DEPARTMENT OF CORRECTIONS

Policy Number:	**620.010**
Title:	**Adult Supervision Risk and Needs Assessment Policy**
Effective Date:	**7/1/26**

PURPOSE: To ensure the consistent use of a standardized statewide risk and needs assessment framework for adult clients across all community supervision agencies in Minnesota. To support the accurate assessment of a client's likelihood of reoffending, the identification of intervention targets, and the measurement of behavioral change, and to provide a foundation for supervision, case management, and case planning, aligned with the Risk-Need-Responsivity (RNR) model.

APPLICABILITY: All community supervision agencies in Minnesota, in all delivery systems (Community Corrections Act (CCA), County Probation Officer (CPO), and Minnesota Department of Corrections (DOC)).

DEFINITIONS:

Criminogenic Needs – attributes that directly contribute to an individual's likelihood of engaging in future criminal behavior and that can be changed through interventions. (Examples include the ability to cope with life's stressors in a healthy way, the ability to identify positive peers, and the ability to make good decisions.)

Dynamic Risk Assessment (DRA) – a set of validated assessment tools that are used to identify circumstances and behaviors that increase or mitigate risk (needs and strengths) indicating targets for intervention, and to identify specific responsivity factors for an individual with a history of sexual misconduct. DRA involves combining static risk factors, as determined by the Static-99R, with more changeable, dynamic risk factors, as indicated by the Stable-2007.

Level of Service/Case Management Inventory (LS/CMI) – a validated assessment tool used to determine an individual's risk of recidivating, identify circumstances and behaviors that increase or mitigate risk (needs and strengths) indicating targets for intervention, and to identify specific responsivity factors for an individual.

Override – the process used to increase or decrease level of service based on factors not reflected in an assessment.

Pre-screener – a short preliminary assessment which can be used to determine the need for a comprehensive LS/CMI assessment. The pre-screener may be used when resources are limited to screen out people assessed as lower risk and not in need of a comprehensive LS/CMI.

Responsivity – individual characteristics that can affect an individual's response to interventions, such as motivation, cognitive abilities, mental health, and learning style.

1. General Responsivity – Justice-involved individuals are more successful when they have a professional alliance with their agent and more success when the agent uses cognitive behavioral interventions to building skills targeting the individual's criminogenic needs.

2. Specific Responsivity - The individual's specific situation and characteristics must be considered with client interventions. Some of many such considerations are a client's learning style, motivation, abilities, and cultural context.

Risk – the likelihood that a client will reoffend, as determined through a validated risk assessment.

Risk and Needs Assessment Tool – a structured, evidence-based instrument used to evaluate an individual's likelihood of reoffending (risk) and identify the dynamic factors (criminogenic needs) that can be targeted through supervision and services to reduce that risk.

Risk-Need-Responsivity (RNR) Model – a framework supported by extensive research, comprised of principles guiding effective client rehabilitation. Key principles include directing more intervention to higher-risk individuals and less intervention for lower-risk individuals (Risk Principle); targeting criminogenic needs through case planning and intervention (Need Principle); and tailoring interventions to an individual's learning style, motivation, and abilities (Responsivity Principle).

Significant new information – a major change in client status, which is presumed to warrant an updated assessment that could alter the supervision level.

Supervision Agent – an employee in the job classification of DOC corrections agent, Community Corrections Act (CCA), or County Probation Officer (CPO) corrections agent responsible for providing community supervision for clients.

Trailer Tool – supplemental assessments designed to evaluate specific risk, need, and/or responsivity areas not captured by the general risk and needs assessment tool. These may include tools addressing gender-responsive, culturally appropriate, or offense-specific risk/need factors.

Validated Risk Assessment – an assessment tool that is supported by empirical research and demonstrates predictive accuracy for criminal behavior.

Validated Assessment – a standardized risk assessment tool or risk and needs assessment tool that is supported by empirical research.

Validation/Revalidation – the process of assessing the predictive validity of an assessment tool on the target population.

PROCEDURES:

A. Assessment of Target Populations

This policy applies to individuals ordered into community supervision within the following target populations:

1. Felony-level cases;

2. Gross misdemeanor-level cases; and

3. Misdemeanor-level cases identified as targeted under Minnesota Statutes, Section 299C.10, subdivision 1(e).

B. Use of Primary Risk and Needs Assessment Tools

1. Supervision agencies must adopt and utilize the following risk and needs assessment tools:
    a) Level of Service/Case Management Inventory (LS/CMI): Used for all target populations noted above.

    b) Dynamic Risk Assessment (DRA): Used in addition to the LS/CMI for male-identifying clients (the DRA has not been validated for female-identifying clients) with a criminal sexual conduct conviction and/or any sexually related offense with a sex offense treatment directive, in conjunction with a pre-screener or LS/CMI.

2. All relevant data for the primary tools must be entered into the Statewide Supervision System or assessment management tool in CSTS.

C. Use of Trailer Tools
1. Agencies may implement trailer tools to supplement the general risk and needs assessment when:
    a) The tool has been validated with an area under the curve (AUC) value of at least .64 via a minimum of two validation studies;

    b) The most recent version of the tool is deployed;

    c) The agency has a mechanism for initial certification for all trailer tool assessors and annual booster training or coaching for these tools; and

    d) All relevant data for the trailer tool is entered into the assessment management tool in CSTS.

2. Agencies may contribute to the creation of new trailer tools and use new tools for the purpose of validating them with two studies.

D. Assessment Requirements
1. Agencies must conduct a pre-screener and/or LS/CMI within 60 days of case assignment and, if applicable, a DRA within 90 days of case assignment.

2. When using a pre-screener, agencies must conduct the LS/CMI for cases where a pre-screener indicates the need for a full assessment according to published standards.

3. If a valid LS/CMI was completed within the 12 months preceding case assignment, a new assessment is not required.

4. LS/CMI and DRA reassessments must occur annually for clients engaged in case planning, and/or when significant new information arises.

E. Assessment Overrides
1. Overrides must be approved and documented, with clearly stated rationale.

2. The outcome of trailer tool assessments may be used as justification to override the risk level identified by the LS/CMI.

3. Agencies must track and monitor the use of overrides.

4. Further investigation into the appropriate use of overrides should take place if overrides occur more than ten percent of cases.

F. Tool Validation and Quality Assurance

1. All required assessment tools must be validated with an area under the curve (AUC) value of at least .64 via a minimum of two validation studies and validated on Minnesota's supervision population if feasible.

2. DOC will coordinate validation and revalidation in collaboration with all statewide delivery systems as funding is available. (Best practices indicate revalidation should occur a minimum of every five years.)

3. Agencies must monitor the accuracy and consistency of assessments.

4. Assessments must be administered and scored in accordance with the "Level of Service/Case Management Inventory (LS/CMI) User Manual and Scoring Guide," published by Multi-Health Systems Inc., and in compliance with all Multi-Health Systems training and certification requirements.

STATE CORRECTIONAL FACILITY SECURITY AUDIT STANDARDS: None

INTERNAL CONTROLS:

A. Supervisors ensure compliance with assessment administration and documentation standards.

B. Audit trails for assessments, overrides, and reassessments must be maintained in electronic case files.

C. Community supervision agencies will report appropriate information as requested in their comprehensive plans.

D. Community supervision agencies must maintain access to the "Level of Service/Case Management Inventory (LS/CMI) User Manual and Scoring Guide," published by Multi-Health Systems Inc.

REFERENCES: Minn. Stat. §§ 299C.10, subdivision 1(e); 401.17, subd. 3(a)(2)

REPLACES: All policies, memos, or other communications whether verbal, written, or transmitted by electronic means regarding this topic.

ATTACHMENTS: None

APPROVAL:
Commissioner of Corrections