

XX County COMPAS Assessment & Administration

Policy & Procedure Manual

XX County Criminal Justice Coordinator

Month, 2013

DRAFT

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## COMPAS - Theory and Rationale

The COMPAS is an actuarial assessment tool which has been validated on a national norming population. This means that it predicts the general likelihood that those with a similar history of offending are either less likely or more likely to commit another crime generally within the two year period following release from custody. The COMPAS assessment does not, however, attempt to predict specifically the likelihood that an client will commit a certain type of offense within the same two year period. For that prediction, an alternative screening which is normed specifically for that client population (i.e. use of screeners such as the STATIC-99, VASOR, etc. for sex clients) should be used. In addition to identifying general levels of risk to re-offend, COMPAS also identifies criminogenic needs specific to that client which are most likely to affect future criminal behavior.

For purposes of Evidence Based Sentencing, actuarial assessment tools are especially relevant to:

1. Identify clients who should be targeted for interventions.
2. Identify dynamic risk factors to target with conditions of supervision.
3. It is important to remember that risk scores are not intended to determine the severity of the sentence or whether an client is incarcerated.

### What COMPAS IS

- A predictive tool, designed to help the Court better assess the level of services needed when the defendant rejoins the community (as 95% will at some point).
- A diagnostic tool, to help the Court better target and focus the treatment needs of the defendant when crafting the conditions to be included in the Judgment of Conviction.

### What COMPAS is NOT

- A level-of-punishment decision tool to support prison or jail in/out decisions, or length of custody decisions.
- A perfect predictor of the future behavior of clients.

### Scope

- The XX County COMPAS Assessment and Administration Policy and Procedures applies to all of those who are trained to utilize the COMPAS Assessment, those who will be referring for use of the COMPAS assessment reports on the specific clients the assessment was administered to, and those who are reading the report generated from the COMPAS assessment.

## COMPAS - Potential Decision Points

### Pre-Sentencing/Sentencing

XX County's TAD, Treatment/Specialty Courts and jail programs will be significantly impacted by COMPAS assessments.

The COMPAS will be used at pre-sentencing for plea negotiations and pre-trial programming level.

Each component of our sentencing program has been constructed based upon one or more of the following seven governing principles:

1. Assessment tools should be utilized to identify risk to re-offend, criminogenic needs and appropriate programming;
2. Intense programming is reserved for medium and high-risk clients;
3. Programming for medium and high-risk clients is focused on individual criminogenic needs;
4. Responses to misconduct should be swift, certain and proportionate;
5. Positive reinforcements are more effective than sanctions and should outnumber them;
6. Programming delivered in natural settings is more effective than programming in institutional settings, and;
7. Sanctions without programming do not reduce recidivism.

### Jail Programming

Referrals or court orders for Jail programming will be based sole upon needs identified through the COMPAS. Programming offered in the jail will be in part based on Jail programming All programs will adhere to Evidence Based Programming guidelines.

### Community Referrals

All persons referred by the courts, Jail, or probation will be assessed using the COMPAS and provided the appropriate programming as needed.

### Probation Sentencing Process

Low risk individuals

- Low-risk individuals generally not placed on probation.
  - Low-risk individuals tend to self-correct.
  - Probation may be counterproductive in that it may interfere with positive influences in low-risk individual's life or negatively impact that individual through exposure to medium or high-risk individuals.
- Determination of low-risk status initially made by LSI-R and then by COMPAS if necessary.
- Public interest exceptions may warrant probation supervision of low-risk individuals.
  - e.g., some sexual assault cases.
  - e.g., some theft cases with very large amounts of restitution.

Plea negotiations

- COMPAS must be sought before probation recommended or imposed
- COMPAS obtained as early in plea negotiation process as possible.
- COMPAS obtained through referral to Jail Assessment Coordinator.
- COMPAS automatically distributed to all parties and court.
- COMPAS sealed in court file.

- Defendants declining to participate in COMPAS process sentenced as in pre evidence based system.

#### Interpretation of COMPAS

- Probation recommended or imposed only if COMPAS confirms presence of one or more of the eight criminogenic needs at level warranting probation supervision.
- Eight recognized criminogenic needs.
- Review COMPAS resource manual for guidance as to what “probation COMPAS” looks like.

#### Treatment Programs

- Once criminogenic needs identified, there must be consideration of whether programming available to address needs.
- Review DOC Preferred Response Guidelines for information on available programs.
- Recommendation for imposition of probation should be accompanied by statement of available program to address identified criminogenic needs.
- Public interest/safety may warrant probation supervision even absent identified criminogenic need or available treatment program.

#### Conditions of probation

- Establishment of treatment/program conditions left to DOC.
  - DOC in best position to assess availability of programming.
  - DOC in best position to prioritize treatment of multiple criminogenic needs.
- Parties may recommend and courts impose non-treatment/program conditions such as no contact conditions.
- Judges should apprise defendants of likely probation conditions through motivational interviewing technique.

#### General points

- Given limited probation supervision and programming resources, some limit on probation cases will be necessary.
  - Cases involving relatively minor criminal conduct.
  - Cases involving defendants not likely to benefit from probation supervision.
- Probation generally not imposed solely or primarily to collect restitution.

#### Length of probation

- Length of probation determined by same factors considered as to imposing probation.
- As an incentive for positive performance, probationers should be apprised of possibility of early release upon successful completion of programming and other conditions.

### **Jail as a Condition of Probation**

#### Minimal jail amounts

- Jail imposed as condition of probation should be as minimal as can be, consistent with public interest considerations.
  - Purpose of probation is community protection through treatment, not punishment;
  - Need for jail as consequence minimized by fact probation itself is consequence;

- Need for jail minimized by fact that if defendant does not succeed on probation, he will face sentence after revocation.
- Factors to consider.
  - Seriousness of criminal conduct at issue and defendant's history;
  - Will jail deter future criminal conduct by defendant?
  - Will jail provide any meaningful general deterrence?
  - Will victim or community be as satisfied with temporary punishment as from knowing maximum effort undertaken to change wrong-behavior?

#### Rationale for jail

- Any recommendation for or imposition of jail term should be accompanied by specific explanation as to why jail required or is as minimal as reasonable.

#### Staggered jail terms

- Any jail imposed as condition of probation should be imposed in staggered fashion (i.e. defendant allowed early release based upon compliance with rules/programming).
- Early release rewards past positive behavior and provides incentive for future positive behavior.

#### **Straight Jail Sentences**

##### *Sanctions without programming – do not reduce recidivism*

- Straight jail sentences largely are a sanction without programming.
- Since sanction of straight jail sentence without programming is not likely to reduce recidivism, parties and court must specifically explain desired purpose of sentence and why sentence advances that purpose.

#### Sentences after revocation

- Beginning point is recognition that probationary term was itself a consequence.
- Sentence after revocation should be based upon need/benefit of further consequence.

#### Staggered Sentences

- Whenever possible, straight jail sentences should be imposed in a staggered fashion to allow for a reduction based upon successful completion of jail or community programming.
- DOC Revocation Summaries will contain recommendations for staggered sentences when warranted.
- Reduction for programming should only occur if programming addresses COMPAS-identified criminogenic need.

#### **Prison Sentences**

##### *Research-based sentencing information*

- Any argument for prison sentence must be accompanied by attempt to have COMPAS completed.
- Prior to imposing any prison sentence, court should order PSI or seek COMPAS.

#### Rationale for prison sentences

- Any prison recommendation or sentence must be accompanied by a specific statement of the purpose or rationale for a prison sentence and the length of the recommended sentence.

**Pre Plea**

- Referral to XX Diversion Program completion of UA's and/or BA's as determined by the XX Diversion Program.
- Referral to XX Diversion Program for random check in – confirmation the defendant remains in the community.

For the above the court orders the defendant to contact XX Diversion Program by a date certain. The above conditions are included in the bond prepared by the Clerk of Court.

The Clerk of Court will be provided with information from the XX Diversion Program to give to defendants about how to contact the XX Diversion Program officer and about XX Diversion Program.

*If a violation of XX Diversion Program occurs the District Attorney's office to take whatever action the District Attorney deems appropriate.*

- Referral for completion of a COMPAS evaluation of a defendant by the XX Diversion Program may be made by defense counsel, or by a defendant, pro se. That evaluation may be used by the defendant at the defendant's discretion to assist in pleas negotiations with the state and/or in making sentencing recommendations to the court.
- DEJ Process:  
COORDINATOR will refer individuals being considered for a DEJ for a COMPAS evaluation. If a defendant screens as medium or high risk XX Diversion Programming will be considered for inclusion in the DEJ.

*Violations of XX Diversion Program requirements will be reported to XX Diversion Program officer for possible referral to the District Attorney for initiation of proceedings to revoke a DEJ as deemed appropriate.*

**STRAIGHT SENTENCE**

- Straight Sentence:  
The courts may impose a sentence and approve an early release of a defendant to electronic monitoring by the sheriff if a defendant is successfully engaging in criminal justice programming.

*Violations of requirements will be reported to the sheriff who may decide to revoke the defendant from electronic monitoring.*

- Treatment Courts:  
Referrals from Adult Drug court will be based on a full programming referral

*Violations of XX Diversion Program requirements will be reported to the case manager for sanctions as deemed appropriate.*

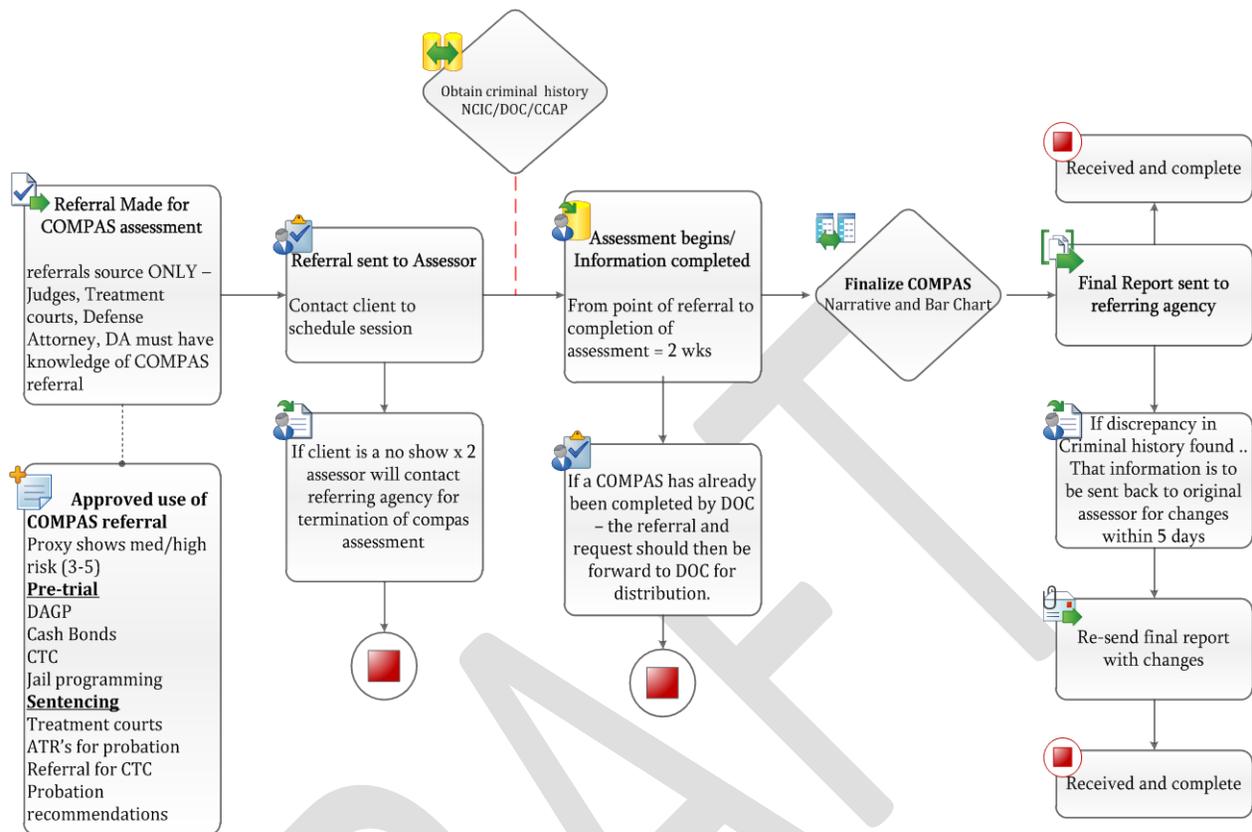
As a condition of bond

- UA's and BA's.
- Daily "check-ins" to ensure a person is still in the community.

Judgment of conviction process:

- Judge makes reporting to TAD a condition of bond. Judge tells defendant of a date certain he/she must report to the TAD.
- Judge makes clear on the record the purpose of the referral to TAD. Is it for random UA's and BA's or is it just to make sure defendant is still in the community?
- Clerk of Court notes TAD report requirement, and its purpose, on the signature bond. Clerk will give defendant a TAD business card with TAD's address and contact information on it.
- Clerk of Court provides a copy of the bond to TAD. Thus, TAD knows enough to expect defendant to report by a certain date. TAD also knows if the reporting purpose is for UA's and BA's or just to make sure defendant is still in the community.
- TAD requires random reporting based upon TAD's usual protocols. Reporting might be daily, weekly, monthly, depending on the circumstances. This is TAD's judgment call based upon the risk involved.
- If defendant fails to comply with TAD's requirements, and thus is arguably in violation of the bond conditions, TAD notifies administrative assistant in DA's office. It's then up to the DA's office to take whatever appropriate action it deems necessary; bench warrant, separate hearing, etc. etc.

### COMPAS – Referral Process



- Referral Made by Defense Attorney, District Attorney, Judge, treatment court coordinator, or Jail Program Coordinator.
- Within two weeks of receiving the referral , the Assessor will administer the identified assessment/s and disseminate the results to all parties identified on the referral form.
- Upon receiving a referral, the assessor will check the COMPAS database to see if they already have a COMPAS assessment done in the last 2 years by searching with the SID# under ALL AGENCIES. If there is no SID#, then search COMPAS for DOB and name.
- If they already have a COMPAS assessment that was done in the last two years, then a new assessment will not be administered unless there has been a significant change in criminal history or life circumstance. If the assessor was the past screener for that person, then he or she will contact that person to get a new release of information, and then will forward the results to the referring individual(s).
- Portal 100 will need to be accessed in order to complete the assessment.
- It should be noted that at the time of setting up an initial assessment within an “client life cycle” term, 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). This should only be done once in a continuous life cycle of an client. Once that is completed, user is to choose the drop down of utilizing this existing Case# throughout that same continuous life cycle of the client, until they fully leave the system (probation completed or revoked). If they return to the system at a later time (on a new charge), than a new “client life cycle” begins, and a different Case# should be generated (the second one will then be SID# - 2).

- If the assessor was not the screener for that person, then he or she will instruct the referring individual(s) to contact the other assessor to obtain a copy of the results.
- Court Record - The report generated by the COMPAS assessment, which consists of the bar chart and assessment narrative, and the signed waiver of confidentiality will be placed in the court file. The COMPAS assessment and any documentation used to create the COMPAS assessment, should not be placed in the court file.
- The Waiver of Confidentiality Form/Authorization to Disclose Confidential Information was adapted from Supreme Court of Wisconsin, Wisconsin Treatment Courts: Best Practices for Record-keeping, Confidentiality and Ex-Parte Information. The client is waiving confidentiality for the evaluator to obtain confidential medical, substance abuse, juvenile criminal history, and/or mental health diagnostic information and/or documentation. That information will then be used by the evaluator to complete the COMPAS assessment, create a COMPAS report, which includes a bar chart and assessment narrative, from that assessment, and then share that COMPAS report with the judge, district attorney, and defense attorney. The supporting documentation obtained during the completion of the COMPAS assessment will be kept confidential by the evaluator; it will not be shared with the judge or kept in the court file. The assessor will explain the waiver to the client and the client shall sign the waiver. If the waiver is not signed the assessor will not administer the COMPAS assessment. Please note that per the DOC/County MOU and the COMPAS User Agreement, should any COMPAS information be requested that was not created by the **XX County** assessor, the requestor must be directed to Regional DOC staff for disclosure of that information.
- If the creator of the COMPAS was another County, the current county will email the supervisor of the creator notifying them of the request for a COMPAS and you will be forwarding the COMPAS in the system to the referral source.

SUPERVISOR contact list / per county

	County	Contact	Email	Phone
1				

- Additional COMPAS Referral Considerations
  - Treatment Courts: COMPAS will be administered prior to acceptance into a treatment court. The results from the COMPAS would be provided to the treatment court

coordinator and the coordinator would be responsible to disseminate them to the treatment teams as the coordinator and the team deem appropriate.

- DAGP Felonies (with or without probation): If a District Attorney offers a deferred entry of judgment agreement and a defendant is willing to enter into that agreement,, the defendant must complete a COMPAS, prior to plea. If the DEJ is offered by the DA, it cannot be revoked based upon the results of the COMPAS. The COMPAS will assess the needs for the purpose of programming/treatment on the deferred agreement.
- Non-PSI Felonies and PSI-COMPAS: This would be court-ordered referral. If the defendant agrees to undergo the assessment, it will be shared with the DA and defense counsel. If the defendant refuses to undergo the COMPAS, the Court may consider that in fashioning a sentence. Copies would be provided to the Court and the Court would disseminate them to counsel and/or the defendant.
- ATRs for Probation: The Department of Corrections will complete a COMPAS and copies will be provided to the DA, defendant/defense counsel and the Court by the Department of Corrections.
- Defendant-Requested COMPAS Evaluations: These will be requested by the defendant who has a felony or misdemeanor and/or requested by their attorney. The information will not be shared with anyone unless the defendant agrees. These will be completed as long as there is sufficient time and resources available to have these completed without cost. The COMPAS provider will have to agree to keep the fact that the COMPAS was completed and its results confidential.

## COMPAS – Applied Functionality

### COMPAS Assessment Options

- Pre-Trial Risk – Assessor completes Pre-Trial assessment as needed to inform bond decisions.
- Wisconsin Primary Needs - Assessor completes Wisconsin Primary Needs to determine initial risk. In this assessment there will be an option to use Incarcerated or Community Language. This choice does not change the outcome, only the way the questions are worded. The assessor chooses based on where the client is at the time of the assessment.
- COMPAS Core - If the COMPAS Wisconsin Primary Needs scores out to be “MEDIUM” or above in the recommended supervision level derived from both risk scores of the COMPAS, the COMPAS Core will be completed by copying forward the Primary Needs into the CORE assessment. In this assessment there will be an option to use Incarcerated or Community Language. This choice does not change the outcome, only the way the questions are worded. The assessor chooses based on where the client is at the time of the assessment.
- COMPAS Reentry & Youth Detention Screener – Should NOT be used.
- Alternative Screenings – These would be chosen or not based on the needs of the county.

### Unified Case Plan

- Based on the COMPAS and Alternative Screening results, a Unified Case Plan (UCP) is developed interactively with the client. The UCP is to be based solely on the criminogenic factors as identified by the assessment. Customized Needs may need to be entered by agent for specialized needs that are not identified by COMPAS (i.e. Sex Client issues or Mental Health issues). See Case Planning tab in the COMPAS training manual.
- The case planning process is intended to be fully interactive and transparent with the client. Once completed, the case plan is to be printed (use person version), reviewed with the client, and then signed by the client and Agent. Client must be provided a copy and told to bring it with him/her to every visit with the Agent. The Case Plan is then reviewed at every visit with the client. This emphasizes their ownership of the plan. A signed, hard copy of the manager version of the case plan should be placed in the client's file. As the case plan is updated (when there is a change or addition to a goal or task), this process should be repeated

NOTE: treatment courts and those clients referred to **XX Diversion Programs** should be working off the same case plane that is developed by the DOC.

- **Naming of Case Plan: COMPAS will allow agents to choose from a drop down menu, the assessment they are basing the Case Plan on. This drop down selection automatically becomes the name of the Case Plan and can be seen on the Person Summary screen.**
- During the UCP development with client, no more than 3 Needs, with respective Goals, Tasks and Activities will be identified at one time. Please use the drop down options unless working under a customized need track for Sex Client issues or Mental Health issues. The Customized Needs track should only be utilized if COMPAS does not identify a specific need such as Sex Client issues or Mental Health issues. (Refer to Handout on Customization under the Case Planning Tab in the COMPAS training manual) Under the Tasks tab, the agent must choose applicable tasks that relate to the chosen goal. In addition to choosing the task, the agent must also document all start/end dates, completion information as applicable. Incentives, sanctions, triggers, etc. are optional. It is important to note that task notes can be entered from the Tasks tab and will populate in the main notes section back on the person summary page. These notes are not mandatory, however can be used as needed.

### Overrides

- If an override is required by policy, simply fill out the override request section in COMPAS and click on the policy under reason for override request. Notify supervisor to complete override approval.
- Once the COMPAS assessment is completed, the assessor can recommend a different supervision level if it is believed an override is appropriate. An override reason shall be selected from the dropdown box in COMPAS and the assessor should also provide a narrative in the Comments box (please see previous examples).

Note: The “medium high” recommended supervision level suggests that the client is high in either general recidivism or violent recidivism, but is low or medium on the other. Should the client score at this level, the assessor should critically assess the appropriateness of an *override*.

### Supervision Review Tool

- The COMPAS Supervision Review Tool (which is located in the Alternative Screenings section of the COMPAS) may occur on every case at 6 month intervals or at significant case activity change; either positive or negative (i.e.: major violations, revocation actions, completion of major UCP objective, etc).
- If a person is on Probation supervision this Supervision Review will be conducted as part of the DOC protocol and should be shared with the CTC or Treatment Court case manager.

### Notes

- Once an client is in the COMPAS track, recording of pertinent case activity will take place in the COMPAS Notes. There are four types of notes that will be utilized:
  - **General Notes**-- Entries under this type of note will be related to any general documentation of case activity that is NOT directly related to the assessment or case plan. Examples might be: To document type/location of contact (Home Visit, Office Visit, Collateral Contact, Jail Visit, etc.); Violations and related follow; Change of address, Financial payments, Employment changes, community service hours, compliance with rules of supervision, pertinent general information, etc. If the activity is being addressed as part of the Case Plan, it **should not** be documented in General Notes. These notes should be brief and include relevant case activity.
    - Date activity actually occurred (if different from entry date) must be entered with the note because the COMPAS software will only register the date entered.
    - Do not cut and paste entries from WORD to COMPAS. Make entries directly in COMPAS.
    - There is a spell check function in COMPAS. It will underline in red if incorrectly spelled. Right click on the word and COMPAS will list spelling options.
  - **Assessment Notes** – Entries under this type will include anything related specifically to the assessment only. For example, the user might want to note that the client appeared untruthful, apathetic, etc. during the assessment process or if the Agent felt they were mentally unstable at the time of the assessment. One could also point out inconsistencies as well under this type. This will be beneficial for others who are involved with this case.

Examples of pertinent Assessment Notes:

- Client did not appear to be providing accurate or truthful information during the assessment.
- Client did not appear to be mentally stable during the assessment.
- Client appeared to be very truthful and forthcoming during the assessment.
- Client appeared to have a hard time understanding many of the questions and Agent is not sure if he fully comprehended.

- Date activity actually occurred (if different from entry date) must be entered with the note because the COMPAS software will only register the date entered.
- **Case Plan Notes** – Entries under this type will include ongoing updates related to progress (or lack thereof), completion, or modification to the unified case plan, but will NOT include information provided directly by program providers. The Case Plan Notes section is utilized during every meeting with the client in order to document the ongoing, collaborative case planning process. In addition, this section may include the name of a service provider if they were not included in the list in the case plan.

Examples of pertinent Case Plan Notes:

- Discussed Case Plan with client. She followed up with scheduling an assessment with Dr. Smith and has an appointment on 4/8/11 at 9:00. Discussed triggers for usage of drugs with client and strategies for avoiding these triggers.
  - Discussed client's progress with Mental Health goal established at last meeting. Client was to set up appointment with Dr. Smith and comply with any prescribed medications. Client reports that she did meet with Dr. Smith on 4/3/11 and that he prescribed Paxil for her to try. She is currently taking as prescribed, but does not yet report feeling any change. Agent discussed new goal with client. He will be setting up and following through with additional appointments with Dr. Smith to monitor medication and mental health.
  - Discussed Sex Client treatment goal and progress with client. Client reports that he is attending sex client treatment as identified in his goal. Agent discussed what is being covered in group and asked for additional feedback from client on current triggers and interventions to deviant thoughts. Discussed identification of potential chaperones and added this as a goal for next appt.
  - Date activity actually occurred (if different from entry date) must be entered with the note because the COMPAS software will only register the date entered.
- **Program Notes** – Entries under this type will include information provided directly from program providers by phone, mail, email, in person, etc.

Examples of pertinent Program Notes:

- Assessor received call from Todd Smith, client's Sex Client Therapist. Client came to group last night, but was disruptive.
- Assessor received email from Dr. Smith, client's AODA counselor. Reports that client reported as scheduled for AODA assessment. Recommendation is for outpatient treatment. Client appeared willing and ready to address AODA issues at this time. Next outpatient treatment group starts on 6/1/11.
- Assessor received fax from the client's after care group facilitator. She attended group last night and did participate appropriately.
- Date activity actually occurred (if different from entry date) must be entered with the note because the COMPAS software will only register the date entered.

**Alternative Screenings**

Northpointe routinely builds non-proprietary alternative screenings into the COMPAS suite. As COMPAS is designed to predict general and violent risk, alternative screenings, sometimes referred to as secondary or narrow-brand screenings, are intended to provide additional information for specific types of criminality/offending. Listed below are the authorized alternative screenings that can be used by county users. Please note assessor must comply with the minimum level of training listed for each screening.

Alternative Screenings	Training
Case Supervision Review	Offered through DOC in COMPAS 2-day training.
Static- 99R	Training is required in-person from a trainer who is approved by the author. There is a list of approved trainers on their website. <a href="http://www.static99.org/">http://www.static99.org/</a> Once trained, provide verification to DOC.
TCU Criminal Thinking	There is no required training.
URICA	General orientation from DOC/NP.
UNCOPE	There is no required training.
JSOAP - II	Training is required in-person from one of the two authors of the instrument (Dr. Prentky or Dr. Righthand) or a trainer they have approved. Once trained, provide verification to DOC.
PREA Profile Checklist	General orientation from DOC/NP
DVSI - R	Training is required in-person and can be obtained by contacting the author Dr. Kirk Williams. Once trained, provide verification to DOC, and we will turn on the assessment.
Correctional Mental Health Screen (CMHS-M & CMHS-W)	There is no required training.
TCU Drug Screen II	There is no required training.

	Screenings in Production
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**Case Openings**

When the county begins work with a new client in COMPAS the county will either create a new client if he/she is not already in COMPAS or create a new case if the client already exists. In the event the client already exists but does not have an open case, the user should create a new case, letting COMPAS auto-populate the case number. The case number will be the client’s SID-1, -2, etc., for every consecutive case.

Example: John Smith; SID# 123456; First case # 123456-1; Second case # 123456-2

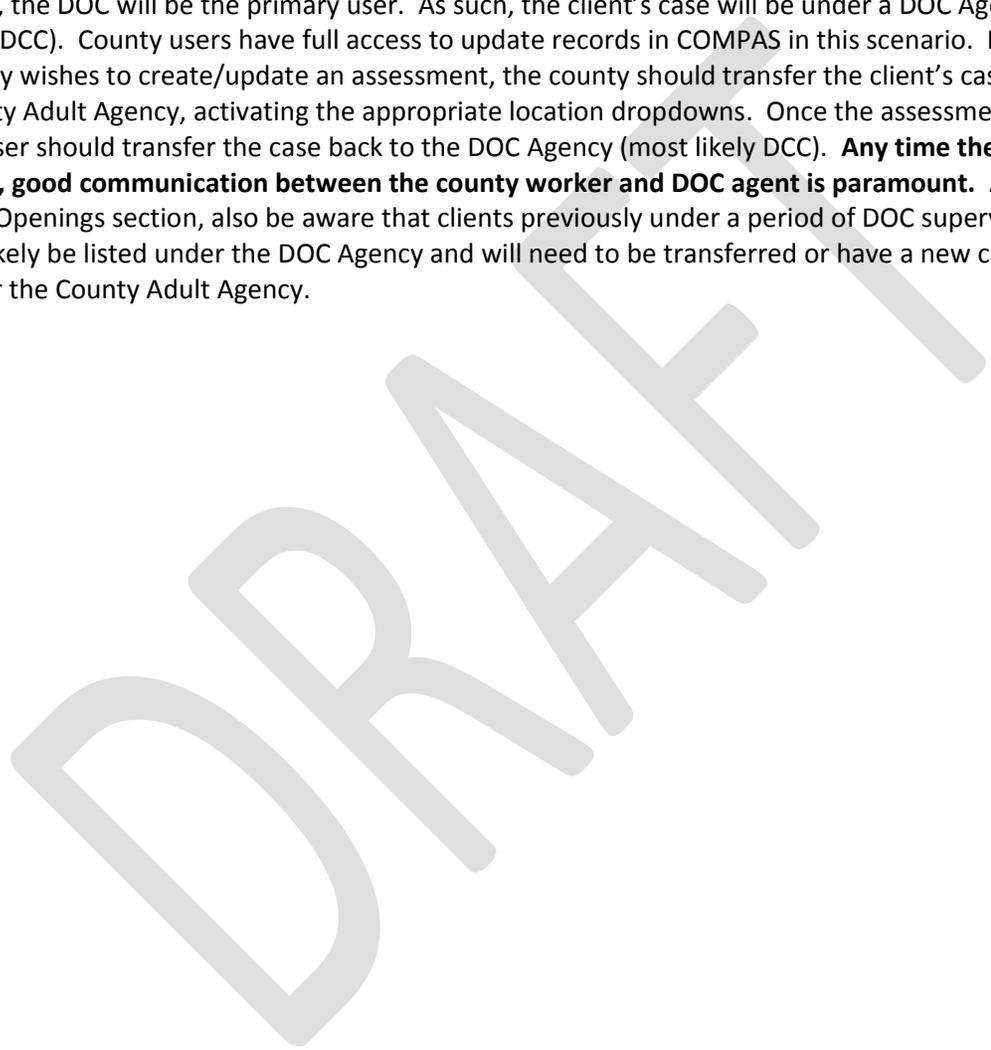
**Case Closings**

When a client’s lifecycle (case) is complete and the client is no longer under supervision/custody of the county, one of two actions must be taken:

- If the client does not continue to be on active supervision with DOC, the user should terminate the client's lifecycle (case) in COMPAS.
- If the client continues to be on active supervision with DOC, no action should be taken in COMPAS. However, the user should inform the agent of record that the county is closing interest.

### Transfers

During periods of "dual supervision" when both the DOC and the county have an active interest in the client, the DOC will be the primary user. As such, the client's case will be under a DOC Agency (most likely DCC). County users have full access to update records in COMPAS in this scenario. However, if the county wishes to create/update an assessment, the county should transfer the client's case to the County Adult Agency, activating the appropriate location dropdowns. Once the assessment is complete, the user should transfer the case back to the DOC Agency (most likely DCC). **Any time these transfers occur, good communication between the county worker and DOC agent is paramount.** As noted in the Case Openings section, also be aware that clients previously under a period of DOC supervision/ custody will likely be listed under the DOC Agency and will need to be transferred or have a new case created under the County Adult Agency.



**APPENDIX A****WELCOME TO THE COMPAS**

You have been referred to complete a COMPAS risk and needs evaluation

In order to expedite your court case we ask that you contact the COMPAS assessor **within 3 days** of this referral at **Phone Number**. If you do not have a phone you may stop at the Criminal Justice Office on the third floor of the courthouse.

*Delays in this assessment WILL result in delays in your case. We want to make this process as seamless as possible.*

The assessment tool that we will be using is called COMPAS. It is a computer based program that asks questions which will help us identify your specific needs. A summary from the COMPAS will be used by the prosecution, defense and Judge to recommend the most appropriate sentence based on the risk and needs factors identified in your COMPAS.

It is important that we figure out the things in your life that may have caused you problems in the first place that lead to criminal behaviors. By learning about yourself in these ways, we will be able to work together to identify a plan that may aid in preventing those same problems in the future.

We hope you take full advantage of this important time and look forward to working with you and helping you to achieve your goals.

**What do I need to do**

1. Call the number listed above and schedule an appointment as soon as possible
2. Arrive on time to your scheduled appointment
3. Based on your cooperation the session should take 1 hour
4. Do not bring children
5. You will only be allowed one (1) rescheduling (if you call in advance)

Thank you!

**APPENDIX B**

COMPAS REFERRAL form

REFERRING PERSON/AGENCY:

Contact Name:

Agency:

Street Address:

Phone Number: ( ) - e-mail address:

Date: / /

If this is a Joint Referral, list all persons that should receive the COMPAS results:

- DA Name: Street Address: Date: / /
- Public Def. Name: Street Address: Date: / /
- Private Att. Name: Street Address: Date: / /
- DOC Name: Street Address: Date: / /
- CTC Staff Name: Street Address: Date: / /
- Name: Street Address: Date: / /

CLIENT INFORMATION:

Client Name: Client DOB: / /

Phone Number: ( ) - SID #:

Location  Cty Jail  Own Residence  Other:

Pending Case #:

REASON FOR EVALUATION:

- Treatment Court Referred  ATR  Non PSI Felony  Joint Agreement
- Other:

TYPE OF EVALUATION:

- Core Compas  NIJ Mental Health  URICA (motivation scale)  TCU AODA
- Static 99  TCU Criminal Thinking  UNCOPE

Send the completed referral to:

Completed COMPAS will be returned to referring agency for dissemination within 2 weeks unless noted otherwise

**APPENDIX C**

**XX County - COMPAS**  
Authorization for Release of Information

Client/Participant:

1. \_\_\_\_\_  
 Name (Last, First, Middle Initial)                      Date of Birth  
 \_\_\_\_\_  
 Street Address    Social Security Number  
 \_\_\_\_\_  
 City                                      State                      Zip                      Former or Maiden Name  
 \_\_\_\_\_  
 DOC Number

2. Authorize Records Released to/from:                      Authorize Records Released from/to:  
 \_\_\_\_\_  
 Name    Name  
 \_\_\_\_\_  
 Street Address    Street Address  
 \_\_\_\_\_  
 City                                      State                      Zip                      City                                      State                      Zip

I authorize the individual/agency/organization(s) named above to disclose to each other the COMPAS assessment and report.

3. Type or extent of information to be released: (Check all applicable categories)
- |  |  |
|--|--|
| <input type="checkbox"/> Medical history, examination, reports | <input type="checkbox"/> AODA Screening          |
| <input type="checkbox"/> Treatment or tests                    | <input type="checkbox"/> Mental Health Screening |
| <input type="checkbox"/> ADHD Evaluation                       | <input type="checkbox"/> URICA Screening         |
| <input type="checkbox"/> Verbal exchange of information        | <input type="checkbox"/> Other                   |
| <input type="checkbox"/> <b>XX County</b> Core COMPAS          |  |

4. Purpose or need for release: To facilitate education and treatment options to the Court including AODA and/or mental health assessment, orientation, planning, treatment, evaluation and implementation.

5. This authorization will remain in effect until: \_\_\_\_\_

6. This authorization will be effective for medical records generated to the date of signature, and the release of case notes after the date of signature until the expiration date or the release is revoked by me.

7. I further understand that I have the right to refuse to sign this authorization and the **XX County** Court will not condition my treatment on whether I give authorization for the requested disclosure. However, it has been explained to me that failure to sign this authorization or future authorizations requested may have the consequence of making me ineligible to participate in the program, or suspension or termination from certain programs.

8. Unless you have specifically requested in writing that the disclosure be made in a certain format, we reserve the right to disclose information as permitted by this authorization in any manner that we deem to be appropriate and consistent with applicable law, including, but not limited to, verbally, in paper format or electronically. I hereby waive all provisions of law which prohibit the release of the information identified above and hereby release the person or entity I have authorized to release information or its recipient from any legal responsibility or liability which may arise from the acts I have authorized.

