



## FY 2015 Annual Report

# Interstate Commission for Adult Offender Supervision

*Ensuring Public Safety for the 21st Century*



## LETTER FROM THE CHAIR



Sara Andrews (OH)  
*Chair*



Chris Norman (AL)  
*Vice-Chair*



Charles Lauterbach  
*(IA) Treasurer*

As Chair of the Commission, my goal this year is to preserve the traditions that continue to advance the mission of the Compact while improving and expanding services to the states within the confines of the current budget.

As I reflect on this past year, I am pleased to report the Commission's accomplishments. The Commission continues to improve its operations and services and promotes effective supervision strategies consistent with public safety, offender accountability, and victims' rights.

This year, several committees shifted focus to Justice Reinvestment and Evidence-Based Practices, exploring how they impact the Interstate Compact Rules. At the 2015 Annual Business Meeting in Portland, OR and at the 2016 Annual Business Meeting in Cleveland, OH the discussion will continue with the assistance of Professor Edward J. Latessa from the University of Cincinnati.

To continue the commitment to transparency and inclusiveness, the Commission's committees now include broader and more diverse groups of commissioners and ex-officio members in daily decision-making. All the regions are represented on the committees and several new groups are working to provide a broader spectrum of input on the Annual Business Meeting agenda, to study the impact of Justice Reinvestment and to once again evaluate the violation and retaking process. In addition, I recently chartered an ad hoc committee to evaluate the rules on violation sanctions and retaking. You will hear more from this committee in the months ahead.

The Commission is also expanding its involvement with other criminal justice partners and augmented its ex-officio membership by inviting the Association of Prosecuting Attorneys, the National Sheriff's Association, the American Jail Association, the National Association of Police Organizations, the National Association for Public Defense, the National Organization for Victim Assistance, and the International Association of Chiefs of Police. At the 2015 Annual Business meeting, you will have an opportunity to vote on bylaws to formally make them part of the Commission. In the meantime, the national office is busy meeting with these groups to discuss way the Commission can collaborate with their membership.

The compliance committee is in the process of evaluating current policies, standards and practices related to the complaint process. The goal is to ensure that the Commission's complaint and penalty process is uniform and consistent with its application.

“

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The committee is researching the issues and benchmarking our policy and standards with established models in use by other professions.

The Commission is also evaluating practices and trends regarding the acceptance of discretionary transfers. Now that the states are consistently using the dashboard to monitor compliance, the Commission postponed the traditional compliance audit in favor of a review of discretionary transfers. The national office is in the process of conducting the review and will be reporting the results to the states in the upcoming months.

Each year the Commission looks to its resources with current program and service offerings. With costly annual ICOTS enhancements, additional professional development at the annual business meetings, new on-demand training software etc., the Commission's expenses have exceeded its revenue for the last several years. After conducting a detailed review of the Commission's financial situation, the finance committee is pleased to report that even though it is necessary at times to expend from the cash reserves to meet the Commission's needs, the Commission is financially sound with a substantial cash reserve and a healthy long term investment fund. In the future, to minimize cash reserve withdrawals, the executive committee reduced the monthly contribution to the long-term fund; the balance of which currently totals nearly \$1.3M. Our long-term fund consistently yields a strong return and is an important part of our financial picture.

This was a year of forward-looking ideas and concerted action. I am confident we will meet any future challenges with the dedication and professionalism that we have become accustomed to within our organization.

Sincerely,

**Sara Andrews, Chair**

*Interstate Commission for Adult Offender Supervision*

## 2014 ANNUAL MEETING RECAP



In 2014 the commissioners gathered in Oklahoma City, OK for the Annual Business Meeting. Chair Milt Gilliam opened the meeting and District Attorney Emily Redman delivered the keynote speech.

The standing committees each provided updates and highlighted new programs and activities as well as plans for the upcoming year. The programs discussed included applications for sharing offender data with other criminal justice agencies, electronic dashboards for measuring rule compliance, the implementation of VineWatch, the development of interactive online training, ICOTS updates, etc.

Following the committee reports, Vice-Chair Sara Andrews, OH moderated a Justice Reinvestment panel and Commissioner Jeremiah Stromberg, OR moderated the Legalization of Marijuana panel. Both panels discussed program development and implementation in their states and answered questions regarding the impact on offender supervision.

Toward the close of the meeting, the Commission elected and swore in new officers: Commissioner Andrews, OH as Chair, Commissioner Norman, AL as Vice-chair, and Commissioner Lauterbach, IA as Treasurer.

*Next meeting: October 7, 2015 in Portland, OR.*

### AWARDS PRESENTED:

Executive Chair Award presented to  
Sara Andrews, Commissioner (OH)

Executive Director Award presented to  
Debbie Duke, Deputy Compact Administrator (TN)

Peyton Tuthill Award presented to Victims' Advocate  
Crystal Alexander-Pounds

### ADVISORY OPINIONS

1-2015 (published 02/15/2015) – An offender whose supervision is transferred under the Compact to a state and commits a violation of one or more of the terms and conditions of probation may be subjected to confinement for short periods in lieu of revocation of probation pursuant to a state statute applicable to offenders sentenced in that state. Offenders supervised in the sending state are treated like offenders from that state, but in fairness they should be notified of this term prior to signing the transfer papers.

2-2015 (published 03/12/2015) – An offender granted a conditional pardon in one state and then transferred to a secure treatment facility in another state is eligible for transfer under the Interstate Compact for Adult Offender Supervision.

### EX OFFICIO ORGANIZATIONS

National Conference of State Legislatures

National Victims Organization

American Probation and Parole Association

Association of Paroling Authorities International

Interstate Commission for Juveniles

Conference of State Court Administrators

National Governors Association

National Organization of State Chief Justices

National Institute of Corrections

National Association of Attorneys General

### SPIRIT OF THE COMPACT RECOGNITION:

Matthew Reed (PA)

Donna Lash (PA)

Margaret Thompson (PA)

Jay Lynn (NC)

Chief Jeff Appling (NC)

Lori Zuroweste (MO)

Anthony Pennella (CA)

Guillermo Rosa (CA)

Michelle Buscher (IL)

Tima Ellsmore (ME)

Stacy Melanson (NY)

Magistrate Matthew King (TX)

Heather Fowler (OR)

Jim Warren (OR)

Leslie Lee (CO)

Mary Scott (AR)

Brian Spence (MI)

# VICTIM NOTIFICATION

After several years of planning and surveying the victims' services community and allied criminal justice professionals, the ICOTS VINEWatch application for interstate compact offenders became a reality in 2014. During 2015 the focus has been for states across the country to implement the system. It is a victim notification system enabling crime victims to obtain timely and reliable information 24 hours a day about the status of offenders who are under supervision and are relocating from one state to another. There is no cost to states to implement the ICOTS VINE-Watch and each state can implement the system in cooperation with their respective notification authority. The system provides real-time email and telephone notification to victims.

The ICOTS VINEWatch is available to the notification authorities in all states and three territories to inform victims and assist them in registering for the service. Victims can register anonymously. The use of a PIN verifies a successful phone notification. Victims who opt-in for notification may choose to receive notification of significant compact events involving the offender, including information about the offender's movement and violations of compact supervision. Victims may choose which notifications they want to receive from the following notifications and disable any of them at any time:

1. Approval of offenders requested transfer
2. Offender change in address
3. Notice of departure from the sending state
4. Notice of arrival or failure to arrive in destination state
5. Violation that may result in revocation, including absconding
6. Termination/revocation of supervision

Currently nineteen states established ICOTS VINEWatch accounts with 605 registrations. Many states are in the process of acquiring training and working with the national office to learn

how to establish the system in their state. Outreach will continue with state victim notification authorities and state council victim representatives to assist them in understanding how to implement the system. The national office will also continue to offer technical assistance as requested.

The implementation of VINEWatch ushers in a new era of accessibility and information for victims when offenders move across state borders. A victim's right to remain informed is essential for their safety and to reduce their fear.

## DID YOU KNOW...

**You can now get a copy of the ICAOS Bench Book on an iPhone and on a Kindle? Users on mobile or tablet devices accounted for more than 30% of the visits to the ICAOS website in fiscal year 2015.**

**If you have someone in your state that's an ICOTS super user and familiar with the ICAOS rules the training committee would be interested in hearing about it. Please contact Mindy Spring at the national office.**

## EXECUTIVE COMMITTEE

**Jeremiah Stromberg, OR**  
*Compliance Committee Chair*

**Geri Miller-Fox, UT**  
*DCA Liaison Committee Chair*

**Charles Lauterbach, IA**  
*Finance Committee Chair*

**Milt Gilliam, OK**  
*Immediate Past Chair*

**Gary Roberge, CT**  
*Information Technology*

**Jane Seigel, IN**  
*Rules Committee Chair*

**Anne Precythe, NC**  
*Training, Education and Public Relations Committee Chair*

**Patricia Tuthill, FL**  
*Victims' Representative*

**Dale Crook, VT**  
*East Region Chair*

**Cathy Gibson-Beltz, NE**  
*Midwest Region Chair*

**Chris Moore, GA**  
*South Region Chair*

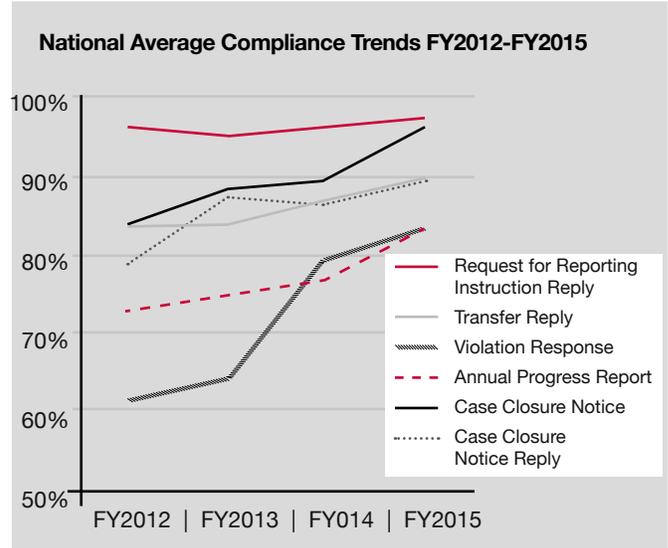
**Anmarie Aylward, WA**  
*West Region Chair*

In FY 2015 all states and territories were audited on thirteen standards. If a state failed four or more of the thirteen standards it was considered a failed audit. As has been the case every year since the audit process began in 2010, the top failed audit standard was the completion of annual progress reports. FY2015 saw 34% states fail this standard; however this is still a dramatic improvement from just two years ago in FY2013 when 77% of states failed this standard. The national office attributes this to the launch of the dashboards in FY2014 allowing everyone to easily identify-and fix- compliance issues

During the FY2015 audit only three states failed four or more standards and were required to submit a corrective action plan. All three were reassessed at the end of FY2015. All showed improvement and were in satisfactory compliance. Historically, 20-25% of states fail the audit, so three out of fifty-three is a huge improvement!

Looking at the last four years, all of the audit standards requiring action within a certain time frame have been continuously improving with the national average now over 80% in all of them. Because the states and territories are doing a good job of monitoring and correcting problems, the Commission decided to switch gears in FY2016 and will review discretionary transfer rejection rates and the reasons for rejection.

The lowest acceptance rates are typically for discretionary transfers. Obviously, as the name says, the receiving state has discretion in deciding to allow the offender move into their jurisdiction. But, are there other factors that cause these numbers to be lower? Are states and territories providing enough information to make those decisions? Are receiving states taking the time to consider all the factors? Is the transfer in the best interest of rehabilitation and public safety? The answers to these and other questions will be examined during the reviews by the national office.



Acceptance and Rejection Rates			
Accepted Cases	Rejected Cases	Accepted %	Reason for Transfer
6,467	5,413	54.4%	Discretionary
131	61	68.2%	Employment transfer of family member to another state
302	183	62.3%	Employment transfer of the offender to another state
155	43	78.3%	Live with family who are military members
48	4	92.3%	Military member
31,594	13,249	70.5%	Resident family AND Employment or Means of Support
22,972	5,086	81.9%	Resident of receiving state within the meaning of the Compact
117	50	70.1%	Transfer of military veteran for medical or mental health services
61,786	24,089	71.9%	Total/Average Rate of Acceptance

**Duplicate Offenders: Not the Problem it Once Was**

In the first 10 months of FY2015 the average number of monthly requests to remove duplicate offenders- to move, delete, or merge cases in ICOTS- was a whopping 559. That changed significantly with the release of a system enhancement on April 29, 2015. In May the total number of requests submitted dropped to 199, a 64% decrease from the monthly average! In June, the total number of requests dropped even further to 132, a 76% plunge from the monthly average. That's a wonderful timesaving, and therefore cost saving, measure!

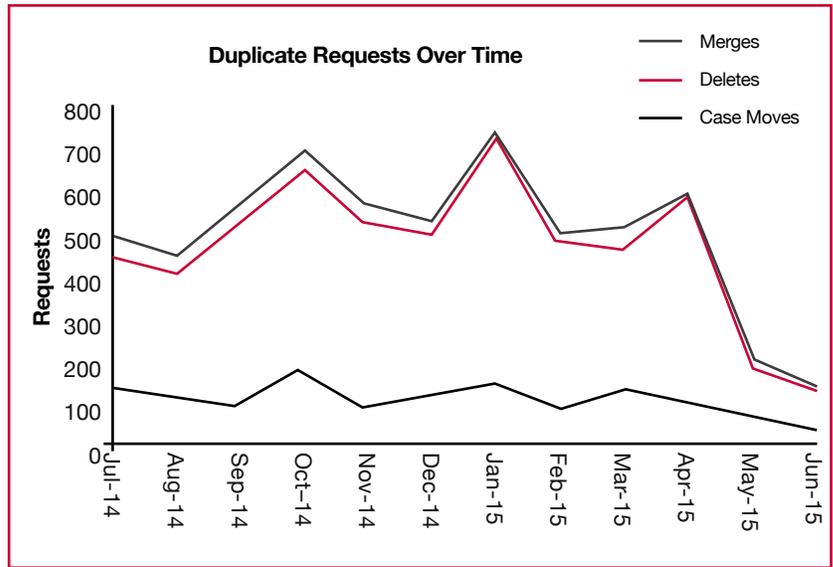
**Technology making our lives easier**

In addition to the ICOTS enhancement limiting the number of duplicate offenders created, did you know there were seven other major ICOTS code releases during this past fiscal year? Thanks to those changes, the user experience is improved in a number of ways. Fiscal year 2015 marks the first time ICOTS functionality changes were made solely for the improvement of user experience. First, compact activities and their associated replies now

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appear in a nested table on the offender profile, giving the user a much more useful at-a-glance overview of the actions taken on a case. And compact action requests are now linked to specific activities on a case, making it easier to determine the related activity for the request. The “notice of failure to arrive” activity was also redesigned to more quickly and accurately notify users an offender did not arrive in the receiving state, necessitating further action or investigation.

The technology committee is also looking to the future to keep ICOTS relevant to community corrections and adult supervision agencies. In FY2015 the committee reviewed 37 requested enhancements from a list dating all the way back to 2008. The enhancements were grouped and prioritize according to their impact on the system and their relationship to similar functional area of ICOTS. This prioritized list of functional upgrades will allow the Commission to plan and budget what changes to make in FY2017, the next non rule-making year.



## BUDGET ISSUES KEEPING YOUR STATE FROM PROVIDING THE TRAINING NEEDED TO KEEP UP WITH COMPLIANCE?

The training committee and national office continue to offer a variety of trainings requiring no travel, no preparation, and no cost! The Commission is in the process of expanding the number of interactive OnDemand modules. Future modules will be interactive and will offer additional reporting features.

OnDemand training is not just for probation and parole officers. Jails, law enforcement, the judiciary, and others can access modules with information relevant to their duties. All from the comfort of your own computer!

And to make sure this training is available when you have time, the Commission has enhanced the internal connections to allow more people to use the training modules 24 hours a day and seven days a week.

## KNOW BEFORE THEY GO

This year 48 states/territories agreed to share their standard conditions of supervision. These lists are now available on the ICAOS website. This information allows officers, and more importantly offenders, to know what is expected in the supervising state/territory even before the transfer request is filed. This awareness should increase compliance and ultimately lead to more successful supervision outcomes.

## FINANCIAL OUTLOOK

As FY 2016 approaches the financial outlook for the Commission continues to be positive. Without question, maintaining funding for the various programs that are important to the Commission presents challenges to the budget. Foremost among these spending priorities is the ICOTS system. Updates and enhancements to ICOTS typically cost between \$50,000 and \$250,000 per year. Other programs such as victim notification, the compliance dashboard, on demand training, and the Web-metrics ICOTS performance monitor also place increasing pressure on the Commission’s budget.

The current balance of the Commission’s reserve fund is \$1,463,455.86. Although adequate, this represents the lowest level for the reserve fund since the 2006 fiscal year. The Commission also maintains a separate legal reserve of \$50,000 to cover litigation expenses. Since 2011 the Commission maintained monthly contributions to a long-term investment portfolio managed by the Council

of State Governments that has generated an increased rate of return on the Commission’s funds. The current balance in the long-term investment portfolio is \$1,298,589.22. In July 2015, in light of the declining reserve fund balance the executive committee, at the recommendation of the finance committee, voted to cease the monthly contributions to the long-term investment portfolio with those funds reallocated to ICOTS enhancements as recommended by the technology committee.

Because of its responsible spending practices the Commission has not needed to increase membership dues since 2008. The finance committee is not recommending a dues increase in FY 2016. Going forward it is recommended that the Commission continue its efforts to identify strategies that will reduce its expenses.

## OFFENDERS ON COMPACT SUPERVISION AS OF THE CLOSE OF FY 2015

States	Incoming				Outgoing				Total Offenders
	Parole Only	Probation Only	Probation and Parole	Incoming Offenders	Parole Only	Probation Only	Probation and Parole	Outgoing Offenders	
Alabama	1,127	3,528	36	3,881	540	1,522	14	1,876	5,757
Alaska	73	156	10	217	55	160	56	208	425
Arizona	674	1,704	3	2,099	320	2,594	-	2,697	4,796
Arkansas	936	1,984	30	2,498	2,017	1,447	22	3,005	5,503
California	1,528	4,546	64	5,632	604	2,277	6	2,719	8,351
Colorado	449	1,407	10	1,631	832	2,509	4	2,967	4,598
Connecticut	216	868	-	961	254	1,236	1	1,241	2,202
Delaware	271	780	21	830	25	417	22	405	1,235
District of Columbia	250	1,018	37	980	2	503	-	472	1,452
Florida	2,548	6,075	69	7,462	247	6,355	10	5,934	13,396
Georgia	1,235	4,109	15	4,778	2,657	9,222	16	9,471	14,249
Hawaii	50	154	-	188	140	335	1	401	589
Idaho	180	464	32	607	604	1,381	8	1,769	2,376
Illinois	1,657	3,878	8	4,755	1,118	2,310	3	3,170	7,925
Indiana	999	2,796	5	3,259	496	2,413	3	2,555	5,814
Iowa	416	1,243	15	1,432	413	1,110	8	1,392	2,824
Kansas	588	1,472	9	1,709	569	1,428	6	1,700	3,409
Kentucky	632	2,286	19	2,554	1,380	3,024	23	3,754	6,308
Louisiana	1,046	2,281	27	2,903	1,600	2,095	32	3,014	5,917
Maine	95	323	3	362	3	238	-	228	590
Maryland	734	3,489	44	3,575	681	1,700	116	1,823	5,398
Massachusetts	274	1,492	-	1,553	168	1,121	-	1,123	2,676
Michigan	817	2,088	21	2,570	756	1,377	19	1,935	4,505
Minnesota	444	1,543	36	1,779	491	2,528	3	2,581	4,360
Mississippi	830	1,873	22	2,355	968	2,092	23	2,431	4,786
Missouri	1,154	2,754	28	3,431	1,910	4,137	11	4,753	8,184
Montana	124	386	12	462	239	734	231	1,025	1,487
Nebraska	296	725	-	899	136	355	-	462	1,361
Nevada	277	842	18	1,031	466	1,230	4	1,555	2,586
New Hampshire	121	579	-	619	245	351	3	523	1,142
New Jersey	746	2,349	6	2,705	984	2,704	6	3,231	5,936
New Mexico	287	1,010	3	1,159	423	1,028	9	980	2,139
New York	1,004	4,389	5	4,744	1,637	1,928	16	3,289	8,033
North Carolina	1,224	4,273	62	4,800	288	1,344	20	1,491	6,291
North Dakota	152	783	25	818	95	695	71	726	1,544
Ohio	1,601	3,471	41	4,381	871	1,998	10	2,596	6,977
Oklahoma	1,070	2,112	42	2,830	254	1,525	7	1,654	4,484
Oregon	346	947	47	1,230	598	1,031	49	1,526	2,756
Pennsylvania	796	2,667	28	3,038	2,124	4,809	23	5,747	8,785
Puerto Rico	166	186	2	327	21	88	-	100	427
Rhode Island	85	529	-	536	96	884	1	789	1,325
South Carolina	803	2,366	23	2,753	205	1,021	13	1,110	3,863
South Dakota	141	493	3	550	313	561	1	753	1,303
Tennessee	1,587	4,539	36	5,109	618	2,726	14	2,978	8,087
Texas	2,953	5,293	14	7,028	3,256	7,712	45	9,613	16,641
Utah	191	638	6	736	172	389	2	519	1,255
Vermont	76	241	-	288	142	281	1	392	680
Virgin Islands	18	34	-	48	7	7	-	14	62
Virginia	782	2,055	44	2,485	398	7,720	54	6,567	9,052
Washington	558	1,582	76	2,036	144	537	10	643	2,679
West Virginia	268	1,358	11	1,330	884	411	23	1,001	2,331
Wisconsin	400	1,636	11	1,818	1,804	2,032	73	3,239	5,057
Wyoming	119	399	18	477	144	561	4	625	1,102
<b>Total</b>	<b>35,414</b>	<b>100,193</b>	<b>1,097</b>	<b>118,238</b>	<b>35,414</b>	<b>100,193</b>	<b>1,097</b>	<b>116,772</b>	<b>235,010</b>

Notice some counts on compact cases by supervision type looking different than previous years? This year the Commission began receiving more detailed supervision data thanks to an enhancement in ICOTS requested by the Technology Committee. This enhancement means the information involving compact cases and the types of supervision is now much more accurate.

**ICAOS MISSION:  
TO GUIDE THE TRANSFER OF  
OFFENDERS IN A MANNER  
THAT PROMOTES EFFECTIVE  
SUPERVISION STRATEGIES  
CONSISTENT WITH PUBLIC  
SAFETY, OFFENDER  
ACCOUNTABILITY AND  
VICTIM'S RIGHTS.**

## **NATIONAL OFFICE STAFF**

**Harry E. Hageman**, *Executive Director*  
859.721.1051 | hhageman@interstatecompact.org

**Lori Meister**, *Assistant Director*  
859.721.1052 | lmeister@interstatecompact.org

**Xavier Donnelly**, *ICOTS Project Manager*  
859.721.1053 | xdonnelly@interstatecompact.org

**Mindy Spring**, *Training and Audit Coordinator*  
859.721.1054 | mspring@interstatecompact.org

**Kevin Terry**, *Website Analyst*  
859.721.1055 | kterry@interstatecompact.org

**Barno Saturday**, *Logistics and Administrative Coordinator*  
859.721.1056 | bsaturday@interstatecompact.org



836 Euclid Avenue, Suite 322  
Lexington, KY 40502  
(859) 721 1050  
[www.interstatecompact.org](http://www.interstatecompact.org)