

.02 Case Opening

To prepare for supervision and the first meeting with an agent, all offenders shall receive an orientation packet upon being placed on supervision. The orientation packet shall, at a minimum, include an offender 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 Offender Case File; a copy is stored in Locator in the PSI Revocation Prior Record folder under the Documents tab. The naming convention used for the Prior Record Listing DOC-2354 will be **2354_DOC#(MMDDYY)**. For the date in parentheses, use the date saved to Locator. When the DOC-2354 is updated due to new information or the offender returns to supervision on a subsequent case, the agent will access the copy of the DOC-2354 in Locator and review the copy for accuracy. The agent will add new arrests and convictions and save the updated DOC-2354 in Locator as a Word document, using the naming convention. The official copy is printed and kept in the offender 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 offender.
- 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 offender of reporting requirements.

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- Explain the offender complaint process to the offender, and explain how the offender can access the Request for Administrative Review ([DOC-127](#)).
- Review the status of court-ordered financial obligations.
- Inform the offender 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 offender 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 offender'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 offender 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 offender 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 offender'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 offender'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 Offender Checklist](#).

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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. 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 Core 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 Core 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 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.

.03 Risk Reduction Supervision

1. In addition to the items listed on the [DOC-2625](#), agents will begin the process of building professional alliance during the intake period. The foundation of building rapport begins at the first appointment by clarifying to the offender the agent's dual role during the course of supervision and by clearly outlining expectations of supervision. As a first step in risk reduction, agents and offenders will work collaboratively to identify personal strengths and meaningful rewards. Various tools and resources exist to engage the offender in the supervision process and will be used in this process. Take home assignments and in-office skill practice is an expectation of supervision for offenders classified at medium or higher level of supervision.

Following completion of the COMPAS assessment, agents will share the assessment results with the offender as the second step in risk reduction. Agents will begin discussions on identified criminogenic needs. Assessment results may also identify areas of strengths, particularly in areas where criminogenic needs are absent.

The third step of risk reduction is to identify one or two case plan goals. At least one of these goals should be a highly influential criminogenic need, preferably the driver; one may be an acute stabilization or responsivity issue; mental health or housing for example or a second highly influential need. During this step, offenders will complete the Driver Worksheet ([Print Version](#), [Fill Version](#)) to explore prior problem situations. The agent and offender will review the responses of Driver Worksheet ([Print Version](#), [Fill Version](#)), the circumstances of the current offense along with the needs identified by the COMPAS assessment, to identify the most influential criminogenic need. As noted, a variety of tools and resources can be used in addition to the Driver Worksheet in preparation for case plan development.

The rules of supervision shall be utilized to outline supervision expectations for offenders who are assessed as low risk and are supervised at minimum. In these cases, agents should employ supervision strategies that support stabilization factors, strengthen connections to community resources and align with court ordered conditions.

In most cases, the first three steps in risk reduction will be accomplished between four and eight appointments over the course of the 60 day intake period. There may be unique case circumstances which may interfere with conducting one or more of the first three steps during the intake period; examples may include responsivity factors, resistance or noncompliance, or lengthy periods of jail condition time. In these situations, agents should consult with their supervisor to discuss case management strategies and record anticipated plans in a staffing note.

COMPAS notes will reflect any updates of court ordered conditions and rule compliance, such as residence, employment status or AODA use; however each note shall also document review of take-home assignments, in-session skill practice and new homework assignments. See Offender Contact Standards.

INTAKE AFTER PSI

If a PSI has been completed on a new offender, the offender will be in COMPAS and will have a case that was created specifically for the PSI. The offender will be given a status of Intake After PSI. An assessment will have been completed, however the agent will need to copy forward the assessment into a new assessment and change the reason for the assessment to DCC-Intake.

The case used for the PSI will be reused, and all remaining items listed on the 2625 will need to be completed to remove the "2625 Due" task.

This does not apply to offenders on supervision who have had a PSI completed and have a new case added and does not apply to offenders who have NGI, or OWI 2/3 cases, or are supervised as sex offenders. Please see respective chapters for Intake process.

PARTIAL INTAKE

A partial intake will be set for an offender for the following reasons:

- Offender on supervision receives new case

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- Offender returning to supervision less than 1 year after last COMPAS-R Assessment

In these instances, the agent will need to complete all items listed under the Partial Probation area of the 2625A.

NGI, Sex offenders and OWI 2/3 cases do not follow this intake process. Please refer to the respective areas in the ECRM.