

 <p style="text-align: center;">DIVISION OF ADULT INSTITUTIONS</p> <p style="text-align: center;">POLICY AND PROCEDURES</p>	DAI Policy #: 300.00.73	Page 1 of 5
	Original Effective Date: 05/21/18	New Effective Date: 05/21/18
	Supersedes: N/A	Dated: N/A
	Administrator's Approval: Jim Schwochert, Administrator	
Required Posting or Restricted:		
<input type="checkbox"/> Inmate <input checked="" type="checkbox"/> All Staff <input type="checkbox"/> Restricted		
Chapter: 300 Administrative		
Subject: Correspondence Response and Tracking		

POLICY

The Division of Adult Institutions shall respond to all correspondence received from inmates and the public in a timely manner. The DOC Correspondence SharePoint shall be used to track correspondence responses in order to facilitate timeliness, and the sharing and preservation of information.

REFERENCES

Attachment – DAI Correspondence SharePoint Recommended Guidelines
Administrative General Records Schedule RDA ADM00009
DAI Policy 309.04.01 – Inmate Mail
DOC Correspondence SharePoint Reporting Directions
DOC Security Functional Schedule RDA 148
Executive Directive 11 – DOC Records Management Program
ORM-01 Privacy Breach Incident Reporting and Response Procedure
WI Administrative Code 310 – Complaint Procedures

DEFINITIONS, ACRONYMS, AND FORMS

CS – Correspondence SharePoint

CSPM – Correspondence SharePoint Manager

DAI – Division of Adult Institution

DOC – Department of Corrections

DOC-761 – Interview/Information Request

ICRS – Inmate Complaint Review System

RDA – Records Dispensation Authorization

PROCEDURE**I. General Guidelines**

- A. The DAI administrator, bureau/office directors and wardens or designee(s) shall establish procedures, including timelines, for response to business-related correspondence received by their office or facility.

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- B. The DAI administrator, bureau/office directors and wardens, deputy warden, security director or designee(s) shall designate a minimum of one staff member and a back-up to manage correspondence on their behalf.
- C. Designated staff shall ensure compliance with records retention schedules as outlined in ADM00009, for appointed staff or equivalent positions, and Security RDA 148, for security staff. The CS does not replace records retention requirements and paper originals shall be retained.

II. Correspondence SharePoint Tracking System

- A. The DAI administrator shall assign a CSPM who shall be responsible for system oversight, including system maintenance, improvements, permissions, and training, as well as policy, problem solving, documentation, communication and compliance with assistance from the DAI Correspondence Committee as needed.
- B. The DAI administrator, assistant administrator, bureau/office director, and warden, shall determine which correspondence will be entered into the CS. Correspondence recommended to be entered in the CS system includes that which is addressed to the DAI administrator, assistant administrator, bureau/office director, warden, deputy warden or security director, as outlined in the Attachment.
- C. Positions mentioned in section I.B. above shall ensure their designated staff have appropriate permissions within the CS, by contacting the CSPM, and are trained in its use. They shall also notify the CSPM when a user's permissions need to be removed, for such reasons as a role change or separation from the department.
- D. Wardens and bureau/office directors shall establish methods for the periodic monitoring/auditing of their CS entries to ensure system fidelity and compliance.

III. Correspondence SharePoint Use

- A. Designated staff shall complete CS records in a thorough and timely manner; ensuring records are closed within 90 days of creation except where demonstrable cause exists.
- B. Designated staff shall ensure all uploaded documents are:
 - 1. Following required naming conventions.

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2. Legible.
 3. Properly oriented.
- C. Designated staff shall consider all CS record fields to be required, except where marked optional.
- D. Designated staff shall neither access nor share a CS record without a demonstrable business need, especially where protected health information may be contained therein.
- E. Designated staff shall ensure CS records do not include personally identifiable information, such as social security numbers, drivers' license numbers, or bank or other financial account numbers. Such information shall be redacted prior to upload when it exists in the original.
- F. Records more than six months old shall not be modified unless:
1. The author is adding an "additional" correspondence related to an issue previously addressed.
 2. The correspondence directly identifies identical concerns to the original correspondence record.
 3. A note is added in the "Correspondence Closed" section to indicate what modification was made, why and the date.

IV. Inmate Complaint Review System

- A. Correspondence shall neither take the place of nor override an ICRS decision.
- B. Designated staff shall verify whether an inmate has already submitted an inmate complaint on the issue prior to drafting a response.
- C. If an inmate complaint has been filed on the issue and is pending, the response should reference the inmate complaint number and indicate the issue will not be addressed outside the ICRS.
- D. If an inmate complaint has been filed on the issue and has been decided, the response to the correspondence shall not address or contradict the complaint decision; but instead, indicate whether the inmate has exhausted their administrative remedies, or direct the individual on the ICRS appeals process, as appropriate.

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Administrator's Approval: _____ **Date Signed:** _____
Jim Schwochert, Administrator

DIVISION OF ADULT INSTITUTIONS FACILITY IMPLEMENTATION PROCEDURES

Facility: Name		
Original Effective Date: 00/00/00	DAI Policy Number: 300.00.73	Page 5 of 5
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Will Implement <input type="checkbox"/> As written <input type="checkbox"/> With below procedures for facility implementation		
Warden's/Center Superintendent's Approval:		

REFERENCES

DEFINITIONS, ACRONYMS, AND FORMS

FACILITY PROCEDURE

- I.
 - A.
 - B.
 - 1.
 - 2.
 - a.
 - b.
 - c.
 - 3.
 - C.

II.

III.

RESPONSIBILITY

I. Staff

II. Inmate

III. Other