



WISCONSIN DEPARTMENT OF CORRECTIONS

Governor Tony Evers / Secretary Kevin A. Carr

GUIDANCE DOCUMENT CERTIFICATION

I have reviewed this guidance document or proposed guidance document and I certify that it complies with sections §227.10 and §227.11 of the Wisconsin Statutes.

I further certify that the guidance document or proposed guidance document contains no standard, requirement, or threshold that is not explicitly required or explicitly permitted by a statute or a rule that has been lawfully promulgated.

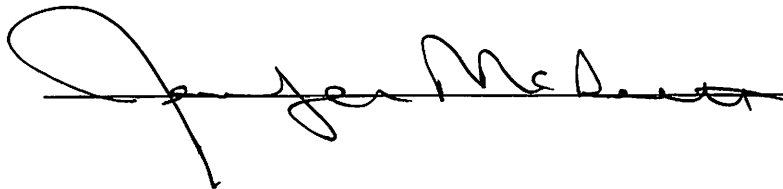
I further certify that the guidance document or proposed guidance document contains no standard, requirement, or threshold that is more restrictive than a standard, requirement, or threshold contained in the Wisconsin Statutes.

Jenny McDermott

Name of Individual Certifying this Document / Proposed Document


Warden

Title

 _____ 03-02-2020
Signature

Date Signed

Department of Corrections – Wisconsin
Office of the Secretary
Wis. Stat. § 227.112(6)
DOC-2910 (Rev. 12/2019)

 <p style="text-align: center;">DIVISION OF ADULT INSTITUTIONS</p> <p style="text-align: center;">POLICY AND PROCEDURES</p>	DAI Policy #: 328.14.01	Page 1 of 11
	Original Effective Date: 08/15/99	New Effective Date: 06/17/19
	Supersedes: 328.14.01	Dated: 03/25/19
	Administrator's Approval: Makda Fessahaye, Administrator	
	Required Posting or Restricted: <input checked="" type="checkbox"/> Inmate <input checked="" type="checkbox"/> All Staff <input type="checkbox"/> Restricted	
Chapter: 328 Community Supervision of Offenders		
Subject: Interstate Compact for Supervision of Wisconsin Parole Cases Requesting Transfer to Other States		

POLICY

The Division of Adult Institutions shall establish a process to facilitate the potential transfer of supervision for eligible parolees to another state with which Wisconsin has agreements.

REFERENCES

Wisconsin Statutes s. 304.16 – Interstate Compact for Adult Offender Supervision

<http://www.interstatecompact.org/> -- Interstate Commission for Adult Offender Supervision (ICAOS) Rules

Wisconsin Administrative Code s. DOC 328.14 – Interstate transfer

WI 2015 Act 355 – If an offender has unpaid restitution on an open case, that restitution balance shall be paid first.

DAI Policy 309.45.02 – Inmate Trust System Deductions – Attachment A – Release Funds Allowable Uses

MyDOC > ECRM > Supervision > DCC Supervision Processes > DCC – Supervision Process > Interstate Compact

MyDOC > ECRM > Discharge > Interstate Compact Attachment – ICOTS Entry Procedures

DEFINITIONS, ACRONYMS AND FORMS

Bifurcated State – A state in which probation and parole operate under separate authorities and administrative structures.

Case Manager – Social Worker/Treatment Specialist/Program Provider

CCAP – Consolidated Court Automation Programs

COMPAS – Correctional Offender Management Profiling for Alternative Sanctions

DAI – Division of Adult Institutions

DCC – Division of Community Corrections

DCI – Dodge Correctional Institution

Discretionary Acceptance – For good cause, a receiving state may consent to the transfer of supervision of an offender who is not otherwise eligible for transfer.

DAI Policy #: 328.14.01	New Effective Date: 06/17/19	Page 2 of 11
Chapter: 328 Community Supervision of Offenders		
Subject: Interstate Compact for Supervision of Wisconsin Parole Cases Requesting Transfer to Other States		

DOC – Department of Corrections

DOC-3A – Face Sheet – Intake and Investigation

DOC-10 – Rules of Community Supervision

DOC-10H – Rules of Community Supervision, Hmong

DOC-10S – Rules of Community Supervision, Spanish

DOC-20/CR-212A – Judgment of Conviction

DOC-50 – Travel Permit

DOC-179 – Probation Social Investigation

DOC-179S – Probation Social Investigation, Spanish

DOC-745 – Release Plan Information

DOC-745S – Release Plan Information, Spanish

DOC-1163 – Authorization for Disclosure of Non-Health Confidential Information

DOC-1163A – Authorization for Use and Disclosure of Protected Health Information (PHI)

DOC-1759 – Sex Offender Registration

DOC-3711 – Mental Health Summary for Interstate Compact

ECRM – Electronic Case Reference Manual

IC – Interstate Compact

ICAOS – Interstate Commission for Adult Offender Supervision

ICAOS Forms (integrated within the ICOTS)

- Transfer Request
- Notice of Departure
- Offenders Application for Interstate Compact Transfer
- Request for Reporting Instructions
- Compact Action Request

DAI Policy #: 328.14.01	New Effective Date: 06/17/19	Page 3 of 11
Chapter: 328 Community Supervision of Offenders		
Subject: Interstate Compact for Supervision of Wisconsin Parole Cases Requesting Transfer to Other States		

ICOTS - Interstate Compact Offender Tracking System – An Internet-based application for compact transfer processes and case-based transactions. ICOTS may be accessed from the ICAOS website or by going directly to:
<https://icots.interstatecompact.org/ICOTS/login>.

LOCATOR – Offender Search/LOCATOR is a Web-based application that allows users to search for offender information in the Integrated Corrections System (ICS) database.

NCIC - National Crime Information Center is the United States' central database for tracking crime-related information.

Plan of Supervision – The terms under which the inmate shall be supervised, including proposed residence, proposed employment or means of support and conditions of supervision.

PSI - Pre-sentence Investigation – Report ordered by the court to be completed by the DCC Agent to aid in determining appropriate sentencing.

PSU – Psychological Services Unit

Resident – Inmate had been an actual inhabitant of the state, for more than one year, prior to the commission of the offense and has not, unless incarcerated, relocated to another state for a continuous period of six months or more with the intent to establish a new principal place of residence.

Resident Family – A parent, grandparent, aunt, uncle, adult child, adult sibling, spouse, legal guardian or step-parent who has resided in the receiving state for 180 days or longer as of the date of the transfer request; and indicates willingness and ability to assist the offender as specified in the plan of supervision.

Sex Offender – An inmate required to register as a sex offender in either the sending or receiving state. The sex offense requiring registration need not be the offender's current sentence.

Substantial Compliance - An offender is sufficiently in compliance with the terms and conditions of his or her supervision so as not to result in initiation of revocation of supervision proceedings by the sending state.

STG – Security Threat Group

TCI – Taycheedah Correctional Institution

WWCS – Wisconsin Women's Correctional System

DAI Policy #: 328.14.01	New Effective Date: 06/17/19	Page 4 of 11
Chapter: 328 Community Supervision of Offenders		
Subject: Interstate Compact for Supervision of Wisconsin Parole Cases Requesting Transfer to Other States		

PROCEDURE

I. Eligibility

- A. An inmate is eligible to apply for transfer if the inmate has:
 - 1. Approval of the Agent and Case Manager
 - 2. A valid plan of supervision in the receiving state.
 - 3. At least three months (90 days) of supervision remaining at the time of release.
 - 4. Is in substantial compliance at the time of the interstate compact transfer request is submitted.
- B. A receiving state shall accept transfer of an eligible inmate who:
 - 1. Is a resident of the receiving state according to the compact; OR
 - 2. Has resident family in the receiving state who indicates willingness and ability to provide assistance as specified in the supervision plan and can obtain employment or has a means of support in the receiving state.
- C. A receiving state may accept transfer of an eligible inmate who does not meet the criteria in Section I.B., if it is consistent with the purposes of the compact.

II. Allowance to Proceed

Under no circumstances is an inmate allowed to proceed to a receiving state without a formal acceptance and reporting instructions from the receiving state.

III. Timelines

- A. A request may be submitted in ICOTS at any point in the final 120 days before release but no earlier than 120 days prior to the release date.
- B. Because the receiving state is allowed 45 days to investigate a transfer request, requests shall be submitted sufficiently in advance of the planned release date to allow the receiving state to investigate and reply before the inmate is released.

IV. Preliminary Steps

- A. The Case Manager shall obtain the completed DOC-745 from inmate.
- B. The Case Manager shall meet with the inmate to review details of the DOC-745 and discuss the application fee process.
 - 1. A separate application fee of \$150 shall be collected for each proposed residence. Release account funds may be used for this fee per DAI Policy 309.45.02 – Attachment A.
 - 2. If a supervision plan is denied due to technical reasons not relating to a valid plan of supervision and the application is resubmitted to the same residence, a subsequent application fee is not collected.
 - 3. The application fee is not subject to waiver or refund.
 - 4. Acceptance by the receiving state is not guaranteed.

DAI Policy #: 328.14.01	New Effective Date: 06/17/19	Page 5 of 11
Chapter: 328 Community Supervision of Offenders		
Subject: Interstate Compact for Supervision of Wisconsin Parole Cases Requesting Transfer to Other States		

- C. The Case Manager shall determine if there are any outstanding warrants or detainers lodged with the WI DOC or NCIC, then discuss offender availability for community supervision with facility Records Office Staff and the DCC Agent.
- D. The Case Manager shall discuss the proposed plan with the assigned DCC Agent to determine whether the plan is reasonable and appropriate prior to submitting a request.
- E. If proposed plan is feasible, the Case Manager shall:
1. Contact the family member or host (landlord, if applicable) to verify residence plan, means of support, transportation plan and application fee process.
 2. Verify the residence address is recognized by the United States Postal Service (<https://www.usps.com/>).
- F. The Case Manager shall proceed with the application fee process once family member or host verifies inmate may reside with them.
1. The Case Manager shall generate the Interstate Compact Application Fee Payment Coupon letter in the WICS – Attachment A.
 2. The Case Manager shall provide the IC Application Fee Payment Coupon letter to the inmate to submit with the application fee payment.
 3. The inmate shall:
 - a. Complete the DOC-184 for the full fee amount of \$150 if the inmate is paying the fee.
 - b. Complete the IC Application Fee Payment Coupon letter, as needed.
 - c. Complete addressed, stamped envelope to the PO Box in Milwaukee listed on the IC Application Fee Payment Coupon letter.
 - d. Forward the above items to the Case Manager.
 4. The Case Manager shall review the documents prior to forwarding to the Business Office.
 - a. The Business Office shall verify that the inmate has sufficient funds in the account specified for use.
 - b. Release account funds may be used to pay the IC application fee.
 - c. A check shall be made out to the DOC for \$150 and forwarded to the PO Box in Milwaukee with the completed IC Application Fee Payment Coupon letter for processing.
 5. If the inmate's family member or host accepts responsibility for payment, it is their responsibility to complete and mail the IC Application Fee Payment Coupon letter with payment to the PO Box in Milwaukee listed on the form. Only the full \$150 fee amount is paid.
- G. The DCC Cashiers Unit staff shall verify IC application fee is paid in the full \$150 amount, divert funds to any restitution balance on an open case, if applicable (WI 2015 Act 355).

DAI Policy #: 328.14.01	New Effective Date: 06/17/19	Page 6 of 11
Chapter: 328 Community Supervision of Offenders		
Subject: Interstate Compact for Supervision of Wisconsin Parole Cases Requesting Transfer to Other States		

- H. The Case Manager shall review WICS Offender/Payee Accounts screen to verify the payment has been received prior to submission of the ICOTS Transfer Request.
- I. The Case Manager shall complete appropriate file documentation. A DOC-1163 or DOC-1163A is not required as part of the Transfer Request, but shall be obtained and maintained in the file.
- J. If the proposed plan is feasible and approved by the DCC Agent and Case Manager, the following documents shall be included or attached to the transfer request in ICOTS. ICOTS populates the fields in the ICAOS forms.
1. Offender Application for Interstate Compact Transfer (ICAOS form), with the signatures of the inmate and a DOC staff witness, ensuring signature dates match. After the signed/witnessed ICAOS Offender Application for Interstate Compact Transfer form is scanned and uploaded into the ICOTS, the original may be destroyed and is not required to be maintained in the inmate file.
 2. STG or if no known STG affiliation.
 3. COMPAS rules or DOC-10.
 4. Facility discipline covering last two years by summarizing Classification Reports.
 5. DOC-3711.
 - a. The facility Case Manager shall contact the PSU Supervisor to request that PSU staff provide the two-year mental health summary needed by the ICAOS.
 - b. PSU staff shall complete DOC-3711 and submit a copy to the requesting Case Manager within seven days or less. PSU staff shall not forward copies of any other PSU records.
 - c. The facility Case Manager shall obtain a written consent from the inmate prior to forwarding the DOC-3711 to the receiving state Parole Compact Office. Case Manager shall use the ICAOS version of the DOC-1163A.
 6. DOC-745.
 7. DOC-20/CR-212A for current offenses.
 8. Description of current offense(s) in sufficient detail to describe the type and severity of offense and whether the charge has been reduced at sentencing.
 - a. This information may be provided by an arrest report, criminal complaint or PSI.
 - b. If none are available, a narrative description may be prepared by the Case Manager.
 9. Most current PSI, if available. If no PSI, attach COMPAS Bar Chart – Overall Risk Potential and Narrative – Assessment Risk Probability and Summary or DOC-179 with DOC-3A or indicate no PSI exists.
 10. Recent front-view photograph.
 11. Treatment summaries, if available.

DAI Policy #: 328.14.01	New Effective Date: 06/17/19	Page 7 of 11
Chapter: 328 Community Supervision of Offenders		
Subject: Interstate Compact for Supervision of Wisconsin Parole Cases Requesting Transfer to Other States		

12. Restraining order, if available. If a restraining order is in effect but unavailable, attach CCAP case printout.
13. Information related to court-ordered financial obligations; including but not limited to:
 - a. Fines.
 - b. Court costs.
 - c. Restitution and family support and the balance that is owed by the offender on each.
 - d. The address of the office to which payment must be made.
14. If the inmate is a sex offender, the following additional information is required:
 - a. Sex Offender Registration information. Attach DOC-1759 or Sex Offender Registry page, if applicable in Wisconsin.
 - b. Assessment information, including sex offender specific assessments.
 - c. Social history.
 - d. Information relevant to the sex offender's criminal sexual behavior.
 - e. Law enforcement report that provides specific details of sex offense.
 - f. Victim information.
 - g. Current or recommended supervision and treatment plan.

V. ICOTS User Accounts

- A. Facility Case Managers who are involved in the compact process shall have an ICOTS User Account and comply with the ICOTS Privacy Policy v3.
- B. Staff with an ICOTS account or their supervisor shall notify the Interstate Compact office if they are leaving state service, have changed their legal name or are no longer working for the Department of Corrections.

VI. ICOTS Entry Procedures

If the proposed plan is approved, the Case Manager shall create a Transfer Request in ICOTS at <https://icots.interstatecompact.org/ICOTS/login> following the detailed instructions in the Attachment to this policy.

VII. Upon Receipt of the Receiving State's Decision

- A. The Case Manager shall:
 1. Notify the inmate upon receipt of a decision. If the transfer request is denied, review the reasons for denial.
 - a. A rejected transfer may be revised and resubmitted. A new interstate compact application fee may be required.
 - b. If the transfer request shall not be resubmitted, "Withdraw" the ICOTS case containing the rejected Reply to Transfer Request to remove it from the active ICOTS workload per Attachment.
 2. Notify the receiving state using the ICAOS Compact Action Request activity in ICOTS if the inmate indicates s/he no longer wishes to transfer, makes changes to the plan or the anticipated release date changes. When

DAI Policy #: 328.14.01	New Effective Date: 06/17/19	Page 8 of 11
Chapter: 328 Community Supervision of Offenders		
Subject: Interstate Compact for Supervision of Wisconsin Parole Cases Requesting Transfer to Other States		

applicable, "Withdraw" the ICOTS case from the active ICOTS workload per Attachment to this policy.

3. Submit a discretionary Request for Reporting Instructions in ICOTS if a transfer decision has not been received and the receiving state decision is past due (exceeds 45 days), and the inmate is within ten working days of release.
 - a. If reporting instructions are denied or have not been received by the time the inmate is to be released, the inmate may not be given a DOC-50.
 - b. Case Managers shall continue to work with the DCC Agent on an alternate, temporary release plan within WI.
4. Obtain the inmate's signature on DOC-50 if the inmate has permission to proceed directly to receiving state via approved reporting instructions. This should contain reporting instruction information and dates of departure and anticipated arrival.
5. Review the rules/conditions of the receiving state, as well as WI rules in the COMPAS DOC-10 including any special condition added by the DCC Agent with inmate and obtain/witness inmate's signature.
6. Forward signed copies of DOC-10 and DOC-50 to the DCC Agent.
7. Contact the Health Services Unit to request medications, if applicable.
8. Prepare ICOTS file for departure and transfer of case to DCC Agent.
 - a. If the inmate is reporting directly to the receiving state, the Case Manager shall submit a Notice of Departure. Following submission, email docdccinterstatecompact.gov requesting the ICOTS case be transferred to the assigned WI DCC Agent.
 - b. If the inmate is reporting to the WI DCC Agent prior to traveling to the receiving state, email docdccinterstatecompact.gov requesting the ICOTS case be transferred to the assigned WI DCC Agent. The WI DCC Agent shall be required to complete the Notice of Departure.
 - c. A receiving state may rescind acceptance if the offender does not report by the fifth business day following the intended date of departure. See Attachment for ICOTS detailed instructions.
9. Contact the DCC Interstate Compact office to request transfer of inmate from Case Manager's active ICOTS compact workload to DCC Agent workload.

VIII. The Health Services Unit shall prepare a two week supply of medication, if applicable.

IX. DCC Interstate Compact Office Shall:

- A. Review the transfer request for completeness.
- B. Submit in ICOTS to the receiving state's workload if the transfer request is approved. If the transfer request is incomplete or inconsistent with ICAOS rules, return the request to the Case Managers for corrections.

DAI Policy #: 328.14.01	New Effective Date: 06/17/19	Page 9 of 11
Chapter: 328 Community Supervision of Offenders		
Subject: Interstate Compact for Supervision of Wisconsin Parole Cases Requesting Transfer to Other States		

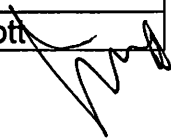
- C. Transfer the active ICOTS case to the DCC Agent's compact workload upon request from assigned DAI User.
- X. DCC Agent shall:**
- A. Discuss the transfer request with facility staff to determine whether the plan is reasonable and appropriate.
 - B. Upon request, provide copies of the DOC-20 and Criminal Complaint for any concurrent probation cases and any other file materials needed for the transfer request.
 - C. Do the following if the inmate's transfer is approved, or if reporting instructions have been issued by the receiving state:
 - 1. Add reporting instructions to the DOC-50.
 - 2. Sign and obtain the supervisor's signature.
 - 3. Send the DOC-50 with DOC-10 to the facility to obtain inmate's signature.
 - D. Develop a supervision plan in Wisconsin if the inmate's transfer is denied.
 - E. Complete the ICOTS Notice of Departure if the inmate has instructions to report to their assigned DCC Agent prior to traveling to the receiving state.
 - F. Submit a Transfer Request 120 days prior to discharge from parole/extended supervision or his/her maximum discharge if the inmate has a consecutive probation.
- XI. Inmate Shall:**
- A. Initiate the request to apply for transfer with appropriate facility staff.
 - B. Obtain verification of residence, offers of employment and/or means of financial support in the receiving state.
 - C. Complete and sign all required forms.
 - D. Immediately notify facility staff if the request is to be withdrawn.
 - E. Comply with reporting instructions and all rules of supervision imposed by the State of Wisconsin and by the receiving state.
- XII. Offenders Requesting Interstate Compact When on Community Supervision**
- A. The DCC Agent shall determine whether the offender has been incarcerated in a Wisconsin DOC facility in the past two years. If the offender has not been incarcerated in a Wisconsin DOC facility in the past two years, the DOC-3711 does not need to be completed.

- B. If the offender has been incarcerated within the past two years, the DCC Agent shall determine whether the offender has been in treatment with a DCC psychologist since release.
- C. If the offender has been treated/evaluated by a DCC psychologist since release, the DCC Agent shall request that a DCC psychologist complete the DOC-3711 within seven days or less.
- D. If the offender has not been treated/evaluated by a DCC psychologist since release, the DCC Agent shall email one of the two mailboxes below to request the PSU Record be retrieved and provided to the DCI or TCI Psychology Supervisor.
1. DOC DAI DCI Central Medical Records (males).
 2. DOC WWCS TCI Inactive Women's Medical Records (females).
- E. Central Medical Records or Inactive Women's Medical Records shall provide the PSU Record to the DCI or TCI Psychology Supervisor who shall designate a PSU staff member to complete the DOC-3711. PSU staff shall forward a copy of the completed DOC-3711 to the requesting agent as an attachment to an email within seven days or less.
- F. The DCC Agent shall obtain a written consent from the offender prior to forwarding the DOC-3711 to the receiving state Parole Compact Office. Agents shall use the ICAOS version of the DOC-1163A.

Administrator's Approval: _____**Date Signed:** _____

Makda Fessahaye, Administrator

DIVISION OF ADULT INSTITUTIONS FACILITY IMPLEMENTATION PROCEDURES

Facility: Kettle Moraine Correctional Institution		
Original Effective Date: 8/13/07	DAI Policy Number: 328.14.01	Page 11 of 11
New Effective Date: 3/9/20	Supersedes Number:	Dated:
Chapter: 328 Community Supervision of Offenders		
Subject: Interstate Compact for Supervision of Wisconsin Parole Cases Requesting Transfer to Other States		
Will Implement <input type="checkbox"/> As written <input checked="" type="checkbox"/> With below procedures for facility implementation		
Warden's/Center Superintendent's Approval: Warden Jennifer McDermott 		

FACILITY PROCEDURE

The assigned Case Manager shall be responsible for facilitating the actions noted in Sections IV through VI of the attached DAI policy.