



INTERNAL MANAGEMENT POLICY & PROCEDURE

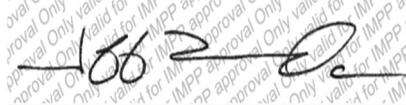
Applicability: Adult Operation Only JUVENILE Operations Only DEPARTMENT-WIDE

IMPP #: 11-113A

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DECISION MAKING: Level of Service Inventory – Revised Risk and Needs Assessment

Original Date Issued: 08-23-18 Replaces IMPP Issued: 05-01-19 **CURRENT EFFECTIVE DATE: 11-07-19**

Approved By: , Acting Secretary Next Scheduled Review: November 2020

POLICY

The Department must manage offenders using a risk management system. The Department must use the Level of Service Inventory-Revised (LSI-R) as an instrument to assess potential risk of re-offending, determine intervention targets, measure offender change over time through reassessment, and establish the foundation for case management practices. The LSI-R is the primary risk/needs assessment tool. Only staff certified by the Department are allowed to administer the LSI-R. The LSI-R must be reviewed by the staff responsible for case management decisions to determine if the current circumstances contribute to or protect from risk to reoffend. Assessing an offender's risk/need is an ongoing, dynamic process. Reassessments are to be conducted as significant changes occur.

DEFINITIONS

HIPAA: Acronym for the Health Insurance Portability and Accountability Act.

Level of Service Inventory-Revised (LSI-R): The LSI-R is an objective, 54-item risk/needs assessment instrument composed of 10 subcomponents that contain both static and dynamic risk factors. The instrument is a quantitative survey of attributes of offenders and their situations relevant to level of service decisions. The LSI-R provides a consistent and valid method of predicting risk to re-offend and a reliable means of measuring offender change over time through reassessment.

LSI-R Interview Guide: The LSI-R Interview Guide is a resource provided in LSI-R training designed to assist the rater during the LSI-R interview process. It includes reference to time frames, tips for scoring, suggested questions for each LSI-R domain, and space for the rater to make notes regarding the offender's responses and/or documentation found in the file relevant to the LSI-R interview.

LSI-R Scoring Guide: Level of Service Inventory Revised Scoring Guide is the manual developed and provided by the Division of Criminal Justice Center for Criminal Justice Research, University of Cincinnati. The manual provides the purpose behind each of the scoring items, potential prompters, scoring rules/issues, case planning concerns, and research information.

LSI-R Steering Committee: Multidiscipline group providing oversight for processes related to training, procedures, and quality assurance of the LSI-R. Group includes representation from Staff Development, Parole, Juvenile Services, Community Corrections, Behavioral Health, and Facility.

Need: The requirement for some type of intervention to reduce criminal behavior.

Physically Incapacitated/Behavioral Health Offender: An offender whose physical or behavioral health results in the individual being unable to participate in the LSI-R assessment process.

Rater: Any individual who has successfully completed LSI-R training conducted by the KDOC or as otherwise approved by Assistant Staff Development Manager or designee.

Reassessment: A subsequent assessment conducted after the initial assessment.

Risk: The potential for criminal behavior.

TOADS: Acronym for Total Offender Activity Documentation System.

PROCEDURES

I. Offender Participation

- A. The LSI-R assessment needs to be conducted with the offender's participation whenever possible.
 - 1. If an offender is unable or unwilling to fully participate, the assessment must be completed by:
 - a. Obtaining as much information as possible from the offender;
 - b. Reviewing all available criminal history sources;
 - c. Reviewing offender file information, including the RDU report;
 - d. Utilizing collateral contacts;
 - e. Utilizing official documents and,
 - f. Documenting in the assessment and in TOADS the refusal or inability to participate and the sources used to obtain/verify information.

II. Reception and Diagnostic Unit (RDU) Assessments

- A. RDU psychologists must administer an LSI-R assessment during the intake interview on all RDU admissions except as follows:
 - 1. Admissions with 30 days or less to serve;
 - 2. Admissions with six (6) months or less to serve with no post release supervision;
 - 3. Condition violators with no new sentence with 90 days or less to serve;
 - 4. Fourth time DUI offenders; and,
 - 5. Probation Violators with no new sentence who have a community corrections LSI-R that is less than 90 days old.

III. Facility Unit Team/Reentry Assessments

- A. Unit team/Reentry staff must use the most recent LSI-R assessment regardless of entity, for case management and reentry planning.
 - 1. As part of effective case management practice, facility staff must continue to review risk/need areas, of the offender, and as part of reentry planning, identify updates in status, such as sustained employment during incarceration, completion of risk reduction programs or services, or significant changes in the offender's circumstances that may impact the offender's risk/need areas to the degree that completing a reassessment is warranted.
 - 2. If an offender has never had an LSI-R and is preparing for re-entry, an LSI-R must be conducted to determine risk/need areas to be addressed as part of release planning except for those identified in II.A.1.-4. LSI-Rs completed by community corrections for probation

violators with no new sentence may be used for case management purposes if they are less than 90 days. Otherwise, a reassessment must be conducted.

IV. Community-based Assessments

- A. Parole LSI-R assessments must be conducted per IMPP 14-111A and this policy.

V. Physically/Mentally Incapacitated Offenders

- A. Offenders with physical or behavioral disabilities must receive an assessment.
 - 1. An offender's inability to participate must be documented, and the assessor must complete the assessment based on file information, case management knowledge of the offender, and collateral information.
- B. Offenders with hearing or speech disabilities must be provided interpreter services by the facility or parole office.
 - 1. When using an interpreter for assessments, only a certified assessor must initiate interview questions for the interpreter.

VI. LSI-R Interviews and Interview Guide Requirements

- A. Interviews with the offender are required for initial assessments and are encouraged for subsequent assessments, except in cases where the offender is unable or unwilling to participate.
 - 1. The offender's inability or unwillingness to participate must be documented in TOADS, and the certified assessor must complete the assessment based on file information, case management knowledge of the offender, and collateral information.
- B. The use of the LSI-R Interview Guide by the interviewer is encouraged to help ensure that relevant questions are used in a manner to elicit detailed information.
- C. The LSI-R Interview Guide must not be provided to the offender.

VII. LSI-R Documentation Requirements

- A. Information obtained during the LSI-R interview must be documented in detail and entered in TOADS.
 - 1. Offender information protected by HIPAA must be maintained in a separate location and/or file per policy and procedure.
- B. The quality of the documentation entered in TOADS must be such that other staff reviewing the documentation can effectively understand the rationale for the assessment scores given.

VIII. LSI-R Scoring and Corrections

- A. The LSI-R assessment must be scored using the Scoring Guide.
- B. The LSI-R Scoring Guide must not be provided to the offender.
- C. Scoring corrections to already scored assessments must be made by conducting a reassessment.
 - 1. Comments to explain and support the need for a corrected assessment must be entered in the "Remarks" field and into the applicable item/domain documentation field.

IX. LSI-R Quality Assurance

- A. The LSI-R Steering Committee oversees the quality assurance (QA) process. Quality assurance may include:

1. Providing on-going technical assistance to staff;
2. File reviews;
3. Addressing QA in the Facility full scale security audit process;
4. Addressing QA in employee (including supervisory) performance expectations and evaluations;
5. Generating reports to identify potential problem areas (e.g., specific parole offices, facilities, and/or assessors);
6. Refresher training; mandatory certification or recertification, and/or retraining as appropriate;
7. Digitally recorded assessment reviews/critique; and,
8. Inter-rater reliability and fidelity assessments conducted by Skill Developers Supervisors or other designated staff.

B. Inter-rater Reliability Assessment Process.

1. Inter-rater reliability must be defined as a two (2)-point variance, which means that the total score is to be no greater than two (2) points higher or two (2) points lower than what is the correct or "true" score.
2. Supervisors must administer or initiate inter-rater reliability reviews as necessary to ensure LSI-Rs are conducted in a manner which upholds the validity of the instrument. Reviews may be conducted by the supervisor, a designee, or other staff who are assigned to conduct inter-rater and fidelity reviews.
 - a. Inter-rater reliability reviews must be conducted during the offender assessment interview and include independent scoring as well as a feedback session with the staff person being reviewed.
 - b. In addition to determining inter-rater reliability of the assessment score, reviewers must provide feedback regarding the assessor's interview and ability to elicit detailed information, the accuracy of scoring for each element, the quality of documentation and whether such documentation supports the score.

C. Unscored assessments must be deleted once the assessment is more than 31 days old via an automated nightly process.

1. Staff must be notified via email through the automated nightly process when they have an assessment that is 14 days or older so that the assessment can be finalized and scored in a reasonable time frame.

D. Points of contact for notification of quality assurance issues are:

1. RDU LSI-R Assessments: Behavioral Health Director.
2. Facility Unit Team/Reentry Assessments: Classification Administrators.
3. Community and Field Services: Parole Directors and Community Corrections Directors/Managers.

X. Training and Initial Certification Requirements

- A. All staff, who administer LSI-R assessment, including contract staff, are required to successfully complete the KDOC LSI-R training and obtain and maintain certification. Supervisors and reviewers

who conduct or review LSI-Rs as a primary function of their position must also obtain and maintain LSI-R certification. Only those unit team staff designated by the Warden must be required to meet the training and certification requirements of this section.

1. Prior to administering an LSI-R assessment, staff are required to obtain certification upon completion of training.
 - a. Certification requires satisfactory completion of LSI-R training and a minimum of a “satisfactory” overall rating on the LSI-R digitally recorded assessment critique.
 - b. Up to three (3) digitally recorded assessment opportunities must be provided for initial certification. Failure to obtain certification on the third attempt must result in non-certification and a requirement for LSI-R re-training.
- B. An employee who was certified because of a position previously held within KDOC or other agency may be required to successfully complete LSI-R initial training/certification to regain rater status after terminating employment or being on active military or medical leave for a period exceeding one (1) year.
 1. Exceptions to the training and/or certification process is determined by the Assistant Staff Development Manager on a case-by-case basis.
 2. If circumstances warrant, an alternative, individualized training plan may be arranged.
- C. All training must be documented in the employee’s official training record.

XI. Recertification and Quality Assurance

- A. To maintain certification, those certified are expected to maintain a “satisfactory” rating, as evidenced by training, performance reviews, inter-rater reliability activities, fidelity reviews and/or a recertification process.
 1. Training and Recertification.
 - a. Staff are required to successfully complete LSI-R recertification training annually, beginning the fiscal year after initial certification. The training may include scoring a sample profile, classroom training, online training, or other means, as approved by the LSI-R steering committee.
 - b. Staff who fail to complete required recertification training within the specified time frames or do not achieve a passing score lose their LSI-R certification status and are removed from the list of approved raters.
 - (1) Staff who are removed as a rater because of a non-passing score in training are required to successfully complete additional LSI-R training, which may include attending the KDOC initial LSI-R training to regain rater status.
 - (2) Supervisory staff are to be notified if any staff fails to complete recertification training as requested. Unless excused for military leave or other approved leave, staff who do not complete the training may be subject to counseling or disciplinary action, as determined by the supervisor and appointing authority.
 - c. The format for annual LSI-R trainings is determined by the LSI-R Steering Committee and then developed and/or coordinated for staff by the Central Office Staff Development Division.
 2. Required Annual Assessments.

- a. Staff required to be LSI-R certified must conduct at least one (1) assessment every 12 months, each fiscal year.
 - (1) Staff who fail to complete an assessment every fiscal year must have their rater status removed and;
 - (2) Supervisors must be notified for the employee to be counseled and any other action determined by the appointing authority and/or supervisor and;
 - (3) If the employee's rater status needs to be reinstated, the appointing authority and/or supervisor must notify the Assistant Staff Development Manager, at which time the employee's rater status is to be reinstated.
3. Certification may be suspended as determined by quality assurance reviews.
 - a. The need for retraining must be determined on a case-by-case basis by the supervisor and appointing authority.
4. Assessments conducted for training and certification purposes must not be used for offender management.

XII. Contract Provider Access to LSI-R Assessments

- A. Facilities and Adult Community-Based Services must ensure that Department contracted treatment providers, with a release of information, have access to LSI-R assessments for treatment planning purposes.

NOTE: The policy and procedures set forth herein are intended to establish directives and guidelines for staff and offenders and those entities that are contractually bound to adhere to them. They are not intended to establish State created liberty interests for employees or offenders, or an independent duty owed by the Department of Corrections to employees, offenders, or third parties. Similarly, those references to the standards of various accrediting entities as may be contained within this document are included solely to manifest the commonality of purpose and direction as shared by the content of the document and the content of the referenced standards. Any such references within this document neither imply accredited status by a Departmental facility or organizational unit, nor indicate compliance with the standards so cited. The policy and procedures contained within this document are intended to be compliant with all applicable statutes and/or regulatory requirements of the Federal Government and the state of Kansas. This policy and procedure are not intended to establish or create new constitutional rights or to enlarge or expand upon existing constitutional rights or duties.

REPORTS

None.

REFERENCES

IMPP 14-111A

HISTORY

08/23/18 Original
05/01/19 Rev. 1

ATTACHMENTS

None.