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QUANTUM ACCOUNT

**PRIME
REQUIREMENT STATEMENTS**

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CONTENTS PAGE

1. Introduction

HMPS is responsible for the daily management of a prison population in excess of 74,000 prisoners whose number has shown a steep increase in the past 10 years. Over 44,000 staff in 138 establishments are responsible for the service and it is essential that the most effective and efficient support systems are in place to underpin their work. Establishments include prisons, Young Offender Institutions and HMPS-managed Immigration Removal Centres.

The Local Inmate Data System (LIDS) was introduced in 1989 to hold prisoner information on a local establishment basis. In 1992, an automatic update to a central system (IIS) was developed as a consolidated repository for around 60% of the data held on each prisoner. Inevitably, the systems are now dated and the underlying software (Dataflex v2.3b) is no longer supported. Consequently, given that LIDS has reached its capacity to absorb any significant changes, there is an urgent need to investigate the creation or adoption of a new system that can support HMPS in its current and future operations, and meet the wider needs of the Criminal Justice System.

The intention of the new PRIME programme (Prisoner Records Integrated Management Environment) is to implement a replacement for the LIDS, IIS and other associated legacy applications, via a package-based solution. The new system will provide an integrated approach to prisoner management and prisoner information for the Prison Service.

The key business objectives that will drive the proposed new programme are as follows:

- Business continuity given that the current systems are becoming increasingly difficult and costly to support.

- A foundation upon which new and changing business needs can be met by offering flexible and cost effective solutions.

- The need for the capacity and flexibility of a centralised data store to produce accurate, speedy and relevant Management Information.

- Earlier and more detailed risk assessments of prisoners with access to the latest information at key decision points.

- Interfaces with other Criminal Justice agencies/resettlement partners to support a comprehensive and accurate source of prisoner intelligence.

PRIME is expected to lead to business improvements through IT-enabled business change and more effective use of management information.

This document builds on the high-level requirements previously documented in the PRIME Statement of High Level Business Requirements (Reference P23044_PRIME_03_SBR, Issue 1.1, dated July 2003) and provides additional and clarifying detail on those requirements.

The requirements are split into both functional and non-functional or technical requirements.

1.1 Purpose

This document focuses on the capabilities needed by the stakeholders and the target users to provide a basis for the proposal and assessment of suitable candidate solutions based on commercial offerings in the area of Prisoner and Data Management.

As such it acts as a formal statement of need against which package vendors will be invited to respond, detailing the functionality match of their offering and their proposed approaches to address areas of non-coverage and implementation.

Upon completion of the evaluation exercise, the Prison Service will confirm the exact scope of the functions to be provided and the proposed timetable for their introduction.

1.2 Scope

This document contains information on the high level functional features of the system derived from stated business needs captured during the requirements definition period.

Vendors will wish to note that there are currently nine contracted out prisons, with a further two being built. To the outside world, HMPS and the contracted out prisons must appear seamless and, at the moment, this is realised by the latter providing information to HMPS. Given the additional functionality required of the new system, discussions are on-going on how this interface may be realised under the proposed PRIME environment.

1.3 Integrated HMPS/NPS Strategy

A review of Correctional Services in England and Wales, undertaken by Sir Patrick Carter (the 'Carter' Review), reported in January 2004 and recommended the formation of a single National Offender Management Service (NOMS) delivering integrated offender management across community and custodial providers. This proposal has been accepted and will lead to the formation of the new central organisation within one year.

The need to share information between the Prison Service and the National Probation Service was always known and planned for but NOMS now introduces the imperative to deliver an integrated HMPS and NPS IT strategy. A feasibility study considering the options to achieve this will be reporting at the end of February 2004.

Therefore, evaluation will take into account the functionality, flexibility and interface characteristics of proposed software packages to support requirements arising from this development.

For information, the National Probation Service is currently organised through a National Directorate and 42 local Probation Boards. It delivers offender assessments, community punishments, supervises and works with offenders under terms set by the courts, legislation or the Parole Board to reduce their re-offending and to protect the public.

1.4 High-Level Current Process Description

The figure below shows a schematic of the Prison Service Prisoner Lifecycle, through which conceptually a prisoner moves during their period of confinement with HMPS.

High Level Process Map for Prisoner Lifecycle
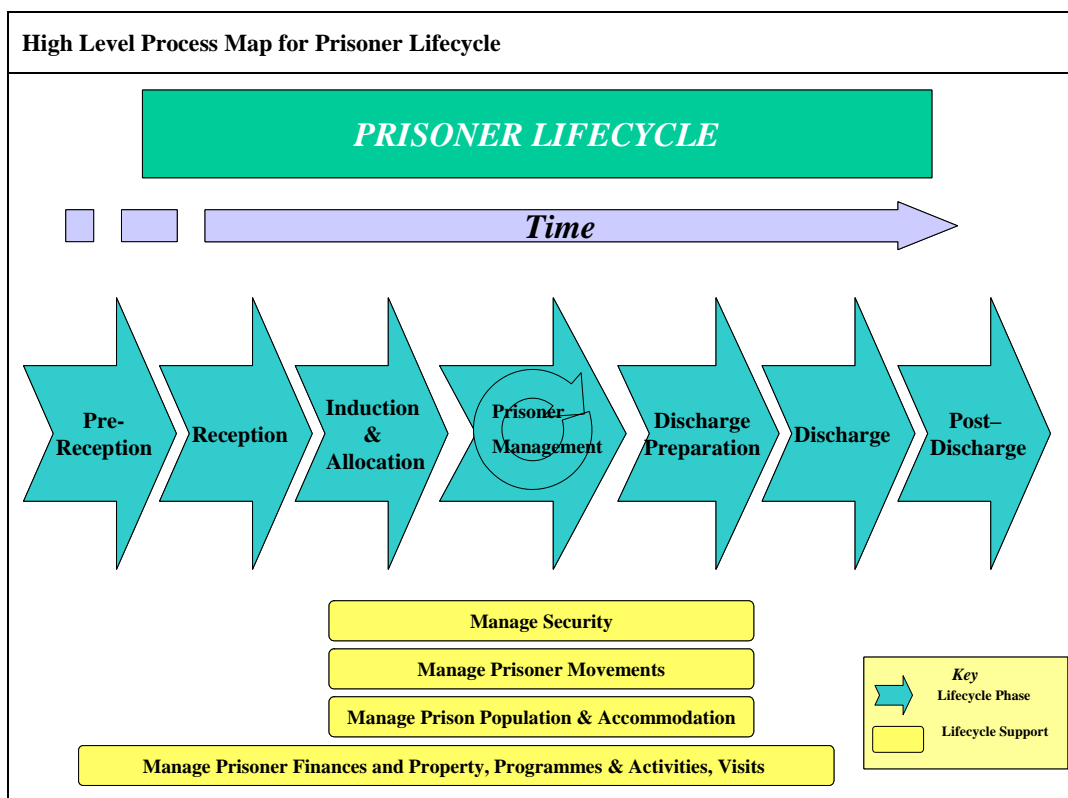
An overview of the complete lifecycle is provided below – this is the broad process for male prisoners (the vast majority), and does not cover any distinctions that there would be for women or young offenders/juveniles.

Mainly, prisoners come to a new Establishment from two different places:

- The Courts – Crown Court or Magistrates' Court – here they may have been convicted of a crime and given a custodial sentence, are being held awaiting trial or appearance at Magistrates' or Crown Court (on Remand), or have been convicted and are being held prior to sentence. There are other categories of prisoner, for example those held for contempt of court, non-payment of fines, immigration detainees, etc.

- Another Establishment - Prisoners may be transferred between Establishments for various reasons. These may include:

  o The overall need to manage the total prison population;

  o To attend a offending behaviour programme not undertaken at their current establishment, and other sentence plan progression;

  o The categorisation of the prisoner has changed (see below) and therefore should be held at a different Establishment (particularly near to discharge);

  o For security reasons, for example, potential harm to other prisoners or self-harm;

  o Transfer from an allocating prison to the nearest appropriate prison to the prisoner's home area, so family connections can be maintained more easily;

     o   Out of area court appearances.

A prisoner held in custody by HMPS must be accompanied by a warrant, to verify the legal basis under which they are being detained. The Courts issue a range of warrants, covering the different circumstances under which an individual is to be detained.

The Prison Service now uses private contractors to escort prisoners securely between Courts and Establishments, or between Establishments. The Court issues the warrant and hands to the private escort contractor, who delivers the prisoner to the agreed prison. The exception to this is for the highest security category of prisoners (Category A prisoners), where this work is still undertaken by HMPS. Immigration detainees may be transferred from centres run by the Immigration and Nationality Department (IND).

There are different types of prison for dealing with the different types of offenders that are detained in the UK, both in terms of their age/sex and the nature of their offence. As well as the large Male estate, there are separate prisons for Women (17 Establishments) and for Juveniles. There is also a High Security estate (9 Establishments) for the most dangerous prisoners (Category A), Open prisons for the least dangerous prisoners (Category D), and Immigration Removal Centres for persons subject to deportation.

Within each of these parts of the Prison Service estate there are two main types of prisons – Local and Training – although some prisons fulfil a dual function. All prisoners are initially taken from the Courts to a Local Prison, where initial assessments are made of their needs, the risk they pose to themselves, other prisoners & prison staff and the public, and a number of other factors. According to these assessments, prisoners are allocated to an appropriate Training Prison, and are subsequently transferred at the earliest opportunity.

1.4.1   Pre-Reception/Reception

Prisoners are received at a prison in Reception, where basic details on them are verified against any paper records received from the Courts (or other Prison if a transfer). Additional personal details are collected and noted (if missing), and photographs may be taken. The prisoner's fingerprints would also be taken the first time the prisoner is received at a Local Prison, or subsequently if a request is made by the Police.

The warrant is verified to ensure the correct individual is being held legally. The prisoner's property is received (they are allowed to keep specific items), and prison clothing may be issued (in some cases, prisoners can keep their own clothing). Any money in the prisoner's possession is similarly received and accounted for. Every prisoner is given an initial health screening, and is seen by a doctor if necessary.

Prisoners are then allocated accommodation and taken to a unit/wing and a cell at the Establishment. There may be special first night induction facilities, used particularly for prisoners at risk of self-harm.

The prisoner's key sentence dates are calculated (including the Automatic Release Date and Sentence Expiry Date), and any further court appearances noted.

1.4.2   Induction and Allocation

An initial categorisation – termed OCA (Observation, Classification and Allocation) – and assessment of the prisoner is undertaken, to assign a prisoner to the correct security category, and allocate them to an appropriate category prison which also has

the appropriate offending behaviour programmes, educational and work regimes.

The prisoner has an initial privilege level set, based on a progressive Incentives and Earned Privileges (IEP) scheme in operation within the Establishment. The three levels are Basic, Standard and Enhanced.

A prisoner entering an Establishment is given an induction that provides general practical information about the facility, the local policies that are in place and support services that are available.

Currently, all prisoners serving sentences of 12 months or more should have a sentence plan developed, based on an assessment of their offending behaviour and needs. Sentence plans are considered when allocating prisoners to programmes and activities.

Assessments are conducted for work, programmes and education. Based on the prisoner's sentence plan, other reports and assessment results and approvals, a prisoner is either allocated to appropriate activities (education, prisoner work, programmes or leisure), placed on waiting lists, or a transfer to another Establishment is arranged.

1.4.3   Prisoner Management

Prisoner Management comprises the core processes and activities which are on-going, iterative and operate in parallel and interactively whilst a prisoner is spending time within an Establishment.

The prisoner's personal details are updated if necessary. The progress of the sentence is monitored, in terms of key dates, including court appearances, dates for possible release on license of various types, and parole where appropriate.

Case information is prepared for prisoners eligible for parole, and parole hearings are scheduled, managed and the results recorded, with the appropriate action taken.

Sentence plan reviews are held at appropriate intervals to assess and review a prisoner's sentence plan and assess their progress against the plan. Where relevant this includes a review and amendment to the prisoner's categorisation and allocation. Based on security requests, prisoner requests for change, programme/activity feedback and other reports, activity allocation is reviewed and the sentence plan is updated where appropriate. The privilege level of the prisoner is also reviewed and amended where required.

Action is taken to manage prisoners' welfare, through for example monitoring for suicide/self-harm and employing an anti-bullying strategy. HMPS also maintains a drug strategy. This includes a number of processes designed to reduce both the supply of drugs and the demand for them in prisons, including both mandatory and voluntary drug testing.

A prisoner's movements both internal and external to an Establishment are planned and tracked in real-time. This includes making diary dates for external appointments such as court appearances or hospital treatment. This also includes their allocation to, and daily movement to and from, programmes/work/education within the Establishment. Prisoners may be moved between cells at an Establishment, or segregated, either for their own safety or for disciplinary reasons.

Prisoners' finances are managed, including their spending requests, any wages earned from attendance at paid activities, any money received from external sources, and the payment of any outstanding court fines.

Prisoner's property is tracked and recorded. Prisoners are allowed only certain items in their cells, depending on privilege levels. New property items received are processed. Requests for items to be retrieved from store are dealt with. Limited prisoner property is stored on-site, but most is stored off-site at a central HMPS location.

Prisoners' requests and complaints are recorded, investigated and dealt with. Any incidents or observations concerning particular prisoners are recorded and the appropriate action taken.

Where a prisoner commits an offence against Prison Rules in an Establishment, disciplinary proceedings may be instigated against them. If sufficiently serious, this results in an Adjudication, comprising a more formal charge, investigation, hearing and outcome, with an appeals process. Criminal matters may be referred to the Police for investigation.

Specific security action in respect of a particular prisoner is also taken where necessary. This is to ensure and maintain adequate security levels within the prison, and includes prisoner security searches (for example before or after movements, or randomly after a visit), as well as property and cell searches, and the management of intelligence information about a prisoner.

Prisoners may request visits for example, from their family, legal representatives or Official Prison Visitors. These are booked in advance, scheduled and managed by the Establishment. Visitors are checked on arrival and departure. Prisoners are also subject to search before and after the visit. Special procedures are applied for the highest category of prisoners (Category A).

1.4.4   Discharge Preparation & Discharge

Discharge preparation relates to activities required to prepare the prisoner for discharge from the prison. Many of these do not apply if the discharge is only a temporary release.

Discharge is the process of a prisoner leaving an Establishment. The discharge can be:

- Transfer to another Establishment,

- Release unconditionally after completing their sentence,

- Release on some form of licence or temporary licence,

- Otherwise leaving the Establishment on a temporary basis. This includes leaving the Establishment for attendance at court, or on a hospital visit (see below).

For releases not of a temporary nature, and where the prisoner has not served their complete sentence (that is, they have not been in custody up to their Sentence Expiry Date), release is on the basis of a licence, which must be prepared as part of discharge preparation. There are a variety of different licences, depending on the duration of the sentence. These include Discretionary Conditional Release (for prisoners with sentences > 4 years), which may include a parole element and discharge into the supervision of the National Probation Service (NPS). This may also include prisoners liable to deportation or removal from the UK.

Prisoners released on licence are subject to recall to prison for the duration of their licence, should they breach the terms of their licence. Under such circumstances the

licence may be revoked, and the individual recalled to custody.

There are two cases of release on licence that merit particular mention:

- Release on Temporary Licence (ROTL) – temporary release for one of three reasons:

  o Compassionate grounds – for example, visiting dying relatives, religious ceremonies or a medical appointment;

  o Facility licence – for example, to attend civil court proceedings, job interviews or obtain accommodation;

  o Resettlement licence – to maintain family ties, links with the community, or make suitable arrangements for accommodation, work and training on release.

- Home Detention Curfew (HDC) – Introduced in 1999, for most eligible prisoners HDC is a normal part of progression through the sentence. Eligible prisoners will normally be released on HDC unless there are grounds to indicate the prisoner is unlikely to complete successfully the period on HDC. Once released on HDC licence, the prisoner will be electronically tagged by a private contractor who will monitor the prisoner's compliance with their licence conditions. If the offender commits a significant breach of licence conditions, the contractor will inform the Early Release and Recall Section (ER&RS) in HMPS HQ, who will decide whether to recall the offender to custody.

HMPS will also notify other CJS agencies in advance of discharge where appropriate – for example:

- All dangerous offenders subject to Multiple Agency Public Protection Arrangements (MAPPA). These include offenders convicted of Schedule 1 offences (i.e.: of a sexual or violent nature, committed against children) and any others whose offences and history create concerns for public safety. Under current arrangements, the NPS and Social Services must be informed 3 months prior to the release of a prisoner subject to MAPPA. With HMPS having now become a Responsible Authority within MAPPA, information regarding these offenders will be shared at the local level with all interested parties.

- The Police and NPS (and the electronic monitoring contractor) must be notified 14 days before an offender is released on HDC.

- The Police are notified of all prisoners discharged on licence.

Preparation for release may also include informing outside sources to assist in the prisoner's resettlement into the community, undertaking a release preparation course, and applying for a discharge grant to help meet immediate expenses before initial support is received from the Benefits Agency.

All prisoners attend a discharge interview prior to release to confirm release arrangements – this includes where they will live, to ensure the prisoner has sufficient clothing, etc. A prisoner due for discharge is given a physical examination and interviewed to assess their fitness. If appropriate, the relevant documentation is completed and the prisoner's General Practitioner, or doctor of the prisoner's choice, is notified by letter.

On the day of discharge, their identification is checked, all prisoner's property and private cash is returned, which the prisoner must sign for. A prisoner is also issued with a travel warrant, where required, and a discharge grant.

Where the prisoner is being transferred to a different Establishment, the transfer is agreed in advance and appropriate arrangements made with the private escort contractor (or with HMPS for Category A prisoners). Arrangements are also made by the Establishment to assemble all the records that must accompany the prisoner, so they can be checked to ensure completeness and be transferred to the new Establishment with the prisoner. Note that transfers of Category A prisoners are not notified in advance for security reasons.

1.4.5 Post-Discharge

Post-discharge covers a number of administrative activities undertaken after a prisoner has been released from an Establishment. The most important of these are as follows:

- Notification to other CJS authorities of the actual release of prisoners, and in particular the NPS and the Police, for example, as part of the Discretionary Conditional Release/Parole scheme. This may include details of the prisoner's offence, intended address, and a copy of the Licence.

- Liaison with other Government agencies including NPS, Department for Work and Pensions or local Housing/Social Services departments over the resettlement of the offender into the community.

- Amendments to the conditions of the prisoner's licence.

- Revoking a licence if a significant breach of conditions has occurred.

- The tracking of Life Sentence prisoners who have been released into the community under the supervision of the NPS.

1.4.6 Supporting Processes

In addition to the prisoner lifecycle described above, there are a number of key support processes which underpin the prisoner lifecycle, both at Establishments and for some special cases at HMPS HQ. These include the following:

- Manage Security – The overall management of the security of an Establishment. This includes gate control, appropriate searches and roll checks, and intelligence management.

- Manage Prison Population and Accommodation – Management of incoming and outgoing prisoners, and cell occupancy at a particular Establishment.

- Manage Prisoner Property and Finances – Management of all prisoner property stored both at an Establishment and offsite. The overall management of monies belonging to prisoners at the Establishment, including bank account re-conciliations.

- Manage Programmes and Activities – Management of all regime programmes such as offending behaviour courses, work and education at an Establishment. Includes provision of leisure activities and Physical Education.

- Dealing with deaths in custody.

HQ has responsibility for the overall management and control of the Prison Service, its Establishments and its prisoners. The key processes here are:

- Population Management – On a daily basis, HQ has the responsibility of balancing the overall accommodation available with the overall diverse population of prisoners.

- Life Sentence Prisoner Management – Including allocation to prisons and the tracking of Life Sentence Prisoners after release on licence.

- Manage the Assisted Prison Visits Scheme – the scheme exists to provide financial help for visits to close relatives and partners of prisoners who are in receipt of low income benefits, such as Income Support or Jobseekers' Allowance.

- Collating operational data on prisoners and prisons to provide management information on HMPS, to run the Prison Service, report on key performance indicators, and inform strategy formulation and decision making.

- Responding as required to Ministerial direction and requests for information.

- Ensuring HMPS standards are maintained.

1.5 Current Infrastructure

The Local Inmate Data System (LIDS) forms an integral part of HMPS Quantum infrastructure.

- The Quantum infrastructure supports approx 18,000 user workstations and laptops operating on Windows NT4.

- The Quantum WAN connects 140 establishments (prisons), and central and regional offices to a central data centre.

- Local Establishments are connected to the network via a point-to-point network. The bandwidth of these connections is dependent on the size of the establishment.

- Within establishments and area offices Ethernet LANS provide local connectivity.

- The data centre hosts an X500 directory system, mail, domain, web and application servers.

- All establishments have a file and print server for local services

- Software distribution for the infrastructure is managed centrally at the data centre

- Internet services are provided via a secure GSI (Government Secure Intranet) network via the EDS data centre.

- All backup and recovery procedures are centrally managed.

- Server environments are based on NT4.

- Quantum data is RESTRICTED and the environment is accredited to carry this level of data.
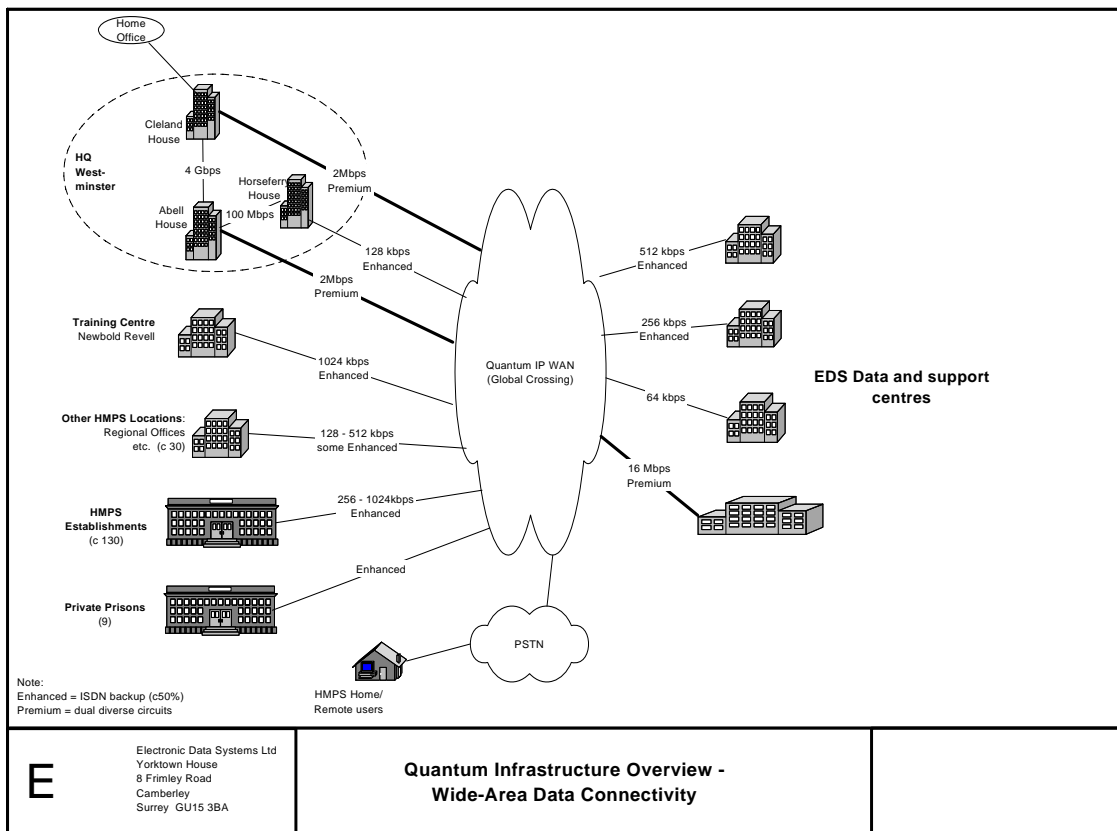
The LIDS systems are designed to operate in a stand-alone environment with each establishment providing periodic updates via a hub to a central system known as IIS. Approximately 60% of LIDS data is uploaded to the central IIS system.

- LIDS operates on AIX 4.2, with the application designed using Dataflex 2.3.

- The central IIS system runs on ICL VME with an IDMS database. Disaster recovery is via a separate system VME system

- Communication to the central hub is via TCP/IP.

- Communication from the hub to IIS is via ICL OSLAN

E | Electronic Data Systems Ltd
Yorktown House
8 Frimley Road
Camberley
Surrey GU15 3BA | **Quantum Infrastructure Overview - Wide-Area Data Connectivity**
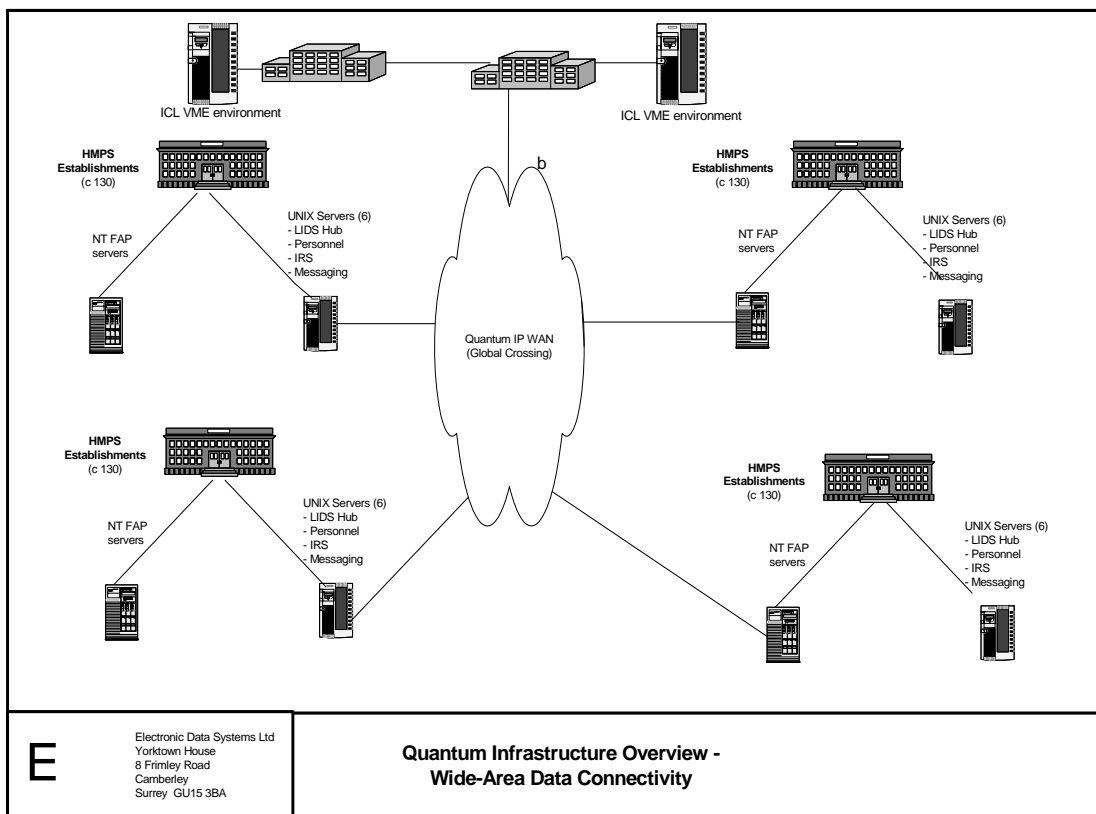
In the future, HMPS hope to move towards a web centric architecture, which will be compatible with wider government initiatives. Thus, there will be an emphasis on elements such as web services, XML, and SOAP.

1.6 Proposed Phasing

This section provides an overview of the proposed phases and a brief resumé of the supporting rationale.

1.6.1 The Phasing

The following transition stages and phases have been identified:

- **Stage A – Core PRIME**

  Stage A comprises the following phases:

    o Phase 0 – Central Infrastructure Implementation (so named as it is an enabling step, and does not result in any PRIME users);

    o Phase 1 - IIS Replacement;

    o Phase 2 - Visit Management;

    o Phase 3 - Incident Reporting System Replacement;

    o Phase 4 - LIDS Replacement;

- o Phase 5 – Further PRIME Functionality;

- **Stage B – CJIT Interfaces**

  This stage aims to leverage the Corporate Data Hub and the Criminal Justice System Exchange to facilitate information flows with other organisations in the Criminal Justice System, such as the police, Crown Prosecution Service (CPS) and the Courts Service.

- **Stage C – Biometrics and Other Devices**

  This stage will see the introduction on additional peripheral devices to further enhance business functionality, e.g. biometric devices for the recording and matching of an iris or fingerprint, and cameras for the capture of digital images of people, property and other subjects.

- **Stage D – Prisoner Tracking**

  Stage 4 introduces devices for the automatic tracking of prisoner movement within an establishment, so that an individual's location can always be identified.

- **Stage E – Internet Booking**

  This stage provides prison visitors with the facility to book visits to prisoners over the Internet.

- **Stage F – Mobile Computing**

  This stage introduces mobile computing devices, such as PDAs, to the business so that a level of PRIME functionality can be provided to staff who are on the move or working in areas where there is no access to the PRIME system.

- **Stage G – Other Enhancements**

  This stage includes those enhancements not specifically identified elsewhere. Currently, this embraces those requirements identified in sections 3.19 and 4.15 that have not already been associated with a specific stage. It is expected that some of these requirements will be moved into earlier stages and phases where it is operationally appropriate and cost effective to do so.

There is no over-arching assumption that these stages are purely serial, although the phasing within Stage 1 is substantially determined by the operational systems currently in use.

1.6.2   Rationale

In determining the above transition phasing, account was taken of key business drivers, which included:

- The need to replace legacy systems as a matter of urgency, as expressed in the key objectives of the high level business requirements (Reference 4);

- The need for biometric identification capability in respect of visitor and inmate verification;

- Increased alignment with CJIT Policy;

- The urgent need to introduce an effective approach to visits management

- The need to maintain operational effectiveness throughout the implementation of PRIME, distributing the impact of business change (including the associated training requirements) across the phases.

Additionally, the usual elements associated with a programme of work of this type have influenced the proposed phasing, in particular the numbers of staff requiring training in the new PRIME application, the need to cleanse and migrate data from multiple systems to PRIME and the business continuity needs during the change.

1.6.3 Mapping of Requirements to Stages/Phases

The requirements in sections 3.19 and 4.15 are annotated with the anticipated staging and phasing although these will be constantly reviewed to ensure that they remain appropriate in the light of project developments.

The nature of the transition is such that it will be necessary for certain functions and data to be updated on a legacy application and the results uplifted to PRIME, until such time as the originating function is performed on PRIME. The annotation referred to in the previous paragraph is therefore shown for each requirement in the following terms:

1. Stage/Phase in which the requirement is available to view, i.e. the performance of the function that meets a given requirement is completed in a legacy application and the output from that requirement is available to view in PRIME following data uplift

2. Stage/Phase in which the requirement is available to update, i.e. the performance of the function that meets a given requirement is completed directly in PRIME.

2. Functional Requirements Summary

This section introduces a set of high level 'requirements areas'. In chapter 3 these areas provide the heading under which the requirements statements are grouped.

2.1 Prisoner Personal Details

The recording of a prisoner's personal details and historical information. This includes:
- Documentation of prisoner's personal details (e.g. names, date of birth, addresses)
- Maintenance of previously recorded prisoner's personal details
- Documentation of Prisoner's Previous Conviction History
- Allocation of a unique prisoner number and capacity to record any other identifiers

2.2 Prisoner Assessment

A general assessment of a prisoner's needs and risks. This includes both items that are highly codified plus text-based information:
- Categorisation (including escape risk)
- Allocation to a Prison
- Cell Sharing
- Violence Potential
- Discriminatory Tendencies – this would include racism/homophobia.
- Healthcare Screening
- Education (e.g. Basic Skills Assessment)
- Self-harm
- Specific Needs
- Offending Behaviour
- Other Factors e.g. co-defendants, gang membership
- Resettlement

2.3 Prisoner Administration

The administration processes involving the prisoner's management in custody and actual sentence from the court. This includes:
- Documentation of the sentence legality – warrants, court order documentation
- Documentation of further court appearances
- Sentence calculation, including modification of previous dates & calculation
- Early Release Schemes – Parole, HDC
- Creation & Issue of Notifications - Parole, HDC, ROTL, etc.
- Prisoner Discharge Board
- Prisoner Correspondence management
- Notification to external bodies of, for example, Schedule 1 offenders and deportees
- Prisoner Status (Remand, etc)

2.4 Recognition

The ability to verify the prisoner (or visitor) is the correct person by use of appropriate technology. This includes:
- Prisoner Biometrics
- Visitor Biometrics
- Photographs / Images

- Improved Recalls Identification

2.5 Visits Management

The booking of domestic and professional visits, prisoner entitlements and records of historical visits. This includes:
- Visits Booking
- Banned Visitors
- Special Visits
- Visiting Orders
- Visitor Photographs
- Visitor ID Cards

2.6 Prisoner Finances

The recording and tracking of all financial transactions that relate to a prisoner's earnings, savings and expenditure. This includes:
- Prisoner Money Income (earnings, gifts, etc)
- Prisoner Money Debits (loss of earnings, spends, etc)
- Prisoner Money Management (prisoner accounts, cross account transfers, prisoners transferring prison, etc)
- Prisoner Money Advances

2.7 Programme & Activity Management

The management of the regime programmes such as offending behaviour courses and education and all work, training and leisure activities that make up everything a prisoner does during the day. This includes:
- Activity Allocation / Amendment
- Recording/displaying the regime places available at an establishment
- Prisoner Activity History
- Attendance Recording
- Attainment Recording
- Drug Testing and Programmes
- Offending Behaviour Programmes

2.8 Prisoner Property Management

The management of all property belonging to the prisoner, both in possession (in his/her cell), and stored property. This includes:
- Prisoner Property Recording
- Approved types of In-Possession Property (at local and national level)
- In Possession Property
- Prisoner Property Return Requests
- Prisoner Kit Issue
- Prisoner Property Return (Prisoner Requests, Discharge, etc)
- Property Management Technology (e.g. scanning/ digital images/ RFID)

2.9 Prisoner Movements

The management of all internal (within the prison) prisoner movements. This includes:
- Roll-Check
- Activity Attendance / Roll-Check Link
- Real-Time Prisoner Tracking

2.10   Prisoner Requests & Complaints

The management and tracking of all prisoner requests and complaints to ensure they are processed by the right people in a timely manner.   This includes:

- Recording & Acknowledging requests
- Tracking of Requests / Complaints
- Complaints Ombudsman Referral

2.11   Incidents & Observations

The management and documentation of all reportable and non-reportable incidents and staff observations about prisoners.   This includes:

- Prisoner Incidents Recording
- Incident Analysis Recording
- Incident Follow-Up Action Recording
- Historical Incidents Interrogation
- Incident Report Creation
- Staff Observations Recording
- Analysis (intelligently interrogate / analyse the recorded details, i.e. patterns, etc)

2.12   Adjudications

The management and tracking of the adjudication procedures necessary when a prisoner commits an offence against prison rules.   This includes:

- Record a Charge
- Record Incident Details
- Issue Notice of Report, Report to the Governor
- Schedule Adjudication
- Record Adjudication Findings
- Adjudication History (for prisoner and establishment)
- Appeals
- Update Previously recorded adjudication details

2.13   Population & Accommodation Management

The management of the prisoner population in terms of cell occupancy and all buildings within the prison estate.   This includes:

- Prisoner Allocation
- Transfer Lists
- Moves in and out of establishments
- Cell occupancy, availability and designation
- Segregation
- Lifers
- Accommodation & Occupancy (Building (CAD) Plans, Cell Certification, Capacities)
- Roll Board

2.14   Case Event Management

The management/scheduling of prisoner management events during all periods of custody. This includes:

- Case Management Events (Future Court Dates, Adjudication, Parole, ROTL, HDC, etc)
- Discharge Movement (time expiry, transfer, hospital, etc)

- Case Detail Maintenance / Update
- Prisoner Status

2.15 Health Care

Prisoner healthcare is managed on a confidential health service system. The PRIME functional area relates to the sharing of basic prisoner details with the healthcare system and the display of summary and specific healthcare information, subject to health service protocols. This includes:

- Health Care System link
- Health Screening Results Recording
- Health Care Treatment Recording

2.16 Physical Searching

To record the planning and searching target performance. Includes searching of prisoners, visitors, cells, establishment areas, and fabrics. Reporting of any violations identified and recording of the actions identified (e.g. adjudications, confiscations) in response.

- Prisoner Searches
- Cell Searches
- Building Fabric Searches
- Visitor Searches
- Violation Actions
- Search Planning & Targets Performance

2.17 Reporting

The ability to interrogate the prisoner records database to obtain information that will assist prisoner management decision making - security issues, regime issues, population issues, complaints, etc. This includes:

- Standard Reports – Biometrics, Visits, Incidents, Prisoner Money, etc
- Ad-Hoc Enquiry Tool / Reports
- Trend Analysis
- Analysis and Reporting at establishment, area and estate levels

2.18 Common Functions

The functional requirements that will apply across the majority of business users and are not specific to any of the above areas. This includes:

- Prisoner Data Search / Enquiry
- Electronic Forms
- HMPS System interfaces
- External Agency Interfaces

3. Functional Business Requirements

Each individual requirement is marked as in terms of its priority, as follows:

- Priority 1 – indicates a requirement that is both mandatory and immediate
- Priority 2 – indicates a requirement that is a future mandatory
- Priority 3 – indicates a desirable requirement.

These are determined primarily from the perceived needs of the use; it is possible, therefore, that more requirements may become Priority 1 once the data migration processes / needs are known.

Each category of requirements is now summarized, followed by detailed table of functional requirements.

3.1 Prisoner Personal Details

This section covers the basic personal details and historical data about the prisoner. Note that this excludes data related to the prisoner's current offence and general management in custody.

3.2 Prisoner Assessment

The areas covered include security, healthcare provision, resettlement, bullying, self-harm, personal needs, addiction and offending behaviour. In addition to the various detailed assessments, every prisoner is assigned a security category which will determine which establishments may accommodate that prisoner. The categorisation may be revised according to the prisoner's progress, e.g. on Offending Behaviour Programmes and set reviews. Categorisation is generally set against clear criteria, based on stored information, and so may be supported by a system algorithm. The result of any such algorithm must always be subject to manual override.

3.3 Prisoner Administration

Every prisoner must have appropriate Court Order documentation to legalise that person being held in custody.   Once a prisoner is sentenced there is further documentation which will enable the establishment to perform a sentence calculation and so to construct a Sentence Plan. This plan will identify key dates such as HDC and sentence expiry and provide the basis for subsequent case management. The system should be able to apply algorithms to automate the sentence calculation – all results being subject to manual override and approval.

3.4 Recognition

Fingerprinting is the standard way of identifying prisoners. On initial reception, the prisoner's fingerprints may be checked via NAFIS to validate the prisoner's personal details. For visitors, iris scan is the preferred technology to ensure that the visitor leaving is the same person who entered. Iris scanning could also potentially be used (in addition to fingerprinting) to track prisoners and resolve any identity issues within the prison. Additionally, electronic photographs should be held for both prisoner and visitor.

3.5 Visits Management

Visiting Orders only apply to social visits to convicted prisoners. Prisoners request

Visiting Orders for nominated persons by completing an application form. The prison then send a Visiting Order to the visitors and this document must accompany the visitors to the establishment. In addition to the booking, tracking and management of general visitors, the system must log visits against prisoner entitlements, track legal visitors, approved visits and maintain a banned visitors list.

3.6 Prisoner Finances

The existing Prison Service financial system (FOCUS) and its planned ERP replacement do not extend to the level of individual prisoner monies (currently administered using the 'PIES' system). Therefore the PRIME system will have to provide basic accounting facilities (currently provided by the PIES system) to manage prisoner finances.

3.7 Programme & Activity Management

This area covers the planning aspects for all activities (work, training, education, etc) and recording attendance and attainment levels. Some of the work activities involve employers external to the prison establishment and these are maintained on an approved list.

3.8 Prisoner Property Management

Prisoners have property 'in-possession' in the cell and may have other property 'in storage' – stored either within the establishment or more often in a remote long-term storage unit (Branston). In-possession property will include some prison issue clothing and its total quantity is currently restricted to two standard boxes (referred to as "Volumetric Control"). Types of private property allowed in-possession are restricted and depend on the prisoner's IEP level.

3.9 Prisoner Movements

This section covers internal movements only and involves tracking prisoner movements in relation to activities and holding roll checks.

3.10 Prisoner Requests & Complaints

Prisoner complaints (unfair treatment, etc) are subject to a formal procedure and may eventually be referred to the Ombudsman if necessary. Prisoner requests are basically informal requests (e.g. for property out of storage, change of recorded religion). Currently these are recorded only on paper slips, but there is value in being able to record some on the system in order to respond more efficiently and so reduce cases where the prisoner resorts to a formal complaint.

3.11 Incidents & Observations

Document all incidents and staff observations (in terms of incident / observation Type, Description and Action). Data needs to be available for central analysis. All of the existing system ("IRS" – Incident reporting System) functions have been subsumed in this section.

3.12 Adjudications

The ability to record and track when a prisoner is placed on a Governor's Report for an offence against prison rules (or multiple, concurrent offences) committed while in custody. These will include both Prison Service and independent adjudications.

3.13 Population & Accommodation Management

Prisoners are sent to a local establishment which locates prisoners to accommodation. The system needs to provide the ability to manage the movement of prisoners within their local establishment, to appointments outside their establishment (e.g. court, hospital, etc.) and transfers to other prisons. There are specific requirements for high security prisoner movements.

3.14 Case Event Management

For any prisoner, there is a standard timeline of events. Within events management, this covers the automatic creation and management of these standard events, the ability to associate forms and other related documents with events, and to associate events with user roles. This area includes a requirement for user role-based screens, which will show all the current events assigned to that user role. For example, HDC event scheduling must be derived from the HDC Eligibility Date calculated during the sentence calculation process, and any subsequent HDC process information input for the prisoner.

3.15 Health Care

Prisoner healthcare is managed on a confidential health service system. The PRIME functional area relates to the sharing of basic prisoner details with the healthcare system and the display of summary and specific healthcare information, subject to health service protocols.

3.16 Physical Searching

Routine and ad-hoc searches can be performed on prisoners, visitors, the establishment or the fabric of the cells and the results of these need to be recorded. In addition, any violation of rules and resulting action needs to be linked to the search records.

3.17 Reporting

The ability to interrogate the prisoner records database to obtain information that will assist prisoner management - security, regime issues, population issues, complaints, etc and provide HMPS management information. All data within PRIME must be accessible to appropriate users, at both HQ and establishment level, for reporting purposes. The reports in this section are compiled using data recorded via the functions described in the other function area sections in this document.

3.18 Common Functions

Common Functions are by definition those that are useful to a large number, if not all, of the business system's users.

3.19 Table of Functional Requirements

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
A	**Prisoner Personal Details**				
A1	**Prisoner Details - record basic personal data.**				
A1a	Personal Details - record and maintain Surname, Forename(s), Date of Birth, Gender, Sexual Orientation, Ethnicity, Nationality, Religion, marital status, dietary requirements, National Identity (for census reporting), Address (to eGIF standard format).	1		A1	A4
A1b	Physical Description - record and maintain Height, Weight, Build, Complexion, Hair Colour, Distinguishing Marks.	1		A1	A4
A1c	Personal Documentation - record and maintain multiple personal identification numbers.	1	For instance, National Insurance Number, Driving Licence Type & Number.	A1	A4
A1d1	Language Capabilities - record and maintain oral and reading ability in English and any other languages.	1		A4	A4
A1d2	Language Capabilities - set flag if prisoner is prepared to act as translator.	1		A4	A4
A1e	Contact Details - record and maintain multiple contacts, identified by type of relationship:	1	e.g. Doctor, Solicitor, Family, Probation. Contact detail to include Name, Company Name, Address, Telephone, E-mail. Family, for example next of kin, mother, father, daughter, etc. Emergency contact.	A1	A4

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
A1f	Pregnancy Indicator - record if the prisoner is pregnant and expected date of the birth.	1	Pregnancy may come under confidentiality rules. May be considered in two phases. Firstly considered on Medical Examination Questionnaire. It only becomes an alert when the pregnancy has become public for issues of safety.	A4	A4
A1g	Alias - record and maintain any multiple identities that have been used by the prisoner.	1	There should be no restrictions on the number of aliases that a prisoner may have.	A1	A4
A1h	Personal Details Maintenance - update personal details, including the date of any changes made.	1		A4	A4
A2	**Employment & Education - record prisoner's work and education experience.**				
A2a1	Education History - record and maintain education history and attainments for the prisoner.	1		A1	A4
A2a2	Employment History - record and maintain previous non-custody and custody employment, employment status on release.	3		G	G
A3	**Interests etc - record prisoners background information.**				
A3a	Hobbies / Interests - record and maintain the hobbies and interests of the prisoner.	3	Custody & non custody.	G	G

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
A3b	Smoker Status - record and maintain if the prisoner is a smoker.	2	This is linked to cell sharing, i.e.. don't put a smoker in with a non-smoker.	G	G
A3c1	Alcohol Status - record and maintain if the prisoner is dependant/non-dependant on alcohol. If dependent, state what action should be taken.	2		G	G
A3c2	Drug Status - record and maintain if the prisoner is dependant/non-dependant on drugs and, if dependent, if the prisoner requires detox.	2		G	G
B	**Prisoner Assessment**				
B1	**Assessment Needs Monitoring - monitor assessment needs.**				
B1a	Assessments - provide templates for all assessments to be performed and store completed assessment in prisoner file.	1	Performed at Reception/Induction. Initial Assessments are Self Harm / Vulnerability, Security Classification, Cell Sharing, Lifers (form A), bail information, health, education, physical education, resettlement needs.	A4	A4
B1b	Assessments Scheduling - automatically schedule all assessments and allow manual override of scheduled dates.	1		A4	A4
B1c	Assessment Status - monitor due/overdue assessment occurrences.	2		G	G

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
B1d	Assessment Occurrence - record the occurrence of an assessment.	1	E.g.'s of asssessments:Security Category Assessment (Security Category (A,B,C,D) & Sub-Category of the prisoner using risk assessment, previous conviction, & current offence details. Sub-categories of 'A' are 'Normal, High Risk, Exceptional Risk and Provisional'.) Cell Sharing Risk (including racism, homophobia, prisoner on detox) Needs to restrict prisoners into cell without authority ie identified high risk sharing (very important). Risk of Harm to Others (incuding rascism and homophobia. Escort Risk (generate PER documentation). Lifer Assessment (Lifer Sentence Plan). Segregation Suitablility. Reconviction Risk. Release Risk (ROTL, HDC, Parole. Eligibility for conditional release). Risk to Public (Proposed VISOR Interface - see also Req T2b). External Employer Risk. Health Care Assessments.(I.e. Hearing, Visual Ability, Speech, Mobility, Physical Coordination, Reduced Physical Capacity, Severe Disfigurement, Mental Difficulties, Level of fitness for work/activity). Social Needs Assessment. (Both immediate needs (retaining accommodation, sorting out debts & benefits, maintaining family ties) & needs in the longer resettlement term (work, training, education & accommodation).'Education Needs Assessment (Dyslexia Screening, Basic Literacy & Numeracy). Multiple instances of an assessment are possible.	A4	A4

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
B1e1	Assessment Result - record the result of an assessment.	1	Record what action has been taken, e.g. placed on anti-bullying, needs education classes etc.	A4	A4
B1e2	Assessment Output - print assessment documentation.	1		A4	A4
B2	**Assessment Assistance - provide automatic assistance where appropriate to the assessment processes.**				
B2a	Assessment Factors - provide checklists of all contributory factors for input to assessment processes. Record the assessment input values and the officer(s) that have supplied these.	1	Add in Question into Assessment to detail Source of input values. I.e. Warrant, Officers.	A4	A4
B2b	Assessment Prediction - derive automatic prediction of assessment result via algorithms based on assessment factors, some of which may include conditional steps.	1	e.g. IEP, Security Category.	A4	A4
B2c	Assessment Prediction Override - provide means to manually override all automatic predictions, retaining record of who overwrote prediction	1		A4	A4
B2d	Assessment Results - provide an indicator on assessments or overrides which contravene specific business rules.	1	e.g. setting the Security Category to D while the prisoner is indicated as a General Security Risk.	A4	A4
B3	**Assessment Authorisation - ensure appropriate authorisation level.**				

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
B3a	Assessment Authorisation - record the appropriate level of authorisation before accepting assessment result.	1		A4	A4
B4	**Assessment Appeals - record the appeal process.**				
B4a	Assessment Appeals - record the appeal status, result and reason.	1	E.g. IEP. 'Review results by Prisoner can be viewed on the Review Results.	A4	A4
B5	**Specific Risk Assessments - recognise all required assessment processes.**				
B5a1	Initial Self-Harm Indicator - record and maintain if the prisoner is considered as a particular self-harm risk, with the ability to identify the source of information. The dates that the marker was set and closed should be available on screen.	1	Record what action is to be taken and the nature of the risk. F2050SH form currently under review. Plus court escort documents.	A1	A4
B5a2	Self-Harm Indicator - provide an alert as part of the base prisoner header record when there is a self harm history.	1		A1	A4
B5b	Vulnerability Indicator - record and maintain if the prisoner is considered vulnerable.	1	E.g. Bully v Victim, Sex Offenders, Schedule 1.	A1	A4

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
B5h	General Security Risk Indicator - record and maintain if the prisoner is considered likely to destabilise the general security of the establishment. record and maintain the reason for adding this marker.	1		A4	A4
B5n	Prisoner Personal Dates - record and maintain any dates which may have a bearing on the prisoner's well-being.	2	E.g. Date on which a partner died, date on which a child was adopted.	G	G
B5o	Recent Entry Indicator - indicate when an entry has been added to the prisoner's file concerning an event that may have an adverse effect on the prisoner's behaviour.	2	e.g. if the prisoner has a bad visit, wing staff will want to know this information as soon as possible. User will be required to determine a discretionary end date for indicator to not be displayed.	G	G
B6	**Specific Needs Assessment - recognise all specific needs of the prisoner.**				
B6b	HealthCare Needs - record and maintain healthcare needs.	1	I.e. Wheelchair, Hearing Aid, Glasses, Diet, Taking prescribed medicine marker (+ in-possession medicines), Restrictions on the prisoner's location, Specific medical appointments, Level of supervision or support required.	A4	A4
B6e	Baby Details - record and maintain contact details (including phone number and address) of who will look after the baby when baby returns to the community or in an emergency.	1		A4	A4

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
B7	**Incentives & Earned Privilege (IEP) Level - record all IEP levels and entitlements awarded for all prisoners.**				
B7a	IEP Level - record and maintain the overall assessed level: Enhanced (1), Standard (2) or Basic (3).	1	Used to calculate visits entitlement	A2	A4
B7b	IEP Earnings - record and maintain the establishment-specific IEP level impacts on type of employment activity.	1		A4	A4
B7c	IEP Spend Limits - record and maintain the establishment-specific IEP level impacts on spend limits.	1		A4	A4
B7d	IEP Property Type Allowances - record and maintain the establishment-specific IEP level impacts on in-possession property types allowances.	1		A4	A4
B7e	IEP Visit Allowances - record and maintain the establishment-specific IEP level impacts on visits.	1		A2	A4
B7f	IEP Other Entitlements - record and maintain all other establishment-specific IEP entitlements.	1	E.g. prison-supplied TV in cell, time out of cell entitlements, civilian clothing, earned community visits	A4	A4
C	**Prisoner Administration**				
C1	**Prisoner Number - associate a Prisoner Number to each prisoner.**				

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
C1a	Prisoner Number Allocation - associate a unique number which will remain with the prisoner throughout his/her life and a unique number for each sentence of imprisonment.	1		A1	A4
C1b	Prisoner Information Access - allow all current prisoner information to be directly accessed via the Prisoner Number.	1		A1	
C1c	Person Details - record and maintain details in a single record, which is associated with the current Prisoner Number and may (historically) be associated with several different prisoner numbers.	1		A1	A4
C1d	Person Details Matching - validate prisoner details entered against the records already held on the system to identify 'close matches'. If any existing record is identified as the person being received, allow the user to select this close match.	1		A4	A4
C1e	Prisoner Number Revision - allow to re-adopt an earlier Prisoner Number, if reception initially fails to recognise that records already exist for this prisoner from earlier custody episodes.	1	Merging Bookings.	A1	A4
C1f	PDP File Number - record the PDP file number (raised in Branston).	1	This is a lifelong number, mainly required for lifer files managed at HQ.	A1	A1

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
C2	**Prisoner Classifications - record the various classifications of the prisoner.**				
C2a	Prisoner Status - record and maintain the formal multiple status of the prisoner.	1	e.g. Remand, Convicted (unsentenced), Sentenced, Licence Release, IND, Intermittent Custody, Civil, Release Licence Recalls, Foreign National	A1	A4
C2c	E-List - record and maintain if prisoner is identified as an escape risk and inclusive dates.	1		A1	A4
C2d	Offender Type - record and maintain the appropriate (most applicable) offender types.	1	e.g. sex offender, violent	A4	A4
C2e	Prisoner Sentence Type - record and maintain the overall sentence type.	1	e.g. Juvenile, less than 1 year (AUR), 1 but < 4 years (ACR), >4 years (DCR), Lifer. Sentence Type is about to change with policy Criminal Justice Act 2003 but details cannot be confirmed.	A4	A4
C2f	Public Interest Indicator - indicate (Y/N) if the prisoner has a high public profile. Provide text detail on the nature of that public interest.	1		A4	A4
C2g	Resettlement Type - record and maintain the identity of all resettlement programmes of which the prisoner is a beneficiary, e.g. PSP, Resettlement Passport, Job Centre Plus.	2		G	

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
C2h	Prisoner Health & Safety Risk Indicator - record and maintain any Health & Safety risk information.	3	e.g. for prisoners involved in previous health & safety accidents, incidents, violence, assaults or stress (e.g. in the workshop).	G	G
C2i	Rule 45/48 Indicator - record and maintain if the prisoner is under Rule 45/48 segregation and the reason for the segregation. Include in prisoner information display.	1	Rule 45 is for adults (Prison Rules). Rule 48 is for young offenders of 15-21 years (Young Offenders)	A4	A4
C2j	Schedule 1 - record and maintain if the prisoner is a schedule 1 offender as detailed on the definitive list.	1	Offences against children, violent offences. All prisoners who present a potential risk to children must be identified	A4	A4
C3	**Police Records - record information from police files.**				
C3a	Previous Conviction History - record and maintain the previous conviction and sentence history for the prisoner, including police cautions.	1	Includes non-custodial sentences	A4	A4
C3b	Prisoner DNA Record Held Indicator - indicate (Y/N) if a DNA analysis for that prisoner is held (by the police).	2		G	G
C3c	PNC and CRO Number - record the Police National Computer reference and the Criminal Records Office number.	1	The CRO indicates that previous convictions exist.	A1	A4
C3d	Depositions - provide the means to record and maintain existence of depositions against a prisoner and their location.	3	Pre-trail Witness Statements.	G	G

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
C4	**Court Documents and Court Appearances - record the possession of all court order documents and future court appearances.**				
C4a	Court Documents Held - record and maintain the type, court, date received and expiry date of all court documents held for a prisoner.	1	Types include Detention Orders, Warrants, Indictments and Charges, Deportation Orders, Harassment Orders.	A4	A4
C4b	Court Appearances - record and maintain any (possibly multiple) future court appearances and their type that are scheduled for the prisoner.	1	e.g. personal appearance, video link	A4	A4
C4c1	Bail Information Report - record and maintain bail information.	2	Different fields required on application.	G	G
C4c2	Bail Information Report - generate and store the bail information report.	2	As prepared for new prisoners by the prison service bail officer and sent to the CPS.	G	G
C5	**Charges and Outcomes - record specific detail from the CJO documents held.**				
C5a	Charge Information - record and maintain offence type and allow free text for additional charge details.	1		A4	A4
C5b	Custody Time - record and maintain the time spent by a prisoner in custody before sentence and the location(s).	1		A1	A4

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
C5c	Indictment Information - record and maintain indictment numbers and details and charges contained.	1		A4	A4
C5d	CJS case numbers - record and maintain CJS case numbers and the indictments/charges covered.	1		A4	A4
C5e	Defendants - record and maintain details of all defendants and establish multiple links to CJS cases.	1		A4	A4
C5f	Court Details - record and maintain details of the court relating to the prisoner.	1	Both committal and sentencing.	A1	A4
C5g	Pleas and Verdicts - record and maintain all pleas and verdicts against each charge.	3		G	G
C5h	Sentence Details - record and maintain sentences associated with the charges and multiple conditions of court orders.	1	Includes judge's remarks, I.e. sentencing comments. Only Sentence details will be recorded in A1	A1	A4
C5i	Other Disposals - record and maintain all other (non-custodial) outcomes of all record and maintained charges.	1		A4	A4
C5j1	Outstanding Fines & Debts - record and maintain any fines or debts lodged against prisoner and their effect on the sentence.	1	Recalculation of sentence will be required. Fine amounts only displayed in A1	A1	A4
C5j2	Fine or Debt Due Date - record and maintain the due date of the fine (if the prisoner has been given time to pay a fine or debt) and produce a report detailing overdue payments.	1		A4	A4

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
C5j3	Overdue Fines & Debts Payments - Identify through a report those prisoners who have been given time to pay a fine or debt, but have not made the due payment(s).	1		A4	A4
C5j4	Settlement of Outstanding Fines & Debts - Generate a certificate of imprisonment to the committing court on completion of a term of custody for non-payment of fines, or when payment against the fine is received which results in the release of the prisoner.	2	F986 form to be built into functionality.	G	G
C5k1	Sentence Quashed - Record for a prisoner if a sentence or conviction is quashed following a successful appeal	1		A4	A4
C5k2	Sentence Quashed - following a successful appeal, seal the affected portions of the record so that the details remain but are only visible to certain users.	1		A4	A4
C5l	Immigration Prisoner Case Detail - record and maintain case details	1	E.g. the category of immigration case, immigration reference numbers, Port Reference and Immigrations and Nationality Directorate Discharge Codes, if the prisoner is an immigration case.	A4	A4
C5m	Harassment Order - record and maintain all persons involved. If the person is not a prisoner, record and maintain name and address.	1	PSO 4400.	A4	A4

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
C5n	Not for Release Marker - record and maintain if prisoner is not to be released from court or prison.	1	In the instance that further charges are outstanding or the prisoner is still serving a sentence.	A4	A4
C6	**Sentence Calculation - provide assistance in sentence calculation.**				
C6a	Sentence Calculation - automatically calculate the sentence duration and key dates, together with a calculation summary.	1	E.g. HDC Eligibility Date, Parole Eligibility Date' Sentence. Incorporate police custody time, remand time, adjudication added days, outstanding fines. PSO 6650 provides further details and is available via Internet.	A1	A4
C6b	Sentence Calculation / Dates Maintenance - allow manual adjustment or over-ride of the system-calculated sentence duration and key dates.	1		A1	A4
C6c	Sentence Calculation Documentation/Approval - generate sentence calculation documentation and record the approval of all new or changed sentence calculations.	1		A4	A4
C7	**Correspondence Monitoring - monitor all external prisoner correspondence.**				
C7a	Prisoner Correspondence Recording - record name and address of sender and recipient for all incoming and outgoing prisoner correspondence.	2		G	G

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
C7b	Prisoner Correspondence Enclosures - record receipt of prisoner money through enclosures within prisoner correspondence.	1	Record name and address of sender, amount and whether it is in the form of cash, postal order or cheque, including numbers of each bank note, cheque number, bank branch and account numbers etc.	A4	A4
C7c	Harassment Victims Analysis - validate incoming and outgoing correspondents against recorded victims of harassment.	2	E.g. name/address matching.	G	G
C7d	Prisoner-Related Correspondence - record the receipt and response to prisoner-related correspondence.	1	I.e. those items that require a response to be issued e.g. from solicitors, benefit agencies.	A4	A4
C8	**Prisoner's Relationships - record details of the prisoner's relationships.**				
C8a	Personal Officer - record and maintain the prisoner's personal officer(s), populated from a look-up table, showing officer name(s) and staff number(s)	2		G	G
C8b	Listener - record and maintain if the prisoner is a recognised 'listener' and availability (rota) and show in prisoner header details.	1		A4	A4
C8d	Victims - record and maintain victim name, address(es), sex, age at time of offence and telephone contact(s).	1		A4	A4
C8e	Victim Wishes - record and maintain if victim wishes to be advised of: prisoner release date, prisoner location.	1		A4	A4

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
C8f	Associations - record and maintain any identified Associations between prisoners.	1	e.g. Co-Accused, Gang membership, bullying.	A4	A4
C8g	Prisoner not Suitable for Listener - record and maintain if the prisoner should not be allowed to become a Listener.	2		G	G
D	**Recognition Technology**				
D1	**Prisoner Biometrics - capture and match human biometrics for the prisoner.**				
D1a1	Biometrics (Fingerprints) Capture - capture and retain biometrics by fingerprints using COGENT and PITO standards.	1	Record prisoner and optionally visitor.	C	C
D1a2	Biometrics (Iris Scan) Capture - capture and retain biometrics by iris scan using the BIOAPI Standard.	1	Record for prisoners and visitors. NOTE: BIOAPI is sometimes referred to as Iridian, the name of the company producing the Iris Recognition Technology.	C	C
D1b1	Biometrics Recognition - match biometric data against existing data within PRIME.	1	Confirms the identity of an individual (e.g. prisoner, visitor etc.) as claimed.	C	C
D1b2	Biometrics Database Search - provide the facility to search a biometric database to identify a person.	3	May be through an internal biometrics database or through an interface with an external biometrics database.	C	C
D1c	Verify Fingerprint Record - send the full fingerprint record to the police for verification.	2	This is done at initial reception.	C	C

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
D3	**ID Card Technology - provide ID card technology for prisoners and/or visitors.**				
D3a	ID Card Technology - provide ID Card Technology.	2	Swipe/ID/Badge Technology - Third Party Reader. Combined with an image on an ID card for prisoners and temporary unique data capture for visitors on a card should allow tracking of time visitors spend.	G	G
D3b	ID Card Production - provide report suitable for the production of prisoner ID card	1		A5	A5
D4	**Electronic Photographs - capture and display electronic photographs for both prisoners and visitors.**				
D4a	Electronic Photograph Capture - capture and store electronic photographs.	1	For prisoners and visitors.	A5	A5
D4b1	Electronic Photograph Update - provide the capability to update electronic photographs.	2		A5	A5
D4b2	Electronic Photograph Prompt - provide the capability to prompt periodically for an electronic photograph to be updated.	2		G	G
D4b3	Photographs on Documents - provide the ability to print photographs on selected documents and reports.	2		A5	A5
D4c1	Distinguishing Marks Photographs - provide the capability to record electronic photographs and comments of distinguishing marks.	2		A5	A5

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
D4c2	Distinguishing Marks Photographs Update - provide the capability to update electronic photographs and comments of distinguishing marks.	2		A5	A5
D4c3	Distinguishing Marks Photograph Prompt - provide the capability to prompt periodically for an electronic photograph of distinguishing marks to be updated.	2		G	G
D4c4	Distinguishing Marks Photographs on Documents - provide the ability to print photographs of distinguishing marks on selected documents and reports.	2		A5	A5
E	Visits Management				
E1	Visit Planning - manage the process of planning a visit.				
E1a	Visitor Approval Request - record a prisoner request for a visitor.	1		A2	A2
E1b1	Visiting Orders - generate and store a Visiting Order to be sent to a visitor.	1		A2	A2
E1b2	Visiting Order Print - print for mailing a Visiting Order to be sent to visitors.	1		A2	A2
E1b3	Visiting Order Update - update and reissue a Visiting Order.	1		A2	A2
E1b4	Visiting Order Number - generate a unique visit order number.	1	For standard and privileged visiting orders.	A2	A2

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
E1c	Prisoner's Visit Entitlement - record and maintain for each prisoner the different types of entitlement.	1		A2	A2
E1d	Accumulated Visits - record and maintain for each prisoner the authorization of accumulated visits.	1	Accumulated visits are generally given for prisoners whose visitors are a long distance away	A2	A2
E1e	Multiple Visitors - record and maintain details of all visitors attending the same visit and note the 'lead visitor' (point of contact).	1		A2	A2
E1f	Visits to Multiple Prisoners - record and maintain details of all prisoners attending the same visit.	1		A2	A2
E1g1	Internet Visits Booking - provide an Internet interface to permit a potential visitor to progress a visit booking.	3		E	E
E1g2	Book Social Visit - record details of a requested visit, including time, location and (optionally for remand prisoners) a unique visit order number, including any visitor disability needs	1		A2	A2
E1g3	Book Non Social Visit - record details of a requested visit, including time and location.	1		A2	A2
E1h	Approve or Reject a Visit - record if the booking request is accepted or rejected and reason.	1		A2	A2
E1i	Validate Booking Request - check the request against the prisoner's existing scheduled events and activities.	1	Override facility needs to be available. However, it must be difficult to override selected reasons such as Court appearances, escorts, hospital appointments etc.	A2	A2

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
E1j	Visit Allowance Validation - check against prisoner's visit allowance, including any accumulated allowance.	1		A2	A2
E1k	Visit Order - provide facility to cancel Visit Order with reason.	1		A2	A2
E1l	Visitor Numbers - validate visitor numbers against visitor seating/tables to prevent overbooking.	1		A2	A2
E1m	Visit Location - provide the ability to model the visit room including location of seating, cameras, doors etc. in order to allocate prisoners and visitors to tables appropriately.	2	Needs to have set amounts of the maximum adult and child visitors per establishment setup - e.g. fixed tables have only 3 spaces for visits. This should be done at the visits booking stage.	G	G
E2	**Visitor Details - record visitor details.**				
E2a1	Social Visitor Details - record and maintain the following visitor details: Surname, Forename, Middle Names, Address and Post Code, Telephone & e-mail contacts, Gender, Date of Birth, Relationship to prisoner.	1	Relationship to prisoner examples - Spouse, Common-Law Spouse, Son, etc.	A2	A2
E2a2	Non-Social Visitor Details - record and maintain the following visitor details: Name, Company Address and contact details.	1	For example Legal, Chaplaincy, Legal Aid, Prison Visitors.	A2	A2
E2c1	Unique Visitor Number - allocate a unique (personal) number to each visitor.	1		A2	A2
E2c2	Visitor Number Association - incorporate the unique visitor number into any tagging or ID card technology used.	2		A5	A5

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
E2d	Visitor Data Deletion - provide the ability to delete visitor data in compliance with the Data Protection Act (DPA). Data on banned visitors should not be deleted.	1		A5	A2
E3	**Visitors Validation - validate the visitor information against banned & approved lists.**				
E3a1	Approved Prisoner Visitors - maintain the following prisoner restriction lists: Approved Child Visitors, Approved Visitors. A warning should be generated for anyone under the age of 18.	1	Approved Child Visitors (for sexual offence and schedule 1 prisoners), Approved Visitors (for Category A prisoners)	A2	A2
E3a2	Validate Approved Visitor - validate visitor against prisoner's approved list when booking visit.	1		A2	A2
E3b	Approved Prison Visitors - maintain the following general lists at each establishment: Legal Visitors, Volunteer Visitors, Support Organisation Visitors to expedite the validation of regular visitors.	1	Support Organisations including Alcoholics Anonymous.	A2	A2
E3c1	Banned Visitors - record and maintain information on visitors that have been banned from visiting particular prisoners or establishments generally.	1		A2	A2

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
E3c2	Notification to Banned Visitors - generate and print a notification letter to be sent to the visitor informing them of the ban.	2		G	G
E3c3	Banned Visitor Warning - warn the user when an attempt is made to book a visit with a banned visitor.	1		A2	A2
E3c4	Banned Visitor Authorisation - record who authorised the visit, if a banned visitor is authorised to visit.	1		A2	A2
E3d1	Visit Type - record and maintain the visit type.	1	E.g. Closed Visit - behind glass/restricted physical contact.	A2	A2
E3d2	Visit Location Restrictions - record and maintain if the prisoner is required to sit at a particular table during a visit.	1	For example, if a particular table cannot be seen by a video camera, or if the prisoner is vulnerable.	A2	A2
E3d3	Visits Non-Association - indicate when booking a visit if the visit time coincides with another prisoner visit with whom they should not associate.	2	Prisoner visit covers other prisoners or another visitor.	A2	A2
E3d4	Override Visit Limit Restrictions - allow override of visit restrictions and record details of authorising person.	1	I.e. When combining Privileged Visiting Orders, Assisted Visiting Orders, Visiting Orders etc.	A2	A2
E4	**Visit Details - record details of the actual visit.**				

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
E4a	Actual Visit Details - record details of the actual visit including APVU indicator if appropriate	1	Details include, e.g. if visitor showed, if a search occurred, incidents raised as a result of visit (needs to link to Incident Number), visitor's concerns, the duration of a visit and the completion circumstances, e.g. normal, completed early by prisoner, completed early by visitor.	A2	A2
E4b	Actual Visit Location - record the actual location of the visit.	1	E.g. table number, room number. A change of working practices could allow distinguishing between tables and incorporate tables for disabled prisoners or visitors.	A2	A2
F	**Prisoner Finances**				
F1	**Manage Incomings - record all prisoner credit transactions.**				
F1a	Received Monies - credit to the prisoner's account all cash or cheques received by post or from a visit.	1	Each inmate account has two totals, the total amount and the total available.	A4	A4
F1b1	Automatic Activity Earnings Update - create automatic credit transactions for activity earnings.	3		G	G
F1b2	Manual Activity Earnings Update - create manual credit transactions for activity earnings.	1		A4	A4
F1c	Compensation Payments - credit compensation payments to the prisoner's account, including comments field.	1	E.g. Following a request or complaint or adjudication (less likely).	A4	A4
F1d	Bonus Payments - credit bonus payments to the prisoner's account.	1		A4	A4

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
F1e1	Canteen Refunds (Outsourced Canteen) - credit canteen spends to the prisoner's account where the prisoner has not received or has rejected the goods.	1		A4	A4
F1e2	Canteen Refunds (HMPS Run Canteen) - credit canteen spends to the prisoner's account where the prisoner has not received or has rejected the goods.	1		A4	A4
F1f1	Discharge Payments - record money given to prisoner at discharge.	1	e.g. travel, subsistence, etc. (Statutory allowances). Does NOT cover repayment of funds from prisoner's accounts (covered elsewhere)	A4	A4
F1f2	Discharge Grant - provide the facility to pay a discharge grant to a prisoner.	1	There are multiple levels/types of grant	A4	A4
F1g	Cheque Hold - credit funds paid into a prisoner's account by cheque only once the funds are cleared.	1		A4	A4
F2	**Manage Outgoings - record all prisoner debit transactions automatically.**				
F2a1	Canteen Spends (Outsourced Canteen) - electronically read and record canteen/shop spends activity and automatically debit the account balance.	1		A4	A4
F2a2	Canteen Spends (HMPS Run Canteen) - electronically read and record canteen/shop spends activity and automatically debit the account balance.	1		A4	A4

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
F2b	External Money Transfers - record money issued and its destination, including issued cheques/postal orders and electronic transfers.	1		A4	A4
F2d1	Prisoner Money Advances - record advances to the prisoner and associated reason.	1	Upon first reception in to an establishment an advance account is set up and credited with an amount determined by the prisoner's IEP level.	A4	A4
F2d2	Prisoner Advance Repayment Plan - set up a repayment plan and payback frequency for prisoner money advance.	1	The repayment amount is linked to the prisoners IEP level.	A4	A4
F2d3	Prisoner Advance Repayment - record repayments made and deduct from advance balance.	1		A4	A4
F2e	Paying Off Fines and Debts - record money paid by the prisoner towards reducing outstanding fines and debts.	1	Linked to Sentence Calculation - see requirements in C5.	A4	A4
F2f	Catalogue Spends - record prisoner ordered and disburse payment to catalogue service.	1		A4	A4
F2g	Scheduled Payments - set up, transact and record scheduled payments by prisoner or batch.	1	e.g. Television or Pin Phone.	A4	A4
F2h	Pin-Phone - record prisoner spends in purchasing pin-phone credit from the prisoner's spends account.	3		G	G
F3	**Multiple Prisoner Accounts - manage several separate accounts for each prisoner.**				

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
F3a	Multiple Accounts - automatically set up and maintain four main separate prisoner accounts - Spends, Earnings, Private Cash and Advances, and allow creation of further account types.	1	Further account types including Savings.	A4	A4
F3b	Running Balance - display/print out a running balance across all of the prisoner accounts.	1		A4	A4
F3c	Money Transfers between Accounts - record and maintain money transfers between the prisoner's accounts.	1		A4	A4
F3d	Account ownership - transfer all prisoner information, including prisoner accounts, when a prisoner transfers between establishments.	1		A4	A4
F4	**Prisoner Spend Limit - monitor the prisoner's spend limit as dictated by his/her IEP level.**				
F4a1	Prisoner Spend Limit - prevent overspends from the prisoner's accounts as dictated by his/her IEP level.	1		A4	A4
F4a2	Monitor Maximum Spend - monitor maximum spend account limit over a sliding 10 week period.	1	Incentive Band Limits. Access to private cash is capped according to the weekly limit set by the IEP scheme.	A4	A4
F5	**Accounts Closure - close accounts when a prisoner is discharged from custody.**				
F5a	Accounts Closure - close all accounts when a prisoner is discharged from custody and repay credit funds to prisoner.	1	The prisoner receives a Discharge Balance statement that shows totals for all accounts plus any grants and also has indicators concerning clothing and living arrangements.	A4	A4

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
F6	**Establishment Accounts - maintain establishment account information.**				
F6a	Establishment Accounts Management - record and maintain establishment account structures.	1	E.g. Earnings budget. Cross-reference to Focus Requirement - T1d.	A4	A4
F6b	Reconcile Prisoner Accounts - reconcile prisoner accounts with establishment accounts.	1		A4	A4
G	**Programme & Activity Management**				
G1	**Activity Allocation - allocate (manually or automatically) an activity or a set of activities to a prisoner.**				
G1a	Prisoner Activity Proposal - option to automatically identify potential allocations for a prisoner to full time and part time activity places (using length of sentence, activity history, employment/education history, risk assessment information as selection criteria).	3	i.e. can switch off the automatic allocation	G	G
G1b	Manual Prisoner Selection - manually select a prisoner for a full or part-time activity place.	1		A4	A4
G1d	Approved External Employer List - maintain an approved external employers list for each establishment, held locally.	3		G	G
G1e	Employer Validation - record and maintain the validation of an external employer against the prisoner's risks, needs and previous employment history.	3		G	G

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
G1f	Waiting Lists - maintain waiting lists for activities.	1	Manual action to reduce waiting list when spaces are identified in a particular course.	A4	A4
G1g	Activity Places Availability - record, maintain and list employment, programmes and education places available both locally and across the estate.	1		A4	A4
G1h	Maintain Activity Definitions - record and maintain details of activities.	1	E.g. Type, location, daily start/end time, number of places available, start/end dates and facilitators.	A4	A4
G1i	Maintain Activity Type Exclusions - record and maintain the exclusions that may apply for certain activities and indicate inappropriate prisoner allocations.	1	E.g. Not for self-harm risk offenders, IEP enhanced level required, VPU, foreign nationals, deportees. Exclusion currently exist.	A4	A4
G1j	Prisoner Refusal to Work - record and maintain if the prisoner has refused to participate in activities.	1	E.g. Refusal to work whilst incarcerated and refusal to attend a particular work activity.	A4	A4
G2	**Amend Activities - record any changes to a prisoner's activity list or schedule.**				
G2a	Amend Activities - record and maintain any changes to a prisoner's activity list or schedule.	1		A1	A4
G3	**Activity Attendance - record and update the attendance (and total time) of a prisoner at their employment/activity.**				
G3a	Manual Activity Attendance Recording - record the attendance and time spent by prisoners engaged in their activities.	1	I.e. Full attendance, Partial attendance, No Attendance, Excused. This will be in terms of actual time spent against planned.	A4	A4

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
G3b	Automatic Activity Attendance Recording - perform the automatic recording of attendance and time spent by prisoners engaged in their activities.	2	Relates to prisoner location tracking option	D	D
G3c	Association Activity Attendance - record the attendance for at an association activity.	2		G	G
G3d	Activity Interruptions - record activity interruptions and the reason for the interruption (as this is linked to payments to prisoners and the IEP scheme).	1		A4	A4
G4	**Activity Performance - record attainment information on a prisoner's employment or activity performance.**				
G4a	Prisoner Induction - record the attendance and outcome of each stage of the Induction activity.	1		A4	A4
G4b	Education/Training/Activities - record and maintain prisoner performance and behaviour at an activity and any attainments of education.	1	This will illustrate educational and key skills progression during the current and previous periods of custody, as well as any good or poor behaviour.	A4	A4
G5	**Drug Testing - select candidates for mandatory drug testing and record the test results.**				
G5a1	Random Drug Test List - generate a list of prisoners, randomly selected from the general prisoner population, to be drug tested.	1	Printable/Reprintable, not able to regenerate and not publicly available.	A4	A4

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
G5a2	Print Random Drug Test List - print the random drug test list (multiple times if necessary)	1		A4	A4
G5b	Drug Test Details (MDT & VDT) - record the reference details, confinement times, sample details (including barcode number from security seal), results of all drug tests and any actions taken based on the result. This information needs to be recorded on both the log and against a prisoner.	1	Includes both positive and negative results (negative certificates). Links to requirement G5d.	A4	A4
G5d	MDT Log - record details of type, location and status of a sample for drug testing, any actions taken as a result of the outcome and adjudications results. This information needs to be recorded on both the log and against a prisoner.	1	For example type is suspicion, risk assessment, random etc. Links to requirement G5b.	A4	A4
G5e	Voluntary Drug Testing Compact - record and maintain details of the prisoners VDT Compact, including any referrals to CARATs and the results of periodic drug tests.	1		A4	A4
G5f	Alcohol Assessment - perform and record the outcome of an alcohol assessment.	1		A4	A4
G6	**Offending Behaviour (OBP)/Substance Abuse Programme (SAP) participation - record the participation of a prisoner engaged in an OBP or SAP.**				

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
G6a	Offending Behaviour Programmes (OBP) - record and maintain the participation and results/attainments information relating to prisoners allocated to an Offending Behaviour Programme.	1	E.g. Enhanced Thinking Skills.	A4	A4
G6b	Substance Abuse Programmes (SAP) - record and maintain the referral to and consequent participation and results/attainments information relating to prisoners allocated to a Substance Abuse Programme.	1	E.g. CARATS drug rehabilitation programme. Notification of referral of Prisoner to CARATs as a result of an MDT adjudication (positive or negative).	A4	A4
G6c	Post Release Monitoring - record and maintain the participation and results/attainments information relating to former prisoners allocated to an Offending Behaviours Programme or Substance Abuse Programme after their release from custody.	1	Participation is often a condition of release. Used also for statistical purposes.	A4	A4
G6d	Anti-Bullying Strategy Participation - record and maintain the prisoners that are engaged in the Anti- Bullying strategy programme.	1		A4	A4
H	**Prisoner Property Management**				
H1	**Property Details - record details of all prisoner property.**				
H1a	Property Reference and Details - record and maintain details of all property, including serial number, bag seal number, date of receipt, receipt code / source of the property item quantity, colour, description, indication if an item is not allowed in-possession.	1	Includes In-Possession and Stored. Source of the property item can be reception or handed in on visit.	A4	A4

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
H2	**Prisoner Property Management Technology Interface - automate the documentation of property.**				
H2a	Prisoner Property Management Technology Interface - provide a means of labelling all prisoner's property (both individual items and collectively in bags or boxes) such that it can be read/identified electronically.	2		G	G
H3	**Property Management - manage and record the location and status of all prisoner property.**				
H3a1	Request for Change in Property Status - record the request from a prisoner to move property from one location to another.	1	Either in-possession, stored on site, stored off site, disposal.	A5	A5
H3a2	Facility List - maintain a facility list at each establishment, which lists the facilities allowed for each IEP level.	1		A5	A5
H3b	Change in Property Status - record the change in status and/or location of an item of property.	1		A5	A5
H3c	Prisoner Notification of Incoming Property - provide a means of notifying the prisoner that property has been received by post or from a visitor.	1	Note that visitors can take out and return a prisoner's baby on a visit.	A5	A5
H3d	Property Limit Recording - record when the authorised property limit has been reached.	1	Volumetric control. Includes In-Possession and Stored.	A5	A5

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
H3e	IEP Level Validation - validate the in-possession property items against the approved property type list in relation to the prisoner's IEP level.	3		G	G
H3f	Confiscation Validation - validate any confiscated property against prisoner requests for property so that the prisoner does not have property returned inadvertently before the due date. Record due date of return and reason for the confiscation.	1		A5	A5
H3g	Property Disposals / Removals - record property items that have been disposed of or destroyed with the date of disposal and reason.	1	Disposed for example is handed to relatives, solicitors, sent out by post. Prisoners sign to authorise the disposal of a piece of property.	A5	A5
H3h	Property Changes Authorisation - record electronically the authorisation of all property changes/updates, to include prisoner, property and prison staff identifications.	1		A5	A5
H3i	Stored Property Return - provide the ability to identify items in long terms storage and generate a list of these items.	2		G	G
H3j	Cell Clearance - record details of property bagged during a cell clearance and the staff involved.	1	I.e. Released, ghosted out. Templated Cell Clearance Certificate required and possible.	A5	A5
H3k	Search by Property Type - allow a search to be performed by property type.	3	So that if anonymous property is found (i.e. during a cell search) it can be matched to other prisoners with a similar item of property.	G	G

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
H4	**Prison Issue Clothing - record the issue of prison issue clothing for the prisoner.**				
H4a	Prison Issue Clothing - record and maintain the issue of prison issue clothing for the prisoner.	3		G	G
H5	**Valuable - record all valuable property.**				
H5a	Valuable Property Image - record an electronic image for items classified as valuable and link this to the property reference.	1	e.g. digital photograph.	A5	A5
H6	**Property Confiscations - record property items that are held because of a confiscation.**				
H6a	Temporary Confiscations - record the items temporarily confiscated, including the date of confiscation, reason, proposed date of return to prisoner.	2		G	G
H6b	Permanent Confiscations - record the items permanently confiscated, including the date of confiscation, reason and the disposal mechanism.	2		G	G
H6c	Confiscation and Destruction Orders - record confiscation orders and destruction orders.	1	E.g. Resulting from an adjudication.	A5	A5
I	**Prisoner Movements**				
I1	**Prisoner Tracking - record prisoner movements.**				
I1a	Prisoner Activity Movements - record all prisoner movements between secure areas.	1	E.g. Wing, Workshop, Gym, Library, Visits area . Establishment specific.	A5	A5

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
I1b	Prisoner Movement ID Card or Tagging – utilize ID card or tagging (bracelet) to enable real-time recording of all prisoner movements between secure areas.	3		D	D
I1c	Area Movement Control - indicate when a prisoner enters areas inappropriate for that prisoner, using the activity schedule and/or prisoner banning orders.	2	E.g. banned from workshop.	D	D
I2	**Roll-Check - generate 'lock-in' roll-check lists and record the roll-check results.**				
I2a	Roll-Check - generate the roll-check lists, including prisoner cell location, and record the results of the roll-check processes.	1		A4	A4
I2b	Electronic Roll Board - list the current location of prisoners identified at the last roll-check process.	3	To replace the current 'wing/landing white-boards. Provide to all approved staff (local and national.	G	G
I3	**Scheduled Movements - provide lists of expected movements.**				
I3a	Scheduled Movements - provide activity schedule lists of expected movements.	1	E.g. to Wings and workshops.	A4	A4
I3b	Area Movement Reporting - provide the prison movement control officer with updates of prisoners locations.	1		A4	A4
J	**Prisoner Complaints**				
J1	**Record Complaints - record complaints from prisoners.**				

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
J1a	Complaint Log - record and maintain a complaints log, including unique reference number, category and additional details.	1	Two levels of complaint exist - normal and confidential, which requires a higher level of read/write permission	A5	A5
J2	**Complaint Monitoring - monitor the progress of complaints.**				
J2a	Complaint Assignment - assign responsibility for responding to the complaint to the required person(s) for action .	1	Could be more than one area.	A5	A5
J2b1	Complaint Progression - record and maintain the progress of all complaints in terms of creation date, date of distribution to action group, action progress date and date of response issue.	1		A5	A5
J2b2	Complaint Progression - compile a list of overdue complaint actions.	1		A5	A5
J2c	Complaints Ombudsman Referral - record if a complaint has been referred to the Complaints Ombudsman.	1		A5	A5
J3	**Complaint Outcome - record the outcome of a complaint from a prisoner.**				
J3a	Complaint Outcome - record the outcome of the complaint.	1		A5	A5
J3b	Feedback to Prisoner - record the communication to the prisoner of the complaint outcome.	1		A5	A5

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
J3c	Complaint Appeals Lodged - record and maintain details of any appeals lodged by a prisoner against a complaint outcome.	1		A5	A5
K	**Prisoner Requests**				
K1	**Record Requests record requests from prisoners.**				
K1a	Request Log - record and maintain a request log, including unique reference number, type, date application made and additional details.	1	Type e.g. food, property.	A5	A5
K1b1	Request Progression - record and maintain the progress of each request raised.	2		G	G
K1b2	Request Progression - compile a list of overdue request actions.	2		G	G
K2	**Request Outcomes - record the outcome of a request from a prisoner.**				
K2a	Request Outcome - record the outcome of the request.	1		A5	A5
K2b	Feedback to Prisoner - record the communication to the prisoner of the Request outcome.	1		A5	A5
K2c	Request Appeals Lodged - record and maintain details of any appeals lodged by a prisoner against a request outcome.	1		A5	A5
L	**Incidents & Observations**				
L1	**Incident Recording - record prisoner incidents.**				

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
L1a1	Incident Details - record and maintain all reportable incidents and associated details including all prisoners involved and their roles in the incident through selection of an appropriate incident type code.	1	See also requirement L1f. E.g. Escape, Attempted Escape, Death, Concerted Indiscipline, Climbing, Assault, Drug Find. Template report required to allow additional officers to enter an additional report on the offence (attached to the incident code). Must keep privacy of statement.	A3	A3
L1a2	Additional Incident Details - record and maintain detail from additional officers, linked to one incident number.	1		A3	A3
L1a3	Unique Incident Identifier - allocate a unique number to each incident raised.	1		A3	A3
L1b	Incident Alerts to Managers - alert HQ/Area Managers to all reportable incidents.	1		A3	A3
L1c	Incident Type Specific Screen Configuration - record and display appropriate Incident Detail dependent upon the Incident Type.	1	See also requirement L1f.	A3	A3
L1d	Incident Follow-Up Action - record and maintain additional details and actions where incidents previously recorded require follow up action.	1		A3	A3
L1e1	Photographic Incidents Evidence - record prisoner or incident digital photographs with a free-format comment field.	3		G	G
L1e2	Incidents Evidence - record the existence and location of any video footage within the incident record.	3		G	G

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
L1f	Incident Types - maintain incident types and their associated information input requirements such that a user selecting a particular type is requested for all data relating to that type	1		A3	A3
L1g	Prisoner Details & Location Snapshot - record the location and details of all incident-related prisoners at the date and time of the recorded incident.	2		G	G
L1h	Notice Board Link - provide the ability to display key or selected incidents information to selected managers at log on.	3		G	G
L2	**Observations Recording - record staff observations about individual prisoners.**				
L2a	Observation Log - record and maintain all events, special information and observations relevant to the daily events in an establishment area or wing.	1		A4	A4
L2b	Prisoner History - record and maintain all events, special information and observations relevant to the daily events for a prisoner	1		A4	A4
M	**Adjudications**				
M1	**Adjudication Preparation Recording - record adjudication charges and details.**				
M1a	Adjudication Charge - record and maintain the adjudication charge details.	1	From a pre-defined list of possible charges.	A4	A4

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
M1b	Adjudication Offence Details -- record and maintain offence details and supporting evidence relating to the adjudication charge.	1	Variable, free text format	A4	A4
M1c	Adjudications following Incidents - record and maintain incidents associated to the adjudication.	1		A1	A4
M1d1	Adjudication Hearing Date - record and maintain an adjudication hearing date for each adjudication charge raised	1		A1	A4
M1d2	Diary Adjudication Hearing Date - schedule adjudication date into the prisoner's diary.	1		A4	A4
M1e	Independent Adjudication Flag - display an Independent Adjudication flag when certain types of adjudication charges are entered. The charges that will generate this flag must be subject to customisation at the local establishment level.	2		G	G
M1f	Multiple Adjudication Prisoners - provide the facility whereby a charge may relate to one or more prisoners, each of whom may be subject to one or more charges. Charges may be heard at one or more adjudication hearings	1		A4	A4
M1g1	Adjudication Offence Documents - print the offence details in various formats, , with all the previously input details pre-populated on the form.	1	E.g. a Notice of Report (form F1127), a 'Report to the Governor' (form F254). Prisoner must be served with a F1127 at least 2 hours prior to the start of the adjudication hearing	A4	A4

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
M1g2	Adjudication Documents - store Adjudication Documents once generated and printed.	1	Including Offence Documents, Hearing Forms and findings. For archive purposes.	A4	A4
M1g3	Record Prisoner Told of Adjudication - record the time that the prisoner was served with the adjudication documentation.	1	Prisoner must be served with a F1127 at least 2 hours prior to the start of the adjudication hearing.	A4	A4
M1h	Impending Release Check - indicate if an impending discharge from custody is scheduled when recording a new adjudication charge against a prisoner.	2		G	G
M1i	Adjudication Offence History - provide detail of prisoner offence history.	2	These are 'in-custody' offences.	A1	A4
M2	**Adjudication Preparation - record requests for witnesses etc at the adjudication.**				
M2a	Legal Advice - record if legal advice has been requested by the prisoner, whether it has been granted, the reason for refusal and contact details of the legal representative.	1		A4	A4
M2b	McKenzie Friends - record if a McKenzie Friend has been requested to attend the adjudication hearing.	2	McKenzie Friend is prisoner nominated representative.	A4	A4
M2c	Prisoner Adjudication Witness - record and maintain witnesses and their statements of evidence.	1		A4	A4
M2d	Hearing Attendees - record the attendees at the adjudication hearing.	2		A4	A4

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
M3	**Adjudication Hearing - record the adjudication hearing.**				
M3a	Record of Hearing Form - print a Record of Hearing and Adjudication document with charge and incident details pre-populated.	1	This output is in a legal document with a specified format and content, which will be stored for archive purposes once generated and printed.	A4	A4
M3b	Adjudication Medical Fitness - record the result of the medical adjudication fitness assessment of the prisoner. The name of the examiner must also be recorded.	1	Appropriate assessments are conducted by an approved person and recorded.	A4	A4
M3c	Adjudication Hearing Transcript - record a textual transcript of the adjudication-hearing event.	2		G	G
M3d	Adjudication Audio Transcript Files - provide the capability to attach audio transcript files for adjudication-hearing proceedings.	3		G	G
M3e	Prisoner Conduct Report - record if any conduct report information has been introduced to the Adjudication hearing.	2		A4	A4
M3f	Refusal To Attend - record when a prisoner refuses to attend the hearing.	1		A4	A4
M4	**Adjudication Outcome - record the outcome of the adjudication.**				
M4a1	Adjudication Findings - record a finalised Record of Hearing and Adjudication notification with adjudication results recorded thereon.	1		A4	A4
M4a2	Adjudication Notification - notify persons of result of the adjudication.	1		A4	A4

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
M4b	Sentence Calculation Update - automatically record changes to the sentence key dates based upon adjudication punishment awarded.	1	These must be subject to manual approval before being applied.	A1	A4
M4c	Prisoner Finance Update following Adjudication - produce a notification to finance.	1	E.g. loss of earnings. This must be subject to manual approval before being applied. X-Ref with F1c.	A4	A4
M4d	Prisoner Finance Update - record any changes to the prisoner's finances dictated by adjudication results.	1		A4	A4
M5	**Appeals Details - record details of appeals lodged following the adjudication.**				
M5a	Appeals Lodged - record details and outcome of any appeals lodged by a prisoner.	1	This will also allow the user to update any previous adjudication details recorded for over-turned adjudications.	A4	A4
M5b	Over-Turned Adjudications Authorisation - record all rescinded adjudication punishments previously recorded for all successful appeals.	1		A4	A4
M5c	Terminate Punishment - provide the ability to terminate an adjudication punishment if the prisoner is physically or mentally unfit to continue and record the reasons for doing so. This must be subject to manual approval before being applied.	1		A4	A4
M6	**Minor Report - record minor offences for young offenders (at YOIs).**				

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
M6a	Minor Report - record and maintain minor offences alleged against the young offender.	1	These are less serious than the offences that result in an adjudication.	A4	A4
M6b	Minor Report Resolution Details - record the resolution details for all Minor Reports.	1		A4	A4
M6c	Minor Report Generation - produce a report for issue to the young offender detailing the minor offences committed.	1		A4	A4
N	**Population & Accommodation Management**				
N1	**Establishment information - record information on all establishments within HMPS.**				
N1a	Establishment Basic Details - record and maintain the location Id, address and contact details.	1		A1	A1
N1b	Establishment Categories - record and maintain the establishment type, area, gender.	1	Type I.e. Local, High Security, Training.	A1	A1
N2	**Unit & Cell Information - record cell-specific information.**				
N2a	Unit and Cell Structure - record and maintain the components of an establishment as a hierarchy of units . For appropriate units, record and maintain further sub-divisions into dormitories or cells.	1	E.g. wing, spur, landing/floor, workshops.	A4	A4

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
N2b	Unit and Cell Classifications - record and maintain the (multiple) 'classification of use' for units/cells at the appropriate level.	1	Depending on type of establishment. E.g.: For UNITS: mother and baby, VDT, segregation (punishment/good order and discipline), special secure, induction, vulnerable (e.g. sex offenders), healthcare. For CELLS: Security Category 'A', 'First Night' cell, E-list, disabled person cell, listener cell.	A4	A4
N2c	Certified Normal Accommodation - record and maintain the Certified Normal Accommodation (CNA)s for all cells or units of residential accommodation.	1	CNA shows both the crowded and uncrowded capacity, assessed in accordance with the prisoner accommodation standard. Includes Official Capacity, Current Capacity, Physical Category, Operational Capacity. Report Format. Annex D PSO 1900. Operational Report for Estate.	A4	A4
N2d	Operational Capacity - record and maintain the total Operational Capacity for the establishment as established by the governor.	1	Currently report format Annex D PSO 1900. Operational Report for estate.	A4	A4
N2e	Unit/Cell Non-Availability - record and maintain non-availability period start and end dates and reason. Indicate when end date reached.	1		A4	A4
N3	**Building Details - record construction details and link to building plans.**				
N3a	Building / Construction details - record and maintain building / construction details ranging from general building details to detailed building and constructions data for individual cells, rooms and other building 'components'.	3		G	G

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
N3b	Building plans - provide a mapping of accommodation at an individual establishment to CAD building plans maintained centrally	3	E.g. establishment site plans at the highest level, and cell layouts at the lowest. Establishment details currently held on a CAD system. CAD diagrams will be viewed using non-PRIME software.	G	G
N4	**Prisoner Location - record the prisoner's occupation of a cell.**				
N4a	Location - record and maintain the cell/ dormitory assigned to the prisoner. In case of a dormitory, record and maintain the bed number.	1	Bed number is optional.	A4	A4
N4b	Location Alerts - indicate if the prisoner is assigned to an inappropriate cell in respect of the prisoner's requirements and risk factors and the cell's classification attributes.	1	E.g. attempting to assign an E-list prisoner to a less secure cell or assigning prisoner to a cell share with another prisoner with whom there may be a conflict	A4	A4
N4c	Location Assistance - automatically generate a list of appropriate accommodation that is available or potentially available for a given prisoner. Allow assignment by selection from this list.	1	Tied in with layering the accommodation levels to cell level N2b.	A4	A4
N4d	Cell Reservation - record and maintain if the cell is 'reserved' (and the expected occupancy date) for a prisoner who is currently absent. Allow use of such reserved cells only after warning confirmation and display as the reserved occupancy date becomes due.	1	E.g. segregation punishment, intermittent custody, new arrivals via transfers or via early notification from courts.	A4	A4

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
N4e	Room Waiting List - maintain a waiting list for single and double private rooms at an immigration removal centre.	3		G	G
N5	**Transfers - record all information relevant to transfer management.**				
N5a	Transfer Planning - record and maintain a transfer list of prisoners being transferred between establishments and across jurisdictions, to include allocated establishment, transfer status reason, date of entry on list, date of transfer.	1	Advance Planning of Transfers - diary of events, movements. E.g. English & Welsh prison service to Scottish prison service. Note: reason codes will include temporary transfers e.g. for court appearance (returning to original prison by return transfer), or overnight en-route stop (to be followed by onward transfer).	A4	A4
N5b	Transfer - record the discharge reason, actual discharge date and time (which may be different from the planned diary time), target establishment code, stopover establishment (if applicable) and escort type (e.g. contractor, police, local etc.) The prisoner should be identified as 'in transit' until a 'received' code is generated when the prisoner is received into a new establishment	1		A4	A4
N5c	Transfer to Functional Unit - record details of the application for a place in a particular functional unit and the result.	1	E.g. Mother and Baby Unit, Detox Unit, Vulnerable Prisoner Unit - R45/48.	A4	A4
N6	**Absence from Prison - record all temporary absences.**				

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
N6a	ROTL - record and maintain the location address, reason and due return date for a ROTL prisoner.	1		A4	A4
N6b	Temporary Cellular Confinement - record and maintain which prisoners are detained in other temporary cellular confinement not under HMPS control, the location and the due return date.	1	E.g. Police Cells.	A4	A4
N6c	Minimal Personal Details - record minimal personal details for a (new) prisoner temporarily held in Police Cells.	1	E.g. leaves court too late or no space at the local prison	A1	A4
N6d	Court Appearance Discharge - record a prisoner released as a result of a court appearance.	1		A1	A4
N6e	Hospital Appointment Discharge - record a prisoner being discharged for a hospital appointment.	1		A1	A4
N6f	Mental Health - record and maintain the Mental Health Institution holding each Mental Health prisoner.	1		A1	A4
O	**Discharge**				
O1	**Discharge - document a prisoner being discharged from an establishment permanently.**				
O1a	Record Discharge - record a prisoner being discharged including type of discharge, date of discharge and prompt for associated activities.	1	Many types of discharge. E.g. discharge to secure mental hospital, Parole, HDC, bail, death in custody, immigration.	A1	A4

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
O1b	Listeners Release Indicator - automatically warn establishments of the imminent release of a prisoner who may be involved in counselling activities.	2	To inform Samaritans and other resettlement agencies.	G	G
O1c	Discharge Planning Events - produce a report to inform the user when various discharge planning events are due.	1	E.g. discharge board.	A4	A4
O1d	Discharge Feedback - prompt the user to collate all discharge feedback details previously recorded.	3		G	G
O1e	Probation Discharge Summary Sheet - generate a (new) summary sheet containing pertinent information for hand-over of the prisoner to probation and summary history.	3	E.g. resettlement courses done	G	G
O1h	Pre-discharge Form - produce a Pre-Discharge form (PD1) to external Probation requesting information and reporting instructions.	1		A1	A1
O2	**Licence Production - produce a release licence.**				
O2a	Licence Production - produce a release authorisation for all release processes that have been completed, including details of external probation officer and first appointment date on certain licence types.	1	A release authorisation is known as Licence.	A1	A1
O2b	Licence Conditions - include provision for licence conditions/sections & subsections of Acts and facility to add new conditions.	1		A1	A1

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
O2c	Licence Photo - provide the capability to incorporate an up-to-date prisoner photograph in a licence	1		A5	A5
O3	**Lifer Discharge - record information about discharged lifers.**				
O3b	Young Offender - record and maintain the secure address of the Lifer Young Offender prisoners.	1	Address type for secure accommodation as opposed to in prison.	A4	A4
O3c	Life Licensee - record and maintain the address of lifer prisoners released to the community on life license. The contact details of their supervisor must also be recorded.	1		A1	A1
O4	**Parole - administer parole for all relevant prisoners both estate wide and establishment level.**				
O4a1	Parole Review Creation - allow regular off-line batch estate wide creation of parole review for all relevant prisoners. This is to be driven by parole eligibility date or subsequent review anniversary calculation.	1		A1	A1
O4a2	Action Creation - automatically create all relevant actions (depending on type of review) and calculate target dates required to complete the whole parole review	1		A1	A1

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
O4a3	Action Allocation - automatically identify and allocate actions to the responsible user's worksheet. This can be by individual or user role.	1	The allocation will depend on certain business rules, e.g. a prisoner with 10 years remaining to serve will be allocated to a more senior member of staff than a prisoner with 1 year to serve	A1	A1
O4b1	Parole Worksheet Maintenance - automatically maintain a parole worksheet for each individual parole clerk. This will highlight in chronological order all outstanding parole related work for the whole establishment.	1	A worksheet is like an in-box - tasks are added automatically and when complete, the task is automatically removed from the in-box	A1	A1
O4b2	Parole Worksheet Maintenance - Allow for the ability to change the type of review mid-process.	1	There are many types of review and new information may come to light, which necessitates the change from one type of review to another.	A1	A1
O4c1	Reallocation on transfer - automatically reallocate all outstanding parole actions on a prisoner transfer. This will include system identification of new responsible user roles.	1		A1	A1
O4c2	Actions on transfer - create a warning prompt to the user when entering a transfer date for an inmate who has started the parole process.	1		A1	A1
O4d	Maintain core review details - record and maintain all core review details, e.g. psychiatric case flag, parole review outcome, and parole review outcome date.	1		A1	A1
O4e	Parole Audit - record all work done, when and by whom for each individual review action. This will be automatically reflected in worksheets and parole review schedules.	1		A1	A1

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
O4f1	Parole Opt out Maintenance - maintain a record of parole opt out/in by the prisoner. Record when prisoner decides to opt out or back in to parole process by date.	1	The system shall disallow a second opt-in	A1	A1
O4f2	Outstanding Actions Removal - remove outstanding actions from relevant worksheets on opt-out and re-insert on opt-in.	1		A1	A1
O4f3	Recalculation of Schedule - recalculate parole review schedule if the prisoner decides to opt back in.	1		A1	A1
O4g1	Mid Parole Reviews Identification - allow estate wide automatic identification of all forthcoming mid parole review intervals by estate or establishment.	1		A1	A1
O4g2	Mid Parole Review Details - record and maintain mid review interview details, interviewing Parole Board member, location, date and time of interview.	1		A1	A1
O4h1	Parole Panel Maintenance - arrange record and maintain estate wide parole panels.	1		A1	A1
O4h2	Parole Panel Recording - record actual parole panel details, date, board members, chair person, etc.	1		A1	A1

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
O4h3	Allocation of Case to Panel - automatically allocate (estate wide) cases ready for panel to next available or specified panel.	1	This functionality must apply specific rules, e.g. match psychiatric cases to a board with a psychiatrist in attendance. Avoid allocating cases where any board member has previously interviewed the prisoner	A1	A1
O4h4	Parole Board Maintenance - maintain parole board details manually. Record any added or deleted cases or amendment of any of the board members.	1		A1	A1
O4i1	PED Change - identify cases where the Parole Eligibility Date (PED) has been significantly changed, due to sentence re-calculation, in cases where parole actions have already been started.	1		A1	A1
O4i2	PED Change - allow action target dates to be manually overridden where the PED has been significantly changed due to sentence re-calculation.	1		A1	A1
O5	**HDC Recalls - administer Home Detention Curfew recalls estate wide and at establishment level for all relevant prisoners.**				
O5a	HDC Recall Review - allow manual insertion of HDC recall reviews.	1	To include the date that tasks were completed	A1	A1
O5b	HDC Recall Review Schedule - automatically create HDC recall review schedule by action, target date and time.	1		A1	A1

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
O5c	HDC Core Details - maintain core details of HDC recall review, e.g. recall reception date, breach conditions etc.	1		A1	A1
O5d	HDC Recall Review Actions - maintain HDC recall review individual actions and record date and time completed.	1		A1	A1
O6	**Early Removal Scheme - administer an Early Removal Scheme (ERS) for all relevant prisoners, both estate wide and at establishment level.**				
O6a1	ERS Review Creation - allow regular, off line, batch, estate-wide creation of Early Removal Scheme reviews for all relevant prisoners.	1	The point in the sentence that this date will fall on is to be determined by the review of the Criminal Justice Act 2003 (currently ongoing), but will be determined by length of sentence (3-12 Months, 12 Months to 4 Years, 4 Years to 15 years and 15 years and over)	A1	A1
O6a2	Action Creation - automatically create all relevant actions and calculate target dates to complete the ERS review.	1		A1	A1
P	**Case Event Management**				
P1	**Case Event Prompts - generate automatic warnings to prompt the user to perform actions associated with events.**				
P1a	Event Tracking - track event types (e.g. actions arising from incidents, complaints, HDC, parole etc.) based on business rules.	1		A4	A4

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
P1h1	Licence Recalls - administer licence recalls estate wide and at establishment level for all relevant prisoners.	1		A1	A1
P1h2	Licence Recall Review - allow manual insertion of licence recall reviews.	1		A1	A1
P1h3	Licence Recall Review Schedule - automatically create licence recall review schedule by action, target date and time.	1		A1	A1
P2	**Prisoner Diary - maintain a prisoner diary.**				
P2a	Prisoner Diary - record and maintain all forthcoming events and planning status to provide a single time-line view. Allow adding of non-standard events. Retain completed events for historical record.	1		A4	A4
P2b	Prisoner Diary List - generate a list to detail upcoming or due diary events.	1		A4	A4
P2c	Event Conflict - provide alerts when conflicts arise within the diary.	1		A4	A4
P2d	Event Modifications - allow modification and notification to affected parties.	1		A4	A4
Q	**Physical Searching**				
Q1	**Searches Made - record the occurrence of searches undertaken.**				
Q1a	Searching Targets - record the searching targets (at an establishment level) for each search type and progress against the targets.	1		A5	A5

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
Q1b1	Search Types - record the search type and category.	1	E.g. Area, Cell or Individual Search and category (strip search, Reception / Discharge search).	A5	A5
Q1b2	Record Establishment Searches - record establishment searches, cell fabric checks and visitor searches.	1	Includes searches of the estate grounds, wings, random cell search, target search, search with drug dogs, search with explosives dogs cells, workshops, kitchens, etc.	A5	A5
Q1c	Search Details - record the date and time of the search and the officers involved.	1		A5	A5
Q2	**Search Results - record the results of all searches.**				
Q2a1	Search Results - record results of search, including if nil found.	1		A5	A5
Q2a2	Search Planning - generate a list of cells and areas randomly from the establishment for searching.	1	To be capable of reprint but not regeneration	A5	A5
Q2a3	Cell Search Certificate - generate and print a cell search certificate.	1		A5	A5
Q2b	Items Found - record all illegal items found, their type, disposal details, and action identified.	1	Type includes drugs, weapons, inappropriate property, disposal details includes has been removed, bagged and sealed (and it's location), and action includes adjudication (link), incident report.	A5	A5
Q2c	Record Cell Fabric Check - record the results and actions of a cell fabric check.	1		A5	A5
R	**Reporting and Analysis**				
R1	**Database History - retain a record of prisoner history.**				

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
R1a	Historical Data - retain standard historical data to support the standard analysis and reports requirements.	1	See R2a for standard reports.	A1	A1
R1b	Historical Incidents Information - provide estate-wide access to and interrogation of historical incident report data.	1		A3	A3
R1c	Transfer Planning History - record all removals and re-allocations to the transfer list with associated reason text.	1	Movement List. Examine in conjunction with transfer planning requirement.	A4	A4
R1d	Activities History - maintain an historical record of all the prisoner's activities during all periods of custody.	1		A4	A4
R1e	Data Deletion - provide automatic validation on all data deletion to ensure database referentiality is not compromised. Additionally when data is deleted to mark as deleted but do not remove.	1		A4	A4
R2	**Standard Reports - provide a set of predetermined reports.**				
R2a	Standard Reports - provide a set of predetermined parameter-driven reports that will be run on demand, and at scheduled points e.g. weekly, monthly), incorporating data at establishment, area and national levels.	1	See separate LIST OF REPORTS - Appendix B	A1	A1

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
R2b	Simple Ad-Hoc Enquiry Reports - provide the ability to create simple ad-hoc reports, based on selection of variables from a defined set of data variables.	1	This means integrated into the product, rather than using a separate reporting application.	A1	A1
R2c	Complex Enquiry Reports - provide the ability to produce ad hoc reports from the PRIME database.	1		A1	A1
R2d	Analysis Tool - provide analysis reports based on user-defined data ranges.	3	E.g. Adjudication data, Requests & Complaints data, Early Release, Incidents, Population Management, Education progress, Incidents).	G	G
R2e	Graphical Report Format - produce reports on a diagrammatic or graphical basis.	3		G	G
R2f	Prisoner Record Access Requests (in accordance with the Data Protection Act) - record the requests for and produce a documented copy of selected prisoner information (at the request of the prisoner).	1		A1	A1
S	**Common Functions**				
S1	**Forms - provide electronic templates for forms production.**				
S1a	Forms Creation - provide electronic template forms, pre-populated as far as possible, to capture a legal record of the prisoner management activities or events carried out during the prisoner's period of custody.	1	e.g. Report to the Governor, Notice of Report. See separate LIST OF FORMS Appendix B).	A1	A1

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
S1b	Form Production - generate the final document and prevent subsequent alteration of the data (the form will be stored for archive purposes once printed).	1		A1	A1
S2	**Reference Data - maintain reference data.**				
S2a	Reference Data - provide coded lists of reference data which can be modified by system users with appropriate access rights. Reference data can be maintained at both establishment and estate level.	1		A1	A1
S3	**Data Searching - allow fast searching and data matching.**				
S3a	Limited Data Record Search - perform a fast search on a limited selection of known prisoner details.	1	E.g. surname, date of birth, prisoner number, location.	A1	
S3b	Data Matching - return the closest data match if no exact match is found. Provide handling for mis-spellings, 'sounds like' or similar features.	1		A1	A1
S3c	Distinguishing Marks search - provide the ability to search the system using prisoner's distinguishing marks or physical description characteristics criteria.	3		G	G

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
S3d	Estate-wide Search - view location and selected prisoner details for any prisoner located in the prison system, either current or historical, for selected users.	1	This is one of the main uses of the current central system and prisoner enquiries should be prisoner based, rather than function based. i.e. A prisoner is selected, and there is a choice to view his movements, or adjudications or Parole information. There should be no need to reselect the prisoner to view any of their other details. This enquiry function should be possible whilst any updates or undertaken, without any loss of update data.	A1	
S4	**Post Code Facilities - provide facilities based on post-code.**				
S4a	Post Code and Addresses - populate (partial) addresses upon input of only a post-code, and vice-versa. This feature is to be integrated throughout the application.	2	e.g. QuickAddress	G	G
S5	**Data Extract - provide data extracts for analysis.**				
S5a	Prisoner Data Extract - extract a selected range of prisoner record data and allow export to other analysis systems.	1	E.g. SAS, XL spreadsheet. Security based. Reporting function. See List of Existing Extracts	A1	A1
S7	**Document Management - provide technology to assist in document management.**				
S7a	Document Scanning Interface - provide the facility to scan images of documents and associate the image with the prisoner's record.	2		G	G

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
S7b	Electronic Signature Capture - capture an electronic image of a signature and link it to an event.	2	E.g. prisoners sign electronic tablet to authorise property.	C	C
S8	**Broadcast Messages - provide a bulletin board.**				
S8a	Broadcast Messages for System Changes - provide the facility to enter and display a bulletin board during system log-on to communicate important system function changes.	1		A1	A1
S8b	Local Business Broadcast Messages - provide the facility to enter and display a bulletin board during system log-on to communicate local business information.	3		G	G
S9	**Risk Alerts - alert user to keyword information.**				
S9a	Risk Alerts based on Business Rules - provide alerts triggered by the input of keywords when recording information and observations.	1	E.g. known bully, racist, risk to women.	A4	A4
T	**Interfaces**				
T1	**Interfaces to Other Prison Service Systems - provide interfaces to reduce data collection duplication.**				
T1a	Accommodation and Occupancy (A&O) - provide an interface to A&O. (This is a potential interface as the functionality may be in PRIME). This interface is to send allocation and population data to A&O.	1		A4	A4

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
T1b	PSIMOn - send key performance data to PSIMOn.	1		A1	A1
T1c	Healthcare - send prisoner details to the healthcare application, receive summary and specific healthcare details into PRIME.	2	Liable to change arising out of the agreement with the NHS.	G	G
T1d	Finance - send and receive data on prisoner monies details to/from the Finance application (Oracle Financials).	1		A4	A4
T1e	OASys - send basic prisoner details to OASys and receive risk assessment summary information from OASys.	1	E.g. self-harm, risk to others, risk of re-offending.	A4	A4
T1f	ProAct - provide a two way interface providing summary property information.	2		G	G
T1g	Security - provide an interface to send prisoner details to security applications.	1	E.g. '4x4' (four-by-four) or '5x5' applications.	A4	A4
T1h	Assisted Prison Visitor Scheme - provide an interface to the APV system so that details of completed APV visits completed may be provided	2		A2	A2
T1j	Pin-phones - interface to the BT pin-phone system	3	Payment from prisoner's account to pin-phone account (see requirement F2h).	G	G
T2	**External Agency / System Interface Capability - provide interfaces to share information and documents with non-HMPS agencies.**				

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view	Proposed phase/stage available to update
T2a	Correction Services Inter-operability - share information, common processes and procedures with the Probation Service. The system must be flexible to support potential new strategies in the management of prisoners and the supervision of offenders via non-custodial sentences.	1		B	B
T2b	Cross Justice Agencies - provide an interface capability to CJIT Data Exchange Standards, with other justice agencies via the Prison Service Corporate Data Hub, based on ASCENTIAL's Datastage TX.	1	E.g. the Court Services, Criminal Records Office, Police, VISOR, IND, Youth Justice Board, Parole Board, Contracted Out Prisons, Scottish & Northern Irish Prison Services, Contracted Prisoner Escort Services, APVU	B	B
T2c	Other External Agencies - provide an interface capability to other external agencies and their systems via the Prison Service Corporate Data Hub, based on ASCENTIAL's Datastage TX.	2	E.g. Department of Education, Employment Service, Benefits Agency, PRACAMS (treasury solicitor system).	G	G
T2d	External Agency / System Interaction Audit - record when any external system or interface interaction occurs.	2		G	G
T3	**Notifications to External Bodies - generate formal notifications.**				
T3a	Notifications to External Bodies - prompt the user to send a formal notification to external bodies.	1	E.g. Schedule One offender, sex offender, discharge, potential deportee, victims, ROTL release, HDC release, immigration.	A4	A1

4. Non-Functional Requirements

A functional requirement describes the business functionality or services in support of a business process activity for a system. Non-functional requirements (NFRs) describe the behavioural characteristics, properties and constraints that complement the business process activity to ensure acceptable execution.

For example, a functional requirement will define a business function to be performed and this would be complemented by NFRs which describe who can execute the function, and the speed and frequency of execution.

Each individual requirement is marked as in terms of its priority, as follows:

- Priority 1 – indicates a requirement that is both mandatory and immediate
- Priority 2 – indicates a requirement that is a future mandatory
- Priority 3 – indicates a desirable requirement.

These are determined primarily from the perceived needs of the user; it is possible, therefore, that more requirements may become Priority 1.

Each category of requirements is now summarized, followed by a detailed table of non-functional requirements.

4.1 Audit & Accounting

An audit and accounting facility is required to enable user interactions with the system to be recorded and interrogated at a later date.

4.2 Authentication

The application must ensure that only authorised users have access to the PRIME application and reporting facilities.

4.3 Access Control

In general, the PRIME application and reporting facilities available to authorised users will depend on, for example, their role, location, department, etc.

4.4 Performance and Scalability

PRIME will be a business-critical application used by many users at many locations across a wide geographical area.

4.5 Availability and Disaster Recovery

PRIME will be a high-availability system with user access any time of the day or night. PRIME will be co-hosted in two locations to provide optimum recovery facilities in the event of system or location failure.

4.6 Infrastructure

PRIME must operate within the constraints imposed by the existing Quantum infrastructure. The infrastructure model consists of the following components:

- Frame relay WAN connecting local networks with the datacentre network
- Central servers on a single network in a datacentre. Servers include

application servers, mail servers, web servers, domain controllers, software deployment servers, etc.

- Local network at each establishment connected to standard desktop PCs and printers

4.7 Data Migration

PRIME will replace an existing legacy system consisting of a local database at each establishment (LIDS) and a central data repository (IIS). LIDS contains records for current prisoners in the establishment, a subset of the data is uploaded into IIS once a day. IIS contains data on all current and historic prisoners. Both LIDS and IIS data will require migration to PRIME. There are on average about 75,000 records per establishment, giving a total of about 12 million LIDS records to be migrated from 150 establishments. There are about 25 million records on IIS.

4.8 Customisation

A COTS package is unlikely to directly meet in full the requirements of the Prison Service. Consequently, it is important that the package has a high degree of configurability.

4.9 Support and Maintenance

EDS will provide 1st line support of the PRIME application but will require back-to-back support from the package supplier.

4.10 Dual Currency support

PRIME will require the ability to transition from pounds sterling to Euro as the currency unit for all financial transactions.

4.11 System administration

The PRIME application should provide system administration facilities available to appropriately authorised users.

4.12 External Interface Standards

The PRIME application will interface to a number of external systems.

4.13 Help

The PRIME application must provide on-line facilities to assist all types of end-users in using the application to perform their normal business functions.

4.14 Training

The Prison Service will provide end-user training, however, the package supplier will be required to provide appropriate resources to achieve this.

4.15 Table of Non-functional Requirements

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view
XA	Audit and Accounting			
XA1	Audit			
XA1a	Audit – maintain an audit trail recording selected user interactions with the system.	1	There is no requirement to take on audit data from legacy systems	A1
XA1b	Audit – following initial analysis of requirements, provide ability to identify what is to be audited, allowing specification of which data items should be monitored, and which actions of create, update and delete are to be recorded. Allow addition of further items to the list of audited items.	1	The reading of data items will not be audited.	A1
XA1c	Audit – provide facilities for audit data to be examined and reported on by system administrators.	1		A1
XA1e	Audit – record user log on and log off actions, including failed logon attempts. Report where failed log-ons exceed a pre-defined limit.	1		A1
XA1f	Audit – record changes to user authority levels	1		A1
XA1g	Audit backup and recovery – provide facilities to backup and restore audit data in equivalent manner to backup and restore of PRIME data.	1		A1
XA1h	Audit data storage – hold audit data online for at least 16 weeks.	1		A1
XA1i	Audit archive – provide facilities to archive audit data when not held online.	1		A1

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view
XA1j	Audit archive recovery – provide facilities to recover archived audit data on request.	1		A1
XB	Authentication and Access Control			
XB1	Authentication			
XB1a	Authentication – authenticate all user attempts to launch the application or reporting facilities and refuse access to un-authorised users.	1		A1
XB1c	Auto Logoff – Automatically log users off PRIME following a period of inactivity. The inactivity period to be a PRIME system-wide parameter	1		A1
XB2	Access Control			
XB2a	Screen and Report Access Control – control access to the application screens and reports based on a combination of user role, location, organisational position, department or group.	1		A1
XB2b	Single sign-on – participate in the Quantum user authentication environment to provide a single sign-on capability, so that users who have logged on to Quantum do not need to enter a further user id and password to gain access to PRIME. The Quantum authentication environment uses Windows NT security and has an X.500 database of user privileges.	1	May be incompatible with requirement for management of users at the site level.	A1
XB2c	Access Maintenance - allow access rights to be changed and new personnel to be added to PRIME by a suitably-authorised establishment-based user.	1		A1

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view
XB2d	Data Access Control – allow control of access to the application data based on vertical (hierarchical) and multiple horizontal organisational arrangements, as well as functional needs.	1	A vertical arrangement might be a hierarchy of HMPS, Area, Prison, Wing. Horizontal arrangement might include all women's prisons, or all prisoners serving life sentences. An example of a functional need would be the ability to see details of all prisoners from any prison planned to be transferred to one's own prison.	A1
XC	Performance and Scalability			
XC1a	Central System – provide a single, centralised prisoner information database.	1		A1
XC1b	Geographical Distribution – support users distributed across current Quantum establishments.	1		A1
XC1c	Prison Service User Support Capacity – support an HMPS user concurrency of 5,000 users of the PRIME system and 44,000 total users.	1		A1
XC1d	Probation Service User Support Capacity – provide an infrastructure architecture capable of expansion to support up to 25,000 additional users (of which 5,000 are concurrent distributed throughout the Probation Service) who would need to be added if the system were to be extended to deliver core Probation functionality.	2		A1
XC1e	Prisoner Population - support a current prisoner population of 75,000 in custody and 40,000 on licence, increasing by up to 10% per year for a period of 10 years, plus the historic data record.	1		A1

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view
XC1f	Response Times – provide a high level of user responsiveness. Precise levels of service will be agreed in an Service Level Agreement (SLA).	1		A1
XC1g	Volumes – provide the required response times for a typical workload based upon the prisoner population and growth described above and an average of 4,000 prisoner receptions and 4,000 prisoner discharges per day. In addition, yearly increases of 10% in prisoner receptions and discharges should be taken into account.	1		A1
XC1i	Archive – provide a selective archive facility that will allow historical prisoner data to be stored and recovered.	1		A1
XD	Availability and Disaster Recovery			
XD1	Availability.			
XD1b	Availability – the system shall be designed for continuous operation of the application, 24 hours. Precise levels of service will be agreed in an Service Level Agreement (SLA).	1		A1
XD1c	Local Operation – provide continuous business operation in the event of loss of data communications from a prison to the central system. Communications failure could also result in loss of telephone connections	1		A2
XD1d	Unavailability – In the event of unavailability of the system, there shall be no loss of data which has been committed to the database	1		A1

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view
XD1e	Disaster Recovery – provide architecture to allow PRIME database replication at a secondary site. Switchover from primary to backup data centre will be initiated to ensure that the PRIME Service outage shall not exceed a prescribed time limit. Precise levels of service will be agreed in an Service Level Agreement (SLA).	1		A1
XE	Quantum Infrastructure			
XE1a	Quantum infrastructure – operate within the constraints imposed by the existing Quantum infrastructure.	1		A1
XE1b	Desktop – operate with the following minimum desktop specification:- Dell Optiplex GX110, 600 MHz Pentium 3, 64/128 Mbyte RAM, 10 Gbyte hard drive, no CD or floppy disc drive, Windows NT4 SP6, IE 5.0, Microsoft Office, screen resolution 800 x 600 pixels, standard keyboard and mouse.	1		A1
XE1c	Upgrade – operate in the following environment, currently under discussion for the Quantum infrastructure upgrade plan: Desktops – replace PCs and upgrade to Windows XP, Servers – upgrade operating system to Windows 2003	1		A1
Xe1e	Infrastructure Security – operate within, and conform to the requirements of, an infrastructure accredited to handle UK Government RESTRICTED data.	1		A1
XF	Data Migration			

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view
XF1	Data Migration – facilitate the migration of data from legacy systems. This phase includes the cleansing, extraction, data transformation and eventual upload of data into the iTAG database.	1	Audit information is not expected to be migrated into PRIME.	
XF1a	Migrate and transform data from the HMPS IIS legacy system into PRIME.	1	IIS (Mainframe) contains approx 25 million records, covering current and historic records. The total data is 12gb. There are two million inmate bookings currently on the central system, with a variable number of records each; the oldest generally having fewest.	A1
XF1b	Migrate and transform data from the HMPS LIDS legacy system into PRIME.	1	LIDS (Unix) contains approx 800,000 records per establishment database and there are 137 current establishments. The database size per site is 1gb.	A4
XF1c	Migrate and transform data from the HMPS IRS legacy system into PRIME.	1	IRS (Unix) contains approx 600,000 records centrally and 80,000 at each site. Central database is 1gb and 200mb per site.	A3
XF1d	Migrate and transform data from the HMPS P2Lifers legacy system into PRIME.	1	P2Lifers (SQL 2000) Contains approx. 150,000 records on a single database. The database size is approx. 90mb.	A4
XF1e	Migrate and transform data from the HMPS Accommodation and Occupancy legacy systems into PRIME.	1	Accommodation and Occupancy (SQL 2000) contains an estimated 10,000,000 records in database of 500MB.	A4
XF1f	Migrate and transform data from the HMPS Mother and Baby legacy system into PRIME.	1	Mother and Baby (Access 2000) contains approx 1,000 records at each of 5 sites. It is being recommended that this system not be migrated using IT.	A4

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view
XF1g	Migrate and transform data from the HMPS Regmon legacy system into PRIME.	1	Regmon (Access 2000) contains approx 6,000 records at each site. This systems is likely to be decommissioned prior to migration.	A4
XF1h	Migrate and transform data from the HMPS Geebis legacy system into PRIME.	1	Geebis (Access 2000) is projected to contain approximately 35,000 records in a 50MB database at each of 50 sites.	A2
XF1i	Migrate and transform data from the HMPS Durham Applications into PRIME.	1	Durham applications (SQL 2000) contain approximately 150,000 records in a series of databases totalling 11GB. It is being recommended that the IT department at Durham be responsible for any data migration, and this is a manual exercise.	A4
XF1j	Data Cleansing – provide tools, proposals and requirements to assist with data cleansing prior to migration.	3		A0
XG	Customisation and Support			
XG1a	Reference Data –provide facilities for reference data to be maintained by suitably-qualified users.	1		A1
XG1b	Screen Layout – provide flexible screen layouts to enable customisation of fixed text and label text by a system administrator.	1		A1
XG1d	Data Attributes – provide an ability to modify database field attributes by a system administrator.	1		A1

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view
XG1f	Screen definitions should be capable of change to meet subsequently issued guidelines supporting accessibility. Screens should use prompts, labels, tool-tips and help text capable of compatibility with standard Assistive technology packages (e.g. Dragon Naturally Speaking and JAWS).	3		A1
XG2a	Support – provide on-line and telephone support.	1	EDS will provide 1st and 2nd line support of the PRIME application but will require back-to-back support from the package supplier.	A1
XG2b	Hot Fixes – provide hot fixes to major faults on an "as required" basis. Major faults are those for which there is no operational work around and which cause business impact.	1		A1
XG2c	Release Strategy – provide information on a strategy for future releases.	2		A0
XG2d	Urgent Updates – provide a mechanism to deal with urgent application updates in response to policy or legislative changes.	1		A1
XG2e	Release Roll-back – provide the ability to roll-back after the unsuccessful installation of a new release.	1		A1
XG2f	User Group – support a user group or forum to enable users to share the resolution of problems and issues and influence the content of major releases.	3		B
XH	System Administration			
XH1a	Password Reset – provide a facility to reset the PRIME user passwords.	1		A1
XH1b	Access Rights – provide a facility to add, delete and change authorised PRIME users and their access rights.	1		A1

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view
XH1d	Monitor System Usage –provide system administration statistics, including data relating to registered and concurrent users, transaction types and volumes (including peak load), availability, response times.	1		A1
XJ	External Interfaces			
XJ1a	Interface Standards – provide capability to support interfaces with external systems using data definitions mandated by the UK electronic Government Interoperability Framework, and the UK Criminal Justice IT (CJIT) organisation.	2		B
XJ2	External Interface Capability			
XJ2a	Data Exchange - Provide capability to participate in data exchanges with external systems in a predefined manner and where preferred transports utilise XML.	1		A1
XK	Help			
XK1a	On-line Help – provide on-line Help to assist all types of end-users that is directly accessible from the application and may be maintained by a system administrator. Help should include: How to use the application, Descriptions of the business process, Reference material, Links to external reference material.	1		A1
XK1b	Context-sensitive Help – provide Help that is relevant to the current user screen.	1		A1
XL	Other NFRs			
XL1	Miscellaneous			

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view
XL1b	Scramble system: provide the ability to shut down the application for a user or an area within the prison in the event of any emergency situation. This facility must be available from either the local command centre or HQ command centre.	1		A1
XL1c	Client-side Deployment – allow deployment of any client-side components via a software distribution package.	1	EDS currently use Novadigm Radia	A1
XL1d	Interface to Mobile Devices - allow the integration of mobile devices such as Personal Digital Assistants (PDAs).	3		F
XL1e	Data Protection Act - the PRIME system and its associated procedures must be compliant with the Data Protection Act (DPA). This means that all the personal data will have to be processed in line with the DPA and this will influence what information we collect, how long we retain it, who we share it with, etc.	1		A1
XL1f	Euro Currency – provide support if, and when required, for transition from pound sterling to the euro currency as the currency unit for all financial transactions, including provision for a dual-running transition period	2		A1

Cat Ref	Requirement Description	Pr	Notes and Examples	Proposed phase/stage available to view
XL1g	Non-regeneration Those system functions requiring the generation of a random list not capable of regeneration (e.g. where a random list of names for drug testing) shall utilise an approved randomisation element in their construction. The implementation of this randomisation element shall ensure that in the event of a system restore the functionality remains random. i.e. an exact repeat of user actions does not lead to the same results being experienced.	1	Relevant requirements are: G5a1, Q2a2.	A1
XL1i	Multiple simultaneous transactions - While a user is engaged in a transaction on PRIME, it should be possible for him to suspend his current work, conduct another transaction (e.g. an enquiry on a different prisoner), and then return to the original transaction at the point at which he left it, without losing any data already entered.	1		A1

Appendix A - Definitions, Acronyms and Abbreviations

Term	Definition
A&O	Accommodation and Occupancy.
ACR	Automatic Conditional Release.
APVU	Assisted Prison Visits Unit.
AUR	Automatic Unconditional Release.
Branston	Prison Service long term storage facility.
CAD	Computer Aided Design.
CARATS	Counselling Assessment Referral Advice and Through-care Services (for drug and alcohol addictions).
CAT A, B, C, or D	The overall security category assigned to a prisoner. Category A is the highest risk.
CJS	Criminal Justice System.
CNA	Certified Normal Accommodation.
CPS	Crown Prosecution Service.
CRN	Common Reference Number (a proposed CJS initiative).
CRO	Criminal Records Office.
DCR	Discretionary Conditional Release. A conditional prisoner release process.
DPA	Data Protection Act.
EDS	Electronic Data Systems Limited.
E-List	Escape List.
HDC	Home Detention Curfew. An early prisoner release scheme where the prisoner is released on special conditions and electronically tagged in the community.
HMPS	Her Majesty's Prison Service.
IEP	Incentives & Earned Privilege scheme to incentivise prisoners.
IIS	Inmate Information System.
IND	Immigration and Nationality Department.
IRS	Incident Reporting System.
IWP	Integrated Word Processing. Facility available on iTAG.
KPI	Key Performance Indicator.
LIDS	Local Inmate Data System.
Lifer	A prisoner serving a Life sentence.
MDT	Mandatory Drugs Test.
NFR	Non-functional requirement.
NPS	National Probation Service.
OASys	Offender Assessment System used by HMPS and NPS.
OBP	Offending Behaviour Programme.
Parole	An early prisoner release scheme where the prisoner is released on special conditions.
PED	Parole Eligibility Date.
PER	Prisoner Escort Record.
PIES	Prisoner Income and Expenditure System.
PMU	Population Management Unit.
PNC	Police National Computer.
PRIME	Prisoner Records Integrated Management Environment. The project set up to identify and develop a replacement to the LIDS & IIS legacy systems.
ProAct	A Prison Service Property 'Stock Control' system (based at

Term	Definition
	Corby).
PSIMOn	Prison Service Information for Managers On-line.
PSO	Prison Service Order.
PSP	Prison Service Plus. A resettlement programme.
RFID	Radio Frequency Identification.
ROTL	Release On Temporary License. A prisoner temporary release scheme where the prisoner is released on special conditions.
SAP	Substance Abuse Programme.
VDT	Voluntary Drugs Test.
ViSOR	Violent and Sex Offender Register – an external database within the CJS.
VO	Visiting Order.
VP	Vulnerable Prisoner.
YOI	Young Offender Institution.
4x4(four-by-four), 5x5	Security Management System, run locally at a prison.

Appendix B -   Attached Documents

This section contains the List of Reports etc. referred to in the Table of Requirements at section 3.19.

"Legacy Reports and
Extracts.xls"