


<b>POLICY TITLE: SUPERVISORY CASE MANAGEMENT REVIEWS</b>		<b>PAGE 1 OF 3</b>
<b>POLICY NUMBER: 8.4 - ACC</b>		
<b>CHAPTER 8: GENERAL ADMINISTRATION</b>		
	<b>STATE of MAINE</b> <b>DEPARTMENT OF CORRECTIONS</b>  <b>Approved by Commissioner</b> <i>Dr. Joseph R. Filypat</i>	<b>PROFESSIONAL STANDARDS</b>  <b>See Section VII</b>
<b>EFFECTIVE DATE:</b> October 12, 2004	<b>LATEST REVISION:</b> July 23, 2015	<b>CHECK ONLY IF</b> APA [ ]

**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**

It is the policy of the Department of Corrections to ensure quality case management of adult offenders under community supervision.

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**VI. PROCEDURES**

**Procedure A: Supervisory Case Management Reviews, General**

1. Regional Correctional Managers shall conduct caseload/workload reviews to review and monitor the quality of case management by all probation officers and probation officer assistants to ensure that Department policies and procedures

related to assessment, contact standards, and other forms of supervision are being followed. They shall also review the quality and timeliness of investigations, statistical reports, and other duties as required.

2. In conducting these reviews, Regional Correctional Managers shall adhere to the State of Maine Bureau of Human Resources Performance Management System requirements.
3. For a probationary employee, a review shall be conducted after three months of employment. Another review shall be conducted prior to the end of the employee's probationary period.
4. For each employee, a review shall also be conducted in conjunction with the employee's annual performance review and at other times as deemed necessary by the Regional Correctional Manager or Regional Correctional Administrator.
5. To document these reviews for probation officers, the Regional Correctional Manager shall utilize the Probation Officer Caseload/Workload Review form, Attachment A, and the applicable risk assessment audit form, Attachment C. This shall be done by direct observation and review of records.
6. To document these reviews for probation officer assistants, the Regional Correctional Manager shall utilize the Probation Officer Assistant Caseload/Workload Review form, Attachment B. This shall be done by direct observation and review of records.
7. Expectations in meeting the Department's standards of case management and other duties shall include, but are not limited to, the following, as applicable:
  - a. adherence to the Maine Integrated Risk Reduction Model (MIRRM) principles;
  - b. adherence to Department Policy, 9.4, Assessment and Case Management;
  - c. completion of a department approved assessment on each offender using a validated risk assessment instrument within the first forty-five (45) days of the offender being placed under community supervision;
  - d. appropriate application of contact standards and graduated sanctions;
  - e. ensuring offender compliance with court ordered conditions;
  - f. completion of CORIS notes;
  - g. collection of restitution; and
  - h. DNA sample collection.
8. The completed caseload/workload review form shall be attached to the employee's performance management form and submitted to the Regional Correctional Administrator for review. The Regional Correctional Administrator, or designee, shall forward the form to the Associate Commissioner responsible for adult community corrections for further review.

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## **Procedure B: Corrective Action**

1. If corrective action is considered necessary, the Regional Correctional Manager shall develop a written corrective action plan, which shall be dated, signed and provided to the employee and the Regional Correctional Administrator with a timeline for completion. The employee shall also sign the corrective action plan.
2. Deficiencies in compliance and performance shall also be addressed in the employee's performance review as necessary and shall be part of the expectations for the following year.
3. As appropriate, deficiencies in compliance and performance shall be handled through the system of progressive discipline.

## **Procedure C: System Review**

1. The Regional Correctional Administrator shall meet with the Regional Correctional Manager at least once every six (6) months to discuss the results of the supervisory case management reviews.
2. This discussion shall have the following purposes:
  - a. to ensure compliance with Department policies and procedures;
  - b. to monitor and assess the probation case management system;
  - c. to evaluate resource capabilities, training needs, and standards for supervision of offenders;
  - d. to collect information and data to identify trends, needs, and availability of resources; and
  - e. to determine the feasibility and effectiveness of new practices.

## **VII. PROFESSIONAL STANDARDS**

### **ACA:**

**4-APPFS-3A-27** Field supervision is systematically reviewed by the supervisor from both an administrator and case-management perspective. The reviews include case reviews, observations, and the provision of feedback to field staff.

**4-APPFS-2A-11** Agency policy governs the time frame for the review, re-assessment, and modification of the individualized plan and level of supervision. The offender's progress in achieving objectives is documented.

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