

OFFICE MANAGEMENT/RECORD KEEPING

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02/22/07

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.01 CASE FOLDERS

A 9x12 folder is prepared for each case. On the left-hand side of the tab, at the top of the folder, the offender's name should be typed with the last name first in capital letters, followed by the first name or initials, as shown on the court order. The offender number should be included on the label. The termination number, when applicable, is noted on the label.

Field case files for all Special Bulletin Notification (SBN) offenders are required to have a label placed prominently on the front of the file which reads, "This Offender is required to comply with the Face-to-Face Contact requirements of the Sex Offender Notification Law. Any address change requires Law Enforcement Notification."

.02 CASE FILE MAILING

The original copy of any document or file that is the sole copy must be mailed first class. First class/certified mail is used when the uniqueness and/or value of the communication so warrants.

Case files weighing over 12 ounces are sent "priority" mail.

.03 CLOSED CASES

Upon receipt of the Notice of Case Status Change (DOC-36), the T-number (termination number) should be noted on the index card, if applicable, and placed on the label of the case file. The file is then filed in numerical order according to the assigned T-number.

If a case later becomes active, pertinent information can be retrieved. The T-file, if available, shall be reviewed; however, new case file information should not be placed in the closed file.

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.01 SECTION I - CASE ACTIVITY RECORD

DOC-503 Term. Adult Field Caseload (if present)
DOC-24 Chronological History (Transfer
Summaries, Case notes, etc.)
DOC-90 Chronological Log
DOC-3 Face Sheet and Investigation
w/Presentence Investigation (if present)
DOC-2244 PSI Risk Assessment
DOC-179 Probation Social Investigation
DOC-179A Agent's Assessment and Impressions
DOC-175 Initial Interview Assessment Booklet
(CMC)
DOC-170 CMC Scoring Sheet
DOC-1260A Initial Case Plan (if present)
DOC-1260 Case Plan
DOC-10 Rules of Community Supervision (all
versions - 10S, 10H, 1337IS, 10SO)
DOC-1410 TIME System Information Request Log
DOC-502 Adm. to Adult Field Caseload (if present)
DOC-506 Adult Risk & Needs Reassessment
DOC-48 Discharge Letter from Dept. Secretary
Wisconsin Circuit Court Access Program
(CCAP) Case Listings

.02 SECTION II - COURT DOCUMENTS (Probation/Parole/ES/IS)

DOC-3 Face Sheet (Probation Questionnaire)
CR-204R Judgment of Conviction and Sentence to
the County Jail/Fine/Forfeiture after
Revocation of Probation
CR-2040 Judgment of Conviction and Sentence to
the County Jail/Fine
CR-253 Order for Reconfinement after Revocation
of Extended Supervision
DOC-20/
CR-212 Judgment of Conviction (Imposed, Imposed
& Stayed, or Withheld Sentence) with
Criminal Complaint
CR-250 Petition to Modify Court-Imposed
Conditions of Extended Supervision
ss302.113(7m)
CR-252 Order Modifying Court-Imposed Conditions
of Extended Supervision ss302.113(7m)
CR-258 Petition for Sentence Adjustment
ss973.195
CR-260 Order Concerning Sentence Adjustment
ss973.195

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.02 SECTION II - COURT DOCUMENTS (Probation/Parole/ES/IS) (continued)

CR-255 Referral by Department of Corrections to
Sentencing Court ss302.113(9g) -
(Geriatric/Terminal)

CR-256 Order Concerning Sentence Modification
ss302.113(9g) - (Geriatric/Terminal)

DOC-101 Probation Extension/Civil Judgment
Petition

DOC-37 Amendment to the Judgment of Conviction

DOC-31 Notice of Restitution Ordered-Victim Data

DOC-2156 Amendment to the Judgment of Conviction-
CIP

DOC-2259 Amendment to the Judgment of Conviction -
ERP

CR-264 Department of Corrections Approval to
File Petition for Determination of
Eligibility for the Earned Release
Program ss302.05(3)(e)

CR-263 Petition for Determination of Eligibility
for the Earned Release Program
ss302.05(3)(e)

CR-265 Order on Petition for Determination of
Eligibility for the Earned Release
Program ss302.05(3)

DOC-398 Intake Routing Face Sheet (if applicable)
Other Court Routing Sheets (if
applicable)
Court Review Memos/Forms
Sentencing Minutes

.03 SECTION III - COURT/SUPERVISION DOCUMENTS (NGI/Conditional Release)

DOC-3 Face Sheet (Conditional Release)

DDE-5180 Order of Discharge upon Expiration of
Commitment

CR-276 Order on Petition to Revoke Conditional
Release

CR-275 Order for Placement (Not Guilty by Reason
of Mental Disease or Defect-Institutional
Care or Conditional Release)

CR-239 Order for Supervised Release

CR-237 Order Denying Petition for Supervised
Release

CR-238 Order for Supervised Release Plan

CR-274 Order for Conditional Release Plan

CR-271 Order of Commitment (Not Guilty by Reason
of Mental Disease or Defect)

CR-206 Order of Commitment for Treatment

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.03 SECTION III - COURT/SUPERVISION DOCUMENTS (NGI/Conditional Release)
(continued)

CR-270 Order for Examination Under ss971.16 (Not
Guilty by Reason of Mental Disease or
Defect)
DDE-5177 Statement of Probable Cause & Petition
for Revocation of Conditional Release
DDE-5536 Statement of Probable Cause for Detention
and Petition for Revocation of Supervised
Release
DDE-5176 Notice of Violation & Receipt
DDE-5206 Petition for Capias
DDE-5207 Order Granting Capias
DDE-5205 Order to Transport
DDE-5614 Conditional Release Rules and Conditions
(English, Hmong, or Spanish)
DDE-5615 Supervised Release Rules
DDE-6019 Client Contribution Calculation for Cost
of Care Conditional Release Program
ME-901 Statement of Emergency Detention by Law
Enforcement Officer
ME-911 Order of Commitment, Extension of
Commitment, Dismissal
ME-912 Treatment Conditions
ME-914 Order of Commitment, Extension of
Commitment, Dismissal (Fifth Standard
Under ss51.20(1)(a)2.e,Wis.Stats.)

.04 SECTION IV - VIOLATION INVESTIGATION DOCUMENTS

DOC-5 Violation Investigation Report
Police Reports
Lab Reports
DOC-2072 DOC Law Enforcement Contact
Electronic Monitoring Alarm Reports
DOC-9 Adult Conduct Report
DOC-2221 DCC Home Search Plan
DOC-1165 Statement of Items Seized or Damage to
Property Searched
DOC-1305/
1305A Victim/Witness/Offender Statements
DOC-212 Order to Detain
DOC-213 Cancellation of Order to Detain
DOC-58 Apprehension Request
DOC-58A Apprehension Request Cancellation
DOC-95 Violation Warrant
DOC-96B Order Reinstating Probation

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.04 SECTION IV - VIOLATION INVESTIGATION DOCUMENTS (continued)

DOC-186B Order Reinstating Parole
DOC-1961 Absconder Locator
DOC-44 Recommendation for Administrative Action
- Start & Stop Times

.05 SECTION V - CONFIDENTIAL DOCUMENTS & RELEASE OF INFORMATION

DOC-1163 Authorization for Disclosure of Non-
Health Confidential Information
DOC-1163A Authorization for Use and Disclosure of
Protected Health Information
DOC-1336 Referral for Services
DOC-1870 AODA Evaluation - CIP
DOC-1374 Challenge Incarceration Program (CIP) -
Agreement
DOC-1446 Progress Notes - CIP
DOC-1496 Chain of Evidence - Urinalysis
DOC-1884A Discharge Summary - AODA Program
DOC-1883 Discharge Summary - CIP
DOC-2271 Earned Release Program - Memo of
Agreement
DOC-2091 Felce Staffing Worksheet
DOC-2077 Health Transfer Summary
DOC-3359 Agent Notification of TB Infection
DOC-29 Notice of Claim
School Transcripts
Treatment Group Attendance
Records/Progress Reports
Urinalysis Reports
PENS Notification

.06 SECTION VI - MISCELLANEOUS SUPERVISION FORMS

DOC-50 Travel Permit
DOC-56 Application to Purchase and/or Operate a
Motor Vehicle
DOC-148 Wage Assignment
DOC-1563 Payment Agreement (Supervision Fees)
DOC-1682 Supervision Fee Action Report
DOC-34/44 Area Transfer
DOC-550 Community Corrections Employment
Assessment
DOC-556 Employment Report - CCEP
DOC-1793 Job Search Documentation - CCEP
DOC-2189 Direct Assignment DCC

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.06 SECTION VI - MISCELLANEOUS SUPERVISION FORMS (continued)

DOC-1362 Enrollment - Residence - Employment Info
(EMP)
DOC-1362A Enhanced Procedures - EMP
DOC-1363 Electronic Monitoring - Schedule
DOC-2238 EMP Equipment Lost/Damaged
DOC-2215 Electronic Monitoring Equipment Found
K2WAN Printouts
DOC-3011 Fee for Copies
DOC-1031 Media Contact Report
DOC-1532 Notice to Employer
DOC-127 Offender Request for Administrative
Review/Response
DOC-86 Probation/Parole Appointment Notice
DOC-501/ Purchase of Offender Goods and Services
501A
DOC-32 Disbursement Order
DOC-3 Face Sheet - Law Enforcement Contact
DOC-1015 Revolving Fund Loan Reminder
DOC-1908 Telephone Service Request
DOC-88 Home Visit Waiver
DOC-1925 Notice of Firearm Restrictions (if
present)
DOC-1369 Good Faith Effort Documentation
DOC-1660 Community Service Alternative to County
Jail Agreement
DOC-1661 Community Service Work Crew Referral
Community Service Hours
Assignment/Completion Records

.07 SECTION VII - MISCELLANEOUS CORRESPONDENCE

DOC-1043 Facsimile Cover Message
Facsimile Transmission Confirmation
Reports
Facsimile Cover Messages Received from
Other Agencies
DOC-4011 Letterhead - DOC/Area Office - Completed
Written Correspondence Received
Printout of E-Mail Communication Sent
Printout of E-Mail Communication Received
DOC-1146 Memos

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.08 SECTION VIII - INTERSTATE COMPACT FORMS

Interstate Commission for Adult Offender Supervision
Forms:

- Offender's Application for Interstate Compact Transfer
- Transfer Request
- Authorization for Release of Medical and Psychological Information
- Request for Reporting Instructions
- Reply to Transfer Request
- Notice of Departure
- Notice of Arrival
- Offender Violation Report
- Response to Violation Report
- Progress Report
- Compact Action Request
- Case Closure Notice

DOC-0074 Information Request/Transmittal

.09 SECTION IX - INSTITUTION DOCUMENTS

DOC-15 Offender Release Authorization
DOC-7e Pre-Parole Investigation
DOC-162 Offender Visitors List
DOC-185 Mandatory Release/Extended Supervision Plan
DOC-1208 Parole Commission Action
DOC-1202 Waiver/Reapplication Parole Consideration
DOC-745 Parole Planning Information Sheet
DOC-11 Parole Planning Information
DOC-2166 Social Worker Parole Summary Worksheet
DOC-22B Social Services Chronological
DOC-2266 Community Reintegration Offender Questionnaire
DOC-2267 Community Reintegration Case Plan
DOC-2285 Offender Reintegration Program Agreement
DOC-1673 Marriage Information Request from Agent

Miscellaneous Institution Forms

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.10 SECTION X - REVOCATION DOCUMENTS

DOC-44 Recommendation for Administrative Action
- Completed
DOC-44A Recommendation for Administrative Action
Worksheet - Completed
DOC-414 Notice of Violation, Recommended Action,
and Statement of Hearing Rights
DOC-414A Notice of Violation and Receipt
DOC-415 Notice of Preliminary Hearing
DOC-416 Revocation Information Request
DOC-429 Revocation Hearing Request
DOC-1950 Violation/Revocation Summary
DOC-1221 Revocation Order & Warrant
DOC-250 Alternative to Revocation Agreement
DOC-251 Placement Plan - Alternative to
Revocation
DOC-2132 Reincarceration Time Recommendation
Worksheet
DOC-247 Request for Reinstatement
DOC-424 Claim for Witness Fees
DOC-188 Order Vacating Order of Return to Court
DOC-1304 Subpoena

Requests for Adjournment of Preliminary
Hearing
Preliminary Hearing Decisions
Final Revocation Hearing Decisions
Chapter 31/Custody Letters

.11 SECTION XI - OFFENDER REPORT FORMS

DOC-8 Offender Report Form (all language
versions)

.12 SECTION XII - SEX OFFENDER DOCUMENTS

DOC-3 Face Sheet (Law Enforcement)
DOC-236 Judgment and Commitment Order for
Sexually Violent Person (980)
DOC-1577 Sex Offender Assessment Report
DOC-1577A Sex Offender Risk Assessment
DOC-2110 Sex Offender Residence Assessment
DOC-2261 Sex Offender Employment Assessment
DOC-1867 Sex Offender Disclosure Questionnaire
DOC-2084 Sex Offender Intake Checklist
DOC-2065 Sex Offender Reclassification Checklist

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.12 SECTION XII - SEX OFFENDER DOCUMENTS (continued)

DOC-1422 Sex Offender Risk Instrument
DOC-1423 Sex Offender Program Report
DOC-1748 Sex Offender Release Special Bulletin
Notice
DOC-1790 Special Bulletin Notification -
Supplement
DOC-2143 SBN - Special Bulletin Notification
Release Plan
DOC-1759 Sex Offender Registration Form
DOC-1796 Sex Offender Registration Annual/90 Day
DOC-1796A Sex Offender Registration
Change/Verification
DOC-1808 Sex Offender Registry Non-Compliance
Report
DOC-2220 Polygraph Referral - SORP
DOC-1011 Referral - SOTP - OSCI
DOC-2247 Sex Offender Registration Non-Compliance
Investigation
DOC-2129 Sex Offender Activity Request
DOC-2287 Sex Offender Registrant Information -
Home Visit
DDE-6000 Periodic Examination Notice (SVT)
DDE-6001 Periodic Examination Decision (SVT)

BACK COVER OF FILE FOLDER

DOC-150 Payment Ledger (if exists)

Pink Copies of court obligation receipts and yellow
copy of Supervision Fee Payment Agreement filed in
an envelope and attached to inside back cover of
file folder.

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.01 PURPOSE

In order to manage quality control, supervisors routinely conduct reviews of case records. This is accomplished through various means in the course of a supervisor's responsibilities. The Case Record Review Form (DOC-308) will help supervisors complete a comprehensive review of a case file, focusing on offender accountability, public safety, and offender competencies.

As a guideline, supervisors should be closely reviewing the case plan to see if dynamic risk factors (described in Chapter 6 Supervision) are being addressed. Evidence of this should be in the file. Court-ordered conditions should be addressed on the rules and case plans. Risks and needs, as identified by the DOC-502 and DOC-506, should also be addressed. Case plans should be written with clear, measurable objectives and expected completion dates, and should reflect the scored results of the CMC and LSI if completed.

.02 CASE RECORD REVIEW/CONFERENCE PROCEDURE

The supervisor shall complete a review of the file using the Case Record Review (DOC-308). Reviews can be completed with or without the agent's presence. Selection of the cases to be audited shall be made by the supervisor without advance notice. Copies of the review should be shared and discussed with the agent during formal conferences. Results of the review should be used when completing PPDs.

The following minimum frequency is to be followed for case file reviews and conferences:

- "A" Level Agent: One case every month with monthly formal conferences;
- "B" Level Agent: One case every other month with regularly scheduled conferences;
- "C" Level Agent: One case every three months with regularly scheduled conferences.

Regional chiefs may modify the frequency of reviews and conferences based on supervisory workload.

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.03 RECEIPT BOOK AUDIT

Receipt books are to be audited on a semi-annual basis.

.04 SUPERVISION FEES REVIEW

On a monthly basis, supervisors are to review the supervision fee reports generated by the DCC Business Office. Cases that have been discharged but still have active schedules, and new cases with no coupon book assignment, shall be discussed with the agent and appropriate action taken.

Offenders who are on a "No Charge" (N1) schedule must be reviewed a minimum of once every six months to determine if this classification is still appropriate.

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.01 AUTHORITY

Wisconsin Statute 16.61(4)

.02 GENERAL STATEMENT

Written approval must be obtained prior to disposing of any Department record.

Under Wisconsin Law, all records maintained by DOC must be retained and destroyed based upon an applicable Records Retention/Disposition Authorization (RDA) issued by the State Public Records Board. The regional chief is responsible for informing field staff about the RDAs applicable to their records.

.03 RECORD DISPOSAL PROCEDURE

Current RDAs are posted on DOCNet: On the opening DOCNet screen, key in "RDA" in the "Search Docs" box. RDAs are listed in numerical order.

For questions about RDAs, contact the Department Records Officer at (608) 240-5678.

.04 T-FILE DESTRUCTION

The destruction of DCC supervision files assigned a termination or "T" number occurs annually. At the direction of the Department Records Officer, staff shall dispose of "T" files prior to a given date in accordance with the applicable RDA, and certify to the Records Officer the number of cubic feet of records disposed.

Documents containing health information must be destroyed in a confidential manner per Health Services Policy and Procedure 500:07, Retention and Destruction of Protected Health Information, Appendix A.

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.01 AUTHORITY

Wis Stats. 19.31, 19.39, 19.62(5) and (7), 48.78, 51.30, 103.13, 118.125, 146.82, 146.83, 230.13, 252.12(3), 905.03, 942.06, 972.15(1); Executive Directive 21; WSEU Contract 2/4/4; Department of Employee Relations Locator Number OS-76 & MRS-194.

.02 GENERAL GUIDANCE

It is the policy of the Division of Community Corrections to provide timely and accurate information to inquiries from the media or from individual citizens.

With the exception of specific confidentiality laws, records created or maintained by the Division shall be construed in every instance with a presumption of complete public access, consistent with the conduct of government business. Denial of public access generally is contrary to the public interest and only in an exceptional case may access be denied.

.03 OPEN RECORDS REQUEST PROCEDURE

All requests should be forwarded to the designated open records custodian in the region. The open records custodian shall respond to all requests using the following process:

- Records may be requested orally or in writing.
- Written requests must be responded to in writing. Use of the Record Request Response Form ([DOC-1160](#)) is recommended as it contains all the legal requirements such as the appeal notice.
- Records may not be denied because the requester refuses to identify themselves or the purpose of their request.
- Requesters may be required to identify themselves for security reasons if the records are to be reviewed inside the secure portion of an office or center or if the request is received by mail.
- All denials must be justified.
- Open records custodians must determine if the requested record(s) exist, within the meaning of the law.
- If the requested records exist, a determination must be made if none, all, or part of them is to be released.

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.03 OPEN RECORDS REQUEST PROCEDURE (continued)

- Partial (or redacted) records must be released if they contain information that is releasable under the law.
- Requests must be responded to as soon as practicable and without delay.
- Fees for copies should be charged, along with mailing or shipping charges, consistent with the law.
- Record requests and copies of the responses should not be filed in the offender case file. They should be filed by month in a separate open records file.

.04 RECORDS EXEMPT FROM DISCLOSURE

The open records custodian shall determine records exempt from disclosure as designated by the following:

- Records containing personally identifiable information collected or maintained in connection with a complaint or an investigation that may lead to an enforcement action, an administrative proceeding, an arbitration proceeding or court proceeding, or any such records which are collected or maintained in connection with such an action are exempt from disclosure.
- Any record containing personally identifiable information that, if disclosed, would do any of the following are exempt from disclosure:
 - Endanger an individual's life or safety;
 - Identify a confidential informant;
 - Endanger the security of a prison or its population or staff;
 - Compromise the rehabilitation of a person in the custody of the agency.
- AODA treatment records.
- Criminal history record information obtained from the FBI's NCIC (FBI "rap sheets").

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.04 RECORDS EXEMPT FROM DISCLOSURE (continued)

- Any record that is part of a record series that is not indexed, arranged, or automated in a way that the record can be retrieved by the authority maintaining the records series by use of an individual's name, address, or other identifier.
- Victim addresses.
- Attorney/client communication.
- Computer programs.
- Investigative information obtained by law enforcement agencies (includes DOC), as required by law, or for receipt of aids.
- Records exchanged between states for Interstate Compact transfers.
- Names and other information on WSEU represented employees
- Letters or notes from former employers commenting on an applicant's (employee) qualifications.
- Records regarding an employee's enrollment or participation in an EAP program.
- Disciplinary actions against employees.
- Annual employee performance evaluations or performance improvement plans.
- Employee probationary service reports
- Employee sex, race, ethnic group information, and social security numbers.

.05 RESTRICTED RELEASE RECORDS

The following records are not releasable under the Open Records Law unless proper consent or release is obtained:

- Juvenile records
- Health care records
- Clinical records
- Educational records
- AODA treatment records

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.06 INMATES AND COMMITTED PERSONS STATUS AS REQUESTERS

Any person confined to a state prison, county jail, house of corrections, or other state, county, or municipal correctional or detention facility (including persons on a condition of probation in jail) may inspect and receive only copies of records which contain specific references to that person or their minor children who have not been denied placement with them under the law.

Any committed person, including civil mental health and sexually violent persons under a Chapter 980 commitment, in an inpatient treatment facility (includes the Wisconsin Resource Center, mental health institutes, secure mental health units, or facilities created under Chapter 980), may inspect and receive only copies of records which contain specific references to that person or their minor children who have not been denied placement with them under the law.

.07 EMPLOYEE RECORDS

Employment records containing information about DOC employees may not be released without specific authorization from the Department's Records Custodian.

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.01 POLICY

It is the policy of the Division of Community Corrections to provide timely and accurate information to inquiries from the media or from individual citizens.

.02 GENERAL GUIDANCE

Caution should be exercised when disclosing information, and personal opinion should be avoided. Staff while in pay status, on state time, and/or on state property are considered acting as a representative of the Department and in the name of the Department of Corrections. Staff shall be courteous and helpful and provide timely and accurate information within their expertise, depending on the availability of the information requested. The following guidelines should be followed:

- Staff must not respond to media inquiries until after discussion with the Department of Corrections Public Information Officer.
- Inquiries regarding matters which are in litigation shall be referred to the Department's Office of Legal Counsel.
- Inquiries on matters under investigation will not be discussed until the investigation is completed and disposition made.
- Inquiries on personnel matters will be referred to the Director of the Bureau of Personnel Relations and Human Resources.

.03 REQUESTS FOR INFORMATION

Staff who receive inquiries shall attempt to obtain the following information:

- Name of person making the inquiry
- Name of organization they represent
- Phone number where they can be reached
- Information requested
- Reason for request

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.03 REQUESTS FOR INFORMATION (continued)

Requests from media must be documented on the Situation Alert ([DOC-1959](#)).

Requests identified as open records requests shall be handled in accordance with 14.05.

Staff may provide information that is a matter of public record. Two factors of importance in determining whether to respond to inquiries are the availability of the staff person to respond and the availability of the information being sought. If the information requested is reasonably available, but is not within the ability of the staff person to provide it, then the appropriate response is that the information requested will be provided after it is obtained. If the information is not available, or the staff person is not knowledgeable of the matter, the inquiry will be referred to the supervisor for a response.

.04 GUIDANCE ON REQUESTS

Requests for information fall into two categories:

- Requests for case record information
- Requests for program related information

Requests for Case Record Information

Requests for access to a case file under the Open Records Law shall be referred in accordance with 14.05. Requests for information about a case other than those covered under the Open Records Law shall be responded to completely and accurately within the following guidelines:

- Privileged or confidential information protected by statute or administrative rule may not be released.
- A balancing test shall be applied to requests for information of a sensitive or personal nature or information that could do irreparable damage to Department of Corrections programs or security. The test shall include a conscientious effort to determine that the public right to know outweighs the need to protect the information.

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.04 GUIDANCE ON REQUESTS (continued)

Requests for Program Related Information

Requests for information about Department policies or procedures shall be responded to completely and only when the response accurately reflects the Department policy or procedure concerned. This may necessitate a review of the Operations Manual, Administrative Code, or other reference to ensure accuracy. Application of policy or procedure to a specific case shall be responded to within the expertise of the staff person to respond. This can be as the result of first-hand experience or from the record; however, staff shall not attempt to interpret the record or express personal opinion.

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Chapter: Office Management/Record
Keeping

Subject: Situation Alerts

Date: 01/24/07 Page 1 of 2

.01 GENERAL STATEMENT

Assistant Administrators are responsible for ensuring that all DCC staff in their respective areas of responsibility has knowledge of the process to inform the DOC/DCC Administrator of situation alerts/unusual incidents that may occur.

The Administrator and Assistant Administrators are responsible for informing the DOC Secretary's Office of any and all situation alerts/unusual incidents.

.02 POLICY

A situation alert or unusual situation includes, but is not limited to, any of the following events:

- All serious injuries of staff on or off duty;
- All unusual events, episodes, or violations involving high profile offenders, including but not limited to, all incidents where an offender is a suspect in a homicide or sexual assault;
- All events in which an SBN sex offender absconds from supervision;
- Any unusual incidents involving offenders or staff.

.03 PROCEDURE

Staff with the above information must IMMEDIATELY contact the Administrator by pager utilizing the number "1" after entering their telephone number.

In the event that the Administrator is unavailable (does not answer the page within 10 minutes), staff are to contact their respective Assistant Administrator by pager.

The Administrator or Assistant Administrator will gather the initial facts and IMMEDIATELY inform the DOC Secretary's Office.

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.03 PROCEDURE (continued)

Staff reporting the alert/incident must provide the following information:

- What is the incident
- Who was involved
- What happened
- Where it happened
- When it happened
- Why and how it happened

Also include the offender's progress to date including all violations, programming, etc.

The Situation Alert ([DOC-1959](#)) must be completed and routed as indicated on the form. If the contact is from a member of the media, the Department's Public Information Officer must receive a copy of the report.

Division of
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Chapter: Office Management/Record
Keeping

Subject: Caseload Computer
Printouts

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.01 CASELOAD PRINTOUTS

Active Supervision Cases: A computer printout and summary sheet are sent to the Agent, Unit Supervisor, and Regional Chief. The Unit Supervisor receives two copies and forwards one to the ledgerkeeper.

The caseload printout and summary sheets are to be reviewed for accuracy and retained until a new listing is received. Changes generated by the Recommendation for Administrative Action (DOC-44) will be reflected on the printout. Cases are not added until the DOC number has been received and are not removed until a termination number is issued. Transfer cases are not official until a DOC-44 or Blanket Transfer (DOC-34) has been processed by Central Records. Each caseload printout covers one calendar month, and movement of any type occurring between the end of the month and the day on which the printout is received will appear on the following month's printout.

"AB" will denote absconder cases after the case ID. "VW" denotes a case in which a stop time has been issued but the absconder box has not been checked. An asterisk (*) before the case type denotes an out-of-state case and "EX" indicates that the case has been extended. Supervision fee schedules are identified on the listing as S1 (\$30), S2 (\$10), N1 (no charge), or V1 (vendor supervision). Cases which do not have a supervision fee level assigned must be addressed immediately by the agent.

Institution Cases: Agents and supervisors each receive a copy of the monthly institution caseload printout. This lists all institution cases assigned to a specific agent number and includes DOC number, institution location, type of commitment, Mandatory Release/Extended Supervision date, and parole eligibility date.

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.01 CASELOAD PRINTOUTS (continued)

The agent should review this printout for accuracy. Each caseload printout covers one calendar month. Movement of any type occurring between the end of the month and the day on which the listing is received will appear on the next month's listing.

Offender Name Change: If an offender has his/her name legally changed during the course of supervision, DCC records will be altered to reflect that name change only under the following circumstances:

- An amended probation order is received from the court showing the name change; or,
- The court order changing the offender's name contains the language, "includes any and all records."

If either of these orders is received, the agent shall forward a copy to CRU with the DOC-44 for that offender. The former name will then be recorded as an alias and the new name will be recorded as the true name (see 14.08.02).

.02 DOC-44 COMPUTER-GENERATED PACKET

The Recommendation for Administrative Action (DOC-44) is used to make changes in the CACU database. Only data on the automated versions of the Face Sheet (DOC-3), Apprehension Request (DOC-58), and the DOC-44 may be corrected in this manner.

A court order must accompany the DOC-44 to change the court case number, name on the court order, county and state of conviction, court order type, conviction date, sentencing date, term, discharge date, consecutive case indicator, discharge upon payment of obligations indicator, statute number, number of counts, and felony/misdemeanor indicator.

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Chapter: Office Management/Record
Keeping

Subject: Telephones

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.01 PERSONAL CALLS

Employees should avoid the use of State telephones or cell phones to place personal calls. If an employee finds it necessary to place a personal long-distance call, it must be charged to the caller's home phone or reverse the charges.

.02 COLLECT CALLS

Generally, collect calls should not be accepted unless there is an emergency or absconder situation. When a collect call is refused, the employee should ask the operator for the caller's number and then replace the call "station-to-station." Collect calls received at home must be charged to the office phone number; if this is not possible, they will be reimbursed on the travel voucher with proper documentation.

.03 CELL PHONE MANAGEMENT

DOC cell phones are authorized for business use by agents or units. It is the responsibility of each authorized user to review, sign, and date billing documents as they are routed to them to identify calls of a personal nature. The Department must be reimbursed for the total cost of all personal calls. The signed and dated billing document should be routed to the supervisor.

Division of
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Chapter: Office Management/Record
Keeping

Subject: Copying of Case Files for
Chapter 980 Referrals

Date: 03/01/06 Page 1 of 1

.01 GENERAL STATEMENT

Since the enactment of the Chapter 980 Sexually Violent Person Commitments Law, the Bureau of Offender Programs (BOP) requests copies of an offender's complete file upon referral of a Sexually Violent Person case to the Department of Justice (DOJ). DOJ uses this material to support the petition for commitment. Due to the importance of this proceeding and associated time constraints, it is imperative that all file material be copied and forwarded to the Bureau of Offender Programs for DOJ's use without delay.

.02 PROCEDURE

The following measures will be implemented within three working days of receiving the written request:

- All file material and documents contained in the file will be copied. Editing of file materials is not necessary.
- Back-to-back documents are to be completely copied. Attention should be paid to ensure that the correct backside of a form or document accompanies the appropriate face side.
- Documents do not need to be stapled.
- Confidential documents (i.e., juvenile records, AODA information) are to be included. Redacting of file information is not necessary.

On occasion there will be instances when an offender's release date changes due to recalculations, MRS, etc., and requests for file material may come via an e-mail or a telephone call. All efforts will be made to avoid these situations, but there will sometimes be unforeseen circumstances. In these cases, file materials should be copied and forwarded to the BOP as soon as possible, but in no case later than three working days.