

Releasing and Auditing COMPAS Information

General Statement

All requests for COMPAS_assessment information should be processed as a Public/Open Records request.

Releasing COMPAS Information

As soon as request is received, contact your supervisor, who will consult with the Open Records custodian in your area.

Request Type	Action Needed
General Information Related to COMPAS	Consult with Regional Open Records Custodian
Legal Motion to Produce Documents	Consult with DCC Legal Counsel
COMPAS Questions/Answers	Consult with Regional Open Records Custodian

The request will be reviewed in accordance with DOC policy, and the response will be completed using the [DOC-1160](#) if completed by the Open Records Custodian or the Office of Legal Counsel if in response to a court order.

Auditing COMPAS Information and Use

General Statement

The COMPAS_risk/needs assessment, case planning and case management system is intended to provide a seamless flow of case information across systems to promote collaborative supervision, treatment, and support for those in the criminal justice system. Access of offender records must only occur when there is a valid business reason. If an employee is alleged to have accessed a record without a business need to

ECRM > SUPERVISION > DCC SUPERVISION > RECORDS MANAGEMENT > RELEASING AND AUDITING
COMPAS INFORMATION

know the information, the allegation will be forwarded to the supervisor of the COMPAS user for further action.

Compliance Audits

The Department of Corrections must provide administrative oversight of user access to ensure compliance with policies, procedures, and confidentiality laws. An audit mechanism has been developed utilizing a two tier system as indicated below:

Random User Audits

A centralized resource will conduct audits of randomly chosen user accounts, monitoring for criteria that may suggest improper use. At least five of the user accounts audited monthly must be external users (county partners).

A user's history of accessed records will be viewed, looking at any of the following criteria:

- Accessed the same person record outside of user's location or agency more than six times in a month.
- Accessed person record with same last name as user.
- Accessed any high profile offender.

In order to verify any of the above criteria, the auditor will have to access the individual person records. If there is suspicion of improper use, specific case examples will be sent to the user's immediate supervisor for further review and/or fact finding.

High Profile Person Records Review

A centralized resource will conduct reviews of all identified high profile person records in the COMPAS_system, monitoring for users who accessed the person record without a valid business reason. Examples of high profile offenders include, but are not limited to:

- Cases that involve significantly egregious acts which garner considerable media attention.
- Suicides
- Cases involving abuse of a special relationship (i.e. misconduct by clergy, doctors, recruiters, teachers, criminal justice staff, or anyone with a special obligation to provide services in a protected setting where there is an unequal status.

ECRM > SUPERVISION > DCC SUPERVISION > RECORDS MANAGEMENT > RELEASING AND AUDITING
COMPAS INFORMATION

- Cases that involve racist, extremist, or related motives, often referred to generically as “hate crimes”.
- Cases of misconduct that involve high-ranking officials, officers, or non-commissioned officers.
- Cases that become high profile because of the way the criminal justice system may have handled a routine case.