

## **New/Revised ECRM Additions**

### **LAB AUDIT – 2023 – Recommendations #1 - #4**

**8/14/2023 – ECRM Language Updates: Intake & Supervision**

**Chapter: Intake – Multiple revisions for this chapter (#1, #2, #3, #4) as listed within this document.**

**Chapter: Supervision – Two revisions for this chapter (#5, #6) as listed within this document.**

### **REVISIONS CHAPTERS / SUB-SECTIONS TO BE MADE**

- 1. ECRM > DCC > INTAKE > AGENT RESPONSIBILITIES DURING INTAKE > .02  
CASE OPENING**
- 2. ECRM > DCC > INTAKE > EXTENDED SUPERVISION/PAROLE INTAKE > .04  
AGENT RESPONSIBILITIES UPON RELEASE**
- 3. ECRM > DCC > INTAKE > OPERATING WHILE INTOXICATED > .03 AGENT  
RESPONSIBILITIES DURING INTAKE**
- 4. ECRM > DCC > INTAKE > SEX OFFENDER INTAKE > INITIAL STEPS**
- 5. ECRM > DCC > SUPERVISION > DCC > SUPERVISION PROCESS >  
SUPERVISION LEVEL REVIEW (SLR) > .04 SUPERVISION LEVEL REVIEW  
PROCESS**
- 6. ECRM > SUPERVISION > DCC > SUPERVISION PROCESS > DCC  
SUPERVISION – ACCESSING CLIENT PROGRAMS AND SERVICES >  
PURCHASE OF OFFENDER GOODS AND SERVICES > .04 SERVICE  
MONITORING**

## **Revision #1**

### **ECRM > DCC > INTAKE > AGENT RESPONSIBILITIES DURING INTAKE > .02 CASE OPENING**

To prepare for supervision and the first meeting with an agent, all clients shall receive an orientation packet upon being placed on supervision. The orientation packet shall, at a minimum, include a handbook, Rules of Community Supervision, the DOC-179 Probation Social Investigation and contact information for the assigned agent or office.

The following case opening activities shall be accomplished within the first 30 days of case opening activities:

- Obtain information about the offense.
- Obtain and review Criminal History Record Information (CIB/NCIC). The agent must use the Prior Record Listing [DOC-2354](#) to document prior record. The original form is kept in the DCC Case File. When the [DOC-2354](#) is updated due to new information or the client returns to supervision on a subsequent case, the agent will add new arrests and convictions and save the updated [DOC-2354](#) in the DCC Case File.

The Criminal History Record Information will also determine if the offender is required to register as a sex offender in Wisconsin or any other state. If required to register in another state, the agent shall provide relevant information to the other state's registry.

- Review Court Order
- Review the Rules of Community Supervision with the client.
- Complete COMPAS-R Core assessment.
- Complete Opioid Use History Questionnaire ([DOC-2945](#)) if previous behaviors/convictions suggests screening is appropriate unless opioid history has been identified and verified through investigations or verifiable sources. If indicated by the DOC-2945 or through previous investigations or verifiable sources, document the individual's opioid history in COMPAS Cautionary Information section. Select the "Alert" checkbox. If it is evident the client has an opioid history, the agent shall provide the client with literature or resources concerning Medication Assisted Treatment (MAT). If the client is interested in MAT, staff the case with a supervisor to discuss referral for services or transfer of case to a designated vivitrol agent in the city/county.
- Inform the client of reporting requirements.

- Explain the complaint process to the client, and explain how the client can access the Request for Administrative Review ([DOC-127](#)).
- Review the status of court-ordered financial obligations.
- Inform the client of supervision fee payment requirements and how payments can be made.
- Request the client sign the Authorization for Disclosure of Non-Health Confidential Information ([DOC-1163](#)) and Authorization for Use and Disclosure of Protected Health Information ([DOC-1163A](#)) which will allow the Department to release confidential information if the client enters the revocation process or for non-revocation court related matters. The timeframe shall encompass the entire period of supervision, and specify the release of information to the Division of Hearings and Appeals, the Office of State Public Defender, as well as The District Attorney and Circuit Court for withheld probation cases.
- Make initial home visit. If the client is in a detention facility at the onset of the period of supervision, the initial home visit shall be made within 30 days of the client's release from custody. The agent shall set the next home visit due date by using the date selector within the COMPAS home visit note. The address shall be documented in COMPAS as the primary address.
- Notify the school district of any client who is employed by a public or private school district, employed by a company under contract to a school district, or who works on school district property within seven calendar days of the onset of supervision.
- Review the CCH obtained through CIB to verify DNA status. If DNA status on the CCH is "Conviction Sample On File", check WICS "DNA Collection and Tracking" screen and ensure that there is a date in the "DNA Verified Date" field. If both of these requirements are met, DNA does not need to be addressed again until 90 days prior to discharge unless you are notified by the SAFE Team of an issue. If either of these requirements are not met, the agent should continue following up with the client until both of these requirements are met. See the DNA Requirements section of the ECRM for further information. Verify that the WICS DNA Obligation (blue button) accurately reflects the client's status for DNA obligation.
- Enter note in COMPAS regarding DNA status when it is verified or if the offender still needs to take action.
- Agents should contact victims of convictions and read-ins by sending them a Victim Request for Notification ([DOC-2623](#)) during the client's intake process. The [DOC-2623](#) will explain the goals and objectives of supervision, including revocation and early discharge. The [DOC-2623](#) provides the victim with the opportunity to request notification should either revocation or early discharge occur. The victim also has the option to decline notification.

A complete list of tasks and responsibilities can be found on the [DOC-2625 DCC Intake Checklist](#).

Verification of intake completion should be provided by the agent to the supervisor by due date or work due will be considered incomplete and remain on the work due list until completed. If the agent is unable to complete any of the intake requirements by the due date for good cause, the agent needs to obtain supervisor approval for an extension. The approval then needs to be documented in the COMPAS notes. Examples of situations which may warrant a supervisor extension include but are not limited to, agent workload and client availability. Once approved by the supervisor, this should be communicated to the status keeper by emailing the completed DOC-2625 in order for the work due to be removed.

During the intake process, the status should be set at Intake. If the assessment's supervision recommendation level is Low, the agent will enter in a screener recommendation of Low and complete all other work due on the [DOC-2625](#) unless an override is requested. At that time, the [DOC-2625](#) task is removed and the offender is classified at Minimum. If the assessment's supervision recommendation level is Medium or higher, or if by policy or override the supervision level is set higher than Minimum, the Intake status date will be extended an additional 30 days (for a total of 60 days from date of assignment).

If the agent is unable to complete the COMPAS-R Core by the due date for good cause, the agent needs to obtain supervisor approval for an extension. Examples of situations which may warrant a supervisor extension include but are not limited to, agent workload and client availability. The approval then needs to be documented in the COMPAS notes.

If the COMPAS-R Core Assessment (and override approval if requested) is not completed in the required time frame, the case goes to pending status until completed. If the assessment was completed by the agent within the required time frame, and the supervisor is not able to review/approve override request by the work due deadline, the status keeper should verify completion in COMPAS, and default to the COMPAS classification until override approval/denial is received from the supervisor. Supervisors are responsible for ensuring timely completion of work due. Supervisors will regularly review work due and discuss any

overdue work with the agent. In addition, Regional Office will review overdue work in the unit with supervisors.

In order for an intake to be considered completed and the [DOC-2625](#) task due removed, the COMPAS assessment must be completed for all offenders. The Unified Case Plan shall be initiated for offenders supervised at Medium supervision level or higher (in addition to all other intake steps as outlined in the ECRM and per other related policies for special types of cases) and verified by the supervisor. Verification of intake completion should be provided to the supervisor by the [DOC-2625](#) task due date. Work will be considered incomplete and remain on the task due list until completed. Once approved by the supervisor, this should be submitted to the status keeper.

## **Revision #2**

### **ECRM > DCC > INTAKE > EXTENDED SUPERVISION/PAROLE INTAKE > .04 AGENT RESPONSIBILITIES UPON RELEASE**

#### **.04 AGENT RESPONSIBILITIES UPON RELEASE**

All prison releases will be set at "New Release" status upon release for 30 days unless identified as a sex offender. The agent will need to complete the necessary assessments and the [2625A](#) tasks during the new release process. **If the agent is unable to complete any of the intake requirements by the due date for good cause, the agent needs to obtain supervisor approval for an extension. The approval then needs to be documented in the COMPAS notes. Examples of situations which may warrant a supervisor extension include but are not limited to, agent workload and client availability.** If the client is identified as a sex offender, the client will be set at "New Release Sex Offender" status.

On the date of release, the agent will conduct the initial face-to-face interview with the offender. If extenuating circumstances exist, the face-to-face interview may take place the next business day. At this time the agent will read and explain the Rules of Community Supervision to the offender. In granting parole to an inmate, the Parole Commission may order special conditions for supervision. In this event, the supervising agent will incorporate

the special conditions on the Rules of Community Supervision. The Parole Commission may also offer advisory comments to the supervising agent. These comments should be taken into account in establishing the conditions of supervision.

If the agent identifies a sex offender conviction on the client's criminal history record, in Wisconsin or any other state, the agent will call the sex offender registration program within the state of conviction. If the client is required to register in a state other than Wisconsin, the agent will provide information as to the whereabouts of the offender to the other state's registry and will complete a Sex Offender Registration Form ([DOC-1759](#)) and submit to the [Wisconsin Sex Offender Registration Program](#). Agents may utilize the internet or SORP specialist to obtain telephone contact information for other states.

### **Revision #3**

## **ECRM > DCC > INTAKE > OPERATING WHILE INTOXICATED > .03 AGENT RESPONSIBILITIES DURING INTAKE**

### **.03 AGENT RESPONSIBILITIES DURING INTAKE**

Within the first 60 days of supervision, the assigned agent has the responsibility to accomplish the following case opening activities in addition to the normal intake procedures. For prison releases, a 30-day intake period shall be provided at "New Release" status. These standards apply to all clients supervised for an OWI related offense.

- Review the Rules of Community Supervision with the client. Include specific rules requiring compliance with Driver Safety Plan and Ignition Interlock Device.
- Review and complete the Application to Purchase and/or Operate a Motor Vehicle ([DOC-56](#)). The client is also required to show proof of insurance on all vehicles they operate.
- Provide the client with Ignition Interlock Device (IID) information and verify that they have arranged for installation with a local provider. This must be completed before the client will be given permission to operate any motorized vehicle on public roadways. Unless waived by the court, the IID is required on all vehicles that a client is listed on the title or any other vehicle they may be operating for the duration of supervision. It is the expectation that agents review IID compliance reports.
- Review and obtain the Authorization for Disclosure of Non-Health Confidential Information ([DOC-1163](#)) and the Authorization for Use and Disclosure of Protected Health Information ([DOC-1163A](#)) as needed.

- Review requirements for Driver Safety Plan with the client. Obtain a copy of the Driver Safety Plan (if already completed) or verify that the client has scheduled an appointment with local county Human Service Agency that is responsible for Driver Safety Planning and assessments.
- Obtain a urine specimen and document results in the Drug Testing section in COMPAS.
- The Impaired Driving Assessment (IDA) screening tool shall be administered during the intake phase along with the COMPAS assessment.
- Following completion of the COMPAS assessment, IDA Screening Tool, case plan, and review of the Driver Safety Plan assessment, the agent will consult with their supervisor and determine the appropriate supervision level. Medium and High Scores on the IDA Assessment can be utilized as a justification to override the actual supervision level. Supervision strategies will be based on the combination of risk scores, overall supervision recommendation, and assessment bar charts. Enhanced supervision level may be utilized based upon individual needs and staffing with the supervisor.
- Use of Alcohol Monitoring Equipment is recommended based on risk and needs assessment tools. If a client scores MED/HIGH Risk on the IDA and the client is on probation supervision related to a 2<sup>nd</sup> or 3<sup>rd</sup> OWI conviction, the alcohol monitoring equipment is required to be installed within 7 business days of calculating the risk level and for a minimum of 60 days. Other OWI offenders who are not 2<sup>nd</sup> or 3<sup>rd</sup> offense probationers may be placed on discretionary alcohol monitoring equipment. The required length of time for the monitoring equipment can be extended based on issues of noncompliance or with a staffing with the supervisor. If the client is in custody at the time of the assessment being calculated, the alcohol monitoring equipment must be installed within 7 business days of their release from custody.
- If a client's behavior as described in the criminal complaint is for operating under the influence of drugs and the client does not have a history of alcohol abuse, use of alcohol monitoring equipment may be waived by the regional chief or designee.
- The use of DOC equipment is not required if the client is being monitored by an outside agency or community partner (i.e. County Jail, Diversion, Courts). If the outside agency does not cover the minimum expectations, then DOC alcohol monitoring equipment must be used for the remainder of the initial 60 days. Regional office may also waive a requirement for alcohol monitoring based on previous participation with treatment and monitoring.

If the agent is unable to complete any of the intake requirements by the due date for good cause, the agent needs to obtain supervisor approval for an extension. Examples of situations which may warrant a supervisor extension include but are not limited to, agent workload and client availability. The approval then needs to be documented in the COMPAS notes.

## **Revision #4**

### **ECRM > DCC > INTAKE > SEX OFFENDER INTAKE > INITIAL STEPS**

#### **INITIAL STEPS**

When an offender is identified as a sex offender at intake, either by current case, prior record, or as listed under Lifetime Considerations in COMPAS, the status keeper will be notified as such and a status of "Intake Sex Offender" will be added by the status keeper.

In addition to case opening activities listed in [ECRM-Agent Responsibilities During Intake](#) the assigned agent shall accomplish the activities listed on the Sex Offender Intake Checklist ([DOC-2084](#)) within 60 days of the start of supervision. **If the agent is unable to complete any of the intake requirements by the due date for good cause, the agent needs to obtain supervisor approval for an extension. Examples of situations which may warrant a supervisor extension include but are not limited to, agent workload and client availability. The approval then needs to be documented in the COMPAS notes.**

Sex offenders being placed on probation will have a status of Intake Sex Offender for the first 60 days of their supervision. Sex offenders being released from an institution will have a status of New Release Sex Offender for the first 30 days of their supervision. At the end of the intake period, the status will be assigned based on the COMPAS risk and needs assessment process. Agents trained in the use of the STATIC-99R should use this instrument to guide supervision levels along with professional discretion regarding dynamic risk factors. Approval of the Regional Chief or Assistant Regional Chief is required to classify sex offenders as minimum or administrative levels of supervision. Sex offenders incarcerated in a federal prison or prison in another state may be classified at the administrative level; regional approval is not required in these specific cases.

In exceptional cases, a waiver of intake requirements and the INT-SO classification standards during the intake period may be warranted. Criteria for waiving all or a portion of the INT-SO classification and standards are as follows: completion of COMPAS assessment of risk and needs, completion of all activities listed on the [DOC-2084](#) Sex Offender Intake Checklist and approval of Supervisor. Waiver of the INT-SO classification without meeting the above criteria may only be granted with approval of the Regional Chief.



## **Revision #5 -- CHAPTER: SUPERVISION**

### **ECRM > DCC > SUPERVISION > DCC > SUPERVISION PROCESS > SUPERVISION LEVEL REVIEW (SLR) > .04 SUPERVISION LEVEL REVIEW PROCESS**

#### **.04 SUPERVISION LEVEL REVIEW PROCESS**

The agent will complete the SLR located in [COMPAS](#) according to the task due date set in Workload Manager.

In instances where an assessment was never fully completed due to a severe mental health issue or other disability, the agent and supervisor should discuss the case and use their professional judgment as to whether a SLR should be completed.

When completing an SLR, the agent must always include the level in the "screener" area and override reason if applicable. Once the agent enters the screener recommendation, the SLR will appear on the "Supervision Level Assignment" of the "Supervisor Approval" on the supervisor's dashboard. The supervisor must enter the "actual recommendation" to approve or disapprove the agent's recommendation. If there is a change in status, the supervisor must forward the new status assignment to the status keeper for entry. If there is no status change, no notification is necessary.

The agent must then enter the "Supervision Review Reason" as a mandatory field. "Periodic Review" must be entered for all scheduled SLRs at the six month/one year period. For any cases that were staffed with a supervisor due to a violation or negative supervision adjustment and it was determined a SLR would be completed, the agent shall enter "Negative Case Activity." For any cases that were staffed with a supervisor due to positive supervision adjustment and it was determined an SLR would be completed, the agent shall enter "Positive Case Activity."

The agent will next enter the "New Supervision Date" and the "Next Review Date" at the bottom of the Supervision Recommendation page of the SLR. The "New Supervision Date" will be the date that the Actual Supervision level will take effect. The "Next Review Date" should be six months/one year from the date of the SLR unless otherwise approved by a

supervisor. The agent will add this date by entering 180 or 365 in the "Add Days" section adjacent to the "Next Review Date." This step is very important in workload manager as the agent is setting the next SLR due date.

When reviewing the "Actual Supervision Level," supervisors must verify the "Next Review Date" entered by the agent as an incorrect date will affect the next SLR due date. Supervisors should not enter the "Actual Supervision Level" until the next review date is verified.

If the agent agrees with the Supervision Recommendation and enters the corresponding Screener Supervision Level Recommendation, the Actual Supervision Level will auto-populate. When this occurs, the agent can click the "Save and Email" button to create an email in Outlook to notify the status keeper of any status changes. This option is only necessary if the change in Actual Supervision Level will result in a change in status.

The individual will be supervised per standards based on the [COMPAS](#) status assignment. The status should mirror the Actual Supervision level unless policy dictates otherwise.

For Enhanced status cases, a staffing between the agent and supervisor should occur after ninety days to determine the level of supervision. This staffing shall be documented in the General Note, with sub type "DCC Staffing," and should include the level of supervision. A Supervision Level Review should not be completed for this ninety-day staffing period unless there is significant case activity.

Sex offender level of supervision must be reviewed and, if deemed appropriate, can be reclassified by the agent submitting a Sex Offender Reclassification Checklist ([DOC-2065](#)) to the supervisor. Agents will note, "DOC-2065 completed" in the comments section of the Supervision Review screen. This will notify the supervisor that the [DOC-2065](#) has been completed and is waiting for supervisory review and approval prior to entering the "Actual Level of Supervision." The [DOC-2065](#) will only need to be submitted to the status keeper if the agent and supervisor staff to set the individual at the "Intensive Sex Offender" status.

If an individual has been incarcerated during the reporting period and dynamic factors related to adjustment to supervision have not changed, the agent can staff the SLR with the supervisor and enter a staffing note. The supervisor can then direct the status keeper to set the SLR work due date out another six months.

For specialty court cases, a staffing between the agent and supervisor should occur for phase changes unless the phase change was a result of a significant case activity change. This staffing is to determine the level of supervision and shall be documented in the General Notes, with a sub type "DCC Staffing," and include the level of supervision. The status keeper will then be notified if the status changes.

For individuals with suspected history of opioids an Opioid Use History Questionnaire (DOC-2945) shall be completed unless opioid history has been identified and verified through investigations or verifiable sources. If indicated by the [DOC-2945](#) or through previous investigations or verifiable sources, document the individual's opioid history in COMPAS Cautionary Information section. Select the "Alert" checkbox. If it is evident the client has an opioid history, if not previously addressed, the agent shall provide the client with literature or resources concerning Medication Assisted Treatment (MAT). If the client is interested in MAT, staff the case with a supervisor to discuss referral for services or transfer of case to a designated vivitrol agent in the city/county.

Failure to complete COMPAS Supervision Level Review (SLR) every six months will result in the case remaining at the current classification until completed. Overdue work will continue to be reflected in the task list. The supervisor will review this list regularly and address any overdue work with the agent, including ensuring the SLR is completed. **If the agent is unable to complete the SLR by the due date for good cause, the agent needs to obtain supervisor approval for an extension. Examples of situations which may warrant a supervisor extension include but are not limited to, agent workload and client availability. The approval then needs to be documented in the COMPAS notes. The supervisor can then direct the status keeper to set the SLR work due date accordingly.**

## **Revision #6 -- CHAPTER: SUPERVISION**

### **ECRM > SUPERVISION > DCC > SUPERVISION PROCESS > DCC SUPERVISION – ACCESSING CLIENT PROGRAMS AND SERVICES > PURCHASE OF OFFENDER GOODS AND SERVICES > .04 SERVICE MONITORING**

#### **.04 SERVICE MONITORING**

The agent is responsible for monitoring that the clients' services or goods have been received. Program providers are required to submit written reports concerning the services rendered. Regional POGS PPA, or designee will review that services are provided as required **per the DOC contract with the provider**. At 30-day intervals, the agent will verify that the correctional clients received ongoing services and assess whether case plan objectives are being achieved. The verification and review should be documented in the case notes.

Regional POGS PPA **must utilize the [DOC-4057](#) to create and maintain contract logs for each contract they administer. Contract Log must be kept for every good or service requiring a purchase order. Contract Logs will be stored electronically in a place easily accessible to the Contract Administrator and their direct supervisor. All significant contacts, including correspondence, should be documented. The Contract Log will be filed electronically at the end of each fiscal year contract term. Contract logs will be audited quarterly by the Contract Specialists-Adv and POGS Administrator.**