional measures, is usually quite small and it is important that only those prisoners who have been assessed to belong to this category are held in high-security conditions. This principle requires a proper risk assessment on admission to prison in order to decide the most appropriate security level for each prisoner. It also requires regular reviews, so that prisoners whose behaviour no longer represents a risk are reallocated to less restrictive conditions.

Balancing types of security measures

There should also be an appropriate balance between the different types of security measures implemented. Security in prisons is ensured by physical means of security, such as walls, bars on windows, locks and doors, alarm systems and so on; by procedural means, which are procedures that must be followed, such as rules relating to prisoners' movement around the prison, the possessions they may keep, searches

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[5] United Nations SMRs (the Nelson Mandela Rules), Rule 36; European Prison Rules, Rules 3 and18.10; Recommendation CM/Rec (20143 of the Committee of Ministers of member States concerning dangerous offenders (Adopted by the Committee of Ministers of the Council of Europe on 19 February 2014), para. 4.

[6] See CPT Standards 2002 (Rev 2013), para. 55 for a discussion of the PLANN test (Proportionate, Lawful, Accountable, Necessary, Non-discriminatory) in relation to solitary confinement decisions. See also Explanatory Memorandum to Recommendation CM/Rec(2014)3 of the Committee of Ministers to member States concerning dangerous offenders, Adopted by the Committee of Ministers on 19 February 2014 at the 1192nd meeting of the Ministers" Deputies, paras. 52-54.

of prisoners and their accommodation, among others; and dynamic security, which requires an alert staff who interact with prisoners in a positive manner and engage them in constructive activities, allowing staff to anticipate and prevent problems before they arise.

A proper balance should be maintained between the physical, procedural and dynamic security in the case of all prisoners, including high-risk prisoners. The right balance to prevent escape and maintain order will depend on a number of factors such as the condition of the prison facilities, the level of technology available, the number of staff and type of prisoners being held. For example, where physical security is weak (as may be the case in low-resource and post-conflict environments), procedural and dynamic security becomes all the more important.

In some jurisdictions, excessive attention is placed on the physical and procedural aspects of security in the case of high-security prisoners, while the importance of dynamic security is not appreciated. In some prison systems, staff interaction with high-security prisoners is actively discouraged. In fact, as this Handbook will emphasize, the principles of dynamic security apply particularly to high-security prisoners to ensure that potential escapes, incidents, and threats to safety of others can be prevented and dealt with before they take place. Applying this balance correctly, in the case of high-security prisoners, is a measure of the professionalism of a prison administration.

"Dynamic security means that basic grade prison staff are trained and encouraged to develop good personal relationships with prisoners, to know and understand them as individuals, to provide sympathetic help with personal problems and to engage in meaningful dialogues with them.

Prisoners have their most frequent and continuing contacts with the basic grade staff. The nature of their daily interactions with this grade of staff greatly influences their behaviour and attitudes. Positive interactions tend to reduce destructive behaviour and attitudes and facilitate constructive work with prisoners. In addition, dynamic security permits the staff to become more easily aware of disturbing prisoner behaviour such as escape attempts, violence between prisoners or against staff, the smuggling of prohibited goods, etc.

Dynamic security … offers the possibility of providing warning information before some untoward incident has taken place. This allows prison staff to take preventive action to hinder the threatening incident from occurring."

Management by Prison Administrations of Life-Sentence and Other Long-Term Prisoners, Recommendation REC (2003)23, Adopted by the Committee of Ministers of the Council of Europe on 9 October 2003, para. 73.

Special maximum security

In every jurisdiction, there is likely to be a number of prisoners who are considered to represent a particularly high-security risk and therefore require being held in special maximum-security conditions. If the assessment system is working effectively, the proportion of prisoners who need to be held in such special conditions should be very small. Such prisoners are usually accommodated away from other prisoners, either in special high-security prisons or in special units within prisons with different

security levels. In many jurisdictions, severe restrictions are placed on the rights of such prisoners, in addition to their highly restricted custodial setting, often without any justification. Such restrictions may apply to prisoners' access to exercise, activities, association with other prisoners, communication with the outside world, and personal possessions that are allowed in cells, among other things. In some countries, such prisoners will be shackled, handcuffed or body-belted routinely each time they leave their cells, including when taking outdoor exercise in a secure exercise yard.

In some jurisdictions, they are held in solitary confinement for years and potentially for the duration of their sentence, in clear breach of international standards. The United Nations Standard Minimum Rules for the Treatment of Prisoners (the Nelson Mandela Rules), in particular, prohibit indefinite and prolonged solitary confinement, and restrict its use to exceptional situations as a last resort, for as short a time as possible and subject to independent review. The rules also clarify that solitary confinement shall not be imposed by virtue of a prisoner's sentence, and never on women and children.[7] The United Nations Human Rights Committee has equally expressed the opinion that prolonged periods of solitary confinement may amount to torture or cruel, inhuman or degrading treatment or punishment.[8]

Good prison management principles require that the principles of legality, necessity, accountability, proportionality and non-discrimination be applied to decisions to hold prisoners in special maximum security conditions, based on thorough individualized assessments. Such prisoners should, within the confines of their detention units, enjoy a relatively relaxed regime to compensate for the additional restrictions of their custodial setting. They should be able to associate with other prisoners in their unit, should have access to a range of prison activities and should have contact with the outside world. Prison staff should be able to maintain security and control by means other than prohibiting all manner of activities, which is always the easier option, but which hinders the chances of prisoners' rehabilitation as well as violating their rights.

Special efforts should be made to develop a good internal atmosphere within high-security units. Staff should be properly trained to build positive relations with prisoners, to the extent possible. This is in the interest not only of the humane treatment of prisoners but also of the maintenance of effective control and security and of staff safety."[9]

Importance of prison intelligence

Prison intelligence is a fundamental part of effective dynamic security. The gathering of information from prisoners, the careful observation and monitoring of prisoners and the analysis of that information should be the bedrock of preventing escapes, instances of disorder and criminal activity in prisons. It is always more preferable to

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[7] United Nations Standard Minimum Rules (the Nelson Mandela Rules), Rules 43(1), 44-45; also see the United Nations Basic Principles for the Treatment of Prisoners, Principle 7; the Istanbul Protocol on the use and effects of solitary confinement, adopted on 9 December 2007 at the International Psychological Trauma Symposium, Istanbul; and the Report of the Special Rapporteur on Torture to the United Nations General Assembly, 5 August 2011, A/66/268, paras. 75-76, 80-81 and 84.

[8] Human Rights Committee, General Comment 20, Article 7 (1992), para. 6.

[9] United Nations Standard Minimum Rules (the Nelson Mandela Rules), Rule 76(1)*(c)*; CPT Standards, 2002 Rev (2013), para. 32.

prevent an escape, riot or drug dealing than to have to deal with its aftermath. Prison intelligence can provide that early warning and enable prison directors and their staff to take proactive and decisive action to prevent the action from taking place as planned and intended. This Handbook provides staff with an understanding of the need for an intelligence function within the custodial environment and an awareness of the intelligence techniques and products that can be used to assist them and partner agencies to make prisons a secure and safe place.

Applying the Handbook

While it may be challenging for some of the guidelines and recommendations set out in this Handbook to be implemented in countries with scarce resources and, in particular, in post-conflict countries, the Handbook aims to set out the underlying principles that need to be adhered to in applying dynamic security. Most can be applied with few resources, provided that sufficient leadership and commitment is present.

KEY PRINCIPLES

- Prisoners should always be treated with the respect due to their inherent dignity and value as human beings. They should never be subjected to torture or ill-treatment; they should not be humiliated and should have access to adequate material conditions, to nutritious food, adequate water, sanitation, health care and contact with their families.

- The number of prisoners held in high-security conditions should be the minimum possible, based on individual risk and needs assessments.

- All prisoners, including high-security prisoners, should be subject to the least restrictive measures necessary for the protection of the public, other prisoners and staff. Any restriction placed on high-security prisoners should adhere to the principles of legality, necessity, proportionality, accountability and non-discrimination.

- A balance should be maintained between the legitimate use of security measures and respect for the fundamental human rights of prisoners. Limitations on certain rights should never go as far as undermining their inherent dignity and value as human beings.

- A proper balance should be maintained between physical, procedural and dynamic security in the case of all prisoners.

- Prison intelligence is a fundamental part of effective dynamic security and can help to prevent escapes, disorder and criminality in prisons.

Chapter 1

Prison security:
framework and functions

Physical security

A fundamental aspect of prison security is the physical security of the institution. Aspects of physical security include the architecture of the prison buildings, the strength of the walls of those buildings, the bars on the windows, the doors and walls of the accommodation units, the specifications of the perimeter wall and fences,

watchtowers and so on. They also include the provision of physical aids to security such as locks, cameras, alarm systems (internal and external), x-ray machines, metal detectors, radios, handcuffs and such like.

Good practice is to set minimum physical security standards for each type of prison, and for each element within that prison. The specification for perimeter security, for example, may include an outer concrete wall and an inner prison mesh type fence. The height, width, foundations, building materials and method of construction would be specified, along with the distance between the wall and fence, the type and location of perimeter lighting, perimeter alarm system and a CCTV system to trigger the cameras when a perimeter alarm is activated.

In designing the physical aspects of security, a balance needs to be found between the best way of achieving the required security level and the need to respect the dignity of the individual. For example, it is possible to use architectural designs which meet the need for cell and dormitory windows to be secure while, at the same time, meeting the standards for access to natural light and fresh air. Physical aids to security such as cameras, monitoring and alarm systems by definition intrude on personal privacy. In making decisions about where they have to be placed, there needs to be a balance between legitimate security requirements and the obligation to respect individual privacy.

The use of physical security instruments (such as chains, handcuffs and fetters) that are applied directly to prisoners, can be a contentious issue. The United Nations Standard Minimum Rules for the Treatment of Prisoners (the Nelson Mandela Rules) pay particular attention to physical security instruments and prohibit the use of chains, irons and other instruments of restraint which are inherently degrading or painful. The rules also regulate the use of other instruments of restraint, applicable only in the course of transfers as a precaution against escape; or, by order of the prison director, to prevent a prisoner from injuring him- or herself or others or from damaging property, if other methods of control fail.

United Nations Standard Minimum Rules for the Treatment of Prisoners (the Nelson Mandela Rules)

Rule 47

(1)   The use of chains, irons or other instruments of restraint which are inherently degrading or painful shall be prohibited.

(2)   Other instruments of restraint shall only be used when authorized by law and in the following circumstances:

　　(a)   As a precaution against escape during a transfer, provided that they are removed when the prisoner appears before a judicial or administrative authority;

　　(b)   By order of the prison director, if other methods of control fail, in order to prevent a prisoner from injuring himself or herself or others or from damaging property; in such instances, the director shall immediately alert the physician or other qualified health-care professionals and report to the higher administrative authority.

Rule 48

(1)   When the imposition of instruments of restraint is authorized in accordance with paragraph 2 of rule 47, the following principles shall apply:

   (a)   Instruments of restraint are to be imposed only when no lesser form of control would be effective to address the risks posed by unrestricted movement;

   (b)   The method of restraint shall be the least intrusive method that is necessary and reasonably available to control the prisoner's movement, based on the level and nature of the risks posed;

   (c)   Instruments of restraint shall be imposed only for the time period required, and they are to be removed as soon as possible after the risks posed by unrestricted movement are no longer present.

(2)   Instruments of restraint shall never be used on women during labour, during childbirth and immediately after childbirth.

Rule 49

The prison administration should seek access to, and provide training in the use of, control techniques that would obviate the need for the imposition of instruments of restraint or reduce their intrusiveness.

European Prison Rules

Rule 68

(1)   The use of chains and irons shall be prohibited.

(2)   Handcuffs, restraint jackets and other body restraints shall not be used except:

   (a)   If necessary, as a precaution against escape during a transfer, provided that they shall be removed when the prisoner appears before a judicial or administrative authority unless that authority decides otherwise; or

   (b)   By order of the director, if other methods of control fail, in order to protect a prisoner from self-injury, injury to others or to prevent serious damage to property, provided that in such instances the director shall immediately inform the medical practitioner and report to the higher prison authority.

(3)   Instruments of restraint shall not be applied for any longer time than is strictly necessary.

(4)   The manner of use of instruments of restraint shall be specified in national law.

Recent years have seen a significant increase in the number of attacks on the external perimeter of prisons in attempts to liberate high-security prisoners. These attacks have been mounted by terrorist groups, drug cartels and criminal gangs. Prisons should take a number of actions to prepare for such an attack. Locating high-security prisoners in the centre of the prison, rather than in accommodation close to the perimeter, will delay the escape and give staff the opportunity to respond and summon assistance. Applying techniques (often known as "target hardening techniques") to the perimeter will also prevent or delay an escape. These techniques, including:

   •   Digging moats and ditches
   •   Creating blast zones

- Setting up cordons
- Putting in place concrete or reinforced steel barriers and security bollards
- Installing "tiger traps" (collapsible areas)

These measures help to ensure that vehicles containing explosives cannot reach the perimeter. In addition, the area around the perimeter should be clear of vegetation and buildings to create clear lines of sight and a defensible space.

There have been well-documented attempts worldwide to free high-risk prisoners using helicopters. These escapes often involve helicopters briefly touching down in exercise areas and on rooftops; lowering ropes or ladders for escaping prisoners to climb up; and using grappling hooks to try to pull down security fences. Various actions can be taken to prevent helicopter-assisted escapes, including fixing anti-helicopter Kevlar cables (catenary wires) or wire mesh over prison exercise and sports areas; building armed posts overlooking each exercise area; and installing anti-climb devices such as electric fences and razor wire to prevent prisoner access to roofs. Modern prison architecture involves building designs that prevent a helicopter touching down, by creating air uplift.

Prisons may well use a range of physical technology methods—for example, image digital analysis, thermal vison, microwave, electromagnetic fields, and physical pressure. Prisons should ensure that they are not reliant on one type of physical technology security method in order to prevent natural disasters, human failure and technical breakdown making all physical security technology unusable. Three different systems usually provide sufficient resilience.

Procedural security

In many jurisdictions, the prison estate comprises a wide variety of buildings, many of which date from previous centuries, others are redundant military camps, but few are modern purpose-built establishments. The physical fabric of these older prisons is often neglected and consists of features such as very poor visibility and blocked lines of sight. The reinforcement of internal structures is often not of the latest standards. It is essential, therefore, that physical security is complemented by other forms of security.

Security requires effective systems and procedures, coordinated both nationally and locally. Procedures play an important role in preventing escapes and are regarded as a fundamental aspect of prison security. Prison staff often learn, or are reminded, how to perform a security-related task through procedures. Since the human memory is prone to play tricks on everyone, it is highly likely that most people will forget how to do a task that is not repeated with great frequency, hence the need for procedures. In each prison, there should be a clearly understood set of procedures that describe how and when staff should carry out certain functions. Procedures are becoming more critical as the use of advanced technology increases, especially when it comes to procedures for monitoring CCTV, perimeter security systems, and electronic locking.

A procedure can be defined as a process that has been standardized as an approach expected to achieve regulation, consistency and fairness and to assist prison managers

and staff to carry out their duties. Procedures often include checklists that provide extra control to assure that work is performed properly. Procedures can also provide detailed information about special problems that are known to occur.

Procedures set out how to perform a task in the optimum manner and ensure consistent application within each, and across all, prisons. Procedures are equally as important as policies. Policies define what is to be done. The procedures *(a)* outline how to carry out the policies; *(b)* are a series of steps taken to accomplish an end goal; *(c)* define the mechanisms to enforce policy; and *(d)* provide a quick reference in times of crisis. They are the basis of staff training and help eliminate the problem of a single point of failure.

Good quality procedures have the following features: written and presented in a clear and accessible style and format; issued in good time for their proper implementation; as short as possible without excluding relevant material; accessible and available; reproducible; and can be updated and deleted.

The third key element of effective security is dynamic security, which is discussed in detail in chapter 3.

Assessment and categorization

United Nations Standard Minimum Rules for the Treatment of Prisoners (the Nelson Mandela Rules)

Rule 89

(2)   It is desirable to provide varying degrees of security according to the needs of different groups.

European Prison Rules

Rule 51

(3)   As soon as possible after admission, prisoners shall be assessed to determine:

   (a)   The risk that they would present to the community if they were to escape;

   (b)   The risk that they will try to escape either on their own or with external assistance.

(4)   Each prisoner shall then be held in security conditions appropriate to these levels of risk.

(5)   The level of security necessary shall be reviewed at regular intervals throughout a person's imprisonment.

Rule 52

(1)   As soon as possible after admission, prisoners shall be assessed to determine whether they pose a safety risk to other prisoners, prison staff or other persons working in or visiting prison or whether they are likely to harm themselves.

Rule 53

(5)   The level of security necessary shall be reviewed at regular intervals throughout a person's imprisonment.

Prisoners do not like being in prison but the majority of them accept the reality of their situation. Provided that they are subject to appropriate security measures and fair treatment, they will not try to escape or seriously disrupt the normal routine of the prison. On the other hand, a small number may well do everything in their power to try to escape. This means that prison authorities should be able to assess the risk posed by each individual prisoner in order to make sure that each one is subject to the appropriate conditions of security, neither too high nor too low. Different levels of risk call for different levels of security.

There are a number of reasons why security measures to which prisoners are subject should be the minimum necessary to achieve their secure custody. 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. In addition, lower levels of security tend to involve more humane treatment than higher security levels, so good practice is to hold as few prisoners in high-security conditions as possible in order 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 to the State.

Risk assessment

A careful risk assessment should be made by the prison administration. It is vital that the risk assessment differentiates between four overriding types of risk posed:

- Risk of escape
- Risk of violence towards staff, other prisoners and visitors
- Risk to good order
- 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 so much as efforts to change attitudes and behaviour.

The overriding consideration in risk assessment is the protection of the public. Those involved in undertaking risk assessments need to be satisfied that the prisoner's risk is reducing, in order to recommend progressive moves to lower security institutions and that the risk has reduced to an acceptable level compatible with the protection of public safety, in order to recommend 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

Initial risk assessment should not over-focus on observable behaviour but should encourage identification of less obvious features that might signify risk. Important aspects which should feature within the risk assessments 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 offence
- 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 offence

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.

Depending on the jurisdiction in which the assessment is being carried out, specific issues will need to be included within some of the above criteria, such as gang affiliation, conviction for terrorism-related offences or membership in an organized crime syndicate. Important additional issues to look at within the assessment of such prisoners would be their role within their organization or group (i.e. high or low level) and the risk of their influencing, indoctrinating or recruiting other prisoners; their risk management will need to take these threats into account.

With regard to offenders convicted for terrorism-related offences, or violent extremist offenders, it is very important to understand that not all such persons are the same. Motivations, circumstances and reasons why individuals commit the same type of offence are often varied and complex. The risk assessment of such offenders needs to be informed by a sophisticated understanding of the characteristics of the organization to which they belong and their motivations.[10]

Categorization and allocation

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

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[10] The International Centre for the Study of Radicalisation and Political Violence, Prisons and Terrorism, Radicalisation and De-radicalisation in 15 Countries (2010), pp. 13 and 22.

In most jurisdictions, prisoners are described according to their security category, which may be high, medium or low. The security category of a prison is based on the level of security that exists in the prison. A high-security prison would have significant physical, procedural and dynamic security arrangements in place so that it would be impossible for a prisoner to escape. In contrast, a low-security prison may have no locks on cell doors and a low perimeter fence.

In deciding on the allocation of prisoners, the principles of legality, necessity, accountability, proportionality and non-discrimination should always be respected. This would mean that all prisoners are held in the least restrictive setting necessary for their safe and secure custody, based on their individual risk assessments. There should be no discrimination against certain groups or individuals, based on their race, ethnicity, nationality, language, gender, sexual orientation, religion, political views or any other reason.

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 to be particularly dangerous may need to be held in special maximum-security facilities, which may be special prisons or separate units within another prison (e.g. within a high-security prison where other high-risk prisoners are held). There should be different arrangements for women and young offenders, who should be held in less restrictive environments.[11]

Different considerations should also apply to prisoners with mental illness, who should be held in conditions that take into account their mental health requirements, and which should be the least restrictive possible, balanced with the need for secure custody. Such offenders may, for example, be held in secure psychiatric facilities or sections of hospitals designed to hold people who have committed a criminal offence but who have a treatable mental illness.

Pretrial prisoners may also be held in high-security conditions, as potential high-risk prisoners. This would be the case if there is a high probability that they will be assessed as high-risk if convicted and sentenced. Such a preliminary risk assessment may be made based on the offence with which they are charged and additional reports from the law enforcement officials, as to their background, affiliation with any crime syndicates or terrorist organisations and circumstances of the offence, among others.

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

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[11] For women, see the United Nations Rules for the Treatment of Women Prisoners and Non-Custodial Measures for Women Offenders (the Bangkok Rules), Rule 41(a). For children, see the Convention on the Rights of the Child, Art. 37, and the United Nations Rules for the Protection of Juveniles Deprived of their Liberty, Rules 12, 28 and 30.

Accounting and control

Accounting for prisoners

The system and procedures for accounting for prisoners is crucial to the security of the prison and the safety of both staff and prisoners. A count is a physical acknowledgement of the number of prisoners in certain locations. The number of prisoners in each area is compared with the number assigned there. Procedures should set out:

- When to count prisoners
- Where to count prisoners
- How to count prisoners
- Who should count prisoners
- Arrangements for the recording of counts
- When there should be a prohibition on movement of prisoners
- Counting procedures during emergencies

For example, prison staff should be under a duty, on taking charge of a group of prisoners, to count the number of prisoners and to remain responsible for the charge and supervision of each prisoner in the group until the prisoners are delivered into the charge and supervision of a relieving member of staff.

Accounting for items presenting a risk

Prisoners frequently steal tools and equipment that belong to the prison. These may then be used to assist with escapes. It is critical that each prison has in place procedures for the control of tools and equipment. The security department should have ready access to up-to-date inventories of all equipment and tools held in the prison and must arrange frequent but irregular checks of all shadow boards, tool cupboards and tool stores in the prison, and record the outcome of those checks in auditable form. Effective management of tools, equipment and property requires that:

- Every tool has a unique number etched on it
- Each prisoner has an identification tally
- The tally is placed on a board to indicate which tools have been issued
- All tools secured in locked cabinets when not in use
- Tool checks conducted at end of every work session
- No prisoner movement takes place until tools are correct

Movement control

"Effectively managing the movement of prisoners within a prison depends on:

- Staffing levels being commensurate with the number of prisoners;
- The level of staff skills and competency;
- The layout/configuration of the prison;
- The effectiveness of static security infrastructure;
- The ability to effectively classify and separate categories of prisoners."

United Nations DPKO: *Prison Incident Management Handbook*, 2013, p. 26.

Movement control procedures should be put in place so that prisoner allocations are risk assessed, clearly recorded and controlled from a central point. There should be designated movement routes agreed following threat and risk assessments. The routes should be safe and easily observed, particularly by CCTV, where available. Staff supervising movements should be in radio communication. As far as possible, routes should avoid open areas or access to rooftops. The order of movement should be centrally controlled but unpredictable. It is important that high-risk prisoners are searched on departure from each location and logged out. Prisoners should also be logged in on arrival at the approved destination.

No movement of individual high-risk prisoners should be permitted until mass movement has been completed and the prison roll (total number of prisoners in the prison accounted for) is correct. If the roll is not correct, a standstill (i.e. freeze all movement of prisoners) roll check should take place at the specific location showing discrepancy. If this does not reconcile the roll, a standstill roll check should take place at every location to identify the discrepancy. If this also fails to reconcile the roll, all prisoners should be returned to accommodation blocks for lock-down (i.e. all prisoners located in cells, rooms, or dormitories) roll check.

Searching

United Nations Standard Minimum Rules for the Treatment of Prisoners (the Nelson Mandela Rules)

Rule 50

Searches shall be conducted in a manner that is respectful of the inherent human dignity and privacy of the individual being searched, as well as the principles of proportionality, legality and necessity.

Rule 51

Searches shall not be used to harass, intimidate or unnecessarily intrude upon a prisoner's privacy. For the purpose of accountability, the prison administration shall keep appropriate records of searches, in particular strip and body cavity searches and searches of cells, as well as the reasons for the searches, the identities of those who conducted them and any results of the searches.

Rule 52

(1) Intrusive searches, including strip and body cavity searches, should be undertaken only if absolutely necessary. Prison administrations shall be encouraged to develop and use appropriate alternatives to intrusive searches. Intrusive searches shall be conducted in private and by trained staff of the same sex as the prisoner.

(2) Body cavity searches shall be conducted only by qualified health-care professionals other than those primarily responsible for the care of the prisoner or, at a minimum, by staff appropriately trained by a medical professional in standards of hygiene, health and safety.

Rule 60

(2) Search and entry procedures for visitors shall not be degrading and shall be governed by principles at least as protective as those outlined in rules 50 to 52. Body cavity searches should be avoided and should not be applied to children.

Principles And Best Practices On The Protection Of Persons Deprived Of Liberty In The Americas

Principle XXI

Whenever bodily searches, inspections of installations and organizational measures of places of deprivation of liberty are permitted by law, they shall comply with criteria of necessity, reasonableness and proportionality.

Bodily searches of persons deprived of liberty and visitors to places of deprivation of liberty shall be carried out under adequate sanitary conditions by qualified personnel of the same sex, and shall be compatible with human dignity and respect for fundamental rights. In line with the foregoing, Member States shall employ alternative means through technological equipment and procedures, or other appropriate methods.

Intrusive vaginal or anal searches shall be forbidden by law.

The inspections or searches in units or installations of places of deprivation of liberty shall be carried out by the competent authorities, in accordance with a properly established procedure and with respect for the rights of persons deprived of liberty.

European Prison Rules

Rule 54

(1) There shall be detailed procedures which staff have to follow when searching:

   (a) All places where prisoners live, work and congregate;
   (b) Prisoners;
   (c) Visitors and their possessions; and
   (d) Staff.

(2) The situations in which such searches are necessary and their nature shall be defined by national law.

(3) Staff shall be trained to carry out these searches in such a way as to detect and prevent any attempt to escape or to hide contraband, while at the same time respecting the dignity of those being searched and their personal possessions.

(4)   Persons being searched shall not be humiliated by the searching process.

(5)   Persons shall only be searched by staff of the same gender.

(6)   There shall be no internal physical searches of prisoners' bodies by prison staff.

(7)   An intimate examination related to a search may be conducted by a medical practitioner only.

(8)   Prisoners shall be present when their personal property is being searched unless investigating techniques or the potential threat to staff prohibit this.

Many illicit items infiltrated into prisons arrive through social visits.[12] The initial searching of visitors on arrival is the main safeguard against smuggling. If searching is not carried out efficiently, this safeguard is lost. Procedures for searching visitors should be clearly set out in written instructions. Staff should be properly trained and proficient in the use of X-ray and metal detecting equipment. Procedures should not be ignored because of time pressure, belligerent prisoners or to meet statistical targets. The consistency of application of procedures should be closely monitored. The design of, and procedures within, each visiting room should also be given careful consideration.

Once items have infiltrated the prison, the only defence against their illicit use is a thorough search programme. Searching strategies should not be aspirational, but based upon a realistic appreciation of what is necessary and what is possible. Realistic local searching policies, properly and professionally undertaken, will have a deterrent effect upon prisoners. There are different areas of the prison or situations in which searching is required, including searching prisoners, visitors, staff, contractors, vehicles, equipment, goods, stores, mail, property, workshops, sports fields and accommodation.

Prisoners may breach the physical security of the cell by tampering with bars, locks or other physical security measures including walls, ceilings and floors. Prisons should have procedures in place for conducting accommodation fabric checks at a frequency compatible with their individual needs.

Staff should undertake searching activities professionally and ensure that prisoners are not humiliated by the searching process. Intrusive searches, including strip searches and body cavity searches, should be undertaken only if absolutely necessary. Institutions should develop and use alternatives to intrusive searches. Intrusive searches shall be conducted in private and by trained staff of the same sex as the prisoner. Body cavity searches shall only be conducted by qualified health-care professionals other than those primarily responsible for the care of the prisoner, or, at a minimum by staff appropriately trained by a medical professional in standards of hygiene, health and safety. Good practice is to have a "secreted items policy" that clearly states the actions that should be implemented when prisoners are suspected of having secreted items internally.

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[12] Other means of illicit items entering the prison include staff corruption; prisoners returning to the prison (from work parties, court visits or temporary leave); and items being thrown into the prison.

Prisoners should be present when their personal property is being searched unless investigating techniques or the potential threat to staff prohibits this. Staff should also ensure that the searching is completed according to procedures and that they are not intimidated or distracted by prisoners during the search.

Staff should exercise special sensitivity when searching women prisoners. Male members of staff should never be involved in personal searches of women prisoners. The need to observe common decency, for example, by not requiring prisoner to strip completely naked in the course of a body search, applies especially in the case of women prisoners.[13]

Communications and surveillance

Prisoners retain, within certain limits, their human rights and freedoms, including their right to family life and not to be totally isolated from society. In some circumstances, prisoners may be prevented from physical contact with friends and family if there are security reasons for doing so. The prison administration's duty to encourage communication with the outside world must be balanced against the risks that may be associated with the ability of prisoners to communicate with those outside. Communication must be managed to prevent crime, inhibit the trafficking of unauthorized items, ensure the protection of the public from unwanted communications, and prevent escapes.

United Nations Standard Minimum Rules for the Treatment of Prisoners (the Nelson Mandela Rules)

Rule 58

(1) Prisoners shall be allowed, under necessary supervision, to communicate with their family and friends at regular intervals:

   (a) By corresponding in writing and using, where available, telecommunication, electronic, digital and other means; and

   (b) By receiving visits.

Rule 43

(3) Disciplinary sanctions or restrictive measures shall not include the prohibition of family contact. The means of family contact may only be restricted for a limited time period and as strictly required for the maintenance of security and order.

Rule 63

Prisoners shall be kept informed regularly of the more important items of news by the reading of newspapers, periodicals or special institutional publications, by hearing wireless transmissions, by lectures or by any similar means as authorized or controlled by the prison administration.

Rule 88

(1) The treatment of prisoners should emphasize not their exclusion from the community, but their continuing part in it. Community agencies should, therefore, be enlisted wherever possible to assist the prison staff in the task of social rehabilitation of the prisoners.

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[13] Bangkok Rules, Rules 19 and 20.

> **Rule 106**
>
> Special attention shall be paid to the maintenance and improvement of such relations between a prisoner and his or her family as are desirable in the best interests of both.
>
> **Rule 107**
>
> From the beginning of a prisoner's sentence, consideration shall be given to his or her future after release and he or she shall be encouraged and provided assistance to maintain or establish such relations with persons or agencies outside the prison as may promote the prisoner's rehabilitation and the best interests of his or her family.
>
> See also *European Prison Rules*, Rules 24.1 to 24.12, *Principles and Best Practices on the Protection of Persons Deprived of Liberty in the Americas, Principle XVIII.*

Prisoners' outside contacts must be seen as entitlements rather than privileges. They should, therefore, not be used as either rewards or punishments. To deprive prisoners of such contacts as a disciplinary sanction is not acceptable, except where a specific abuse of the exact contact was the offence. Punishment should never include total deprivation from contact with families.

There are five basic ways in which contact can be maintained with the outside: letters; visits; telephone calls; prison leave; books, newspapers and the Internet. Any contact with the outside world is likely to raise some security concerns, particularly in the case of high-security prisoners. It is important, therefore, to find ways in which appropriate levels of contact can be maintained without jeopardizing security. This will usually be possible, provided that staff understand that both security and contact with the outside world are equally important elements in their difficult task.

Interference with prisoner communications should only take place in accordance with national legislation and as a proportionate response to the threat posed. There should be procedures for:

- The monitoring and interception of prisoner communications
- Providing information to prisoners on local arrangements regarding mail and telephone calls
- Procedures for dealing with for illicit enclosures
- Management of legally privileged correspondence
- Other approved confidential correspondence
- Disclosure
- The amount of correspondence to be routinely read and telephone calls listened to
- How to deal with requests by the police or another investigating authority including ad hoc disclosure
- Retention of material

There should also be arrangements in place to control a prisoner's access to information technology and the Internet.

In some prison systems, virtual visits via video conferencing may be arranged in the case of prisoners whose families live far away from the prison and who are unable to visit on a regular basis, to enable prisoners to have both visual and verbal contact with them. Such arrangements are especially pertinent to foreign national prisoners. Prison authorities should ensure that such visits are closely monitored and that appropriate supervision arrangements are put in place where additional risks are involved, for example, with sex offenders.

All prisons should have in place systems to allow security and related information to be gathered and evaluated in a secure environment, consistent with national legislation, in order to meet security and intelligence objectives. All staff should have a responsibility to actively gather security information and pass this information to the Security Department. The subject of prison intelligence gathering, both overt and covert, and its analysis is discussed in detail in chapters 3 and 4.

Prison security framework

All prison administrations should have a national, state or federal high-level prison security framework document to provide prisons with the information and guidance needed to maintain high levels of security, meet the aim of preventing escapes and prevent high-risk prisoners from directing criminal activities taking place outside the prison. The security framework should apply equally to all parts of all categories of prisons.

The aim of the security framework should be to provide common minimum standards of security across all prisons but it should not provide extensive central prescription. Individual prison directors should be given some level of autonomy in the running of their prisons and the flexibility to adapt the core minimum standards to local circumstances. The framework should present information in a manner that enables prisons to apply security procedures in the way most suited to their individual needs and resources. It should be readily accessible and up-to-date. Headquarters should enter and highlight amendments as they become necessary.

In many jurisdictions, the prison security framework focuses on the four main high-level security functions discussed above:

- Assessment and categorization
- Accounting and control
- Searching
- Communications and surveillance

Managing security at prison level

The prison security framework should be supported by an agreed local security strategy which reflects the needs of each prison, manages identified local risks and meets the requirements set out in the framework. Good practice is to make the local security strategy available to all local staff.

The local security strategy in each prison should set out arrangements for meeting the requirements of each of the four or more functions covered in the national security framework. This document, drawn up by local prison management, should specify procedures that enable compliance with the national framework while reflecting the particular security needs and resources of the individual prison concerned. In particular, the procedures set out in the local security strategy should:

- Take account of local risk analysis
- Reflect local physical and procedural security
- Consider the categories of prisoners held in the prison
- Identify staff, equipment and resources necessary to carry out each task

The balance within each prison between the different types of security (physical, procedural and dynamic) should be based on such features as the presence of external patrols, towers, security barriers or detection devices; the type of accommodation within the institution; internal security features; and the staff-to-inmate ratio.

At prison level, the crucial requirement for prison management is to ensure that all staff are aware of the concepts of physical, procedural and dynamic security, and to create the necessary structures to enable staff to feel supported in the exercise of their authority. Good practice indicates that there should be four components to a local security management structure: the prison director who has overall operational responsibility for the security of the prison; a security committee—to advise the director on the full range of security issues; a security manager and a security department with responsibility; and prison staff who are collectively and individually responsible for the maintenance of proper levels of security at all times. It is often rightly stated on notices within prisons that "security is everyone's responsibility".

Security audits

Investigations into escapes from prisons reveal few instances in which malfunctioning locks or electronic detection systems, insufficient razor wire, or other deficiencies in physical plant or technology were responsible. Most serious security breaches have occurred because one or more staff members have taken a "shortcut", did not know what was expected of them, or simply had failed to follow established security procedures. Though weaknesses in the physical plant may have contributed to the problem, it was usually the failure of staff to attend to security-related activity that was at the heart of the incident. In other words, people-system failures, not physical-system failures account for most security breakdowns.

This reality points to the need to establish a comprehensive security auditing programme. A security audit is a process for determining the extent to which policy, procedure, standards and practice combine to provide a safe and secure prison environment. Included in this process is a detailed evaluation of every major aspect of a prison's security programme. The security audit focuses on security operations. Although standards and policy are important aspects of such audits, the primary focus is the security systems and their operational implementation on a daily basis. The audit is a practical experience that, when properly conducted by persons who

are intimately familiar with security principles, identifies weaknesses in prison security arrangements that create risk to safety and security of staff and the community.

The benefits of security audits to the prison administration and individual prisons are many: weaknesses, deficiencies, inadequate procedures and areas of vulnerability in the institution's operation are identified; compliance with the national security framework and prison level standards, policies and procedures is assessed; equipment, locking mechanisms, tool and key systems, etc. that are inoperable, inappropriate or inadequate are identified; the efficient and effective application of security resources is reviewed; and good practices are identified and are shared throughout the prison administration.

In some jurisdictions, a combination of internal audits and external audits are mandated. Internal audits (those conducted by staff within a prison) are sometimes required between external audits (audits conducted by a team or staff from outside the institution). In other jurisdictions, internal audits are pre-audits and are conducted by institution staff just prior to the external audit.

Internal audits are not recommended as the sole audit activity. It is often found that auditors find it difficult to objectively point out shortcomings by friends, fellow workers and supervisors. In addition, they may not identify risk or vulnerability as they audit conditions in which they work every day, because they are too familiar with it and unable to be dispassionate. In some jurisdictions, "peer-to-peer" audits take place (where staff from one prison audit another prison), which helps to overcome some of these problems.

External audits tend to be more objective and thorough. They may be announced or unannounced. An advantage of unannounced audits is that the institution is viewed in an operational condition more closely approximating normal. An advantage of announced audits is that the institution has an opportunity to prepare and correct conditions that they know to be deficient before the audit occurs. Some jurisdictions have found a combination of announced and unannounced audits to be effective, a schedule of unannounced audits sometimes being established on a random basis.

Many jurisdictions use a security audit checklist which is often a statement of the security objectives and baselines set out in the national security framework. Information is recorded related to each baseline and space provided for an auditor's comment. The auditor should make an assessment for each baseline and identify whether the prison complies or does not comply with the baseline. An overall assessment score for each prison should be given at the end of the audit which reflects the level of compliance with the national security framework and security baselines.

Experience has proven that the development and implementation of a comprehensive security audit programme is a major step in reducing the security risks that can be endemic in prison operations.

Covert testing

Covert testing is the planned, managed, realistic but unannounced test of security processes, procedures and equipment. The main purpose of the covert testing policy is to:

- Test delivery of processes and procedures designed to maintain security and prevent escape
- Test technical aids designed to maintain security and prevent escape
- Prevent the entry of unauthorized items
- Identify vulnerable areas/inadequate equipment
- Identify management and system inadequacies that need reinforcing
- Reward and recognize good practice
- Respond and test identified intelligence and/or risk assessment concerns
- Identify training needs
- Identify failings and ensure they are addressed appropriately
- Offer assurance on a prison's ability to deliver core security responsibilities

Covert testing is a tool to give assurance to prison directors that staff are vigilant and that security procedures are conducted in accordance with national procedures. Used appropriately, covert testing is a dynamic and realistic test of security arrangements. For example, covert testing may include:

- Asking a member of staff to try and smuggle an illicit item into the prison and seeing whether it is detected
- Taking a prisoner from a work party without informing the responsible member of staff and seeing how long it takes to identify that a prisoner is missing
- Asking a trusted prisoner or member of staff to smuggle something out of the kitchen and seeing if he is able to do it
- Leaving a gate unlocked and closely monitoring it to see how long it takes before it is discovered

Concentric circles of protection

There is always a risk that elements of physical and procedural security may fail. Physical security arrangements may be breached, power may fail, and equipment break down. Staff may not follow procedures, be subject to conditioning, manipulation, and corruption or human error may occur. In order to reduce the risk associated with failures in physical and procedural security, an underlying principle for providing good security involves a concept called "concentric circles of protection". This concept involves the use of multiple "rings" or "layers" of security. The application of this concept ensures that, even if one layer or element of security fails, prisoners will need to overcome a number of security measures to escape. Having multiple

layers decreases the probability that a prisoner will be able to escape or that an intruder will be able to gain access.

The first layer is located at the boundary of the prison, and additional layers are provided as you move inward through the prison towards its most secure area. The more layers that exist between the outside world and a prisoner, the better the security is likely to be. At each layer, there is an opportunity to deter, detect, disrupt and delay a prisoner or intruder. For example, prisoners and intruders attempting to penetrate a layer can be detected and intercepted with an appropriate security response. It is possible to decrease the prisoner's/intruder's chance of success by adding layers, or by increasing the effectiveness of each layer, or by doing both. Relying on a single layer to provide security is hardly ever effective, because it requires a level of perfection that is unattainable. While the chances of breaching any single layer may be good, the chance of breaching three or more successive layers becomes exponentially more difficult.

Layers of security can take many forms. Physical barriers (walls, fences, gates, bars) and detection and surveillance systems (CCTV, movement detection systems, watchtowers, guard posts, tracking systems) can provide primary layers. Simple procedures can provide additional security layers at little or no cost. Staff security awareness can also create an invisible, yet very effective, security layer. Intervention arrangements can be considered to be a security layer as effective and swift intervention by staff can stop an escape attempt.

The multiple layers concept also provides for redundancy in case there is a breakdown in procedures. For example, a member of staff may fail to lock a piece of equipment in a cabinet as per established procedures, but instead leave the equipment lying out openly on a desk. If the area is locked, and access to the area (workshop) is controlled, the equipment is still protected. While the chance of a breakdown in any single procedure may be good, the chance of a breakdown in three or more successive procedures is considerably less likely. An absolute minimum of three layers should exist between the outside world and a prisoner, with five or more layers being desirable.

The concept of concentric circles of protection underpins the decision of many jurisdictions to create high-security units within the perimeter of larger prisons—a prison within a prison. High-security prisoners would need to get out of the high-security unit and then get through the security measures in the main prison before achieving their escape. The security measures in the high-security unit should replicate rather than replace or rely on the security measures in the main prison. For example, all staff, prisoners and materials entering the high-security unit should be searched, even though they may have been searched in the main prison.

KEY PRINCIPLES

- Each prisoner should be held in conditions of security in line with the levels of risk posed in terms of escape.

- Appropriate security arrangements should be put in place to ensure high-risk prisoners cannot escape and, at the same time, ensure that their human rights are upheld and respected at all times.

- Sufficient physical security should be in place to deter and to prevent prisoners from escaping.

- A robust system of security procedures should be established and those procedures should be applied in a consistent manner.

- Staff should be encouraged to build up effective professional relationships with prisoners as part of dynamic security arrangements.

- Prisoners should be correctly held and accounted for throughout their custody; access to and movement within the prison and items that may present a risk to security should be effectively managed.

- Searching procedures should be in place which detect and deter threats to the security or control of the prison.

- Concentric circles of protection should be used to reduce the risk of escape as they increase the opportunity to detect, deter, delay and respond to escape attempts.

- A national security framework should be in place as the source document to provide prisons with the information and guidance needed to maintain high levels of security and to meet the aim of preventing escapes.

- A local security strategy should be in place at each prison which takes account of local risk analysis; reflects local physical and procedural security; considers the categories of prisoners held in the prison; and identifies staff, equipment and resources necessary to carry out each of the main security tasks (categorization and assessment, accounting and control, searching and communications and surveillance).

- A comprehensive security auditing programme should be established at local and national level to check security systems and their operational implementation.

- Arrangements should be put in place to test security processes, procedures and equipment.

Chapter 2

Dynamic security

Essential elements of dynamic security

Physical and procedural security arrangements are essential features of any prison but they are not sufficient in themselves to ensure that prisoners do not escape. Security also depends on an alert group of staff who interact with, and who know, their prisoners; staff developing positive staff-prisoner relationships; staff who have an awareness of what is going on in the prison; fair treatment and a sense of "well-being" among prisoners; and staff who make sure that prisoners are kept busy doing constructive and purposeful activities that contribute to their future reintegration into society. This concept is often described as dynamic security and is increasingly being adopted globally.

An important element of the security activities is that it is multi-pronged, meaning that it does not solely rely on physical and technical means of various kinds (static security), but also on personal contact and a general knowledge of what is going on in the institution (dynamic security).

Danish Prison and Probation—Prison policy, prison regime and prisoners' rights in Denmark, William Rentzmann, Director-General of the Danish Prison and Probation Service, Proceedings of the Colloquium of the IPPF, Stavern, Norway, 25-28 June 2008, Nijmegen, Wolf Legal Publishers, 2008, page 292.

Individualism, relationship and activity come together in the concept of dynamic security. This approach to public safety (preventing escapes) and safety for the prison (internal order) recognizes that both are only really possible through the relationship between staff and prisoners. Dynamic security is knowing what is going on in a prison, in addition to providing a safe and secure background against which the whole range of activity making up the life of a prison takes place. The concept of dynamic security has the benefits of engaging prisoners individually and gaining both material and intuitive insights into the operation of the prison.

The concept of dynamic security is based on:

- Positive relationships, communication and interaction between the staff and prisoners
- Professionalism
- Collecting relevant information
- Insight into and improving social climate of the penal institution
- Firmness and fairness
- Understanding personal situation of the prisoner
- Communication, positive relations and exchange of the information among all employees

Prison Administration, Ministry of Justice, Republic of Croatia, Dynamic Security in Penal Institutions, Presentation at 7th conference of European Penitentiary Training Academies, 25—27 June 2014, Barcelona, Spain.

When implemented effectively, dynamic security allows prisoners to feel comfortable when approaching prison staff before problems escalate. It is important, therefore, that staff take every opportunity to interact directly with prisoners and avoid retreating behind doors, into corridors or offices and stations unless required to do so.

The concept of security involves much more than physical barriers to escape. Security depends on an alert staff who interact with prisoners, who have an awareness of what is going on in the prison and who ensure that prisoners are kept active in a positive way. This is often described as "dynamic security".

An officer in a watchtower on the perimeter is likely to see an escape attempt only after it has begun. An officer who works closely with prisoners and knows what they are doing will be much more aware of possible threats to security before they occur. Dynamic security is not just about preventing prisoners from escaping. It is also about maintaining good relationships with prisoners and being aware of their moods and temperament.

Human Rights and Prisons: A Manual on Human Rights Training for Prison Officials, vol. I, Office of the United Nations High Commissioner for Human Rights, 2005, page 98.

Dynamic security can also be beneficial when a prison system has limited resources to spend on physical security measures.

> "In many post-conflict environments, prisons generally lack essential static security elements and staff members compensate for this by restricting prisoner movement and by locking prisoners in cells for extended periods. The introduction of effective dynamic security elements, such as increased staff/prisoner contact and interaction, can offset a prison's limited static security components."
>
> UNDPKO—*Prison Incident Management Handbook,* 2013, page 21.

Professional and constructive relationships with prisoners

Prison staff should develop and sustain professional relationships with prisoners. Many indicators of a prison system's success are shown in the efforts of prison staff to work constructively with prisoners, and to exercise their judgement and discretion in doing so.

> Dynamic security occurs when corrections officers interact and engage with prisoners during the course of their work by:
>
> • Regularly walking through the area in which they are posted;
> • Talking to prisoners, gaining their trust, and building rapport;
> • Checking prisoners' physical welfare during musters and head checks;
> • Maintaining a consistent approach to inappropriate behaviour;
> • Encouraging positive behaviour and addressing negative behaviour;
> • Engaging in case management process;
> • Following up on requests in a timely manner; and
> • Remaining calm during incidents.
>
> Australian Capital Territory, Corrections Management (Management of Prisoners) Policy, 2011.

Dynamic security is much more qualitative than static physical and procedural security measures. Where there is regular contact with prisoners, an alert staff member will be responsive to situations which are different from the norm and which may present a threat to security. Staff who are engaged with prisoners in these ways will be able to prevent escapes and incidents occurring.

Placing an emphasis on the need for prison staff to establish positive relationships with prisoners is key to dynamic security. This concept rests on the notion that engaging with prisoners and getting to know them can enable staff to anticipate and better prepare themselves to respond effectively to any incident that may threaten the security of the prison and the safety of staff and prisoners.

The nature of relations between staff and prisoners is also key to dynamic security. For example, the way in which prison staff address prisoners, how searches are carried out and their frequency, whether prisoners' privacy is respected when they are required to remove clothing, whether restraints are used unnecessarily and in a way which is humiliating, whether privacy in toilets and showers is respected, whether

prisoners are required to wear distinguishing uniforms, are all ways in which prisoners' humanity and dignity may or may not be respected. Using disrespectful language, or subjecting prisoners to humiliating routines or practices without any security justification, constitute a breach of their fundamental right to be treated with humanity and with respect for their inherent dignity.

Interpersonal skills

Interpersonal skills are an important element in the effective application of dynamic security. It is imperative that staff working with prisoners have a high level of interpersonal skills: their job can be demanding, intense, and at the same time very rewarding. Staff must be able to maintain professionalism and fairness at all times. If staff are confident and assertive in their approach, they will find that conflict is limited and they are able to deal with volatile situations as they arise.

Staff should be familiar with and understand the different groups (including religious, ethnic, cultural) that they may come across within their prison. They must be sensitive to the needs of those around them, while not compromising the security of the environment. Staff should know and understand how behaviour, communication and interpersonal skills affect an individual's expectation. They should be aware of barriers that may interfere with communication and they must also be aware of how their non-verbal behaviour is interpreted during communication with prisoners.

Communication, both verbal and non-verbal, is a two-way process. The behaviour of prison staff can affect the expectations of individuals and groups, both positively and negatively. Different forms of non-verbal communication can have an impact, for example exaggerated hand movements or invading someone's personal space may aggravate a situation. While staff cannot always overcome barriers, they can minimize their effects. Behaviour can prevent conflict within the prison: for example, approachability of staff, instilling confidence, creating a sense of order and safety/security. Staff should be introduced to techniques for dealing with conflict, such as appearing calm and in control of the situation.

Staff selection and training

United Nations Standard Minimum Rules for the Treatment of Prisoners (the Nelson Mandela Rules)

Rule 74

(1)   The prison administration shall provide for the careful selection of every grade of the personnel, since it is on their integrity, humanity, professional capacity and personal suitability for the work that the proper administration of prisons depends.

Rule 75

(2)   Before entering on duty, all prison staff shall be provided with training tailored to their general and specific duties, which shall be reflective of contemporary evidence-based best practice in penal sciences. Only those candidates who successfully pass the theoretical and practical tests at the end of such training shall be allowed to enter the prison service.

(3)   The prison administration shall ensure the continuous provision of in-service training courses with a view to maintaining and improving the knowledge and professional capacity of its personnel, after entering on duty and during their career.

Rule 76

(1)   Training referred to in paragraph 2 of rule 75 shall include, at a minimum, training on:

   (a)   Relevant national legislation, regulations and policies, as well as applicable international and regional instruments, the provisions of which must guide the work and interactions of prison staff with inmates;

   (b)   Rights and duties of prison staff in the exercise of their functions, including respecting the human dignity of all prisoners and the prohibition of certain conduct, in particular torture and other cruel, inhuman or degrading treatment or punishment;

   (c)   Security and safety, including the concept of dynamic security, the use of force and instruments of restraint, and the management of violent offenders, with due consideration of preventive and defusing techniques, such as negotiation and mediation;

   (d)   First aid, the psychosocial needs of prisoners and the corresponding dynamics in prison settings, as well as social care and assistance, including early detection of mental health issues.

(2)   Prison staff who are in charge of working with certain categories of prisoners, or who are assigned other specialized functions, shall receive training that has a corresponding focus.

Code of Conduct for Law Enforcement Officials

Article 18

Governments and law enforcement agencies shall ensure that all law enforcement agents are selected by proper screening procedures, have appropriate moral, psychological and physical qualities for the effective exercise of their functions and receive continuous and thorough professional training. Their continued fitness to perform these functions should be subject to periodic review.

Prison systems should ensure that the building of effective relationships between staff and prisoners is translated into reality through staff selection and training. Dynamic security is most effective where there is a professional and well-trained group of staff. Staff should be specially selected and trained to work with prisoners. Where staff are not properly trained in establishing and maintaining relationships with prisoners, they are more likely to be vulnerable to conditioning and manipulation by prisoners (see below).

The importance of building and maintaining relationships with prisoners should be reflected and emphasized repeatedly in the ways prison staff are assessed, developed and selected, as well as being reinforced in the messages sent by senior managers. The significance of interpersonal skills should also be emphasized in many aspects of ongoing training. There should be specific provision within initial training, for example on communication skills and relationship building.

Staff training should enable staff to understand the types of prisoners. They should be trained to understand the components that make up security and to apply the

required security measures with adherence to the principles of procedural and dynamic security. They should be able to balance the requirements of security with the need to respect the dignity of all prisoners and to implement positive and constructive regimes. They should receive training on combating conditioning and manipulation and resisting subtle attempts by prisoners to compromise security requirements. They should be able to respond appropriately and professionally to violence and disruptive behaviour in prison using the minimal amount of force.

A significant number of prisoners may present a complex and challenging range of risks and needs, which may include the co-existence of antisocial personality patterns or disorder, psychopathy, and substance dependence problems. Staff need to be trained to work closely with such prisoners, responding appropriately to the complex risks and needs posed.

Effective prison staff should be able to develop, manage and sustain complex and variable relationships with prisoners. In the very many cases where the work of prison staff is done outstandingly well, the staff successfully apply subtle and sophisticated skills and judgements in their interactions with prisoners. The training provided to staff should enable them to develop and hone these skills and exercise their judgement in an appropriate manner.

Embedding dynamic security in operational policy

Dynamic security needs to be supported by the development of appropriate policies and procedures, and effective staff recruitment, selection and training by prison department management. Prison staff should be aware of the advantages of implementing dynamic security in a prison and how it enhances security beyond the strict application of prison rules and regulations.

Romanian Prison System: Experiences in Prison Security Management—Dynamic Security Presentation at 7th conference of European Penitentiary Training Academies, 25–27 June 2014, Barcelona, Spain.

In addition to building the concept of effective relationships between staff and prisoners into staff training, prison administrations should ensure that the concept of effective relationships is translated into reality through the formation and application of related operational policy.

Central policy provision should promote the role of prison staff in developing and sustaining constructive relationships with prisoners, in making judgements and in dealing effectively with fluid and complex situations. This should be particularly evident in the context of prisoner care (for example, in preventing self-harm and self-inflicted deaths) and of tackling offending behaviour. But those same assumptions should also be present in the ways in which central policy on security and control rely on local application, and on prison staff exercising active judgements and interacting with prisoners, for example in the de-escalation of potentially dangerous situations.

Policies should seek to support staff by providing clear frameworks and tools with which to operate; but their success relies on the judgement, discretion and actions of the individual member of staff.

Unit management and direct supervision

One example of dynamic security being embedded in operational policy is through unit management, which is underpinned by direct supervision.

> Unit management reflects a decentralised approach to prison management and it plays an integral role in "dynamic" security. "Dynamic" security refers to the continuous monitoring of prison security via staff/offender interaction in order to create a safer prison environment.
>
> Department of Justice, Corrective Services, Tasmania—Breaking the Cycle: Tasmanian Corrections Plan (2010-2020), Best Practice in Offender Rehabilitation, page 4.

Prison systems have historically relied on custodial guards within the prison and on the perimeter, who rarely came into direct contact with prisoners, and separate treatment staff who engaged in more positive work with prisoners. This approach has considerable drawbacks, based on the sharp dichotomy it produces between these two distinct groups of staff and because custodial staff gained little intelligence from prisoners. The concept of unit management has been introduced in a number of jurisdictions, and is based on using frontline prison staff as the main vehicle for both the custodial and treatment activities of a prison. In many ways, unit management is therefore a shift from a depersonalized and centralized approach to one that is personalized and decentralized.

Under unit management, a prison is broken down into defined units, each of which may contain a number of prisoner accommodation sections and static posts. Multi-disciplinary teams consisting of disciplinary officials, educationalists, social workers, psychologists, religious care workers and nurses deliver services in each defined unit. Individual team members have responsibility for both security and prisoner development outcomes and are expected to develop constructive relationships with prisoners.

Benefits associated with direct supervision and unit management

- A member of staff (case officer) is assigned to specific prisoners and serves as primary contact point between prisoners and the administration
- Increases frequency and quality of relationships between prisoners and staff
- Better communication and programme planning
- Increased programme flexibility
- Decisions about prisoners being made more quickly by people on lower levels who really know them
- More effective observation of prisoner activities resulting in early detection of problems for intervention
- Good quality information received from, and about, prisoners which can be used to prevent escapes and control problems
- Development of correctional and managerial skills of staff
- Utilization of a multidisciplinary team improves cooperation between staff from various disciplines
- An improved and more coordinated approach to rehabilitation and development programmes

The unit management concept is based on prisons being organized into small, decentralized living units, with staff working in direct contact with prisoners, rather than in control rooms or towers. Comparative research has shown that without greater spending on buildings or staffing, this kind of facility reduces levels of assaults and other serious infractions, and provides settings that are less stressful and more accessible to counselling and rehabilitation programmes.

Daily security routines, such as counting prisoners, searching, and managing prisoner movement all provide opportunities for staff to have essential contact with prisoners. By interacting with prisoners in a humane way, prison staff members enhance the security and good order of a prison.

> Corrections in South Africa had always been operated along the lines of the management of the organisation with little attention being paid to the prisoner as a human being. In many ways, unit management can be utilised as a vehicle to facilitate a personalised and decentralised approach. The Department is confident that the Unit Management approach will adequately integrate rehabilitation programmes and security and that it is a vehicle to deliver a service that can be expected from a modern Correctional Services.
>
> "Unit Management: An approach to prisoner management", South African Department of Correctional Services, Conference for Eastern, Southern and Central African Heads of Correctional Services (CESCA) during September 2001.

Unit management staff members serve important and dual roles in security and programmes. They "walk and talk" to prisoners and familiarize themselves with personalities and identify concerns. They provide heightened surveillance, proactively intervening to help prevent incidents. Thus, unit management provides each unit with a sense of group identity and increases the frequency of staff contacts with prisoners so that small problems can be addressed before they become more serious.

Direct supervision and unit management are inextricably connected. Effective unit management cannot function without direct supervision, which maximizes staff-prisoner contact and helps achieve accessibility, communication, intelligence and surveillance, and staff responsiveness. Through direct supervision, prison staff are posted within the housing unit rather than in a remote location. As such, they seamlessly negotiate unit operations while managing prisoners, setting and reinforcing rules and addressing challenges immediately. Direct supervision has been compared to good parenting. In this analogy, successful parents are those who engage their children actively. Communication with their children is an exchange of expectations, rather than commands or orders issued without context or meaning.

Used together, unit management and direct supervision enhance operations, create a safer, more secure environment and provide opportunities for leadership development.

Gathering information

A fundamental aspect of dynamic security is that it feeds the prison intelligence system. Prison staff who mix with prisoners observe and listen to what is going on

and obtain information from prisoners. They are able to feed this information into the security system so that valuable intelligence is developed. Many escapes, instances of disorder and criminal activities in prisons and the community have been prevented through effective dynamic security and information gathering.

> Seasoned correctional personnel can develop a sixth sense about the "feel" of certain correctional environments. They know when something is not right or normal. Gathering intelligence is just refining those learned traits and reporting and documenting observations, conversations, associations, changes in offenders" actions and behaviors, etc.
>
> Radicalization and Intelligence Gathering In Correctional Institutions (2015).

Where dynamic security operates effectively, staff will be monitoring and reading their environment and the prisoners within it. The strength of dynamic security is that it is likely to be proactive in a way that recognizes a threat to security at a very early stage. The principles of dynamic security apply especially in high-security prisons. Staff will generally accompany these prisoners whenever they are outside their living accommodation or moving from one part of the prison to another. The supervision of these prisoners involves much more than a mere escort function. Staff should interact with them in as positive a manner as possible.

The subject of prison intelligence is explored in detail in chapters 3 and 4.

Prevention of staff corruption and manipulation

Prisoners often seek to control staff and to make them do things that are prohibited. There are numerous international examples of staff having been conditioned and manipulated in ways that have enabled prisoners to escape. There is an increased risk of manipulation of staff by prisoners where there is frequent contact between staff and prisoners, as is the case where dynamic security is operating effectively.

> A particular problem, however, concerns the degree of distance that prison staff need to maintain vis-à-vis the prisoners. On the one hand, the demands of security routines easily lead to staff exercising a high degree of formal control over inmates and keeping them unduly distant. But the opposite of this state of affairs is equally damaging. Over time, and in well-meaning attempts to maintain good staff-inmate relations, prison staff may become too close to prisoners with the result that the latter manipulate the former for improper purposes … Assisting the basic grade staff to maintain a correct balance is a responsibility of senior supervising staff.
>
> Management by Prison Administrations of Life-Sentence and Other Long-Term Prisoners, Recommendation REC (2003) 23, Adopted by the Committee of Ministers of the Council of Europe on 9 October 2003 and Report, para. 77.

In addition to working towards an escape, prisoners may try to manipulate or bribe staff to acquire illegal articles, such as drugs or mobile phones from outside prison or to be granted special privileges and powers within prison. Special difficulties may

arise in the case of prisoners sentenced for organized crime or terrorism. Such prisoners can seek to manipulate staff to carry out serious criminal activities.

Such risks can be countered by the proper training of staff, as stated earlier. There is also a need to ensure an appropriate degree of mobility and rotation for staff so that they are not exposed to contact with these prisoners for unduly long periods. Clear procedures to deter and detect staff corruption, including the routine and random targeted searching of all staff entering prisons and a functioning system of disciplinary measures against staff who engage in corrupt or other illegal activities are also key components of strategies that aim to prevent staff corruption and manipulation.

It should also be noted that the management of prisoners is always weakened if they can exploit staff conflicts, which often arise due to staff's different approaches and actions in relation to the treatment of prisoners. The ideal is to prevent staff conflicts before they lead to a damaging imbalance between different approaches to the treatment of prisoners, usually between that of sympathetic relations and that of firmness and control. Regular meetings and discussions should be arranged between the different staff categories in order to achieve and maintain a proper balance between these two approaches to prevent visible conflicts.

Another important precaution against corruption is to ensure that prison staff who come into contact with prisoners receive a satisfactory level of pay and that they enjoy appropriate working conditions. This can prevent staff from being vulnerable to bribes. Good pay also ensures that staff are satisfied and function better, carrying out their duties more effectively, including the prevention of escapes and maintenance of good order and discipline in prisons.

Prison staff who have reason to believe that a violation of the ethical code has occurred or suspect it is about to occur shall report the matter to their superior authorities and, where necessary, to other appropriate authorities.[14] This action is often referred to as "whistle-blowing". Doing so may put staff in a particularly vulnerable position where they may be intimidated or ostracized by other staff or managers. In order to encourage staff to report misconduct, appropriate protection measures should be put in place. These may include guarantees of confidentiality, support from senior management, reassurance to potential "whistle-blowers" that their information is valued and that they will not be treated adversely should they have the courage to raise their concerns. Any security information report (SIR)[15] submitted in relation to staff corruption or manipulation should be treated as a "closed SIR" and its circulation restricted.

Constructive activities for prisoners

Another aspect of dynamic security is ensuring that prisoners are kept occupied in constructive activities during their sentence. Involving prisoners in constructive activities has two benefits related to dynamic security. First, keeping prisoners fully engaged reduces the time that they have to be disruptive and to plan escape attempts.

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[14] See for example, Council of Europe—Recommendation CM/Rec(2012)5 of the Committee of Ministers to member States on the European Code of Ethics for Prison Staff, article 35.

[15] Security information reports (SIRs) are discussed in chapter 4.

It also ensures that prisoners channel their energy in a constructive manner and are tired at the end of the day, thereby reducing their motivation to engage in disorder. Secondly, it gives prison staff an opportunity to engage prisoners while they are participating in the activities, which contributes to establishing positive relationships and enables staff to gather intelligence.

> Providing a full range of constructive activities for prisoners plays an important part in … the "dynamic security" of the prison. This means that, if prisoners are fully and productively engaged in constructive activities, the prison is likely to be safer and more secure.
>
> *Human Rights and Prisons: A Manual on Human Rights Training for Prison Officials*, vol. I, Office of the United Nations High Commissioner for Human Rights, 2005, page 98.

Channelling prisoners' energy into positive activities is an essential element of dynamic security principles. Each individual should be provided with the opportunity to develop him or herself personally in job skills and education, among others, while also being offered a chance to address psychosocial issues which may have contributed to his or her criminal activity. Therefore, it is of great importance that constructive activities and programmes are offered to prisoners as an essential component of their sentence plans.

Constructive regimes includes a balanced programme of activities, including work, vocational training, education, recreation, religious and cultural activities and sport, as well as programmes that address the specific criminogenic and mental health needs of individual prisoners, and which may include courses, group work or individual counselling.

> **International Covenant On Civil And Political Rights**
>
> Article 10 (3)
>
> The penitentiary system shall comprise treatment of prisoners the essential aim of which shall be their reformation and social rehabilitation.
>
> **United Nations Standard Minimum Rules for the Treatment of Prisoners (the Nelson Mandela Rules)**
>
> Rule 4
>
> (1) The purposes of a sentence of imprisonment or similar measures deprivative of a person's liberty are primarily to protect society against crime and to reduce recidivism. Those purposes can be achieved only if the period of imprisonment is used to ensure, so far as possible, the reintegration of such persons into society upon release so that they can lead a law-abiding and self-supporting life.
>
> (2) To this end, prison administrations and other competent authorities should offer education, vocational training and work, as well as other forms of assistance that are appropriate and available, including those of a remedial, moral, spiritual, social and health- and sports-based nature. All such programmes, activities and services should be delivered in line with the individual treatment needs of prisoners.
>
> See also Rules 91 and 92.

Principles And Best Practices On The Protection Of Persons Deprived Of Liberty In The Americas

Principle XIII

Education and cultural activities

Persons deprived of liberty shall have the right to education, which shall be accessible to all, without any discrimination, with due consideration to cultural diversity and special needs.

…

Places of deprivation of liberty shall have libraries with sufficient books, newspapers, and educational magazines, with the appropriate equipment and technology, according to available resources.

Persons deprived of liberty shall have the right to take part in cultural, sporting, and social activities, and shall have opportunities for healthy and constructive recreation. Member States shall encourage the participation of the family, the community, and non-governmental organizations in these activities, in order to promote the reform, social readaptation, and rehabilitation of persons deprived of liberty.

Principle XIV

Work

All persons deprived of liberty shall have the right to work, to have effective opportunities of work, and to receive a fair and equitable remuneration, in accordance with their physical and mental capacities, in order to promote the reform, rehabilitation and social readaptation of convicted persons, to stimulate and encourage the culture of work, and to combat idleness in places of deprivation of liberty. Such labor shall never be of an afflictive nature.

…

Member States shall promote, progressively and to the maximum of their available resources, vocational orientation and the development of projects of technical or professional training in places of deprivation of liberty. They shall also ensure the implementation of permanent, sufficient and suitable labor workshops while promoting the participation and the cooperation with society and private enterprises.

Activities offered should be of an interesting and demanding character. Undemanding, dull, routine tasks will increase and not reduce the sense of waiting for meaningless time to pass. Purposeful activities can provide intellectual and emotional stimulation and be of practical use in making prisoners physically tired and less able/inclined to attempt to escape.

Offering prisoners a programme of individualized, constructive activities may not be easy in jurisdictions where resources are scarce. However, prison administrations need to work towards implementing constructive regimes, using their resources creatively, and to this end, they may benefit immensely from forming partnerships with suitable civil society organizations and academic institutions to deliver activities and programmes.

Many prisoners will have turned to crime because of their low income and the lack of a steady job, often coupled with lack of education. Prison may offer them a first opportunity to acquire new job skills and become accustomed to the discipline of regular work, which will contribute significantly to their ability to live crime-free lives following release from prison.

Basic Principles for the Treatment of Prisoners

Principle 6

All prisoners have the right to take part in cultural activities and education aimed at the full development of the human personality.

Principle 8

Conditions shall be created enabling prisoners to undertake meaningful remunerated employment which will facilitate their reintegration into the country's labour market and permit them to contribute to their own financial support and to that of their families."

See also United Nations Standard Minimum Rules for the Treatment of Prisoners (the Nelson Mandela Rules), Rules 96 to 103; European Prison Rules (2006), Rule 26 to 28, and Principles and Best Practices on the Protection of Persons Deprived of Liberty in the Americas, Principles XIII and IIV.

The organization and methods of work in the institutions must resemble as closely as possible those of similar work outside institutions, to protect prisoners' fundamental rights relating to work and working conditions and to prepare prisoners for the conditions of normal occupational life. This also means that prison work should not be of an afflictive nature, and no prisoner should be required to work for the personal benefit of prison staff. Prisoners must receive wages for their work which, as far as possible, are equivalent to wages received for the same type of work in the community.

Many prisoners have few educational qualifications. A significant proportion is illiterate or semi-illiterate. Often, their involvement in crime is associated with their low educational levels. Education can help such prisoners overcome such basic and existential needs. It can be a vital avenue towards renewed self-respect and hope for a positive return to society. Education is seen as an essential aid to social reintegration, with a number of studies showing that it is instrumental in reducing rates of reoffending following release. International standards require that all prisoners be offered an opportunity to improve their educational levels, as a fundamental component of strategies that aim to enable their social reintegration. Education provided should, depending on the needs of prisoners, range from basic literacy classes to higher education.

United Nations Standard Minimum Rules for the Treatment of Prisoners (the Nelson Mandela Rules)

Rule 23

(1)   Every prisoner who is not employed in outdoor work shall have at least one hour of suitable exercise in the open air daily if the weather permits.

See also European Prison Rules (2006), Rule 27 and Principles and Best Practices on the Protection of Persons Deprived of Liberty in the Americas, Principle XIII.

International norms make clear that all prisoners should have at least one hour of exercise outside every day, where there is enough space to exert themselves physically. Sports and physical exercise are very important in maintaining both physical and mental health, especially for those prisoners who are accommodated in restrictive

custodial settings. While the exercise area should be secure and easy for staff to observe, it should be sufficiently large and in the open air. It should have means of rest and shelter from inclement weather and ideally, it should be provided with a toilet and drinking water. Prisoners should be able to take exercise together with other prisoners of the same unit, or others selected on the basis of their risk assessments. They should be provided with sports equipment and, where resources allow, a gym and facilities to undertake a range of different sports activities. Similar to security precautions taken in the case of work, prisoners should be searched, supervised and sports equipment carefully accounted for following each session.

Provision of sports and recreational equipment need not place an excessive burden on prisons. Access to outside space is important, but a ball can provide the basis for recreation and exercise for a group of prisoners. Activity of this kind is useful for health, to lower tensions and to good relations in the prison, particularly if staff join in. In some prisons, it may also be possible to have a small number of personnel who are qualified physical trainers and can organize activities with prisoners.

Prison administrations will need to take the appropriate security precautions, which may mean that some higher security prisoners may have to be excluded from certain types of activity, based on their risk assessment. However, every prisoner should be offered some activity that can be undertaken in a secure environment. Risks can be minimized by taking measures such as searching prisoners, including with metal detectors; accounting for tools; supervision by staff and CCTV cameras; and organizing the activity in small groups in secure units, depending on the nature and level of risk posed. The principle should be that a proper balance is attained between the desired level of activity participation and security.

KEY PRINCIPLES

- Security also depends on an alert group of staff who interact with and who know their prisoners; staff developing positive staff-prisoner relationships; staff who have an awareness of what is going on in the prison; and staff who make sure that prisoners are kept busy doing constructive and purposeful activities.

- Prison staff should develop and sustain supportive and productive relationships with prisoners.

- Central policy provision should promote the role of prison staff in developing and sustaining constructive relationships with prisoners, in making judgements and in dealing effectively with fluid and complex situations.

- It is imperative that staff working with prisoners have a high level of interpersonal skills.

- Dynamic security is most effective where there is a professional and well-trained group of staff.

- Unit management and direct supervision enhance operations, create a safer, more secure environment and provide opportunities for leadership development.

- A fundamental aspect of dynamic security is that it feeds the prison intelligence system. Prison staff who mix with prisoners observe and listen to what is going on and obtain information from prisoners.

- There is an increased risk of manipulation of staff by prisoners where there is frequent contact between staff and prisoners, so appropriate measures should be put in place to prevent staff manipulation and corruption.

- Channelling prisoners' energy into positive activities is an essential element of dynamic security principles. Therefore constructive activities and programmes should be offered to all prisoners.

Chapter 3

Prison intelligence: definitions, governance and organization

Importance of prison intelligence

The intelligence function is a critical component of any organization. Within law enforcement agencies, the military and commercial business, intelligence and analysis are used by senior managers in the decision-making process. Intelligence helps to reduce uncertainty and to focus resources in the right areas.[16]

Imprisonment is not necessarily a deterrent to continued criminal behaviour. Some prisoners continue with their criminal activity while in prison. This can take the form of operating illicit businesses, attempting to radicalize other prisoners, and sustaining gang related activity in the prison. They may also seek to maintain their outside criminal activity, including directing terrorist operations, operating drug syndicates and serious crime gangs.

International trends show that criminal networks also continue to exist within prisons. Criminals make contacts while in prison and, in some cases, extend, their criminality beyond the prison system. Some prisoners will also plan escapes and initiate activities intended to undermine the good order of the prison. Others will seek to corrupt or manipulate staff and attempt to have things smuggled into the prison.

In order to ensure that the prison authorities can identify these activities, all prisons should have in place a structured prison intelligence system to enable security and related information to be gathered and evaluated in a secure environment, consistent with national legislation, in order to meet security and intelligence objectives. All prison staff should have the responsibility to actively gather security information and pass this information to the security department. This is a key aspect of dynamic security and requires staff to actively engage, and maintain professional relationships, with prisoners if they are to obtain good quality information.

Prison intelligence systems have been in existence for many years. Indeed, although it has only recently been formalized in many jurisdictions, many of the basic (and intuitive) approaches of intelligence work are the same. For instance, prison staff have always attempted to identify the common thread that links clues about what is

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[16] See for example, *UNODC Toolkit on Police Information and Intelligence Systems* for a discussion of the importance of intelligence for policing.

happening in prison, or keep a mental note of the habits of particular prisoners, or cultivate special relationships with some prisoners who provide inside information. This has always been simply considered to be good prison work.

Benefits of effective prison intelligence

- Contribute to preventing escapes, riots and disturbances
- Identification and prevention of criminal activity and the contravention of prison rules
- Identification and prevention of criminal activity in the external community
- Detection of staff corruption and smuggling
- Identification of organized criminal and/or terrorist groups and the nature of their activity within the prison system and the individuals in those groups who lead or facilitate criminal activity
- Assessment of the various organized criminal groups' influence and interrelationship in the prison system and their influence outside the prison system
- Identification of the vulnerabilities in the prison system
- Identification of radicalization and extremism in the prison system
- Protection of vulnerable prisoners by identifying them and those who prey upon them
- Support informed decision-making in the prevention and management of incidents

Sophistication in the use of prison information and intelligence has been steadily increasing over the last 50 years. Prison information systems, which were formerly based on the collation of index cards managed by a member of the prison security team, have evolved. In some jurisdictions, information technology has been introduced into prison security departments using dedicated advanced software and the skills of trained prison staff analysts. The application of the information has also become more sophisticated. Intelligence techniques and methodologies have been developed to identify threats to security and order or to profile existing activity or high-risk prisoners. In many jurisdictions, prison-based intelligence systems replicate those that support the work of law enforcement agencies.

Definitions

Intelligence has a number of definitions but can be best defined as:

Predictive, accurate, relevant and timely hypothesis resulting from objective-driven collection, evaluation, collation and value added analysis of all available relevant information.

Information + Analysis = Intelligence

In this regard, criminal intelligence can also be defined as:

The product (or service) resulting from the analysis of past and present activity to predict future activity and suggesting the implementation of alternative courses of action that may be taken to interdict or minimize the impact of a threatening crime group or activity.

This definition provides an explanation of criminal intelligence in terms of the analysis of previous and present information to predict future behaviour. Such a service is useful to investigators, as it has the potential to enhance the investigation by providing leads and defining gaps in information.

All the intelligence process seeks to do is to reduce the element of chance. It should never be confused with some "magical" ability to read the future.

Intelligence within the prison context can be defined as follows:

> The prison intelligence function seeks, through objective strategic and operationally driven planned collection, to identify those prisoners, visitors, staff and organizations planning to engage in activity, or who are engaged in an activity that may be a threat to the good order, safety and security of a prison before the event occurs.

Prison intelligence looks at certain individuals (such as prisoners, prison visitors, staff employed by the prison administration) and groups of individuals (such as prison gangs) in order to identify both criminal activity and threats to the good order, safety and security of the prison.

The objective is to identify threats before they manifest themselves in actions, by analysing information and reducing uncertainty, so that managers can make appropriate decisions. Such events could be identifying the possibility of escape by a prisoner; in which case, the prisoner is moved to a more secure institution, their classification changed or additional measures put in place to manage the risk. Another example is the trafficking of drugs by a visitor to a prisoner, which should result in the prisoner being placed on closed (restricted contact) visits or their visitor being thoroughly searched prior to the visit. It enables, when effective information sharing takes place with the police, the police to search the visitor prior to a visit and make an arrest if drugs are in possession.

Prison intelligence can also be used to assist during and after the event, which is where the greatest interface between intelligence officers and investigators occurs. For example, tactical intelligence may require an immediate response to events such as a riot or serious assault within the prison. Depending on the type of event, the intelligence can take a variety of forms. For example, with a hostage incident the intelligence could include:

(a) Incident intelligence—all information about the incident to establish if intervention is required. Includes the "stronghold" for a hostage incident (location of incident), type of incident and all relevant information pertaining to the matter.

(b) Tactical information—all information in connection with the incident that is needed for the tactical teams (such as a hostage response group) and for negotiators to plan their options and strategies.

(c) Person (or biographical) intelligence—all information in connection with the person(s) involved, such as the hostage taker, hostages, injured persons. This information is used to develop a profile on personality type so that incident commanders can make informed decisions on strategies and options.

A proper understanding of the differences between intelligence-related terms is important to appreciate how they interact (see terms and definitions in the box below).

Good intelligence can also be used to inform risk-based decision-making. For example, intelligence can provide evidence of behaviour for decisions related to categorization, parole reports, temporary release and final release.

Common intelligence-related terms and definitions

Information	Data and knowledge in raw form.
Intelligence	A value-added product derived from the collection, analysing and processing of relevant information, which enables decision makers to make better-informed decisions from targeting to policy formulation. In a prison setting, this will be specifically concern decisions related to potential threats to the security, safety and good order of the institution.
Prison intelligence	Any information with additional value that can be used by prison or law enforcement staff.
Tactical intelligence	Assists staff to apply direct activity to a local situation. The intelligence that is processed enables the deployment of resources to deal with the identified localized risk.
Operational intelligence	Supports line managers in planning activity and deploying resources for maximum efficiency within the operational environment.
Strategic intelligence	Supports policy development by providing insight into new and changing threats or opportunities. This helps policymakers develop broad strategies directed to achieving long-term organizational objectives.
Passive intelligence	Gathered routinely without setting out to collect the information.
Proactive intelligence	Gathered deliberately, where staff set out to gather specific information about a prisoner or situation.
Analysis	(of either information or intelligence) The resolving or separating of something into its component parts; identification of those parts; tracing of things to their source to discover the general principles behind them; a table or statement of the results of this process. In its simplest form, intelligence analysis is about collecting and utilizing information, evaluating it to process it into intelligence, and then analysing that intelligence to produce products to support informed decision-making. When undertaken effectively, analysis goes beyond the facts. It can inform prison staff of how good (or poor) the information/intelligence is; things that they did not know before; what they need to know to understand a situation; where to look for further information; how to communicate their understanding of a situation to colleagues in the prison and to external law enforcement bodies.
Evaluation	The means by which data is transformed into intelligence, involving a structured process of considering the information with regard to its context through its source and reliability.

Intelligence products	Include information reports, intelligence summaries in answer to requests for information, briefings (verbal and written), risk assessments, profiles (prisoners, prison visitors, groups, locations), intelligence alerts or association charts.

Intelligence policy and organization

The purpose of intelligence gathering on prisoners while in custody is not for the State to "spy" on them or to infringe on their basic human rights but to ensure that they do not continue to commit criminal offences while in custody. By developing prison intelligence, the prison administration is endeavouring to make the custodial environment as safe and secure as possible for staff, the prisoners themselves and ultimately the wider community.

The degree to which prison administrations around the world engage in intelligence gathering varies enormously. Many prisons may have a security department but they do not always engage in proactive and systematic intelligence gathering. However, in order to control large numbers of prisoners who are determined and resourceful, and to minimize their risk to the public and each other, prison managers need quality intelligence.

At a national level there should be clear policies for the management, collection and use of prison information and intelligence together with appropriate safeguards. These should be supported with relevant guidelines and manuals. In order for prison intelligence to develop and become effective, there has to be an acceptance that intelligence gathering is an integral part of running a safe prison.

The national prison administration should be responsible for developing an integrated system for managing and exchanging prison information and intelligence between prisons and between prisons and external law enforcement agencies. It may involve the creation of a national or central coordinating body for prison intelligence and information. It should also be responsible for the improvement in the technical infrastructure for the handling and integration of data (including enhancement of data security). In addition, it should enhance technical facilities available to staff working with prison information and intelligence (including support for the creation and development of key prison databases and access to them).

While almost all prisons will have information sources and files of collated information of one kind or another, there is a need to have a uniform structured policy on how to combine them. Any integrated prison information and intelligence framework is essential for the effective operation of prison intelligence frameworks.

Common standards for prison intelligence should cover:
- The collection, assessment and analysis of information and intelligence
- The recording and logging of information and intelligence
- Returning to previously recorded and logged information to analyse and use it
- Security of intelligence standards
- Reports and briefings

Intelligence gathering should be embedded within the prison administration's management structures. Good practice is to have a unit based at the prison administration's headquarters to coordinate intelligence gathering across all of its prisons and to create dedicated prison intelligence units (PIUs) in each of its prisons. The PIU may consist of a single prison intelligence officer, or team, who are responsible for managing local intelligence. The PIU should be part of the prison security team and accountable to the prison security manager. This PIU should be responsible for the evaluation, collation, evaluation and dissemination of intelligence. Good practice is to establish a prison intelligence management board (PIMB) to oversee the work of the PIU by setting priorities and ensuring that their activities are lawful and proportionate.

Prison intelligence units provide:
- Advice on tactical, operational and strategic intelligence matters via the provision of various intelligence products (e.g. related to security threat groups, individual high-risk offenders, contraband, serious prison incidents, etc.)
- Support to other prisons, which contributes to achieving an incident-free environment
- Relevant and timely information to achieve a corruption-free working environment
- Key security areas with relevant information to undertake specific targeting operations
- A central repository for prison intelligence for use by the prison administration and other law enforcement agencies
- Training on intelligence-related subjects for all staff
- Intelligence products and investigative assistance to the prison administration and other law enforcement agencies

Due to the sensitive nature of prison information and intelligence (especially with regard to staff corruption), those chosen to work in the area need to have higher credentials in terms of integrity than in some other prison roles. Staff working in intelligence units are sometimes subjected to enhanced security vetting that investigates their background and assesses the risk that they may pose.

The professional development of specialist prison intelligence staff (especially with respect to the skills of analytical staff and intelligence managers) is a key role for prison staff training institutions. Not only do the staff of the PIUs need to be trained but all prison staff should be trained and briefed as to their responsibilities in contributing to the intelligence gathering process.

There is no doubt that creating an effective prison intelligence structure is a big commitment but, in the long term, good intelligence will allow limited resources to be focused where they are most needed.

Essential requirements for a prison intelligence function

- *People*: Staff must be recruited, selected and placed where they are the most effective.
- *Organization*: The prison intelligence unit (PIU) must be developed and flexible to allow for change in priorities and projects.
- *Supply*: The PIU must be appropriately resourced with the best technology, infrastructure and facilities.
- *Training*: A dedicated training programme must exist within the PIU to train selected staff both within the PIU and the prisons.
- *Equipment*: This relates directly to the purchase of equipment for the PIU function such as scanners, digital cameras, communications equipment, mobile phone readers.
- *Doctrine*: This is the guiding principle for the operation of a PIU, which includes standard operating procedures, and a defined command structure both within and outside a PIU.

Putting in place effective safeguards

Prison information and intelligence can be heavily constrained by legislation that governs the type of information prison staff may hold, the purposes for which it may be held and how it should be handled.

There may be laws that completely prevent any third party from knowing the content of government databases, including those of the prison system, or there may be freedom of information laws which, conversely, provide considerable access to them. However, there will always be some proportion of the information that may not be disseminated outside of those especially involved in it—whether because of cultural preferences for controlling information or because of operational reasons (for example, not letting someone know that he or she is under suspicion).

The sensitive nature of some prison information and intelligence, and the intrusive techniques that may sometimes be used to collect it, afford a particular importance to any supervisory mechanisms and security measures put in place. These will usually be contained within legislation or codes of practice and procedure. See for example, the European Prison Rules, Rule 24.

European Prison Rules

Rule 24

(2) Communication and visits may be subject to restrictions and monitoring necessary for the requirements of continuing criminal investigations, maintenance of good order, safety and security, prevention of criminal offences and protection of victims of crime, but such restrictions, including specific restrictions ordered by a judicial authority, shall nevertheless allow an acceptable minimum level of contact.

(3) National law shall specify national and international bodies and officials with whom communication by prisoners shall not be restricted.

See also United Nations Standard Minimum Rules for the Treatment of Prisoners (the Nelson Mandela Rules), Rules 61(1) and 84(1)*(c)*, for the right of prisoners to private and fully confidential communication with certain parties, such as legal advisers and prison inspectors

Monitoring should be proportionate to the threat posed by a particular form of communication and should not be used as an indirect way of restricting communication.

The European Court of Human Rights has held that the indiscriminate and routine checking of prisoners' correspondence violates Article 8.14 of the European Convention on Human Rights.

Jankauskas v. Lithuania [2005], European Court of Human Rights, 59304/00.

Every country will have something referred to as "classified information" that is considered to be sensitive or secret. This will normally be "protectively marked" by having labels attached such as "confidential" or "secret". Where information has been classified under one of these headings, special handling restrictions will be enacted and access will only be given to people with the appropriate level of clearance.

The special handling restrictions may define not only who can see the classified information, but also the conditions under which they may see it, in what medium it may be stored, how it may be transmitted and how it must be destroyed.

A multi-agency approach

It is important to remember that prison intelligence should be part of a broader law enforcement intelligence system. The volume and quality of information exchanged, and the speed with which requests are answered, will be indicative of the level of cooperation. Prison intelligence can be vital to law enforcement operations outside prison. Similarly, intelligence from outside law enforcement agencies can be very important to understand what is happening in prison. In recent years, there have been some important developments concerning the use of prison-generated intelligence by other law enforcement agencies.

Prisons and prison intelligence units do not exist in isolation. Offenders are usually committed to prison only after investigation by the police and after trial by a court. At the point an offender enters prison, there is a wealth of information already held on the individual by the police, the judiciary, social services and other agencies. It is essential that, at this point, the prison intelligence unit captures all the available intelligence on an offender and creates a prisoner profile for him or her. To do this effectively, it is essential that there is a good working relationship between the prison intelligence unit and their police counterparts. Most police services will have an intelligence department that will gather and process prisoner-related intelligence.

The relationship between prison and police intelligence units is one that is often ignored or neglected but it is essential if the State is going to manage and rehabilitate prisoners during their imprisonment and upon release into the community. This core relationship is best established and maintained by creating single points of contact within each organization and by embedding police officers in prison units or prison officers in police units. In advanced structures, some police services maintain dedicated joint intelligence units to mirror, enhance and support the work of prison intelligence units. See the section below for further information on joint intelligence units.

The aim of any prison administration should be to rehabilitate prisoners. Social services and probation services are integral to this process and should have good working relationships both with intelligence units, particularly when managing the release of prisoners into the community.

Uses of prison-generated intelligence by other law enforcement agencies

- Timely and actionable prison intelligence can make a significant impact on the prevention, reduction and investigation of serious and organized crime, particularly when it is of a transnational nature. ("Timely" means that it is provided in good time and "actionable" means that its detail and reliability supports the taking of action).

- Prison intelligence can play a significant role in helping with directing and prioritizing resources in the prevention, reduction and detection of all forms of crime.

- Prison intelligence can contribute to an effective policing model—often termed "intelligence-led policing"—where intelligence is essential for providing strategic direction and is central to the deployment of staff for all forms of tactical policing activity, including community policing and routine patrols.

Best practice is to set out in a document (for example, a memorandum of understanding, protocol or agreement) the agreed arrangements for the exchange of information and intelligence. There is a danger that information and intelligence held will undoubtedly be fragmented and duplicated. Strong information exchange mechanisms can help to mitigate this.

Facilities for the use of technical surveillance, such as telephone interception and listening devices, can sometimes be concentrated in national security agencies. In such cases, good cooperation between agencies to share resources is critical.

Prison-based police intelligence officers

In some jurisdictions, the police services (national, federal or local) base a number of police officers in prisons. These police officers are responsible for managing prison intelligence collection. They act as the single point of contact for all police activity related to the prison in which they are based and oversee requests received from law enforcement agencies in relation to intelligence and evidence. These police officers also liaise with a prison's security unit to obtain advice, arrange authorizations and facilitate access to prisoner-related information.

Police liaison officers based in prison can provide:
- Prisoner sentence planning, movement and release information
- Updates on current and emerging organized crime networks and individuals, including alliances, tensions, continued activity and future intent
- Intelligence collection to support the development of subject profiles
- Logistical and planning support for debriefing within prisons
- Guidance on the use of prison intelligence products
- Overt and covert tactical advice and support for prisoner movement to court or to other prisons
- Access to information on special interest prisoner groups such as violent extremist prisoners, protected witnesses, high escape-risk prisoners and prisoners who require multi-agency public protection arrangements

Covert surveillance

Covert surveillance is a particularly intrusive method for collecting information. The use of covert surveillance measures involves a careful balancing of a prisoner's right to privacy against the need to investigate serious criminality.

Covert surveillance

In those societies where the authorities exercise forceful control over the populations, the use of these techniques may be indiscriminate. Other systems will require a number of strict safeguards against abuse including the requirement that the offence be serious, that the use of the technique be vital to the case and that essential evidence cannot be secured by less intrusive means. Judicial or independent oversight is common and is required under international human rights law.

UNODC—Policing: Crime Investigation, *Criminal Justice Assessment Toolkit*, 2006, p. 13.

Provisions on covert surveillance should fully take into account the rights of the prisoner. There have been various decisions of international human rights bodies and courts on the permissibility of covert surveillance and the parameters of these measures. There should be a number of strict safeguards against abuse. Judicial or independent approval and oversight is common and is required under international human rights law.

Case example—United Kingdom

The Regulation of Investigatory Powers Act (RIPA) came into force in 2000 and provides prisons with a power to use covert surveillance. The legislation and associated Codes of Practice provide the framework for the use of covert surveillance and the application within prisons.

- All prisons can request the use of covert surveillance where it is necessary and proportionate to do so for the purposes of preventing or detecting crime/serious crime, preventing disorder, or on the grounds of public safety.
- All prisons will have trained staff in the key roles to ensure that covert surveillance is undertaken in accordance with the law.
- The use of covert surveillance will be an integral part of the intelligence gathering system within prisons.
- Covert surveillance will assist with the maintenance of control in prisons and allow managers to take informed decisions.
- Compliance with RIPA across the whole prison estate and for this to be confirmed annually by the Office of Surveillance Commissioners (OSC).

Covert surveillance of a prisoner's cell (intrusive surveillance) should be authorized by the appropriate judicial or administrative body. If it is in response to a hostage incident in a cell, surveillance should be authorized by an official in the prison administration. Covert surveillance of a public area (directed surveillance) should be authorized at the level of the prison administration. Any planned use of covert surveillance in prisons by the police or other investigating agency should first be considered by the prison administration before the operation can proceed. All covert activity should be recorded in writing.

Covert surveillance techniques deployed in prison settings

- Recording of telephone calls
- Interception of post/mail
- Use of listening devices
- Use of tracking devices
- Use of dedicated surveillance teams
- Use of photographic surveillance
- Use of video surveillance
- Covert search of letters, packages and parcels
- Use of tracking and positioning devices

Audio-visual surveillance should not be used to infringe the confidentiality and professional secrecy of a prisoner's meetings with lawyers, or their right to privacy during medical examinations. Video surveillance, and especially video recording, should be accompanied by safeguards, including in relation to storage of and access to the footage.

The use of audio-visual surveillance can also be extended to monitoring staff to prevent and detect corruption and manipulation. Appropriate safeguards and controls should always be put in place.

Use of prisoner informants

The use of informants or human sources for gathering information and intelligence is age-old. While informants may provide information that may not otherwise be available to prison management, the use of informants in prison is particularly dangerous for the informant and is also open to possible abuse. Informants may have many different motivations. They may, on the one hand, be prisoners seeking reward (financial or early release), or, on the other, hardened criminals seeking to oust the opposition. Information may be provided as a bargaining chip for some personal advantage (special job in the prison, additional privileges, temporary release, early release), or be traded for cash. Not all prisoners make good informants and their motives may be questionable.

Because of the secrecy involved in handling informants, and the privileges or money they may receive, there is an enormous potential for abuse. Generally speaking, the reliability and source of any information provided by an informant needs to be carefully assessed and, where possible, corroborated, in order to provide a "rating" for its accuracy and validity. Each time a prison informant offers information, the officer should question his or her motives and record the information. A set of guidelines to assess the reliability of prisoner informants assists in facilitating good management. At the same time, it must also be recognized that the prison authorities owe a duty of care to their informants and must protect them from retribution.

Safeguards required when using prisoner informants

- How they should be managed
- Rules about interacting and debriefing informants
- Recording of their details in a confidential file held in a secure location (e.g. assignment of code numbers instead of names, storage in a safe in the director's office)
- Ensuring that personal details of informants are known only to those dealing with them, e.g. by appointing a senior officer with responsibility for supervision of informant handling
- Providing special training on the use of informants
- Specifying which members of prison staff are permitted to manage informants
- Reward system and processes for informants

All information gathered from human intelligence sources should be authorized and carried out in accordance with current national legislation. All sources should have a handler, and the handler should report to a controller. The controller should, in turn, report to the system manager, who should ensure that all sources are registered.

KEY PRINCIPLES

- Intelligence informs actions in the prevention and detection of risks to prison security and the wider community.
- Strategic and operational intelligence is developed, evaluated and disseminated appropriately.
- Intelligence assessments identify local security priorities and objectives and inform the management of risk.
- Staff are aware of the security, professional and personal standards expected of them.
- Security intelligence contributes to corruption prevention.
- Information locally obtained or received from other establishments and agencies, is recorded, stored, accessed and handled lawfully, and in a way that ensures fair treatment for all.
- Intelligence developed as a result of communication interception is shared legally and appropriately.
- Security records are created and updated as required by the receiving/holding prison.
- Security information and intelligence is transferred securely, legally and in a timely manner to receiving prisons.
- The interception of communications and the retention and dissemination of material obtained is lawful.
- Targeted interception of prisoner mail and monitoring of prisoner telephone calls for security intelligence purposes is authorized and proportionate to the threat posed.
- Directed and intrusive covert surveillance is always authorized, managed and recorded.
- Use of covert human intelligence sources (informants) is authorized, securely managed and recorded.
- Information obtained by informants and surveillance is shared securely with identified stakeholders.

Chapter 4

Prison intelligence: cycle, process and components

Intelligence is information to which "something" has been added. That "something" is the intelligence process. The intelligence process reduces the element of chance. It should not be confused with some "magical" ability to read the future, and is only ever advisory. It is about interpreting information to give it a meaning. At its simplest, intelligence might be described as processed information. Within the prison and law enforcement context, intelligence can be described as information that has been processed—acquired, exploited and protected—to decide upon and support criminal or disciplinary investigations or staff interventions to prevent/eliminate threats to the good order and security of the prison.

It is important to remember that the burden of proof, when dealing with information analysed as part of the intelligence process, is different to the evidentiary burden required in the criminal courts of many jurisdictions. Anyone using intelligence should keep in mind that, unless or until conclusively proved by further facts, conclusions reached by way of the intelligence process are presumptions on the author's part.

The intelligence process consists of a series of functions which, in their totality, validate and provide broader meaning to raw information. The functions in sequence are tasking, collection, evaluation, collation, analysis, dissemination, and re-evaluation. This sequence of functions is also referred to as the intelligence cycle, by which raw information is converted into useful intelligence that can be used for decision-making.

The intelligence cycle

1. TASK
2. COLLECT
3. EVALUATE
4. COLLATE
5. ANALYSE
6. DIS-SEMINATE
7. RE-EVALUATE
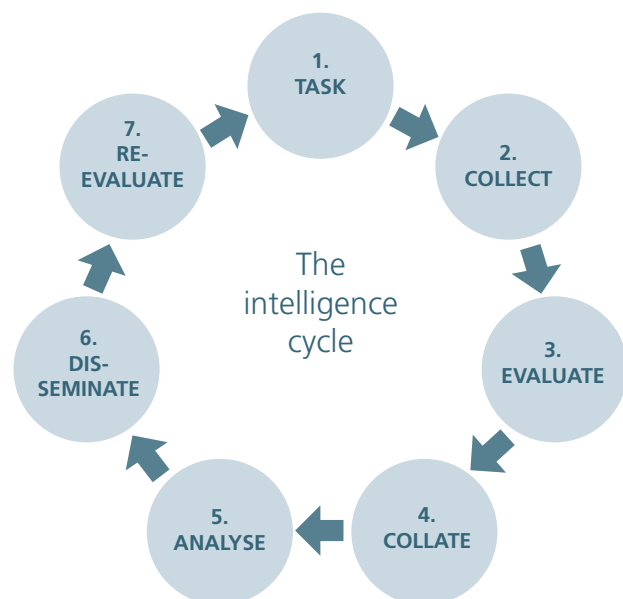
Tasking (also known as directing)

The first phase of the intelligence cycle involves tasking and giving direction. Intelligence analysis is driven by the needs of the consumer of the analytical product, i.e. in this case the prison administration. The analytical effort is thus directed through tasking by prison management, which takes the initiative at this stage of the cycle. This being said, the principle of partnership requires that both the consumer and the provider share a responsibility for working together to ensure that the requirements for the analytical product are clearly defined and understood by both sides.

Accordingly, tasking (directing) involves the formulation and prioritization of the prison administration's information needs; identifying and organizing personnel and resources; developing a collection plan; and assigning tasks to various prison operators and intelligence staff. The prison administration should have an overarching tasking and coordination process for intelligence gathering in all of its establishments. It should also appoint a senior officer to lead on security and intelligence matters. This officer needs to create a subcommittee comprising the heads of each prison intelligence management board, with representatives from the police and probation service. It is this subcommittee that agrees on the security and intelligence strategic priorities for the department as a whole and for individual establishments.

The prison administration should also make clear that everyone who comes into contact with prisoners and the prison is "tasked" with reporting information and any concerns relating to security.

Information required by security departments

Most prison systems will have similar requirements and authorize their staff to collect and report intelligence which relates to:

- Escape planning
- Organized gang-related activity
- Drug trafficking
- Planned assaults on staff or other prisoners
- Illicit communications via mobile phone and Internet
- Radicalization and violent extremist activity
- Bullying of vulnerable prisoners
- Risks to safety and security, order and control of the prison

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In addition, some prisons might have specific specialized requirements. In some countries, sex offenders are housed in separate prisons or units and there may be a need to focus on sex offenders to prevent them from using illicit communications to continue committing offences while in prison. Where there are large numbers of terrorist prisoners, there will inevitably be greater focus on radicalization and extremist behaviour.

Once the security and intelligence priorities are set, the security and intelligence subcommittee should inform their prison intelligence units/joint intelligence units

and members of staff so that everyone is clear of the objectives and that they have a lawful and proportionate mandate.

Collection

Any intelligence process is only as good as the information that is collected. Information collection is the directed, focused gathering of information through overt and covert means, from all possible sources. These may include prison databases; court documents; information from staff, prisoners and third parties (e.g. law enforcement agencies); other prison units, e.g. security units, investigators and escort units; footage from cameras; the results of searches; the media and social networks; and any other source legally accessible to the intelligence unit.

Importance of prison staff in information collection

In some ways, the prison environment lends itself to basic intelligence collection, as the principal subjects are incarcerated. Within the prison context, information gathering is primarily through prison staff. They are the most important (and often most underutilized) source for prison intelligence, as staff are in constant contact with prisoners and are the first to attend incidents. Staff may be told something by a prisoner, have observed something, heard something or read something. The more developed the concept of prison intelligence is, the greater the volume of information and intelligence contributed by these staff. One of the key benefits of dynamic security, as discussed in chapter 2, is that prison staff are able to gather information from prisoners during routine activity. All prison staff should be alert, aware and report information through their chain of command or to the intelligence officer so that the information can be considered in the ongoing intelligence cycle.

Role of prison staff in gathering information

Prison staff gather information by being vigilant at all times, by reporting anything out of the ordinary and by forming professional working relationships with prisoners built on trust and respect. For example:

- Overhearing a conversation
- Watching what prisoners do
- Observing who prisoners talk to—patterns of association
- Looking out for patterns of behaviour and frequent actions
- Identifying unusual activity or predictors of disruptive behaviour
- Watching for physical changes (obscured views due to placing of physical objects in the line of sight)
- Monitoring telephone calls and letters
- Observations during searching—hoarding of goods and clothes
- Unusual requests or incidents

Staff receiving such information should submit relevant security information reports, or other paperwork, to add to the intelligence system and a source evaluation will take place by a member of the security team.

Information can also come from external law enforcement agencies, government departments, non-governmental organizations (for example, aid charities), or a prisoner's family or friends. The potential sources of information are almost unlimited. Sources available rely on the intelligence practitioner's general and local knowledge and contacts that have been established and maintained over time.

Areas of collection within the prison environment

There are four main areas of collection within the prison environment in relation to prisoners: nominal data, visitor data, communications data and security behaviour data.

Nominal data—by the time an individual is convicted or remanded to prison they have usually already been through a police and court process. This will mean that basic biological data and background checks have already been done. These may include the prisoner's photograph; fingerprints; DNA; date of birth; passport or identity document; scars and tattoos; addresses lived at; names of family members; names of associates; gang or group affiliation; and telephone and e-mail contact details. As soon as a prisoner enters the prison system, a personal nominal file should be opened for him or her and it should contain as much of the aforementioned data as possible.[17] It is also good practice that every prisoner has an additional security file, where information or intelligence relating to the individual's security risk or behaviour can be recorded. This should be retained in a separate file or folder, whether in a paper or electronic system.

Visitor data—most prisoners will receive visits from family, friends and associates. Some visitors are a potential threat to the good order and security of a prison, as they can smuggle contraband, assist prisoners in escaping and passing messages to intimidate witnesses, destroy evidence or otherwise pervert the course of justice. As such, visitors need to be carefully managed and vetted before being allowed to visit an offender. Where a jurisdiction's infrastructure allows, it is good practice that all visitors are required to submit an application form stating their relationship to the prisoner, and that they produce original identification documents and a verified address before they are allowed to visit. The date and time of every visit should also be recorded.

Communications data—in order to maintain good order and discipline in a prison, to prevent crimes being committed by prisoners, and escapes from custody, it is essential to monitor internal communications between prisoners and also external communications between prisoners and their contacts outside of the prison. In the past, the main forms of prisoner communications were through fixed line telephones or written letters, which were relatively easy for prison authorities to monitor. However, since the rapid expansion of the use of mobile phones, many of which now provide connection to the Internet, prison establishments around the world have struggled to

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[17] See *UNODC Handbook on Prisoner File Management* (2008) for a detailed description of information that should be collected when a prisoner arrives at a prison.

control communication by prisoners to their families, and, in some cases, also to their criminal contacts. A prison can only begin to control prisoner communications by employing a strict search regime for prisoners, visitors and prison staff in order to prevent mobile telephones (and other illicit items) being smuggled into the institution. Where resources and technology allow, consideration should be given to using mobile telephone "blockers" or collaboration with mobile telephone service providers to disconnect illicit mobile telephones being used inside prisons. Unless such measures are taken, there is considerable evidence to show that some prisoners will use mobile telephones to carry on their criminal activities from inside prison, including the intimidation of witnesses, trafficking of drugs and even murder. Mobile phones can also be used to orchestrate escapes, riots and hostage-taking. Where illicit mobile telephones are seized, the proper handling and analysis of calls may assist investigators and prevent crime. Chapter 1 (page 21) contains a more detailed discussion of communication and surveillance issues and safeguards.

Security behaviour data—every frontline member of prison staff should be trained to observe and report any prisoner behaviour that could impact on security. During a tour of duty, prison staff will be in a position to identify gang groups and their hierarchy. They will know which prisoners habitually carry weapons or drugs and other illicit items. Most importantly, they will be able to identify individual or group behaviour which is out of the norm. This activity should be reported in the form of security intelligence reports (see the section on security information reports on page 62 below and annex 1 for further details) or the equivalent, so that the information can be formally recorded, assessed and shared.

Information collection planning

There will be occasions when the prison intelligence unit wishes to have further information about an emerging issue or particular prisoner or prisoner group. Information collection is a time-consuming process. The amount of time spent collecting information can be minimized and effectively controlled through careful planning before the collection process begins. Planning for the information collection process provides the effort with an organized and definitive focus, boundaries and limitations on the type and volume of information to be sought. The plan also provides information on cost, risk, and outlines potential sources of information and the use of the information that is to be collected.

Benefits of an information collection plan

- Provides a focused information collection methodology
- Defines the amount of information to be collected
- Minimizes time spent collecting irrelevant information
- Outlines from where and from whom the information shall be sourced
- Nominates who is responsible for collecting the information

The information collection plan is a disciplined process that ensures that the relevant sources are used to provide information for the development of the intelligence

product. The plan can facilitate a coordinated and focused investigation by clearly identifying what information is required and who is responsible for obtaining it.

Avenues of inquiry

The potential avenues of inquiry available to any intelligence practitioner are almost unlimited. Some inquiries are regulated by policy and others will rely on the networks that have been established and maintained over time. The amount of information sources available will depend largely on the personal ingenuity of the individual intelligence practitioner.

An avenue of inquiry is merely the art of knowing what information is required and then knowing where and how to get it in the shortest possible time. This knowledge and ability can simplify an investigation and assist in the prevention of crime or other incident in the prison. This is not a science and simply depends on the personal knowledge and life experiences of the intelligence practitioner.

The range of avenues of inquiry will very much depend upon the nature of the inquiry that is being worked on. The nature of the investigation will be divided into *(a)* covert and *(b)* overt investigation (the difference being whether the investigator is concerned if the suspect or person under investigation is aware of interest by the security department). The issue of covert surveillance within a prison setting was discussed in chapter 3.

Security information reports

If information is properly recorded it can be invaluable. If it is not recorded accurately, it may be forgotten, misquoted or exaggerated—potentially producing more harm than good. Good practice is for there to be a standardized form on which prison staff can submit gathered information—sometimes called a security information report or just information report.

As the report contains information that others may use in the future, care must be taken in its preparation to ensure future readers cannot draw false conclusions through poorly worded or incomplete information. The best way to ensure accuracy is to detail the circumstances of what, where, when and how the information has been obtained. Reporting staff members should also include any steps taken in reaching their conclusion.

Care must also be taken to maintain the confidentiality of the source. Good sources of information are often few and far between. Breaking confidentiality can result in the source refusing to provide further information or, at worst, could place the source at risk of harm in the future. To evaluate the information, the security department must know the identity of the source (unless it is from a covert informant source—see the section on the use of prisoner informants on page 54) but care must be taken not to reveal the identity of the prisoner giving information to staff who do not need to know.

The responsibility for acting on the content of information reports will generally fall to a person other than the author, so it is important that they are as complete as possible before submission and distribution. Security information reports, as the name

suggests, are a source of information, and therefore take their place at the commencement of the intelligence process.

Intelligence practitioners, particularly within the prison environment, should take every opportunity to promote the submission of information reports among the frontline members within their units and/or departments.

All information has a potential investigative or intelligence use. It is only when the security department pieces together the puzzle of different pieces of information that it can make sense of it and the real value becomes known. Anything that an individual feels is unusual or not the norm should be submitted and the security will record and decide if it is valuable.

Information received from any source in hard copy format should be transcribed onto a security information report. All documents and security information reports must be assigned a security classification. Any information received which falls outside the prison administration's remit should be forwarded to the appropriate agency as soon as possible.

A suggested format for security information reports and guidance on completing SIRs is contained in annex 1.

Key tests of the effectiveness of information gathering

- Are prison staff able to submit an intelligence log (either on paper or electronically) as a matter of routine?
- Are they encouraged to do so?
- Is there any kind of performance measure related to the submission of information and intelligence by prison staff?
- Is there a common national standard for recording information and intelligence?
- Are common formats and terminologies used?
- Is there a network of specialist prison staff deployed to gather and develop prison information and intelligence? If so, how many? What are their job descriptions? How are they managed?
- After an incident has taken place in prison, are staff formally debriefed in terms of what lessons have been learned? Is this information forwarded as information or intelligence? How and to whom?

Evaluation

Evaluation involves an assessment of the reliability of the source and the quality of the information. All information should be examined to evaluate the reliability of the source and the accuracy of the information. A specially trained member of prison staff should evaluate the information as it is received. A process should be in place to supervise and quality assure information after submission. Feedback to the member of staff who gathered the information and to the evaluator is important if future evaluations are to improve.

Good practice has evolved whereby all information or intelligence submitted is evaluated on the basis of *(a)* the previous history of reliability of the source, and *(b)* to what degree the source has direct knowledge of the information he or she is providing (for instance, did the source acquire the information directly, or did he or she hear it from someone else?).

There are different systems in use for the evaluation of information but, essentially, the idea is the same: to provide an estimate of the reliability of the source and an estimate of the accuracy of the actual information provided.

An internationally used formula, known as the Admiralty Code, is designed to give an alphanumeric value to this assessment. The components of the code represent a graded scale of measurement ranging between high probability to probable inaccuracy. Where an assessment is impossible to make in the circumstances, an additional code is included. Each component must be considered carefully and independently of each other.

ADMIRALTY CODE	
A. Completely reliable	1. Report confirmed
B. Usually reliable	2. Probably true report
C. Fairly reliable	3. Possibly true report
D. Not usually reliable	4. Doubtful true report
E. Unreliable	5. Improbable report
F. Reliability unknown	6. Truth cannot be judged

Source reliability—the examination of the characteristics of the source, to assess the level of reliance that may be placed on information provided, considering issues such as:

- Proximity—how close is the source to the subject of the information; i.e., is the source in a position to know?
- Sensory limitations—both human and mechanical observers have limitations in hearing, seeing, detecting and classifying.
- Fatigue—individuals respond differently when fatigued. It may result from the intake of alcohol or drugs. The source may be tired, stressed or suffering from physical or mental exhaustion.
- Bias—an unbiased source of information is the exception rather than the rule. Individuals, by their previous experience, attitudes, self-interest, desires and capacities may form biased attitudes. Bias may be deliberate or unintentional.
- Knowledge and experience—if the source has special knowledge or experience relevant to the information in question, he or she is assumed to be more reliable in that particular context.
- Past performance—if the source has provided information in the past, how accurate was it? If inaccurate or false, what were the circumstances?

Information accuracy—the first determination should identify whether the information purports to be fact, opinion or rumour.

Information integrity—wherever possible, the content of information reports should remain exactly as authors compiled them. From time to time, however, it may be necessary to re-word parts of the text to remove ambiguities, unintended conclusions or other information that could identify a confidential source or otherwise compromise an investigation.

Allied to this evaluation, there may be a further "handling" or "dissemination" code added that limits the extent of permission for further distribution. This is intended to protect the information or intelligence from any unauthorized disclosure.

Collation

Following evaluation, all records and logs received, either on paper or electronically, should be collated, filed, cross referenced and ordered, ready for analysis. Collation involves the organization of the data collected into a format from which it can be retrieved and analyzed.

Collation requires examining information to quantify its contents and sorting similar information into logical groups, thereby converting raw information into formats that can be used by analysts and investigators. Regardless of any specific attribute of activity under investigation, it will generally contain information relating to people, places, objects and events.

Collation groupings

- People—both identifiable and not including their relationships to each other
- Places—identified locations within the prison, yards, accommodation, workshops, etc.
- Things—telephone numbers, drugs, knives, escape equipment, home-made weapons, alcohol brewed in prison, etc.
- Events—which have occurred, are occurring or may occur that include identified dates and those people implied through their relationship to other events. (e.g. after this and before that)
- Activities—specific, alleged, inferred or types of activity

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Analysis

Analysis involves the careful examination of information to discover its meaning and essential features. The analysis stage of the intelligence process is a key one. Analysis can be described as in-depth examination of the meaning and essential features of available information. Analysis highlights information gaps, strengths, weaknesses and suggests a way forward.

There are two basic categories of analysis: strategic analysis, which takes a higher "helicopter" and a longer term perspective; and tactical analysis, which focuses on immediate, operational issues. Strategic information and intelligence considers trends and emerging threats. Tactical information and intelligence looks at an existing situation or current operation, often in real time.

Analysis considers information in context, draws conclusion as to what it means, highlights gaps in existing knowledge, suggests what is likely to happen next and makes recommendations as to possible future action. The work may be prompted by anomalies, trends or connections noticed by the analyst during the course of general research, but, more commonly, it will be initiated by senior managers asking a question or providing specific terms of reference.

The results of the analysis may be presented in a number of different formats depending on the requirements of the person commissioning the work. These may range from in-depth reports on complex strategic issues (such as drug trafficking) to a short oral briefing about a particular issue (escape attempt, prisoner using a mobile phone).

> Good prison intelligence products are cogent, concise and accessible with clear and unequivocal recommendations justified by strong evidence. Where information flows and sources are weak, the analytical product will also be weak.

Information can be likened to a jigsaw puzzle with all the pieces being bits of information. When joined together in the right way, a picture emerges but for the picture to be complete, all the pieces have to be in place. No matter how insignificant one piece may appear, without it there can be no picture. So it is with information: every scrap pieced together forms the process by which intelligence is gathered.

If the intelligence is highly rated, then the action that flows from intelligence could be a change in procedure, physical changes to an area, extra staff being allocated, or staff being asked to watch out for something specific.

An important aspect of analysis is hypothesis development. The term hypothesis development simply refers to the development of alternative theories as to what a collection of information may mean. Generally, more than one hypothesis can be developed from the same set of data. The elements of a hypothesis are:

Elements of hypothesis

- Who—key individuals or individual
- What—criminal activities
- How—method of operation
- Where—geographic location
- Why—motive
- When—past, present or future

Dissemination

The dissemination stage involves the release of the results of analysis to the client, i.e. prison management. The dissemination process can take various forms, such as:

- Structured formalized reports
- Structured and formal oral presentations with supporting documentation
- Weekly overviews in the form of bulletins
- Ad-hoc briefing to intelligence and investigative teams

The dissemination phase completes the initial cycle of the intelligence process.

Intelligence briefs

Intelligence briefs present the findings of an analysis. The product should be succinct and present only those findings that are relevant to the specific issue or trend. Intelligence practitioners must critically evaluate their own analysis to ensure that the final product clearly articulates the intelligence that is critical for managers to make informed decisions.

> **Intelligence briefs**
>
> The purpose of the intelligence brief is to provide a summary of an issue to enable timely tasking. It can also be used to report updates on existing products. The intelligence brief facilitates more efficient and timely reporting of emerging issues, due to the reduced workload in providing a summary of the issue rather than a comprehensive assessment.

The intelligence brief should be based on any initial requirements set out by prison management. For example, if the prison director wants a report on the level of drug abuse in the prison, then the intelligence brief should focus on that subject. The author should have a clear understanding about what prison management wants to know and some understanding of what they intend to do with the product. In self-generated products (where there has been no initial client commission), consideration must be given to the likely use of the product. The intelligence practitioner should anticipate, through knowledge of their client, what aspects of a particular situation would be of interest or benefit.

One of the things to be aware of is that the actual brief will not necessarily represent the time and effort that has gone into producing it. It is difficult to convince a client that the two or three pages of intelligence contained in the document can be the result of days, weeks or months (in some cases) of work. The analyst must avoid the pitfall of trying to equate the amount of effort with the length of the document.

The key point for writing any intelligence product is to answer issues of concern to prison management. Ideally, these issues of concern are set during the "task definition" phase of the intelligence cycle. Even if they are not set during that phase, the intelligence practitioner should have some form of understanding of the client's interest. Everything in an intelligence brief should focus on answering the "so what?" questions on behalf of the prison administration.

A template for an intelligence brief and guidance for completion is at annex 2.

Sharing intelligence

A decision will have to be made as to how far intelligence should be shared. In some cases, it will be kept within the security department; in others, referred to the prison director or to the prison administration headquarters. On occasion, the intelligence will be relevant and useful to other law enforcement agencies. The intelligence product should be clearly marked with an appropriate handling code. Prison intelligence is never shared with prisoners.

In most cases, the intelligence report will go to the security manager or prison director for a decision on whether to take any action and if so, what action. They will also decide who "needs to know" about the intelligence.

Example of intelligence handing codes

- Dissemination permitted within law enforcement agencies in the country of origin
- Dissemination permitted to other national agencies
- Dissemination permitted to international law enforcement agencies
- Dissemination within originating agency only
- Permits dissemination, but receiving agency to observe the conditions specified

Acting on intelligence

Possible actions could include:
- Doing nothing
- Doing nothing but briefing staff to continue to gather information on the issue (as part of strategic or operational objectives)
- Moving a prisoner or prisoners
- Searching a prisoner or building
- Searching a visitor or member of staff
- Informing regional or national administration if a strategic issue
- Informing local law enforcement agencies (according to laid down protocols)

Re-evaluation

Re-evaluation involves a continual review of the whole intelligence cycle to identify ways in which any stage of the cycle can be improved. To be of most value, re-evaluation should occur throughout the process, not merely be left to the last stage of the cycle. Often, re-evaluation may involve re-running the entire cycle.

Annex 1
Security information report (SIR): template and guidance for completion

Details of the purpose and function of SIRs can be found in chapter 4, pages 66-67.

General points

- All unusual, out of character or suspicious activity or situations may be of potential investigative or intelligence value to either the prison administration or other law enforcement agencies and should therefore be collected

- Information received from any source in hard copy format is to be transcribed onto a SIR

- Any information relevant to other law enforcement agencies should be forwarded to the appropriate agency as soon as possible in accordance with handling codes

Actions by member of prison staff completing the form

- Name of the prison
- Name and number of the prisoner(s) or person(s) about whom the report is being made
- Location of the incident(s)
- Subject(s) covered in the SIR—for example, drugs, alcohol, phone, gang

Actions by the security/intelligence department on receipt

- Give the SIR a unique reference number
- Enter that number on the form and SIR log book
- Assign a security classification[a]

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[a] The security classification enables those using the document to understand the degree of sensitivity and apply appropriate consistent security controls to protect the confidentiality, integrity and availability of the document. Although submitting members must assign a security classification to each information report, it is essential that intelligence practitioners reassess the sensitivity of the information independently. The appropriate security classification level must been assigned to identify the risk, nature and severity of the adverse consequences that would result from unauthorised access and/or disclosure of the information. The nature of security classification will depend on national regulations.

Section 1

To be completed by the member of staff making the report and setting out:

- Date and time information was received
- Source of the information (prisoner, other staff, covert source)
- Details of what was observed (seen) or is of concern
- Details of what was heard
- Details of what was discovered

The reader must clearly know that the information originates from either the author of the document, another person or another source. Another source could be an agency, organization or government department. For a variety of reasons, they may or may not wish to disclose the detail of the source.

The person completing the report should also indicate their view on the reliability of the source[b] and the accuracy of the information[c] based on their personal knowledge and any enquiries made. A SIR gives the author the opportunity to express an opinion (or suspicion) regarding the accuracy of the information, the motivation of the source, or anything else which may have a bearing on the usefulness of the information. The author must avoid misleading conclusions and ensure that all conclusions drawn are supported.

This section should deal only with relevant information and be kept concise and to the point. If necessary, additional sheets can be used (see below).

The member of staff submitting the SIR should enter the following at the bottom of the first page:

- Name (printed)
- Date and time of submission
- Signature

If there is a significant delay between the receipt of the information by its author and the creation of the report, this difference should be highlighted and an explanation for the delay included at the top in the information section of the report. The purpose of this is to ensure the reader does not assume the date of the report is the day the information was received.

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[b] Source reliability—this is an examination of the characteristics of a source, to assess what reliance may be placed on the information provided.

[c] Information accuracy—the first determination is to identify whether the information purports to be fact, opinion, hearsay or rumour, before undertaking inquiries to establish its accuracy. Wherever possible, the assertions made should have inquiries made to determine their truth or otherwise.

Section 2

The security/intelligence officer receiving the SIR should enter:

- Name (printed)
- Date and time SIR was received
- Signature

All information must be evaluated by separately, examining the reliability of the source and the accuracy of the information. Reliability of the source and information should be examined and evaluated independently to ensure that each is accurately addressed.

A member of the security/intelligence office should:

- Evaluate the reliability of the source
- Assess the accuracy of the information
- Confirm how the information contained in the SIR should be handled
- Make an assessment of any related and supporting intelligence
- Make recommendations based on the content of the SIR
- Identify any linked SIRs
- Enter their name, date and time of assessment and sign the SIR

Section 3

The security/intelligence senior officer should review the SIR, evaluation and recommendation(s) and:

- Decide what actions are required
- Identify when those actions should take place (immediate, 24 or 72 hours)
- Enter their name, date and time of assessment and sign the SIR

Section 4

The head of the security/intelligence office (if available, otherwise the most senior officer of intelligence office who is on duty) should review the SIR, evaluation and recommended actions and:

- Approve the actions that should take place
- Reject the proposed actions and set out why
- Identify other necessary actions
- Enter their name, date and time of assessment and sign the SIR

Section 5

The prison director (officer in charge), or their deputy, should:

- Review the SIR and make any comments they wish
- Decide if headquarters should be informed and about what

TEMPLATE EXAMPLE

[XXXX] Prison Service

SECURITY INFORMATION REPORT

Prison:	SIR number/year	Security Classification
		Action immediately (Tick) ☐
		☐ Inform Headquarters sign additional information and write what was reported (Tick)

Prisoner(s) name(s):

Prisoner(s) number(s):

Incident location:

Subject heading:

SECTION 1.   Content of report

(Continue on a separate piece of paper if required)

Information submitted by (print name):
Date submitted: Time submitted:
Signature:

SECTION 2.   SIR received in Intelligence Office by:
Name (print):
Date: Time:
Signature:

Evaluation (completed by Intelligence Office)

Source		Information		Handling	
A. Completely reliable	A	**1. Report confirmed**	1	1. Dissemination permitted within law enforcement agencies in the country of origin.	1
B. Usually reliable	B	**2. Probably true report**	2	2. Dissemination permitted to other national agencies.	2
C. Fairly reliable	C	**3. Possibly true report**	3	3. Dissemination permitted to international law enforcement agencies.	3
D. Not usually reliable	D	**4. Doubtful true report**	4	4. Dissemination within originating agency only.	4
E. Unreliable	E	**5. Improbable report**	5	5. Permits dissemination, but receiving agency to observe the conditions specified.	5
F. Reliability unknown	F	**6. Truth cannot be judged**	6		

Summary of supporting intelligence and recommendations (completed by Intelligence Office)

Name (Print):   Signature:

Date:

Time:

Previously linked SIRs

1) …………

2) …………

3) …………

4) …………

SECTION 3.   Actions set by security/intelligence manager

(Tick)

☐ Immediate   ☐ 24 hours   ☐ 72 hours

Name (Print):   Signature:

Date:

Time:

SECTION 4.   Head of Intelligence/Security
(to agree or set alternative/additional action)

Action (s) approved (Tick if approved) ☐

If not approved then write alternative or additional action to be taken.

Name (Print):   Signature:

Date:

Time:

SECTION 5.   Prison Director (Officer-in-Charge)
(Final decision or comments)

(Specify if Headquarters was informed and what information was reported.)

Name (Print):   Signature:

Date:

Time:

Annex 2

Intelligence brief: template and guidance for completion

Details of the purpose and function of intelligence briefs can be found in chapter 4, page 67.

Purpose of the intelligence brief

The purpose of the intelligence brief is to provide a brief summary of an issue to enable timely tasking. It can also be used to report updates for existing products. The intelligence brief facilitates more efficient and timely reporting of emerging issues due to the reduced workload in providing a snapshot of the issue rather than a comprehensive assessment. Intelligence briefs present the findings of analysis requiring an operational response. The product should be succinct and present only those findings that are relevant to the specific issue or trend. Intelligence practitioners must critically evaluate their own analysis to ensure that the final product clearly articulates the intelligence that is critical for managers to make informed decisions. Other document formats, such as briefing notes or issues papers, have their uses where appropriate.

The actual brief will not necessarily represent the time and effort that has gone into producing it. Two or three pages of intelligence contained in the brief can be the result of days, weeks or months of work. The analyst must avoid the pitfall of trying to equate the amount of effort with the length of the document.

The key point for writing any intelligence product is to answer issues of concern to prison management (reader). Ideally, these issues of concern are set during the "task definition" phase of the intelligence cycle. Even if they are not set at that stage, the intelligence practitioner should have some form of understanding of the prison administration's interest. Everything in an intelligence brief should focus on answering the "so what?" questions on behalf of the client.

Structure of the intelligence brief

The exact document structure will depend on the nature of the analysis and the points that the author wishes the reader to focus on. Most intelligence briefs have a number of distinct sections; it is important to consider all parts together and not individually.

Subject—the subject line must reflect the content of the document and the initial scope that was determined during the task definition phase.

Introduction—the beginning of the intelligence brief introduces the product to the reader. It should clearly indicate the purpose of the document and any other background issues leading to the need for the product. This part of the document should be short (probably a paragraph or two should suffice in an intelligence brief of two or three pages in length).

Key findings—should set out the outcome of the analysis and should be written after the analysis has taken place. It should not inadvertently include any unsupported key findings not explained in the analysis.

Analysis—forms the main body of the brief and contains the analysis and other material from which the conclusion is reached. It is the longest part of the document—it would be common for 75 per cent of any intelligence product to be devoted to the analysis section of the document and it takes the most time to complete.

Conclusion and recommendations—set out conclusions and recommendations based on the key findings.

Writing the intelligence brief

The lead sentence of the introduction should set out the focus or major core assertion. It is the highest level of generality in the document and serves as a general guide to what is contained in the brief. The synthesis and title should form an exact fit.

Each paragraph of the analysis should begin with a core assertion—the most important point that is being made in the paragraph. The core assertion should go beyond the data in the rest of the paragraph to make a judgement about the future or provide an analytic insight drawn from or supported by the data. The rest of the information in the paragraph should prove, support or explain the point made in the core assertion.

The reader should be able to extract the core assertions from the briefs and understand the meaning, flow and logic of what is being said.

Many intelligence briefs are too long. In general, this tends to occur when the intelligence practitioner includes too much unnecessary background information. The intelligence brief should provide succinct answers to the "so what?" questions about a particular issue.

Just because a graph or summary table has been produced during the course of the analysis does not mean that it should be included in the finished intelligence product. The charts, graphs, maps and so forth inform the author's (the analyst's) knowledge of the issues and provide the basis for informed analysis. They should not automatically be included in the brief.

TEMPLATE EXAMPLE

[XXXX] Prison Service

INTELLIGENCE BRIEF

The interpretations and conclusions in this report are made on the balance of probabilities, on information at the time of preparation. The information contained herein is NOT EVIDENCE and is intended to provide a basis for further consideration.

SUBJECT:

INTRODUCTION

KEY FINDINGS

ANALYSIS
CONCLUSIONS AND RECOMMENDATIONS

DOCUMENT DETAILS	
Author name(s):	
Unit:	
Phone:	
Dissemination authorized by:	
Date:	
Reference:	
Security classification:	