

SUPERVISION\DCC\SUPERVISION PROCESS\CASE FILE SETUP

CASE FILE SETUP

.01 ELECTRONIC CASE FILES

- If case is active in the ECF, none of the information below applies. Please begin and place new documents in OnBase for these files.
- Organization within these files will be maintained by saving documents using the appropriate document types. See Electronic Case File Training Manual page for tools to assist with determining the appropriate document type.

.02 CASE FOLDERS

A file folder is prepared for each case. On the left- side of the tab, at the top of the folder, the offender's name should be typed with the last name first in capital letters, followed by the first name or initials, as shown on the court order. The offender number should be included on the label. The termination number, when applicable, is noted on the label.

Field case files for all Special Bulletin Notification (SBN) offenders are required to have a label placed prominently on the front of the file which reads, "This Offender is required to comply with the Face-to-Face Contact requirements of the Sex Offender Notification Law. Any address change requires Law Enforcement Notification."

.03 CASE FILE MAILING

The original copy of any document or file that is the sole copy can be transported via a DCC staff person, or mailed first class and must include a tracking number.

.04 CLOSED CASES

Upon receipt of the Notice of Case Status Change, the T-number (termination number) should be placed on the label of the case file. The file is then filed in numerical order according to the assigned T-number.

If a case later becomes active, pertinent information can be retrieved from the T-file; however, new case file information should not be placed in the closed file. The T-file will be returned within 60 days to the originating office. If more than 60 days is needed, approval must be granted by the originating office Program Support Supervisor or designee.

At the time of termination, the case file should be reviewed and the following examples of documents must be removed.

Examples:

- Print-outs of COMPAS, WICS and ICOTS documents or screen shots
 - Retain original signed Interstate Compact Application Form
- GPS points/printed reports from BI associated with violation
- Email Communication – remove if retained in DOCVault or older than 7 years
 - DOCVault began retaining emails December 2, 2014
 - DOCVault retains all emails for a period of 7 years
 - OLC directs that emails not subject to a legal hold generally be retained for no more than 7 years
- CIBs/Portal/eTime Reports

DHS clients: The client case files for persons revoked and re-institutionalized while on conditional release, conditional transfer, or supervised release will physically remain with DOC. Dual supervised client case files will also remain with DOC.

DOC shall forward DHS client case files (including the t-number) of person who discharged (terminated) from supervision to the DHS Admissions Office at Mendota Mental Health Institution (MMHI).

Mendota Mental Health Institution

ATTN: Admissions Office

301 Troy Drive

Madison, WI 53704

CASE FILE ORGANIZATION

SECTION 1 – CASE ACTIVITY RECORD

The below forms should be included in this assigned section. This is not an all-inclusive list of forms. Official copies of e-forms are kept in the electronic system. Staff should consult their supervisor if they are unsure which section a form/document should be filed in.

- DOC 3 Face Sheet
- DOC 10 Rules of Community Supervision
- DOC 34 Case Transfers
- DOC 44 Administrative Action-Case Transfers
- DOC 48 Discharge Letter/Notifications
- DOC 175 Initial Intake Assessment
- DOC 179 Probation Social Investigation
- DOC 502(506/CMC) Adult Risk & Needs Assessment
- DOC 2084 Sex Offender Intake Checklist
- DOC 2189 Direct Assignment
- DOC 2318 Agreement for Amendment of No Contact Condition/Rule
- DOC 2352 Voter Ineligibility Acknowledgement
- DOC 2354 Prior Record Listing
- DOC 2625 DCC Offender Intake Checklist
- DOC 2625A DCC Offender Probation Subsequent Case Institution Release Checklist
- DOC 2877 Discharge Checklist
- COMPAS Agent and Offender Signed Unified Case Plan and Rules of Supervision
- DDE 5180 Order of Discharge upon Expiration of Commitment, if applicable
- DDE 5614/5615 Conditional Release Rules, if applicable
- Conditions/Supervised Release Rules
- Discharge Certificate
- Status Case Slip
- Chronos: Notes prior to COMPAS Notes

SECTION 2 - COURT DOCUMENTS (Probation/Parole/ES/IS/NGI)

The below forms should be included in this assigned section. This is not an all-inclusive list of forms. Official copies of e-forms are kept in the electronic system. Staff should consult their supervisor if they are unsure which section a form/document should be filed in.

- CR 212 JOC w/Criminal Complaint and Sentencing Minutes

- DOC 31 Restitution Ordered
- DOC 37 Amended JOC(s)
- DOC 101 Extension/Civil Judgment Petition
- DOC 398 Intake Routing Face Sheet (if utilized)
- DOC 2156/2259 Amendment to JOC – CIP/ERP(WSAP)
- DOC 2603 Order for Early Discharge from Probation Pursuant to 973.09(3)(d)
- DOC 2678 Verification of Satisfaction of Probation Conditions for Expungement
- DOC 2678A Notice of Failure to Meet Conditions of Expungement
- CR 204R JOC to County Jail/Fine/Forfeiture after Revocation of Probation
- CR 207A/208B Petition/Order for Civil Judgment
- CR 208A Petition and Stipulation to Waive Appearance and Hearing
- CR 208B Order Extending Probation
- CR 244 Order for PSI
- CR 250/252 Petition to Modify ES Conditions/Order to Modify ES Conditions
- CR 253 Order for Re-confinement after Revocation of Extended Supervision
- CR 258 Petition for Sentence Adjustment/Early Discharge
- DOC 2528 Probation Early Discharge Recommendation
- CR 255/256 Referral due to Geriatric/Terminal; Order for Sentencing Modification
- CR 260 Order Concerning Sentence Adjustment
- CR 236 Judgment and Commitment Sexually Violent Person
- CR 263 Petition for Determination of Eligibility for ERP (WSAP)
- CR 264/265 DOC Approval to File Petition for ERP (WSAP) Eligibility/Order
- CR 275 Order for Placement
- CR 239 Order for Supervised Release
- CR 237 Order Denying Petition for Supervised Release
- CR 238 Order for Supervised Release Plan
- CR 274 Order for Conditional Release Plan
- CR 271 Order of Commitment
- CR 206 Order of Commitment for Treatment
- CR 270 Order for Examination
- ME 911 Order of Commitment, Extension of Commitment, Dismissal
- ME 912 Treatment Condition

- ME 914

Order of Commitment

SECTION 3 – VIOLATION INVESTIGATION DOCUMENTS

The below forms should be included in this assigned section. This is not an all-inclusive list of forms. Official copies of e-forms are kept in the electronic system. Staff should consult their supervisor if they are unsure which section a form/document should be filed in.

- DOC 5/EBRV Violation Report w/ items attached: Police reports, Urinalysis reports, lab reports, statements, etc
- DOC 44 Start and Stop Times
- DOC 58 Apprehension Request
- DOC 58a Apprehension Cancellation
- DOC 95 Violation Warrant
- DOC 96b/186b Order Reinstating Probation/Parole
- DOC 212 Order to Detain
- DOC 213 Cancellation of Order to Detain
- DOC 247 Request for Reinstatement
- DOC 1165 Statement of Items Seized or Damage to Property Searched
- DOC 1305 Statement - DCC
- DOC 1368 Search and Property Obtained
- DOC 1961 Absconder Locator
- DOC 2072 Law Enforcement Contact
- DOC 2221 DOC Home Search Plan
- DOC 2349 DCC Custody Staffing
- DOC 2355 Violation Staffing
- DOC 2419 Order for Sanctions for Extended Supervision Violation and Notification to Offender
- DDE 5177 Statement of Probable Cause & Petition for Revocation of Conditional Release
- DDE 5536 Statement of Probable Cause for Detention
- DDE 5176 Notice of Violation & Receipt
- DDE 5206/5207 Petition for Capias/Order Granting Capias

- DDE 5205 Order to Transport

SECTION 4 – CONFIDENTIAL DOCUMENTS & RELEASE OF INFORMATION

The below forms should be included in this assigned section. This is not an all-inclusive list of forms. Official copies of e-forms are kept in the electronic system. Staff should consult their supervisor if they are unsure which section a form/document should be filed in.

- Pre-Sentence Investigation & all documents and notes obtained or created during PSI process
- DOC 29 Notice of Claim
- DOC 180 Pre-Sentence Investigation Worksheet
- DOC 223a Psychological Report (DCC)
- DOC 1163 Authorization for Disclosure of Non-Health Confidential Information
- DOC 1163a Authorization for Use and Disclosure of Protected Health Information
- DOC 1336 Referral for Services
- DOC 1969 Pharmacological Treatment Program Medical Screen Checklist
- DOC 1970 Pharmacological Treatment Program Field Referral
- DOC 1971 Pharmacological Treatment Program Field Termination Report
- DOC 1972 Pharmacological Notice Treatment Contract, and Waiver
- DOC 2067 Pharmacological Treatment Program Self Report Questionnaire
- DOC 2068 Pharmacological Treatment Informed Consent
- DOC 2134 Pharmacological Treatment Acknowledgement of Interest
- DOC 2157 Voluntary Choice and Waiver
- DOC 2279 Wiser Choice Referral
- DOC 2601 DCC Referral for Mental Health Services
- DOC 2623 Victim Notification/Reply
- DOC 2665 2011 Act 266 Victim Acknowledgement & Data Sheet
- DOC 2665A 2011 Act 266 Petitioner Victim Information
- DOC 2667 2011 Act 266 Risk Assessment Cover Sheet
- DOC 4051 Reasonable Modification – Accommodation Request for Probation, Parole, Extended Supervision
- DOC 4052 Offender Request for Administrative Review of Reasonable Modification Accommodation Request
- PENS Notification
- School Transcripts
- Treatment Group Referral Attendance/Progress Reports/Records

SECTION 5 – MISCELLANEOUS SUPERVISION FORMS

The below forms should be included in this assigned section. This is not an all-inclusive list of forms. Official copies of e-forms are kept in the electronic system. Staff should consult their supervisor if they are unsure which section a form/document should be filed in.

- Interstate Compact Application
- Interstate Compact Forms-Pre-ICOTS
- Notice of Arrival/Departure
- ICOTS Offender Violation Report
- Progress Report
- Compact Action Request
- Case Closure Notice
- DOC 24 Transfer Summary
- DOC 50 Travel Permit
- DOC 56 Application to Purchase/Operate a Motor Vehicle
- DOC 88 Home Visit Waiver
- DOC 127 Offender Request for Administrative Review
- DOC 501 Purchase of Offender Goods and Services
- DOC 550 CCEP Assessment
- DOC 1565 CCEP Referral
- DOC 556 CCEP Employment Report
- DOC 1371 CCEP Rules for Work Experience
- DOC 1031 Media Contact Report
- DOC 1362/a/b EMP enrollment/enhanced/GPS enrollment
- DOC 1363 EMP Schedule
- DOC 1369 Good Faith Effort Documentation
- DOC 1532 Notice to Employer
- DOC 1660/1661 Community Service Alternative to Jail/Referral to CSW crew
- DOC 1793 Job Search Documentation
- DOC 2215/2238 EMP Equipment Found/Lost/Damaged
- DOC 2323 EMP Rules
- DOC 2335 Transport/Assistance Request
- DOC 2367 ICE Notification Request
- DOC 2541 Windows to Work Program Participant Referral
- DOC 2561 Discretionary GPS Request

- DOC 2562 Maximum Discharge Lifetime GPS Requirements
- DOC 2564 Criminal Charges and Replacement Cost of EM Equipment
- DOC 2583 Work Experience Extension
- DOC 2637 Fee Waiver for TOPP
- DOC 2655 CCEP Waiver Authorization
- DOC 2684 DCC STG Affiliation Inquiry
- DOC 2724 CCEP Referral Checklist
- DOC 2749 Interstate Compact Application Fee Action Report
- DOC 2748 Monitoring Equipment Request
- DOC 2756 Interstate Compact Application Fee Letter and Coupon
- DOC 2772 Monitoring Center Violation Report
- DOC 2773 Monitoring Center Enrollment and Total Access
- DOC 2792 GPS Fee Payment Notice – Lifetime Tracking
- DOC 3011 Fee for copies
- DDE 6019 Client Contribution Calculation for Cost of Care

SECTION 6 – MISCELLANEOUS CORRESPONDENCE

The below forms should be included in this assigned section. This is not an all-inclusive list of forms. Official copies of e-forms are kept in the electronic system. Staff should consult their supervisor if they are unsure which section a form/document should be filed in.

- DOC 1043 Facsimile Cover Message with Attachments (Not Confidential)
- DOC 4011 Letterhead documents
- Written Correspondence Sent/Received

SECTION 7 – INSTITUTION DOCUMENTS

The below forms should be included in this assigned section. This is not an all-inclusive list of forms. Official copies of e-forms are kept in the electronic system. Staff should consult their supervisor if they are unsure which section a form/document should be filed in.

- DOC 7e ___ Pre-Release Investigation
- DOC 11 Release Planning Information
- DOC 15 Offender Release Authorization
- DOC 108 Waiver of Time
- DOC 161 Visitor List – Removal or Denial

- DOC 192 Notification of Sentence Data
- DOC 745 Release Plan Information
- DOC 1208 Parole Commission Action
- DOC 2137 Request to Return to Correctional Institution
- DOC 2414 Earned Release Program (ERP) Tracking Checklist

SECTION 8 – REVOCATION DOCUMENTS

The below forms should be included in this assigned section. This is not an all-inclusive list of forms. Official copies of e-forms are kept in the electronic system. Staff should consult their supervisor if they are unsure which section a form/document should be filed in.

- DOC 44 Administrative Action – Revocation Action
- DOC 250 ATR Agreement
- DOC 251 Placement Plan-Alternative to Revocation
- DOC 414 Notice of Violation, Recommended Action & Statement of Hearing Rights
- DOC 414a Notice of Violation and Receipt
- DOC 415 Notice of Preliminary Hearing
- DOC 416 Revocation Information Request
- DOC 424 Claim for Witness Fee
- DOC 429 Revocation Hearing Request
- DOC 1304 Subpoena
- DOC 1950 Violation/Revocation Summary
- DOC 1221 Revocation Order and Warrant
- DOC 2132 Reincarceration Time Recommendation Worksheet
- Preliminary Hearing Decisions
- Final Revocation Hearing Decisions
- CR 276 Order on Petition to Revoke Conditional Release
- ME 901 Statement of Emergency Detention-Law Enforcement

SECTION 9 – REPORT FORMS

The below forms should be included in this assigned section. This is not an all-inclusive list of forms. Official copies of e-forms are kept in the electronic system. Staff should consult their supervisor if they are unsure which section a form/document should be filed in.

- DOC 8 Offender Report Form (Enter into COMPAS Notes as Official Record - Retain paper form in paper file for non-sex offenders until termination)

SECTION 10 – SEX OFFENDER DOCUMENTS

The below forms should be included in this assigned section. This is not an all-inclusive list of forms. Official copies of e-forms are kept in the electronic system. Staff should consult their supervisor if they are unsure which section a form/document should be filed in.

- DOC 3 Face Sheet -Law Enforcement & DNA
- DOC 1423 Sex Offender Program Report
- DOC 1577/a Sex Offender Assessment Report/Risk Assessment
- DOC 1748 Sex Offender Release Special Bulletin Notification
- DOC 1759 Sex Offender Registration Form
- DOC 1790 Special Bulletin Notification-supplement
- DOC 1806 Notice of Polygraph Requirement
- DOC 1867 Sex Offender Disclosure Questionnaire
- DOC 1872 Lie Detector Fee Schedule/Payment Deferral
- DOC 1873 Offender Notification Required Lie Detector Test
- DOC 2065 Reclassification Worksheet
- DOC 2110 Sex Offender Residence Assessment
- DOC 2129 Sex Offender Activity Request
- DOC 2143 SBN Release Plan
- DOC 2261 Employment Assessment
- DOC 2220 Polygraph Referral
- DOC 2247 Sex Offender Registration Non-Compliance Investigation
- DOC 2287 Sex Offender Registrant Information/Home Visit
- DOC 2435 GPS Tracking Screening
- DOC 2559 Chaperone Agreement
- DOC 2652 Sex Offender Evaluation Report – DCC

- DOC 2703 Notice of WI State Stat 301.475 Sex Offender on School Premises
- DOC 2705 Sex Offender Registry Update

SECTION 11 – OFFENDER FINANCIAL INFORMATION

The below forms should be included in this assigned section. This is not an all-inclusive list of forms. Official copies of e-forms are kept in the electronic system. Staff should consult their supervisor if they are unsure which section a form/document should be filed in.

- DOC 32 Disbursement Order
- DOC 148 Wage Assignment
- DOC 150 Payment Ledger (if exists)
- DOC 1682 Supervision Fee Action Report
- Court obligation receipts and yellow copy of Supervision Fee Payment Agreement filed in an envelope and attached to inside back cover of file folder.