Justice Reinvestment in Maine

Second Presentation to the Maine Commission to Improve the Sentencing, Supervision, Incarceration and Management of Prisoners

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What is Justice Reinvestment?

A data-driven approach to reduce corrections spending and reinvest savings in strategies that can decrease recidivism and increase public safety.

The Justice Reinvestment Initiative is funded principally by the U.S. Department of Justice’s Bureau of Justice Assistance (BJA) with additional funding from The Pew Charitable Trusts.

Technical assistance for states participating in the Justice Reinvestment Initiative is provided by The Council of State Governments (CSG) Justice Center and Community Resources for Justice’s Crime and Justice Institute (CJI).
The process of collecting and analyzing case-level data from criminal justice agencies in Maine is underway.

<table>
<thead>
<tr>
<th>Justice Reinvestment Data Request Update</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Data Requested</strong></td>
</tr>
<tr>
<td>---------------------</td>
</tr>
<tr>
<td>Arrests/Criminal History</td>
</tr>
<tr>
<td>Court Filings and Sentences</td>
</tr>
<tr>
<td>Prosecutorial Data</td>
</tr>
<tr>
<td>Probation</td>
</tr>
<tr>
<td>Prison</td>
</tr>
</tbody>
</table>
Section 1 in this presentation is based on arrest data from the Department of Public Safety. Section 2 is based on court data from the Administrative Office of the Courts.

A. DPS Computerized Criminal History Data:

- More than 570,000 arrest records from January 1, 2008 to December 31, 2018
- Race information is missing or marked as "unknown" in 17 percent of records. Sex* information is missing in 16 percent of records. Much of the missing information is for more recent Class D and Class E offenses.
- Analyzed by arrest date, with the most serious offense taking precedence

B. AOC Data on Charges, Cases, and Probation Revocations:

- More than 203,000 criminal cases, including those...
  - filed between July 1, 2015 and June 30, 2019
  - disposed between July 1, 2015 and June 30, 2019
  - having a probation revocation between July 1, 2015 and June 30, 2019
- More than 332,000 criminal charges
- Race information is missing for almost 4 percent of records. Gender* information is missing for about 1 percent of records.
- Analyzed by filing date, with the most serious offense taking precedence; by finding date, with the most serious offense taking precedence; and by sentence date, with a combination of most restrictive sentence and most serious offense taking precedence

*DPS uses the term “sex,” while AOC uses the term “gender.” Both terms are used and intended as synonyms in this document.

Source: Data from the Maine Department of Public Safety and Maine Administrative Office of the Courts, 2019.
Because the data looks at different parts of the system from different points in time, the data does not always exactly match other publicly available reports.

**This data analysis:**
- Largely examines *events*, not *people*
- May not capture each case in its entirety; the time from arrest to sentencing can take months, and these events may span different calendar or fiscal years
- Connects data between arrest and court case filing using the arrest tracking number (ATN) and count tracking number (CTN) to account for a person’s in-state criminal history

### Flow of Data Analyzed, Example: FY 2018

- **36,617** Arrests
- **37,060** Guilty Findings/Pleas
- **15,223** Sentences to Prison, Jail, and Probation
- **45,756** Case Filings*
- **X** Summonses

*For FY2018, about 47 percent of case filings had a matching arrest record. Not all Class D or Class E offenses in Title 12 (Conservation) or Title 29A (Motor Vehicle/Traffic) require an ATN, which, along with errors in data entry, likely accounts for the large number of case filings that cannot be matched to a specific arrest or summons event.

95 percent of cases missing arrest information are misdemeanor-level case filings.

The five most frequent charges filed without ATN information were:
- Operating while license suspended or revoked
- Operating a vehicle without license
- Operating while license suspended or revoked, prior
- Failure to register vehicle
- Motor vehicle speeding: 30+ MPH over speed limit

CSG Justice Center staff continued to engage with Maine criminal justice stakeholders to learn more about the system’s strengths, needs, and areas of opportunity.

Since the last commission meeting in early October, CSG Justice Center staff conducted the following on-site engagement and assessment activities:

- Tour of the Maine Correctional Center (MCC) and Southern Maine Women’s Reentry Center (SMWRC) in Windham
- Interviews with regional correctional managers, probation officers, probation officer assistants, and people on probation supervision in DOC Region 2 (Lewiston/Androscoggin County) and Region 3 (Calais/Washington County)
- Meeting with leadership of the Calais Regional Hospital
- Meeting with staff from the governor’s office and other entities on opioid response and the criminal justice system
Presentation Overview

1. Data Analyses: Arrest and Criminal History
2. Data Analyses: Criminal Case Filings
3. Maine Probation Policy and Practice Assessment
Updated FBI reports show that the recent downward trend in both violent and property crime in Maine continued in 2018.

<table>
<thead>
<tr>
<th>Index Crime</th>
<th>2017</th>
<th>2018</th>
<th>Percent Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>Murder</td>
<td>23</td>
<td>24</td>
<td>+4.3%</td>
</tr>
<tr>
<td>Rape</td>
<td>470</td>
<td>446</td>
<td>-4.6%</td>
</tr>
<tr>
<td>Robbery</td>
<td>249</td>
<td>228</td>
<td>-8.4%</td>
</tr>
<tr>
<td>Aggravated Assault</td>
<td>868</td>
<td>803</td>
<td>-7.5%</td>
</tr>
<tr>
<td>Violent Index Crime</td>
<td>1,610</td>
<td>1,501</td>
<td>-6.8%</td>
</tr>
<tr>
<td>Burglary</td>
<td>3,337</td>
<td>2,713</td>
<td>-18.7%</td>
</tr>
<tr>
<td>Larceny</td>
<td>16,012</td>
<td>14,683</td>
<td>-8.3%</td>
</tr>
<tr>
<td>Motor Vehicle Theft</td>
<td>793</td>
<td>777</td>
<td>-2.0%</td>
</tr>
<tr>
<td>Property Index Crime</td>
<td>20,142</td>
<td>18,173</td>
<td>-9.8%</td>
</tr>
</tbody>
</table>

Maine maintained its national ranking for both violent and property crime in 2018, with the nation’s lowest violent crime rate (112.1 violent crimes per 100,000 residents) and the fourth-lowest property crime rate (1,357.8 property crimes per 100,000 residents).

While violent crime in Maine’s rural areas increased overall between 2008 and 2018, it declined from 2017 to 2018.

**Violent Crime Rates in Maine by Population Area, 2008 and 2018**

- **Metropolitan** (population of 50,000+):
  - 2008: 125.5
  - 2018: 111.6
  - Decrease: 11%

- **Micropolitan** (population of 10,000 to 49,999):
  - 2008: 140.8
  - 2018: 125.5
  - Decrease: 11%

- **Non-Metropolitan Areas** (population of fewer 10,000):
  - 2008: 71.2
  - 2018: 101.7
  - Increase: 43%

**Reported Violent Crimes in Maine by Population Area, 2008–2018**

- **Metropolitan**:
  - 2008: 965
  - 2017: 949
  - 2018: 887
  - Decrease: 6.5%

- **Micropolitan**:
  - 2008: 389
  - 2017: 355
  - 2018: 322
  - Decrease: 9.3%

- **Non-Metropolitan**:
  - 2008: 193
  - 2017: 313
  - 2018: 292
  - Decrease: 6.7%

Crimes in Maine fall into one of five categories other than murder: Class A, B, and C offenses are felonies, and Class D and E offenses are misdemeanors.

<table>
<thead>
<tr>
<th>Class</th>
<th>Punishment Range</th>
<th>Sentencing Options</th>
<th>Example Offenses</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Felonies</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>A</td>
<td>Jail up to 9 months, prison up to 30 years, $50,000 fine</td>
<td>Eligible for: probation, unconditional discharge</td>
<td>Manslaughter, gross sexual assault, aggravated trafficking</td>
</tr>
<tr>
<td>B</td>
<td>Jail up to 9 months, prison up to 10 years, $10,000 fine</td>
<td>Eligible for: probation, unconditional discharge</td>
<td>Trafficking, aggravated assault, driving under the influence (DUI) with serious injury</td>
</tr>
<tr>
<td>C</td>
<td>Jail up to 9 months, prison up to 5 years, $5,000 fine</td>
<td>Eligible for: deferred disposition, probation, unconditional discharge</td>
<td>Aggravated operating under the influence (2 priors), aggravated theft or criminal mischief</td>
</tr>
<tr>
<td><strong>Misdemeanors</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>D</td>
<td>Jail up to 364 days &amp; $2,000 fine</td>
<td>Eligible for: deferred disposition, unconditional discharge, probation eligible only for some offenses, community service, administrative release</td>
<td>Domestic violence assault, operating under the influence (OUI)/DUI</td>
</tr>
<tr>
<td>E</td>
<td>Jail up to 180 days &amp; $1,000 fine</td>
<td>Eligible for: deferred disposition, unconditional discharge, probation eligible only for some offenses, community service, administrative release</td>
<td>Operating While License Suspended or Revoked, disorderly conduct, theft &lt; $1,000</td>
</tr>
</tbody>
</table>
The 36,000+ arrests in Maine in 2018 were of just over 27,000 people, the vast majority of whom were arrested only once during the year.

Percentage of People with Multiple Arrests in the Year, 2018
N = 36,069 arrests; 27,134 people

- 1 Arrest: 80%
- 2 Arrests: 13%
- 3 Arrests: 4%
- 4+ Arrests: 3%

People Arrested in 2018 by Race (N= 27,134)
- White: 68%
- Black: 4%
- Native American: <1%
- Asian: <1%
- Unknown: 27%

People with 4+ Arrests in 2018
- 3 percent of white people, 3 percent of Native Americans, and 4 percent of black people were arrested 4 or more times in the year.

More than three-quarters of arrests in Maine in 2018 were for misdemeanor offenses (Classes D and E).

### 2018 Arrests by Offense Level

**N = 36,069**

- **Misdemeanor**
  - Class D: 16,133 (58%)
  - Class E: 11,417 (41%)
  - Unclassified: 370 (1%)
  - Total: 27,920 (77%)

- **Felony**
  - Class A: 788 (10%)
  - Class B: 2,015 (25%)
  - Class C: 5,328 (65%)
  - Murder: 18 (<1%)
  - Total: 8,149 (23%)

*Murder is included with felony offenses. Unclassified offenses are included with misdemeanor offenses.*

**Source:** CSG Justice Center analysis of DPS data, 2008–2019.
Class C offenses account for most felony arrests, while Class D offenses account for most misdemeanor arrests. In 2018, drug trafficking arrests made up over half of all Class A arrests and over one-quarter of Class B arrests.

### 2018 Arrests by Offense Level

<table>
<thead>
<tr>
<th>Class A</th>
<th>788</th>
<th>2%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Class B</td>
<td>2,015</td>
<td>6%</td>
</tr>
<tr>
<td>Class C</td>
<td>5,328</td>
<td>15%</td>
</tr>
<tr>
<td>Class D</td>
<td>16,133</td>
<td>45%</td>
</tr>
<tr>
<td>Class E</td>
<td>11,417</td>
<td>32%</td>
</tr>
</tbody>
</table>

Not included are 2018 arrests for murder (18) and “unclassified” (370).

### Top 5 Most Frequent Felony Arrests by Class

<table>
<thead>
<tr>
<th>Class A Arrests</th>
<th></th>
<th>Class D Arrests</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Drug Trafficking</td>
<td>403</td>
<td>OUI</td>
<td>5,466</td>
</tr>
<tr>
<td>Robbery</td>
<td>103</td>
<td>Domestic Violence</td>
<td>2,479</td>
</tr>
<tr>
<td>Gross Sexual Assault</td>
<td>99</td>
<td>Assault</td>
<td>1,747</td>
</tr>
<tr>
<td>Arson</td>
<td>65</td>
<td>Drug Possession</td>
<td>1,209</td>
</tr>
<tr>
<td>Aggravated Assault</td>
<td>41</td>
<td>Criminal Mischief</td>
<td>1,151</td>
</tr>
</tbody>
</table>

### Top 5 Most Frequent Misdemeanor Arrests by Class

<table>
<thead>
<tr>
<th>Class B Arrests</th>
<th></th>
<th>Class E Arrests</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Drug Trafficking</td>
<td>517</td>
<td>Viol. Condition of Release</td>
<td>4,066</td>
</tr>
<tr>
<td>Aggravated Assault</td>
<td>513</td>
<td>Theft</td>
<td>3,534</td>
</tr>
<tr>
<td>Burglary</td>
<td>271</td>
<td>Disorderly Conduct</td>
<td>950</td>
</tr>
<tr>
<td>Theft</td>
<td>190</td>
<td>Trespass</td>
<td>936</td>
</tr>
<tr>
<td>Forgery</td>
<td>129</td>
<td>Drinking in Public</td>
<td>471</td>
</tr>
</tbody>
</table>

### Class C Arrests

<table>
<thead>
<tr>
<th>Class C Arrests</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Theft</td>
<td>1,292</td>
</tr>
<tr>
<td>Operating License Susp.</td>
<td>482</td>
</tr>
<tr>
<td>Drug Possession</td>
<td>426</td>
</tr>
<tr>
<td>Domestic Violence</td>
<td>424</td>
</tr>
<tr>
<td>Viol. Conditions of Release</td>
<td>387</td>
</tr>
</tbody>
</table>

The statewide decline in arrests between 2008 and 2018 was almost entirely due to declines in misdemeanor arrests.

*Graph does not include murder (-31%) or unclassified offenses (+42%), which are a very small percentage of overall arrests. In 2018, there were 17 arrests for murder and 370 arrests for unclassified offenses.

While the overall number of arrests declined between 2008 and 2018, felony arrests for women increased, especially for Class A offenses, which more than doubled.

While felony arrests of women increased by a greater margin than felony arrests of men, the overwhelming majority of arrests are still of men. In 2018, arrests of men made up **71.4 percent of all arrests** in Maine.

Drug and property offenses accounted for slightly more than half of women’s felony arrests in 2018.

In 2018, black people made up 1 percent of Maine’s population but accounted for 5 percent of arrests.

Arrests involving pretrial “violation of conditions of release” (VCR) account for more than one-fifth of arrests in Maine.

When a person is released on bail pending trial, certain conditions may be placed on them. Violation of those conditions may result in arrest—either as the primary charge or in conjunction with another arrestable offense (VCR as a secondary charge). Arrests that include a VCR as either the primary or a secondary charge made up more than 20 percent of all arrests in Maine in 2018.

In many instances where VCR is the leading charge, it is difficult to determine what the original charge was.

Underlying Offense for VCRs, * 2018
(N = 4,454)

- VCR: 1,106 (25%)
- Domestic Violence: 363 (8%)
- Theft: 290 (7%)
- OUI: 413 (9%)
- Drug Related: 355 (8%)
- Other: 1,079 (24%)
- No Information: 848 (19%)

*Drug related includes the two most frequent VCR offenses—drug possession and drug trafficking. Matched VCR to the most recent arrest prior to that VCR arrest.

Drug arrests accounted for almost 9 percent of all arrests in Maine in 2018. Arrests for drug trafficking made up over half of all Class A arrests and over one-quarter of Class B arrests that year.

In 2018, 3,214 (8.9 percent) of the 36,069 arrests in Maine were for drug offenses. Drug arrests were divided fairly evenly between felony (48.5 percent) and misdemeanor (51.5 percent) offenses.

### Most Frequent Class A Drug Arrests, 2018 (N = 414)

<table>
<thead>
<tr>
<th>Offense</th>
<th>Count</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Aggravated Trafficking of Scheduled Drugs</td>
<td>308</td>
<td>74%</td>
</tr>
<tr>
<td>Aggravated Trafficking of Schedule W Drug</td>
<td>95</td>
<td>23%</td>
</tr>
<tr>
<td>Aggravated Operation of Meth Laboratory – Residence</td>
<td>5</td>
<td>1%</td>
</tr>
</tbody>
</table>

### Most Frequent Class B Drug Arrests, 2018 (N = 582)

<table>
<thead>
<tr>
<th>Offense</th>
<th>Count</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unlawful Trafficking in Scheduled Drugs</td>
<td>503</td>
<td>86%</td>
</tr>
<tr>
<td>Operate Meth Laboratory</td>
<td>22</td>
<td>4%</td>
</tr>
<tr>
<td>Unlawful Possession of Scheduled Drugs</td>
<td>14</td>
<td>2%</td>
</tr>
</tbody>
</table>

### Most Frequent Class C Drug Arrests, 2018 (N = 564)

<table>
<thead>
<tr>
<th>Offense</th>
<th>Count</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unlawful Possession of Heroin</td>
<td>140</td>
<td>25%</td>
</tr>
<tr>
<td>Unlawful Possession of Methamphetamine</td>
<td>68</td>
<td>12%</td>
</tr>
<tr>
<td>Unlawful Furnishing of Scheduled Drugs</td>
<td>45</td>
<td>8%</td>
</tr>
</tbody>
</table>

### Most Frequent Class D Drug Arrests, 2018 (N = 1,348)

<table>
<thead>
<tr>
<th>Offense</th>
<th>Count</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unlawful Possession of Scheduled Drugs</td>
<td>1,209</td>
<td>90%</td>
</tr>
<tr>
<td>Poss. of Hypodermic Apparatus</td>
<td>62</td>
<td>5%</td>
</tr>
<tr>
<td>Unlawful Furnishing of Scheduled Drug</td>
<td>32</td>
<td>2%</td>
</tr>
</tbody>
</table>

### Most Frequent Class E Drug Arrests, 2018 (N = 306)

<table>
<thead>
<tr>
<th>Offense</th>
<th>Count</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unlawful Possession of Scheduled Drugs</td>
<td>272</td>
<td>89%</td>
</tr>
<tr>
<td>Marijuana Under 18 Years</td>
<td>17</td>
<td>6%</td>
</tr>
<tr>
<td>Use of Drug Paraphernalia</td>
<td>10</td>
<td>3%</td>
</tr>
</tbody>
</table>

Total arrests for drug offenses in Maine rose slightly between 2008 and 2018. Class A drug arrests more than doubled during this period.

**Drug Arrests by Offense Category, 2008, 2014 and 2018**

- **Class A**: 2008: 3,126, 2014: 3,126, 2018: 3,214; + 253 (157%)
- **Class B**: 2008–2018, + 67 (13%)
- **Class C**: 2008–2018, - 318 (-36%)
- **Class D**: 2008–2018, + 194 (17%)
- **Class E**: 2008–2018, - 108 (-26%)

Drug arrests of women increased 25 percent between 2008 and 2018, with arrests for Class A offenses more than tripling during this period.

**Arrests of Females for Drug Offenses, 2008, 2014, and 2018**

- **Class A**: 2008: 33 arrests, 2014: 50 arrests, 2018: 110 arrests. (+77 (+233%))
- **Class C**: 2008: 151 arrests, 2014: 206 arrests, 2018: 315 arrests. (-55 (-27%))
- **Class D**: 2008: 105 arrests, 2014: 234 arrests, 2018: 246 arrests. (+115 (+49%))
- **Class E**: 2008: 75 arrests, 2014: 105 arrests, 2018: 139 arrests. (-30 (-29%))

Racial disproportionality is more pronounced in drug arrests than in total arrests. Black people account for 21 percent of Class A drug arrests and 15 percent of Class B drug arrests.

<table>
<thead>
<tr>
<th>Race Recorded in 2018 All Drug Arrest Records Compared to 2017 Census</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Race</strong></td>
</tr>
<tr>
<td>White</td>
</tr>
<tr>
<td>Black</td>
</tr>
<tr>
<td>Native American</td>
</tr>
<tr>
<td>Asian</td>
</tr>
<tr>
<td>Unknown</td>
</tr>
</tbody>
</table>


**Arrests for Class A Drug Offenses, 2018 (N = 414)**

<table>
<thead>
<tr>
<th><strong>Race</strong></th>
<th><strong>Percentage</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>White</td>
<td>63%</td>
</tr>
<tr>
<td>Black</td>
<td>21%</td>
</tr>
<tr>
<td>Native American</td>
<td>1%</td>
</tr>
<tr>
<td>Asian</td>
<td>&lt;1%</td>
</tr>
<tr>
<td>Unknown</td>
<td>14%</td>
</tr>
</tbody>
</table>

**Arrests for Class B Drug Offenses, 2018 (N=582)**

<table>
<thead>
<tr>
<th><strong>Race</strong></th>
<th><strong>Percentage</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>White</td>
<td>67%</td>
</tr>
<tr>
<td>Black</td>
<td>15%</td>
</tr>
<tr>
<td>Native American</td>
<td>1%</td>
</tr>
<tr>
<td>Asian</td>
<td>&lt;1%</td>
</tr>
<tr>
<td>Unknown</td>
<td>17%</td>
</tr>
</tbody>
</table>

**Arrests for Class C Drug Offenses, 2018 (N=564)**

<table>
<thead>
<tr>
<th><strong>Race</strong></th>
<th><strong>Percentage</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>White</td>
<td>79%</td>
</tr>
<tr>
<td>Black</td>
<td>4%</td>
</tr>
<tr>
<td>Native American</td>
<td>1%</td>
</tr>
<tr>
<td>Asian</td>
<td>&lt;1%</td>
</tr>
<tr>
<td>Unknown</td>
<td>16%</td>
</tr>
</tbody>
</table>
Domestic violence arrests decreased 19 percent between 2008 and 2018.

Top Arrested Offenses in the Category of "Domestic Violence" (2018):
1. Domestic Violence Assault (2,206)
2. Domestic Violence Assault, Priors DV (319)
3. Domestic Violence Terrorizing (125)
4. Domestic Violence Criminal Threatening (94)
5. Domestic Violence Reckless Conduct (36)
6. Domestic Violence Stalking (30)
7. Domestic Violence Terrorizing, Priors DV (30)

Top Convicted Offenses for DV Arrests (2018):
1. Domestic Violence Assault (1,234)
2. Domestic Violence Assault, Priors DV (199)
3. Assault (94)
4. Domestic Violence Criminal Threatening (74)
5. Domestic Violence Terrorizing (68)
6. Aggravated Assault (56)
7. Domestic Violence Reckless Conduct (27)
8. Disorderly Conduct, Offensive Words, Gestures (19)
9. Domestic Violence Terrorizing, Priors DV (16)
10. Domestic Violence Assault, Priors T 19-A (15)

Key takeaways are about volume, violence, women and race.

**Volume**
- VCR was the primary or secondary charge in more than 20 percent of all arrests. (#18)
- Drug trafficking made up over half of all Class A arrests and over one-quarter of Class B arrests. (#20)
- 80 percent of people arrested are arrested only once in a year. (#11)

**Violence**
- Reported violent crime has increased 43 percent in rural areas of Maine over the last decade but has started to decline. (#9)
- Domestic violence and assault account for more than one-quarter of arrests for Class D offenses. (#13)
- Domestic violence arrests accounted for approximately 8 percent of all arrests in 2018, and the volume of domestic violence arrests decreased 19 percent from 2008 to 2018. (#24)

**Women**
- Despite an overall trend of decreasing arrests, felony arrests for women increased from 2008 to 2018, especially for Class A offenses, which more than doubled. (#15)
- Between 2008 and 2018, drug arrests for women increased by 25 percent. During that time, arrests of women for Class A drug offenses more than tripled. (#22)
- Women are arrested for felonies over half the time for theft, drug possession, or trafficking. For men those offenses account for one-quarter of felony arrests. (#16)

**Race**
- Black people account for 1 percent of the state population and:
  - 5 percent of all arrests (#17)
  - 16 percent of arrests for Class A offenses (#17)
  - 21 percent of Class A drug arrests and 15 percent of Class B drug arrests. (#23)
Presentation Overview

1. Data Analyses: Arrest and Criminal History
2. Data Analyses: Criminal Case Filings
3. Maine Probation Policy and Practice Assessment
Between FY2016 and FY2019, criminal case filings decreased 6 percent.

Case filings are down or level in all of Maine’s courts except for Aroostook, Somerset, and York Counties.

The overwhelming majority of case filings are for misdemeanor offenses. In FY2018, 84 percent of criminal case filings were for misdemeanors. By rough comparison, only 77 percent of arrests in FY2018* were for misdemeanors.

*28,145 of the total 36,617 arrests in Fiscal Year 2018 (July 1, 2017–June 30, 2018) were for misdemeanor offenses.

<table>
<thead>
<tr>
<th>Top 5 Case Filings (All Offense Levels)</th>
<th>FY2016</th>
<th>FY2017</th>
<th>FY2018</th>
<th>FY2019</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operating Under the Influence (OUI) (Alcohol)</td>
<td>3,615</td>
<td>3,505</td>
<td>3,332</td>
<td>3,424</td>
</tr>
<tr>
<td>Operating While License Suspended or Revoked (OWLS/R)</td>
<td>3,132</td>
<td>3,226</td>
<td>3,292</td>
<td>3,017</td>
</tr>
<tr>
<td>Violation of Conditions of Release (VCR)</td>
<td>3,440</td>
<td>2,970</td>
<td>2,985</td>
<td>3,222</td>
</tr>
<tr>
<td>Theft by Unauthorized Taking/Transfer</td>
<td>3,381</td>
<td>3,161</td>
<td>3,099</td>
<td>2,840</td>
</tr>
<tr>
<td>Domestic Violence Assault</td>
<td>2,183</td>
<td>2,100</td>
<td>2,066</td>
<td>2,085</td>
</tr>
</tbody>
</table>

The number of criminal case filings in Maine declined across all offense classes between FY2016 and FY2019.

- Murder: -9 (-39%)
- Class A: -30 (-4%)
- Class B: -179 (-10%)
- Class C: -453 (-9%)
- Class D: -948 (-6%)
- Class E: -980 (-4%)

On average, there are just over 2.6 charges per felony case, but about half that per misdemeanor case.

**Average Number of Charges Per Case by Offense Level, FY2016–FY2019**

**Felony case filings:**
Average of **2.62** charges per case in last four fiscal years

<table>
<thead>
<tr>
<th>Offense Level</th>
<th>2016</th>
<th>2017</th>
<th>2018</th>
<th>2019</th>
</tr>
</thead>
<tbody>
<tr>
<td>Murder</td>
<td>1.0</td>
<td>1.0</td>
<td>1.0</td>
<td>1.1</td>
</tr>
<tr>
<td>Class A</td>
<td>3.3</td>
<td>3.7</td>
<td>3.6</td>
<td>3.5</td>
</tr>
<tr>
<td>Class B</td>
<td>3.2</td>
<td>3.2</td>
<td>3.2</td>
<td>3.1</td>
</tr>
<tr>
<td>Class C</td>
<td>2.3</td>
<td>2.3</td>
<td>2.3</td>
<td>2.3</td>
</tr>
<tr>
<td>Class D</td>
<td>1.7</td>
<td>1.7</td>
<td>1.7</td>
<td>1.7</td>
</tr>
<tr>
<td>Class E</td>
<td>1.2</td>
<td>1.2</td>
<td>1.2</td>
<td>1.2</td>
</tr>
</tbody>
</table>

**Misdemeanor case filings:**
Average of **1.38** charges per case in last four fiscal years

The number of charges per case varies significantly by county and between felony and misdemeanor cases.

The number of felony cases filed against black defendants is disproportionate in comparison to their proportion of the state’s population.

To a slightly lesser extent, a disproportionate number of misdemeanor cases are filed against black defendants.

Although just 63 percent of Class A filings are disposed as a Class A offense, the vast majority of cases are disposed as they are filed.

Class A Filing Class by Disposed Class, 2016–2019
- Class A, 545, 63%
- Class B, 309, 36%
- Class C, 4, 1%
- Misd, 3, 0%

Class B Filing Class by Disposed Class, 2016–2019
- Class A, 2,890, 93%
- Class B, 16, 0%
- Class C, 83, 3%
- Misd, 121, 4%

Class C Filing Class by Disposed Class, 2016–2019
- Class A, 3, 0%
- Class B, 16, 0%
- Class C, 9,725, 86%
- Misd, 1,628, 14%

Murder Filing Class by Disposed Class, 2016–2019
- Murder, 34, 94%
- Class A, 2, 6%

Nearly 100 percent of Class D and Class E cases are disposed as they were filed.

Each year, a relatively small percentage of cases (mostly misdemeanors) receive a deferred disposition. Of these, more than half are ultimately dismissed.

Of the 46,577 cases disposed in FY2018, **3,558 (7.6%)** were given deferred disposition.

Of the 46,577 cases disposed in FY2018, **3,558 (7.6%)** were given deferred disposition.

Judicial Regions 1 (York County) & 4 (Kennebec and Somerset Counties) appear to use deferred disposition the most. District 5 (Penobscot County) appears to use it the least.


Deferred Disposition Cases by Offense Class, FY2016–FY2019

<table>
<thead>
<tr>
<th>Offense Class</th>
<th>FY2016</th>
<th>FY2017</th>
<th>FY2018</th>
<th>FY2019</th>
</tr>
</thead>
<tbody>
<tr>
<td>Class C</td>
<td>1,652</td>
<td>1,677</td>
<td>1,685</td>
<td>1,594</td>
</tr>
<tr>
<td>Class D</td>
<td>1,283</td>
<td>1,420</td>
<td>1,540</td>
<td>1,431</td>
</tr>
<tr>
<td>Class E</td>
<td>323</td>
<td>296</td>
<td>333</td>
<td>287</td>
</tr>
</tbody>
</table>

Deferred Disposition Outcomes, FY2018

<table>
<thead>
<tr>
<th>Outcome</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dismissed</td>
<td>2,006 (57%)</td>
</tr>
<tr>
<td>Incarceration/Probation</td>
<td>685  (20%)</td>
</tr>
<tr>
<td>Fine</td>
<td>498  (14%)</td>
</tr>
<tr>
<td>Incarceration/Probation</td>
<td>150  (4%)</td>
</tr>
<tr>
<td>Uncond. Discharge</td>
<td>100  (3%)</td>
</tr>
<tr>
<td>Combined w/ Other</td>
<td>167  (5%)</td>
</tr>
<tr>
<td>Other</td>
<td>52   (1%)</td>
</tr>
</tbody>
</table>

52 cases either remained open (37 cases), had a sentence of “other” (3 cases), or a problem with data transmission (12 cases).
While sample sizes are small, available data shows that white people who receive deferred dispositions consistently have more average prior in-state arrests than black people who receive deferred dispositions.

The number of felony sentences decreased 10 percent between FY2016 and FY2019, but the number of sentences to prison increased 2 percent.

**Felony Sentences, FY2016–FY2019**

<table>
<thead>
<tr>
<th></th>
<th>FY2016</th>
<th>FY2017</th>
<th>FY2018</th>
<th>FY2019</th>
</tr>
</thead>
<tbody>
<tr>
<td>Felony Sentences</td>
<td>3,574</td>
<td>3,322</td>
<td>3,531</td>
<td>3,211</td>
</tr>
</tbody>
</table>

Between FY2016 and FY2019, the number of sentences for drug offenses went down across offense levels, except for Class A and Class B.

**Sentences for Drug Offenses by Offense Level, FY2016–FY2019**

- **Class A**: +76%
- **Class B**: +2%
- **Class D**: -6%
- **Class E**: -23%
- **Class C**: -28%

**Sentences for Drug Offenses as Percent of Total Sentences, by Offense Level**

<table>
<thead>
<tr>
<th>Offense Class</th>
<th>% in FY2016</th>
<th>% in FY2019</th>
</tr>
</thead>
<tbody>
<tr>
<td>Class A</td>
<td>29%</td>
<td>46%</td>
</tr>
<tr>
<td>Class B</td>
<td>41%</td>
<td>49%</td>
</tr>
<tr>
<td>Class C</td>
<td>17%</td>
<td>14%</td>
</tr>
<tr>
<td>Class D</td>
<td>10%</td>
<td>10%</td>
</tr>
<tr>
<td>Class E</td>
<td>2%</td>
<td>2%</td>
</tr>
</tbody>
</table>

The number of misdemeanor sentences decreased 9 percent between FY2016 and FY2019, and sentences to jail decreased 6 percent.

**Misdemeanor Sentences, FY2016–FY2019**

<table>
<thead>
<tr>
<th>Year</th>
<th>Total</th>
<th>Jail</th>
<th>Jail Split</th>
<th>Probation</th>
<th>Fine/Other</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY16</td>
<td>30,657</td>
<td>10,516</td>
<td>772</td>
<td>563</td>
<td></td>
</tr>
<tr>
<td>FY17</td>
<td>29,776</td>
<td>10,500</td>
<td>737</td>
<td>579</td>
<td></td>
</tr>
<tr>
<td>FY18</td>
<td>29,682</td>
<td>10,395</td>
<td>740</td>
<td>607</td>
<td></td>
</tr>
<tr>
<td>FY19</td>
<td>27,801</td>
<td>9,885</td>
<td>742</td>
<td>613</td>
<td></td>
</tr>
</tbody>
</table>

In FY2019, nearly half of sentences for felony drug offenses resulted in a sentence to prison.

In FY2019, the offense sentenced to prison the most was the “unlawful trafficking in scheduled drugs” (145 cases), an increase of 17 percent from FY2016.

While black people make up only 1 percent of Maine’s population, 12 percent of prison sentences are for black defendants. This disproportionality is even higher for Class A and B prison sentences.

### Race for Class A Prison Sentences, FY2018

<table>
<thead>
<tr>
<th>Race</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>White</td>
<td>71%</td>
</tr>
<tr>
<td>Black</td>
<td>23%</td>
</tr>
<tr>
<td>Native American</td>
<td>&lt;1%</td>
</tr>
<tr>
<td>Asian</td>
<td>&lt;1%</td>
</tr>
<tr>
<td>Unknown</td>
<td>5%</td>
</tr>
</tbody>
</table>

### Race for Class B Prison Sentences, FY2018

<table>
<thead>
<tr>
<th>Race</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>White</td>
<td>75%</td>
</tr>
<tr>
<td>Black</td>
<td>19%</td>
</tr>
<tr>
<td>Native American</td>
<td>1%</td>
</tr>
<tr>
<td>Asian</td>
<td>1%</td>
</tr>
<tr>
<td>Unknown</td>
<td>4%</td>
</tr>
</tbody>
</table>

### Race for Class C Prison Sentences, FY2018

<table>
<thead>
<tr>
<th>Race</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>White</td>
<td>89%</td>
</tr>
<tr>
<td>Black</td>
<td>7%</td>
</tr>
<tr>
<td>Native American</td>
<td>1%</td>
</tr>
<tr>
<td>Asian</td>
<td>&lt;1%</td>
</tr>
<tr>
<td>Unknown</td>
<td>3%</td>
</tr>
</tbody>
</table>

The proportion of people from outside Maine who were sentenced to prison increased between 2016 and 2019.

**Sentences to Prison by Legal Address, FY2016 and FY2019**

- **Legal Address in Maine**
  - FY2016: 1,192
  - FY2019: 1,189

- **Legal Address Outside Maine**
  - FY2016: 94
  - FY2019: 124

### FY2019 Sentences to Prison for People with a Legal Address in Maine (N = 1,189)

<table>
<thead>
<tr>
<th></th>
<th>Prison Sentences</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>White</td>
<td>1,036</td>
<td>87%</td>
</tr>
<tr>
<td>Black</td>
<td>88</td>
<td>7%</td>
</tr>
<tr>
<td>Native American</td>
<td>11</td>
<td>&lt;1%</td>
</tr>
<tr>
<td>Asian</td>
<td>6</td>
<td>&lt;1%</td>
</tr>
<tr>
<td>Unknown</td>
<td>48</td>
<td>4%</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>1,189</strong></td>
<td><strong>100%</strong></td>
</tr>
</tbody>
</table>

### FY2019 Sentences to Prison for People with a Legal Address outside Maine (N = 124)

<table>
<thead>
<tr>
<th></th>
<th>Prison Sentences</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>White</td>
<td>48</td>
<td>39%</td>
</tr>
<tr>
<td>Black</td>
<td>59</td>
<td>48%</td>
</tr>
<tr>
<td>Native American</td>
<td>1</td>
<td>1%</td>
</tr>
<tr>
<td>Asian</td>
<td>2</td>
<td>1%</td>
</tr>
<tr>
<td>Unknown</td>
<td>14</td>
<td>11%</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>124</strong></td>
<td><strong>100%</strong></td>
</tr>
</tbody>
</table>

A larger proportion of women’s sentences to prison are for drug and burglary/theft than men’s.

### Women’s Prison Sentences by Offense Type, FY2019

- Drugs: 38%
- Burglary/Theft: 34%
- Other Felony: 14%
- Other Assault: 5%
- Murder/Manslaughter: 2%
- OUI: 2%
- Sexual Assault: 3%
- Robbery: 2%

### Men’s Prison Sentences by Offense Type, FY2019

- Drugs: 25%
- Burglary/Theft: 24%
- Other Felony: 24%
- Sexual Assault: 6%
- Other Assault: 14%
- Murder/Manslaughter: 1%
- OUI: 4%
- Robbery: 3%

While the number of felony sentences is declining, more than 80 percent of felony sentences involve a period of incarceration in either jail or prison.

Despite the low number of probation sentences, split sentences—even to jail—can make for a long term of supervision.

### Median Probation/Suspended Only and Split Sentence Lengths in Months by Offense Level and Confinement Type, FY2019

#### Class B Offenses

**Probation**
- Probation/Suspended Only: 37 months (Total: 37 Months)

**Jail Split**
- Jail + Probation/Suspended: 35 months (Total: 41 Months)

**Prison Split**
- Prison + Probation/Suspended: 43 months (Total: 61 Months)

#### Class C Offenses

**Probation**
- Probation/Suspended Only: 24 months (Total: 24 Months)

**Jail Split**
- Jail + Probation/Suspended: 23 months (Total: 26 Months)

**Prison Split**
- Prison + Probation/Suspended: 31 months (Total: 43 Months)

Key takeaways are about sentencing, women, and race.

**Sentencing**
- Over 3,000 cases per year (7.6 percent of cases in 2018) received deferred disposition, and over half of them end in case dismissal. (#35)
- The average number of charges per case is twice as high for felonies (other than murder) than misdemeanors and varies significantly by county. (#30 and 31)
- The number of felony sentences decreased 10 percent between FY2016 and FY2019, but the number of sentences to prison increased 2 percent. (#37)
- More than 80 percent of felony sentences involve a period of incarceration in either jail or prison; straight probation is notably uncommon. (#44)
- When split sentencing to jail or prison is used, the additional terms of supervision are generally longer than the average for straight probation cases. (#45)

**Women**
- Women are more likely than men to get a sentence of straight probation and less likely to get a sentence to prison. (#44)
- A larger proportion of women’s sentences to prison are for drug and burglary/theft than men’s. (#43)

**Race**
- White people who receive deferred dispositions consistently have more average prior arrests than black people who receive deferred dispositions. (#36)
- Black people account for 1 percent of the state population, 5 percent of arrests, and:
  - 5 percent of misdemeanor case filings (#33)
  - 8 percent of felony case filings and 24 percent of filings for Class A felonies. (#32)
  - 12 percent of sentences to prison, 23 percent of Class A sentences to prison, and 19 percent of Class B sentences to prison (#41)
- 9 percent of people sentenced to prison in 2019 had non-Maine legal addresses, and half of those people were black. (#42)
Presentation Overview

1. Data Analyses: Arrest and Criminal History
2. Data Analyses: Criminal Case Filings
3. Maine Probation Policy and Practice Assessment
The CSG Justice Center’s probation policy and practice assessment covers eight dimensions to determine adherence to core principles of supervision: risk, need, and responsivity (RNR).

Eight dimensions of effective intervention

1. Assess risk, need, and responsivity.
2. Target the right people.
4. Ensure adequate investment in and access to proven programs.
5. Use case planning to facilitate positive behavior change.
6. Respond to both positive and negative behaviors.
7. Hold individuals accountable.
8. Measure outcomes.

RNR program approaches within prisons are important, but maximum recidivism reduction is achieved when RNR programs are delivered in the community, on probation, or after release.

Principle 1: Assess risk, need, and responsivity.

RESEARCH

Risk and need assessments sort people into categories based on likelihood of committing more crime.

CURRENT PRACTICE IN MAINE

MDOC assesses a person’s strengths as well as criminogenic risk and need.

MDOC uses three tools in prison and for community corrections and two other tools for prison only:

1. Level of Service Inventory-Revised (LSI-R) – all
2. Service Planning Instrument for Women (SPI-W) – women
3. Static 99 – men convicted of sex offenses
4. Texas Christian University Drug Screening II (TCUDS II) – prison only
5. Ontario Domestic Assault Risk Assessment (ODARA) – prison only

MDOC has policies on assessment timing and data entry in CORIS.

AREAS FOR IMPROVEMENT

- Validate tools for Maine population and specialized subpopulations.
- Increase coordination between institutional and community corrections for effective discharge planning and to reduce duplicative assessment.
- Examine and refine probation officer (PO) caseloads.
- Revisit role and caseloads of probation officer assistants (POAs).

Source: Interviews with Maine Department of Corrections (MDOC) staff conducted by staff from The Council of State Governments Justice Center, analysis of MDOC policy, available online at https://www.maine.gov/corrections/PublicInterest/policies.shtml.
**Principle 2: Target the right people.**

**RESEARCH**

Failing to adhere to the risk principle can increase recidivism for people assessed as low risk.

Average Difference in Recidivism by Risk for Individuals in Ohio Halfway House

- **Low Risk**: +3%
- **Moderate Risk**: -6%
- **High Risk**: -14%

**CURRENT PRACTICE IN MAINE**

Contact standards are in policy, based on results of risk/need assessment, and focus officers on the highest-risk individuals.

Assessment tools are used to craft responsive case management plans for the highest-risk individuals (high- and maximum-risk individuals).

Probation officers (POs), who supervise all people assessed as high risk and high need, and probation officer assistants (POAs), who supervise people assessed as low risk or are on administrative supervision, work according to the Maine Integration Risk Reduction Model (MIRRM). This model is designed to help implement an RNR model with clients to reduce recidivism.

Some probation offices have capacity for specialized caseloads.

**AREAS FOR IMPROVEMENT**

- Case plans are created only for individuals who score high or maximum risk.
- Probation offices in rural areas lack capacity for specialized caseloads.
- One POA reported it feels more like “debt collection” than supervision.
- There is the potential for the over supervision of low-risk and administratively supervised individuals.


RESEARCH
Supervision and supports should be focused on the period when people are most likely to reoffend.

CURRENT PRACTICE IN MAINE
Timely completion of assessments ensures effective sharing and access to data for individuals released from prison onto probation supervision.

Reentry and discharge processes from prison attempt to “step down” individuals to lower security facilities prior to release and build bridges to community-based services.

Regional correctional managers are required by MDOC policy 1.17, Establishment and Utilization of Community Resources, to seek outside resources in their regions.

AREAS FOR IMPROVEMENT
- Probation offices do not offer services, programming, or treatment beyond case management.
- In many areas, community-based resources are limited, difficult to access, and difficult to assess for quality.
- Transportation is a serious limitation to access.
- Contact standards are difficult to accomplish due to the long distances for client or PO travel.
- Challenges with recruitment and retention of skilled behavioral health resources in rural areas contributes to lack of community resources.

Recidivism of People Released from Prison in 2005,* by Number of Years After Release

*Based on the first arrest after release from prison, for people serving sentences in 30 states.

Principle 4: Ensure adequate investment in and access to proven programs.

**RESEARCH**

Programs, treatment, and services should meet the unique needs of people in the criminal justice system.

Changes in Recidivism by Program Type

- Decreases Recidivism
- Increases Recidivism

Cognitive behavioral with graduated skills practice

-26%

Cognitive (no behavioral)

Psycho-educational

Journaling

+8%

Punishment-oriented

**CURRENT PRACTICE IN MAINE**

In Calais and Lewiston, probation supervisors and POs report having excellent relationships with community-based service providers.

MDOC has a robust Correctional Programming Department that has made significant investments in the adoption of evidence-based and effective principles of intervention, core correctional practices, and continuous quality improvement and fidelity processes. Core risk-reducing programming with an emphasis on cognitive behavioral interventions is in use institutionally in Maine statewide.

**AREAS FOR IMPROVEMENT**

- Provide evidence-based, core risk-reducing program curricula for probation offices across the state that provides a connection to prison programming.
- Increase accessibility, availability, quality of services, programming, and treatment in communities.
- Create or allow remote program delivery options, such as telehealth or mobile reporting, to address endemic geographic/transportation challenges.

**Principle 5: Use case planning to facilitate positive behavior change.**

**RESEARCH**

Focus case-planning goals on identified criminogenic need areas to facilitate positive behavior change.

- History of Criminal Behavior
- Antisocial Attitudes, Values, and Beliefs
- Antisocial Peers
- Antisocial Personality Characteristics
  - Lack of Employment Stability and Educational Achievement
  - Family and/or Marital Stressors
  - Substance Use
  - Lack of Prosocial Leisure Activities

The “Big 4”

**CURRENT PRACTICE IN MAINE**

Case plans contain SMART (Specific, Measurable, Achievable, Relevant, and Time-bound) goals created in collaboration with clients and evaluated during quarterly PO caseload reviews.

Case plans and management follow the MIRRM process. Supervisors are trained to guide PO use of evidence-based practices in community supervision (EPICS) framework, motivational interviewing (MI), and a strengths- and goals-focused approach to positive behavior change.

POs focus on client strengths as well as risk and need when collaborating on case plans.

**AREAS FOR IMPROVEMENT**

- PO caseload reviews by supervisors have a compliance focus as opposed to a behavior change focus, in contrast to stated supervision priorities.
- Fidelity and quality assurance during caseload reviews focuses only on the achievement of concrete elements of case management.
- Coaching, training, and support for evidence-based behavior change techniques for supervisors is not included as part of the documented review of the quality of case management services.
Principle 6: Respond to both positive and negative behaviors.

RESEARCH

Punishment alone is not an effective way to bring about long-term behavior change, partly because the negative behavior tends to return when the punishment is discontinued.

Incentives should be used 4x more often than sanctions to promote and sustain behavior change.

CURRENT PRACTICE

Probation has used the MDO (MDOC) Graduated Sanctions Grid (GSG) since 2013 to hold individuals accountable through use of low-, moderate-, and high-level sanctions.

Incentives are also graduated but are not codified in the GSG and are solely connected to the conditions of supervision.

POs have latitude and must only seek supervisor approval for moderate- or high-level sanctions.

In prison, MDOC Policy 23.6, Privilege Level System provides an objective system for incentives for prosocial behaviors and attitudes.

AREAS FOR IMPROVEMENT

- Risk domains driving sanctions on the GSG do not reflect those on the LSI-R, SPIn-W, and Static 99.
- Available sanctions on the GSG include referrals to cognitive behavioral programs, mental health treatment, and substance use treatment. Avoiding characterizing treatment as a sanction will improve its perceived utility by clients.
- Incentives are not included on any graduated sanctions grid, nor is there formal policy indicating how, when, under what circumstances, and for whom they should be applied.

Principle 7: Hold individuals accountable.

RESEARCH

Effective punishment is swift, certain, fair, and appropriate.

Swift. Sanctions are quick. Limit the time between violation and consequence.

Certain. Sanctions are predictable. Consequences are not random. There are set responses for certain violations.

Fair and Appropriate. The severity and duration of a response to a violation is proportionate to the violation.

CURRENT PRACTICE

Swiftness: POs have access to web-based case management (CORIS) with client information and are empowered to sanction or incentivize clients with low-level sanctions without supervisor approval.

Certainty: GSG and data entry on sanctions increase certainty that clients are being sanctioned at similar levels for similar behaviors.

Proportionality: Staff, supervisors, and district directors support use of sanctions, and PO recommendations for revocation require supervisor and district attorney’s office approval. If a recommendation of revocation is approved at both of these levels it is then filed with the court.

AREAS FOR IMPROVEMENT

• GSG sanctions repeat across severity levels instead of escalating.
• POs often have to travel long distances in order to conduct home visits.
• Clients also travel long distances to comply with the conditions of supervision (i.e., office visits, treatment/service conditions) and contend with access to transportation barriers to do so.
• Limited resource accessibility can change the imposition of a “low-level” sanction into a severe sanction due to hardship.
• Data on use of sanctions are not communicated to supervisors and staff in a way that informs their delivery of case management services.

Principle 8: Measure outcomes.

RESEARCH

Data should be the driver for change at multiple levels of supervision delivery.

Correctional leadership, management, supervisors, and officers all need access to timely data showing how actions impact outcomes.

What gets measured, gets managed.

CURRENT PRACTICE

MDOC has a robust approach to evidence-based practices for training, risk assessment, case planning, case management, and fidelity.

MDOC has policies for assessing the quality of case plans and case management for POs (MDOC Policy 9.4) and assessing whether POs are meeting contact standards (MDOC Policy 9.4).

MDOC has a common case management platform so that information can be shared across the two correctional environments about client risk, need, case plan, and case management.

AREAS FOR IMPROVEMENT

- Policies and practices for the measurement and evaluation of probation officer performance should focus on the quality of case plans, not just the concrete measures related to the compliance with conditions.
- Provide data routinely to probation officers and supervisors that can be used to improve their case management practices. MDOC has a vast trove of data that could be used to deliver feedback to staff about their performance in moving clients forward in the process of positive behavior change, but it needs to be delivered, used in staff coaching, and integrated into accountability policies that measure staff performance.

Key takeaways from the probation policy and practice assessment

- MDOC supervision policy is strong and largely adheres to the principles of effective intervention.
- An examination of caseloads is needed.
- In rural areas, contact standards are difficult to accomplish due to the long distances for client or PO travel.
- MDOC has a robust Correctional Programming Department that has made significant investments in the adoption of evidence-based and effective principles of intervention, core correctional practices, and continuous quality improvement and fidelity processes. Core risk-reducing programming with an emphasis on cognitive behavioral interventions is in use institutionally in Maine statewide.
- There is a strong focus on case planning, through only for higher-risk people on probation.
- Incentives are not included on any graduated sanctions grid, nor is there formal policy indicating how, when, under what circumstances, and for whom they should be applied.
- Improved coordination is needed between probation officers in the field and institutional staff preparing people for release.
- In many areas, community-based resources are limited, difficult to access, and difficult to assess for quality.
- Transportation is a serious limitation to access for people on probation.
- Policies and practices for the measurement, and evaluation of probation officer performance should focus on the quality of case plans, and not just the concrete measures related to the compliance with conditions.
Key Overall Takeaways

Volume
- Significant law enforcement is dedicated to VCRs
- Drug trafficking is the focus of most upper level felony arrest activity

Violence
- Upward trend in rural violent crime
- Decreasing arrest trend for domestic violence

Women
- Increase in volume and seriousness of crimes

Sentencing
- Use of straight probation is relatively rare
- Split sentences add longer periods of supervision

Race
- Disproportionality occurs at each step
- Disproportionality is more pronounced for more serious crimes and punishments

Supervision
- MDOC shows a strong foundation but room for improvement
- There are serious shortages of community programs and treatment
Thank You

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