

 <p style="text-align: center;">DIVISION OF ADULT INSTITUTIONS</p> <p style="text-align: center;">POLICY AND PROCEDURES</p>	DAI Policy #: 309.06.03	Page 1 of 19
	Original Effective Date: 10/01/91	New Effective Date: 08/20/24
	Supersedes: 309.06.03	Dated: 10/03/22
	Administrator's Approval: Sarah Cooper, Administrator	
	Required Posting or Restricted:	
<input checked="" type="checkbox"/> PIOC <input checked="" type="checkbox"/> All Staff <input type="checkbox"/> Restricted		
Chapter: 309 Resources for Inmates		
Subject: Non-DOC Personnel, Business & Professional Visitors		

POLICY

The Division of Adult Institutions establishes consistent, orderly and efficient procedures for screening, training and record-keeping of persons entering correctional facilities who are not Department employees or PIOC personal visitors.

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. 946.44 – Assisting or permitting escape
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 Administrative Code s. DOC 309.02(4) – Close family member definition
Wisconsin Administrative Code s. DOC 309.06 – Visitation
Wisconsin Administrative Code s. DOC 309.10 – Special Visits
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 – DOC Photo Identification Badges
Executive Directive 72 – Sexual Abuse and Sexual Harassment in Confinement (PREA)
Executive Directive 76 – Criminal History Record Information
DAI Policy 300.00.79 – Media
DAI Policy 300.00.83 – Facility Tours
DAI Policy 300.00.91 – Fact Finding
DAI Policy 300.00.92 – Background Checks
DAI Policy 306.00.15 – PIOC Investigations
DAI Policy 306.00.36 – Entrance Procedures (Restricted)
DAI Policy 309.06.01 – Visiting
DAI Policy 309.06.02 – Visitor Entrance – Special Needs
DAI Policy 309.61.01 – Religious Beliefs and Practices

DEFINITIONS, ACRONYMS AND FORMS

Attachment A – Non-DOC Personnel, Business & Professional Visitors – Category, Training & Status Matrix

DAI Policy #: 309.06.03	New Effective Date: 08/20/24	Page 2 of 19
Chapter: 309 Resources for Inmates		
Subject: Non-DOC Personnel, Business & Professional Visitors		

Attachment B – Non-DOC Personnel, Business & Professional Visitors – Records Instructions

Attachment C – Proposals for Third-Party Program Initiatives & Requests for Grant Application Support

DAI – Division of Adult Institutions

DCC – Division of Community Corrections

DJC – Division of Juvenile Corrections

DOA – Department of Administration

DOC – Department of Corrections

DOC-310 – Student Field Placement Program Agreement

DOC-1098T – Employee Fingerprint Information

DOC-1267/DOC-1267A – Visitor Notification (commonly known as “gate memo”). Document used for internal facility communication only; not sufficient documentation for historical record because inaccessible to other DAI facilities.

DOC-2270A – Fraternalization Policy Exception Request - Non-DOC Personnel, Business & Professional Visitors (Hard copy completed by Non-DOC Personnel; staff shall process electronic DOC-2270 through OnBase)

DOC-2424 – Visitor Requesting Accommodations

DOC-2466 (WICS) – Incident Report (electronic)

DOC-2674 – Non-DOC Personnel, Business & Professional Visitors [NOTE: three delivery methods accessed on MyDOC landing page: DocuSign individual email; DocuSign group via link; Paper]

ID – Identification

Memorandum of Understanding (MOU) – For purposes of this policy, MOU is an agreement between DOC and another government agency or private organization establishing a collaborative relationship for the common goal of supporting PIOC rehabilitation and community reentry.

New Employee Training & Support (NETS) – DOC agency-specific training required for permanent and contracted employees.

DAI Policy #: 309.06.03	New Effective Date: 08/20/24	Page 3 of 19
Chapter: 309 Resources for Inmates		
Subject: Non-DOC Personnel, Business & Professional Visitors		

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 such as video visitation.

Non-DOC Personnel, Business & Professional Visitor (hereafter Non-DOC Personnel) – Any individual approved to enter DAI facilities for a specified purpose who is not a DOC staff member or PIOC personal visitor. See Attachment A defining categories based upon role, typical staff supervision, minimum required training, whether fingerprint-based background check and photo ID badges are required, and location of records.

NOTE: For purposes of this policy, individuals who undergo NETS orientation or other applicable new employee training through human resources procedures are equivalent to employees, and therefore are not identified as “Non-DOC Personnel” (e.g. Doctoral Internship in Health Service Psychology, HSU contract staff, selected Reentry Unit and OPS contractors).

Non-DOC Personnel Records – Data about each individual (both approved and non-approved applicants) which is collectively maintained by all DAI sites. Staff access is restricted to protect personally identifiable information. See Attachment B for description, procedures, location and manner of controlling record access to different elements.

Non-DOC Personnel Records “SuperUser” – Staff members listed on Attachment B with computer permissions to delete duplicate records and assist with problem-solving.

Non-DOC Personnel Status – Individual’s readiness for facility entry based upon completion of application procedures, background checks and orientation, or indication of Review Status. See Attachment A.

Office of Program Services (OPS) – DAI staff members providing centralized oversight of rehabilitation programs and educational services offered throughout DAI facilities.

Orientation – A training session delivered to Non-DOC Personnel prior to facility entry and/or any PIOC contact, which targets their specific role and responsibilities; standardized DAI-wide orientation is supplemented by facility-specific information. Level of orientation (Tier 1-4) is determined by annual frequency of facility entry in all DAI sites, level of PIOC contact, and/or type of contracted services.

PIOC – Persons in Our Care. Consistent with Executive Directive 16, PIOC includes any adult or juvenile under the legal custody or supervision of the DOC, the Department of Health Services or agency contracting with the DOC.

POC-0054 – Sexual Abuse and Sexual Harassment in Confinement: A Guide for Non-DOC Service Providers (Tier 1 training per DAI 309.06.03 Attachment A)

POC-0079 – DAI Non-DOC Personnel Full Orientation Manual (Tier 3 training per DAI 309.06.03 Attachment A)

DAI Policy #: 309.06.03	New Effective Date: 08/20/24	Page 4 of 19
Chapter: 309 Resources for Inmates		
Subject: Non-DOC Personnel, Business & Professional Visitors		

POC-0080 – DAI Non-DOC Personnel Brief Orientation (Tier 2 training per DAI 309.06.03 Attachment A)

Primary Program/Service/Activity Site – Facility within which the Non-DOC Personnel performs a majority of assigned duties under this policy (if they have facility entry privileges at multiple sites). This is typically the site where DOC-2674 application was initially submitted and processed.

Prison Rape Elimination Act (PREA) Compliance Manager - A designated facility-based staff member who has the authority to coordinate the facility's efforts to comply with PREA standards.

Reentry Unit – Office of the Secretary staff members who coordinate DOC's mission of successful community reintegration through implementation of evidence-based practices, personal engagement and motivation for change from each PIOC initial admission through final discharge from DOC custody and supervision.

Video Visit – Use of audio-visual equipment for virtual visitation purposes. Video visits may be recorded and monitored. Individual sessions with Pastoral Visitors, Legal Services, or Law Enforcement may be recorded/monitored for security purposes with video only (staff shall not access audio content to protect communications deemed confidential).

WICS – Wisconsin Integrated Corrections System

WICS User Guide – Visitation – An electronic instruction manual available on MyDOC.

WICS Visitor List – An electronic posting of individuals approved to visit a specific PIOC.

PROCEDURE

I. General Information

- A. Non-DOC personnel, business & professional visitors (non-DOC personnel for purposes of this policy) may perform various professional roles, including but not limited to activities promoting PIOC rehabilitation and community reentry, as well as general facility operational services.
- B. All non-DOC personnel and their activities shall be directly or indirectly supervised by DOC staff members.
- C. To avoid potential liability, non-DOC personnel shall follow all DOC and DAI policies and limit actions to their relevant role (as detailed in their agency contract/MOU, if applicable).
- D. Non-DOC personnel shall not be given decision-making authority over PIOC or be assigned tasks that are otherwise part of a staff member's job duties (e.g. assessment/evaluation, classification, discipline, education,

DAI Policy #: 309.06.03	New Effective Date: 08/20/24	Page 5 of 19
Chapter: 309 Resources for Inmates		
Subject: Non-DOC Personnel, Business & Professional Visitors		

employment, health care, religious accommodation approval/denial, security protocols).

- E. Organizations interested in partnering with the DOC to initiate supportive services for PIOC prior to and/or following discharge from DAI custody should submit written proposals in accordance with the guidelines detailed in Attachment C.
- F. Upon implementation of this policy, each facility shall:
 - 1. Ensure that each current and new applicant non-DOC personnel completes an updated DOC-2674. NOTE: Required for PREA audit purposes.
 - 2. Ensure that each non-DOC personnel's records are up-to-date, including:
 - a. Record in corresponding SharePoint site – volunteers or business visitors (e.g. facility activities, orientation, Review Status if applicable, DOC-2270A if applicable).
 - b. Scanned records (e.g. DOC-2674, DOC-2270A; Review Status records).

II. Facility Management of Non-DOC Personnel/Chain-of-Command

- A. Warden/designee shall assign one or more staff members for non-DOC personnel supervision:
 - 1. Staff Advisor – Individual's primary facility contact. Facility staff member assigned to facilitate/supervise activities of individuals or groups (e.g. business office/maintenance for vendors; chaplain for religious volunteers; program supervisor/designee for self-help groups, guest speakers, interns, gardening, hobbies; etc.).
 - 2. Facility Non-DOC Personnel Coordinator(s) – One or more supervisory staff member appointed by the facility Warden/designee to coordinate non-DOC personnel management functions (e.g. may be divided as Volunteer Coordinator and Business Visitor Coordinator).
 - 3. Shift Supervisor – Staff member in charge for a particular work shift.
 - 4. Warden/designee – Final authority for decisions related to non-DOC personnel and relevant program/service/activity at a particular facility, including Review Status.
 - 5. DAI Administrator/designee – Final authority for revocation of facility entry privileges throughout all DAI sites.
- B. Facility entrance procedure
 - 1. Issue DOC-1267/DOC-1267A for internal facility communication (i.e. not sufficient documentation for historical record of professional visits because inaccessible to other facilities).
 - 2. Non-DOC personnel shall comply with DAI Policy 309.06.01, 309.06.02 and 306.00.36 (e.g. identification, dress code, clear bags, personal items, security screening procedures, special accommodations).
 - 3. For each group activity, facilities shall review materials in advance to ensure proper content screening and security inspection.

DAI Policy #: 309.06.03	New Effective Date: 08/20/24	Page 6 of 19
Chapter: 309 Resources for Inmates		
Subject: Non-DOC Personnel, Business & Professional Visitors		

4. For professional visits with individual PIOC (i.e. pastoral, legal services and law enforcement), facilities shall:
 - a. Develop process for appointment requests through designated facility staff; Warden/designee may limit visit duration as necessary.
 - b. Consistent with WICS User Guide – Visitation:
 - 1) Enter pastoral visitors, legal services and law enforcement as a Relative/Associate for each applicable PIOC.
 - 2) Record each/every professional visit occurrence with individual PIOC (i.e. not group/congregate pastoral visits or program/service/activity).
- C. Non-DOC personnel support following a critical incident
1. In the event of an identified critical incident, facilities may offer access to DOC peer supporters, in accordance with the DOC Employee Services Program guidelines, for utilization and procedures.
 2. Non-DOC personnel status does not qualify for contracted Employee Assistance Program (EAP) eligibility under State of Wisconsin employee benefits.
- D. Event termination
1. Security Supervisor/designee may interrupt and/or immediately end a program/service/activity when the safe and controlled functioning of the facility is thought to be affected, such as:
 - a. Facility issues and/or need to redirect resources (e.g. emergency, disturbance, lockdown), at no fault of the non-DOC personnel.
 - b. Non-DOC personnel alleged violation of rules, policies and regulations.
 2. Security Supervisor/designee shall document terminated event via DOC-2466, with notice to:
 - a. The appropriate facility Non-DOC Personnel Coordinator.
 - b. All DAI Security Directors, when appropriate.
 3. If event termination results from non-DOC personnel behavior, temporary suspension of privileges pending investigation procedure shall be initiated in accordance with Section VIII of this policy.
- E. Non-DOC personnel violating federal/state law or DOC policies
1. Non-DOC personnel shall be referred to law enforcement authorities for potential prosecution if they violate federal/state statutes concerning:
 - a. Sexual abuse of PIOC.
 - b. Bringing contraband into a prison.
 - c. Possession of a controlled substance in proximity to a correctional facility.
 - d. Assisting/permitting an escape.
 2. Any non-DOC personnel described in subparagraph E.1 or who violate other DOC policies shall be:
 - a. Placed in Review Status in accordance with Section VIII of this policy.
 - b. Prohibited from further contact with PIOC (potentially including PIOC visiting lists and/or phone/correspondence contacts).

DAI Policy #: 309.06.03	New Effective Date: 08/20/24	Page 7 of 19
Chapter: 309 Resources for Inmates		
Subject: Non-DOC Personnel, Business & Professional Visitors		

3. Any non-DOC personnel who engages in sexual abuse of PIOC shall also be reported to relevant licensing/employing bodies (e.g. federal, state, local, private, professional).

III. Eligibility

- A. The Warden/designee shall have final approval for all non-DOC personnel at that facility, with the exception of individuals denied facility entry privileges into any DAI facility by the DAI Administrator.
 1. All potential non-DOC personnel shall be pre-screened by designated Staff Advisor(s) at each facility:
 - a. Assess validity of professional credentials.
 - b. Determine if their proposed program/service/activity is needed/appropriate (e.g. religious volunteer verified by the Chaplain/designee as an appropriate representative of a faith group; program contractor has necessary qualifications; etc.).
 - c. Basic expectations for the program/service/activity shall be clarified and agreed upon prior to application process at each facility (e.g. religious service/study format or curriculum pre-approved; business office carries out vendor procurement protocols; etc.).
 2. At the discretion of the Warden/designee, current and former DOC employees may be eligible to serve as non-DOC personnel. If approved, they shall follow all provisions of this policy and may be required to complete applicable orientation/training.
- B. All non-DOC personnel shall be eighteen (18) years of age or older; Warden/designee may make exceptions for unique circumstances (e.g. juvenile court presentation; etc.).
- C. Non-DOC personnel with incarcerated family members
 1. Non-DOC personnel shall not be in active status at a facility if they are:
 - a. A close family member of PIOC housed at that facility, as defined by Wisconsin Administrative Code s. DOC 309.02(4).
 - b. Identified as a family member or friend on PIOC relative/associate list of PIOC housed at that facility.
 2. Active status shall change to inactive at a specific facility if PIOC is transferred making the non-DOC personnel subject to C.1.; and shall remain inactive for the duration of PIOC incarceration at that site.
 3. If all other requirements are satisfied, Warden/designee may approve:
 - a. An individual made inactive at another facility per subparagraph C.1., to be an active non-DOC personnel at their facility.
 - b. Professional visitors recorded on PIOC WICS Relative/Associate list (i.e. not personal visitors, family member, friend), to be a facility volunteer for congregate program/service/activity at their site.
 - c. Non-DOC personnel with a family member housed at their site to perform services under direct supervision of security staff when:
 - 1) No direct services to PIOC are provided (i.e. facility vendor, employee trainer, guest speaker/performance/program guest).

DAI Policy #: 309.06.03	New Effective Date: 08/20/24	Page 8 of 19
Chapter: 309 Resources for Inmates		
Subject: Non-DOC Personnel, Business & Professional Visitors		

2) Employing agency verifies no alternative personnel are available.

D. Candidates with criminal history

1. Warden/designee may approve individuals under probation/parole/extended supervision in any jurisdiction to serve as Non-DOC Personnel with the approval of the supervising agent.
2. Warden/designee has discretion to authorize an individual recently released from custody in any jurisdiction to serve as a non-DOC personnel provided there shall be direct staff supervision throughout the facility.
3. Sexual offense history
 - a. All applicants with a sexual offense history in the community shall be assessed on a case-by-case basis to balance rehabilitation objectives and potential risk to facility population.
 - b. Applicants convicted of perpetrating sexual abuse/assault in confinement are not eligible to become a non-DOC personnel consistent with current PREA federal guidelines and Executive Directive 72.

E. Eligibility changes due to law enforcement interaction

1. Status may be affected by events or issues in the community – subsequent to disclosures on initial application and background check.
2. Non-DOC personnel are required to notify the Staff Advisor or the facility Non-DOC Personnel Coordinator/designee at their primary program/service/activity site within one business day of all non-DOC related law enforcement contact, with the exception of individuals who are victims of a crime.
3. Failure to notify DAI of any incidents referenced in E.2., may result in Review Status.
4. In consultation with the Security Director/designee, the facility Non-DOC Personnel Coordinator shall assess whether it is appropriate/necessary to initiate Review Status.
5. The facility Non-DOC Personnel Coordinator shall document relevant information and follow-up via:
 - a. DOC-2466 may be marked confidential/restrict access, as appropriate.
 - b. Notation in SharePoint record.
 - c. Review Status procedures detailed in Section VIII., if applicable.

IV. Application Process

- A. After initial screening to determine suitability, facility staff shall send link for electronic DOC-2674 (or hard copy in limited circumstances) to eligible candidates.
- B. The DAI Security Chief may authorize some DAI-wide applications to be processed within DAI Central Office.
- C. Candidates shall submit a completed DOC-2674.
 1. All applicants shall be required to sign the DOC-2674 in two locations:

DAI Policy #: 309.06.03	New Effective Date: 08/20/24	Page 9 of 19
Chapter: 309 Resources for Inmates		
Subject: Non-DOC Personnel, Business & Professional Visitors		

- a. PREA Compliance: Review and acknowledgement of POC-54.
 - b. Background Check & Acknowledgements.
 2. Applicant failure to answer all questions on the DOC-2674 does not automatically bar entry; shall be reviewed on a case-by-case basis.
 3. Signed DOC-2674 submitted electronically hard copy, or scanned/emailed shall be identified as "Original" record.
 4. Upon completion of "For Office Use Only" portion, electronic document filed according to Section V.B.2. below represents "Official Record."
- D. Facilities shall conduct/review background check in accordance with DAI policy 300.00.92.
1. Standard DOA and DOC procurement procedures may require contracting agency/vendor to perform background checks.
 2. DAI shall conduct criminal history review on each non-DOC personnel applicant and cannot accept external agency data for this purpose.
 3. Contracting agency/vendor may consult DOC and/or submit preliminary DOC-2674, if certain individual employment decisions are conditional on DAI facility entry privileges.
- E. Approved non-DOC personnel applications
Facility staff shall carry out the following (consistent with Attachment A) prior to scheduling new Non-DOC Personnel for program/service/activity:
1. Provide orientation consistent with tier.
 2. Issue a photo ID when specified per Executive Directive 63 and Attachment A.
 3. Submit DOC-1098T to complete fingerprinting if required per Executive Directive 76.
 4. Instruct non-DOC personnel to submit DOC-2424, if applicable, to request special accommodation for facility entrance, per DAI 309.06.02.
 5. Inform non-DOC personnel to submit DOC-2270A, if applicable, to notify DAI of offender relationships consistent with Executive Directive 16.
 6. Complete DOC-310 (interns only).
- F. DOC-2674 not processed – no fault
Warden/designee may determine – at no fault of applicant – proposed program/service/activity cannot be implemented (e.g. insufficient resources/time/space, lack of PIOC interest, duplicate programming exists, etc.).
1. Application process may be interrupted/discontinued at the discretion of the facility Non-DOC Personnel Coordinator/designee.
 2. Check "Application Not Processed (no fault)" on DOC-2674.
 3. Facility Non-DOC Personnel Coordinator/designee shall issue a letter to the applicant indicating application not processed – no fault (template available in group folders).
 4. Indicate "inactive status" in SharePoint record; enter comments detailing reason.
 5. Scan DOC-2674 and letter into group folders, per Section V.

DAI Policy #: 309.06.03	New Effective Date: 08/20/24	Page 10 of 19
Chapter: 309 Resources for Inmates		
Subject: Non-DOC Personnel, Business & Professional Visitors		

G. Denied facility entry privileges

1. Warden/designee may determine applicant is not an appropriate candidate for facility entry privileges.
2. The Warden/designee shall issue a letter to the applicant specifying reason for denial and share a copy with the DAI Security Chief.
3. DAI Security Chief/designee may advise the DAI Administrator on further restrictions to facility entry on a case-by-case basis (e.g. DAI-wide denial, removal from PIOC visiting lists).
4. Facility Non-DOC Personnel Coordinator/designee shall document applicants denied facility entry privileges consistent with Sections V. and VIII.F.

H. Facility entry privileges at additional facilities

1. Approved non-DOC personnel may be eligible for facility entrance at additional sites, at the discretion of each facility Warden/designee.
2. Each secondary/subsequent facility shall:
 - a. Evaluate whether proposed program/service/activity is needed or appropriate.
 - b. Updated DOC-2674 is not required unless non-DOC personnel has been inactive at all DAI sites more than one year or applicant reports demographics/background data has changed.
 - c. Complete a background check if prior review was more than one year ago.
 - d. Conduct brief orientation if specified in Attachment A. Full orientation or additional training may be required at the discretion of the Warden/designee.
 - e. Issue photo ID when specified per Executive Directive 63 and Attachment A.

I. Inactive non-DOC personnel – reapplying for facility entry privileges

1. After being inactive at all DAI facilities for more than one-year, non-DOC personnel candidates wishing to resume facility entry privileges shall submit a new DOC-2674.
2. All steps outlined in this policy shall be completed, including assessment of facility program/service/activity needs, background check, approval/denial, orientation.
3. Staff shall update existing SharePoint record, rather than creating a new record for the same individual.

V. DAI Non-DOC Personnel Records

A. Staff member access to non-DOC personnel records shall be limited to protect Personal Identifying Information.

1. Each Warden/designee shall designate staff member(s) responsible for updating non-DOC personnel records (i.e. SharePoint sites and scanned forms).

DAI Policy #: 309.06.03	New Effective Date: 08/20/24	Page 11 of 19
Chapter: 309 Resources for Inmates		
Subject: Non-DOC Personnel, Business & Professional Visitors		

2. Facility Non-DOC Personnel Coordinator(s) shall notify the DAI Security Chief/designee of staff needing access to non-DOC personnel records.
- B. Each individual non-DOC personnel record includes:
1. Electronic data within correlated SharePoint site (volunteers or business visitors).
 2. Associated forms scanned into group folders (volunteers or business visitors). **[G:\DAI\Non-DOC Personnel Records]**
 - a. DOC-2674.
 - b. DOC-2270/2270A and associated documentation per ED 16 and Section VII., if applicable.
 - c. Review Status documentation (e.g. suspension, reinstatement, revocation, denied facility entry privileges), if applicable.
 - d. Prior electronic forms shall be retained when scanning updated forms into designated group folders.
 - e. File naming protocol for scanned non-DOC personnel records:
[LAST first – form number or letter purpose – month year]
Examples:
 - SMITH john – DOC-2674 – March 2016
 - SMITH john – DOC-2674 – April 2017
 - SMITH john – DOC-2270A for PIOC Mary Jones - May 2018
 - SMITH john – DOC-2270A for PIOC Michael Adams – June 2019
 - SMITH john – suspend pend inv ltr – Jul 2020
 - SMITH john – reinstatement ltr – Aug 2021
- C. The facility Non-DOC Personnel Coordinator/designee shall ensure records are created and/or updated for each category defined in Attachment A, including “DOC-2674 Not Processed – No Fault,” “Denied Facility Entry Privileges” and other “Review Status.”
- D. Designated staff shall update non-DOC personnel records within five business days of any event/change, per Attachment B.
- E. The electronic record (including SharePoint and scanned forms/letters in designated folders) becomes the official record.
1. Completed paper records shall be retained in confidential manner by Security Director/designee, until instructed of applicable Records Retention/Disposition Authorization.
 2. No additional copies of completed forms shall be created or maintained.
 3. Electronic non-DOC personnel records shall not be deleted/destroyed without consent of a non-DOC personnel records “SuperUser.”
- VI. Orientation/Training**
- A. Non-DOC personnel are required to complete role-specific orientation as detailed in Attachment A prior to facility entry and PIOC interaction.
1. All orientation sessions shall incorporate facility-specific information including:

DAI Policy #: 309.06.03	New Effective Date: 08/20/24	Page 12 of 19
Chapter: 309 Resources for Inmates		
Subject: Non-DOC Personnel, Business & Professional Visitors		

- a. Entrance guidelines.
 - b. Emergency procedures.
 - c. Facility contact information.
 - d. Absence reporting procedures (e.g. talk to a person not voicemail).
 2. Attachment A establishes minimum training required by DAI. Warden/designee may require additional training based upon type of program/service/activity, frequency and level of PIOC contact on a case-by-case basis.
 3. Warden/designee may also determine it appropriate to:
 - a. Limit one-to-one contact with PIOC.
 - b. Provide direct/line-of-sight staff supervision.
- B. Tier 1 – required PREA training (POC-0054)
1. DOC-2674 application process incorporates review of POC-0054 as minimum orientation for all non-DOC personnel entering DAI facilities.
 2. Individuals are encouraged to ask their Staff Advisor for clarification of any questions.
- C. Tier 2 – DAI non-DOC personnel brief orientation (POC-0080)
1. Brief orientation (estimated 15 minutes) may be conducted by phone, video conference and/or email at discretion of Warden/designee.
 2. Shall include review of the standardized brief orientation (POC-0080).
 3. Shall include an opportunity to ask questions of staff.
- D. Tier 3 – DAI non-DOC personnel full orientation (POC-0079)
1. Full orientation (estimated 2-3 hours) facilitated by security and/or non-security staff (ideally combination) through video conference and/or in person.
 2. Shall include a thorough review of the standardized manual (POC-0079).
 3. Individuals may attend full orientation at any DAI facility:
 - a. Facility Non-DOC Personnel Coordinator/designee shall enter all full orientation dates on the DAI-wide annual calendar in the group folder. **[G:\DAI\Non-DOC Personnel Records\Orientation Information]**
 - b. Individual's primary program/service/activity site shall be responsible for non-DOC personnel records – including processing, scanning, filing forms (i.e. DOC-2674, DOC-2424, DOC-2270A) and creating/updating SharePoint records.
 - c. After individual records are created/updated, facility Non-DOC Personnel Coordinator/designee may request/arrange orientation participation with another site's facility Non-DOC Personnel Coordinator/designee.
 - d. Facility providing full orientation shall record/update training date in SharePoint for each attendee.
- E. Tier 4 – Contractor-specific orientation
Subject matter expert correlated with non-DOC personnel role (per Attachment A) determines training needs.

DAI Policy #: 309.06.03	New Effective Date: 08/20/24	Page 13 of 19
Chapter: 309 Resources for Inmates		
Subject: Non-DOC Personnel, Business & Professional Visitors		

- F. Tiers 2, 3 & 4 – Annual orientation update (excludes Tier 1)
1. Non-DOC personnel shall be required to undergo orientation once per calendar year to maintain active status (e.g. once in 2015, 2016, 2017 – may be more than 12 months between sessions).
 2. Orientation update content:
 - a. Shall at minimum include a review of the standardized brief orientation (POC-0080) and facility-specific information.
 - b. Shall include an opportunity for the non-DOC personnel to ask questions of staff.
 - c. May be conducted in person, by video conference, phone and/or email at discretion of Warden/designee.
 - d. May be incorporated into facility volunteer appreciation events.
 - e. May include additional site-specific training requirements (including, but not limited to the DAI full orientation), at the discretion of the Warden/designee.
 3. When applicable, the facility Non-DOC Personnel Coordinator shall provide all site non-DOC personnel with pertinent information regarding policy and procedure updates.
 4. Significant changes affecting program/service/activity shall be provided in writing, at the discretion of the Warden.

VII. Fraternalization

- A. Relationships/Contacts with PIOC/Offenders/Youth
1. Unless express permission is granted via DOC-2270A, Non-DOC Personnel are prohibited from associating with, accompanying, having phone contact, corresponding via letters and email, consorting with or exchanging personal contact information/goods/services/funds with:
 - a. Any PIOC/Youth incarcerated in a DOC facility.
 - b. Any PIOC under DOC supervision including DCC and DJC.
 - c. Any family/friends/associates of PIOC/Youth under the supervision of DOC.
 2. Non-DOC personnel shall disclose any relationship or contact with any individual incarcerated in a DAI or DJC facility to the Staff Advisor at their primary program/service/activity site:
 - a. At time of application on DOC-2674.
 - b. Unplanned/inadvertent contact by the next business day.
 - c. Anticipated/ongoing contact – in advance of initial contact or by the next business day after identifying possible contact.
 - d. New incarceration – by the next business day after learning of the change in PIOC status.
 3. The Staff Advisor shall notify the facility Non-DOC Personnel Coordinator.
 4. The facility Non-DOC Personnel Coordinator/designee shall complete a DOC-2466.
 5. The facility Non-DOC Personnel Coordinator, in consultation with the Warden/designee, shall advise the individual to submit a DOC-2270A if appropriate.

DAI Policy #: 309.06.03	New Effective Date: 08/20/24	Page 14 of 19
Chapter: 309 Resources for Inmates		
Subject: Non-DOC Personnel, Business & Professional Visitors		

- a. Upon submission, the facility Non-DOC Personnel Coordinator shall advise the non-DOC personnel to avoid contact with the individual until the DOC-2270A is approved or denied.
 - b. Pending approval/denial of the DOC-2270A, the Non-DOC Personnel may be granted facility entry at the discretion of the Warden/designee.
 6. Non-DOC personnel who fail to disclose familial or personal relationships with incarcerated PIOC may be subject to Review Status as detailed in Section VIII.
- B. DOC-2270A process**
1. Consistent with Executive Directive 16, the DOC-2270A is a tool for DOC monitoring and managing PIOC behavior while in DAI/DJC custody and under DCC supervision.
 2. DOC-2270A is not intended to impair non-DOC personnel ability to perform professional responsibilities and reentry supports, nor to interfere with PIOC personal relationships which can foster rehabilitation.
 3. Upon receipt of DOC-2270A, the facility Non-DOC Personnel Coordinator/designee shall:
 - a. Initiate an electronic DOC-2270.
 - b. Check the box indicating volunteer/contractor submission.
 - c. Transfer all information from the DOC-2270A to the electronic DOC-2270, making sure all required fields are completed.
 - d. Attach a PDF of the DOC-2270A with non-DOC personnel signature.
 - e. Submit for approval/denial via e-form procedure.
 4. Following the DAI Administrator/designee review and decision, electronic notice shall be sent via e-form procedure to:
 - a. Facility Warden (confidential e-form mailbox).
 - b. Facility Non-DOC Personnel Coordinator's email (submitter of electronic DOC-2270).
 5. Facility Non-DOC Personnel Coordinator/designee shall:
 - a. Provide a copy of the final approval/denial to the non-DOC personnel via U.S. mail, email (PDF), or in-person, including:
 - 1) Completed electronic DOC-2270 (printed or PDF).
 - 2) Copy of DOC-2270A attachment with Non-DOC Personnel signature.
 - b. Record DOC-2270A status (e.g. submitted/pending/approved/denied) in SharePoint Volunteer Database comments field or Business Visitors spreadsheet.
 - c. Scan the approval/denial documentation into secure, restricted-access group folders as detailed in Section V.
 6. At the discretion of the Warden/designee, further information may be documented in PIOC record via DOC-2466 (WICS), if appropriate to share with other DAI sites.
- C. Permissible interactions**
1. Professional relationships

DAI Policy #: 309.06.03	New Effective Date: 08/20/24	Page 15 of 19
Chapter: 309 Resources for Inmates		
Subject: Non-DOC Personnel, Business & Professional Visitors		

- a. At all times, non-DOC personnel shall maintain professional boundaries of their approved role under this policy (e.g. Pastoral Visitor, Case Manager, Employment Support, Legal Assistance, Veterans Services, etc.) and abide by all other fraternization expectations.
 - b. Non-DOC personnel with an approved DOC-2270A may provide ongoing counseling, spiritual guidance and personal growth encouragement to PIOC upon release from DAI and while under the supervision of DCC.
 - c. Non-DOC personnel with an approved DOC-2270A may participate and/or coordinate reentry support services of external organizations which provide PIOC releasing from DAI custody with clothing, housing, transportation, etc.
 - d. With an approved DOC-2270A, non-DOC personnel who anticipate providing professional services or reentry assistance referenced in subparagraphs b. or c. in advance of PIOC discharge from DAI custody shall contact the assigned Social Worker. This allows coordination through routine discharge planning procedures in consultation with the assigned DCC agent (approximately six months prior to PIOC is released from DAI custody).
 - e. Non-DOC personnel representing organizations with which DOC has a partnership consistent with Section I.D. and Attachment C, may be exempt from submitting DOC-2270A for individual PIOC if specified in the agreement.
2. PIOC Personal Relationships
- a. Consistent with Section III.C. and subject to DOC-2270A approval, non-DOC personnel may be on PIOC visiting list(s) at DAI facilities where they are not in active status or do not perform duties as approved under this policy.
 - b. Consistent with Executive Directive 16 and subparagraph VII.B.1., PIOC in DOC custody or under DOC supervision shall only have personal contacts with non-DOC personnel (e.g. phone calls, correspondence via letters or email, exchanging personal information) with express permission via DOC-2270A procedure.
- D. Prohibited interactions
1. Non-DOC personnel (except legal services performing professional duties) shall not personally intercede on behalf of an individual under DOC custody or supervision regarding:
 - a. Facility discipline.
 - b. Classification/programming.
 - c. Rules of supervision.
 - d. Employment.
 - e. Petitions for parole, pardon, commutation or judicial matters.
 2. Non-DOC personnel shall not transfer information or messages between individuals in the community (including PIOC under DCC supervision) and

DAI Policy #: 309.06.03	New Effective Date: 08/20/24	Page 16 of 19
Chapter: 309 Resources for Inmates		
Subject: Non-DOC Personnel, Business & Professional Visitors		

PIOC in DAI or DJC custody (neither direction), nor between PIOC at different facilities.

3. Consistent with Executive Directive 16, non-DOC personnel shall not reside in the same household or directly employ PIOC under DCC supervision unless express permission is given via DOC-2270A procedure.
4. DAI shall make a referral to law enforcement if non-DOC personnel violate federal or state laws including:
 - a. Deliver, conceal or intend to deliver any articles/materials to PIOC in correctional facility without express permission from facility personnel (including but not limited to electronic communication/storage devices).
 - b. Receive any items from PIOC with intent to remove them from a correctional facility without express permission from facility personnel.
 - c. Possess or attempt to possess any controlled substances on correctional facility grounds.
 - d. Have sexual contact or engage in sexual harassment of incarcerated PIOC.
 - e. Assisting or permitting escape.

VIII. Review Status or Denied Facility Entry Privileges

- A. Consistent with Review Status defined in Attachment A, facility entry privileges of non-DOC personnel may temporarily change in response to identified concerns.
 1. In such circumstances, DAI staff shall follow progressive steps detailed in paragraphs B. through E.
 2. Staff shall record applicants denied facility entry privileges consistent with Section IV.F. and paragraph F. below.
- B. Temporary suspension of privileges pending investigation
 1. When staff become aware of potential rule violations, the facility Non-DOC Personnel Coordinator shall determine follow-up in consultation with Warden/designee.
 2. Verbal and written notice of temporary suspension of privileges pending investigation shall be provided to the non-DOC personnel:
 - a. The facility Non-DOC Personnel Coordinator or Security Supervisor/designee shall verbally inform individual they are prohibited entry into any DAI facility until investigation has concluded (prior to facility departure if they remain onsite, or by follow-up phone call).
 - b. Security Director/designee shall issue a letter to the non-DOC personnel (or each individual of a suspended group) stating the reason for suspension.
 3. Through duration of temporary suspension of privileges pending investigation, non-DOC personnel are prohibited from facility entry at all DAI sites for:
 - a. Program/service/activity.
 - b. Professional visits.

DAI Policy #: 309.06.03	New Effective Date: 08/20/24	Page 17 of 19
Chapter: 309 Resources for Inmates		
Subject: Non-DOC Personnel, Business & Professional Visitors		

- c. PIOC visiting list(s) per DAI 309.06.01, unless Warden/designee grants special permission.
 4. Religious volunteers and attorneys shall be offered opportunity to nominate another member of their organization to conduct professional visits in their absence. Nominees shall undergo the DOC-2674 application process if not previously an approved non-DOC personnel.
 5. The Security Director/designee shall investigate the violation consistent with DAI 300.00.91 and/or DAI 306.00.15.
 6. The DAI Security Chief/designee may assign additional resources to assist with the investigation, as appropriate.
- C. Reinstatement following investigation
1. Facility investigation may result in decision to reinstate facility entry privileges.
 2. The Warden/designee shall issue a letter to the non-DOC personnel specifying conditions for reinstatement of facility entry privileges, if any (e.g. further orientation, instruction, procedures).
 3. Non-DOC personnel's corresponding SharePoint record shall maintain "Review Status" identifier to trigger facility assessment of history for site-specific concerns.
 4. Reinstatement of facility entry privileges may not apply to all DAI sites, at the discretion of each facility Warden/designee.
- D. Revocation of facility entry privileges
1. Facility investigation may result in recommendation to the DAI Security Chief/designee facility entry privileges be revoked.
 - a. The DAI Security Chief/designee shall advise the DAI Administrator whether:
 - 1) Revocation shall be site-specific;
 - 2) Non-DOC personnel shall be prohibited entry to all DAI facilities; and/or
 - 3) Non-DOC personnel shall be removed from PIOC visiting list(s).
 - b. The DAI Security Chief may consult relevant subject matter experts as needed (e.g. OPS Director, Reentry Director, DAI Education Director, DAI Office of Management and Budget Director, DAI Religious Practices Coordinator, Office of Legal Counsel).
 2. The DAI Administrator/designee shall issue a letter to the non-DOC personnel stating:
 - a. Reason (e.g. delivery of contraband, fraternization).
 - b. Scope (facility-specific or DAI-wide).
 - c. Duration (date eligible to re-apply for facility entry privileges).
 3. Each facility shall ensure each revoked non-DOC personnel identification badge is destroyed.
- E. Approval following revocation & reapplication
1. Former non-DOC personnel may re-apply for facility entry privileges after conclusion of the revocation period.

DAI Policy #: 309.06.03	New Effective Date: 08/20/24	Page 18 of 19
Chapter: 309 Resources for Inmates		
Subject: Non-DOC Personnel, Business & Professional Visitors		

2. All steps of application process shall be followed (e.g. assessment of facility need for proposed program/service/activity, DOC-2674 submission, background check, orientation, documentation).
 3. Non-DOC personnel's corresponding SharePoint record shall maintain "Review Status" identifier to trigger facility assessment of history for site-specific concerns.
 4. Reinstatement of facility entry privileges may not apply to all DAI sites, at the discretion of each Warden/designee.
- F. Documentation of Review Status or denied facility entry privileges
1. Group folders (volunteers or business visitors)
 - a. Letter templates are available in [G:\DAI\Non-DOC Personnel Records] for:
 - 1) Temporary suspension of privileges pending investigation (by Security Director/designee).
 - 2) Reinstatement following investigation (by Warden/designee).
 - 3) Revocation of non-DOC personnel facility entry privileges (by DAI Administrator/designee).
 - 4) Denied facility entry privileges (per Section IV.F.).
 - b. Electronic copy of Review Status letters shall be:
 - 1) Filed in the group folders.
 - 2) Distributed to Security Directors and the facility Non-DOC Personnel Coordinators.
 2. SharePoint (volunteers or business visitors)

The facility Non-DOC Personnel Coordinator/designee shall document Review Status, including:

 - a. Scope of Review Status.
 - b. Reason for Review Status.
 - c. Effective date.
 - d. Duration of Review Status.
 - e. Eligible for reapplication date, as applicable.
 3. WICS Visiting Lists
 - a. DAI 309.06.01, Section IV. – Voluntary and Involuntary Removal Process shall be implemented, as applicable.
 - 1) Security Director/designee shall notate facility-level visitation status changes.
 - 2) DAI Security Chief/designee shall notate statewide visitation status changes.
 - b. Consistent with *WICS User Guide – Visitation*, designated staff shall complete:
 - 1) User Guide 11 – Remove Visitor from Inmate's Approved Visitor List.
 - 2) User Guide 15 – Add a Person Consideration.

DIVISION OF ADULT INSTITUTIONS FACILITY IMPLEMENTATION PROCEDURES

Facility: Name		
Original Effective Date:	DAI Policy Number: 000.00.00	Page 19 of 19
New Effective Date: 00/00/00	Supersedes Number:	Dated:
Chapter: 309 Resources for Inmates		
Subject: Non-DOC Personnel, Business & Professional Visitors		
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