GENERAL INFORMATION

All DAI sites shall collectively maintain Non-DOC Personnel Records for each individual (both approved and non-approved applicants). Access to some data is restricted to protect Personal Identifying Information (PII). Records are subdivided into parallel sets identified as "Volunteer" or "Business Visitor" corresponding with the Non-DOC Personnel category/role defined in Attachment A (final column on right).

Each Non-DOC Personnel Record includes:
- Electronic data within correlated SharePoint site
- Associated forms and correspondence scanned into group folders

	Volunteer SharePoint Site	Business Visitors SharePoint Site	Non-DOC Personnel Group Folders Subdivided into Volunteer & Business Visitor
Record Location	From MyDOC: • Click SharePoint link under "My Quick Links" in lower left column • Microsoft Edge will open separate window at DOC Internal SharePoint home page • If required to login, use your email address [xxx.xxxx@wisconsin.gov] and password; it is acceptable to check "Remember my credentials" within this application • Scroll over dropdown menus at top to "DAI" • Click "Volunteers"	From MyDOC: • Scroll over dropdown menus at top to "Offender Mgmt" • Click "DAI Security Resources" • Click "Institution Entrance Approval List" • Click "Approval List in SharePoint – Entrance to DAI Facilities • SharePoint will open in new browser window • If required to login, use your email address [xxx.xxxx@wisconsin.gov] and password; it is acceptable to check "Keep me logged in" within this application	Add folder to computer profile within MS File Explorer: • Right click near "Network Locations" in lower part of screen • Select "Add a network location" • Click "Next" when Add Network Location Wizard opens • When prompted, select "Choose a custom network location" and click "Next" • Enter address: ***\\corrections.wi\groups\DAI\Non-DOC Personnel Records*** • Click "Next" • Follow remaining prompts to name the location/shortcut • Click "Finish" • A shortcut will appear within the "Network Locations" portion of the MS File Explorer screen • Copy/paste or click/drag shortcut to desktop
	Helpful tip: If desired, you may create a desktop shortcut(s) or browser bookmark(s) to more easily locate the Volunteer and Business Visitor SharePoint site(s) in the future (see BTM Help Desk page on MyDOC for detailed instructions)		
Computer Permissions Controlled Via	MS Outlook email distribution list [DOC DL DAI Volunteer Database Access] Facility Volunteer Coordinator determines duty-related access for their site personnel; Religious Practices Coordinators can authorize (contact Kelli West or Tonesia Schauer)	All DAI staff have "read" access – not restricted because PII is limited to date of birth & duty-related access necessary to verify photo ID of Non-DOC Personnel upon entry Limited staff have "write" permissions authorized by the DAI Security Chief's Program Assistant (contact Tina Holmes)	DOC AD Task Pads

HELPFUL TIPS

- ==*Search for an existing record before creating records – in both the Volunteer and Business Visitors SharePoint sites. This helps reduce workload and keeps data clean by avoiding duplicate records.*==
- Non-DOC Personnel records should be created/updated within five (5) business days.
    - o Enter data in SharePoint upon receipt of DOC-2674 or <u>any/all</u> new information (e.g. Review Status, DOC-2270A, DOC-2424, etc.).
    - o Update records even if all steps aren't completed; small additions like background check date, orientation, etc. can easily be added later.
    - o Timely and complete data enables others to observe the status and reduces duplicate workload.
- Be thorough and accurate with data entry.
    - o Incorrect birthdays, typos or misspellings will make it hard to locate records.
    - o Vague information is easily misunderstood. For example, "First Baptist" or "St. Mary's" could reflect multiple Wisconsin churches. Please include city, and/or other information that will be helpful to other facility staff in the future.
    - o Include your name and date when adding comments, enabling others to follow-up if further information is needed.

Providing Orientation
- <u>ALL</u> facilities are responsible to provide Non-DOC Personnel orientation (Section VI.). Schedule sufficient sessions (e.g. monthly, quarterly, semi-annually) to train your site's Non-DOC Personnel.
- Put orientation dates on the current year DAI master calendar to inform other sites of space available. This improves convenience for Non-DOC Personnel + reduces DAI-wide workload. [located in folder \\DOCSERVCAP\Groups$\DAI\Non-DOC Personnel Records\Orientation Information]
- <u>Don't refer</u> Non-DOC Personnel to orientation through other facilities <u>until</u>:
    1) SharePoint record has been created
    2) DOC-2674 is electronically filed in group folders
    3) Background check was completed
    4) Other site (facilitator) has authorized attendance
- Effective video conference training:
    1) Set a participation cap – determine how many facilitator can manage effectively both during the session + timely SharePoint updates
    2) <u>DO NOT include</u> meeting link on the master calendar (just share date, time, site and contact)
    3) Provide names of every Non-DOC Personnel to facilitator **in advance** to allow compilation of class roster (consistent with gate pass procedures for in-person sessions)
    4) Email meeting link and login instructions 1-2 days prior to session; advise participants not to "share" link to avoid exceeding participant cap
    5) Facilitator may use "Waiting Room" function to allow only confirmed participants entry into the video conference session
    6) Attendance function may capture participation or help expedite rollcall; be mindful some participants may be logged into shared device

Review Status
- Follow the progressive steps for addressing concerns with Non-DOC Personnel (Section VIII.)
- Document relevant information in WICS IRs; may be marked confidential by a supervisor when appropriate
- Send appropriate correspondence(s) to Non-DOC Personnel; file copies in group folders to be accessible to other sites
- Summarize in STATUS tab "Comments" field (e.g. fraternization concern; resolved issues with reorientation; may reapply after X months)
- Warden/designee has discretion for site-specific approval of Non-DOC Personnel with Review Status history:
    - o Reinstatement Following Investigation (Section VIII.C.)
    - o Approval Following Revocation and Reapplication (Section VIII.E.)

PART I – VOLUNTEER SHAREPOINT SITE

The Volunteer SharePoint site includes Non-DOC Personnel records indicated in the final column of Attachment A, based upon their category/role. Each record offers an overview of the person's history including background checks, orientation dates, facility activities, and unique data such as inmate/offender relationships reported via DOC-2270A, special accessibility requested via DOC-2424, or identified "Review Status" concerns. Staff access is restricted based on job duties to protect PII. Each record is shown among the following "tabs".

SEARCH	VOLUNTEER	FACILITIES	STATUS	ORIENTATION

- Click an "Add" or "Update" button to enter or change data on each tab
- After typing into the relevant field, click the "Add" or "Update" button a second time to save the added/revised information; button may not appear until you have moved the cursor to a different data field
- Required fields are marked with an asterisk (*) and highlighted yellow and must be resolved to complete "Create" or "Update" functions
- Don't enter data using ALL CAPS, which impairs readability and leads to inconsistent reports, address labels, etc.
- Most database users will not see a "Delete" button. Contact one of these staff members to eliminate duplicate records or errors:
  - o Tina Holmes
  - o Shane Hornung
  - o Lisa Pettera
  - o Tonesia Schauer
  - o Kelli Willard West

Facility-Specific Reports
- Generate an MS Excel spreadsheet:
  1) Make sure you are logged into the Volunteer SharePoint site (check "Keep me logged in")
  2) Within the group folders, open the file named "Volunteer Reporting.accdb"
  3) Use the drop-down menus to select facility
  4) Click on the desired report (i.e. Detail Report, Facility List, Status List, Duplicates List)
  5) Identify the location where you want the spreadsheet saved (e.g. Desktop or specific folder) and click "OK"
  6) Locate the file and open the spreadsheet
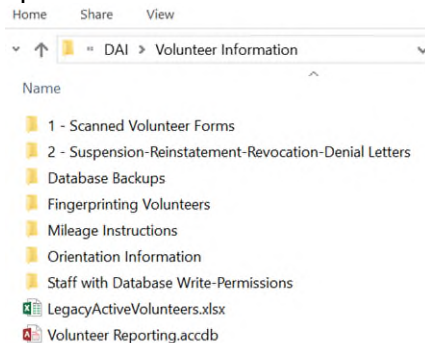
SEARCH				

This section offers a search function, along with a "dashboard" giving a brief overview of the Volunteer's data

- Before adding new data, use "Search" tab to verify there isn't already a record for the volunteer
- Type a few letters of the first or last name & select from dropdown list of potential matches (more characters narrow the list)
- There may be more than one volunteer with the same name; check birthdates, addresses, etc. to identify the correct record. If it appears that there are duplicate records for the same individual, notify one of the staff listed above with "delete" permissions.
- When accessing an existing record, the dashboard will provide a snapshot of the volunteer's most recent background check, orientation, number of active facilities, and a color-coded bar reflecting status

<div align="center">

GREEN = GOOD STANDING

WHITE = INACTIVE

YELLOW = CAUTION (PRIOR REVIEW STATUS)

RED = PROHIBITED (REVIEW STATUS)

</div>

	VOLUNTEER			

This section includes demographics data, contact information, etc.

- Complete all fields, if possible
- Enter updates/corrections as needed
- Record receipt date for DOC-2270A and DOC-2424
- Use the "Comments" field to indicate relevant details (e.g. hand scan knee; frat exception submitted for Joe Smith #123456; brother housed at facility – may become active after PIOC transfer)

DAI Volunteers   Search   Volunteer   Facilities   Status   Orientation

Volunteer
Kelli R West

Last Name*: West
First Name*: Kelli
Middle Initial: R
Date of Birth: 11/03/1966

Address: 3099 East Washington Aver
PO Box: PO Box 7925
City: Timbucktoo
State: WI

Zip Code: 53707-7925
Email: kelli.west@wi.gov
Primary Phone* (xxx-xxx-xxxx): 608-240-5168
Secondary Phone (xxx-xxx-xxxx):

DOC-2424: 07/18/2017
DOC-2270: 07/18/2017
DOC-2424 and 2270 Comments (Include staff name and date entered):
SDFLKSJDAFLKSADFLK;J

Sample volunteer record.

Delete

		FACILITIES		

This section details the various roles the Non-DOC Personnel may perform in different facilities

- Add new line for each TYPE of program/service/activity volunteer carries out at facility (e.g. volunteer doing "Self-Help Groups" plus "Education" tutoring at TCI would have 2 entries)
- Enter "Start Date" to allow SharePoint to generate accurate facility volunteer lists
- Enter "End Date" when a volunteer discontinues program/service/activity, which enables "Dashboard" to calculate current active facilities
- "Affiliation" includes organizations with five-or-more individual volunteers; contact a database SuperUser to add an organization meets this criteria to the drop-down menu
- _**Must use**_ "Comment" field to describe when "Other" is selected under "Type" or "Affiliation"; also provide details of the volunteer's program/service/activity (e.g. facilitates AA/NA monthly; St. Peter's Lutheran Church – Waupaca; commutes 85 miles to TCI)
- An existing volunteer may need more orientation if they add further program/service/activity sites; if initially received brief orientation – full orientation is required to perform more than five (5) visits per year (Section VI.)

			STATUS	

This section records sites and dates of:
- Background checks (Section IV.C.)
- Fingerprinting (Section IV.D.)
- No Action/Hold File – no fault (Section IV.E.)
- Denied Application – for fault (Section IV.F.)
- Review Status progression (Section VIII.)
    1) Temporary Suspension of Privileges Pending Investigation (Section VIII.B.)
    2) Reinstatement Following Investigation (Section VIII.C.)
    3) DAI-Wide Revocation of Facility Entry Privileges (Section VIII.D.)
    4) Approval Following Revocation & Reapplication (Section VIII.E.)
- Use the "Comments" field to:
    o Make other facilities aware of relevant data (e.g. name changed from Jones to Smith due to marriage 2018; 1985 DUI – cleared by Security Director; Warden approved facility entry after resolving BPHR fingerprinting inquiry)
    o Describe Review Status (e.g. fraternization concern; resolved issues with reorientation; may reapply after X months) to allow staff to search for further in WICS IRs, correspondence folder, etc.
    o Record "N/A" for not applicable in the "Comments" when appropriate

				ORIENTATION

This section records the volunteer's participation in their initial and updated orientation sessions
- Add new line each time volunteer completes orientation consistent with Attachment A:
  - Brief = Tier 2 (Section VI.C.)
  - Full = Tier 3 (Section VI.C.)
- Non-DOC Personnel are required to complete orientation each <u>calendar</u> year (e.g. January 2014; December 2015; June 2016; September 2017 – is acceptable). See Section VI.F. for further details on role-related requirements.
- Site providing full orientation should record each participant's attendance, including those from other facilities
- Sites providing orientation for others are <u>**not**</u> expected to create missing SharePoint records, file DOC-2674 or complete background checks
- Share relevant information in "Comments" field (e.g. via video conference by K. West; via phone for one-time pastoral visit by L. Pettera)

PART II – BUSINESS VISITORS SHAREPOINT SITE

The Business Visitors SharePoint site includes Non-DOC Personnel records indicated in the final column of Attachment A, based upon their category/role. Each record offers an overview of the personnel associated with various vendors, contractors and businesses, including background checks (both approvals and denials) and contact information. All DAI staff have "Read" access because very limited PII needs protection. Facilities specify employees involved in background check procedures who need "Write" permissions.
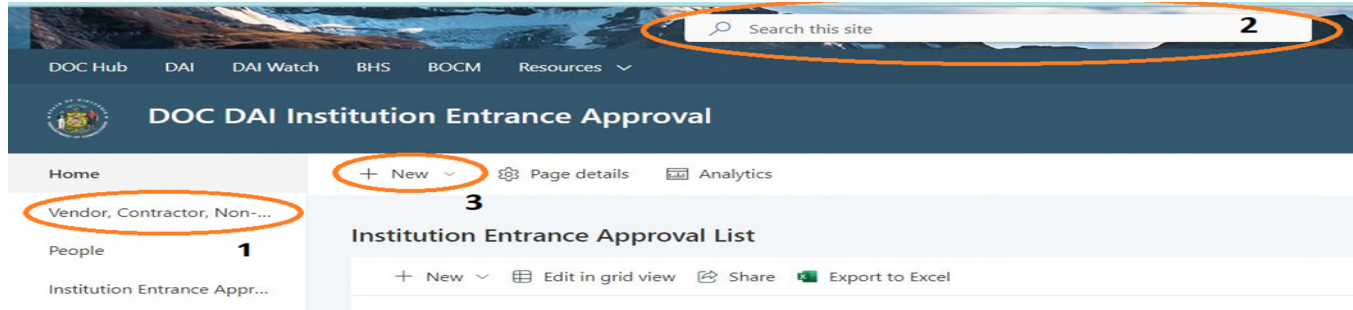
LOCATING A BUSINESS VISITOR RECORD	CREATING A NEW BUSINESS VISITOR RECORD

Search before adding new data to avoid duplicate records and reduce workload.
1) In the menu on the left, choose either "**Vendor, Contractor, Non-DOC Business**" or "**People**"
2) Click search bar at top of screen (below web address)
3) Type the individual or agency you are seeking; use asterisk (*) if full name is unknown (e.g. Allied*; Carl*)
4) Click Enter and identify desired record from generated list
	Only *__after__* search reveals no existing record, follow all three (3) steps:
	1) Choose "Vendor, Contractor, Non-DOC Business" in the menu on the left
	   • Select "+New" just below the site title
	   • Complete pop-out form (enter name of private business or public agency)
	   • Click "Save"
	2) Choose "People" in the menu on the left
	   • Select "+New" just below the site title
	   • Complete the pop-out form (enter name of individual employees/representatives)
	   • Click "Save"
	3) Link individual "People" to the affiliated "Vendor, Contractor, Non-DOC Business"
	   • Choose "Institution Entrance Approval List" in the menu on the left
	   • Select "+New"
	   • Complete pop-out form (link personnel with agency)
	   • Click "Save"

PART III – NON-DOC PERSONNEL GROUP FOLDERS

The group folders provide a central location for all sites to maintain electronic "Official Record" of DOC-2674, DOC-2270A, DOC-2809, orientation calendar, etc. Access is restricted based on job duties to protect PII.

Records are subdivided into parallel sets identified as "Volunteer" or "Business Visitor" corresponding with the Non-DOC Personnel category/role defined in Attachment A (final column on right).

<mark>***All sites must adhere to the following file naming protocols to assist with locating records***</mark>, consistent with the examples below:
<div align="center">

[LAST FIRST – form/correspondence – Month year]
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
</div>

- DOC-2674 is required for <u>every</u> Non-DOC Personnel and must be signed in two places - this documents minimum required training for PREA audit purposes.
- Per DAI 309.06.03 revision effective XX/XX/2024, existing Non-DOC Personnel must have DOC-2674 on file with form revision dated 8/2022 or later (which includes two signatures for PREA audit purposes),
- DOC-2270A is recorded/filed when applicable for fraternization exception requests (Section VII.).
- Non-DOC Personnel in "Review Status or Denied Facility Entry Privileges" will have correspondence associated with these progressive steps (Section VIII.).
- DAI policy 309.06.02 – Visitor Entrance – Special Needs directs use of DOC-2424 when needed. This form (applicable to PIOC Personal Visitors as well as Non-DOC Personnel) is filed in separate location to protect PHI [\\DOCSERVCAP\Groups$\DAI\Security Directors\DOC 2424s ONLY].

NOTES:
- Updated DOC-2674 is <u>only</u> necessary to document Non-DOC Personnel changes (e.g. new address, name change, different employer). This reduces inconvenience for Non-DOC Personnel and duplicate workload for DAI staff.
- <u>Do not</u> delete older scanned records – retain for continuity under file naming protocol shown above.
- Retain completed <u>paper</u> forms (after scanning to electronic folders) in confidential manner until directed of applicable RDA [currently in development].
- <u>Do not</u> make or maintain additional copies of completed paper forms; this may jeopardize PII.
- ***Do not use other forms*** (e.g. DOC-762 emergency contacts; obsolete DOC-2430 background checks; obsolete DOC-2786 PREA training). These functions are incorporated within the DOC-2674.