

## ORDER OF THE DEPARTMENT OF CORRECTIONS

CR 10-126

### INTRODUCTORY CLAUSE

The Wisconsin Department of Corrections proposes an order to repeal and recreate ch. DOC 328, relating to offender field supervision, and to amend s. DOC 332.18 (3) (b).

### ANALYSIS PREPARED BY THE DEPARTMENT OF CORRECTIONS

#### RULE SUMMARY

**A. Statutes interpreted:** ss. 165.76, 301.001, 301.03, 301.45, 301.46, 302.11, 302.113, 302.114, 302.14, 302.19, 302.31, 302.335, 304.06 (3), 304.072, 304.074, 304.075, 304.12, 304.13, 304.135, 304.137, 304.14, 939.615, 941.29, 961.47, 971.17, 972.15, 973.01, 973.04, 973.06, 973.07, 973.08, 973.09, 973.10, 973.155, 973.20, Stats., and chapters 950 and 980, Stats.

**B. Statutory Authority to Promulgate the Rule:** ss. 227.11 (2), 301.03 (3), 304.074, 304.16 (1) (b) 1., and 973.01 (4m), Stats.

**C. Explanation of agency authority:**

The department of corrections is responsible for the supervision in the community of persons who have been convicted of a crime and placed on probation or released from prison to parole or extended supervision.

**D. Related statute or rule:**

Ch. DOC 331 (probation, parole, and extended supervision revocation procedure)

**E. Plain Language Analysis:**

The rule:

1. Retitles the chapter to Community Supervision of Offenders to recognize that the division may have responsibility for supervising any person regardless of age, who is in the adult correctional system.
2. Reorganizes and renumbers the rule.
3. Updates terminology to include references to extended supervision.
4. Recognizes the department's initiatives towards reentry of inmates into the community in its purpose statement.
5. Eliminates the following definitions: absconding, administrative supervision, client, compact administrator, compact coordinator, compact specialist, field staff or staff, field supervision, high risk supervision, minimum supervision, monitoring, physical custody, referral, TIME system, and transfer,.

6. Modifies the following definitions: collateral, conditions, discharge, division, extension, intoxicating substance, offender, region, regional chief, reporting, rules, supervisor, and working day.
7. Creates the following definitions: abscond, advocate, alternative to revocation, bodily harm, body contents search, commitment term or term, community supervision or supervision, contraband, deadly force, extended supervision, financial resources, force, great bodily harm, hearing examiner, incapacitating agent, nondeadly force, pat-down, personal search, school, supervision fees, and tolled time.
8. Updates the recitation of responsibilities of the agent and the offender during the period of community supervision.
9. Removes the rule provision which set forth the minimum contact requirements for maximum, medium, and minimum offenders and the provision for reassessment.
10. Removes the provision in this chapter which stated the possible consequences for a violation of the rules or conditions of supervision.
11. Removes the rule provisions which addressed administrative or minimum supervision of an offender by a vendor. (Section 304.073, Stats., which provided for vendor supervision, was repealed by 2003 Wis. Act 33.)
12. Consolidates the rule provisions concerning payment of supervision fees by an offender.
13. Clarifies the provision concerning an offender's failure to pay his or her financial obligations, whether they are court ordered or a consequence of supervision.
14. Clarifies the provision governing temporary travel out of the state of WI.
15. Removes the provision which addressed intrastate transfer.
16. Simplifies the provision which addressed interstate transfer.
17. Simplifies the provision concerning the department's authority to purchase goods or services for an offender.
18. Renames the complaint process to an administrative review process. Removes the timeframes for offenders filing requests for review and the timeframes for responding to the requests for review.
19. Clarifies the provision which addresses an offender's voluntary return to an institution.
20. Removes the provision which addressed ethics, fraternization, gifts and gratuities.
21. Clarifies the provision addressing contraband.
22. Removes the provision which addressed use of non-prescription controlled substances (medication and alcohol).
23. Simplifies the provision which addresses discharge from supervision.
24. Creates a new provision to address early discharge.
25. Clarifies the provisions which address use of force, mechanical restraints, and incapacitating agents.
26. Creates a new section on the use of firearms or other weapons.
27. Clarifies the provision which addresses search and seizure.
28. Creates a provision to address tolled time.
29. Creates a provision to address reinstatement of supervision.
30. Removes the provision of transporting offenders in custody.
31. Removes the provisions which addressed presentence investigation reports and recordkeeping.

32. Creates a provision which permits the department to conduct an administrative hearing to determine if an offender should be required to comply with prescribed psychotropic medications as part of his or her supervision. The provision provides for an annual review of the decision.
33. Repeals chapter DOC 328 Appendix.
34. Amends s. DOC 332.18 (3) (b) to correct the ch. DOC 328 reference. The citation reference was changed from s. DOC 328.04 (3) (f) to s. DOC 328. 04 (3) (h) to reflect new numbering.

**F. Summary of and Comparison with Existing or Proposed Federal Regulations that are intended to address the activities to be regulated by the proposed rule:**

There are no federal regulations that regulate the activities addressed by the proposed rule.

**G. Comparison of similar rules in adjacent states:**

**1. Illinois**

Definitions: Chapter 20 of the Illinois Administrative Code uses the terms “probation” and “parole,” while Wisconsin’s DOC 328 employs the broader term “community supervision” to encompass “the control and management of offenders on probation, parole, extended supervision or other statuses as authorized by court order or statute.”

Supervision Procedures: The Illinois Prisoner Review Board handles orders of parole, conditions of parole, statutory parole, and mandatory release. Chapter 20 states that the Board will not find an offender eligible for parole if 1) there is a substantial risk that he will not conform to reasonable conditions of parole, 2) his release at that time would depreciate the seriousness of his offense or promote disrespect for the law, or 3) his release would have a substantially adverse effect on institutional discipline. DOC 328 does not include general considerations for parole eligibility, but simply states that after the inmate and institution staff have prepared a proposed release plan, the responsible parole agent will investigate the plan, comment on its appropriateness, and suggest modifications if necessary.

Unlike the Illinois Administrative Code, DOC 328.07 sets forth a schedule of supervision fees for offenders based on their gross annual income. DOC 328 also includes detailed provisions outlining the criteria for refunds and exemption from supervision fees.

Under 20 Ill. Adm. Code Section 1610.70, an offender or his attorney may initiate a reconsideration of the offender’s release date offer. The reviewing members are authorized, based on the hearing record, to modify or reverse an initial decision if 1) the decision is contrary to law or the guidelines governing decision, 2) the reasons given for the decision do not support it, 3) there is not sufficient factual support in the record for the decision, or 4) the length of the release date is disproportionate to like cases or sentences.

In contrast, DOC 328.13 states that offenders in Wisconsin may request administrative review to challenge any decision affecting an offender except those concerning revocation, custody and detention, denial of use or possession of firearms , special conditions or terms of supervision imposed by a court or earned release review commission, or decisions regarding early discharge from the term of supervision. Prior to initiating a request for administrative review the offender shall attempt to resolve the concern with the agent. If the concern is not resolved, the offender may file a written request for administrative review to the agent's supervisor within a reasonable time. The request and subsequent reviews shall be filed utilizing the department's forms. An offender may request a review of the supervisor's decision by the regional chief within a reasonable time. If the concern is not resolved that juncture, the offender may request a final review by the administrator within a reasonable time.

DOC 328.13 also includes a unique provision stating that the Department of Corrections may authorize temporary out-of-state travel when it is consistent with the purpose and goals of the offender's supervision, applicable interstate compact provisions, and applicable civil commitment provisions. An offender shall request and receive written authorization prior to travel out of the state of Wisconsin. Agent approval is required for travel not to exceed 15 days, and supervisory approval is required for travel exceeding 15 days. An authorization for temporary out of state travel shall specify that the offender is responsible for travel costs, reporting as required, returning to the state at any time upon request. Offenders shall be allowed to travel to foreign countries only as authorized by the sentencing court; or upon verification of official military orders from the US Armed Forces or National Guard.

Moreover, DOC 328.15 allows offenders to request a voluntary return to a correctional facility for a period not to exceed one (1) year. Upon return to the institution, the offender shall remain incarcerated until the agreed release date unless the department determines release is appropriate. During the period of incarceration the agent shall maintain contact with the offender and facilitate a release plan.

Parole Release Hearings: The Illinois Code includes detailed provisions regarding parole release hearings. Under Chapter 20, a Parole Release Panel of at least three members of the Board participates in parole release hearings. During the hearing, at least one member of the panel interviews interview the inmate and hear any witnesses. The decision to grant or deny parole requires the action of a panel of at least three members of the Board, while the decision to release on parole requires the affirmative vote of a simple majority of the voting members. DOC 328 includes no such provision.

Unlike DOC 328, the Illinois Code states that the Parole Board is not bound by strict rules of evidence in the conduct of a parole release hearing and will consider all evidence presented, so long as the evidence is not "cumulative, repetitive or inherently unreliable," and so long as it has some relevance to the parole release decision.

Individuals identified as victims, or members of the families of victims of the crime for which the inmate is receiving parole consideration may appear in person before the Parole Release Panel. Other persons who wish to testify as complaining witnesses shall be permitted to appear unless the presiding member determines that they cannot provide relevant information or that their testimony would be repetitive or cumulative. Individuals who wish to appear on behalf of the inmate, in support of the grant of parole, may do so, unless the presiding member determines that their testimony would be irrelevant, repetitive, or cumulative, or unless the potential witness is barred from the institution by the Department of Corrections.

As in Wisconsin, an inmate in Illinois shall be heard, as required by the Unified Code of Corrections, Ill. Rev. Stat. 1983, Chapter 39, par. 1003, if he chooses.

Following the Conference, the Parole Release Panel will vote on the question of granting or denying parole. When the panel votes to deny parole, a rationale will be prepared by at least one member who states the basis for denial, including the primary factors considered. The inmate shall be provided a copy of the Order and rationale within 21 days after the Parole Release Hearing.

Chapter 20 also includes a provision stating that any inmate convicted of murder or whose minimum sentence is 20 years or more under Chapter 39 of the Illinois Revised Statutes in effect prior to February 1, 1978, the Parole Release Panel submits the case to the entire Board at an en banc hearing, at which time a determination will be made as to whether parole will be granted or denied. In addition, the Chairman or a majority of the members of a panel hearing a case upon which a decision has not been rendered may cause that case to be considered at the next scheduled en banc hearing day. Once a case is designated en banc, it will continue to be considered by the full Board unless the Board determines otherwise.

The Illinois Code does not include any provision that reflects the Wisconsin's detailed parole discharge requirements, or the psychotropic medication hearing procedures outlined in DOC 328.28. The Illinois Code does not provide detailed enforcement rules, as does DOC 328.

## **2. Iowa**

Definitions: The Iowa Administrative Code uses the terms "probation" and "parole." DOC 328 uses the term "community supervision" to encompass "the control and management of offenders on probation, parole, extended supervision or other statuses as authorized by court order or statute."

Supervision Procedures: Pursuant to the Iowa Administrative Code, Section 205-8.1, Iowa's Parole Board evaluates whether there is reasonable probability that an inmate who is eligible for parole or work release can be released without detriment to the community or the inmate. In doing this, the board considers the best interests of society. Section 205-8 states specifically that the board will not grant parole or work release as an award of clemency. DOC 328 does not include these considerations or a mention clemency specifically.

Under IAC 8.2(1), the board will not grant parole to an inmate serving a mandatory minimum sentence. Similarly, the board will not grant work release to an inmate serving a mandatory minimum sentence unless the inmate is within 6 months of completing the mandatory minimum portion of the sentence.

Moreover, the Iowa Administrative Code states specifically that an inmate on patient status will not usually be granted parole or work release. The board may grant parole to an inmate against whom a detainer has been placed by another state. In Iowa, as in Wisconsin, the board may grant parole to another state pursuant to the provisions of the interstate parole and probation compact set forth in Iowa Code chapter 907A.

In contrast to Iowa, DOC 328.07 sets forth a schedule of supervision fees for offenders based on their gross annual income. DOC 328 also includes detailed provisions outlining the criteria for refunds and exemption from supervision fees.

Parole Release Hearings: Unlike DOC 328, 8.6(1) includes detailed provisions regarding parole release hearings. Under this section, the board may review the records of an inmate committed to the custody of the department of corrections and consider the inmate's prospects for parole or work release at any time. The board must notify an inmate only if the inmate is granted parole or work release, except as provided in 8.16(3). The board may interview an inmate committed to the custody of the department of corrections at any time.

Under Iowa law, parole or work release shall be ordered only for the best interest of society and the offender. In order to release an offender on parole, the Board must determine that there is a reasonable probability that the person can be released without detriment to the community or to the person. As in Wisconsin, an offender may be paroled to a place outside of Iowa when the board of parole shall determine it to be to the best interest of the state and the prisoner, under such rules as the board of parole may impose.

Section 8.14(1) provides that parole proceedings shall be open to the public except as otherwise necessary or proper. Under this section, inmates who attend parole proceedings are required to conduct themselves in a manner consistent with decorum appropriate for a participant in a public meeting of a governmental body. The inmate will be given an opportunity to make an independent statement to the panel or board at some point during the parole proceeding. The panel or board may limit this statement in any manner as to topic or time. Under the code, specifically subject to this limitation will be persons who have no realistic grounds to believe a parole will be granted, such as those with mandatory minimum sentences, those serving life terms, or those having served short times relative to the severity of their crimes and length of their sentences.

Unlike Wisconsin, 8.14 includes detailed provisions regarding the conduct of spectators at parole hearings. Under this section, spectators must conduct themselves with decorum, may not participate in the parole proceedings, and the number of spectators will be limited by the number of seats provided. Any activity deemed inappropriate by the panel or institutional staff may result in a request by the panel or institutional staff for the offending party or parties to leave. Warnings for inadvertent or minor misconduct may or may not be given the first time it occurs, and any subsequent offending activity will result in a request to leave. Refusal to leave upon request will result in a request by the panel to have the person or persons removed by the institutional staff.

Similarly, broadcasting, televising, recording and photographing are permitted in the interview room during open sessions of the board or panel, including recesses between sessions if the Department of Corrections permits. However, the panel or board may limit or terminate photographic or electronic media coverage by any or all media participants at any time during the proceedings in the event the panel or board finds that rules in this chapter or additional rules imposed by the institution or department of corrections have been violated. All still photographers and broadcast media personnel are required to be properly attired and maintain decorum appropriate for a public meeting of a governmental body at all times while covering a parole proceeding.

The Iowa Code does not include any provision that reflects the psychotropic medication hearing procedures outlined in DOC 328.28. Similarly, the Iowa Code does not provide detailed enforcement rules for offenders on parole and probation, as does DOC 328, nor does it include specific provisions regarding travel out of state and abroad or voluntary return to an institution. Pursuant to 45.4(2) a parole officer, with supervisory approval, may arrest a parolee when there is probable cause to believe the parolee has violated conditions of parole which may result in parole revocation. The arresting agent may request temporary detention of the parolee in a local detention facility. A parole officer may also proceed without arrest by filing a complaint with the Iowa board of parole pursuant to [Iowa Code section 908.8](#). When a parolee is arrested the agent shall immediately notify the board of parole. Under 45.4(3), upon receipt of information that a parolee has absconded from supervision, preliminary parole violation information shall immediately be filed with a judge, an associate judge, or a magistrate and a warrant for arrest requested. DOC 328 has similar provisions for the arrest and temporary detention of a parolee, outlined in 328.29. However, Wisconsin includes more detailed provisions for such arrests and requirements for the conduct of correctional staff during such arrests.

Discharge from Parole: Pursuant to 20 IAC 205-13.1, an offender released on parole will be discharged when the person's term of parole equals the period of imprisonment specified in the person's sentence, less all time served in confinement. However, discharge from parole may be granted earlier, if appropriate. There are some exceptions: a person convicted of a violation of the Iowa Code section 709.3, 709.4, or 709.8 committed on or with a child, or a person serving a sentence under section 902.12, shall not be discharged from parole until the person's term of parole equals the period of imprisonment specified in the person's sentence, less all time served in confinement.

Wisconsin's discharge requirements differ slightly from Iowa's. Pursuant to DOC 328.16, the Department of Corrections must comply with certain discharge requirements depending on whether the discharged offender is a felon, misdemeanor, or probationer. For felons, the department must issue a certificate of discharge or a certificate of final discharge if the offender has discharged from all felony cases. The offender shall receive a certificate of final discharge under this subdivision shall list the civil rights that have been restored to the offender and the civil rights that have not been restored to the offender. For misdemeanants, the department notify the offender that their period of supervision has expired. For probationers, the department shall notify the sentencing court that the period of probation supervision has expired.

Pursuant to DOC 328.17(1), the Department of Corrections may grant an offender early discharge when there is a reasonable probability that supervision is no longer necessary for the rehabilitation and treatment of the offender and for the protection of the public. In making this determination, the department will consider whether the goals and objectives of supervision have been satisfied, for offenders on probation, the offender has served at least fifty percent of the term of probation, for offenders on parole, the offender has reached their mandatory release date or has been under supervision for two years.

In Wisconsin, an offender on extended supervision is not eligible for early discharge under this section if convicted of any of the following offenses: Class B felony offenses, or violations of s. 940.03, 940.06, 940.11(1), 940.235, 940.302, 940.31(1), 940.32(3), 941.21, 946.465, 948.03(2)(a), 948.40(4)(a), Stats., or offenses against elderly or vulnerable persons as defined in s. 939.22(20d), Stats., offenses related to ethical government, as defined in s. 939.22(20m), Stats., or offenses related to school safety as defined in s. 939.22(20s). Offenders serving a life sentence are eligible for discharge as provided by s. 973.013(2) Stats. The department may not discharge an offender on lifetime supervision under s. 939.615. Notwithstanding these requirements, the department may grant an early discharge if extraordinary circumstances exist.

Under 205 IAC 9.2-9.3, Iowa has a unique certificate of employability program, the goal of which is to maximize the opportunities for rehabilitation and employability of offenders and provide protection of the community while considering the needs of potential employers. Upon the successful completion of the required programming and receipt of a positive recommendation from the Department of Corrections or community-based corrections in the state of Iowa, participants receive certificates of employability. The board will not issue any certificate of employability unless it is satisfied that the person to whom it is to be granted is an eligible offender, the relief to be granted by the certificate is consistent with the employability of the eligible offender and the relief to be is consistent with the public interest.

In Iowa, when an inmate is discharged, paroled, or placed on work release, the warden or superintendent furnishes the inmate, at state expense, appropriate clothing and transportation to the place in this state indicated in the inmate's discharge, parole, or work release plan. Similarly, as provided in section 904.508, the warden or superintendent will provide the inmate, at state expense or through inmate savings, \$100 upon parole release and \$50 upon work release.

### **3. Michigan**

Definitions: Pursuant to Chapter R 791.9901 of the Michigan Administrative Code, "offender" means a person convicted of a felony or misdemeanor. Wisconsin has a more expansive definition of offender: "a person who is committed to the custody of the department for correctional purposes and is under community supervision of the department." Unlike Michigan, Wisconsin's code does not include definitions of probationer, probation agent, or probation plan. Wisconsin has the term "community supervision" which encompasses the control and management of offenders on probation, parole, extended supervision or other statuses as authorized by court order or statute.

Supervision Procedures: Pursuant to R 791.9920, when an offender is placed on probation, the supervising probation agent provides the offender with a copy of the order and informs the offender of the statutory conditions, as well as all of the terms and conditions contained in the order, and the possible consequences of a failure to adhere to the conditions of probation. For the purpose of monitoring the probationer's adjustment while on probation, the probation agent may 1) inquire into the probationer's employment status, including, but not limited to, the probationer's performance on the job, relationships with fellow employees, and relationships with supervisors 2) conduct interviews with probationer, members of the probationer's family, and acquaintances, 3) make other reasonable inquiries to determine whether the objectives of probation are being met. DOC 328.04 includes a similar, but more expansive list of individualized supervision duties, including the responsibility to collect restitution and other court ordered financial obligations, and fees as and to report suspected child abuse cases to the appropriate authorities

In Michigan, if it appears to the probation agent that a modification of the terms or conditions of probation is necessary to achieve the objectives of probation, the agent may petition the sentencing court for a modification of the probation order. The petition must contain a clear statement of the requested modification and the reason for the change. The agent must provide the probationer with a copy of the modified order of probation and shall explain the changes made by the modified order to the probationer.

The Michigan Parole Board considers a variety of factors when deciding if parole is appropriate in a particular case, such as family and community ties, pending charges, and education level. A prisoner being considered for parole shall receive psychological or psychiatric evaluation before the release decision is made if the prisoner has been hospitalized for mental illness within the past two years, has a history of predatory or assaultive sexual offenses, or a history of serious or persistent assaultiveness within the investigation. The board may also consider the prisoner's marital history and prior arrests that did not result in conviction or adjudication of delinquency. However, denial of parole cannot be based solely on either of these factors.

Unlike Michigan, DOC 328.07 sets forth a schedule of supervision fees for offenders based on their gross annual income. DOC 328 also includes detailed provisions outlining the criteria for refunds and exemption from supervision fees.

Parole Release Hearings: Unlike in Wisconsin, parole boards in Michigan are divided into panels comprised of three members each. The boards are charged with making parole release, revocation, and rescission decisions for prisoners serving indeterminate sentences, except for decisions under section 34(4) of Act No. 232 of the Public Acts of 1953, as amended. The decisions specified in this subrule are by a concurrence of the majority of the parole board panel members. Panel decisions are made by a concurrence of the majority of the parole board members.

Unlike Wisconsin, the Michigan Code does not include detailed provisions regarding discharge from parole. Similarly, the Michigan Code does not include any provision that reflects the psychotropic medication hearing procedures outlined in DOC 328.28. The Michigan Code does not provide detailed enforcement rules, as does DOC 328, nor does it include specific provisions regarding travel out of state and abroad or voluntary return to an institution.

#### **4. Minnesota**

Definitions: The Minnesota Administrative Code employs the terms “probation” and “parole,” while Wisconsin uses “community supervision” to encompass the control and management of offenders on probation, parole, extended supervision or other statuses as authorized by court order or statute.

Parole Release Hearings: All needs assessments, programs, and projected release plans must be in writing and the central office file copy must be forwarded to the hearings and release unit for informational purposes. All conditions of parole or supervised release shall be imposed by the executive officer of hearings and release.

Pursuant to the Minnesota Administrative Code, Section 2940.0300, Minnesota established a hearings and release unit to coordinate, monitor, and ensure uniformity and objectivity in the decisions of parole, supervised release, and work release. The commissioner of the unit has delegated to the executive officer of hearings and release the authority to grant parole and work release, to revoke parole, work release, and supervised release, to discharge persons under indeterminate sentences; and to approve the conditions of parole, work release, and supervised release.

Program teams are a unique feature of Minnesota's parole system. Pursuant to Section 2940.0500, each institution has one or more program review teams appointed by the institution superintendent or warden with one member of each team shall be designated as the chair. Program teams perform the following functions with regard to each inmate: 1) develop a needs assessment 2) develop a program plan 3) develop projected release plans 3) develop institutional transfer recommendations 4) develop recommendations for work release and prerelease 4) develop recommendations for work release 5) conduct program plan progress reviews at least once every 12 months 6) modify needs assessment or program plans as required 7) develop conditions of parole or supervised release jointly with the inmate's assigned field agent, and conduct reentry reviews.

Pursuant to 2940.0700, all needs assessments, program, and projected release plans must be in writing and the central office file copy must be forwarded to the hearings and release unit for informational purposes. All conditions of parole or supervised release shall be imposed by the executive officer of hearings and release.

Moreover, 2940.1700 dictates that progress reviews shall be completed annually on all offenders on parole or supervised release status by the supervising agent. Unless the expiration date occurs earlier, offenders on parole status shall be considered for discharge when consistent with public safety.

In Minnesota, the executive officer of hearings has the authority, with the exception of those inmates under life sentences, to grant parole and work release and discharge inmates with indeterminate sentences, approve or modify conditions of parole or supervised release as developed by the program review teams, restructure conditions of parole or supervised release, revoke parole, supervised release, and work release status, issue warrants for the apprehension of parolees, supervised releasees, and work releasees, authorize the extradition of absconders from parole, supervised release, and work release; and issue revocation orders to stop time on parolees, supervised releasees, and work releasees who have absconded and to start the time running on the inmates' sentences.

Unlike Wisconsin, the Minnesota Code does not include detailed provisions regarding discharge from parole. Similarly, the Minnesota Code does not include any provision that reflects the psychotropic medication hearing procedures outlined in DOC 328.28. The Michigan Code does not provide detailed enforcement rules, as does DOC 328, 8, nor does it include specific provisions regarding travel out of state and abroad or voluntary return to an institution.

**H. Summary of the factual data and analytical methodologies that DOC used in support of its determination of the rule's fiscal effect on small businesses under s. 227.114, Stats.:**

The department of corrections has determined that the rule will not have a significant economic impact on a substantial number of small businesses since the rule does not regulate small businesses as that term is defined in s. 227.114, Stats.

**I. Any analysis and supporting documents that DOC used in support of DOC's determination of the proposed rule's effect on small businesses or that was used when the DOC prepared an economic impact report:**

Not applicable.

**J. Effect on small businesses:**

Not applicable.

**K. Agency contact person:**

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**L. Place where comments are to be submitted and deadline for submission:**

Written comments on the proposed rule will be accepted and receive consideration if they are received by Wednesday, December 10, 2010. Written comments should be addressed to: Kathryn R. Anderson, DOC, P.O. Box 7925, Madison, WI 53707-7925, or by email [kathryn.anderson@wisconsin.gov](mailto:kathryn.anderson@wisconsin.gov).

**EFFECTIVE DATE:** This rule shall take effect on the first day of the month following publication in the Wisconsin administrative register as provided in s. 227.22 (2) (intro), Stats.

**FISCAL ESTIMATE:** See attached.

**FINAL REGULATORY FLEXIBILITY ANALYSIS:** The department of corrections has determined that the rule will not have a significant economic impact on a substantial number of small businesses since the rule does not regulate small businesses as that term is defined in s. 227.114., Stats.

**STATEMENT EXPLAINING THE NEED FOR THE PROPOSED RULE:** The rule addresses three primary needs:

1. Repeals and recreates the DOC 328 to update, renumber and reorder for clarity.
2. Brings the rule into conformity with statutory changes relating to extended supervision.
3. Creates a provision which permits the department to conduct an administrative hearing to determine if an offender should be required to comply with prescribed psychotropic medications as part of his or her supervision.

**STATEMENT OF THE BASIS AND PURPOSE OF THE RULE INCLUDING HOW THE RULE ADVANCES RELEVANT STATUTORY GOALS OR PURPOSES**

The department of corrections proposes to make modifications and additions to DOC 328 (Community Supervision of Offenders) for the following purposes:

1. The WI legislature created the concept of bi-furcated sentences with terms of confinement and extended supervision, effective December 31, 1999. Chapter DOC 328 was not changed at the time. The Department seeks to change DOC 328 to better reflect the changes in the law.
2. The Department is seeking revision of DOC 328, which not only reflects changes in law and correctional practice, but also clarifies existing standards. Since the last revision, it became apparent that clarification of many sections was necessary.
3. More details and a listing of significant changes can be found in the Plain Language Analysis Section of this document. (See pages 18 through 20.)

**PUBLIC HEARINGS:**

A. Two public hearings were held on the rule: November 30, 2010 in Milwaukee, WI and November 30, 2010 in Madison, WI. There was no formal testimony received at either of the public hearings.

B. List of persons who appeared or registered for or against the proposed rule at the public hearings:

In person:

Public Hearing held on November 30, 2010 in Milwaukee, WI

There were no appearances.

Public Hearing held on November 30, 2010 in Madison, WI

There were no appearances.

Persons who submitted written comments

There were no comments received from the public.

## **LEGISLATIVE COUNCIL STAFF CLEARINGHOUSE REPORT**

See attached.

### **RESPONSE TO LEGISLATIVE COUNCIL STAFF RECOMMENDATIONS IN THE CLEARINGHOUSE REPORT**

2. Form, Style and Placement in Administrative Code

Comments (a) through (f).

Response: Accepted.

4. Adequacy of References to Related Statutes, Rules and Forms

Comments (a) through (d).

Response: Accepted.

Comment (d): Since all of ch. DOC 328 is being repealed and recreated, references to parts of that chapter in other rule provisions may need to be revised. For example, see s. DOC 332.18 (3) (b).

Response: Accepted. The department of corrections is revising s. DOC 332.18 (3) (b) to correct the reference from s. DOC 328.04 (3) (f) to DOC 328.04 (3) (h).

### **EXPLANATION OF ANY CHANGES THAT HAVE BEEN MADE TO THE PLAIN LANGUAGE ANALYSIS OR THE FISCAL ESTIMATE:**

Changes to the Plain Language Analysis:

1. The rule order also amends s. DOC 332.18 (3) (b) to correct the ch. DOC 328 reference. The citation reference was changed from s. DOC 328.04 (3) (f) to s. DOC 328. 04 (3) (h) to reflect new numbering. (See Plain Language Analysis # 34.)

Changes to the Fiscal Estimate:

There were no changes to the fiscal estimate.

## TEXT OF RULE

SECTION 1. DOC 328 is repealed and recreated to read:

### Chapter DOC 328 COMMUNITY SUPERVISION OF OFFENDERS

#### Subchapter I — General Provisions

- DOC 328.01 Purpose.
- DOC 328.02 Applicability.
- DOC 328.03 Definitions.

#### Subchapter II — Offender under Supervision

- DOC 328.04 Community supervision.
- DOC 328.05 Institution release planning.
- DOC 328.06 Notice to law enforcement of inmate release to supervision.
- DOC 328.07 Supervision fees for offenders supervised by the department.
- DOC 328.08 Financial obligations.
- DOC 328.09 Extension of probation.
- DOC 328.10 Funds and property.
- DOC 328.11 Purchase of goods and services.
- DOC 328.12 Offender administrative review process
- DOC 328.13 Temporary travel.
- DOC 328.14 Interstate transfer.
- DOC 328.15 Voluntary return to a correctional facility.
- DOC 328.16 Discharge.
- DOC 328.17 Early discharge.

#### Subchapter III — Enforcement Options and Related Matters

- DOC 328.18 Use of force.
- DOC 328.19 Mechanical restraints.
- DOC 328.20 Incapacitating agents.
- DOC 328.21 Firearms or other weapons.
- DOC 328.22 Search and seizure; pat-down.
- DOC 328.23 Contraband.
- DOC 328.24 Absconding.
- DOC 328.25 Tolled time.
- DOC 328.26 Reinstatement.
- DOC 328.27 Custody and detention.
- DOC 328.28 Psychotropic medication as a condition of supervision.

#### Subchapter I — General Provisions

**DOC 328.01 Purpose.** The purpose of this chapter is to provide rules, services, and programs for offenders who are under supervision of the department. All of the following specific goals and objectives assist the department in fulfilling this purpose:

(1) To supervise offenders to the extent necessary to meet public, victim, staff, and offender safety responsibilities.

(2) To assist in providing opportunities to achieve the critical success factors of residence, employment, appropriate treatment and general stability in the living situation.

(3) To assist in providing access to community-based programs for offenders on community supervision.

(4) To establish necessary guidelines, procedures, and controls to maintain program, staff, and fiscal accountability and to promote program efficiency and effectiveness.

(5) To cooperate with other agencies and communities in activities for the purpose of prevention of crime and victimization.

(6) To protect the health, rights and dignity of all offenders involved in the department's programs and activities.

**DOC 328.02 Applicability.** This chapter applies to the department and to offenders under the division's custody and supervision for correctional purposes. It implements ss. 165.76, 301.001, 301.03, 301.45, 301.46, 302.11, 302.113, 302.114, 302.14, 302.19, 302.31, 302.335, 304.06 (3), 304.072, 304.074, 304.075, 304.12, 304.13, 304.135, 304.137, 304.14, 939.615, 941.29, 961.47, 971.17, 972.15, 973.01, 973.04, 973.06, 973.07, 973.08, 973.09, 973.10, 973.125, 973.20, Stats., and chapters 950 and 980, Stats.

**DOC 328.03 Definitions.** In this chapter:

(1) "Abscond" means the failure of an offender to make himself or herself available as directed by the agent.

(2) "Administrator" means the administrator of the division or designee.

(3) "Advocate" means a person who assists in the presentation of the offender's position, is independent, and able to act in an offender's best interest. The advocate may not be a person in the custody or under the supervision of the department or an employee of the department.

(4) "Agent" means an employee of the division who may be assigned the responsibilities under this chapter.

(5) "Alternative to revocation" means placement in a program or imposition of a sanction in lieu of revocation.

(6) "Bodily harm" means physical pain or injury, illness, or any impairment of physical condition.

(7) "Body contents search" means a search in which the offender is required to provide a biological specimen, including but not limited to a sample of urine, breath, blood, stool, hair, fingernails, saliva, semen, or other identifying physical material.

(8) "Collateral" means any person who has contact with or information about an offender.

(9) "Commitment term" or "term" means that period of time during which the offender is subject to the control and supervision of the department.

(10) "Community supervision" or "supervision" means the control and management of offenders on probation, parole, extended supervision or other statuses as authorized by court order or statute.

(11) "Conditions" means specific regulations imposed on the offender by the court or earned release review commission.

(12) "Contacts" means communications between an agent and an offender or collateral.

- (13)** “Contraband” means any of the following:
- (a) Any item which the offender may not possess under the rules or conditions of the offender’s custody or supervision.
  - (b) Any item whose possession is forbidden by law.
- (14)** “Deadly force” means force which the user reasonably believes will create a substantial risk of causing death or great bodily harm to another.
- (15)** “Department” means the department of corrections.
- (16)** “Discharge” means the completion of the term of supervision by an offender.
- (17)** “Division” means the division of community corrections.
- (18)** “Extended supervision” means that portion of a bifurcated sentence that is ordered to be served on community supervision as provided in s. 973.01, Stats.
- (19)** “Extension” means the continuation by the sentencing court of supervision beyond the current discharge date.
- (20)** “Financial resources” of an offender means any income or assets from any source under the offender’s sole or joint control.
- (21)** “Force” means the exercise of strength or power to overcome resistance or to compel another to act or to refrain from acting in a particular way. It includes the use of mechanical or physical power or strength.
- (22)** “Great bodily harm” means bodily injury which creates a substantial risk of death, or which causes serious permanent disfigurement, or which causes a permanent or protracted loss or impairment of the function of any bodily member or organ or other serious bodily injury.
- (23)** “Hearing examiner” means a person appointed to preside over a hearing to determine whether the department may impose a condition of supervision requiring compliance with prescribed psychotropic medication. The hearing examiner may not currently be involved in the offender’s treatment, diagnosis, or supervision, or the direct supervisor of the agent or psychiatrist treating the offender.
- (24)** “Incapacitating agent” means any product or device commercially manufactured for the purpose of temporary control of an offender.
- (25)** “Interstate compact” means an agreement between Wisconsin and another state in the United States or territory of the United States, which provides the means for community supervision of offenders between states as authorized under ss. 304.13, 304.135, 304.14 and 304.16, Stats.
- (26)** “Intoxicating substance” means anything which if taken into the body may alter or impair normal mental or physical functions.
- (27)** “Non-deadly force” means force which the user reasonably believes will not create a substantial risk of causing death or great bodily harm to another.
- (28)** “Offender” means a person who is committed to the custody of the department for correctional purposes and is under community supervision of the division.
- (29)** “Pat-down” means a frisk of the offender’s body outside the clothing.
- (30)** “Personal search” means a search of an offender’s person, including but not limited to the offender’s pockets, an examination of the offender’s shoes, hat and other clothing, and a visual inspection inside the offender’s mouth.
- (31)** “Region” means a subunit of the division.
- (32)** “Regional chief” means an employee or designee of the division responsible for the administration of a region.
- (33)** “Reporting” means a contact between an agent and offender determined by the rules or conditions of supervision.

**(34)** “Revocation” means the removal of an offender from community supervision in accordance with ch. DOC 331 and HA 2.

**(35)** “Rules” means departmental regulations applicable to a specific offender under supervision.

**(36)** “School” means a public school under s. 115.01 (1), Stats., a charter school as defined in s. 115.001 (1), Stats., or a private school as defined in s. 115.001 (3r), Stats.

**(37)** “Secretary” means the secretary of the department or designee.

**(38)** “Supervision fees” means financial obligations imposed on offenders pursuant to s. 304.073 and 304.074, Stats.

**(39)** “Supervisor” means an employee of the division responsible for the oversight and management of staff involved in direct supervision of offenders.

**(40)** “Tolled time” means the period of time between the date of an offender’s violation and the date the offender’s supervision is reinstated or revoked.

**(41)** “Waiver” means the written relinquishment of known rights by an offender.

**(42)** “Working day” means each day, except Saturday, Sunday, and holidays designated in s. 230.35 (4) (a), Stats.

## **Subchapter II — Offender under Supervision**

**DOC 328.04 Community supervision.** **(1)** Division employees are to provide individualized supervision of offenders in a manner consistent with the goals and objectives of this chapter.

**(2)** When an offender is placed on supervision, an agent’s duties shall include all of the following:

(a) Obtain information necessary for appropriate supervision of the offender.

(b) Evaluate the offender’s needs and risk to re-offend.

(c) Determine the short-term and long-term goals and overall objectives of the offender’s supervision.

(d) Establish rules and explain and provide the offender with a copy of the rules and conditions.

(e) Inform the offender of the possible consequences of not abiding by the rules and conditions.

(f) Cooperate with and assist the district attorney who is responsible for determining restitution.

(g) Inform the offender of the administrative review process under s. DOC 328.12.

(h) Inform the offender of applicable state and local law enforcement registration requirements.

(i) Monitor the offender’s compliance with the conditions and rules.

(j) Maintain complete and accurate case records for each offender.

(k) Supervise persons committed under s. 971.17, and ch. 980, Stats., in accordance with the agreement between the department and the department of health services.

(l) Report suspected child abuse cases to the appropriate authorities.

(m) Report to a supervisor as directed on the status of the offender.

(n) Report all violations of the criminal law by the offender to a supervisor and if appropriate, to law enforcement.

(o) Conduct investigations and prepare institution release plans in accordance with s. DOC 328.05.

(p) Collect restitution and other court ordered financial obligations, and fees as authorized by statute.

(q) Inform the offender of the process to petition for termination of lifetime supervision under s. 939.615 (6), Stats., if applicable.

**(3)** Standard rules require that the offender shall comply with all of the following:

(a) Avoid all conduct which is in violation of federal or state statute, municipal or county ordinances, or tribal law.

(b) Avoid all conduct which is not in the best interest of the public welfare or the offender's rehabilitation.

(c) Report all arrests or police contacts to an agent within 72 hours.

(d) Make every effort to accept opportunities and counseling offered by the department. This includes authorizing the exchange of information between the department and any court ordered or agent directed program and subsequent disclosure to any parties deemed necessary by the agent to achieve the purposes of this chapter and ch. DOC 331.

(e) Inform the agent of whereabouts and activities as directed.

(f) Submit a written offender report and any other relevant information as may be required.

(g) Submit to searches ordered by the agent under s. DOC 328.22.

(h) Obtain permission from an agent prior to changing residence or employment. In the case of an emergency, notify the agent of the change within 72 hours.

(i) Obtain permission and a travel permit from an agent before leaving the state.

(j) Obtain permission from an agent prior to the purchase, trade, sale, or operation of a motor vehicle.

(k) Obtain permission from an agent prior to borrowing money or purchasing on credit.

(l) Pay court ordered financial obligations and other fees as required.

(m) Obtain permission from an agent prior to purchasing, possessing, owning or carrying a firearm or other weapon, including incapacitating agents. An offender may not be granted permission to possess a firearm if prohibited under federal or state law.

(n) Shall not vote in any federal, state, county, municipal, or school board election held in Wisconsin while on supervision for a felony conviction.

(o) Abide by all rules of any detention or correctional facility.

(p) Provide true and correct information verbally and in writing as required by the department.

(q) Report to an agent as directed.

(r) Submit a biological specimen for testing when ordered by a court or under s. 165.76, Stats.

(s) Comply with any additional rules that may be established by an agent. The rules may be modified at any time as appropriate.

**DOC 328.05 Institution release planning.** After the inmate and institution staff have prepared a proposed release plan, the agent shall investigate the plan, comment as to its appropriateness, and suggest modifications if necessary. The plan must address any court-ordered conditions or conditions of release.

**DOC 328.06 Notice to law enforcement of inmate release to supervision.** Before releasing an inmate to supervision, the department shall notify the municipal police department and the county sheriff in the area where the individual will reside.

**DOC 328.07 Supervision fees. (1) SUPERVISION FEE.** An offender shall pay a supervision fee.

**(2) ESTABLISHMENT OF FEE.** (a) The department shall set a monthly supervision fee for an offender based on the following table:

**Table DOC 328.07**

Category	Gross Monthly Income	Monthly Supervision Fee	
I	\$0- 799.99	\$20.00	
II	\$800.00- 1,499.99	40.00	
III	\$1,500.00 or more	\$60.00	

(b) The department shall adjust the supervision fees in Table DOC 328.07 every 5 years by multiplying each fee by the percentage increase of the Consumer Price Index, as defined in s. 16.004 (8) (e) 1., Stats., from January 1, 2012 to January 1, 2017 and every 5 years thereafter and adding that amount to each fee, rounded to the nearest \$ 5.00 increment. If the Consumer Price Index reflects a percentage decrease, the supervision fees will not be reduced but remain the same.

(c) The department shall publish adjustments to Table DOC 328.07 in the Wisconsin administrative register.

**(3) AGENT ACTION.** The assigned agent shall:

- (a) Establish the offender's supervision fee payment.
- (b) Provide the offender with a copy of the fee schedule.
- (c) If sub. (5) is applicable, exempt the offender from paying the supervision fee.

**(4) REPORTING AND VERIFICATION OF SUPERVISION FEE.** The department shall do all of the following:

- (a) Record all supervision fees paid by the offender.
- (b) Provide the offender access to a copy of the record of payments to verify receipt of payment.

**(5) EXEMPTIONS.**

(a) Except as provided under par. (b), the department may exempt supervision fees if an offender meets one or more of the following conditions:

1. The offender has used all reasonable and appropriate means to obtain employment as determined by the offender's agent, but has been unable to obtain employment which provides the offender sufficient income to pay supervision fees.
2. The offender is a student enrolled in a full-time course of instruction. For the purpose of this subdivision, a "full-time course of instruction" means enrolled in an accredited course of instruction and registered for more than 9 credits in post secondary education or full-time high school or full-time junior high school. The offender shall provide a release of information to verify enrollment and registration of credits. If the offender fails to provide the release of information, no exemption may be given.
3. The offender is undergoing psychological, chemical or medical treatment consistent with the supervision plan and is unable to be employed. The offender shall provide a release of information to verify participation.
4. The offender has a statement from a licensed health care provider excusing the offender from work for a medical reason and the offender is unable to be employed because of the medical reason.

(b) An offender shall not receive an exemption if the department determines that the offender has the ability to pay despite his or her meeting one or more of the exemption criteria.

(c) The agent shall make a determination concerning an offender's exemption from the supervision fee within 10 working days of receiving an offender for supervision or within 10 working days of a reported change in the offender's financial status.

(d) An offender who is supervised by another state under an interstate compact transfer is not required to pay a supervision fee.

(e) An offender who is serving a sentence in prison and has a concurrent supervision case is not required to pay a supervision fee.

(f) The agent's supervisor shall review all exemptions from payment of the supervision fee.

**(6) REFUNDS OF SUPERVISION FEES.** (a) The department shall refund supervision fees only when the offender has paid in advance for a month that the offender was not under supervision.

(b) The department will not make any refund to an offender for a partial month of supervision.

(c) The department shall apply the refund to restitution ordered by the court or any other outstanding financial obligations required by the department or the court. The department shall refund to the offender the remainder of any unapplied funds.

**DOC 328.08 Financial obligations.** When an offender is required to pay restitution or other financial obligations pursuant to state statute or court order, the following procedures apply:

**(1) ACCEPTANCE AND DISBURSEMENT OF PAYMENT.** The department may at any time accept a payment from or on behalf of an offender, which is made pursuant to state statute or court order. The department shall transmit the payment to the department cashier for deposit in the offender's account. The cashier shall disburse funds from the account in accordance with the court order or state statute.

**(2) UNPAID FINANCIAL OBLIGATIONS.** (a) For offenders who have not paid court ordered obligations, the department will provide notification to the sentencing court, district attorney, and victim at least 90 days prior to discharge.

(b) If the department determines that the offender has made a good faith effort to pay ordered obligations, the department shall recommend the court order the restitution due be entered as a civil judgment in favor of the victims.

(c) When the department determines that an offender who is on probation has not made a good faith effort to pay the ordered obligations, the department may recommend that the court extend the term of probation and modify any condition or recommend that the court enter a civil judgment in favor of the victims. The department shall inform the offender of his or her rights to a hearing and waiver under s. DOC 328.09 (2) and (3).

**DOC 328.09 Extension of probation. (1) DEPARTMENT RECOMMENDATION.** The department may recommend that a court extend the probation period under s. 973.09 (3) (a), Stats.

**(2) HEARING.** If the department recommends extension of an offender's probation, the department shall notify the offender of the recommendation and the right to a court hearing.

**(3) WAIVER.** An offender may knowingly and voluntarily waive the hearing in writing. The waiver shall state that:

- (a) The offender has read the notice, or has had it communicated to him or her, and understands the notice under this section.
- (b) The offender acknowledges that there is good cause for the extension.
- (c) The offender consents to an extension of the supervision for the specific period of time stated in the notice.
- (d) The offender was notified of the right to consult with an attorney before signing the waiver.

**DOC 328.10 Funds and property. (1) DISCLOSURE OF FINANCIAL INFORMATION.** An agent may require the offender to disclose all financial information, including tax returns, financial institution account statements, and wage information, to assist in the management of the offender's financial resources.

**(2) MONITORING OF OFFENDER FINANCIAL OBLIGATIONS.** Receipting, remitting, and auditing of offender financial obligations shall be done in a manner consistent with department policies.

**(3) VOLUNTARY WAGE ASSIGNMENT.** An agent may initiate a voluntary wage assignment against an offender's wages in order to assure collection of court ordered financial obligations and other fees. If married, the offender's spouse must also consent to the wage assignment.

**(4) EMERGENCY LOANS.** The department may establish a revolving fund to provide emergency loans to offenders for the purchase of basic living necessities.

**(5) OFFENDER PROPERTY.** Agents shall not receive or store any property for an offender except as provided under s. DOC 328.23.

**(6) MANAGEMENT OF OFFENDER'S FINANCIAL RESOURCES.** (a) An agent may assist in the management and disbursement of the financial resources of an offender if one of the following factors applies:

- 1. The offender requests assistance.
- 2. The agent believes that management is necessary to control the offender's funds.
- 3. The agent believes that management is necessary to ensure compliance with the offender's existing restitution orders, and other financial obligations, including payment of supervision or monitoring fees under ss. DOC 328.07, 332.18, 332.19, and 332.20.

(b) When an agent manages funds under this section, the agent shall document all actions under this section as required by the department, including the reason the offender's money is being managed.

(c) Management of the funds may be done only through a bank account in the offender's name. All financial resources of an offender managed by an agent shall be deposited directly into the offender's account upon receipt.

**DOC 328.11 Purchase of goods and services.** If an offender requires assistance or materials that cannot reasonably be provided through any other available resource, the department may provide assistance in accordance with s. 301.08, Stats. Approval of the expenditure is necessary before services may be provided.

**DOC 328.12 Offender administrative review process. (1) PURPOSE.** The department shall provide offenders an opportunity for administrative review of certain decisions by allowing offenders to raise concerns regarding their supervision in an orderly manner.

**(2) SCOPE.** An offender may request administrative review to challenge any department decision affecting an offender except a decision concerning:

- (a) Revocation.
- (b) Custody and detention.
- (c) Denial of use or possession of firearms pursuant to federal or state law.
- (d) Special conditions or terms of supervision imposed by a court or the parole commission.
- (e) Decisions regarding early discharge from the term of supervision.

**(3) REQUEST FOR ADMINISTRATIVE REVIEW.** (a) Prior to initiating a request for administrative review, the offender shall attempt to resolve the concern with the agent.

(b) If the concern is not resolved under par (a), the offender may file within a reasonable time a written request for administrative review to the agent's supervisor. The request and subsequent reviews shall be filed utilizing the department's forms.

(c) The offender may request within a reasonable time a review of the supervisor's decision by the regional chief. If the concern is not resolved, the offender may request within a reasonable time a final review by the administrator.

**(4) EFFECT OF REVIEW OF DISPUTED DECISION.** During the administrative review process, the affected parties shall comply with the decision under dispute.

**(5) EXPEDITED REVIEW.** The department may expedite the review process under this section if the concern raised is time sensitive.

**DOC 328.13 Temporary travel.** **(1)** The department may authorize temporary out-of-state travel when it is consistent with the purpose and goals of the offender's supervision, applicable interstate compact provisions, and applicable civil commitment provisions. An offender may travel out of the state of Wisconsin only if he or she has submitted a written request and has received written authorization prior to the requested travel. The division may grant prior authorization for travel out of the state of Wisconsin as follows:

- (a) Agent approval is required for travel not to exceed 15 days.
- (b) Supervisory approval is required for travel exceeding 15 days.
- (c) Travel permits may be used to authorize multiple trips to another state during a specific time period.

**(2)** An authorization for temporary out of state travel shall specify that the offender is responsible for all of the following:

- (a) The costs incurred by the travel.
- (b) Reporting as required.
- (c) Returning to the state upon agent request at any time the offender is out of state.
- (d) Waiving extradition.
- (e) Carrying a travel permit.

**(3)** Offenders shall be allowed to travel to foreign countries only as follows:

- (a) As authorized by the sentencing court.
- (b) Upon verification of official military orders from the US Armed Forces or National Guard.

**DOC 328.14 Interstate transfer.** **(1)** If the department determines that transfer to another jurisdiction is in the best interests of an offender and consistent with the goals of this chapter, an interstate transfer may be initiated.

**(2)** An offender from another state, who has requested supervision and is present in Wisconsin prior to formal acceptance, is subject to the provisions of this chapter.

**(3)** An offender subject to supervision in another state will be accepted for supervision in Wisconsin if one of the following applies:

- (a) The offender meets the criteria established by the applicable interstate compact.
- (b) The department consents.

**DOC 328.15 Voluntary return to a correctional facility.** **(1)** An offender may request a voluntary return to a correctional facility for a period not to exceed one year.

**(2)** The request shall be in writing in a format prescribed by the department.

**(3)** The division shall inform the offender of all of the following:

(a) Upon return to the institution, the offender shall remain incarcerated until the agreed release date unless the department determines earlier release is appropriate.

(b) Offenders who were convicted prior to December 30, 1999, must waive parole consideration, good time, and entitlement to mandatory release.

(c) The department's rules applicable to inmates in correctional facilities shall apply to the offender during the period of incarceration.

**(4)** Upon approval of the request by the regional chief, the division shall forward the request to the administrator of the division of adult institutions for a decision.

**(5)** During the period of incarceration the agent shall maintain contact with the offender and facilitate a release plan.

**DOC 328.16 Discharge.** **(1)** Offenders shall be informed of the individualized objectives and conditions of supervision required for discharge.

**(2)** When supervision has expired, the department shall do all of the following:

(a) For a felon, issue a certificate of discharge or a certificate of final discharge if the offender has discharged from all felony cases. A certificate of final discharge under this subdivision shall list the civil rights that have been restored to the offender and the civil rights that have not been restored to the offender.

(b) For a misdemeanor, notify the offender that his or her period of supervision has expired.

(c) For a probationer, the department shall notify the sentencing court that the period of probation supervision has expired.

**DOC328.17 Early discharge.** **(1)** The department may grant an offender early discharge when there is a reasonable probability that supervision is no longer necessary for the rehabilitation and treatment of the offender and for the protection of the public. The department shall consider all of the following in making its determination:

(a) The goals and objectives of supervision have been satisfied.

(b) For offenders on probation, the offender has served at least fifty percent of the term of probation.

(c) For offenders on parole, the offender has reached his or her mandatory release date or has been under supervision for two years.

(d) For offenders on extended supervision, all of the following shall apply:

1. An offender is not eligible for early discharge under this section if convicted of any of the following offenses: Class B felony offenses, or violations of ss. 940.03, 940.06, 940.11 (1), 940.235, 940.302, 940.31 (1), 940.32 (3), 941.21, 946.465, 948.03 (2) (a), or 948.40 (4) (a), Stats., or offenses against elderly or vulnerable persons as defined in s.

939.22 (20d), Stats., offenses related to ethical government, as defined in s. 939.22 (20m), Stats., or offenses related to school safety as defined in s. 939.22 (20s), Stats.

2. The offender has been supervised for a minimum of two years and the discharge is in the interest of justice.

3. The department shall notify the victim of the offender, as defined under s. 950.02 (4) (a), Stats., of its intent to discharge the offender from extended supervision.

(2) Offenders serving a life sentence are eligible for discharge as provided by s. 973.013 (2), Stats.

(3) The department may not discharge an offender on lifetime supervision under s. 939.615, Stats.

(4) Notwithstanding sub. (1) and (2), the department may grant an early discharge if extraordinary circumstances exist.

### **Subchapter III — Enforcement Options and Related Matters**

**DOC 328.18 Use of force.** Whenever feasible, staff shall rely on law enforcement authorities to exercise force against offenders. When such assistance is not available, staff may use force subject to this section.

(1) Non-deadly force may be used by staff against offenders only if the user of force reasonably believes it is immediately necessary to realize one of the following objectives:

(a) To prevent death or bodily harm to oneself or another.

(b) To prevent unlawful damage to property, including damage that may result in death or bodily harm to oneself or another.

(c) To prevent an offender from fleeing the control of a staff member.

(d) To change the location of an offender.

(2) Staff may use deadly force only to prevent death or great bodily injury to oneself or another.

(3) Staff may not use deadly force if its use creates a substantial danger of harm to innocent third parties, unless the danger created by not using such force is greater than the danger created by using it.

(4) The use of excessive force is forbidden. Only as much force may be used as is reasonably necessary to achieve the objective.

**DOC 328.19 Mechanical restraints.** (1) An employee may use mechanical restraints authorized by the department to restrain an offender only in accordance with the following:

(a) To protect staff or others from an offender who poses an immediate risk of flight or physical injury to others.

(b) To protect an offender who poses an immediate threat of physical injury to self.

(c) To take an offender into custody.

(d) To transport an offender while in custody.

(2) Mechanical restraints may not be used under any of the following circumstances:

(a) As a method of punishment.

(b) In a manner that intentionally causes undue physical discomfort, inflicts physical pain, or restricts the blood circulation or breathing of the offender.

(c) To restrain an offender to a vehicle.

**(3)** Staff shall monitor an offender in restraints at regular intervals until the restraints are removed or custody of the offender is transferred.

**(4)** Offenders should be released from restraints to perform bodily functions and for meals when the removal does not jeopardize safety and security.

**DOC 328.20 Incapacitating agents.** An employee may possess and use only those incapacitating agents and delivery systems approved by the department.

**(1) AUTHORIZED USE OF INCAPACITATING AGENTS.** An employee who is on duty may possess or use incapacitating agents only under the following conditions:

(a) After successfully completing a department approved training program for use of incapacitating agents.

(b) While acting in self-defense or defense of a third person.

**(2) CONTAMINATION RESPONSE.** An employee using incapacitating agents shall provide an exposed person an opportunity for necessary medical attention.

**(3) DOCUMENTATION.** The employee using incapacitating agents shall document its use according to department policy and procedure.

**DOC 328.21 Firearms or other weapons.** No employee of the division may possess or use a firearm or other weapons while on duty, except as permitted under s. DOC 328.23.

**DOC 328.22 Search and seizure; pat-down. (1) GENERAL POLICY.** A search of an offender, the offender's living quarters or property, or seizure of the offender's body contents may be made at any time, but only in accordance with this section. Strip searches or body cavity searches are prohibited. For purposes of this section, the mouth is not a body cavity.

**(2) JUSTIFICATION.** A search or seizure is appropriate and consistent with the goals and objectives of supervision under any of the following circumstances:

(a) When an employee has reasonable grounds to believe the offender possesses contraband or evidence of a rule violation on or within his or her person or property.

(b) With the consent of the offender, when a search or seizure is necessary to verify compliance with the rules.

(c) When ordered by the court.

**(3) REASONABLE GROUNDS.** In deciding whether there are reasonable grounds to believe that an offender has used, possesses or is under the influence of an intoxicating substance, that an offender possesses contraband, or that an offender's living quarters or property contain contraband or evidence of a rule violation, an employee may consider any of the following:

(a) The observations of employees.

(b) Information provided by informants. In evaluating the reliability of the information and the informant, the employee shall consider the following:

1. The detail, consistency, and corroboration of the information provided by the informant.

2. Whether the informant has provided reliable information in the past and whether the informant has reason to provide inaccurate information.

- (c) The activity of the offender.
- (d) Information provided by the offender.
- (e) The experience of the employee with that offender or in a similar circumstance.
- (f) Prior seizures of contraband from the offender.

**(4) INFORMING THE OFFENDER.** Whenever possible before a search or seizure is conducted, an employee shall inform the offender of all of the following:

- (a) A search or seizure is about to occur.
- (b) The reason for the search or seizure.
- (c) The method for conducting the search or seizure.
- (d) The place where the search or seizure is to occur.
- (e) The consequences of not complying with the search or seizure.

**(5) PAT DOWN.** A pat-down may be conducted at any time an employee has a reasonable concern that an offender may possess a weapon or other object which may be used as a weapon. After a pat-down, if the employee has reasonable grounds to believe that the offender may be in possession of a weapon or contraband, the employee may proceed with a personal search of the offender.

**(6) PERSONAL SEARCH.** (a) Any staff member may conduct a personal search of an offender.

- (b) Every personal search shall be documented in the offender's case record.

**(7) SEARCH OF LIVING QUARTERS OR PROPERTY.** (a) An agent shall obtain supervisory approval prior to any search under this subsection.

(b) The employee who conducted the search shall complete a written report of every search of an offender's living quarters or property. The report shall state all of the following:

1. The identity of the offender whose living quarters or property was searched.
2. The identity of any employee who conducted the search and any other persons present during the search.
3. The date, time, and place of the search.
4. The reason for conducting the search.
5. Any items seized pursuant to the search with documentation of chain of custody.
6. Whether any damage was done to the premises or property during the search.

(c) During searches an employee may read business records and personal mail of offenders. The employee may not read any privileged legal materials, including any communication between an offender and an attorney, or any materials prepared in anticipation of a lawsuit.

- (d) An employee may not forcibly enter any property to conduct a search.

**(8) SEIZURE OF BODY CONTENTS.** (a) Only licensed or certified medical staff may take a blood or stool sample.

(b) When the agent or supervisor requires the collection of a urine specimen to be observed, an employee of the same sex as the offender shall observe and collect the urine specimen.

(c) Any trained employee may conduct breathalyzer tests or collect hair or other physical material samples.

(d) A report of a test on a specimen of an offender's urine, breath, blood, stool, hair, fingernails, saliva, semen, or other identifying physical material produced by the offender may be presented as evidence in a revocation hearing. The expert who made the

findings need not be called as a witness in a hearing or proceeding under this chapter, ch. DOC 331, or ch. HA 2.

**DOC 328.23 Contraband. (1)** Any employee who reasonably believes that an item in an offender's possession is contraband may seize the item, whether or not the employee believes a violation of the offender's rules or conditions of supervision has occurred. Any items seized must be documented with chain of custody.

**(2)** The supervisor shall dispose of seized contraband after all proceedings in which it may be required have been completed. Disposition shall be as follows:

(a) All confiscated currency, whose true owner cannot be determined, shall be placed in the general fund.

(b) Checks and other negotiable instruments shall be returned to the maker. If it is not possible to determine an address for the maker of the check, the check shall be destroyed.

(c) U.S. bonds and other securities shall be held in the department's cashier's office, and upon proof of ownership, the item shall be returned to the owner.

(d) Property items shall be returned at the offender's expense to the owner if the owner is known unless the owner transferred the property in an unauthorized manner. Property items which an offender is not permitted to possess and which are not illegal may be transferred to another person at the offender's expense. Property items of inherent value which were not returned to the owner shall be sold through the department's purchasing officer and money received shall be placed in the general fund.

(e) Intoxicating substances, such as alcohol or controlled substances, shall be disposed of in accordance with division policy.

(f) Firearms not required for use as evidence shall be disposed of in accordance with s. 968.20, Stats.

(g) Any item originally assigned as property of the state shall be returned to service.

**DOC 328.24 Absconding. (1)** If an offender absconds, an employee shall issue an apprehension request.

**(2)** If an offender committed under s. 961.47 (1), Stats. absconds and is not located within 90 days, an employee shall request that the committing court issue a capias ordering apprehension of the offender, vacating the order committing the offender to the custody of the department, or relieve the department of further responsibility for the offender. Following court action, the agent shall cancel the apprehension request.

**(3)** Once the offender is apprehended and becomes available, an employee shall conduct a violation investigation and make a determination regarding disposition. The employee shall also cancel the apprehension request.

**DOC 328.25 Tolled time. (1)** The department may toll all or any part of the period of time between the date of the violation and the date of an order of revocation or reinstatement is entered, subject to sentence credit for time the offender spent in custody pursuant to s. 973.155 (1), Stats. If the offender is subsequently reinstated rather than revoked, time shall be tolled only if the reinstatement order concludes that the offender did in fact violate the rules or conditions of his or her supervision.

**(2)** A division of hearings and appeals administrative law judge or the secretary shall determine the amount of time to be tolled.

**DOC 328.26 Reinstatement. (1)** The department may reinstate an offender upon the offender's request and written admission of a violation of the rules or conditions of supervision sufficient to warrant revocation.

(2) (a) The request under sub. (1) shall acknowledge both of the following:

1. The date of the violation.

2. The offender's awareness that the period between the date of violation and the date of reinstatement or revocation may be tolled.

(b) An offender's request for reinstatement and written admission shall be submitted to the regional chief to determine whether reinstatement is appropriate.

(c) A copy of the regional chief's decision, including the reasons for it, shall be sent to the offender and the original returned to the agent.

(d) If the regional chief determines that reinstatement should not occur, the revocation process may be initiated in accordance with s. DOC 331.03.

**DOC 328.27 Custody and detention.** Whenever feasible, an employee shall rely on law enforcement authorities to take an offender into custody. When law enforcement assistance is not available, the employee shall decide whether to disengage and issue an apprehension request or take the offender into custody in accordance with this section.

**(1) CUSTODY ORDER.** An agent shall order an offender into custody if the offender is alleged to have been involved in assaultive or dangerous conduct. A regional chief may permit exceptions to this subsection.

**(2) DETENTION.** An offender may be taken into custody and detained for one of the following purposes:

(a) For investigation of an alleged violation of a rule or condition of supervision.

(b) After an alleged violation to determine whether to commence revocation proceedings.

(c) For disciplinary purposes.

(d) To prevent a possible violation by the offender.

(e) Pending placement in a program as an alternative to revocation.

**(3) LENGTH OF DETENTION.** An offender may be detained in accordance with one or more of the following:

(a) Except as provided in sub. (6) and (7), an agent may authorize the detention of an offender under sub. (1) or (2) for a maximum of 5 working days.

(b) A supervisor may approve additional detention for a maximum of 5 working days.

(c) A regional chief may approve detention for an additional 5 working days.

(d) The administrator may authorize detention beyond the foregoing time limits.

(e) An offender detained under par. (2) (c) may be detained with supervisory approval for only a maximum of 5 working days.

(f) This subsection does not apply to detentions pending final revocation which are authorized by an agent's immediate supervisor under s. DOC 331.05 (7) when a preliminary hearing is not held pursuant to s. DOC 331.05 (2).

**(4) CUSTODY DECISIONS.** Custody decisions during revocation proceedings shall be made in accordance with s. DOC 331.05 (7).

**(5) DETENTION IN A STATE CORRECTIONAL FACILITY.** The department may detain an offender on parole, extended supervision, or on felony probation with an imposed and stayed sentence in a state correctional institution including a probation and parole holding facility pending revocation proceedings.

(a) For placement of an offender in a state correctional facility other than a probation and parole holding facility, the regional chief shall make a detention request to the director of the bureau of offender classification and movement in the division of adult institutions. The request shall include both of the following:

1. Court case information that permits legal admission for detention under this subsection.

2. Reason for requested detention in a state correctional institution rather than a county facility.

(b) The director of the bureau of offender classification and movement shall review the request and determine whether admission for detention in a state correctional institution will be authorized.

**(6) CUSTODY OF AN OFFENDER ON LIFETIME SUPERVISION.** The department may take an offender on lifetime supervision into custody under sub. (1) or (2) (a) for as long as reasonably necessary to investigate a possible violation of a condition or regulation of lifetime supervision. The department may hold an offender in custody for a maximum of 72 hours following completion of the investigation in order to refer the offender to the appropriate prosecuting agency for commencement of prosecution under s. 939.615 (7), Stats.

**(7) DETENTION OF OFFENDER ON EXTENDED SUPERVISION.** (a) The department may confine an offender on extended supervision beyond the time limits provided under sub. (3) as a sanction when both of the following occur:

1. The offender admits to the violation in writing.

2. The regional chief or designee approves of the sanction.

(b) The sanction may be served within a county jail if the sheriff approves.

(c) Confinement under the sanction will not exceed 90 days.

**DOC 328.28 Psychotropic medication as a condition of supervision.** The purpose of this section is to provide a process for imposing a condition of supervision that requires compliance with prescribed psychotropic medications.

**(1) PSYCHOTROPIC MEDICATION AS A CONDITION OF SUPERVISION.** Psychotropic medication may be made a condition of supervision only when one of the following applies:

(a) Following commitment proceedings during which the offender has been found not competent to refuse psychotropic medication.

(b) With the consent of a guardian who is able to authorize treatment of the offender with psychotropic medication.

(c) Following a department hearing under this section, approving a condition requiring the offender's compliance with prescribed psychotropic medication.

(d) When the offender waives a department psychotropic medication hearing under this section.

(e) When ordered by a court of law.

**(2) CRITERIA FOR REQUESTING A HEARING.** An agent shall request approval for a hearing from a regional chief to determine the need for requiring psychotropic medication as a condition of supervision when all of the following apply:

(a) The use of psychotropic medication is medically indicated.

(b) The offender refuses to take psychotropic medication.

(c) The offender does not waive the hearing.

**(3) NOTICE OF HEARING.** The offender shall receive written notice of the hearing at least 24 hours in advance. The notice shall include all of the following:

(a) The basis for the allegations that use of psychotropic medication is medically indicated and necessary.

(b) The date, time, place, and purpose of the hearing.

(c) The right to be represented by an advocate.

(d) The right to be heard and present evidence and relevant witnesses.

(e) The right to cross-examine department witnesses.

(f) The right to a written decision within 10 working days of the hearing, including the reason for the decision.

**(4) ACCESS TO DEPARTMENTAL OFFENDER HEALTH CARE RECORDS.** Department employees directly involved in the decision regarding psychotropic medication as a condition of supervision shall have access to the minimum necessary amount of protected health care information to enable them to make an informed decision relating to whether compliance with psychotropic medications should be required as a condition of supervision.

**(5) PSYCHOTROPIC MEDICATION HEARING.** When an offender does not waive the hearing and refuses to take prescribed psychotropic medication, the department shall hold a hearing. The hearing may be conducted in person or by telephone.

(a) The department has the burden of proof to establish, by a preponderance of the evidence, that treatment with psychotropic medication is medically indicated and necessary to accomplish the goals of supervision.

(b) The hearing examiner is not bound by common law or statutory rules of evidence other than attorney-client privilege. The hearing examiner shall admit all evidence, including testimony, which has reasonable probative value and is not unduly repetitious or cumulative.

(c) The hearing examiner shall do all of the following:

1. Administer oaths or affirmations.

2. Take an active role in questioning witnesses and eliciting testimony as necessary.

3. Regulate the course of the hearing.

4. Keep summary notes of the hearing.

5. Render a written decision whether to impose a condition of supervision requiring compliance with prescribed psychotropic medication upon a finding that psychotropic medication is medically indicated and necessary to accomplish the goals of supervision.

**(6) APPEAL OF DECISION.** The offender may appeal a decision ordering compliance with prescribed psychotropic medication to the secretary within 10 days of the written decision. The decision of the hearing examiner shall remain in effect while the appeal is pending.

**(7) ANNUAL REVIEW.** A hearing examiner shall review the decision ordering compliance with prescribed psychotropic medication on an annual basis.

(a) A different hearing examiner from the examiner who made the original determination may perform the annual review.

(b) The hearing examiner under par. (a) shall give the offender notice of the date of the annual review, what evidence is being considered, and the offender's right to respond.

(c) The hearing examiner may continue the order requiring compliance with prescribed psychotropic medication if evidence since the time of the last review shows that psychotropic medication is medically indicated and necessary to accomplish the goals of supervision.

SECTION 2. DOC 328 appendix is repealed.

SECTION 3. DOC 332.18 (3) (b) is amended to read:

DOC 332.18 (3) (b) The agent shall make a determination concerning an offender's deferral of payment of the lie detector fee within 10 working days of determining that an offender is required to participate in the lie detector examination process or within 10 working days of a change in the offender's financial or employment status as reported in accordance with s. ~~DOC 328.04 (3) (f)~~ DOC 328.04 (3) (h).

SECTION 4. Effective date: This rule shall take effect on the first day of the month following publication in the Wisconsin administrative register as provided in s. 227.22 (2) (intro), Stats.

This rule shall take effect on the first day of the month following publication in the Wisconsin administrative register as provided in s. 227.22 (2) (intro), Stats.

Dated: May 15, 2013

Agency: \_\_\_\_\_  
Edward F. Wall  
Secretary