



Interstate Commission  
for Adult Offender Supervision  
**ICAOS Policies**

**Policy Number:** 01-2019  
**Issued:** 2019-02-20

## **COMPLIANCE SANCTIONING GUIDELINES 01-2019**

### **I. Objective and Application**

In addition to a state being required to complete remedial training or technical assistance (which may include a corrective action plan), alternative dispute resolution, or suspension/termination of membership in the compact, monetary penalties may also be assessed in accordance with ICAOS Statute (Article XII, Section B). The Compliance Committee shall review matters of non-compliance and make recommendations to the Executive Committee who makes the final determination regarding penalties assessed to a non-compliant state.

### **II. Monetary Penalties**

Rule or Statutory Violations	1ST OFFENSE	2ND OFFENSE	3RD OR SUBSEQUENT OFFENSE
Fine	\$0- \$10,000	Up to \$50,000	Up to \$100,000

*Fees and/or costs, including court costs and interest fees, may also be assessed against violating states.*

### **III. Determining Factors**

The following factors will be considered when determining appropriate sanction within range:

- Whether the violation(s) was a public safety issue or policy issue
- Whether the violation(s) resulted in serious physical injury or death
- The state's relevant disciplinary history and whether they have ongoing patterns of noncompliance
- Whether the state accepted responsibility for and acknowledged the violation(s) prior to detection and intervention
- Whether the state voluntarily employed subsequent corrective measures, prior to detection or intervention to revise general and/or specific procedures to avoid recurrence of violation(s)
- Whether the state was cooperative with ICAOS in its examination and/or investigation of the

underlying misconduct

- Whether the state engaged in the violation(s) over an extended period of time
- Whether the state engaged in numerous acts and/or a pattern of misconduct
- Whether the state's violation(s) was the result of an intentional act