Using the Level of Service Inventory-Revised (LSI-R) in CSNSW Correctional Centres: Offender Services and Programs staff

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<td>Contact</td>
<td>Polina Fragaki Assessments Coordinator Assessment &amp; Case Management, OM&amp;P <a href="mailto:assessments@justice.nsw.gov.au">assessments@justice.nsw.gov.au</a></td>
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Using the Level of Service Inventory-Revised (LSI-R) in Correctional Centres: Offender Services and Programs staff

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1 Policy statement

CSNSW Offender Services & Programs staff are committed to timely, accurate and comprehensive assessments of the psychological and mental health status, criminogenic needs and likelihood of reoffending (risk level) of offenders, to ensure their optimal classification, placement within community and correctional centres, and formulation of relevant and achievable case management plans and referrals to appropriate behaviour change programs and services.

2 Purpose

These LSI-R assessment policies and procedures have been developed to establish and maintain consistent and accountable policies and processes to ensure relevant information is collected within required time frames, to inform the development of comprehensive offender profiles used to classify, formulate and implement relevant and achievable case management plans, programs and treatments, so as to maximise favourable offender outcomes, reduce reoffending and enhance community safety.

3 Scope and responsibility for implementation and compliance monitoring

These policies and procedures apply to all CSNSW Offender Services & Programs professional staff responsible for administering the LSI-R to inform offender assessment, placement, case management and referral and decision making processes, as well as certain officers with authority delegated by the Commissioner to classify and move inmates.

For offenders who will be released to parole supervision, Community Corrections Officers will administer the LSI-R (unless a current and valid LSI-R exists) in accordance with the Case Management of Offenders Policy and Procedures and the Community Corrections Policy and Procedures Manual.

4 Strategic focus

- NSW State Priority: Safer Communities: Goals for Police, Justice and Corrective Services
- Department of Justice Corporate and Business Plan 2015-19
- Department of Justice Strategic Plan 2015-19
- CSNSW Business Plan 2015-2016
- Corrections Strategy and Policy Business Plan 2015-16
- Custodial Corrections Branch Business Plan 2015-16
- Offender Management and Policy Business Plan 2013-14
- A strategy for supporting Aboriginal offenders to desist from re-offending, CSNSW (April 2014)
Family matters: A strategy for service and program provision to children and families of offenders, CSNSW (May 2014)

Recognising gender differences: A strategy for program and service provision to women offenders, CSNSW (May 2014)

Offender Management and Programs Business Plan 2015-16

5 Relevant legislation

Staff administering the LSI-R must be familiar with the following:

- Crimes (Administration of Sentences) Act 1999
- Crimes (Administration of Sentences) Regulation 2014
- Crimes (Sentencing Procedure) Regulation 2000
- Crimes (Sentencing Procedures) Act 1999
- Crimes Act 1900

6 Related policies, procedures and guidelines

Staff administering the LSI-R must be familiar with the Department of Justice (DJ) and CSNSW policies, procedures and guidelines that relate to their practice and employment. Most of these can be accessed through the Department’s Directory of Policy, Procedures and Guidelines on the intranet and/or in EDRMS.

The primary sources for these policies and procedures for conducting the LSI-R in custody are the Case Management of Offenders Policy and Procedures. These are available on the intranet. This policy and procedures replaces the Assessment and Case Management Support Unit’s Practice Notes, Part 3, Level of Service Inventory.

NOTE: Community Corrections Officers are responsible for conducting LSI-Rs on offenders who are to be released from custody on supervised parole orders.

Relevant documents, information sources and frameworks include:

- LSI-R Assessment and scoring guide Version 2.0, October 2007, D14/427026
- Determining which offenders require an LSI-R in custody is also outlined in the Case Management of Offenders Policy and Procedures
- Offender Classification & Case Management Policy and Procedures Manual (2015); Identifying Offenders with Intellectual disabilities, Section, 24.2

Community Corrections

- Community Corrections Policy and Procedures Manual
- Governance and Continuous Improvement Division, Standards for Community Operations
- Summary of all relevant clauses relating to administering the LSI-R in the Community, D15/509766
Custodial Corrections

- Deputy Commissioner, Offender Management and Operations Memoranda Nos:
  - 2009/48
  - 2009/51
  - 2011/71

Document sources which have been superseded by this LSI-R Policy and Procedures document:

- Determining LSI-Rs for completion by Offender Services and Programs staff; ACMST.3.1
- Checking the validity of a current LSI-R; ACMST.3.2 – D13/544767
- Administering the LSI-R in custody; ACMST.3.3 – D13/544800
- Overriding and approving the LSI-R in custody; ACMST 3.4 - D13/545247
- Standards for conducting the LSI-R - Community and Custodial Corrections, 2013, ACMST, D13/374747

Enquiry contact: assessments@justice.nsw.gov.au

Other online information and resources re LSI-R training availability and schedules, accreditation and blank LSI-R forms are available on the LSI-R page on the Intranet.

These resources include:

- How to determine the number of LSI-Rs due for completion at my location? (How to run the OIMS report)
- How to interpret an LSI-R and determine case plan factors
- ACMST Training Calendar (2016), D14/497823
- Blank LSI-R form, D14/452931
- Administering the LSI-R on OIMS
- LSI-R Training Course
- LSI-R Introductory Training D12/348474

Enquiry contact: assessments@justice.nsw.gov.au
## 7 Definition of terms and abbreviations

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<tr>
<td>ACMST</td>
<td>Assessment and Case Management Support Team</td>
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<td>CCO</td>
<td>Community Corrections Officer</td>
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<tr>
<td>CCM</td>
<td>Community Corrections Manager</td>
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<tr>
<td>CCMRC</td>
<td>Classification and Case Management and Review Coordinator</td>
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<tr>
<td>Cluster MOSP</td>
<td>Cluster Manager of Offender Services and Programs</td>
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<td>COMCOR</td>
<td>Community Corrections</td>
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<td>CSNSW</td>
<td>Corrective Services NSW</td>
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<td>CIA</td>
<td>Community Impact Assessment</td>
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<tr>
<td>EDRMS</td>
<td>Electronic Document &amp; Records Management System (previously TRIM)</td>
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<tr>
<td>EDOR</td>
<td>Earliest date of release</td>
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<td>FPS</td>
<td>Forensic Psychological Services</td>
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<tr>
<td>LSI-R</td>
<td>The Level of Service Inventory – Revised (LSI-R)</td>
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<td>MHS</td>
<td>Multi Health Systems</td>
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<td>Offender Classification and Case Management Branch</td>
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<td>OS&amp;P</td>
<td>Offender Services and Programs</td>
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<td>OIMS</td>
<td>Offender Information Management System</td>
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<td>OPTU</td>
<td>Offender Programs Training Unit</td>
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<td>OIMS</td>
<td>Offender Integrated Management System</td>
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<td>PSR</td>
<td>Pre-Sentence Report</td>
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<td>PRR</td>
<td>Pre-Release Report</td>
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<td>RSM</td>
<td>Regional Support Managers</td>
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<td>SAPO</td>
<td>Services and Programs Officer</td>
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<td>SORC</td>
<td>Serious Offender Review Council</td>
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<td>SPA</td>
<td>State Parole Authority</td>
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<td>SSAPO</td>
<td>Senior Services and Programs Officer</td>
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<td>TRIM</td>
<td>Tower Records Information Management System (now EDRMS)</td>
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8 Implementation Guidelines

8.1 Standards for Conducting the Level of Service Inventory - Revised (LSI-R)

8.1.1 Overview of the LSI-R

Accurate assessments provide an evidence based foundation for case management, and aim to accurately identify key static and dynamic risk factors to be targeted and managed appropriately. The consistent application of assessments and the accuracy of their results across custodial and community corrections are essential to the prediction of risk and assist in the prioritisation of limited resources towards offenders with higher risks and criminogenic needs.

In NSW the standard assessment tool to estimate risk of general re-offending is the Level of Service Inventory - Revised (LSI-R).

The LSI-R is an instrument that provides a consistent and valid method of quantifying and predicting risk of re-offending and criminogenic needs. Reassessments provide a reliable means of measuring changes to risk and needs over time.

The expected output, per offender, after an LSI-R has been administered is as follows:

- A complete profile of the offender’s criminal history;
- An identified level of risk of general reoffending on a continuum ranging from low to high risk;
- An individual listing of dynamic factors related to the risk of re-offending, and their severity; and
- An individual listing of strengths, assets and protective factors of the offender.

The LSI-R, once completed, provides much of the information on which to base a comprehensive case plan. Those criminogenic needs for which some, or considerable need for improvement is identified, will form the main case plan factors to be focused on, in order to reduce the risk of reoffending.

8.1.2 Objectives of LSI-R Assessment

- To identify an offender’s risk of reoffending, criminogenic needs and protective factors
- To determine any specific risk areas requiring further investigation
- To determine any further, in-depth, assessment of criminogenic needs
- To guide case plan decision making related to the allocation of interventions including level of case management, eligibility of appropriate correctional programs and services.
- To guide decisions regarding the intensity and type of intervention required.
- In the custodial environment - to provide information to assist in the placement of offenders to the most appropriate institution/setting and to contribute to their timely preparation for safe reintegration.
To assist in determining the severity of criminogenic needs, case management plan factors, required interventions and treatments.

To assist with determining, along with the Community Impact Assessment (CIA), the level of service delivery in the community, as per the Community Corrections’ Service delivery standards for supervised offenders.

8.1.3 Standards for Conducting the LSI-R

- The LSI-R must be conducted in accordance with the licence entered into by the Multi Health Systems (MHS) and the Corrective Services NSW Commissioner as well as these standards.
- The LSI-R will be scored in accordance with the Assessment and Scoring Guide for the LSI-R, developed by the Assessment and Case Management Support Team (ACMST) and published on the CSNSW intranet.
- Staff administering the LSI-R must be accredited to administer the LSI-R.
- LSI-Rs must be based on verified information which addresses all relevant areas of risk.
- The LSI-R outcomes are based on the appropriate interpretation of available information.
- LSI-Rs are scored and stored electronically on the Offender Integrated Management System (OIMS).
- Overriding an LSI-R should reflect a sound assessment of risk factors, not already captured in the inventory.

8.1.4 Performance Standards

- LSI-Rs must be cross-verified through multiple sources - including personal and official sources of information, with a minimum of 3 to 5 sources overall.
- Less than 10% of LSI-Rs are to be overridden.
- 100% of supervised offenders in the community to have a current and approved LSI-R.
- 100% of sentenced offenders in custody with an aggregate sentence of more than 6 months, must have a current and valid LSI-R.
- Newly sentenced inmates (with greater than 6 months to serve at the time of sentencing) must have an LSI-R administered within 12 weeks of sentencing, unless a current and valid assessment pre-exists.
- LSI-Rs must be signed off by a supervisor 5 days after completion.

8.1.5 Training and Accreditation

- LSI-R training must meet the requirements of its publisher, Multi Health Systems. Initial training will consist of a competency-based 2-day training course, and post training assessment.
- LSI-R staff training will only be facilitated by trainers who have undergone specialist training and supervision. Only trainers approved by the Manager, ACMST and Manager, Operational Community Programs Training Unit (OCPTU) may conduct LSI-R training.
• Staff required to complete LSI-Rs must undergo the initial 2 days Introductory Training Course and complete a practical assessment within 4 months of training to attain accreditation.

• Post-training practical assessment is a condition of accreditation. Three supervised LSI-R assessments must be conducted within 4 months post completion of the introductory course. Supervision of these three LSI-R assessments must be provided by an officer holding current accreditation in the administration of the LSI-R.

• Accreditation will only be granted by the person supervising as outlined in point 4 above. After successfully completing the first three LSI-Rs the candidate returns the relative paperwork (checklist) to OCPTU for recording on the Learning Management System (LMS). Notification of successful accreditation will be given either electronically, or in writing, to both the candidate and the supervisor. Staff deemed Not Yet Competent will be notified by the Senior Learning and Development Facilitator, and told what they additionally require in order to achieve accreditation. This may be to correct errors in the assessment, complete a further assessment of three supervised LSI-Rs, or undergo the 2 day training again.

• Accreditation in administering the LSI-R is granted for 2 years, after which an LSI-R Refresher Training course must be undertaken and recorded in LMS.

• OCPTU will maintain a database containing the list of LSI-R accredited staff.

• One day LSI-R Refresher Training courses will be provided to ensure that staff maintain consistently high standards in assessing offenders.

• Refresher Training must be completed by LSI-R users every 2 years to remain an accredited assessor.

• All Unit Leaders, SSAPOs and managers approving LSI-Rs must also undertake the LSI-R for Supervisor’s Training.

9 Procedures

9.1 Determining LSI-Rs for completion in custody

All sentenced offenders serving a custodial sentence of six months or more require a current and valid LSI-R. Not all newly sentenced inmates and offenders require a new LSI-R if their current LSI-R is valid.

For offenders who will be released to parole supervision, Community Corrections Officers will administer the LSI-R (unless a current and valid LSI-R exists) in accordance with the Case Management of Offenders Policy and Procedures and the Community Corrections Policy and Procedures Manual.

For all other offenders, these procedures must be followed by OS&P staff.

9.1.1 When the procedures apply

This policy and procedures apply for all MOSPs/ SSAPOs when determining which sentenced inmates require an LSI-R assessment. The procedures must be followed by OS&P staff when determining new LSI-R requirements.

Enquiry contact: assessments@justice.nsw.gov.au
9.1.2 Definition of a current and valid LSI-R

An LSIR is determined to be **current**:  
- If it was applied in the previous 12 months  
- If it was applied during a period of custody that immediately preceded the offender’s current order

An LSIR is determined to be **valid**:  
- If it is current  
- If there have not been any significant changes to the offender’s circumstances since it was applied that would affect the offender’s risk level

9.1.3 The procedures

1. The SSAPO at each Correctional Centre will print the “LSI-R Requirements Report” on a weekly basis. This report will name all sentenced inmates at their location, requiring an LSI-R. The SSAPO allocates these cases evenly between currently accredited LSI-R assessors (SAPOs) for completion. The Requirement Report will include offenders who (a) will not be released to parole supervision and (b) have greater than 6 months to serve at the time of sentencing.

2. New inmates will require either a new LSI-R, or if an LSI-R was administered within the 12 months prior to entering custody, an LSI-R validity check. A new LSI-R assessment may be required if the prior LSI-R is invalid. Instructions on how to check the validity of an LSI-R are found at Section 9.2 of this Manual, which follows. Instructions on opening the LSI-R Requirement Report are found on the LSI-R Intranet page.

3. New LSI-Rs are to be completed between 5 and 12 weeks from sentencing, prior to the Week 12 Case Management Team meeting, to enable the LSI-R results to be addressed at this meeting.

4. Offenders requiring an LSI-R will fall under the following headings on this report:  
   a. Recently sentenced offenders – OS&P to complete new LSI-R – OVERDUE  
   b. Recently sentenced offenders – OS&P to complete new LSI-R  
   c. Recently sentenced offenders – OS&P to check validity of LSI-R if significant changes

5. SSAPOs must maintain a record of allocated LSI-Rs to ensure their administration.

6. Cluster MOSPs are to print and review the LSI-R Requirement Report each month to check if any LSI-Rs remain outstanding

9.2 Checking the validity of a current LSI-R

Many ‘recently sentenced inmates’ come into custody with a pre-existing LSI-R. *LSI-R Requirements Reports* identify which newly sentenced offenders require a new LSI-R. These procedures must be followed if LSI-Rs have been administered in the 12 months prior to the inmate coming into custody, to determine if these LSI-Rs still meet validity criteria. If the pre-existing LSI-R is assessed as no longer valid, a new LSI-R must be completed within the
required 12 week time frame to be available for the 12 week Case Management Team meeting to inform case management planning.

9.2.1 When the procedures apply

The procedures apply to an inmate’s first 12 weeks after sentencing, when OS&P staff are required to check the validity of a previously completed LSI-R.

Once a current and valid LSI-R exists for a period of custody, the LSI-R does not need to be re-administered during that period of custody.

9.2.2 The procedures

1. On a weekly basis SSAPOs must run an LSI-R Requirements Report to identify offenders that have recently been sentenced and require their current LSI-R to be assessed for validity. NOTE: OS&P staff are not responsible for offenders who will be released to supervised parole.

Offenders who were administered an LSI-R within the 12 months prior to entering custody and where validity checks are required, are identified by the following heading in the LSI-R Requirements Report:

a. Recently sentenced offenders – OS&P to check validity of LSI-R for significant changes

b. A SAPO will identify offenders requiring a validity check and allocate OS&P staff to conduct the check.

2. A SAPO will then check whether the LSI-R is valid, by ensuring it has been administered within the last 12 months, and by assessing if there have been any significant changes to the offender’s circumstances since it was administered, that would affect service and program eligibility. Particular attention should be paid to offenders who had previously had raw scores scored between 21-27 (which range between Low/Medium & Medium Risk Levels) and whether any significant change in scores would affect program eligibility.

Objective verification of offender’s circumstances should be gained by speaking with relatives or persons significant in their lives, after gaining the offender’s consent. Offender consent should be recorded in the case note section of OIMS.

In circumstances where the offender refuses consent, officers must engage all available professional skills to negotiate access and to advise offenders of the possible consequences and outcomes should consent continue to be withheld.

After assessing the validity of a pre-existing LSI-R, the LSI-R Validity Checklist must be completed in the Assessment module in OIMS (See 9.4 - Checklist for conducting an LSI-R).

a. If the previous LSI-R result is still valid, select YES

b. If the previous LSI-R result is not valid, select ‘NO’. A new LSI-R is now required to be administered prior to the 12 week Case Management Team meeting to inform case management planning, which cannot proceed without a valid and current LSI-R. (See Section 9.2 of this document).
3. Once an LSI-R is assessed as valid, or a new LSI-R is completed, the SSAPOs must be advised, to review the Validity Check or the newly completed LSI-R for accuracy. All LSI-R assessments require the approval of a Senior Officer in the Approval Screen in OIMS. This screen allows for the assessed risk level to be approved, made pending, or rejected, by the Senior Officer. (See Overriding and approving LSI-R scores, Section 9.5 of this document).

4. Officers administering the LSI-R must not approve their own LSI-Rs; these must be only approved by SSAPOs or Cluster MOSPs holding current accreditation in the administration of the LSI-R. All LSI-Rs must be signed off within 5 days of completion.

5. Cluster MOSPs/SSAPOs are to maintain a record of allocated validity checks to ensure their completion.

9.3 Administering the LSI-R in custody

These procedures for administering an LSI-R on a sentenced inmate that will not be released to supervised parole, must be followed by OS&P staff in custodial environments.

9.3.1 When the procedures apply

All OS&P staff required to conduct LSI-R assessments with sentenced inmates must follow these procedures. A Checklist summarising the administration procedures is at Section 9.4 of this Manual, which follows.

- OS&P staff at the correctional centre where the inmate is located at the beginning of the 5th week after sentence, are responsible for administering the LSI-R, regardless of whether the offender is transferred from the correctional centre after that date. However, MOSPs may negotiate where appropriate.
- New LSI-Rs are to be completed in the first 12 weeks from sentencing, prior to the Week 12 Case Management Team meeting, to enable the LSI-R results to be addressed at this meeting.
- LSI-R results must be signed off by an accredited supervisor within 5 working days.
- Once a current and valid LSI-R exists for a period of custody, the LSI-R does not need to be readministered during that period of custody. This includes LSI-Rs which were administered within the 12 months prior to entering custody or during the first 12 weeks after sentencing.

9.3.2 Releases on parole without supervision

The OS&P staff members attached to the correctional centre at which the inmate is located at the beginning of the 5th week after sentence have responsibility for administration of the LSI-R, regardless of whether the offender was transferred from the correctional centre after that date. However, MOSPs may negotiate where appropriate.

NOTE: This applies to offenders sentenced on or after 15 June 2009. Offenders sentenced prior to that date, have the LSI-R administered by a ComCor Officer following release from custody.

9.3.3 The procedures

Once the SSAPO has allocated an offender for an LSI-R assessment (see Section 9.1 of this Manual above) the OS&P staff will:
1. Check EDRMS or paper files for collateral information including Police Facts, recent Criminal History, court depositions and Judge’s comments. These are to be used in verifying interviews.

2. If deposition information is not held in EDRMS or paper files, staff must then check the Caselaw ([Lawlink](http://lawlink.gov.au)).

3. If collateral information has not been obtained by steps 1 or 2, it is to be ordered prior to conducting the interview by emailing Sentencing Administration (sentence.admin@justice.nsw.gov.au) to request Court Documents/Depositions. This form is located on the intranet, and it is vital that criminal history (NOT a convictions and sentencing report) is used to verify an LSI-R.

Prior to interviewing the offender, staff are to familiarise themselves with the case, by accessing and reading OIMS (pre-sentence report, inmate profile document, intake screening questionnaire, pre-existing case plan, case notes, and any previous assessments) and paper files (warrant and case file information).

Only after the above collateral information has been sourced, the inmate is interviewed in accordance with LSI-R training, using an *LSI-R blank form*.

4. LSI-R interviews should not be conducted when an offender is unstable, withdrawing from drugs or alcohol, actively psychotic etc. In these cases a notation is to be made indicating a deferral until the offender is stabilised.

5. **Consent to Release Information** form, must be signed by the offender in order to verify information prior to completing the LSI-R.

6. **Collateral information.** SSAPOs are to ensure SAPOs are using all sources of collateral information for LSI-R assessments and information gathered before the interview. *In the event that information is not received prior to 12 weeks, staff have the option of completing the LSI-R based on the information available. This must be documented in OIMS Case Notes. Once information is received, staff are to review and modify LSI-R scores (where necessary) based on additional information.*

7. **Verification of information.** After the LSI-R interview, information provided by offenders must be verified by staff administering. This includes contacting any relevant person/agency (internal and external to CSNSW) who can help verify information provided by the offender. This includes, but is not limited to, Community Corrections, Justice Health, family members, employers, mental health providers, Centrelink, or other significant parties. Assessors should also consult prior LSI-R assessments, other assessments, case histories, court and criminal records and existing reports located on OIMS and paper files.

8. Cluster MOSPs/SSAPOs are to ensure offenders identified as requiring a LSI-R have their assessments completed and scores entered into OIMS; the latter check done when the SSAPO approves each LSI-R.

9. **Aboriginal offenders.** Cultural behaviours or Aboriginal issues may require additional considerations in scoring the LSI-R, as CSNSW research has shown the LSI-R can over predict risk of reoffending, particularly for Aboriginal women. If difficulties present, scoring should generally adhere to the criteria in the CSNSW Assessment and Scoring Guide for the LSI-R. If the final outcome of the test appears to have over- or underestimated the level of risk due to cultural issues, the score should be discussed with the SSAPO prior to any override being considered. Should the LSI-R be overridden, the
10. **Offenders with additional support needs (Disability Services).** Many offenders with additional support needs achieve relatively high LSI-R scores even if they have low criminal subtest scores. The LSI-R often indicates additional support needs, rather than just criminogenic needs. It is therefore important to provide both support and address criminogenic factors, if the level of risk is to be appropriately addressed. Statewide Disability Services may be able to assist in the case management of offenders with additional support needs.

11. **Forensic Patients** often do not have an LSI-R, as they are considered “not convicted” rather than “sentenced”. While case planning for forensic patients differs in that the Mental Health Review Tribunal (MHRT) determines when an inmate on a limiting term has served sufficient time in custody, the LSI-R still forms the basis of risk management. The LSI-R needs to be completed soon after the inmate becomes a forensic patient (if a valid LSI-R does not exist) by the SAPO in the gaol of classification, so that appropriate programs and sequencing can be provided and risk appropriately managed. Caution should be used when interpreting the LSI-R for forensic patients in custody for the first time, as many of the risk factors may be overshadowed by their cognitive impairments and/or mental illness. For all forensic patients, consider issues as discussed above for offenders with additional support needs.

12. **SORC Offenders.** The optimal time to administer the LSI-R is when an offender is in the community, or within weeks of being incarcerated, but there may be times when a variation of the scoring rules is warranted for SORC offenders. Where an inmate does not have a current/valid LSI-R and is a) a newly registered SORC inmate, a member of the Serious Offender Assessment Unit (SOAU), will conduct the LSI-R assessment, but if the offender b) was on Remand for two years or more, and receives a custodial sentence without parole supervision, a SAPO will conduct a "point in time" LSI-R assessment. A “point in time” LSI-R refers to the time frame either at, or in the 12 months leading up to, the offence.

   The initial LSI-R on this group of inmates can be administered after the inmate has been incarcerated for more than 2 years, using the following “alternative timeframes” changes:
   - **Current** - evaluate according to the offender’s situation around the time of the offence
   - **Past Year** - evaluate the offender’s predominant behaviour over 12 months prior to the offence
   - **Past Year/2 Year** - same as Past Year rule i.e. evaluate the offender’s predominant behaviour over 12 months prior to the offence
   - **Entire Lifetime** - Evaluate the offender’s predominant behaviour pattern over his/her lifetime

   This variation in timeframe will more accurately reflect an offender’s risk of reoffending based at a time when they were in the community and will be used to better establish program eligibility.

   Where a SORC inmate had an LSI-R in the 12 months prior to their remand/incarceration, the Serious Offender Assessment Unit (SOAU) completes the validity check, and if assessed that the previous LSI-R is no longer valid, then a new LSI-R is conducted.
Any assessment conducted using the alternative timeframes should note this in the “Special Circumstances” field on the results screen as well as in the comment field on the assessment/approval screen.

To determine whether an LSI-R with the alternative timeframes can be applied to a particular inmate, the officer may contact their supervisor or assessments@justice.nsw.gov.au

13. Language support services and/or translators may be required to help administer the LSI-R, to gain accurate information and to validate information provided.

14. Overriding the LSI-R. An override to increase the LSI-R rating should only be applied where evidence indicates that the calculated rating does not reflect the likelihood of re-offending. Conversely, overriding to reduce the LSI-R rating, should only be applied where the evidence suggests the calculated rating overestimates the likelihood of re-offence, in particular, unproven or unconvicted offences (See Section 9.5, Overriding and approving LSI-R scores, of this Manual for full guide).

15. The completed LSI-R assessment must be entered onto OIMS via the Assessment module/screen. Relevant verbal information should be recorded on an OIMS Case Note. The Special Circumstances field may also be used for any assessment notes and these notes will appear on the LSI-R printout.

16. Clarification of any LSI-R scoring concerns or any issues of uncertainty, should be directed to the Assessment and Case Management Support Team via assessments@justice.nsw.gov.au. Expert advice ensures quality and accuracy of the assessment, and state-wide scoring consistency.

17. Documents used for or during the administration of the LSI-R, which are not available on OIMS (such as court depositions, expert reports and the Offender Intake Data Form/LSI-R Evidence Table) must be filed on the offender’s case management file.

18. Holding offenders for assessment. A request can be made to hold an offender at a particular correctional centre for the purposes of administering an LSI-R in the 12 weeks following their date of sentencing. This request is made by contacting the Classification Branch and MAY BE MADE AT ANY TIME BETWEEN THE OFFENDER’S DATE OF SENTENCING (OR UNTIL THE WEEK 12 CMT MEETING).

The Offender Case Management and Classification Branch (OCMCB) will make efforts to secure these holds, but it may not be possible to do so in every case (particularly in reception/remand beds). To request a hold, details of the offender and particulars of the hold should be emailed to Director, Inmate Classification.

19. Approving an LSI-R. After administering an LSI-R, OS&P staff must inform the SSAPO. The Cluster MOSP/SSAPOs will then review the completed LSI-Rs for accuracy and ‘APPROVES’ in OIMS.

20. Once ‘APPROVED’, the offender’s name will also be removed from the LSI-R Requirements Report.

21. The quality of LSI-R assessments will be monitored according to standards and Key Performance Indicators in the Assessment and Case Management Support Team Standards for conducting the LSI-R, for both Community Corrections staff and Offender Services and Programs Staff (see Sections 8.1.3 and 8.1.4).

22. An LSI-R Checklist summary follows in Section 9.4 of this document.
9.4 CHECKLIST for Administering LSI-Rs - OS&P STAFF

Once an LSI-R is allocated to an OS&P staff member, the following steps should be taken:

☐ Check on EDRMS, or paper files, for up-to-date Criminal History, Court Depositions and
    Judges Sentencing Remarks (JSRs).
    o If not available, order these through Sentence Administration Branch. Select
      Depositions Request Form and send completed form to
      sentence.admin@justice.nsw.gov.au

☐ Check EDRMS for scanned case files (custody) and case history (community) files.

☐ Read Case File(s) and other paper files – especially Inmate Identification and Observation
    Form, classification documents

☐ Review OIMS Screens – including
    o Intake Screening Questionnaire, other assessments (assessments screen),
    o Case Plan, Case Notes (Case Management screen), referrals and
    o program participation (Services and Programs screen)

☐ Review OIMS Reports - including
    o Pre-Sentence Report, Pre-Release Reports, Breach Reports, Court Duty Reports, etc

☐ Interview inmate using LSI-R blank form.

☐ Conduct 3rd party verifications - verify answers through telephone calls to family members,
    significant others, CSNSW staff or other relevant parties. Resolve scoring discrepancies
    before scoring.

☐ Enter onto OIMS

☐ Notify the SSAPO that assessment has been completed and is ready for Approval.

For help scoring items see OIMS hint buttons, LSI-R Assessment and scoring guide, Version
2.0, 2007 or assessments@justice.nsw.gov.au.
9.5 Overriding and approving LSI-R scores

To professionally override an LSI-R and to gain approval for this override, these procedures must be followed by OS&P staff in custodial environments.

9.5.1 When the procedures apply

Applicable for all OS&P Officers when additional factors, circumstances or known risk issues related to re-offending, or their absence, suggest an override of a sentenced offender’s LSI-R calculated score is indicated.

9.5.2 General override principles

An override to increase the LSI-R rating should only be applied where evidence indicates that the calculated rating does not reflect the likelihood of re-offending. Conversely, an override to reduce the LSI-R rating should only be applied where the evidence suggests the calculated rating overestimates the likelihood of re-offence.

An override is not required due to an offender being a high profile or serious offender (in the community this information will be captured by the CIA. If an override is applied, reasons for the decision must be recorded in the case notes and the Offender Assessment Screen in OIMS.

9.5.3 The procedures

1. In general, SAPOs will administer the LSI-R in custody and these are to be approved on OIMS by a SSAPo.

2. When evaluating LSI-R results, consideration must be taken as to whether the:
   a. result fits with what is known about the offender’s current circumstances
   b. LSI-R has added to the overall knowledge of the offender, and
   c. LSI-R assessment may have failed to pick up sufficiently on some aspect of the offender’s criminal behaviour.

3. The LSI-R may be overridden based on professional judgement, on an individual case-by-case basis, but overrides are not to be exercised routinely for specific offender groups (see Override exclusions below).

4. The LSI-R has been shown to be a better predictor of general reoffending, including domestic violence reoffending, than professional judgement, or administrative policy overrides. Therefore, the LSI-R should not be overridden as a matter of course for any offenders.

5. Overrides should be discussed and supported by another staff member, trained in the use of the LSI-R and risk assessment.

6. In cases where OS&P staff are uncertain whether to override an LSI-R, staff should liaise with a supervisor trained in the use of the LSI-R or alternatively the Assessment and Case Management Support Team, assessments@justice.nsw.gov.au.

7. Overrides must be approved by a supervising senior officer accredited in LSI-R assessments. If the approving officer is uncertain whether to allow the override, they should discuss this matter, or seek further assistance by contacting the Assessment and Case Management Support Team at assessments@justice.nsw.gov.au.
8. If the LSI-R is overridden, reasons for the decision must be recorded in the override reason and override comment sections in OIMS.

9. LSI-R overrides will be benchmarked against Key Performance Indicators (KPIs) and monitored through the Operational Performance Review Branch.

9.5.4 Override exclusions

1. The LSI-R should not be overridden based solely on the type, or severity of an offence, or due to specific offender category (eg. domestic violence perpetrator, or a violent offender) as the LSI-R is known to have sound predictive validity for these categories. The LSI-R is not a reliable predictor of sexual re-offending. Specific risk assessments for sexual re-offending are relied upon (see below).

2. Automatic override should not be used for gambling-related, or fraud offenders (as a group). An additional gambling assessment may be carried out to ascertain the extent of problematic gambling and information from that assessment, should guide interventions and treatments.

3. An override is not indicated solely due to an offender being a high profile or a serious offender, or due to the seriousness of the offence. These issues are already taken into consideration by the classification and placement process. If an override is applied, reasons for the decision must be recorded.

4. All sex offenders will have specific, offence-related assessments undertaken by a CSNSW psychologist (for example STATIC-99R or STABLE-2007 and ACUTE-2007 where applicable). Even if results from these specific assessments indicate that an offender’s risk on these measures is higher, or lower, than their LSI-R rating, the LSI-R must not be overridden to match the STATIC-99R under any circumstances, or be used to determine risk, or supervision levels for sex offenders. OS&P staff are not involved with LSI-Rs on sex offenders who will be released to a supervised order.

5. For Aboriginal offenders, if the final outcome of the LSI-R test appears to have over- or under-estimated the level of risk due to cultural, or Aboriginal specific issues, the score may be overridden based on professional discretion. The reasons for this must be clearly outlined in the Assessment Screen on OIMS. Although evidence exists as to the predictive validity of the LSI-R with Aboriginal offenders, extra care must be exercised when assessing the risks and needs of this group conducting and, in particular female Aboriginal offenders, whose risk may be over predicted by the LSI-R.

6. Past or current behaviours, which are already measured by items in the LSI-R, do not warrant an override (eg. still using drugs). The LSI-R calculates these behaviours and is included in the final score.

7. An offender’s LSI-R should not be overridden in order to fill vacancies in a correctional program or treatment intervention. Lower risk offenders have been shown to reoffend more frequently when exposed to higher risk offenders and intensity interventions.

9.5.5 Approving an overridden LSI-R

1. An overridden LSI-R must be reviewed by the supervising SSAPO, who must consider the LSI-R for accuracy and weigh up the LSI-R and recommended override, including the reasons for overriding.

2. The SSAPO has the final responsibility for determining an inmate’s risk of reoffending,
and must follow the same evidenced-based principles outlined above. This approving officer may either a) accept the override, b) reject the override and accept the original LSI-R calculated level, or if additional evidence exists c) approve a different risk level to the LSI-R calculated level, or the recommended override. Results must be recorded on the Assessments Approval Screen – and in the case of b) or c) above note reasons/evidence for the rejection of the recommended override.

3. Overridden LSI-Rs must be signed off within 5 working days post completion.

More specific information in relation to overrides can be obtained from the LSI-R Assessment and Scoring Guide.

### 9.6 Guide to interpreting, case planning and reporting LSI-R results

#### 9.6.1 LSI-R and recidivism in NSW

The following estimations are based on CSNSW research (CRES 2008) illustrating the relationship between the LSI-R and recidivism in NSW. Percentages indicate the proportion of offenders who reoffended, were rearrested, reconvicted and returned to CSNSW (either with a community order or custodial sentence) WITHIN 2 YEARS:

- LOW 19% returned to CSNSW
- LOW/MEDIUM 35% returned to CSNSW
- MEDIUM 54% returned to CSNSW
- MEDIUM/HIGH 67% returned to CSNSW
- HIGH 79% returned to CSNSW

#### 9.6.2 Determining risk levels

The categories above are determined by the number of items scored, and range from 0 to 54.

Scores for determining risk level are:

- Low = 0-13
- Low/Medium = 14-23
- Medium = 24-33
- Medium/High = 34-40
- High= 41-54

#### 9.6.3 Determining criminogenic need profiles

The second outcome of an LSI-R is a profile of criminogenic needs across its ten domains. If the domains are standardised to percentage scores, they can be compared and contrasted to determine which are the highest loading (or scoring) areas. The higher loading domains can be an important first indicator of the offender’s salient criminogenic needs.

Criminogenic needs can also be rated for the severity of need based on Table 1 on the following page.
9.6.4 **Protective factors or change scores**

A third important outcome that can be obtained from the LSI-R is a simple scale for protective factors. Protective factors provide a measure of the pro-social influences present in an offender’s life at the time of assessment. They can act as a ‘buffer’ between the offender and future offending.

The protective factor score is the sum of the thirteen LSI-R items which are scored between 0 to 3, therefore the total range for factor is 0 through 39. Scores on this scale are inversely related to total risk scores.

The real value of the protective factor score is realized when an offender is reassessed and a “Change score” is obtained. If an offender is assessed more than once, the subsequent assessments will deliver a change score indicating an improvement or deterioration of their protective factors.

The change score can be negative (reflecting fewer pro-social reinforcements now exist) or positive (reflecting a potential increase in pro-social contact and protective factors).

This change score measure may provide a useful benchmark of outcome-related performance. The overall assumption is that increases in protective factors across time will be positively correlated with successful outcomes.

9.6.5 **Severity of criminogenic needs**

The profile of criminogenic need can be further analysed to establish the severity of each domain. Some criminogenic needs may be more critical in their influence on future criminal behaviour and should not be treated alike. It is therefore useful to separate these out and to address the more severe criminogenic needs through intervention as a priority.

*Table 1: Severity of Criminogenic Needs* is a guide to establishing severity and should be taken into consideration when designing a case plan.

![Table](https://example.com/table.png)

**Table 1: Severity of Criminogenic Needs**

<table>
<thead>
<tr>
<th>Domain</th>
<th>Strength</th>
<th>No immediate need for improvement</th>
<th>Some need for improvement</th>
<th>Considerable need for improvement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Criminal History</td>
<td>0</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Education/Employment</td>
<td>0-1</td>
<td>2-5</td>
<td>6-7</td>
<td>8-10</td>
</tr>
<tr>
<td>Financial</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>Family/Marital</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>3-4</td>
</tr>
<tr>
<td>Accommodation</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>Leisure/Recreation</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>Companions</td>
<td>0</td>
<td>1</td>
<td>2-3</td>
<td>4</td>
</tr>
<tr>
<td>Alcohol/Drug Problems</td>
<td>0</td>
<td>1</td>
<td>2-4</td>
<td>5-9</td>
</tr>
<tr>
<td>Emotional/Personal</td>
<td>0</td>
<td>1</td>
<td>2-3</td>
<td>4-5</td>
</tr>
<tr>
<td>Attitude/Orientation</td>
<td>0</td>
<td>0</td>
<td>1-2</td>
<td>3-4</td>
</tr>
</tbody>
</table>
9.6.6 Case planning using LSI-R results

LSI-R results must be taken into account when developing offenders’ case plans (see Inmate Classification and Placement Procedures Manual, Section. 7.1, 11.1, 13.1). Following are general principles in choosing factors from the LSI-R:

- Criminogenic needs assessed as ‘considerable’ need for improvement must be populated as a factor in the case plan requiring intervention.
- Criminogenic needs assessed as ‘some’ need for improvement should be populated into the case plan as a factor requiring intervention/services.
- Criminogenic needs assessed as “No immediate need for improvement” should not usually be populated into the case plan as a factor requiring intervention.
- Criminogenic needs assessed as “strengths” may be populated into the case plan as a factor and highlighted and encouraged in case plan steps/strategies. For example: an offender with strong ties to a pro-social family may be encouraged to spend more time with them.

9.6.7 Reporting the LSI-R

Any written or verbal report of the LSI-R (e.g. for Court, SORC, SPA etc.) will describe the calculated risk group, the override risk group (if applicable) and the approved level of supervision. Severity of key criminogenic factors, plus protective factors, may also be reported.

9.6.8 Suggested format for describing the LSI-R in a report

“The Level of Service Inventory-Revised (LSI-R) is a quantitative survey of attributes of offenders and their situations relevant to probability of reoffending and the level of supervision decisions. It is composed of 54 items, grouped into ten subcomponents. The LSI-R risk level indicates a comparative likelihood of reoffending in the community within a 2 year timeframe. The assessment also identifies dynamic risk factors / criminogenic needs that may be improved through intervention in order to improve the reoffending odds. Thirdly, the LSI-R provides a Protective Factor score which indicates the prosocial influences present in an offender’s life.”

9.6.9 Referring to the results of the LSI-R in a report

The following format may be adopted (adapted from the LSI-R User’s Manual (MHS)) in reports:

“Mr/s [Smith] was assessed on DD/MM/YYYY and scored in the [medium-high] range for risk of reoffending. On average, offenders in NSW who score in this range, have shown a [67%] probability (see table 1 above) of reoffending within two years.

The results also indicate a number of areas that require addressing if a decrease in Mr/s [Smith’s] risk of reoffending is to be expected. [Outline those LSI-R domains that fall within the “considerable need for improvement”; for example: frequent use of cocaine, most of his peers are pro-criminal, he has no employment and demonstrates supportive attitudes toward criminal behaviour and negative attitudes toward pro-social behaviour].

Protective factors which may protect him from further offending behaviour include [eg. his relationship with his pro-social parents]”
9.7 Using the LSI-R in case management of offenders

9.7.1 The LSI-R

- Assists CSNSW in identifying dynamic areas of risk/need that must be addressed in order to reduce the likelihood of future criminal activity.
- Provides an assessment of risk of recidivism.
- Provides a rationale for case management decisions.
- Assists in classification decisions in institutions.
- Assists in determining the suitability of an offender for a specific program.
- Assists in the appropriate allocation of resources.
- Is deployed in an electronic format through the Offender Integrated Management System (OIMS) platform. Officers are able to score the assessment directly onto OIMS with the total score and risk rating being calculated electronically. There is a summary results screen with direct links to the case plan screen enabling officers to select issues to be included in the case plan.

9.7.2 The LSI-R and Case Management

Case management is the service delivery approach used to assess and develop individualised service delivery plans for offenders, with the ultimate aim of reducing the risks of re-offending. It is defined as a collaborative process of assessment, planning, linking, supervision and review to ensure offenders receive services and programs at appropriate times, and in line with their needs, to reduce the likelihood of re-offending and assist with personal wellbeing. Case management policies are implemented in conjunction with the offender management policy and procedures.

Case Management is the key organising mechanism to prioritise offenders and inmates to the programs and services matched to their personal and criminogenic needs, facilitated by the assignation of staff who become an offender’s ‘case worker’.

9.7.3 Typical characteristics of offenders according to LSI-R risk category

The following table outlines some of the typical characteristics of a low, medium, med/high and high risk offender and the type of treatment or intervention required to reduce that risk.
Table 2: Offender risk, typical characteristics and interventions

<table>
<thead>
<tr>
<th>Low Risk - May desist without any effort</th>
<th>Low or no intervention</th>
</tr>
</thead>
<tbody>
<tr>
<td>· Lowest risk to community</td>
<td>1. Little to gain from intervention strategies</td>
</tr>
<tr>
<td>· Little or no criminal history</td>
<td>2. Not required to undertake offence specific programs</td>
</tr>
<tr>
<td>· Unlikely to reoffend</td>
<td>3. Dollars spent on low risk offenders may be detrimental to risk of reoffending</td>
</tr>
<tr>
<td>· Few criminogenic needs</td>
<td>4. Limit exposure to correctional services</td>
</tr>
<tr>
<td>· More protective factors/ assets</td>
<td></td>
</tr>
<tr>
<td>· Minimum level of service/supervision intervention</td>
<td></td>
</tr>
<tr>
<td>· Approximately 19% will reoffend and 6% will return to gaol</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Low/Moderate Risk</th>
<th>Low intensity intervention</th>
</tr>
</thead>
<tbody>
<tr>
<td>· Little criminal history</td>
<td>1. Target specific intervention only</td>
</tr>
<tr>
<td>· Few criminogenic needs</td>
<td>2. Concentrate on strengths and protective factors</td>
</tr>
<tr>
<td>· Some protective factors/assets or need for improvement</td>
<td>3. Minimise the contact by the Offender with correctional services where practicable</td>
</tr>
<tr>
<td>· Low level service/supervision intervention required</td>
<td>4. Minimise the exposure to non-specific programs and high risk offenders</td>
</tr>
<tr>
<td>· 35% will reoffend and 15% will come back to gaol</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Moderate risk</th>
<th>Moderate intervention</th>
</tr>
</thead>
<tbody>
<tr>
<td>· Moderate risk to community</td>
<td>1. Money and resources well spent on intervention for this risk group</td>
</tr>
<tr>
<td>· Some criminal history</td>
<td>2. Target specific programs, service intervention and treatment readiness screening appropriate</td>
</tr>
<tr>
<td>· Some criminogenic needs</td>
<td></td>
</tr>
<tr>
<td>· Limited protective factors/assets</td>
<td></td>
</tr>
<tr>
<td>· Moderate level service/supervision intervention required</td>
<td></td>
</tr>
<tr>
<td>· About half will reoffend and a third will return to gaol</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Med/High, High risk - prolific offenders</th>
<th>Highly intensive treatment</th>
</tr>
</thead>
<tbody>
<tr>
<td>· High risk to community</td>
<td>1. Highest priority for treatment</td>
</tr>
<tr>
<td>· Greatest likelihood of reoffending</td>
<td>2. Money and resources well spent on intervention for this risk group</td>
</tr>
<tr>
<td>· Repeated criminal history</td>
<td>3. Target specific programs, med-high service intervention and treatment readiness screening appropriate</td>
</tr>
<tr>
<td>· Many criminogenic needs requiring intensive intervention strategies</td>
<td>4. Intensive treatment options required for this risk category</td>
</tr>
<tr>
<td>· Few, if any, protective strengths</td>
<td></td>
</tr>
<tr>
<td>· Maximum intensive level of service/intervention</td>
<td></td>
</tr>
<tr>
<td>· Approximately 79% will reoffend and almost half will return to gaol</td>
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10 Document information

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<th>Title:</th>
<th>Using the Level of Service Inventory -Revised (LSI-R) in CSNSW Correctional Centres: Offender Services and Programs staff</th>
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<td>Business Owner:</td>
<td>Assessment and Case Management Support Team, OS&amp;P</td>
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<tr>
<td>Authors:</td>
<td>Polina Fragaki, Chris Blatch</td>
</tr>
</tbody>
</table>
| Email: | Polina.fragaki@justice.nsw.gov.au  
Chris.blatch@justice.nsw.gov.au |
| Approving Authority: | CSNSW Policy Sub Committee |
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| File Reference: | D15/436479 |

11 Document history

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<td>15/11/2016</td>
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