

 <b>Corrections and Community Supervision</b>  <b>DIRECTIVE</b>	TITLE <b>COMPAS Case Supervision Review</b>		NO. 9030
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SUPERSEDES DIR # 9030 Dtd. 02/12/18	DISTRIBUTION A B	PAGES PAGE 1 OF 7	DATE LAST REVISED
REFERENCES (Include but are not limited to) ACA Expected Practices 4-APPFS-2A-02, 4-APPFS-2A-11; Directive #8500, #9025, #9210, #9301, #9432, #9504;	APPROVING AUTHORITY 		

- I. **PURPOSE:** To provide Department of Corrections and Community Supervision (DOCCS) staff with operating procedures for the application of the Correctional Offender Management Profiling for Alternative Sanctions (COMPAS) Case Supervision Review (CSR) instrument for parolees.
- II. **POLICY:** Parole Officers assigned to the various field offices will complete the COMPAS CSR for all eligible parolees who have had 12 months of unrevoked supervision in the community and every 12 months of unrevoked supervision thereafter. All eligible parolees will have the review instrument completed and entered into the Integrated Justice Portal (E-Justice). Community Supervision staff will also document all of their efforts in the Case Management System (CMS). Community Supervision staff will additionally utilize the CSR instrument when considering COMPAS Supervision Level overrides.
- III. **DEFINITIONS:** As used in or in connection with this directive, the following terms are defined as indicated below:
  - A. **CSR:** A 23-question instrument located on the E-Justice Portal which is used to assist staff in deciding whether to raise, lower, or maintain a parolee's current COMPAS Supervision Level. The CSR is utilized on eligible parolees who have completed 12 months of unrevoked supervision, or after six months of unrevoked supervision when an override of a parolee's Supervision Level was approved by an Assistant Regional Director during the Community Preparation phase up to the first four weeks of supervision, or at any time after 12 months of supervision when field staff wish to override the COMPAS Supervision Level.
  - B. **Re-Entry COMPAS:** A research based clinical assessment instrument which is used to assist staff in assessing a parolee's risk and needs, in order to most effectively supervise the parolee. The instrument compiles criminogenic need scales inclusive of risk of felony violence, arrest risk, risk of absconding, criminal involvement, history of violence, prison misconduct, re-entry substance abuse, negative social cognitions, low self-efficacy/optimism, low family support, re-entry financial, and re-entry employment expectations. It also summarizes the parolee's criminogenic profile and delineates their strengths and weaknesses to be used together with professional judgment to reach supervision classification decisions and guide supervision activities.
  - C. **Supervision Status Level:** COMPAS Supervision Status Level is the outcome of the assessment tool which assists in determining the intensity of supervision and management of the criminogenic and stabilization needs.

There are four COMPAS Supervision Status Levels: Status 1 - Highest Risk; Status 2 - High Risk; Status 3 - Moderate Risk; Status 4 - Low Risk. All UBER, Global Positioning System (GPS), Mental Health, Sex Offender, and Strict and Intensive Supervision and treatment (SIST) cases are to be supervised as per their required standards.

- D. Override: The override process is intended to assist with placement of parolees in COMPAS Supervision Levels and allow for adjustments to the assessment instrument's recommended supervision status. The Parole Officer (PO) must seek approval from the Senior Parole Officer (SPO) and the final decision will be made by the Bureau Chief (BC). Any changes in a parolee's COMPAS Supervision Status Level, based on the CSR, must be accompanied by a rationale with the recommended level. Overrides can increase or decrease the level of supervision.
- E. E-Justice Portal: The Integrated Justice Portal provides a highly secure, single point of entry for authorized users to access a variety of NYS criminal justice data systems, including COMPAS, New York Statewide Police Information Network (NYSPIN), the Pre-Sentence Investigation Repository, and numerous other public safety related applications.

#### IV. PROCEDURE FOR COMPAS CASE SUPERVISION REVIEW

##### A. Parole Officer (PO)

1. The 23-question COMPAS CSR will be completed for eligible parolees who have reached 12 months of unrevoked supervision, and every 12 months of unrevoked supervision thereafter. A CSR will not be completed on registered or discretionary sex offenders, parolees designated as SMI-V (Severe Mental Illness with propensity for Violence) who are supervised as MHI 15:1 case, or parolees in Non-Report status.
2. On the 1<sup>st</sup> of each month, a Case Supervision Review Due (CSR DUE) Report from On-Line Printing will be generated and distributed to all POs listing those cases they supervise requiring a CSR to be completed. The PO will ensure that all CSRs listed on the CSR DUE Report for his or her caseload are completed by the end of the month for which they are due on the E-Justice Portal. The PO will complete the CSR pursuant to their training (see Attachment A).

NOTE: Absent any serious mitigating or aggravating factors to the contrary, the PO is expected to abide by the recommendation (Score) of the CSR instrument whether to raise, lower, or maintain the Current Supervision Level.

3. The Parole Officer will enter the appropriate Supervision Status Level (Levels 1-4) in the Screener Recommended Supervision section under "Supervision Information."
4. For any instances where the CSR instrument recommends "raising" the supervision standards of a COMPAS Level 1, or "lowering" the supervision standards for a COMPAS 4, and the Parole Officer agrees, the Screener Recommended Supervision Level (Level 1 or Level 4) entered by the PO becomes the resulting COMPAS Level for the parolee (remains a COMPAS 1 or COMPAS 4). No further action is required by the Bureau Chief.

5. For any instances where the CSR instrument's recommendation ("Score") and the Parole Officer's recommendation ("Screener Recommended Supervision") are in agreement to maintain the current supervision level, the Screener Recommended Supervision Level selected by the PO becomes the resulting new COMPAS Level for the parolee. No further action is required by the Bureau Chief.

**B. Senior Parole Officer (SPO)**

1. The SPO will ensure POs have access to all written policies, procedures, and guidelines pertaining to the COMPAS CSR instrument.
2. For each respective unit, the SPO will ensure that all cases listed on the CSR DUE report are completed by the end of the month in which they are due.
3. For any instances where the CSR instrument's recommendation (Score) and the Parole Officer's recommendation (Screener Recommended Supervision) are in disagreement, the SPO will receive an email from the PO explaining his or her rationale. The SPO may conference with the PO and will then email the BC the rationale for either agreeing with the CSR instrument or with the PO, so that the BC can make the final decision.

**C. Bureau Chief (BC)**

1. The BC will ensure that all POs and SPOs are in compliance with the responsibilities outlined in this directive. They are responsible for ensuring that all tasks are completed in a timely manner.
2. At the beginning of each month, the BC will distribute the new CSR DUE Report from On-Line Printing to staff and ensure that any CSR's listed as due will be completed by the end of the month.
3. The Case Supervision Reviews Rejected (CSRREJ) Report will be generated daily from On-Line Printing showing any cases where a CSR has been completed by staff and where the BC must enter the final Supervision Level in the Actual Recommended Supervision section on the Portal. The BC will complete the review pursuant to their CSR training (see Attachment B).

**V. PROCEDURE FOR COMPAS LEVEL OVERRIDE: Not to include SIST, Registered and Discretionary Sex Offenders, OMH Level 1, 1S, 1SY, 2S, 2 (in accordance with the MHCRC directive), and UBER cases, which are to be overridden without the need for approval from the Assistant Regional Director.**

- A. For any case where the PO, SPO, or BC wish to change the current Supervision Level prior to the parolee completing 12 months of unrevoked supervision, a recommendation with rationale must be submitted by the BC to the Assistant Regional Director. Upon reviewing the provided recommendation and rationale, the Assistant Regional Director will approve, or reject the recommendation.

If the override is approved by the Assistant Regional Director, the BC shall access the most recent COMPAS Re-entry Assessment on the Person Summary screen located on the E-Justice Portal and then enter the Actual Recommended Supervision Level in the Supervision Recommendation Section.

- B. For any case where an override is approved by the Assistant Regional Director and where the parolee is in the Community Preparation process, the CSR instrument will be utilized by the PO six months from the date of the parolee's release from the correctional facility to determine whether the Supervision Level should be raised, lowered, or maintained.
- C. Additionally, for any case where an override is approved by the Assistant Regional Director during the first four weeks of supervision after a parolee's release from a correctional facility, the CSR instrument will be utilized by the PO six months from the date of the override to determine whether the Supervision Level should be raised, lowered, or maintained.
- D. After reviewing the CSR recommendation and the parolee's overall compliance in CMS, the BC will then enter the Actual Recommended Supervision Level (Attachment B). Absent any serious mitigating or aggravating factors to the contrary, the BC is expected to abide by the CSR recommendation (Score).
- E. In the event an override is requested during a parolee's supervision, after 12 months of supervision and before the next CSR is due, staff are to utilize the CSR instrument. The BC will then follow the procedure described in Section V-C. Assistant Regional Director approval is not required for overrides after 12 months of supervision.
- F. All efforts must be documented in CMS.

### **Procedure for Parole Officer to Complete COMPAS CSR**

1. The CSR is located on the E-Justice Portal at <http://www.ejustice.ny.gov/>. The PO will enter his or her username and password from the E-Justice Login Screen. Then, at the top of the E-Justice Home Screen, the PO will hover the cursor over the People tab, which opens a drop-down menu where the Supervision tab is located. The PO will then hover the cursor over the Supervision tab which opens up the COMPAS 8 tab, which the PO will click on, bringing up the Northpointe Suite Home Screen.
2. From the Northpointe Suite Home Screen, the Parole Officer will click on the blue Search tab and enter the NYSID number in the designated field and then click on the Search button. Under Search Results, the parolee's name and NYSID will appear; the PO will click on the NYSID number that appears in blue, bringing the PO to the Person Summary Screen.
3. From the Person Summary Screen, the PO will scroll down to where the Alternative Screenings option is located. To the right of Alternative Screenings, the PO will click on the Create Tab, which then opens the New Alternative Screening Wizard. The PO will then check to make sure the Existing Case option has been checked and then click Next.
4. Once the Screening Type page is shown, the PO will click on the circle next to Case Supervision Review and then click Next. From the Screening Information page, all areas with a red asterisk must be answered, and then click Next. This brings the PO to the Confirmation Screen, where all information should be reviewed for accuracy. If the information is correct, the PO will click on the Save button, which brings the PO to the 23-question CSR instrument.
5. The PO must answer all 23 questions by clicking on the circle next to the appropriate response. To answer the questions, the PO will use the information displayed in CMS, the case folder, their personal knowledge of the case, and professional judgment.  
NOTE: Whenever a PO is unsure of what exactly a question is asking, the PO can hover the cursor over the question and Help Text will then appear in a bubble above the question, explaining what information is being sought.
6. Once all questions have been answered, the PO will click on the Next Unanswered button, which will highlight any question that was skipped. The PO should keep clicking on the Next Unanswered button until a box appears stating that all questions have been answered.
7. The PO will then click on the Calculate button, which will display the Screening Summary and CSR recommendation.
8. From the Screening Summary page, under the Case Supervision Review section, the PO will go to the Score line, which will give a recommendation to either raise, lower, or maintain the current supervision level.
9. The PO will then go to the Supervision Information section at the bottom of the screen and click on the Actions button, which opens the Edit Supervision Level tab, which the PO will click on.
10. In the box to the right of Screener Recommended Supervision, the PO will click on the dropdown arrow and select the Supervision Status Level that the PO feels is appropriate,

using his or her professional judgment and knowledge of the case. The PO will enter an explanatory comments in the Comments box and then click on the Save button.

11. Whenever the PO enters a Screener Recommended Supervision Level in line with the CSR recommendation, a CRC (COMPAS CSR COMPLETED) Contact Type will automatically be noted on the F9/Parolee Contact List Screen. Additionally, on the F6/Parolee Detail Menu Screen, in the COMPAS section, the CSR screening information will automatically be notated. Whenever the PO enters a Screener Recommended Supervision Level in line with the CSR recommendation to either maintain the current level, raise from a Level 1, or to lower to a Level 4, a CRC (COMPAS CSR COMPLETED) and a CPR (COMPAS PO REVIEW) will automatically be notated on the F9/Parolee Contact List Screen. Additionally, on the F6/Parolee Detail Menu Screen, in the COMPAS section, the CSR screening information will automatically be notated.
12. In all other instances, the PO must manually enter a CPR contact in CMS along with the rationale for their recommendation.

### **Procedure for Bureau Chief to Complete COMPAS CSR**

1. The CSR is located on the E-Justice Portal at <http://www.ejustice.ny.gov/>. The BC will enter his or her username and password from the E-Justice Login Screen. Then, at the top of the E-Justice Home Screen, the BC will hover the cursor over the People tab, which opens a dropdown menu where the Supervision tab is located. The BC will then hover the cursor over the Supervision tab which opens up the COMPAS 8 tab, which the BC will click on, bringing up the Northpointe Suite Home Screen.
2. From the Northpointe Suite Home Screen, the BC will click on the blue Search tab and enter the NYSID number in the designated field and then click on the Search button. Under Search Results, the parolee's name and NYSID will appear; the BC will click on the NYSID number that appears in blue, bringing the BC to the Person Summary Screen.
3. From the Person Summary Screen, the BC will scroll down to where the Alternative Screenings option is located and click on the date of the most recent completed CSR.
4. From the Screening Summary page, the BC will go to the Supervision Information section at the bottom of the screen and click on the Actions button, which opens the Edit Supervision Level tab that the BC will click on.
5. In the box to the right of the Actual Recommended Supervision, the BC will click on the arrow and select the desired Supervision Status Level. In any instances where the Screener Recommended Supervision Level differs from the BC's Actual Recommended Supervision Level, the BC will have to enter the Override Reason from the dropdown options and then click on the Save button. The BC also can add comments by going to the Case Supervision Review Actions tab and then using the Edit Overall Comments option.
6. Within 24 hours, the COMPAS level of the parolee will be reflected in CMS. A "CRC" (COMPAS CSR COMPLETED) Contact Type will automatically be noted on the F9/Parolee Contact List Screen. Additionally, on the F6/Parolee Detail Menu Screen, in the COMPAS section, the CSR screening information will automatically be notated.