
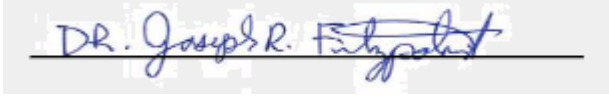


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POLICY NUMBER: 9.4		
CHAPTER 9: SUPERVISION AND CASE MANAGEMENT		
	STATE of MAINE DEPARTMENT OF CORRECTIONS	PROFESSIONAL STANDARDS:
	Approved by Commissioner: 	See Section VII
EFFECTIVE DATE: November 20, 2006	LATEST REVISION: April 25, 2018	CHECK ONLY IF 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

Probation Officers and Probation Officer Assistants shall manage offenders under their supervision according to the Maine Integrated Risk Reduction Model (MIRRM) to ensure that offender risk and criminogenic needs are identified and addressed in an effort to lower risk and reduce recidivism. Every offender under the supervision of Adult Community Corrections shall be assessed with regard to his or her risk and needs using the appropriate Department approved risk assessment instrument.

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V. ATTACHMENTS

None

VI. PROCEDURES

Procedure A: Assessment and Case Management, General

1. Each Regional Correctional Administrator, or designee, shall ensure that Probation Officers and Probation Officer Assistants are trained in the use and application of Department approved risk assessment instruments for initial assessments and reassessments and in minimum monitoring standards of offenders under community supervision. Such training shall be documented and kept in the employee's training file.
2. An offender shall be managed as high risk pending assessment, or if the offender has been released to community supervision from a departmental facility, the offender shall be managed as high risk for the first ninety (90) days.
3. Each offender under community supervision shall be managed by a Probation Officer or a Probation Officer Assistant in accordance with the monitoring standards established for the risk level (maximum, high, moderate, low or administrative) assigned to the offender based on the risk assessment. Probation Officer Assistants may supervise only low or administrative risk offenders.
4. A sex offender shall be managed in accordance with Department Policy (ACC) 9.7, Sex Offender Management.
5. A prisoner transferred to supervised community confinement shall be managed in accordance with Department Policy (AF) 27.2, Supervised Community Confinement.

Procedure B: Engagement and Assessment of Offenders under Community Supervision

1. At the first opportunity, the Probation Officer or the Probation Officer Assistant shall review all conditions of supervision with an offender, clarify the role of the supervising Probation Officer, and make efforts to orient the offender to supervision in the community.
2. During the period pending initial assessment, the supervising Probation Officer shall review the offender's case history and records and gather other relevant information.
3. The Probation Officer shall formally interview and initially assess the offender using an appropriate Department approved risk assessment instrument.
4. An offender placed under community supervision, whether sentenced directly to probation or as a conditional release from a facility (probation, parole, supervised

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community confinement or supervised release for sex offenders) shall be initially assessed no later than the 60th day of supervision.

5. An offender 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.
6. If the offender receives a score of moderate or above on the risk assessment and if required by the Director of Adult Community Corrections, the Probation Officer shall complete an additional Department approved assessment within thirty (30) days.
7. If the offender 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, manslaughter, or attempted murder unless otherwise approved by the Regional Correctional Administrator, or designee;
 - b. violent offense involving mental illness, unless otherwise approved by the Regional Correctional Administrator, or designee;
 - c. sex offense;
 - d. domestic violence offense; or
 - e. stalking.
8. Except as set out above, the Probation Officer shall recommend to the Regional Correctional Administrator, or designee, a discretionary override to the assessed risk of an offender when experience and/or other considerations cause him or her to believe that the initially assessed risk is above or below what is appropriate. The Regional Correctional Administrator, or designee, may approve an override of the assessed risk level of the offender and the offender shall be managed according to the level of the override rating.
9. The initial assessment shall be documented in CORIS 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 Probation Officer.

Procedure C: Case Management

1. The Probation Officer shall review and process the results of the assessment with the offender at the first opportunity after its completion.
2. During interactions with the offender, the Probation Officer or Probation Officer Assistant shall assess and manage the offender’s behavior and use engagement and supervision strategies to promote pro-social thinking and behaviors.

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3. The Probation Officer Staff or Probation Officer Assistant shall make every effort to engage, build rapport with, motivate, and establish a working relationship with the offender.
4. The Probation Officer shall prepare and maintain an individualized case plan for each new offender who scores as high risk and shall include goals and action steps based on the offender's risk and criminogenic needs.
5. The case plan shall be developed with input from the offender and finalized within thirty (30) days following completion of an initial Department approved assessment.
6. When developing a case plan, the Probation Officer shall make every effort to prioritize higher risk domains identified by the assessment. The Probation Officer shall, as appropriate, gather and utilize input from offenders and consult with community providers and relevant other persons involved in the offender's life. The case plan shall incorporate available programs and interventions and other strategies to manage risk and address criminogenic needs.
7. A case plan shall be individualized and strength based and shall consider responsivity factors. A case plan shall establish clear goals and action steps. 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.
8. Monitoring strategies and activities shall be added to or removed from the case plan as needed to manage behavior and in response to the offender's assessed and/or demonstrated ability to manage his or her own behaviors.
9. The Probation Officer shall review the case plan with the offender and obtain the offender's signature on the case plan. The original shall be maintained in the offender's case file and the offender shall be provided a copy.
10. Offender progress toward case plan goals and action steps shall be documented in the case plan progress/outcome notes of the case plan at least quarterly for high risk offenders.
11. Case plan goals and action steps shall be amended as needed based on the offender's behavior and progress toward case plan goals. When new goals or action steps are added, the amended case plan shall be kept in the offender's file.

Procedure D: Reassessment

1. A Probation Officer or a Probation Officer Assistant shall conduct a routine risk reassessment at least annually for every offender, except for an offender initially assessed as administrative risk.
2. A Probation Officer or a Probation Officer Assistant shall reassess an offender, including an administrative risk offender, any time there is a significant change

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impacting one or more domains of the appropriate Department approved risk assessment that would cause the offender's risk level to increase.

3. An offender's initial assessment score shall not be reassessed downward unless the offender 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 or the Probation Officer Assistant shall recommend to the Regional Correctional Administrator, or designee, a discretionary override to the reassessed risk of an offender when experience and/or other considerations cause him or her to believe that the assessed risk is above or below what is appropriate. All supporting information regarding the recommended override shall be documented in CORIS. The Regional Correctional Administrator, or designee, may approve an override of the assessed risk level of the offender and the offender shall be managed according to the level of the override rating.
5. The Probation Officer has the discretionary authority to increase contact to a higher level for a three (3) month consecutive period of time without reassessment of the risk level. If there is increased contact for more than three (3) months consecutively, the offender shall be reassessed for possible assignment to a new risk level or an override shall be recommended to the Regional Correctional Administrator, or designee.

Procedure E: Coordination and Advocacy

1. The Probation Officer or Probation Officer Assistant shall assist the offender 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 offender as otherwise identified in the case plan, or when services are recommended or ordered as a condition of bail for release following an arrest for a violation of probation or supervised release for sex offenders.
2. The Probation Officer or Probation Officer Assistant 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 F: Special Management Requirements for Domestic Violence Offenders

1. In a case in which an offender under supervision has a condition of "no contact" with a victim "unless permitted by the probation officer" (or similar wording), the Probation Officer shall not grant permission for contact. The Probation Officer shall not file a motion to modify or relieve the offender of any "no contact" condition with a victim.

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Procedure G: Monitoring Standards

1. For high risk offenders, the Probation Officer shall monitor and assist offenders with compliance with supervision conditions and the case plan. Progress toward meeting action steps and goals shall be assessed through face-to-face meetings and other communications with the offender and collateral contacts. Communications shall focus on monitoring the implementation of the case plan and addressing criminogenic needs and behaviors.
2. For other offenders, the Probation Officer or Probation Officer Assistant shall monitor and assist offenders with compliance with supervision conditions.
3. Collateral contacts are contacts made with others to obtain information about the offender. These contacts may be with, but are not limited to, family, friends, treatment providers, employers, neighbors, law enforcement and others.
4. The Probation Officer or Probation Officer Assistant shall follow monitoring standards for all offenders under supervision.
5. The monitoring standards for offenders are established according to the assessed risk of offenders as determined by a Department approved assessment and as modified by any override or as otherwise required by this policy or another applicable Department policy. Monitoring may exceed minimum standards when necessary. The Regional Correctional Administrator, or designee, may amend monitoring standards for an offender, if warranted after review of the case.
 - a. Maximum Risk: Monitoring by the Probation Officer with an offender classified as maximum risk shall consist of at least one face-to-face contact with the offender per week, with at least one (1) face-to-face contact per month required to be in the home. In addition, there shall also be at least one (1) collateral contact per month.
 - b. High Risk: Monitoring by the Probation Officer with an offender classified as high risk shall consist of at least one (1) face-to-face contact with the offender per month, with at least one (1) face-to-face contact per quarter required to be in the home. In addition, there shall also be at least two (2) collateral contacts per month.
 - c. Moderate Risk: Monitoring by the Probation Officer with an offender classified as moderate risk shall consist of at least (1) face-to-face contact with the offender per month. Face-to-face contacts in the home shall be utilized when appropriate to monitor relationships or behaviors in the home. In addition, collateral contacts may be utilized as appropriate.
 - d. Low Risk: Monitoring by the Probation Officer or Probation Officer Assistant with an offender classified as low risk shall occur as often as necessary to maintain stable offender behavior but no less than one (1) contact with the offender every three (3) months. The contact may be satisfied either by a face-to-face office contact or by a telephone contact. In cases where there is a new criminal conviction or there is a citizen or law enforcement complaint involving a low risk case, the Probation Officer or Probation

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Officer Assistant shall take appropriate action and shall consider whether a reassessment or override to a higher risk level is appropriate.

- e. Administrative Risk: The monitoring requirement for an offender assessed as administrative risk shall generally be waived. The Probation Officer or Probation Officer Assistant 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. In cases where there is a new criminal conviction, violation of supervision condition, or citizen or law enforcement complaint involving an administrative risk case, the Probation Officer or Probation Officer Assistant shall take appropriate action and shall consider whether a reassessment or override to a higher risk level is appropriate.
6. Probation Officers and Probation Officer Assistants are expected to utilize information gathered from collateral contacts or other trusted sources to monitor and verify offender progress, compliance, and behavior. Probation Officers and Probation Officer Assistants must obtain documented verification before determining that supervision conditions such as required counseling, community service, etc. have been fulfilled.
 7. Based on operational need and with the approval of the Regional Correctional Administrator, or designee, a home visit may be made by a local law enforcement officer in lieu of the supervising Probation Officer. However, the Probation Officer shall inquire as to the results of the home visit and shall document the results in CORIS.
 8. If, for any reason, a Probation Officer is unable to meet the monitoring standards for an offender classified as maximum or high risk, he or she shall document the reason(s) in CORIS and verbally notify the Regional Correctional Administrator, or designee, as soon as possible. The Regional Correctional Administrator, or designee, shall review the stated reasons and, as resources permit, may make adjustments in work load, assign another Probation Officer to make the contact or take other appropriate action to ensure the monitoring standards are met.
 9. Probation Officers shall enhance the supervision of maximum and high risk offenders by keeping appropriate law enforcement agencies informed regarding these offenders whenever possible.
 10. The Commissioner, or designee, may 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 CORIS by the Regional Correctional Administrator, or designee, for each case affected.

Procedure H: Documentation

1. The Probation Officer or Probation Officer Assistant shall document in CORIS any significant decision, action, event or communication with or relating to an offender. Particular attention to detail is required when documenting actions and

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dates involving a request for detention in a county jail, revocation motions, and court orders.

2. CORIS case notes shall clearly document compliance with and/or fulfillment of supervision conditions on an ongoing basis, as well as observations of the Probation Officer or Probation Officer Assistant regarding offender progress in meeting case plan goals, if applicable. Sufficient information and detail should 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 CORIS.
3. All meetings that involve discussion of the case plan with a high risk offender shall be documented in the following DAP format.
 - a. Data: A factual description of the face-to-face meeting;
 - b. Assessment: An evaluation of the current status and progress towards meeting goals and objectives; and
 - c. Plan: Statements about what will happen next.
4. In addition to case notes, Probation Officers and Probation Officer Assistants shall keep other offender information up to date and accurate in appropriate areas designated within CORIS. Such information shall include, but is not limited to, the offender's physical and mailing address and phone number, changes in supervision conditions, violation information, and employment status.
5. Prior to the completion of community supervision of an offender, the Probation Officer or Probation Officer Assistant 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 CORIS.

Procedure I: Placement into Custody

1. Upon an offender being placed into custody from community supervision, whether as a result of a revocation and/or a new sentence, the supervising Probation Officer shall take the following steps:
 - a. ensure the violation and revocation and/or new sentence have been documented in CORIS;
 - b. if the offender is committed to the custody of the Department, complete a Department approved risk reassessment, if no assessment or reassessment has been completed within the last six months;
 - c. complete a transfer note;
 - d. if applicable, update or close out the case plan; and
 - e. ensure that all conditions of supervision that have been completed have been documented as fulfilled in CORIS.

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Procedure J: Interstate Compact Transfers

1. An offender may apply for transfer of supervision to Maine from another jurisdiction through the Interstate Compact on Adult Offender Supervision (ICAOS). The Probation Officer or Probation Officer Assistant shall maintain a copy of the offender's application in the offender's file.
2. If the offender is accepted for Maine supervision, the Probation Officer or Probation Officer Assistant shall assess and manage the offender in accordance with this policy.
3. An offender may apply for transfer of supervision to another jurisdiction from Maine through the ICAOS. The Probation Officer or Probation Officer Assistant shall maintain a copy of the offender's application in the offender's file.
4. The ICAOS rules can be found at <https://www.interstatecompact.org/>.

VII. PROFESSIONAL STANDARDS

None

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