

## COMPAS

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### **Reason for Viewing Record**

When users attempt to access an offender outside of the user's location, the user will receive a prompt requesting a reason the user is accessing that case. Upon completion of the reason, the user will be able to access the record as normal. The process, known as "Pop the Bubble" (PTB), was put in place as a means to safeguard the protected information of our offenders and is an additional reminder/auditing feature has been initiated in COMPAS. This functionality will assist in better audit tracking and "need to know" compliance within the DOC. The Audit policy can be reviewed on MyDOC.

PTB is intended to do four things when a user attempts to access an offender record outside of the user's location in COMPAS:

1. Provide an alert/reminder that the user is accessing an offender outside of the users assigned work location.
2. Provide the user with an opportunity to justify why he/she has a need to access that record.
3. Provide a reminder if either the user's location or offender's location is incorrect so it can be updated.
4. Allow COMPAS Administrators to report on how often and why users are accessing offenders outside of the user's location.

Inmate location in COMPAS is driven by WICS Supervising Location. If the Supervising Location is incorrect in WICS, the institution Records Office should be contacted to verify and correct.

There may be times when a DAI inmate's case in COMPAS is transferred to DCC so a PSI can be completed. This temporary case assignment to DCC will require DAI staff to pop the bubble in order to access the case.

NOTE: If the user's location changes, for example transfer to a different institution, the user should contact the site coordinator for assistance to have the user's location changed in COMPAS.

If an inmate does not exist in COMPAS:

- Locate the Inmate in WICS
- Verify there is a state identification number (SID#) found in WICS on the Inmate Synopsis screen.
- If yes, contact the Records Office to verify the accuracy of the SID#.
- If no, Records Office is responsible to enter the SID# in WICS. The number will migrate into COMPAS.
- Inmates who are in WI DOC Custody as part of an Intergovernmental Agreement (IGGA) will not have a WI State ID number unless they have been arrested in WI previously. The SID number will be listed as an X number (ie: X123456). When the Supervising Location changes of the person in WICS, the location in COMPAS will need to be manually changed. Contact your institution's site coordinator for assistance.

### **Viewing a Record**

Only one case can be open at a time. When a case is open, the name will appear on the tab along the top. Only one person can edit the record at a time. Others will be able to view the case as "read only." The inmate's name will appear red on the tab. Clicking on the inmate's name in the tab will show the name of the user who is in the account.

If a case is closed improperly (utilizing the Red X box in upper right corner of the screen), it will lock the case to edit for all users for a period of two hours. To properly close a case/logout user can click "log out" at the top of the screen or close the inmate's case tab.

### **Adding/Removing an Inmate to Caseload**

This option is available to all users which allows all users to place the inmate's name as a shortcut on the user's caseload on the home page. Users have to manually add or remove the inmate from the user's caseload from the Person Summary page.

## **Cases Section**

The Cases summary page contains the following information:

- [Alternative Screenings](#)
- [Assessments](#)
- Behaviors and Rewards (Currently only used by DCC)
- [Case Plans](#)
- [Case Termination](#)
- [Custom Fields](#)
- [Drug Test History](#)
- [Pre- Sentence Investigation](#)
- [Rules of Supervision](#)
- Violation Summary

## **Assigning Cases Managed**

WICS is used to track the case manager's institution caseload. COMPAS case manager assignment shall occur when an individual is received on a post intake site social worker's institution caseload. In order for the correct drop downs to appear for UA Draw Information, the case manager's location must be in DAI.

DCC status keepers are responsible for transferring an inmate in COMPAS to an agent upon release or for institution based ATRs.

## **Assessment Tools**

[Wisconsin Youth V2](#)

[COMPAS-R Core-Incarcerated Language](#)

[When to Complete a COMPAS-R Core-Incarcerated Language](#)

[Interstate Corrections Compact and Inter-Governmental Agreements Inmates](#)

[Updating COMPAS Assessment on Certain DCC Inmates](#)

## **Wisconsin Youth V2**

As a rule, youth under the age of 18 will initially be incarcerated in a DJC facility. The designated Bureau of Offender Classification and Movement Offender Classification Specialist (OCS) in collaboration with the DJC social worker, shall create the youth case and complete the COMPAS Youth V2 assessment if the youth is under the age of 16. If the youth is 16 years old or older, a COMPAS-R Core-Incarcerated Language assessment will be administered by the OCS at the time of the initial classification hearing.

Refer to the DJC Business Process for the rules pertaining to completing a Wisconsin Youth V2 Assessment.

If a youth enters a DAI facility with an open juvenile COMPAS case, the juvenile case shall remain open until the case discharges at which time DJC shall close the juvenile case. The DAI staff member will create a subsequent adult case (e.g., SID#-2) and document in notes. There will be two active lifecycles for the individual until the juvenile order is discharged.

When the youth reaches age 18 and is transferred from Lincoln Hills School (LHS) or Copper Lake Girls School (CLS), a brief placement at DCI or TCI, respectively will occur to provide an orientation to DAI. During this time, if the last assessment is a Wisconsin Youth V2 assessment, the assigned OCS will complete the COMPAS-R Core-Incarcerated Language assessment.

## **COMPAS-R Core-Incarcerated Language**

Effective August 29, 2022 inmates shall have a COMPAS-R Core-Incarcerated Language assessment as a part of the Classification process. This may occur at an intake facility or post intake facility based on current guidelines of When to complete a COMPAS-R Core-Incarcerated Language assessment. The results shall be utilized to identify program needs, determine enrollment priority, and build the Unified Case Plan (UCP.)

## **When to Complete a COMPAS-R Core-Incarcerated Language**

There are occasions where pending charges are filed *after* the Initial Classification process has been completed and the inmate has been transferred to another site. Should this occur, resulting in a conviction, a COMPAS-R Core assessment may be needed to determine appropriate program needs and provide the foundation for the UCP.

At the time of reclassification, the Offender Classification Specialist shall review new conviction information in preparation for the reclassification hearing and refer to the assigned case manager to determine if a new COMPAS-R Core-Incarcerated Language assessment is needed. If it is determined that a new assessment is needed, the assigned case manager will complete the COMPAS-R Core-Incarcerated Language assessment and notify the Offender Classification Specialist when it is ready for review.

The results shall be utilized at the next classification hearing to review the program assignments and modify assignments as needed.

<b>Time Left to Serve</b>	<b>Initial Classification Business Process</b>
0-6 months	Do not complete a new assessment. Do not assign programs.
6-12 months	<p>If there is no prior assessment, a COMPAS-R Core-Incarcerated Language assessment will not be completed unless: Eligibility exists for CIP, ERP, RRS, Parole.</p> <p>If an incomplete COMPAS-R Core-Incarcerated Language assessment exists, complete the remaining portion of the assessment and assign programs.</p> <p>If there is a prior assessment, those results (regardless of age) will be used to assign programs, but no new assessment will be created.</p> <p>If the previous assessment is from a closed lifecycle or the inmate does not have any prior assessment, the COMPAS-R Core-Incarcerated Language assessment will be completed within 90 days of reception at the</p>

	<p>inmate’s permanent site, followed by completion of initial case plan.</p>
<p>1-5 years</p>	<p>If no assessment is available or last assessment is part of a closed lifecycle, complete a COMPAS-R Core-Incarcerated Language assessment.</p> <p>If a COMPAS-R Core-Incarcerated Language assessment (&lt;3 years old at time of staffing) is available and not part of a closed lifecycle, use the results of that assessment to assign programs.</p> <p>If a COMPAS-R Core-Incarcerated Language assessment exists but is &gt; 3 years old at time of staffing, complete a new COMPAS-R Core-Incarcerated Language assessment and assign programs.</p>
<p>Greater than 5 years</p>	<p>If a COMPAS-R Core-Incarcerated Language (&lt; 3 years old at time of staffing) is available use the results of that assessment to assign programs.</p> <p>If no assessment is available, it will be completed within one year of receipt at the permanent site.</p> <p>Do not assign primary programs at this time with the exception of academic, vocational and SOT.</p> <p>Include the following statement when not assigning programs:</p> <p><i>Per DAI business process, due to sentence structure, a COMPAS assessment was not completed at the time of the initial classification hearing. Therefore, programs will not be assigned and will be reviewed at a later date.</i></p>

**Interstate Corrections Compact (ICC) and Inter-Governmental Agreements (IGA)**

A COMPAS-R Core- Incarcerated Language assessment shall be completed on an inmate received from another state or when a Wisconsin inmate is returned from an out of state placement.

### **Updating COMPAS Assessment on Certain DCC Inmates**

This is a cooperative effort between DCC and DAI, with our mutual Business Processes synchronized to give staff in both divisions the same message.

DCC Process:

The assigned DCC agent will complete the static portion (Questions 1-21) of the COMPAS COMPAS-R Core-Incarcerated Language assessment following the decision to revoke when:

- A new criminal arrest prompted one of the allegations, **and**

The offender is facing or has the potential to face prison confinement. For example, an offender with an imposed and stayed prison sentence who also has a new criminal arrest prompting one of the allegations, the static portion of the COMPAS-R Core-Incarcerated Language should be completed. If an offender has a withheld felony sentence and also has a new criminal arrest prompting one of the allegations, the static portion of the COMPAS-R Core-Incarcerated Language should be completed.

- Formal institution ATR's where new criminal arrests resulted in the ATR.

If the previous assessment completed was a WPN, Wisconsin Core or ReEntry, the agent should use the create function to forward and update the static information into a new COMPAS-R Core-Incarcerated Language assessment. The create function copies only the static information from the official records section. In the Reason for Assessment field, the agent should choose "revocation update required".

The updated assessment must be completed by the agent within thirty days of the service of the DOC-414.

This assessment will show as "incomplete." An Assessment note must be entered by the agent for all cases where the offender is facing or has the potential to face prison confinement. This note will make it clear for DAI the reason an assessment was or was not completed. For example:

- Assessment not updated: no new criminal arrest.
- Assessment updated: new criminal arrest.

If the offender is not revoked, the agent will complete the remaining sections of the COMPAS-R Core-Incarcerated Language assessment within 60 days of the decision not to revoke.

Instructions for DAI:

If the offender is revoked and has an incomplete COMPAS COMPAS-R Core-Incarcerated Language, DAI will complete questions 22-85 of the assessment at Initial Classification. The Offender Classification Specialist (OCS) will update/complete the assessment, regardless of whether it is in Community Language or Incarcerated Language. At no time will the Incomplete COMPAS-R Core-Incarcerated Language be left unfinished.

Prior to completing the assessment, the assigned OCS will transfer the case to DAI then review and update the appropriate fields in the Screening Information Wizard including the screener name and location. Upon completion of the assessment, the OCS will enter an Assessment Note in COMPAS.

## **Completing a COMPAS-R Core-Incarcerated Language Assessment**

[COMPAS-R Core-Incarcerated Language: Official Record](#)

[COMPAS-R Core-Incarcerated Language: Interview](#)

[COMPAS-R Core-Incarcerated Language: Self-Report](#)

[Limited English Proficiency](#)

[Inmates with Hearing or Vision Impairments](#)

[Starting an Assessment](#)

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[Completing an Incomplete Assessment](#)

[Refusing an Assessment](#)

There are three components to the COMPAS-R Core-Incarcerated Language assessment:

1. Official Record:



This section is always completed first and contains information regarding current offense and offense history, commonly known as the "Static Questions". Information in this section is based upon a review of the inmates file.

Prior to the interview, the assessor will review all available documents. These include, but are not limited to:

- Portal 100-A new Portal 100 report shall be generated for any new assessment created regardless of type (See Communication DAI 16-01 Use of Portal 100s for all Assessments)
- Criminal Complaint
- DCC information; e.g., Pre-Sentence Investigation, Revocation Summary, Administrative Law Judge Reports, Violation Reports, etc.
- Prior WICS information, including Inmate Classification Reports
- CCAP
- COMPAS Information (prior assessments, Notes, UCP)
- STG information required to complete assessments should be obtained by contacting the site STG Coordinator/designee. STG information shall be utilized to complete the assessment but this information shall not be placed in Notes.

## 2. Interview:

Information in this section is obtained from a guided conversation with the inmate. Questions pertaining to protected health information (Substance Use History and Mental Health) should be asked directly to the inmate. This information should not be obtained by referencing information found in WICS, PSU file, Social Service file, PSI, etc.

During the inmate interview, review the questions from the Official Records section with the inmate. If an inmate disputes the information on the static questions:

- Discuss the discrepancies with the inmate. The scoring on the question will be based on professional judgment if the inmate reports a different number than the resource.
- If the inmate reports a higher number, use it. Make assessment note.
- If the inmate reports a lower number, do not accept. Make assessment note.
- If official juvenile information is not available, self-report is accepted.

3. Self-Report:

This is to be completed in the same meeting as the Interview section. For this section, always utilize the inmate's response. If a discrepancy exists between the inmate's response and other known information document the discrepancy via an assessment note.

A screening for reading level should be done prior to meeting with the inmate by reviewing most recent TABE or BADER test results in WICS. According to Northpointe, an inmate's reading level should be 5th to 6th grade or above to complete the Self-Report section. Inmates with sufficient reading ability will be given the self-report section to read and answer. At no time is the inmate allowed to leave the assessor's office / line of sight with the blank questionnaire.

If the inmate's reading level is below a 6th grade reading level, ask the Self-Report questions to the inmate during interview. While the interview is being conducted, enter the inmate responses into COMPAS.

Limited English Proficiency (LEP)

In accordance with Executive Directive 71 and DAI Policy 300.00.61 Language Assistance for Limited English Proficiency (LEP) Inmates to determine LEP needs. Staff shall complete an incident report when an inmate requests language assistance, when offering language assistance, and/or when language assistance has been provided. The COMPAS assessments are available in English or Spanish. The Language Line or an approved bi-lingual staff will be utilized, in accordance with Departmental policy. Inmates who decline LEP services shall be documented in a COMPAS assessment note.

Information regarding inmate's primary language can be obtained from WICS under the Prison Tab→ Programs→ Inmate Program Plan.

Inmates with Hearing and Vision Impairments

Interpreter services will be offered to inmates who have hearing impairments when completing an assessment or case plan. Request for assistance should be made to the site ADA Coordinator.

If an inmate has vision impairments, the assessor will assist the inmate in completing the self-report section of the assessment, which may include reading it to the inmate. Inmates who decline services for an accommodation related to hearing or visual impairments shall be documented in a COMPAS Assessment note.

### Starting an Assessment

Prior to creating an assessment, ensure the Agency is correct under Cases. If DAI is not the agency listed the Case needs to be transferred to DAI. Doing this will ensure the correct drop downs are available.

Directions:

- On the Person Summary page, click on the Case Identifier link under the Cases section.
- On the Case Summary page, click the Actions dropdown menu located on the Case Summary heading bar.
- Select Transfer (transfer this case to a new agency)
- Select DAI from "New Agency" dropdown.
- Select the appropriate location from the "Location" dropdown.
- Select the institution assigned social worker/case manager from the "New Case Manager" dropdown.
- Click 'Save.'

You can create an assessment from the Person Summary page and the Case Summary page.

- Person Summary page → Cases → Actions dropdown, select Create Assessment.
- Case Summary page → Case Summary → Create → Create Assessment

If you need assistance creating an assessment, see the Site Coordinator for additional assistance.

### Instructions for Completing the Assessment Wizard:

- Location: Select the prison site
- Marital Status: Select applicable status
- Custody Status: Select "Prison Inmate" only
- Legal Status: Select "Other" only
- Reason for Assessment:
  - At Intake: Choose DAI Intake
  - For pre release or for an identified Reentry initiative: Choose reentry
- Probation Start Date: Leave Blank
- Prison Admission Status: Select applicable status from the current WICS Classification Report
- Prison Release Status:
  - For the release planning assessments only, Parole means either Parole Grant, MR or ES.
  - Max Out: For Max Discharge (Do not use)
  - First Parole this term/sentence: For 1st release ES/MR
  - Re-parole this term/sentence: For 2nd+ release on same case
  - PV New Term: DO NOT USE

#### Creating a New Assessment Using an Existing Assessment

On the Person Summary page, go to the Cases section, and click the Actions dropdown. Select **Create Assessment** from the dropdown menu. The COMPAS system will automatically copy the static information from the most recent complete-calculated standard Core assessment into the new assessment. A Portal 100 report must be requested for all new assessments.

- Review information that was carried over from the Official Records section for accuracy. Update the static information as needed.

The inmate shall be interviewed and provided the self-report questions to be completed in staff presence for each new assessment. The inmates responses shall be entered in the new assessment.

#### Completing an Incomplete Assessment

There may be times when an assessment is started by a different division or institution. Should this occur, the screener information will need to be updated.

This can be completed as follows:

- Select the incomplete assessment to open to the Assessment Summary page.
- Under Actions tab; select "Edit Information"

Update the fields within the Screening Information Wizard, which may include changing screener name and location to the individual who is completing the assessment.

Once the screener information has been updated, the screener can move on to completing the incomplete assessment.

- On the Assessment Summary page, Under Actions tab; select "Edit" to edit the assessment.
- Review the Official Record section for accuracy.
- Click "Next Unanswered" to take the assessor to the next incomplete question.
- The remaining portions of the assessment will be completed with the inmate as outlined in the Completing a COMPAS-R Core- Incarcerated Language Assessment sections.

### Refusing an Assessment

Inmates refusing to participate in the COMPAS Assessment process will be informed of the possible impact(s) of their decision, which includes but is not limited to:

- Program assignment and enrollment
- Development of Unified Case Plan
- Potential impact on Classification, Reclassification and/or Parole decisions which may impact reduction in custody levels.

Should an inmate at any time choose not to participate in this assessment process; appropriate attempts to motivate the inmate's participation shall be made.

If attempts to complete the assessment are unsuccessful, complete the static questions and leave the assessment incomplete selecting the appropriate reason from the dropdown. Make assessment note indicating why assessment was left incomplete.

Inmates will be encouraged to participate in a COMPAS Assessment throughout their incarceration and will be afforded the opportunity to complete it when appropriate, at a minimum of annually prior to reclassification hearing.

## **Risk & Criminogenic Needs**

Bar Chart and Narrative

Release of COMPAS Results

Validity

Classification

Program Assignment and Criminogenic Needs Scales

Criminogenic Needs and Alternative Screening Tools

Programs Without Identified COMPAS Needs Scales

COMPAS Bar Chart and Narrative

After an assessment is completed and calculated, the COMPAS Bar Chart and Narrative is generated. This can be viewed at any time by clicking "Results" or "Narrative" under the assessment menu.

- Upon arrival at the post intake site, the assessor/case manager shall review the Bar Chart and/or Narrative with the inmate prior to creating/updating the Unified Case Plan
- The COMPAS Bar Chart and Narrative are not to be placed in the social service file.

Release of COMPAS Results

WIDOC complies with Public Records Law by striving to be as transparent as possible as it relates to the use of the COMPAS risk/need assessment system. Only when the release of this record would compromise the rehabilitation of a person in the custody of the Department of Corrections, or would endanger the security, including the security of the population or staff, of state prisons and other facilities as identified in Wis. Stat. sec. 19.35(1)(am)2.c. will denials be made on a case-by-case basis under the advisement of the Office Legal Counsel. Otherwise, WIDOC's obligation will be to release the record. **As such, upon receipt of request for the disclosure of the COMPAS results, the applicable Legal Custodian will compile and release the COMPAS Bar Chart and Narrative Summary.**

Validity

The COMPAS assessments test to respondent validity; that is, the consistency and integrity of their responses.

### **Tests of Validity**

The Random Response Test is designed to identify respondents who may be responding randomly or in a highly inconsistent manner. Upon calculating the assessment, the software will generate a Validity Warning pop-up stating "Inconsistent Response Concern." Return to the Assessment Summary page and click the hyperlink "Inconsistent Response Concern" to see the pairs of items that contain inconsistent responses.

- The assessor shall review the discrepancies with the inmate.
- The assessor is to utilize their professional judgment regarding entering a COMPAS Assessment Note about this concern.

### Classification

The COMPAS Supervision Recommendation is used by DCC to determine the level the offender will be supervised at and access to available resources during their period of time on community supervision. It **does not determine** DAI custody level, but may be used as one of the many factors considered when reducing an inmate's custody level during the reclassification process. The Reclassification Committee may take the Supervision Recommendation into consideration when making their recommendations.

### Program Assignment and Criminogenic Needs Scales

Program assignment(s) are based on the COMPAS-R Core criminogenic needs scales as well as a comprehensive review of all collateral information demonstrating aggravating/mitigating factors that are not evident through the COMPAS tool. Professional judgment should be exercised in all cases when assigning programs and interventions. Program assignment will be done in accordance with the table below, which outlines the nexus between criminogenic need and primary program assignment.

Program	Criminogenic Needs Scales				
	Core	WRNA	DAI Legacy	Reentry	Core-R
<b>Anger Management</b>	Anger	Anger/Hostility	Anger	Anger	Anger
<b>Cognitive Behavioral Program (CBP)</b>	<ul style="list-style-type: none"> <li>• Criminal Involvement</li> <li>• Criminal Associates/Peers</li> <li>• Criminal Personality</li> <li>• Criminal Opportunity</li> <li>• Cognitive Behavioral</li> <li>• Criminal Thinking Self-Report</li> </ul>	<ul style="list-style-type: none"> <li>• Criminal Involvement</li> <li>• Criminal Associates/Peers</li> <li>• Criminal Personality</li> <li>• Criminal Opportunity</li> <li>• Cognitive Behavioral</li> <li>• Criminal Thinking Self-Report</li> </ul>	<ul style="list-style-type: none"> <li>• Criminal Thinking Observation</li> <li>• Prison Misconduct</li> <li>• Negative Social Cognitions</li> <li>• Reentry Cognitive Behavioral</li> <li>• Criminal Involvement</li> </ul>	<ul style="list-style-type: none"> <li>• Criminal Thinking Observation</li> <li>• Prison Misconduct</li> <li>• Criminal Personality</li> <li>• Negative Social Cognitions</li> <li>• Reentry Cognitive Behavioral</li> <li>• Criminal Involvement</li> </ul>	<ul style="list-style-type: none"> <li>• Associates and Peers</li> <li>• Society and Routines</li> <li>• Thinking and Attitudes</li> <li>• Personality Traits</li> <li>• Cognitive Behavioral</li> </ul>
<b>Domestic Violence</b>	N/A	N/A	N/A	N/A	N/A
<b>Employment</b>	Vocation/Education	Employment/Financial	Vocation/Education	<ul style="list-style-type: none"> <li>• Vocation/Education</li> <li>• Reentry Employment Expectations</li> </ul>	Vocational/Education
<b>Substance Use Disorder (SUD)</b>	Substance Abuse	Substance Abuse	Reentry Substance Abuse	Reentry Substance Abuse	Substance Use
<b>Sex Offender Treatment (SOT)</b>	N/A	N/A	N/A	N/A	N/A

Criminogenic Needs and Alternate Screening Tools (AST)

According to Northpointe, a COMPAS assessment is a “broadband” assessment, and there are times when additional information is necessary to reach a decision as to program assignment. In these situations, a “narrowband” Alternate Screening Tool is applied. Ultimately, the decision to assign programming will be based on the accumulation of all the information available (e.g., Criminogenic Needs Scale, AST, file information, inmate interview, etc.). If an inmate refuses a COMPAS Assessment, BOCM will still assign programs based on all other information. Program assignment will be evaluated in the future if the inmate chooses to participate in the COMPAS assessment process.

**Highly Probable / High:** Typically an AST is not applied.

- If case information supports this score, assign the correlating program. An AST is not necessary.



- If there is a conflict between the case information and this score, apply the applicable AST (as available).
- The decision to assign the program will be based upon the accumulation of all the information available.

**Probable / Medium:** Apply an AST (if one is available):

- Anger Management: If Case information supports the score, assign the applicable program.
- Substance Use Disorder:
  - Male System: If case information supports the score, assign applicable program.
  - Female System: Individuals with six months or more to serve will receive a TAAD-5. The results of the TAAD-5 assessment along with the COMPAS Risk Level Recommendation helps determine the appropriate program assignment.

Note: A separate process is used to determine the SUD level assigned.

- Cognitive Behavioral Program: No AST available. A "probable" score on any of the designated COMPAS Criminogenic Needs will suffice to assign.
- Domestic Violence: DOC-2654 Domestic Violence Counseling Screening Guide sheet

**Unlikely / Low:** Typically an AST is not applied.

- If case information supports this score, do not assign the correlating program. An AST is not necessary.
- If there is a conflict between the case information and this score, apply the applicable AST (as available).
  - Anger Management: Apply the DOC 2677 Anger Management Guide sheet
  - Substance Use Disorder:
    - Male system: No AST available. IF there is a conflict between the case information and the COMPAS score, assign the program based on available information, consultation with immediate supervisor or review with SUD professional.
    - Female system: Individuals with six months or more to serve will receive a TAAD-5. The results of the TAAD-5 assessment along with the COMPAS risk level recommendation helps determine the appropriate program assignment.
  - Cognitive Behavioral Program: No AST available. An "unlikely" on all scales indicates the program should not be assigned.
  - Domestic Violence: DOC-2654 Domestic Violence Counseling Screening

- The decision to assign the program will be based upon the accumulation of all the information available.

NOTE: If a program is added or removed *after* initial classification, the Reclassification OCS shall apply the appropriate AST and document the use of the AST and justification for adding/removing the program utilizing COMPAS Program Notes.

### Programs Without Identified COMPAS Needs Scales

DVC: DOC-2654 Domestic Violence Counseling Screening Guide sheet

COMPAS does not identify a potential need for domestic violence programming. In cases where the dynamics of the offense or violations (past or present) indicate that it was domestic violence related, the DOC 2654 shall be administered and documented in both the classification report and COMPAS Program Notes.

Sex Offender Treatment: PSU will determine the need for sex offender programming, in accordance with departmental practices. If program assignment is warranted, PSU will advise and designate the treatment level.

## **COMPAS Notes**

Assessment Notes

Case Plan Notes

General Notes

Program Notes

Note Sub-Types

Use of Confidential Notes Button

Refer to current COMPAS Notes Reference Guide located on MyDOC.

- All DAI staff trained in COMPAS will use notes to report pertinent information about an inmate.
- Notes are subject to Open Records.
  - If an Open Records request is received, contact the site coordinator and Records Custodian for the site.
- Only one note can be opened at a time, however, more than one note type may be entered at the same time.

- User can edit notes up to 8 hours after initial entry. Any notes that need to be edited after this period of time, user should contact their supervisor to unlock the note for editing or deleting.
- Check with a supervisor before entering notes about an open investigation, especially those involving law enforcement.
- Reference to warning cards or conduct reports should not be documented, however, observed behavior can and should be.
  - *Do this*: "Inmate was involved in a physical altercation with another inmate in the dayroom. Additional medical attention was required for the individuals involved."
  - *Not this*: "Inmate was in a physical altercation with another inmate in the day room. Shift supervisor was contacted and he was placed in TLU. Inmate was issued a conduct report for fighting. Additional medical attention was required for the individuals involved. He was found guilty of fighting and received 30 days disciplinary separation plus restitution for medical costs."
  - *Do this*: "While conducting a search of the inmate's property, he was found to be in possession of several items that are not permissible per institution policy. Inmate was advised contraband would need to be destroyed."
  - *Not this*: "While conducting a search of the inmate's property, he was found to be in possession of several items that are not permissible per institution policy. Inmate was told he would be receiving a conduct report."
- PREA cases are be highly sensitive and highly confidential and should be marked as such. It is recommended that the Victim Services Coordinator and COMPAS Site Coordinator be involved in determining appropriateness of entering a note into COMPAS. Victim information is not to be included in Notes.
- Security Threat Group (STG) information can be highly sensitive and highly confidential and should be marked as such. It is recommended that a STG Coordinator and COMPAS Site Coordinator be involved in determining appropriateness of entering a STG related note into COMPAS.

#### Note Types

DAI will use the following Note types:

#### Assessment Notes:

This pertains only to the COMPAS assessment process (including the AST). An assessment note shall be written regarding the inmate's level of cooperation during the assessment

process. It shall also provide a summary of the discussion with the inmate regarding the results of the assessment.

Examples of what should be documented:

- Inmate's level of participation (e.g., cooperation, resistance, refusal, etc.)
- Discrepancies between file information and inmate self-report
- When changing information previously entered by a different screener (e.g., number of arrests, current arrest, types of arrest, etc.)
- Use of additional services (e.g., LEP or ADA services requested/refused, read to inmate due to low reading level)
- Any additional information provided by the inmate outside of questions being asked as part of the process interview/screener evaluation process

Case Plan Notes:

Pertains to information related to the inmate's Unified Case Plan (UCP). A Case Plan note will be created whenever there is a change/update to the Case Plan.

Examples of what should be documented:

- Inmate's level of participation (e.g., cooperation, resistance, refusal, motivation, etc.)
- Use of additional services (e.g., LEP or ADA services requested/refused, full translation of UCP for inmate's record)
- Any additional information provided by the inmate outside of questions being asked as part of the process interview/screener evaluation process
- Completion or addition of assigned tasks/activities

General Notes:

This pertains to information related to the general case management of the inmate.

Examples of what should be documented:

- Observed behaviors (positive and negative) related to conduct, interaction with others, abnormal, work performance, etc.
- Referral to another department
- Correspondence with inmate directly or third party

- Use of BITs or other alternative interventions to address problematic behavior/attitudes

Program Notes:

All COMPAS trained program providers shall utilize COMPAS notes to document inmate program participation. There are subtypes for each primary program. When making a note regarding a non-primary program, select subtype "Program-Other." This pertains to information related to the inmate's current program involvement and replaces chronological notes.

Examples of what should be documented:

- Program enrollment/refusal
- Program participation/progress
- Counseling regarding attitude/performance

Note Sub-Types

DAI has created specific subtypes for notes, which are required for General and Program notes. This will assist when filtering notes.

Note: Conduct reports and warnings shall not be referenced in Notes. Observed behavior can and should be documented in "Behaviors/Observations."

Use of the Confidential Notes button:

- The confidential button in COMPAS notes shall be checked for any confidential information including all individually identifiable medical, dental, mental health and SUD information. This includes diagnosis of a need for medical, dental, mental health and SUD treatment, and any health care services (treatment) provided, victim information (phone number, address, sensitive crime details, victim view on early discharge, etc.), and indications of acting as a confidential informant. This information shall be stored in a separate note than other non-confidential information, which should be made available. In other words, do not restrict shareable information by combining it in one note with confidential information and marking the entire note confidential.
- DOC Employees should only access records in COMPAS that are related to their caseload or if there is a legitimate business reason to access the record.

Acceptable: Checking notes of a co-defendant for payment information

Not Acceptable: Checking in COMPAS for the name of a person in the paper today, who has no connection to the user's caseload.

- Requests for confidential notes will require a DOC-1163A Authorization for Use and Disclosure of Protected Health Information (PHI). These requests should be processed like any other request for records.
- In order to share as much information as possible, any diagnosis and treatment post-diagnosis information should be documented in a separate note marked confidential. See the example below:

**NOTE NOT MARKED CONFIDENTIAL**

Joe went to his support groups. He attended three this week and has found a sponsor.

Joe attended his court ordered AODA assessment.

A non- treatment related random UA was taken and showed positive for cocaine use. Joe indicated he used three days ago and has been in contact with his sponsor several times since then, which he believes has helped.

Joe attended his psychiatric evaluation. **(Unless entered by someone qualified to make a diagnosis, such as a psychiatrist, psychologist, etc. If this is entered by a qualified person, this note would be marked confidential)**

Joe attended Cognitive Behavioral Treatment and is working on the ABC model. He practiced his skills in group.

**SEPARATE NOTE MARKED CONFIDENTIAL**

Joe's assessment diagnosis was substance abuse and dependency. He will be attending treatment three times per week for two hours per session. He attended his first treatment session where they learned about the effects of alcohol and drugs on the brain.

**PLEASE NOTE IF THIS WAS A TREATMENT ORDERED UA, IT WOULD BE MARKED CONFIDENTIAL**

Joe attended his psychiatric evaluation and was diagnosed with depressive disorder. He will continue to see Dr. Jones one time per week for treatment of his condition.

**Case Manager Module**

Education History

Additional Assessment Information

Employment History

[How to Enter Employment Information](#)

[Additional Assessment Information](#)

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[How to Enter Substance Use Information](#)

[Additional Assessment Information](#)

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[Education History](#)

[Additional Assessment Information](#)

This section of the Education History automatically populates from the Offenders COMPAS assessment. This scale assesses the degree of success or failure in the areas of work and education. A high score represents a lack of resources. Those who score high will present a combination of failure to complete high school, suspension or expulsion from school, poor grades, no job skills, no current job, poor employment history, and access only to minimum wage jobs, etc. Thus, the scale represents a lack of educational and/or vocational resources. This scale appears in the Education History section for informational purposes for staff.

[Employment History](#)

The Employment History will be utilized throughout DAI, DCC, and DJC to document an offender's employment history in the community. A goal of Employment History is to facilitate the transition back to the community upon release by documenting the inmate's known skills and employment.

The following employment information should be entered into COMPAS:

- Intake: If case research or inmate self-report reveals employment information, enter it into the Employment History during the Initial Classification Staffing Process.
- Post-Intake: The Work Release Coordinator, Employment Support Specialist, Work Assignment Supervisor or Case Manager at the inmate's permanent site shall enter any further historical employment information, including jobs held at Badger State Industries (BSI).
- The Work Release Coordinator or Employment Support Specialist should enter job information when the inmate begins or is terminated from a work release job. Institution work assignments, with the exception of BSI, should not be entered into the Employment History, however, skills learned can be.

### How to Enter Employment Information:

From the Person Summary Screen Employment information will be entered as follows:

- Click on the Person Summary tab on the left side of the screen
- Select Work and Education
- Select Work History
- To enter employment information, click Actions→ Edit next to Employment Information. Treat this information as current.
- To enter information related to Job Skills and Employment history click Create. Save once completed.

### Additional Assessment Information

Similar to the Education History information, this section of the Employment History automatically populates from the Offenders COMPAS assessment. This scale assesses the degree of success or failure in the areas of work and education. Those who score high will present a combination of failure to complete high school, suspension or expulsion from school, poor grades, no job skills, no current job, poor employment history, and access only to minimum wage jobs, etc. Thus, the scale represents a lack of educational and/or vocational resources. This scale appears in the Employment History section for informational purposes for staff.

### Substance Use History

The Substance Use History will be utilized throughout DAI, DCC, and DJC to document an offender's substance use both in the community and during incarceration (if applicable) in the Case Manager Module. A goal of Substance Use History is to document the inmate's historical use of alcohol, illegal drugs or misuse of prescription/OTC medications.

Use discretion and professional judgment when documenting information self-reported by the offender. While it is not required that the information provided is formally verified or substantiated, the COMPAS user should exercise good judgment in assessing the reasonableness and authenticity of offender-reported information

Substance Use History information should be entered into COMPAS:

- Intake: If case research or inmate self-report reveals substance use information, enter it into the Substance Use History during the Initial Classification Staffing Process.



- Post-Intake: During initial screening for entry into an SUD treatment program. Previously unknown information shall be entered prior to the inmate beginning the treatment group at the institution. Any previously unknown information disclosed while enrolled in a substance abuse program shall also be entered into the Substance Use History.

#### How to Enter Substance Use Information:

From the Person Summary Screen Substance Use information will be entered as follows:

- Click on the Person Summary tab on the left side of the screen
- Select Medical
- To enter use history click Create next to Substance Use History.
- Enter self-reported use. Click save once complete.

#### Additional Assessment Information

This section of the Substance Use History automatically populates from the inmates COMPAS assessment. The present scale is a general indicator of substance abuse problems. A high score suggests a person has drug or alcohol problems and may need substance abuse treatment intervention. The items in this scale cover prior treatment for alcohol or drug problems, drunk driving arrests, blaming drugs or alcohol for present problems, drug use as a juvenile, and so on.

#### Drug Test History

Urinalysis (UA) screenings will be recorded in COMPAS by all divisions. The results can be found in this section of Substance Use History. Information specifically available includes date of test, test type, and test results. Only staff specifically trained in the UA screening process will enter this information.