
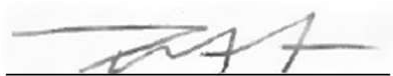


<b>POLICY TITLE: ASSESSMENT AND CASE MANAGEMENT</b>		<b>PAGE <u>1</u> OF <u>10</u></b>
<b>POLICY NUMBER: 9.4 (ACC)</b>		
<b>CHAPTER 9: SUPERVISION AND CASE MANAGEMENT</b>		
	<b>STATE of MAINE</b> <b>DEPARTMENT of CORRECTIONS</b>  <b>Approved by Commissioner:</b> 	<b>PROFESSIONAL STANDARDS:</b>  <b>See Section VIII</b>
	<b>EFFECTIVE DATE:</b> <b>November 20, 2006</b>	<b>LATEST REVISION:</b> <b>February 5, 2025</b>
		<b>CHECK ONLY IF</b> <b>APA [    ]</b>

## I. AUTHORITY

The Commissioner of Corrections adopts this policy pursuant to the authority contained in 34-A M.R.S.A. Section 1403.

## II. APPLICABILITY

Adult Community Corrections

## III. POLICY

Probation Officers and Probation Officer Assistants shall manage clients under their supervision according to the Maine Model of Corrections to ensure that client risk and criminogenic needs are identified and addressed in an effort to lower risk and reduce recidivism. Every client under the supervision of Adult Community Corrections shall be assessed with regard to their risk and needs using the appropriate Department approved risk assessment instrument.

## IV. CONTENTS

Procedure A:	Assessment and Case Management, General
Procedure B:	Engagement and Initial Assessment of Clients under Community Supervision
Procedure C:	Case Management
Procedure D:	Coordination and Advocacy
Procedure E:	Reassessment
Procedure F:	Special Management Requirements for Domestic Violence, Stalking, or Problem Sexual Behavior Clients
Procedure G:	Monitoring Standards
Procedure H:	Documentation
Procedure I:	Placement into Custody

## V. DEFINITIONS

1. Collateral contacts - contacts made with others to obtain information about the client. These contacts may be with, but are not limited to, family, friends, treatment providers, employers, neighbors, law enforcement and others.
2. Field Visit - face to face contact with a client in the field other than at their residence.
3. High-Moderate - for purposes of case planning under this policy, a 23+ on the LSI-R or a moderate with low protective factors on the SPInW.
4. Home Verification - home visit not resulting in face to face contact with a client, but entry is granted by another occupant of the residence who verifies the client still resides at the residence.
5. Home Visit - face to face contact with a client at their residence.
6. Virtual reporting - the use of technology to conduct reporting, scheduled or otherwise, to include, but not limited to, the use of phone, text, email, picture, and/or video.

## VI. ATTACHMENTS

- Attachment A: [Probation Officer Assistant Caseload](#)  
Attachment B: [Transfer to Probation Officer Assistant Caseload Checklist](#)

## VII. PROCEDURES

### Procedure A: Assessment and Case Management, General

1. Each Regional Correctional Administrator (RCA), or designee, shall ensure that Probation Officers (POs) and Probation Officer Assistants (POAs) are trained in the use and application of Department approved risk assessment instruments for initial assessments and reassessments and minimum monitoring standards of clients under community supervision. Such training shall be documented and maintained in the employee's training file.
2. A client shall be managed as high risk pending assessment, or if the client has been released to community supervision from a departmental facility, the client shall be managed as high risk for the first ninety (90) days.
3. Each client under community supervision shall be managed by a PO or a POA in accordance with the monitoring standards established for the risk level (maximum, high, moderate, low or administrative) assigned to the client based on the risk assessment. POAs may supervise only low or administrative risk clients.
4. A problem sexual behavior client shall be managed in accordance with Department Policy (ACC) 9.7, Problem Sexual Behavior Client Management.
5. A resident transferred to supervised community confinement shall be managed in accordance with Department Policy (AF) 27.2, Supervised Community Confinement.
6. A client transferred to Maine from another jurisdiction through the Interstate Compact on Adult Offender Supervision (ICAOS) shall be assessed and managed in accordance with this policy.

POLICY NUMBER/TITLE	CHAPTER NUMBER/TITLE	PAGE NUMBER
9.4 Assessment and Case Management	9. Supervision and Case Management	Page 2 of 10 2/5/26R

**Procedure B: Engagement and Initial Assessment of Clients under Community Supervision**

1. During the intake with the client, a Probation Officer (PO) or a Probation Officer Assistants (POAs) shall review all conditions of supervision with a client, clarify the role of the supervising PO, and make efforts to orient the client to supervision in the community.
2. If the supervising PO did not conduct the intake, then during the first face to face office visit with the supervising PO, they shall review all conditions of supervision with a client, clarify the role of the supervising PO, and make efforts to orient the client to supervision in the community.
3. During the period pending initial assessment, the supervising PO shall review the client's case history and records and gather other relevant information.
4. The PO shall formally interview and initially assess the client using an appropriate Department approved risk assessment instrument.
5. The PO shall utilize the general risk assessment instrument based on the gender identified by the client.
6. A client placed under community supervision, whether sentenced directly to probation or as a conditional release from a facility (probation, parole, conditional commutation, supervised community confinement or supervised release for sex offenders) shall be initially assessed no later than the sixtieth (60<sup>th</sup>) day of supervision.
7. A client shall be assigned to a risk level (maximum, high, moderate, low, or administrative) as provided by the risk assessment instrument instructions, except as set out below.
8. If the client receives a score of moderate or above on the initial risk assessment and if required by the Director of Adult Community Corrections, the PO shall complete an additional Department approved assessment within thirty (30) days.
9. If the client is under supervision for a crime listed below, there shall be a mandatory risk override to at least a moderate risk level:
  - a. murder, felony murder, aggravated attempted murder, attempted murder, manslaughter, or OUI resulting in death, unless otherwise approved by the Regional Correctional Administrator (RCA), or designee;
  - b. violent offense contributed to by a mental illness, unless otherwise approved by the RCA, or designee;
  - c. sex offense or other offense resulting in the client being identified as a person with problem sexual behavior as defined in Department Policy (ACC) 9.7, Problem Sexual Behavior Client Management;
  - d. domestic violence offense; or
  - e. stalking.

POLICY NUMBER/TITLE	CHAPTER NUMBER/TITLE	PAGE NUMBER
9.4 Assessment and Case Management	9. Supervision and Case Management	Page 3 of 10 2/5/26R

10. Except as set out above, the Probation Officer (PO) shall recommend to the Regional Correctional Administrator (RCA), or designee, a discretionary override to the assessed risk of a client when experience and/or other considerations cause the probation officer to believe that the initially assessed risk is above or below what is appropriate. The RCA, or designee, may approve an override of the assessed risk level of the client and the client shall be managed according to the level of the override rating.
11. The initial assessment shall be documented in the Department's resident and client records and management system and shall include the information supporting the risk level calculation, including the sources of information used, and shall include all information supporting any override, whether mandatory based on the crime or discretionary based on a recommendation of the PO.
12. Any client assigned the risk of administrative or low is eligible to be supervised by a Probation Officer Assistant (POA) if applicable and available. Prior to transferring to a POA, the PO shall review with the client the Probation Officer Assistant Caseload form (Attachment A) and both shall sign the form. Additionally, the PO shall complete the Transfer to Probation Officer Assistant Caseload Checklist (Attachment B) as part of the transfer process.

#### **Procedure C: Case Management**

1. The PO shall review and process the results of the initial assessment with the client upon completion.
2. During interactions with the client, the PO or POA shall assess and manage the client's behavior and use engagement and supervision strategies to promote pro-social thinking and behaviors.
3. The Probation Officer Staff or POA shall make every effort to engage, build rapport with, motivate, and establish a working relationship with the client.
4. The PO shall prepare and maintain an individualized case plan for each new client who scores as high or high-moderate risk, with the exception of those overridden from administrative or low due to their crime as set out above in Procedure B.
5. The Director of Adult Community Corrections, or designee, may waive case planning for high-moderate risk clients due to operational considerations and/or assessment of the case. The Director may require the RCA, or designee, to reevaluate this after three (3) months or sooner if needed.
6. When developing a case plan, the PO shall make every effort to prioritize higher risk domains identified by the assessment. The case plan shall be developed with input from the client. The PO shall, as appropriate, gather and utilize input and consult with community providers and relevant other persons involved in the client's life.
7. The case plan shall incorporate available programs and interventions and other strategies to manage risk and address criminogenic needs.

POLICY NUMBER/TITLE	CHAPTER NUMBER/TITLE	PAGE NUMBER
9.4 Assessment and Case Management	9. Supervision and Case Management	Page 4 of 10 2/5/26R

8. A case plan shall be individualized, and strength based and shall consider responsivity factors. A case plan shall establish clear goals and action steps based on the client's risk and criminogenic needs. Reasonable timelines for accomplishing action steps shall be documented. The plan shall also identify persons responsible for each action step and the appropriate resources and services to be accessed.
9. The Probation Officer (PO) shall review the case plan with the client and obtain the client's signature on the case plan. The original shall be maintained in the client's case file, and the client shall be provided with a copy.
10. The case plan shall be finalized within thirty (30) days following completion of the initial assessment.
11. Monitoring strategies and activities shall be added to or removed from the case plan as needed to manage behavior and in response to the client's assessed and/or demonstrated ability to manage their own behaviors.
12. Case plan goals and action steps shall be amended as needed based on the client's behavior and progress toward case plan goals.
13. When a case plan is modified, the Probation Officer (PO) shall review the modified case plan with the client and obtain the client's signature on the modified case plan. The original shall be maintained in the client's case file, and the client shall be provided with a copy.
14. Client progress toward case plan goals and action steps shall be documented in the case plan progress/outcome notes at least quarterly for clients.

#### **Procedure D: Coordination and Advocacy**

1. The PO or Probation Officer Assistant (POA) shall assist the client in accessing the services or resources ordered in the conditions of probation or other conditions of supervision, or in the case of a high risk/high-moderate risk client as otherwise identified in the case plan, or when services are recommended or ordered as a condition of bail or release following an arrest for a violation of probation or supervised release for sex offenders.
2. The PO or POA shall participate in, and, as necessary, lead collaborative efforts such as team meetings with multidisciplinary partners, including agency providers, support persons, law enforcement, corrections agencies, and others, to ensure that services are appropriate to address risks and needs and are coordinated.

#### **Procedure E: Reassessment**

1. A PO or POA shall conduct a routine risk reassessment at least annually for every client, except for a client initially assessed as administrative risk.
2. In addition, a PO or a POA shall reassess a client, including an administrative risk client, when there is a significant change impacting one or more domains of the appropriate risk assessment that would cause the client's risk level to increase.

POLICY NUMBER/TITLE	CHAPTER NUMBER/TITLE	PAGE NUMBER
9.4 Assessment and Case Management	9. Supervision and Case Management	Page 5 of 10 2/5/26R

3. A client's initial assessment score shall not be reassessed downward unless the client has shown at least three (3) months of stability in a domain initially shown to be a risk factor, such as employment.
4. The Probation Officer (PO) or the Probation Officer Assistant (POA) shall recommend to the Regional Correctional Administrator, or designee, a discretionary override to the reassessed risk of a client when experience and/or other considerations cause them to believe that the assessed risk is above or below what is appropriate. All supporting information regarding the recommended override shall be documented in the Department's resident and client records and management system. The Regional Correctional Administrator (RCA), or designee, may approve an override of the assessed risk level of the client and the client shall be managed according to the level of the override rating.
5. The PO has the discretionary authority to increase contact to a higher level for a three (3) month period without reassessment of the risk level. If the POA believes increased contact is necessary for more than three (3) months, the client shall be reassessed for possible assignment to a new risk level or an override shall be recommended to the RCA, or designee.
6. In cases where there is a new criminal conduct or there is a citizen or law enforcement complaint involving a low risk or administrative case, the PO or POA shall take appropriate action and shall consider whether a reassessment or override to a higher risk level is appropriate.

**Procedure F: Special Management Requirements for Domestic Violence, Stalking, or Problem Sexual Behavior Clients**

1. In a case in which a client under supervision has a condition of "no contact" with a victim of a domestic violence, stalking, or a problem sexual behavior offense "unless permitted by the probation officer" (or similar wording), the PO shall not grant permission for contact.
2. The PO shall not file a motion to modify or relieve a client of any "no contact" condition with a victim of a domestic violence, stalking, or a problem sexual behavior offense.

**Procedure G: Monitoring Standards**

1. For high and high-moderate risk clients, the PO shall monitor and assist clients with compliance with supervision conditions and the case plan. Progress toward meeting action steps and goals shall be assessed through face-to-face contacts and other communications with the client and collateral contacts. Communications shall focus on monitoring the implementation of the case plan and addressing criminogenic needs and behaviors.
2. For other clients, the PO or POA shall monitor and assist clients with compliance with supervision conditions.

POLICY NUMBER/TITLE	CHAPTER NUMBER/TITLE	PAGE NUMBER
9.4 Assessment and Case Management	9. Supervision and Case Management	Page 6 of 10 2/5/26R

3. Probation Officers (PO) and Probation Officer Assistants (POA) are expected to utilize information gathered from collateral contacts or other trusted sources to monitor and verify client progress, compliance, and behavior. POs and POAs must obtain documented verification before determining that supervision conditions such as required counseling, community service, etc. have been fulfilled.
4. The POs or POAs shall follow the applicable monitoring standards for all clients under supervision.
5. The monitoring standards for each client are established according to the assessed risk of the client as determined by the assessment and as modified by any override or as otherwise required by this policy and/or any other Department policies. Monitoring may exceed minimum standards when appropriate. The Regional Correctional Administrator (RCA), or designee, may reduce monitoring standards for a client, if warranted after review of the case.
6. A PO has the discretion to conduct a home visit or field visit when deemed appropriate on any risk client.
7. A POA is not authorized to conduct home visits or field visits.
8. The purpose of the home visit or field visit is to reinforce clients doing something positive and/or prosocial and/or to intervene to correct the behavior, enforce conditions of supervision, and provide supportive interventions for the client. Additionally, home visits provide the opportunity to gather collateral information.
9. The monitoring standards are:
  - a. Maximum Risk: Monitoring by the with a client classified as maximum risk shall consist of at least one face-to-face contact with the client per week, which may be done during a home visit, a field visit, in the office, or virtually (if approved by the RCA, or designee), with at least one (1) face-to-face contact per month required to be in the home. A home verification or field visit may be conducted as an alternative to the monthly home visit if approved by RCA, or designee. In addition, there shall also be at least one (1) collateral contact per month, unless waived by the RCA, or designee.
  - b. High Risk: Monitoring by the PO with a client classified as high risk shall consist of at least one (1) face-to-face contact with the client per month, which may be done during a home visit, a field visit, in the office, or virtually (if approved by the RCA, or designee). In addition, there shall also be at least two (2) collateral contacts per month. Alternatively, there may be two (2) face-to-face contacts per month and one (1) collateral contact per month. In either case at least one (1) face-to-face contact every 90 days shall be conducted in the home. A home verification or field visit may be conducted as an alternative to the 90 day home visit if approved by RCA, or designee. Collateral contacts may be waived by RCA, or designee.
  - c. Moderate Risk: Monitoring by the PO with a client classified as moderate risk shall consist of at least (1) face-to-face contact with the client per month, which may be done during a home visit, a field visit, in the office, or virtually. Face-to-face contacts in the home shall be utilized when appropriate to monitor relationships or behaviors

POLICY NUMBER/TITLE	CHAPTER NUMBER/TITLE	PAGE NUMBER
9.4 Assessment and Case Management	9. Supervision and Case Management	Page 7 of 10 2/5/26R

in the home. In addition, collateral contacts are encouraged to be utilized as appropriate.

- d. Low Risk: Monitoring by the PO or POA with a client classified as low risk shall occur as often as necessary to maintain stable client behavior but no less than one (1) contact with the client every three (3) months. The contact may be satisfied either by a face-to-face office contact or by virtual contact, with the preferred method being virtual.
  - e. Administrative Risk: The monitoring requirement for a client assessed as administrative risk shall generally be waived. The Probation Officer (PO) or Probation Officer Assistant (POA) may require the person to report in person to the office when necessary to address problematic behaviors or when interactions require face-to-face contact.
- 10. If the client is unhoused, a field visit shall count as a home visit for contact standard purposes and approval of an Regional Correctional Administrator (RCA), or designee, is not required.
  - 11. POs shall enhance the supervision of maximum and high risk clients by keeping appropriate law enforcement agencies informed regarding these clients whenever possible.
  - 12. Based on operational need and with the approval of the RCA, or designee, a home visit may be made by a local law enforcement officer in lieu of the supervising PO. However, the PO shall inquire as to the results of the home visit and shall document the results in the Department's resident and client records management system.
  - 13. If, for any reason, a PO is unable to meet the monitoring standards for a client classified as maximum or high risk, the probation officer shall document the reason(s) in the Department's resident and client records and management system and notify the RCA, or designee, as soon as possible. The RCA, or designee, shall ensure the monitoring standards are met.
  - 14. The Director of Adult Community Corrections, or designee, temporarily or permanently suspend or reduce contacts required by this policy in individual cases to account for unique factors present in specific cases. If such a decision is made, the decision and the reasons shall be documented in the Department's resident and client records and management system.

#### **Procedure H: Documentation**

- 1. The PO or POA shall document in the Department's resident and client records and management system any significant decision, action, event, and communication with or relating to a client. Particular attention to detail, including dates, is required when there is documentation concerning a request for detention in a county jail, revocation motions, and court orders. Time frame for entering notes shall be within three (3) business days, unless an exception is allowed by RCA, or designee. If an exception is granted, the RCA, or designee shall document the exception and the reasons for it in the Department's resident and client records and management system.

POLICY NUMBER/TITLE	CHAPTER NUMBER/TITLE	PAGE NUMBER
9.4 Assessment and Case Management	9. Supervision and Case Management	Page 8 of 10 2/5/26R



2. The Department's resident and client records and management system case notes shall clearly document compliance with and/or fulfillment of supervision conditions on an ongoing basis, as well as observations of the PO or POA regarding client progress in meeting case plan goals, if applicable. Sufficient information and detail shall be entered in the notes to allow Department staff unfamiliar with the case to understand the history and logic of the supervision. Conditions that have been met shall be marked as fulfilled in the conditions section of the Department's resident and client records and management system.
3. All discussions of the case plan with a high or high-moderate risk client shall include the following:
  - a. A factual description of the discussion;
  - b. An evaluation of the current status and progress towards meeting goals and objectives; and
  - c. Statements about what will happen next.
4. In addition to case notes, Probation Officers (PO) and Probation Officer Assistants (POA) shall keep other client information up to date and accurate in appropriate areas designated within the Department's resident and client records and management system. Such information shall include, but is not limited to, the client's physical and mailing address and phone number, changes in supervision conditions, violation information, and employment status. Additionally, when there has been a significant change to the client's appearance, an updated photograph shall be uploaded to the Department's resident and client records and management system, or yearly.
5. Prior to the completion of community supervision of a client, the PO or POA shall take the following steps:
  - a. if applicable, close out each case plan goal, with a notation of whether or not it was fulfilled, and close out the case plan; and
  - b. ensure that all conditions of supervision that have been completed have been documented as fulfilled in the Department's resident and client records and management system.

**Procedure I: Placement into Custody**

1. Upon a client being placed into custody from community supervision, whether as a result of a revocation and/or a new sentence, the supervising PO shall take the following steps:
  - a. ensure the violation and revocation have been documented in the Department's resident and client records and management system;
  - b. if the client is committed to the custody of the Department, and the client has been under supervision in the community by the Department for at least the last six (6) months, complete a Department approved risk reassessment, if no assessment or reassessment has been completed within the last six (6) months;
  - c. complete a transfer note;
  - d. if applicable, update or close out the case plan; and

POLICY NUMBER/TITLE	CHAPTER NUMBER/TITLE	PAGE NUMBER
9.4 Assessment and Case Management	9. Supervision and Case Management	Page 9 of 10 2/5/26R

- e. ensure that all conditions of supervision that have been completed have been documented as fulfilled in the Department's resident and client records and management system.

## **VIII. PROFESSIONAL STANDARDS**

None

<b>POLICY NUMBER/TITLE</b>	<b>CHAPTER NUMBER/TITLE</b>	<b>PAGE NUMBER</b>
<b>9.4 Assessment and Case Management</b>	<b>9. Supervision and Case Management</b>	<b>Page 10 of 10 2/5/26R</b>