

 <p style="text-align: center;"><b>DIVISION OF ADULT INSTITUTIONS</b></p> <p style="text-align: center;"><b>POLICY AND PROCEDURES</b></p>	<b>DAI Policy #:</b> 300.00.92	<b>Page</b> 1 of 6
	<b>Original Effective Date:</b> 03/25/24	<b>New Effective Date:</b> 03/25/24
	<b>Supersedes:</b>	<b>Dated:</b> 00/00/00
	<b>Administrator's Approval:</b> Sarah Cooper, Administrator – 03/04/24	
	<b>Required Posting or Restricted:</b>	
<input type="checkbox"/> <b>PIOC</b> <input checked="" type="checkbox"/> <b>All Staff</b> <input type="checkbox"/> <b>Restricted</b>		
<b>Chapter:</b> 300 Administrative		
<b>Subject:</b> Background Checks		

**POLICY**

The Division of Adult Institutions shall establish consistent, orderly and efficient procedures for conducting background checks on individuals applying to become PIOC personal visitors and Non-DOC Personnel, Business and Professional Visitors seeking facility entry privileges.

**REFERENCES**

Federal Public Law 108-79 – Prison Rape Elimination Act of 2003 (PREA)  
Wisconsin Statutes s. 302.095 – Delivering articles to inmates  
Wisconsin Statutes s. 961.49 – Offenses involving intent to deliver or distribute a controlled substance on or near certain places  
Wisconsin Statutes s. 961.495 – Possession or attempted possession of a controlled substance on or near certain places  
Wisconsin Statutes s. 946.44 – Assisting or permitting escape  
Wisconsin Administrative Code s. DOC 306.18 – Search of Visitors  
Wisconsin Administrative Code s. DOC 309.02 – Definitions  
Wisconsin Administrative Code s. DOC 309.02(4) – Close family member definition  
Wisconsin Administrative Code s. DOC 309.06 – Visitation  
Wisconsin Administrative Code s. DOC 309.07 – Conduct During Visits  
Wisconsin Administrative Code s. DOC 309.08 – Visiting List  
Wisconsin Administrative Code s. DOC 309.09 – Regulation of Visits for Inmates  
Wisconsin Administrative Code s. DOC 309.10 – Special Visits  
Wisconsin Administrative Code s. DOC 309.11 – No-Contact Visiting  
Wisconsin Administrative Code s. DOC 309.12 – Revocation, suspension and termination of visiting privileges  
Wisconsin Administrative Code s. DOC 309.13 – Special events  
Wisconsin Administrative Code s. DOC 309.61 – Religious beliefs and practice  
Executive Directive 16 – Fraternalization Policy  
Executive Directive 63 – Employee Photo Identification Cards  
Executive Directive 72 – Sexual Abuse and Sexual Harassment in Confinement (PREA)  
Executive Directive 76 – Criminal History Record Information  
DAI Policy 300.00.04 – Devices with Activated Cellular/Wireless Capabilities – Access in DAI Facilities  
DAI Policy 300.00.79 – Media  
DAI Policy 300.00.83 – Facility Tours

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DAI Policy 300.00.92 Attachment A – Individuals Prompting Further Investigation and Possible Denial

DAI Policy 306.00.36 – Entrance Procedures (Restricted)

DAI Policy 309.06.01 – PIOC Personal Visitors

DAI Policy 309.06.02 – Visitor Entrance – Special Needs

DAI Policy 309.06.03 – Non-DOC Personnel, Business & Professional Visitors

## **DEFINITIONS, ACRONYMS, AND FORMS**

Close Family Member – PIOC natural, adoptive, step and foster parents, spouse, children, grandparents, grandchildren or siblings. A parent surrogate is within the definition of parent if PIOC substantiates that a claimed surrogate did in fact act as a parent to the PIOC, although the parent surrogate was not an adoptive, foster or step parent.

COMPAS - Correctional Offender Management Profiling for Alternative Sanctions

DAI – Division of Adult Institutions

DCC – Division of Community Corrections

DOC – Department of Corrections

DOC-0021AA – Visitor Questionnaire

DOC-2429 – Agents Visitor Recommendation

DOC-2674 – Non-DOC Personnel, Business & Professional Visitors

LE – Law Enforcement

No-Contact Visit – A restriction imposed prohibiting physical contact during visitation. May include the presence of a physical barrier or visitation provided by technological means not allowing direct personal contact such as video connections.

Non-DOC Personnel, Business & Professional Visitor – Any individual approved to enter DAI facilities for a specified purpose who is not a DOC staff member or PIOC personal visitor. DAI 309.06.03 - Attachment A defines the following categories: Volunteer; Pastoral Visitor, Guest Speaker/Performance/Program Guest; Student/Intern; Facility Vendor; Program Contractor; Other State or Federal Agency; Secure Offender Transport Services; Employee Trainer; Special Event/Tour Group; Legal Services; and Law Enforcement.

PIOC – Persons in Our Care

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Video Visit – Use of audio-visual equipment for virtual visitation purposes. Video visits may be recorded and monitored.

WICS – Wisconsin Integrated Corrections System

## **PROCEDURE**

### **I. Approval/Denial of Facility Entry Privileges**

- A. Warden/designee shall assign one or more facility staff members to conduct background checks and to approve/deny facility entry applications.
- B. In accordance with DAI 309.06.03, background checks for Non-DOC Personnel, Business & Professional Visitors applying for facility entry privileges at multiple DAI facilities may be carried out by the DAI Security Chief/designee (e.g. other state or federal agencies, Remington Center, statewide vendors/contractors).
- C. Individuals prompting further investigation and possible denial are detailed in Attachment A.
  1. Warden/designee may consider video-visit only restriction if facility entry is prohibited or no-contact visit is appropriate.
  2. DAI Security Chief may be consulted for case-specific facility entry approval.

### **II. LE Entering Facilities for Official Business**

- A. When LE responds to DAI requests for assistance with specific incidents, the Security Director/designee shall require the LE agent/officer to show official badge and photo ID upon entry.
- B. When LE requests facility entry for PIOC interviews, the Security Director/designee shall:
  1. Verify employing agency affiliation through two independent sources (e.g. LE website; confirmed city/county/state/federal phone, email, address; business card).
  2. Log visits with PIOC in WICS.
- C. The DAI Security Chief may be consulted for case-specific facility entry approval.

### **III. Suggested Resources for Review**

Background checks shall incorporate thorough review among resources listed below. NOTE: If cause for denial is indicated, review of all resources may not be necessary.

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- A. Wisconsin Circuit Court Access Program (CCAP) (e.g. convictions; other court activity)
- B. Portal 100 – Wisconsin Department of Justice Transaction Information for the Management of Enforcement (TIME).
  - 1. This screening shall be completed for all background checks.
  - 2. PIOC personal visitors participating in video-only visits may undergo this screening at the discretion of the Warden/designee.
- C. Sex Offender Registry Program (SORP) – Wisconsin Sex Offender Registry Program (e.g. may include registrants residing in WI with out-of-state convictions).
- D. WICS Person Search by Name/ID (e.g. PIOC relatives/associates/visiting; professional visits; separation notices).
- E. COMPAS – court sentencing conditions and/or DCC-supervision rules such as no-contact directives (i.e. may not be listed on JOC).
- F. PIOC file – Pre-Sentence Investigation (PSI), Judgment of Conviction (JOC), Criminal Complaint(s) and Revocation Summary(s).
- G. DAI Non-DOC Personnel Records – SharePoint and/or group folders (e.g. suspensions, revocations, fraternization form on file, etc.) detailed in DAI 309.06.03.
- H. Verification of professional credentials/role, when relevant, include (not exhaustive):
  - 1. Confirmation of organization affiliation (e.g. college/university, employer, government agency, religious organization website)
  - 2. Department of Safety & Professional Services – License Look-Up (<https://dsps.wi.gov/Pages/SelfService/LicenseLookUp.aspx>)
  - 3. State Bar of Wisconsin - Lawyer Search (<https://www.wisbar.org/Pages/BasicLawyerSearch.aspx>)

#### **IV. Additional Considerations for PIOC Personal Visitors**

- A. PIOC offense history and rehabilitation objectives are potentially relevant to visitor approval/denial. Individuals prompting further investigation are detailed in Attachment A.
- B. Assessment may include:
  - 1. Consultation with DCC agent utilizing the DOC-2429.
  - 2. Interview PIOC and/or proposed visitor as needed.

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- C. Staff conducting background check shall review concerns identified in IV.A. and B. with supervisor.

**V. Documenting Background Checks**

- A. Detail review date, approval and/or reason for denial in “For Office Use” section of form:
1. DOC-0021AA
  2. DOC-2674
- B. Enter data in WICS Relatives/Associates screen:
1. PIOC personal visitors consistent with DAI 309.06.01
  2. Pastoral Visitors, Legal Services and Law Enforcement in accordance with DAI 309.06.03.
- C. Create/update SharePoint record accessible to all DAI sites for Non-DOC Personnel, Business & Professional Visitors in accordance with DAI 309.06.03:
1. Business Visitors
  2. Volunteers
- D. Upload scanned “Official Record” of all DOC-2674 into group folders for Non-DOC Personnel, Business & Professional Visitors in accordance with DAI 309.06.03 – Attachment A – Category, Training & Status Matrix:
1. Business Visitors
  2. Volunteers

**DIVISION OF ADULT INSTITUTIONS FACILITY IMPLEMENTATION PROCEDURES**

<b>Facility:</b> Name		
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<b>Chapter:</b> 300 Administrative		
<b>Subject:</b> Background Checks		
<b>Will Implement</b> <input type="checkbox"/> As written <input type="checkbox"/> With below procedures for facility implementation		
<b>Warden's/Center Superintendent's Approval:</b>		

**REFERENCES**

**DEFINITIONS, ACRONYMS, AND FORMS**

**FACILITY PROCEDURE**

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

II.

III.

**RESPONSIBILITY**

I. Staff

II. PIOC

III. Other