DEPARTMENT OF CORRECTIONS

Policy Number:	**XXX.XXX**
Title:	**Statewide Risk and Needs Assessment Policy**
Effective Date:	**TBD**

PURPOSE: To ensure the consistent use of a statewide risk and needs assessment framework across all community supervision agencies in Minnesota. This policy supports the accurate assessment of a client's likelihood of reoffending, identifies intervention targets, measures behavioral change, and provides a foundation for supervision and case management aligned with the Risk-Need-Responsivity (RNR) model.

APPLICABILITY: All Community Corrections Act Counties (CCA), County Probation Officer (CPO), and Minnesota Department of Corrections (DOC) staff

DEFINITIONS:

Criminogenic Needs – Dynamic attributes of a client that, if addressed through skill building, reduce the likelihood of criminal behavior.

Level of Service/Case Management Inventory (LS/CMI) - A comprehensive, evidence-based assessment tool designed to evaluate an individual's general risk of reoffending and identify criminogenic needs.

Override - the process used to increase or decrease level of service based on factors not reflected in the LS/CMI instrument.

Pre-screener – A short preliminary assessment which can be used to determine the need for a comprehensive LS/CMI assessment.

Responsivity - The principle of delivering supervision and interventions using cognitive-behavioral approaches tailored to an individual's abilities, learning style, motivation, and personal characteristics to enhance engagement and reduce recidivism.

Risk - The assessed likelihood that a client will reoffend, as determined through a validated risk instrument.

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 (needs) that can be targeted through supervision and services to reduce that risk.

Risk-Need-Responsivity (RNR) Model – A foundational framework for effective correctional intervention that emphasizes matching the level of service to an individual's risk of reoffending (Risk), targeting criminogenic needs that contribute to criminal behavior (Need), and delivering interventions in a way that aligns with the individual's abilities, motivation, and learning style (Responsivity).

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 factors.

Validated Risk Instrument - A pre-screener or full risk/needs assessment tool that is supported by empirical research and demonstrates predictive accuracy for criminal behavior.

Validation/Revalidation - The process of assessing the predictive validity of an assessment tool on the target population. Validation should occur at least every five years.

PROCEDURES:
A. Primary Risk and Needs Assessment Tool
   1. LS/CMI: All supervision agencies must adopt and implement the LS/CMI as the primary risk and needs assessment tool.
      a) Risk level cut off scores are determined based on the validation study and required to be used statewide.
   2. MN Pre-Screener: All supervision agencies must adopt and implement the approved state-wide pre-screener. The pre-screener is often used when resources are limited to screen out people assessed as lower risk and not in need of a comprehensive LS/CMI.
      a) Threshold scores indicating when a comprehensive LS/CMI is conducted is determined based on the validation and required to be used statewide.

B. Target Populations
   1. Post-conviction felony cases.
   2. Gross misdemeanor cases ordered to community supervision.
   3. Targeted misdemeanor cases ordered to community supervision.

C. Assessment Requirements
   1. Agencies must conduct the pre-screener and/or LS/CMI within 30 days of case assignment.
      a) If using the pre-screener, agencies must conduct the LS/CMI on cases where the pre-screener indicates the need for a full assessment.
   2. Reassessments must occur:
      a) At least annually.
      b) When significant new information arises.
   3. Supervised Probation:
      a)

D. Overrides
   1. Overrides must be documented and approved, with rationale clearly stated.
   2. Outcome of trailer tool assessments can be used as justification for overrides to the LS/CMI identified risk level.
   3. Agencies shall track and monitor the use of overrides. Overrides in excess of 20 percent of cases should prompt further investigation into the appropriate use of overrides.

E. Use of Trailer Tools

1. Agencies can use any validated trailer tool assessment in conjunction with the LS/CMI and pre-screener requirements of this policy.
2. Trailer tools may include, but are not limited to, instruments for assessing:
    a) Gender-responsive needs
    b) Culturally appropriate factors
    c) Offense-specific risks such as sexual offending, domestic violence, or violence
    d) Need-based assessments such as motivation, mental health, or substance use
3. Selection of trailer tools
    a) Trailer tool must have a predictive validity of at least .64 Area Under the Curve (AUC). The attached document "Trailer Tool Guidance in Minnesota" provides information on the predictive validity of common trailer tools.
    b) If cost is not prohibitive, agencies should give preference to trailer tools already in use in Minnesota to provide consistency in tool use when transfers between jurisdictions occur.

F. Tool Validation and Quality Assurance
    1. Pre-screener and LS/CMI must be validated on Minnesota's supervision population.
    2. Supervision agencies will coordinate revalidation at a minimum every five years in collaboration with CCA and non-CCA jurisdictions.
    1. Supervision agents must complete certified training prior to conducting assessments and participate in annual booster sessions.
    3. Agencies must:
        a) Monitor assessment accuracy and consistency.
        b) Conduct annual proficiency and peer reviews.
    4.

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. Quality assurance and continuous quality improvement procedures must be reviewed annually.

REFERENCES:

REPLACES:
Policy xxx.xxx, "Policy Title," mm/dd/yy. [Last effective date.] [Omit line if new.]
All facility policies, memos, or other communications whether verbal, written, or transmitted by electronic means regarding this topic.

ATTACHMENTS:
    A. Trailer Tool Guidance in Minnesota
    B. Advancing Fairness and Transparency: National Guidelines for Post-Conviction Risk and Needs Assessment

APPROVAL:
TB