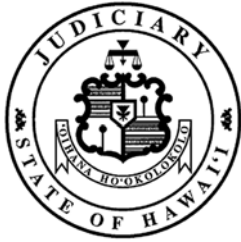


# Interagency Council on Intermediate Sanctions



HAWAII STATE  
DEPARTMENT  
OF HEALTH

July 2007

## LSI-R & ASUS Implementation Scorecards (Reassessments, January 2002 – April 2007)

This report presents analyses of completed LSI-R and ASUS data compiled from CYZAP downloads for the January, 2002 through April, 2007 period. It is a composite evaluation of the State of Hawaii's ICIS initiative. The objective of the ICIS scorecards is to institutionalize a measurement monitoring system compiled from LSI-R and ASUS assessment data. Their purpose is to collect, compile, and report on selected implementation indicators. The LSI-R and ASUS Implementation Scorecards are an important source of information for ICIS quality assurance monitoring and trend analysis.

Each scorecard evaluates various goals and objectives established by the ICIS Five-Year Strategic Plan. This includes Goal 3 (To evaluate the effectiveness of intermediate sanctions in reducing recidivism), and its corresponding objectives – Objective 2 (To evaluate the assessment process and protocols), and Objective 3 (To evaluate the effectiveness of matching offenders to services based on risks and needs).

The scorecards depicted herein represent statistical indicators of success supported by evidence-based research. The research approach involves quarterly trend analyses and repeated assessments that re-evaluate offender criminogenic risk change by both risk domain and risk level. The major findings are grouped and summarized by the following areas:

1. **Matched Cohorts by Quarterly Years** – A trend analysis of (a) LSI-R and ASUS assessments and reassessments; and (b) LSI-R risk and protective factors aggregated by quarterly year cohort groups. A quarterly year cohort group includes offenders who receive an initial LSI-R assessment within a given three-month period. The risk and protective factors represent dynamic, criminogenic indicators of recidivism risk.
2. **Risk Change by Number of Assessments and Reassessments** – This analysis represents an aggregation of risk change by the number of LSI-R and ASUS reassessments administered.
3. **Risk Change by Treatment Class** – This analysis represents an aggregation of risk change by both offender risk levels and recommended treatment levels.

### For further information contact:

Timothy Wong, Research and Statistics Branch  
Crime Prevention and Justice Assistance Division  
Department of the Attorney General  
Telephone: 587-6399  
Email: [Timothy.I.Wong@hawaii.gov](mailto:Timothy.I.Wong@hawaii.gov)  
ICIS Web Site: [hawaii.gov/icis](http://hawaii.gov/icis)

# ICIS Implementation Scorecard

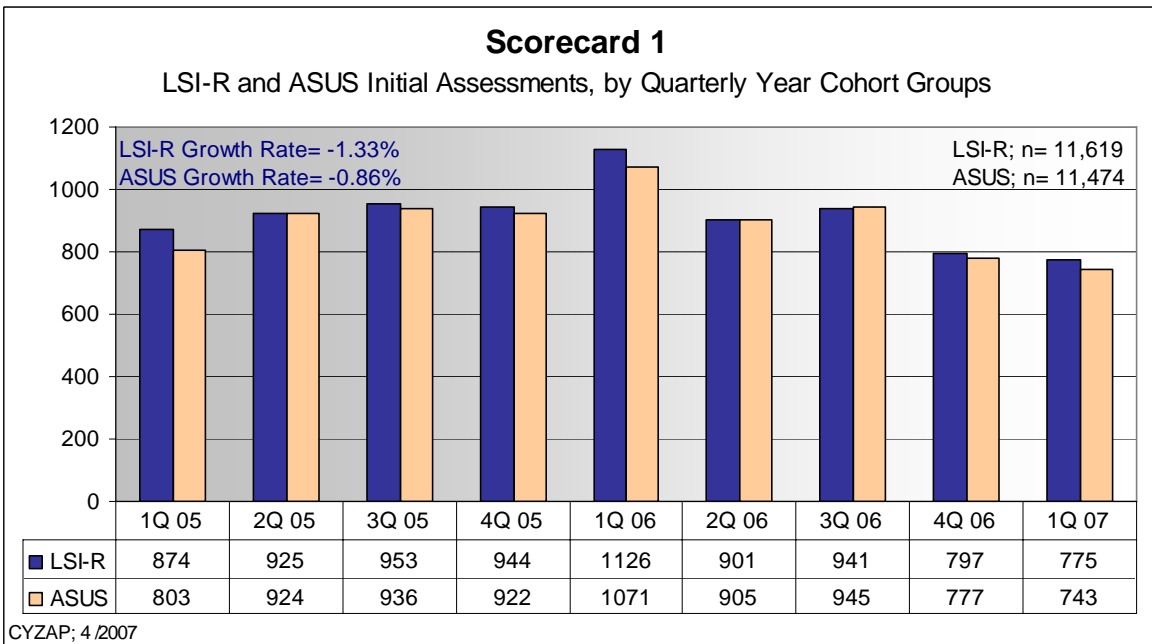
**Goal:** Evaluate the effectiveness of intermediate sanctions in reducing recidivism (Goal 3)

**Objective:** To evaluate the assessment process and protocols (Objective 2)

**Indicator:** Number of LSI-R and ASUS initial assessments

**Description:** Quarterly trend analysis of LSI-R and ASUS assessments

**Benchmark:** Maintain 1.5 percent LSI-R and ASUS growth rates



**Analysis:** The number of LSI-R and ASUS initial assessments completed by POs reached a peak in the first quarter of 2006 (1,126 and 1,071, respectively). Since that time, the number of LSI-R and ASUS initial assessments completed by POs has decreased at a rate of -7.20% per quarter and -7.05% per quarter, respectively.

**Implications:** The decrease in the number of LSI-R and ASUS initial assessments indicates a negative trend in the use of these instruments. However, a lower rate of completed LSI-R and ASUS assessments can indicate that fewer offenders are scoring above four on the PROXY. The ICIS policy is to complete LSI-R and ASUS assessments on 100 percent of its offenders with PROXY scores above four.

# ICIS Implementation Scorecard

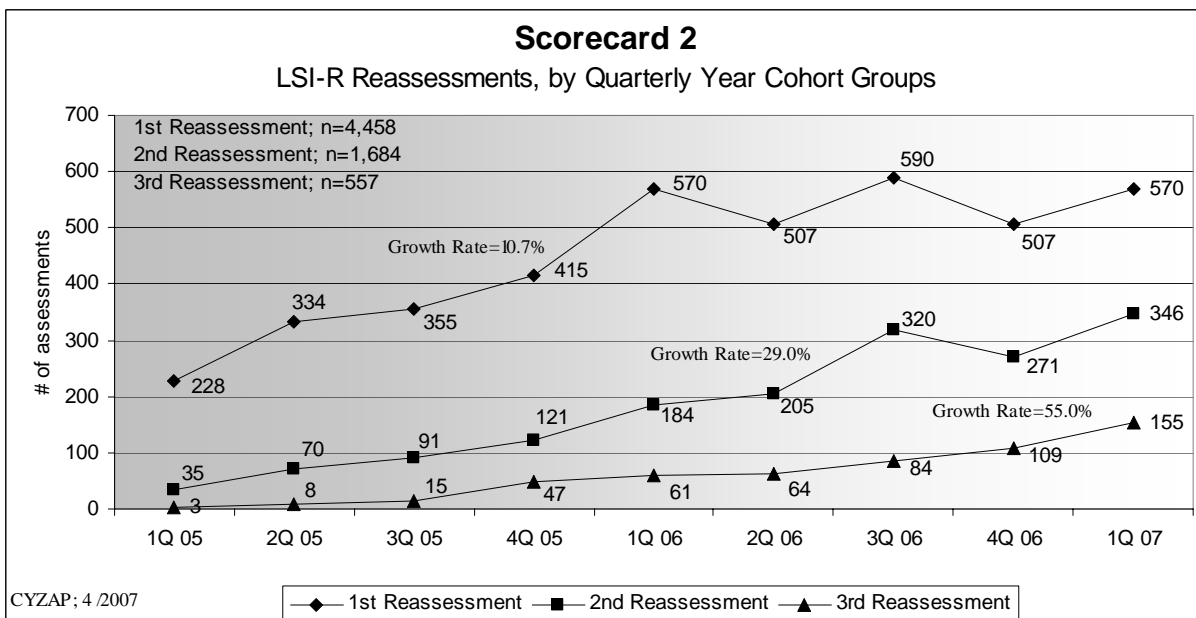
**Goal:** Evaluate the effectiveness of intermediate sanctions in reducing recidivism (Goal 3)

**Objective:** To evaluate the assessment process and protocols (Objective 2)

**Indicator:** Number of LSI-R reassessments

**Description:** Quarterly trend analysis of LSI-R reassessments

**Benchmark:** Maintain a 1.5 percent LSI-R reassessment growth rate



**Analysis:** Since the first quarter of 2005, the number of LSI-R first reassessments has increased at a rate of 10.7% per quarter. Similar large growth rates have also occurred for second and third reassessments, which increased at rates of 29.0% per quarter and 55.0% per quarter, respectively.

**Implications:** The increase in LSI-R reassessments, which includes a larger number of offenders with second and third reassessments, indicates a positive trend in the use of these instruments. This scorecard reflects a greater capacity to monitor offender risk change over time.

# ICIS Implementation Scorecard

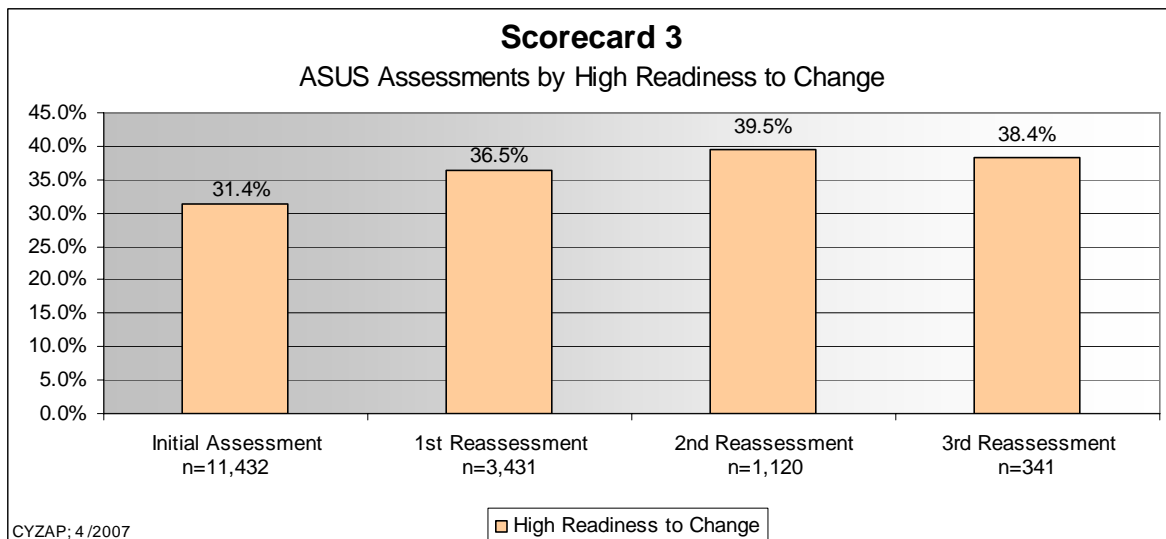
**Goal:** Evaluate the effectiveness of intermediate sanctions in reducing recidivism (Goal 3)

**Objective:** To evaluate the assessment process and protocols (Objective 2)

**Indicator:** Percentage change in ASUS High readiness to change levels

**Description:** Analysis of the change in ASUS High readiness to change levels aggregated by the number of assessments administered

**Benchmark:** Sustain trends in higher ASUS High readiness to change levels.



**Analysis:** The percentage of offenders with a High readiness to change increased as the number of assessments administered increased. Between the initial assessment (31.4%) and second reassessment (39.5%), the percentage of offenders with a High readiness to change increased 25.8%. This trend continues until the third reassessment (38.4%) which saw a 2.8% decrease from the second reassessment (39.5%).

**Implications:** The increasing percentage of offenders at the High readiness to change level may be due to more quality interactions and time spent with POs in office visits. Additionally, a High readiness to change may indicate that an offender is more willing or capable of reforming his criminal ways.

# ICIS Implementation Scorecard

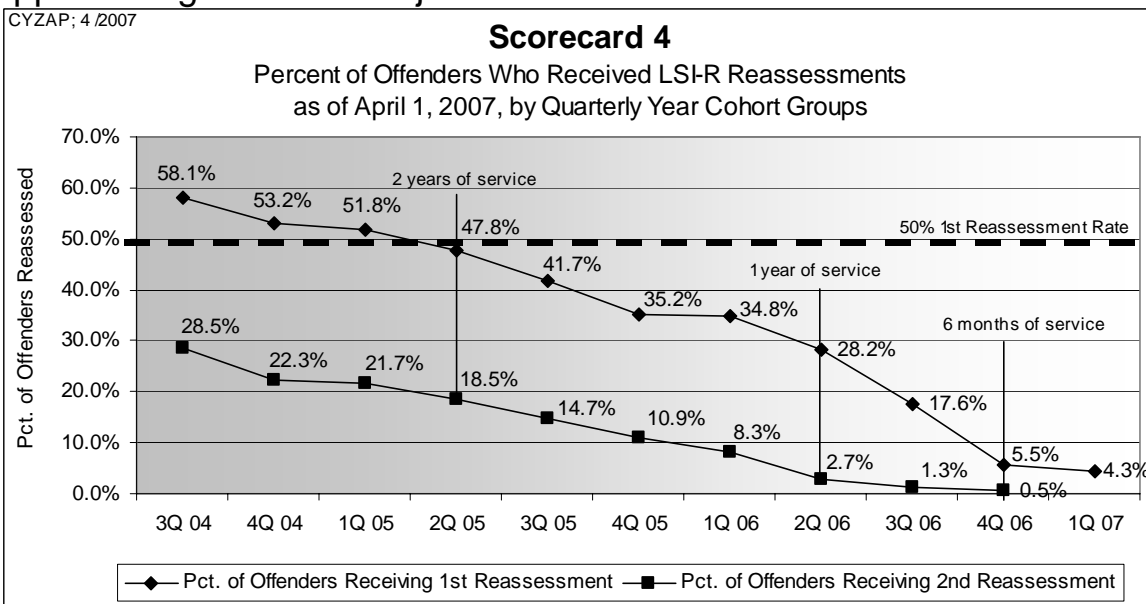
**Goal:** Evaluate the effectiveness of intermediate sanctions in reducing recidivism (Goal 3)

**Objective:** To evaluate the assessment process and protocols (Objective 2)

**Indicator:** Percent of Offenders with LSI-R reassessments

**Description:** Quarterly trend analysis of the percent of offenders that receive reassessments

**Benchmark:** Maintain a 50 percent reassessment rate for offenders approaching 6-months of judicial services



**Analysis:** The LSI-R first reassessment line (solid diamond line) represents the percent of offenders who received a first reassessment as of April 1, 2007. ICIS policy suggests that 50% of offenders (dashed line) should receive a reassessment after six months of service. The data reveal a 5.5% reassessment rate at the 6-month service period established by the fourth quarter 2006 cohort group. This is well short of the anticipated 50% reassessment rate, which is not reached (and surpassed) until the 27-month service period established by the second quarter 2004 cohort group.

**Implication:** A low reassessment rate may make effective case management and supervision difficult due to the absence of timely and ongoing offender updates.

# ICIS Implementation Scorecard

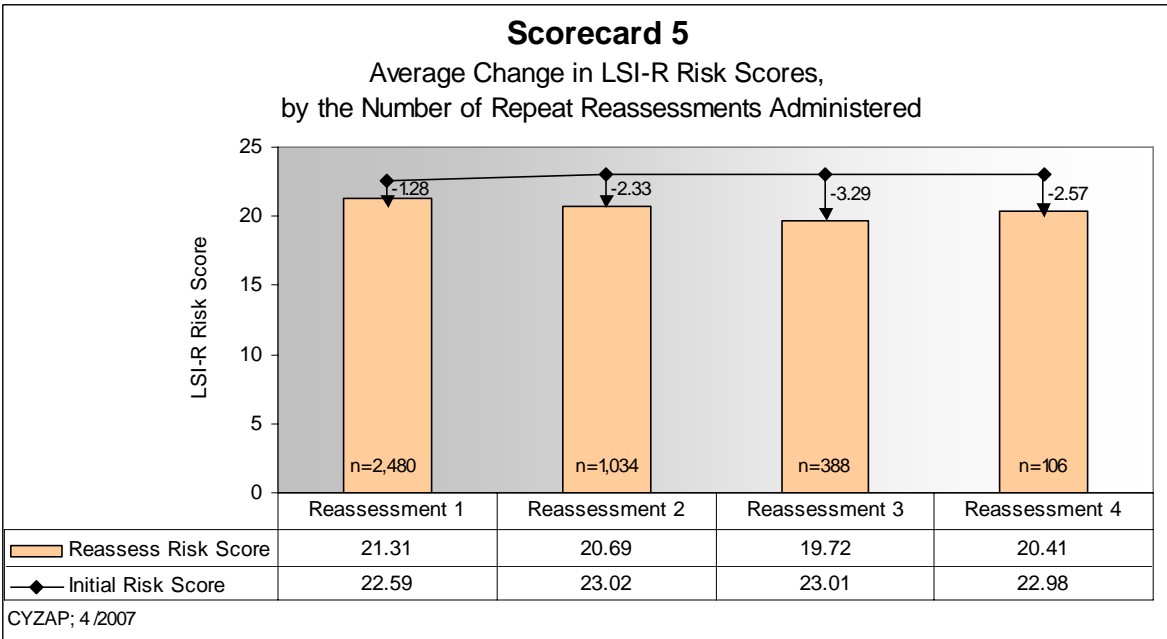
**Goal:** Evaluate the effectiveness of intermediate sanctions in reducing recidivism (Goal 3)

**Objective:** To evaluate the assessment process and protocols (Objective 2)

**Indicator:** Change in LSI-R risk scores

**Description:** Analysis of change in LSI-R risk scores aggregated by the number of repeat reassessments administered

**Benchmark:** Sustain LSI-R risk reduction trends



**Analysis:** This scorecard reveals a statistically significant ( $p < .001$ ) relationship between the average change in LSI-R risk score and the number of reassessments administered. The data indicate that as the number of offender reassessments increases, there is a corresponding decrease in average LSI-R risk scores. This trend continues until the fourth reassessment (-2.57), which saw a slightly smaller decrease from the third reassessment (-3.29).

**Implication:** The decreasing LSI-R risk scores may be due to additional reassessment information used by officers for case monitoring purposes, and/or the targeting of interventions that reduce the risk of recidivism.

# ICIS Implementation Scorecard

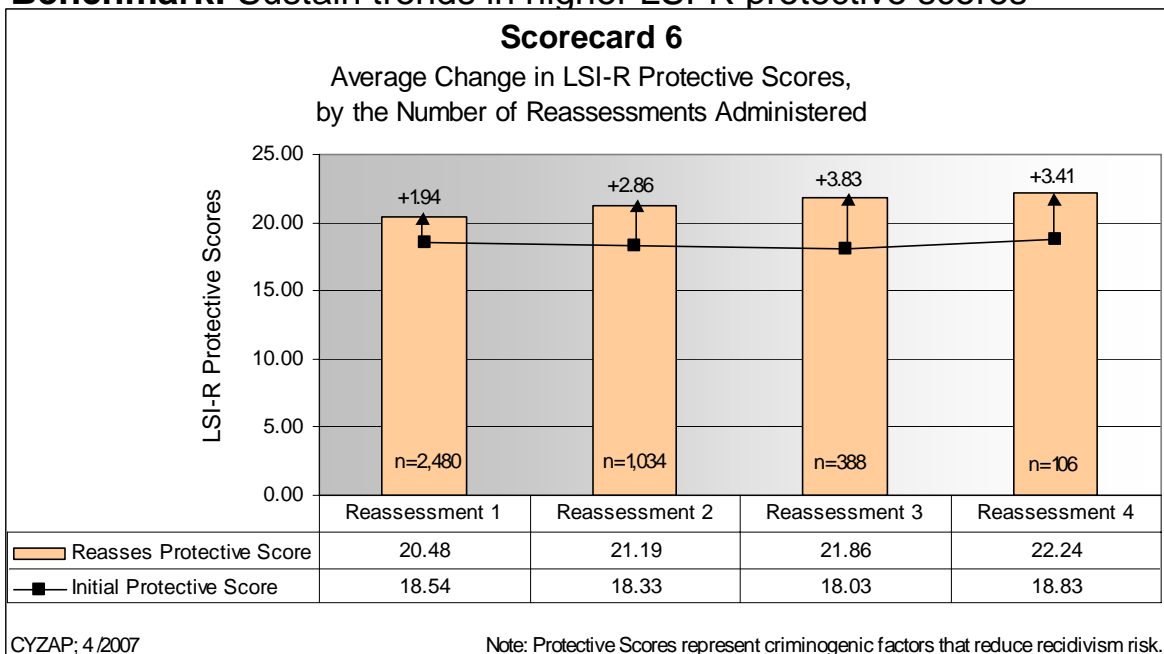
**Goal:** Evaluate the effectiveness of intermediate sanctions in reducing recidivism (Goal 3)

**Objective:** To evaluate the assessment process and protocols (Objective 2)

**Indicator:** Change in LSI-R protective scores

**Description:** Analysis of change in LSI-R protective scores aggregated by the number of repeat reassessments administered

**Benchmark:** Sustain trends in higher LSI-R protective scores



**Analysis:** This scorecard reveals a statistically significant ( $p < .001$ ) relationship between the average change in LSI-R protective scores and the number of repeat assessments administered. The data indicate a corresponding increase in LSI-R protective scores as the number of repeat reassessments increases. This trend continues until the fourth reassessment (3.41), which saw a slightly smaller increase from the third reassessment (3.83).

**Implication:** The increasing LSI-R protective scores may be due to additional reassessment information being used by officers for case monitoring purposes, and/or for the targeting of interventions that reduce the risk of recidivism.

# ICIS Implementation Scorecard

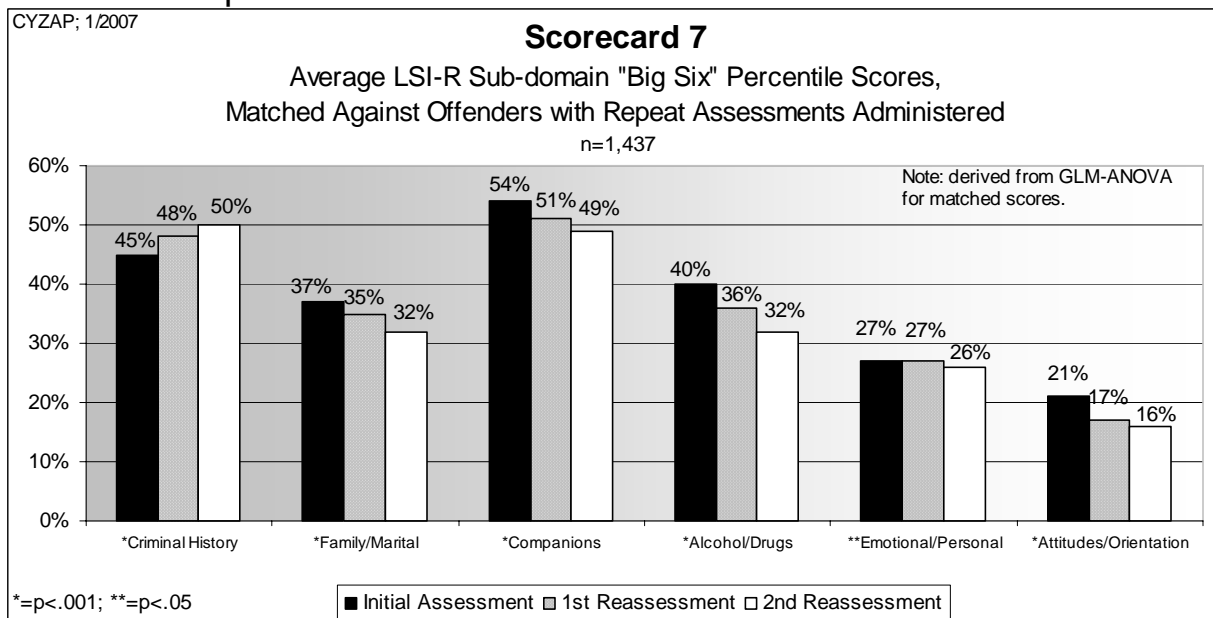
**Goal:** Evaluate the effectiveness of intermediate sanctions in reducing recidivism (Goal 3)

**Objective:** To evaluate the assessment process and protocols (Objective 2)

**Indicator:** LSI-R sub-domain scores

**Description:** Analysis of the “Big Six” LSI-R criminogenic risk factors, aggregated by the number of repeat assessments administered

**Benchmark:** Maintain lower LSI-R sub-domain percentile scores as the number of repeat assessments increase



**Analysis:** The scorecard reveals statistically significant relationships between several LSI-R sub-domain scores and offenders with repeat assessments administered. The offender sub-domain percentile scores of the “Big Six” criminogenic risks are declining (except for Criminal History which is a static domain that should not change) as the number of offenders with repeat assessments increases.

**Implication:** The decreasing LSI-R sub-domain scores suggest the possibility that officers are using additional assessment information for case monitoring purposes, and for the targeting of risk factors used in case planning. However, the decreasing scores do not in and of themselves clearly indicate what is happening to offenders between assessments.

# ICIS Implementation Scorecard

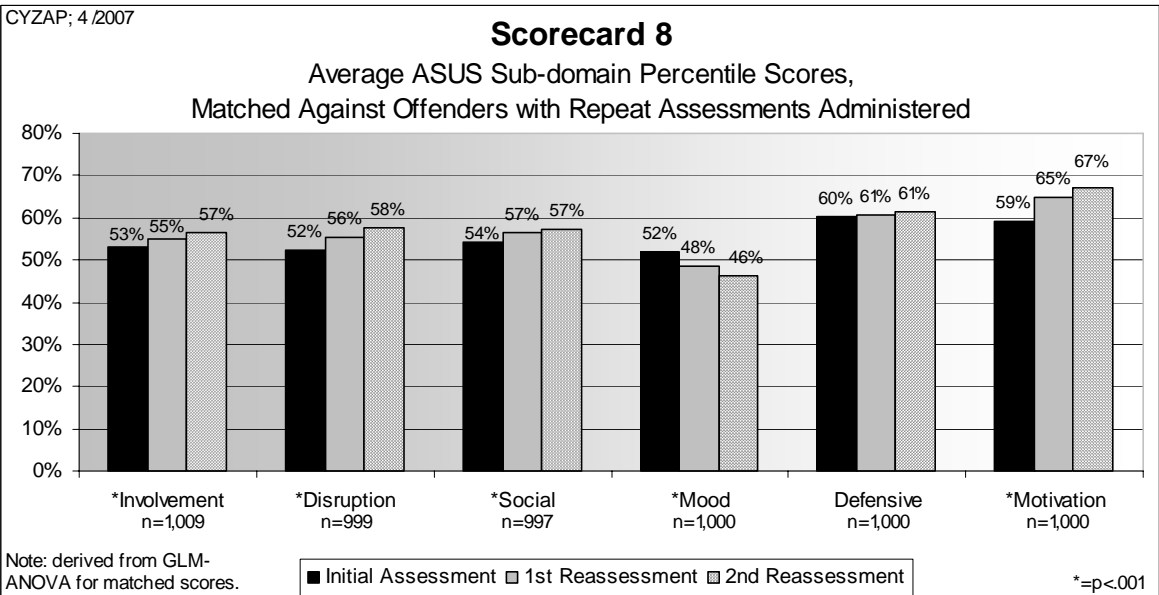
**Goal:** Evaluate the effectiveness of intermediate sanctions in reducing recidivism (Goal 3)

**Objective:** To evaluate the assessment process and protocols (Objective 2)

**Indicator:** ASUS sub-domain scores

**Description:** Analysis of ASUS sub-domain scores, aggregated by the number of ASUS assessments administered

**Benchmark:** Maintain lower ASUS sub-domain percentile scores as the number of repeat assessments increase



**Analysis:** This scorecard reveals statistically significant ( $p<.001$ ) relationships (except for the Defensive sub-domain scores) between several ASUS sub-domain scores and offenders with repeat assessments administered. Offenders with repeat assessments show a decrease in Mood and an increase in Motivation sub-domain scores, which reveal decreasing risks in alcohol and substance use. However, percentile scores are increasing for Social, Disruption, and Involvement, indicating increased risks for alcohol and substance use.

**Implication:** The relationships between increased reassessments and increases in the ASUS Disruption, Involvement, and anti-social sub-domain scores implies higher alcohol and substance use risk levels despite, or perhaps as a result of (i.e., due to increased surveillance), timely and ongoing reassessments.

# ICIS Implementation Scorecard

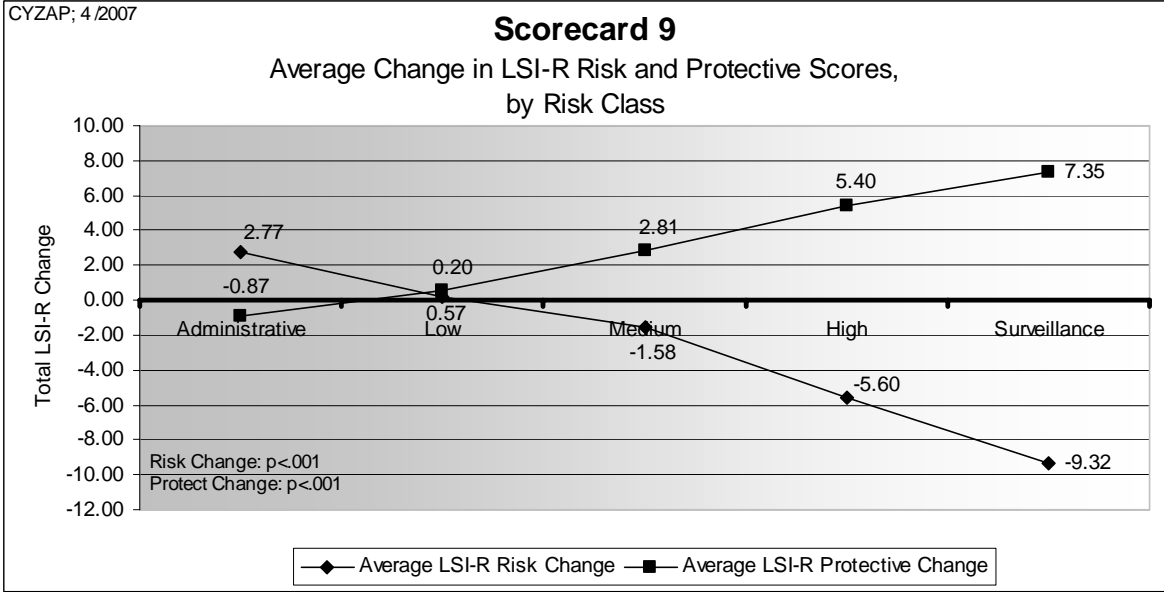
**Goal:** Evaluate the effectiveness of intermediate sanctions in reducing recidivism (Goal 3)

**Objective:** To evaluate the effectiveness of matching offenders to services based on risks and needs (Objective 3)

**Indicator:** Average change in LSI-R risk and protective scores by risk class

**Description:** Analysis of change in LSI-R risk and protective scores in relation to offender risk levels

**Benchmark:** Greater positive change in LSI-R protective scores and greater negative change in LSI-R risk scores as risk level increases



**Analysis:** This scorecard reveals statistically significant ( $p < .001$ ) relationships between the LSI-R risk and protective scores and the offender risk levels. There is a larger negative change in risk scores and a corresponding larger positive change in protective scores as risk levels increase.

**Implication:** Offenders at higher baseline risk levels are experiencing comparatively larger reductions in LSI-R risk factors, and larger increases in LSI-R protective factors. This implies the possibility that greater service matching efforts, and/or better effectiveness in serving offenders may be emerging.

# ICIS Implementation Scorecard

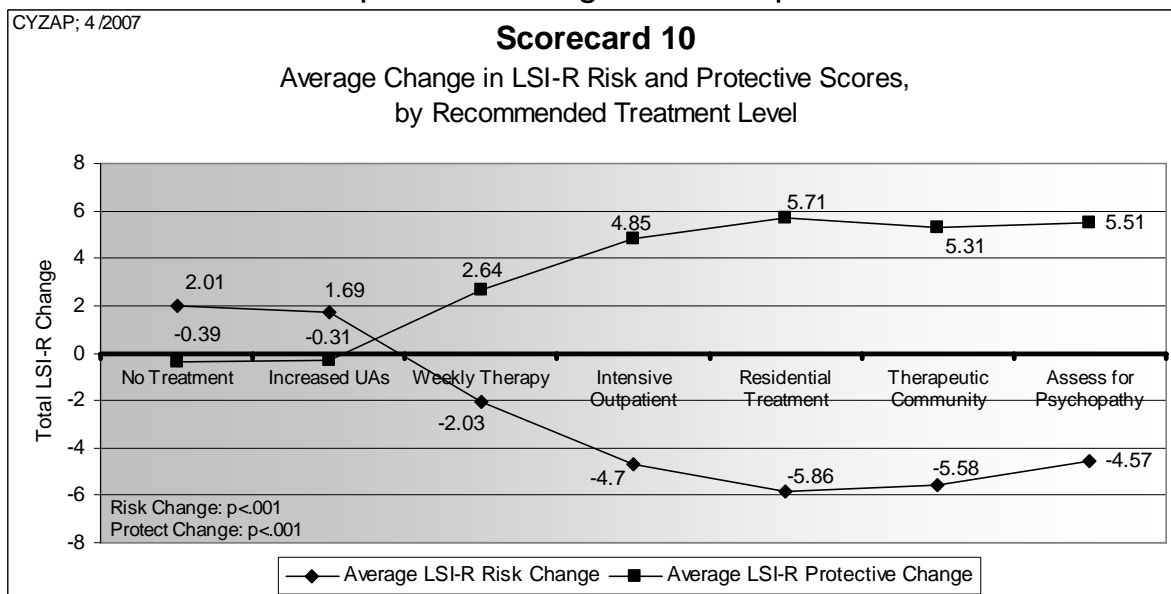
**Goal:** Evaluate the effectiveness of intermediate sanctions in reducing recidivism (Goal 3)

**Objective:** To evaluate the effectiveness of matching offenders to services based on risks and needs (Objective 3)

**Indicator:** Average change in LSI-R risk and protective scores by recommended treatment level

**Description:** Analysis of change in LSI-R risk and protective scores in relation to recommended treatment level

**Benchmark:** Greater positive change in LSI-R protective scores



**Analysis:** This scorecard reveals statistically significant ( $p < .001$ ) relationships between the LSI-R risk and protective scores and offender treatment levels. Offenders who are recommended for more intensive treatment experience greater reductions in criminogenic risk factors and a corresponding greater increase in protective factors.

**Implication:** This finding reveals greater disparity as recommended treatment levels intensify between LSI-R risk and protective factors. This implies that greater treatment resources may be needed in order to reduce risk factors and increase protective factors in offenders.

# Scorecard Trends

- 1) Probation and Parole Officers are conducting less initial assessments today than in previous quarters.
  - Since the first quarter of 2005, the number of LSI-R initial assessments has decreased at a rate of -1.33% per quarter (Scorecard 1).
  - Since the first quarter of 2005, the number of ASUS initial assessments has decreased at a rate of -0.86% per quarter (Scorecard 1).
- 2) The growth rate of reassessments is increasing by the number of repeat reassessments administered.
  - Second reassessments grew from 35 administered in the first quarter of 2005 to 346 administered in the first quarter of 2007 (Scorecard 2).
  - Third reassessments grew from 3 administered in the first quarter of 2005 to 155 administered in the first quarter of 2007 (Scorecard 2).
- 3) More effort is needed to reassess offenders six months after completing an initial LSI-R assessment.
  - The 5.5% reassessment rate represents a 62.3% decrease from the 14.6% reassessment rate reported in the previous Scorecard Report (July 3, 2006) (Scorecard 4).
- 4) There is a significant decline in LSI-R risk scores by offenders who receive multiple reassessments.
  - Offenders with one reassessment had a 1.28 point decline in LSI-R risk scores (Scorecard 5).
  - Offenders with three reassessments had a 3.29 point decline in LSI-R risk scores (Scorecard 5).
- 5) There is a significant increase in LSI-R protective scores by offenders who received multiple reassessments.
  - Offenders with one reassessment had a 1.94 point increase in LSI-R protective scores (Scorecard 6).
  - Offenders with three reassessments had a 3.83 point increase in LSI-R protective scores (Scorecard 6).

## Scorecard Trends

- 6) There is a significant decline in LSI-R “Big Six” sub-domains (except for Criminal History) by offenders who received multiple assessments.
  - Between the initial assessment and second reassessment, average scores decreased for the following sub-domains: Family/Marital (5 percentage points), Companions (5 percentage points), Alcohol/Drugs (8 percentage points), Emotional/Personal (1 percentage point), Attitudes/Orientation (5 percentage points) (Scorecard 7).
- 7) There is a significant increase in ASUS sub-domains (except for Mood and Defensive) by offenders who received multiple assessments.
  - Between the initial assessment and second reassessment, average scores increased for the following sub-domains: Involvement (4 percentage points), Disruption (5 percentage points), Social (3 percentage points), Motivation (8 percentage points) (Scorecard 8).
- 8) As LSI-R risk levels increase, there is a significant positive change in protective scores and a significant negative change in risks scores.
  - Average LSI-R risk scores decreased 12.09 points between the Administrative risk level and the Surveillance risk level (Scorecard 9).
  - Average LSI-R protective scores increased 8.22 points between the Administrative risk level and the Surveillance risk level (Scorecard 9).
- 9) As LSI-R recommended treatment levels intensify, there is a significant positive change in protective scores and a significant negative change in risk scores.
  - Average LSI-R risk scores decreased 6.58 points between the No Treatment level and the Assess for Psychopathy level (Scorecard 10).
  - Average LSI-R protective scores increased 5.90 points between the No Treatment level and the Assess for Psychopathy level (Scorecard 10).

# ICIS Implications

- The increasing number of LSI-R and ASUS reassessments administered reflects a greater capacity to monitor offender risk change over time.
- Shorter monthly intervals between LSI-R and ASUS assessments may enhance officer risk-monitoring efforts in the following ways:
  - It increases offender case management and surveillance efforts
  - It provides updated assessment information needed for the targeting of interventions
- A low reassessment rate will make effective case supervision difficult because of the absence of timely and ongoing offender updates.
- Offenders who are monitored and assessed repeatedly over time reveal significant decline in criminogenic risk. This may imply the following:
  - An increase in case monitoring efforts
  - A more focused monitoring of interventions aimed at reducing recidivism risk
- The relationship between offender risk level and negative change in risk and positive change in protective factors implies the following:
  - Greater service-matching efforts in targeting interventions based on risk level.
  - Better case management effectiveness experienced with higher risk offenders.
- The relationship between recommended treatment intensity and negative change in risk and protective change in protective factors implies the following:
  - Greater service-matching efforts are taking place, which may reflect successful referrals to higher intensity treatment programs.
  - Better case management effectiveness occurring with offenders recommended for higher intensity treatment programs.