

## ASSESSMENT PROCESS

### Assessment Overview

#### Entering Cases in COMPAS

#### Choosing the Lifecycle

#### Completing the COMPAS Assessment

#### Alternative Screening Tools

#### Overrides

#### Testimony Related to COMPAS

#### Assessment Overview

Research indicates that recidivism can be reduced when risk, need, and responsivity are addressed.

- *Risk* – Research shows that the level of supervision and programming provided to individuals is most effective in reducing recidivism when we focus interventions on medium and high risk individuals. For this reason, assessment of risk is used to determine the appropriate supervision level.
- *Need* – Criminogenic needs are attributes of individuals that are directly linked to criminal behavior. Effective correctional treatment should target criminogenic needs in the development of a comprehensive case plan. The chart below shows the eight criminogenic needs that, when targeted through programming and other interventions, reduce recidivism:

CRIMINOGENIC NEEDS				
<b>The Top Four</b>	Anti-Social Beliefs	Anti-Social Companions	Temperament/Self Regulation	Family Stressors
<b>The Other Four</b>	Substance Abuse	Employment	Education	Leisure/Recreation

- **Responsivity** – People respond to interventions in different ways based upon their personal traits and circumstances. Factors to consider with responsivity are functional ability (cognitive deficits, attention span), learning style, level of motivation, mental health, limited English proficiency, cultural background, and gender. Matching individuals

to service providers and programs that work well with these areas, results in greater success.

The assessment of risk and need determines the appropriate supervision level for each individual. This is accomplished by completing the [COMPAS](#) assessment. COMPAS does not replace professional judgment on the part of the agent who is using the tool as part of the decision-making process. This supervision level can be overridden by means of the screener and actual supervision recommendation in COMPAS.

*Entering Cases in COMPAS:* Before the individual can have a [COMPAS](#) assessment done, the case must be set up in [COMPAS](#). If a [COMPAS](#) assessment was previously completed by an outside agency and the individual record is under that agency's security access, the agent has "read only" access. The DCC OOA has security access to transfer primary access to the agent. This is done by transferring the individual at both the Individual and the Case level and has to be done by the primary agency.

Instructions for Agency Transfer: Open the person's record in [COMPAS](#) then go to Person Summary page (left side option). Under "Person Summary" option on right, click Actions and choose the drop down option of "Transfer" and fill in the instructions to transfer the individual to DCC. Next, down at the bottom on the right, choose the active "Case Manager" option, then click on the active case and click "Actions" next to the "Case Information." Choose the drop down of "Transfer" and transfer the case there also.

*Choosing the Lifecycle:* The lifecycle is the individual's journey through the criminal justice system. It begins when an individual enters the criminal justice system and ends when the individual is discharged from the criminal justice system.

When entering preliminary information in the screens that come up prior to completing an assessment, it should be noted that at the time of setting up an initial assessment within an "individual life cycle" term, the agent or county agency should choose the drop down option of "assign a new case number" and allow the software to assign the case number (the first one will be the SID# - 1). Assigning a new case number should only be done once in a continuous life cycle of an individual. Once that is completed, the user is to choose the drop down of utilizing this existing Case number throughout that same continuous lifecycle of the individual, until all cases are terminated in the criminal justice system (examples include

absolute discharge, resolution of pending charges, and completion of jail sentences.). If they return to supervision at a later time, then a new "individual lifecycle" begins, and a different Case number should be generated (the second one will then be SID# - 2). Any criminal activity that occurs within the same lifecycle, even if convicted following discharge, is still considered to be in that lifecycle. If supervision is terminated and the criminal behavior occurs following that date, the next lifecycle should be initiated if the individual comes back onto supervision.

Completing the COMPAS Assessment:

[COMPAS](#) is to be completed as trained; utilizing a combination of investigation and review of external information, interactive discussion/questioning with individual, and self-report. Alternative screenings can also be utilized as described below. The only section of the [COMPAS](#) assessment actually provided to the individual to fill out is the Self Report section unless an individual is identified as Limited English Proficiency (LEP), or otherwise approved by the Corrections Field Supervisor.

The agent should complete the official records section using all available file materials prior to the appointment. When the individual reports for their first appointment, rapport should be built with open ended questions, review of the Judgment of Conviction, criminal complaint, 179 and then the interview section of **the COMPAS-R Core. It is important to build rapport prior to giving the individual the self-report section.** They should understand the reason for the assessment and the importance as it relates to the case plan. The agent should use judgment in regard to when it is appropriate to give the individual the self-report section. The agent should be available as a resource for questions and it should be completed in a professional setting. As a reminder, the self-report should never be sent outside of the office for any reason.

Mental health concerns and developmental disabilities are common occurrences in the general population and are part of the norming population for COMPAS. A COMPAS assessment should be completed for all cases, including those found NGI, unless the symptoms of mental illness or developmental disability are so acute that it would preclude the individual from being able to understand or respond to the assessment questions. In most cases, if the individual can participate coherently in the interview process, COMPAS

should be administered. If the individual is not capable of participating in the assessment due to a mental or physical health condition, the agent should complete the static questions that do not require individual input and staff the supervision level with the supervisor.

1. If a COMPAS-R Core assessment was completed within the last year, the agent will copy it forward to a new assessment and update. If no COMPAS has been previously completed, a COMPAS-R Core will be completed with the individual during intake process. If the individual is placed on community supervision after the completion of a PSI, the status in Workload Manager will be Intake After PSI, because COMPAS has already been completed.
2. The agent reviews the Probation Social Investigation DOC-179 data and uses it as a guide for COMPAS assessment completion and interactive discussion with individual.
3. The agent must use the Prior Record Listing DOC-2354 to document prior record. The agent should request a new Criminal History Record Information (Portal) each time a COMPAS assessment is completed.
4. When COMPAS prompts: CUSTODY STATUS, only use one of the following: Probation, parole, ES, NGI, 980, Interstate Compact- Probation or Parole
5. "Other" shall always be selected for LEGAL STATUS on any assessment completed post-release from prison
6. "Not Applicable" shall always be selected for Prison Admission Status
7. The agent completes any necessary Alternative Screenings. The use of any Alternative Screenings other than the URICA, TCU Criminal Thinking, Static 99R screener, or IDA should be approved by the supervisor.
8. The agent may complete a URICA on individuals that will be supervised at a higher than MIN level. The URICA will be explained to the individual, telling them that the assessment will give information about their readiness for programming. The URICA should be done for their primary program/criminogenic need. If the individual scores pre-contemplative, a referral will be done during the intake period to the Pre-Treatment Curriculum program, if available. If a Pre-Treatment Curriculum program does not exist in the area, the results of the URICA should be shared with the primary program treatment provider to promote additional cognitive behavior, knowledge and skills practice during their primary treatment group. Not COMPAS-R related, but is this language still relevant?
9. Once COMPAS assigns a risk level, the agent will need to decide whether or not the supervision level should match the risk level. If the agent enters the Screener Recommended Supervision Level that matches the risk level, the Actual Supervision Level will auto-populate. The agent will also enter the "Start Date" and the "Next Review Date" at the bottom of the Supervision Recommendation page of the COMPAS-R Core Recommendation page. The "Start Date" will be the date that the assessment was

completed. The "Next Review Date" should be six months/one year from the date of assessment unless otherwise approved by a supervisor. The agent will add this date by entering 180 or 365 in the "Add Days" section next to the "Next Review Date". The "Add Days" tool calculates the days from the current date, not the "Start Date" entered. If entering the next review date later than the "Start Date", the agent should use the calendar tool. When reviewing the "Actual Supervision Level", supervisors must verify the "Next Review Date" entered by the agent. The agent must ensure that the correct dates are entered as these dates will set the next review date for the SLR.

10. If an override is requested, the "Supervisor Approval" screen in Workload Manager will be updated under the "Supervision Level Assignment" screen. The supervisor will then enter the "Actual" supervision level. Before entering the "Actual" supervision level, the supervisor will need to verify the "Start Date" and "Next Review Date" for accuracy.
11. The agent then initiates the [Unified Case Plan](#) and completes other required intake procedures.
12. For Interstate Compact cases that will be leaving the state prior to acceptance. A Unified Case Plan will not be created.
13. Complete, computed assessments will be locked after 90 days. Staff shall use the 90 days to make any edits or corrections to the assessment before it locks. Should an assessment need to be unlocked, the agent shall consult with the supervisor. If deemed necessary, the supervisor shall submit a ticket with the BTM Helpdesk noting the client name, SID number, assessment name, date assessment created and reason for unlocking the assessment. Any corrections must be completed and assessment recalculated within 14 days of the assessment being unlocked. It is the supervisor's responsibility to ensure the assessment has been recalculated to ensure the assessment returns to a locked status. Assessments shall only be unlocked for error corrections. Examples of valid error corrections include inaccurate client information was entered or not all official records were considered at the time of the assessment. Error corrections on complete-computed assessments shall be resolved not more than 6 months from the original date computed. For error corrections beyond the 6-month mark, staff should copy forward or create a new assessment, and make the edits in the new assessment.

*Alternative Screening Tools:* Alternative screening tools can be used to gather further information about an individual. Currently, the tools authorized for use are:

- [University of Rhode Island Change Assessment Scale \(URICA\)](#) – This assessment will provide the screener with information on the individual's "stage of change", or readiness for treatment. The URICA is a point in time assessment. An individual may move to various stages and back depending on their personal circumstances. An agent may reassess using the URICA at any time throughout the course of supervision.

## ECRM > INTAKE > DCC INTAKE > ASSESSMENT PROCESS

- Texas Christian University Criminal Thinking Scales (TCUCTS) – The TCUCTS is designed to measure “criminal thinking” based on six scales which include entitlement, justification, personal irresponsibility, power orientation, cold heartedness, and criminal rationalization. These scales represent concepts with special significance in treatment settings for correctional populations. It was also found to be an effective measure as a pre- and post-test for cognitive behavioral treatment. It has been determined that the COMPAS Criminogenic Needs Scales provide ample information to make Cognitive Intervention Programming referrals.
- Static-99R - The Static-99R was developed as an objective actuarial tool for use in predicting sexual recidivism in adult male sex individuals. The tool has subsequently been updated to reflect the latest research, particularly related to the impact of age on risk. The tool uses commonly available information including criminal history, victim characteristics, and demographics to assist in classifying individuals into risk categories. The Static-99R tool is appropriate for adult male individuals only and can be used in cases of contact and some non-contact offenses. It is not to be used with female individuals or with individuals under the age of 18, and not all criminal sexual behavior perpetrated by adult males can be evaluated using the instrument. Rules for determining when the tool is appropriate to use are provided at official trainings. The tool should not be used by staff who have not been trained. Only staff who have completed the approved training may use the Static 99R to assist in developing supervision strategies and determining treatment needs.
- Adverse Childhood Experience (ACE) - The ACE is now available in COMPAS; however, this tool may not be utilized until there is further direction and training has occurred. The ACE Questionnaire is intended to measure adverse childhood experience, and the association between those experiences and risk behaviors in later life. Questions cover family dysfunction; physical, sexual and emotional abuse and neglect by parents or caregivers; peer violence; witnessing community violence, and exposure to collective violence. ACEs are strongly related to development and prevalence of a wide range of health problems, including substance abuse, throughout the lifespan.
- Impaired Driving Assessment (IDA)- The Impaired Driving Assessment (IDA) screening tool is an offense-specific risk assessment tool that was designed for individuals under community supervision for driving while impaired (DWI) offenses. The IDA will provide guidelines for DCC staff to assess the risk to reoffend, service-level needs, level of responsiveness to supervision and services, and the degree to which the DWI has jeopardized traffic and public safety among individuals arrested and convicted of DWI offenses. Staff trained on the IDA may administer the screening tool to individuals who are placed on Probation for a new operating while intoxicated (OWI) offense during the intake phase along with the COMPAS Assessment.

Other screening(s) available in [COMPAS](#) are:

- UNCOPE - The UNCOPE screening consists of six questions which provide a simple and quick means of identifying risk for abuse and dependence for alcohol and other drugs. It

should be noted that the COMPAS Criminogenic Needs Scales provide ample information to identify substance abuse issues.

The individual will be supervised at manual standards based on [COMPAS](#) score risk level.

The following [COMPAS](#) supervision risk levels equate to DCC supervision levels:

COMPAS RISK LEVEL SCORE	SUPERVISION LEVEL
Low	Minimum
Medium	Medium
High	Maximum

*Assessment Not Completed Due to Individual Refusal or Inability:*

When an individual refuses or is not capable to participate in the assessment due to a mental or physical health condition, the agent should complete the static questions that do not require individual input. The calculation will be incomplete. The agent will create an assessment note detailing why the assessment could not be completed and recommended supervision level. The agent and supervisor will staff the level of supervision recommended and the supervisor will create an assessment note approving the level of supervision. The supervisor or agent will communicate this decision to the status keeper so the assessment task can be removed. A customized case plan should be completed in [COMPAS](#). Refer to the unified case plan section for further direction. When the individual complies or is capable of participating, the agent will complete the original assessment and amend the case plan accordingly.

*Overrides:*

If the agent determines that the risk and corresponding level of supervision established is inaccurate, the level can be raised or lowered by completing the override procedure described below. Any override change in risk classification must be justified in [COMPAS](#) and approved by the supervisor.

The supervision level assigned should be the lowest possible level consistent with protection of the community and treatment of the individual. Ideally, individuals should move to a progressively lower level of supervision with early discharge considered when appropriate.

Overrides increasing the risk and corresponding level of supervision should not be used strictly as punishment for rules violations or as alternatives to revocation. All overrides must be periodically reviewed by the agent and supervisor to ensure the continued need for the override. The agent must justify the continuing need for any override.

Persons showing consistent accountability and positive adjustment may be staffed with the supervisor to be set at the administrative status. Administrative status can also be used for individuals in other circumstances as approved by the supervisor.

Risk levels and corresponding levels of supervision shall not be overridden solely for the collection of financial obligations in the absence of demonstrated failure to comply with the payment plan. All cases on an extension for financial reasons only shall not exceed the medium level of supervision. Risk levels and corresponding levels of supervision should not be overridden to a higher level to monitor individuals in treatment programs where agent or staff liaison to the program is available.

Individuals, other than sex offenders, serving a jail term of more than sixty days shall be set at no higher than medium status until the last thirty days of the confinement. In order to reduce a sex offender to medium who is serving jail time or in a residential facility, a [DOC-2065 Sex Offender Reclassification Checklist](#) must be completed and a copy submitted to the status keeper.

Research validates that it is the quality of the contacts, not the quantity that brings forth behavioral change in the individual. It is important to use more intense interventions for medium to high-risk populations, allowing low risk individuals to receive minimal intervention. The COMPAS-R Core is an actuarial tool, which has been validated on a national population. This means that it predicts the general likelihood that those with a similar history of reoffending are either less likely or more likely to be arrested for a new misdemeanor or felony offense within three years of the COMPAS-R screening date. The COMPAS assessment does not attempt to predict specifically the likelihood that an individual will commit a certain type of offense within the same three year period. For that prediction, an alternative screening tool which is normed specifically for that individual population should be used.

Various overrides can be justified due to individual criminogenic needs or other considerations. Justification for overrides should be based not only on the presence of criminogenic need(s), but also on the additional intervention/action that will be accomplished by the agent in the case plan process in order to address the need. Simply seeing the individual on a more frequent basis without any action or nexus to the case plan is not an acceptable justification for an override to a higher supervision level.

Policy overrides will be reflected in the individual's status. A status is a pre-configured group of tasks that can be assigned to a user. Statuses may or may not have a point value assigned. The appropriate status will be communicated to the status keeper by submitting the DOC-2625 with the correct status listed. One should be careful not to override the individual's identified risk level by COMPAS for the purposes of increasing the individual's level of supervision in order to meet contact standards required by a policy.

#### Override Procedure

Once the [COMPAS](#) assessment is completed, the agent can recommend a different supervision level if it is believed the individual's risk is not accurately captured and an override is appropriate.

An override reason shall be selected from the dropdown box in [COMPAS](#).

The following override reasons are available for selection:

- Need for Increased Skill Building Exercises Tied to Top Criminogenic Need/ Identified Case Plan Goal
- If this override reason is selected, the case plan shall specify the specific skill deficits that will be targeted and the intervention tools and resources that will be utilized
- Stabilization Factors Need to be Addressed (Mental Health, Physical Health, Homeless, etc.)
- If this override reason is selected, the case plan shall specify the stabilization factor/factors that will be addressed and the intervention tools and resources that will be utilized
- Agree with Trailer Tool Recommendation-IDA
- If this override reason is selected, a completed IDA must suggest a higher risk profile than that recommended by the COMPAS assessment.
- Agree with Trailer Tool Recommendation-Static 99R

- If this override reason is selected, a completed Static-99 R must suggest a higher risk profile than that recommended by the COMPAS assessment.
- \*SLR Only\*-Agree with SLR Recommendation
- \*SLR Only\*-Disagree with SLR Recommendation; Additional Intervention Is Not Required

**PLEASE NOTE THAT THESE SLR OPTIONS SHOULD NEVER BE SELECTED WHEN COMPLETING A COMPAS-R CORE ASSESSMENT**

- The override approval will then appear on the supervisor's approval dashboard. The supervisor will approve or deny the recommendation and inform the status keeper in order to enter the status in COMPAS. Once the agent completes the assessment, the assessment task will automatically be removed from the task due list. The DOC-2625 task will remain until the form is submitted to the status keeper via the supervisor.

Testimony Related to COMPAS - As a trained [COMPAS](#) assessor, you may be asked to testify to [COMPAS](#) related questions during various hearings, including but not limited to, Pre-Sentence Investigations, Revocation Hearings, Sentencing After Revocation Hearings, etc.

It is important to remember that, you can only testify about things you have direct knowledge about. DCC staff were trained solely as a [COMPAS](#) assessors. This training did not include question weighting and scoring calculation in terms of how a particular question will affect the overall outcome of the assessment. If you become aware that the Court would like to subpoena someone who can testify to any of the following, please consult with your supervisor:

- The weights of certain questions and how they affect the assessment;
- The preliminary validation process used by Northponte;
- Any information related to the science behind the assessment tool