



# Meeting Challenges Together



FISCAL YEAR TWENTY TWENTY-ONE

## Annual Report

Interstate Commission for Adult Offender Supervision

## EXECUTIVE COMMITTEE

Jeremiah Stromberg (OR), *Chair*

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Hope Cooper (KS), *Vice Chair*

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Gary Roberge (CT), *Treasurer and Finance  
Committee Chair*

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Dale Crook (VT), *East Region Chair*

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Russell Marlan (MI), *Midwest Region Chair*

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Julie Kempker (MO), *South Region Chair*

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Roberta Cohen (NM), *West Region Chair*

---

Allen Godfrey (MN), *Compliance Committee Chair*

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Chris Moore (GA), *Information Technology Chair*

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Mary Kay Hudson (IN), *Rules Committee Chair*

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Joselyn López (WI), *Training, Education and  
Public Relations Committee Chair*

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Suzanne Brooks (OH), *DCA Liaison Committee Chair*

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John Gillis (NOVA), *National Victims' Representative*

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## NATIONAL OFFICE STAFF

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# LETTER FROM THE CHAIR



Jeremiah Stromberg  
(OR) Chair

When the fiscal year began, the challenges this Commission and nation faced from the COVID-19 pandemic unfolded with unknown duration and severity. The change required to navigate these challenges was uncharted; however, the strategies we implemented served the Commission well. Throughout this time, the Commission demonstrated remarkable resolve, persevering through this crisis to create a successful and productive year.



Hope Cooper  
(KS) Vice-Chair

Responding to the prolonged period of uncertainty required adaptability. Accordingly, the Commission shifted focus and engaged members to address escalating issues. We improved communication techniques, providing a forum for victims to seek assistance, and educating members through webinars and round tables. At the same time, we advanced projects to improve warrant issuance, tracking, and notification. Further, we utilized our collaborations with stakeholders to expand training opportunities and partnerships, including the evaluative social justice efforts through the American Probation and Parole Association *Justice System Partnership for Racial Equity*.

This fiscal year's financial performance reflects the underlying strength and stability achieved through years of prudent financial management. Because of these sound practices and wise investments, the Commission extended a one-time dues reduction in fiscal year 2022 to member states stressed by the fiscal pressures of the pandemic.



Gary Roberge  
(CT) Treasurer

Looking ahead, the Commission's 20th Anniversary in New York City will be our first post-pandemic event, and a celebration to commemorate two decades of accomplishments. It will be an opportunity to reflect on our return to normal operations while evaluating our efforts to manage through the pandemic. At this meeting, we will take an in-depth look at the evolution and success of the Compact. As well, we will carefully evaluate the outcomes from the fiscal year 2022 audit of acceptances and rejections, seeking to improve our practices and create more efficient transfer processes. Twenty years of progress and achievement leaves us with so much to reflect on and celebrate.

It is my privilege to lead this Commission on your behalf. Though new challenges await us, the resilience, initiative, and dedication of the executive team, as well as our professional National Office staff and outstanding colleagues from across the nation, give me renewed optimism for the opportunities ahead. With a bright future and our 20th Anniversary on the horizon, I look forward to meeting in person once again and toasting to our collective success.

Best Regards,  
**Jeremiah Stromberg**, Chair





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# FY 2021 *in* REVIEW

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## Virtual ABM

Balancing the Commission's obligations with the ongoing health concerns arising from the COVID-19 pandemic, the Commission shifted to a virtual Annual Business Meeting for 2020. Utilizing new technologies, more than 150 attendees participated in sessions addressing the enormous environmental change and associated stress resulting from adaptations during the pandemic. Deputy Compact Administrators benefitted from in-service training on compact roles, communication strategies, and Compact resources.

Before the final general session, Commissioners, DCAs and staff participated in regional meetings. Concluding the virtual ABM, Commissioners passed six ICOTS enhancements, evaluated compliance given COVID-19's effect, and voted to reduce dues to mitigate the economic effects of the pandemic.

## 20th Anniversary

To commemorate the auspicious occasion of the ICAOS' 20th anniversary, the Commission is collaborating with the National Institute of Corrections on a documentary to provide a general context and the historical significance of the Compact. This multimedia production is poised for release during the 2022 Annual Business Meeting to be held September 26-29 in New York City.

## New Rules & ICOTS Enhancements

Amendments being proposed in FY22 include 1.101 (definition of resident), 5.108 (probable cause hearing in receiving states) and changes to 2.110, 4.111, 5.101, 5.102, 5.103 & 5.103-1 (setting a standard timeframe for issuing compact compliant warrants to 15 business days when an offender fails to arrive, return as instructed, or is subject to retaking). Additionally, the Rules Committee recommends ICOTS enhancements to include a new 'warrant status,' initiated by retaking or failure to report, a new activity for 'discretionary retaking' and notifications for when warrants should be issued.

## Toward Justice for All

To ensure every offender, regardless of defining characteristic, receives equitable treatment, the Commission is committed to understanding the role of interstate compact in an equitable justice system. To this end, the executive director represents the Commission on the *Justice System Partnership for Racial Equity* initiative in collaboration with fifteen other criminal justice agencies. Through this partnership, the Commission seeks to identify equitable strategies and outcomes within and across stakeholder groups, develop practical and actionable guidance, and lead transformational change to advance racial justice throughout the nation.

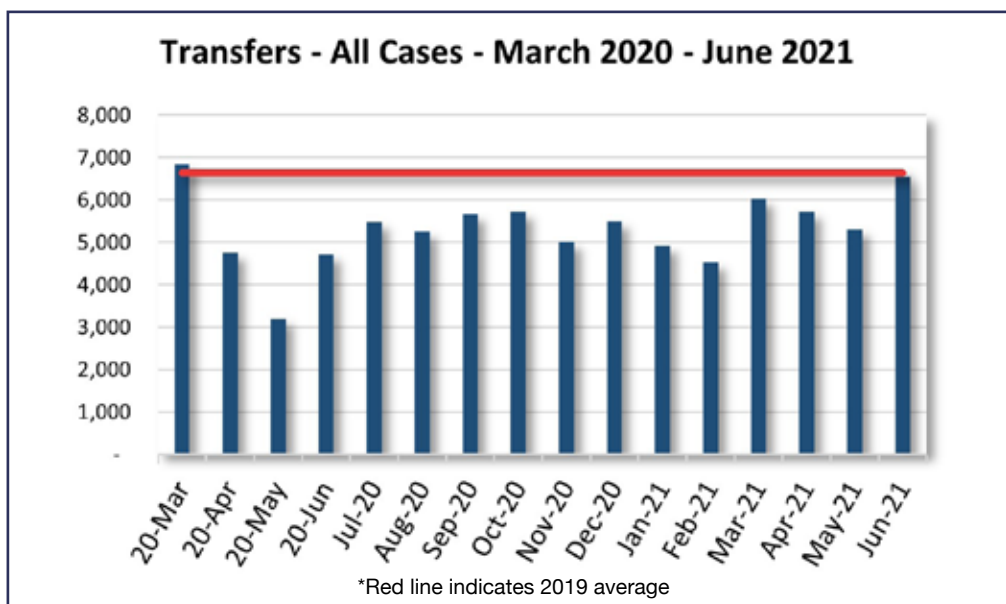
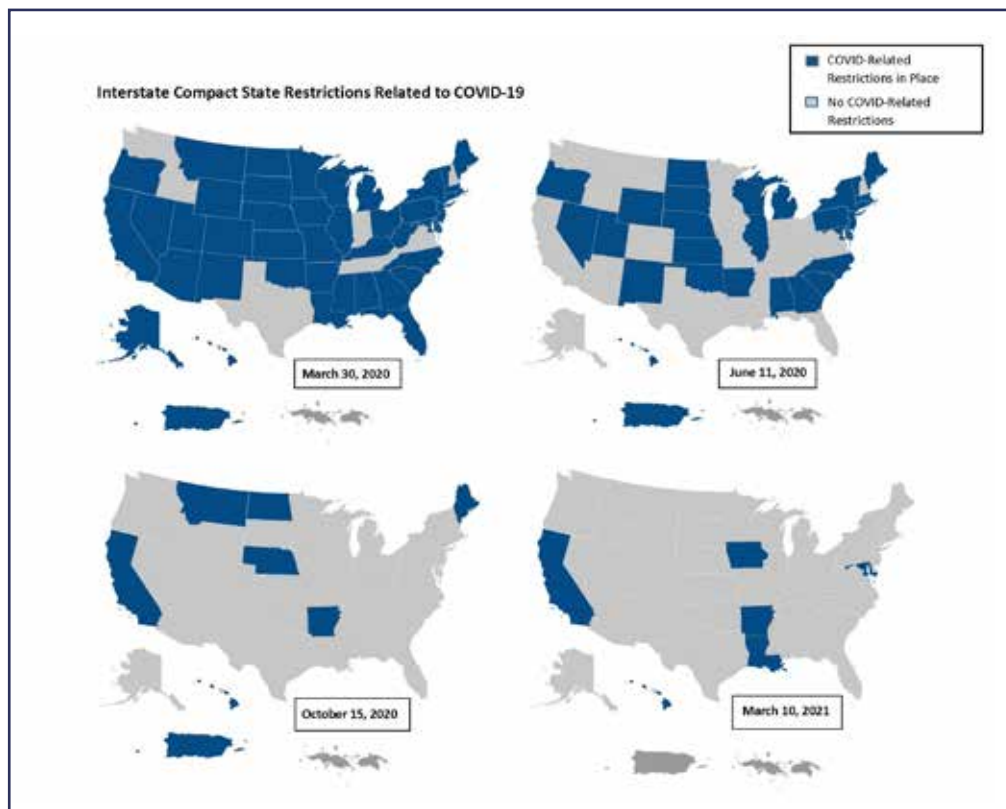
## COVID-19 & Rescinding 2.111

Responding to the conditions following the emergency declarations of many states and the nation, the Commission acted swiftly in response to the national emergency by adopting Emergency Policy 01-2020 and Rule 2.111 Emergency Suspension of Enforcement. Through this rule, ICAOS temporarily suspended the enforcement of timelines in ICAOS Rules chapters three, four, and five.

Over fiscal year 2021, the Executive Committee monitored transfer data to determine states' abilities to return

to normal operations. By Spring 2021, operating conditions, and state progress in managing the pandemic stabilized, allowing the return to normalcy in compliance management starting April 1, 2021.

Though the rate of transfer activity revealed a dramatic decline in the number of cases during early 2020, the level of compact work began to rebound by year's end. By the close of FY2021, transfer actions for all cases trended higher still, approaching pre-COVID averages.

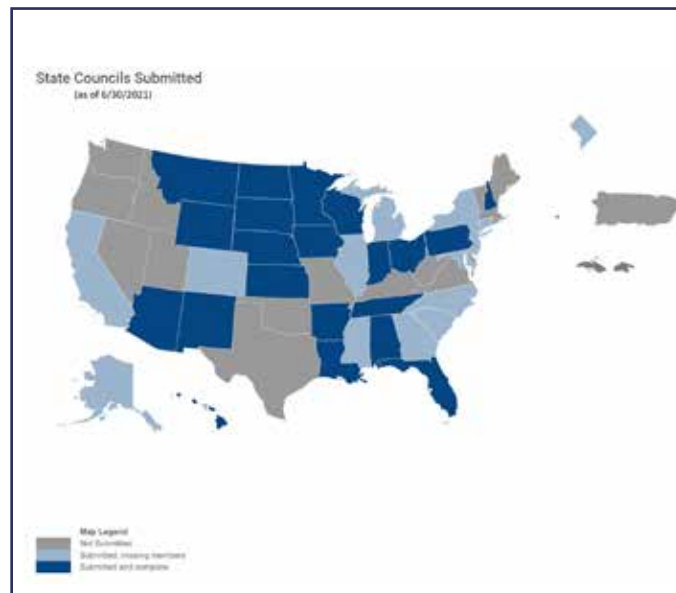
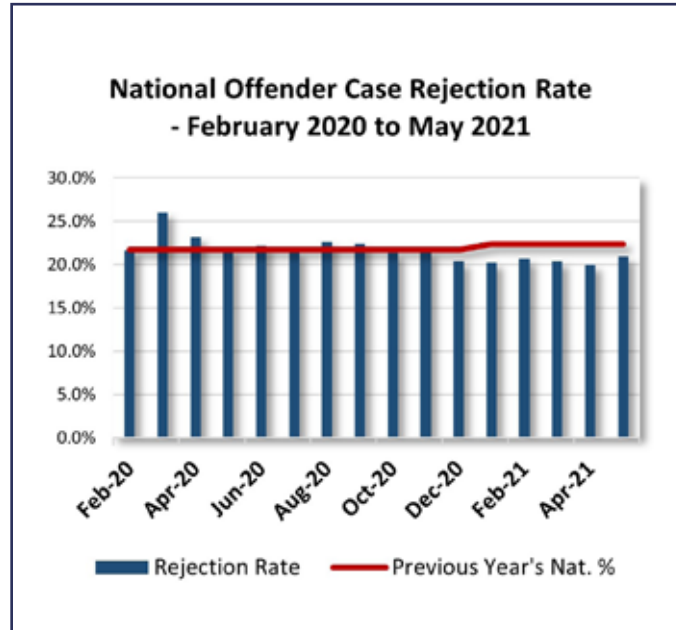


## FY2022 Case Acceptance Audit

Observing trends emerging because of how states responded to COVID-19, the Executive Committee authorized a case acceptance audit for FY2022. As indicated by the initial months of the pandemic, state rejection rates soared and then generally held above the prior year's national average throughout a significant portion of the calendar year.

Seeking to promote offender success, effective tracking, orderly and efficient transfer processes, and rule compliance, the FY2022 assessment is an evaluation of state acceptance and rejection cases for transfers processed during FY2021. It is a measurement of change from the FY2016 assessment and establishes common factors impeding present-day acceptance rates.

Relying on data from dashboards such as the transfer decision summary and the incoming and outgoing transfer decision dashboards, each state will receive its results with a link to complete a self-assessment. This approach, developed following a pilot project with three states, gathers state-specific information on procedures and plans to improve acceptance rates and compact officer training.



## State Council Tools

To assist states in meeting their obligation and tracking compliance with the statutory duty to establish a functioning state council, changes to Administrative Policy 03-2009 precipitated the launch of a new State Council Reporting Tool. An interactive map offers an at-a-glance evaluation of state compliance, and the pre-populated state roster pages make corrections or additions much easier to manage in real-time. In addition, the National Office redesigned the online State Council Toolkit, adding practical guidance for new council members and states seeking to engage in a more robust use of their state council.

## CORE 2.0

In its first year, the Compact Online Reference Encyclopedia (CORE) became one of the top five pages accessed on the Commission's website, amassing more than 300,000 queries through the cross-referenced and searchable tool in that short period. Yet, the Commission's additions to CORE have not stopped as improvements added to the reference engine include the Hearing Officer's Guide, support and training articles, Bylaws, and Commission policies.

The state council is essentially a communication and support mechanism to assist with developing statewide policy, acquiring critical resources, and Compact Office operations.

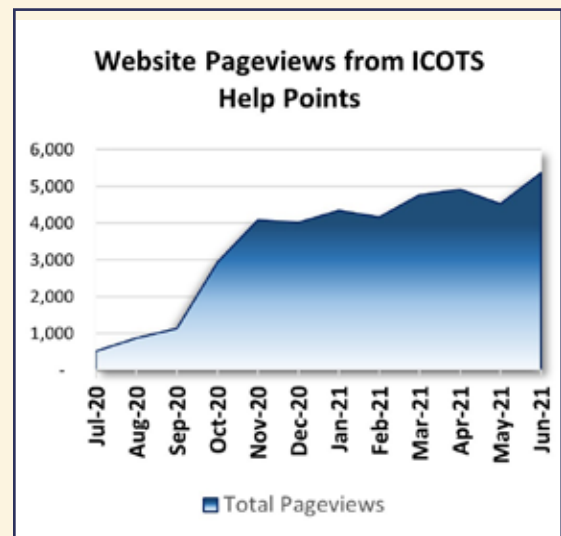




## ICOTS Tooltips

The Commission integrated training into ICOTS by publishing 336 help-points or tooltips in its activity screens to improve end-user satisfaction and data input accuracy. These help-points supplement existing training and reinforce proper ICOTS use while reducing the amount of support that Compact Offices and the National Office provide to end-users. The first help-point/tooltip is a small blue “hover-over” question mark icon that populates with useful information and links. The second type of help-point is a *More Help* link that upon clicking it, provides helpful information, graphics, and links. These tooltips assist user navigation and allow for quick information retrieval.

According to the Website Pageviews chart, the implementation of Help Points shows consistently increasing utilization by ICOTS end users. This trend is encouraging for long-term enhancement in state end user efficiency in managing common ICOTS troubleshooting.



## ICOTS Enhancements

This year, six new enhancements went into production. These enhancements provided clarity for required actions when rejection notices were received, provided new compact action request (CAR) options related to

travel permits, added comment field previews and specialization in CAR notifications, allowed receiving state compact offices to modify retaking requirements by addendum to violation reports, modified case closure documentation to include last primary residence, and modified case closure notifications.



NOTICE  
South Dakota

Closed: Thu, 08/05/2021 - 08:00 until Sun, 08/15/2021 - 22:00



## Round Tables

The COVID-19 pandemic created a punctuation point for public policy and highlighted longstanding questions relevant to remote hearings and the use of electronic signatures. Addressing these issues, the Commission held two round table discussions featuring Legal Counsel Tom Travis and Special Counsel Rick Masters. Joining them were ex-officio representatives from the National District Attorneys Association and the Conference of State Court Administrators.

These discussions concluded that electronic signatures appear valid depending on the context, parties using the technology, and on a state's laws or implementation of the Uniform Electronic Transactions Act and Electronic Signatures in Global and National Commerce Act. Moreover, during the pandemic, many states expanded the adoption of electronic signatures through executive orders, emergency legislation, or court directives; and, the remote hearing practices used for in-state offenders are allowed for Compact offenders. Moreover, they agreed that the Compact's rules and advisory opinions allow the use of electronic hearings for Compact purposes. Advisory opinion 5-2012 addressed these issues, noting the U.S. Supreme Court's agreement on the permissibility of remote hearings.

Commission members may view recordings of these roundtables where Commissioners and deputy compact administrators ask questions, share their experiences, and engage in thoughtful discussions.

## New Commissioner Orientation

The Commission established a biannual orientation via videoconference to provide newly appointed Commissioners a personal engagement and learning opportunity. These orientations allow commissioners to engage despite the limitations imposed by the pandemic and facilitate an introduction to their roles, expectations, current projects, as well as the tools and resources at their disposal.

## Training

More than 5,000 individuals access ICAOS training each year. To support these training needs, the national office launched a new learning management system that offers a variety of on-demand training and resources. Several new resources include dashboard training and demonstrations, a legal PowerPoint for Rules training, an updated reference for the Compact's legal background and implications, as well as direct access to on-demand modules for courts, jail administrators, and parole board members. These quick trainings give users tools to quickly search for reports, links to support articles, walkthroughs, and other Compact reference material.



## COMMISSION AWARDS

Executive Chair Award, Chris Moore (GA),  
*Commissioner*

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Executive Director Award, Suzanne Brooks (OH),  
*Deputy Compact Administrator*

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Peyton Tuthill Award, Lisa Kinard (FL),  
*Victim Representative*

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## EX OFFICIO PARTNERS

*American Jail Association (AJA)*

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*American Probation and Parole Association (APPA)*

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*Association of Paroling Authorities International (APAI)*

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*Association of Prosecuting Attorneys (APA)*

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*Conference of Chief Justices (CCJ)*

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*Conference of State Court Administrators (COSCA)*

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*International Association of Chiefs of Police (IACP)*

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*Interstate Commission for Juveniles (ICJ)*

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*National Association of Public Defense (NAPD)*

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*National Association of Attorney General (NAAG)*

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*National Association of Police Organizations (NAPO)*

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*National Conference of State Legislatures (NCSL)*

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*National Criminal Justice Association (NCJA)*

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*National Governors Association (NGA)*

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*National Institute of Corrections (NIC)*

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*National Organization for Victim Assistance (NOVA)*

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*National Sheriffs' Association (NSA)*

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# FINANCIAL REPORT

At the close of FY 2021, the Coronavirus pandemic and the resulting economic crisis remained dominant. Amidst added responsibilities, the Commission maintained its focus on Compact operations, resulting in a successful financial conclusion to FY 2021 that will support a one-time 30 percent dues reduction for all member states in FY 2022.

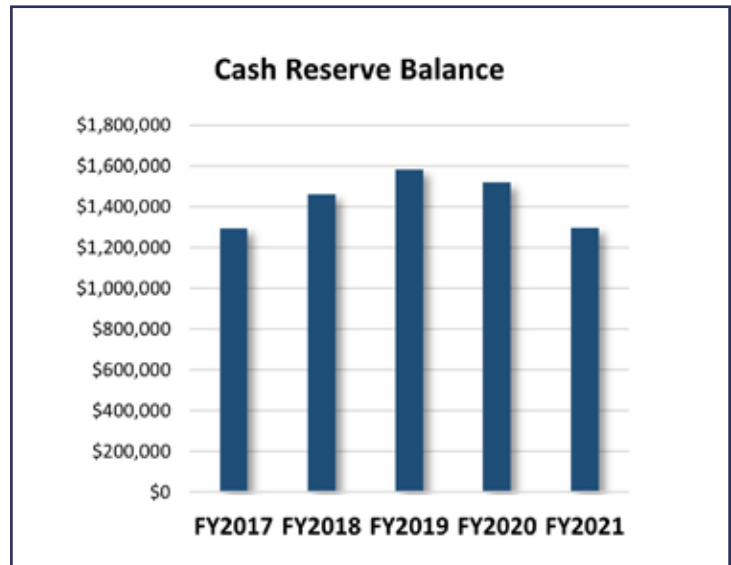
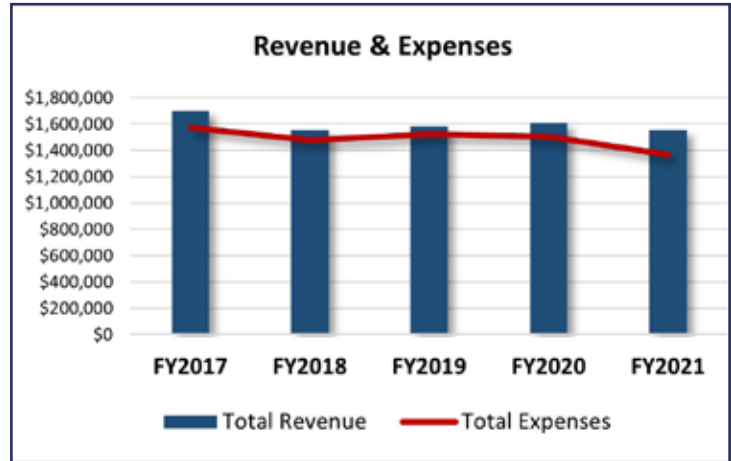
Recognizing the economic uncertainty caused by the COVID-19 pandemic and its impact on state budgets, the Commission unanimously voted to use investment income and operational changes to support a one-time dues reduction for all member states. While not a sustainable mitigation effort, the Commission's long history of responsible fiscal management supports this one time relief and achievement of solid fiscal goals.

Revenue: \$1,552,799.75

Expenses: \$1,365,946.55

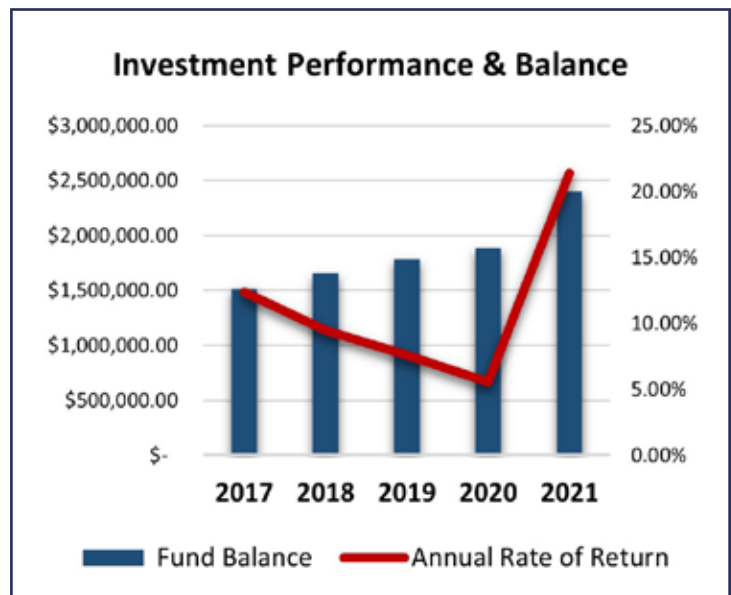
Cash Reserve Balance:  
\$1,295,018.94

Investment Balance:  
\$2,399,908.59



# AUDITOR'S REPORT

Please reference opposite page.



# Hicks & Associates CPAs

CERTIFIED PUBLIC ACCOUNTANTS

INTERSTATE COMMISSION FOR ADULT OFFENDER SUPERVISION  
"ICAOS"  
LEXINGTON, KENTUCKY  
YEAR ENDED JUNE 30, 2021

SERVICES PROVIDED BY HICKS & ASSOCIATES CPAS:

- a. AUDIT OF THE FINANCIAL STATEMENTS - UNMODIFIED OPINION<sup>1</sup>
- b. REPORT TO MANAGEMENT<sup>2</sup>
- c. AVAILABLE FOR ROUTINE ACCOUNTING AND TAX ADVICE AS REQUESTED BY MANAGEMENT

FINANCIAL HIGHLIGHTS FOR ICAOS:

	<u>6/30/2021</u>	<u>6/30/2020</u>	<u>6/30/2019</u>
• MEMBER DUES	\$ 1,487,602	\$ 1,549,407	\$ 1,518,636
• INVESTMENT INCOME <sup>3</sup>	\$ 512,805	\$ 104,480	\$ 125,637
• TOTAL REVENUES	\$ 2,003,472	\$ 1,673,363	\$ 1,667,675
• PERCENTAGE CHANGE IN TOTAL REVENUES	+19.73%	+0.34%	+0.13%
• TOTAL EXPENSES	\$ 1,393,102	\$ 1,529,235	\$ 1,551,099
• PERCENTAGE CHANGE IN TOTAL EXPENSES	-8.90%	-1.41%	+4.28%
• CHANGES IN NET ASSETS	\$ 610,370	\$ 144,128	\$ 116,576
• TOTAL NET ASSETS	\$ 3,388,486	\$ 2,778,116	\$ 2,633,988
• TOTAL ASSETS	\$ 3,883,931	\$ 3,636,900	\$ 3,615,733
• PERCENTAGE CHANGE IN TOTAL ASSETS	+6.79%	+0.59%	+6.40%
• TOTAL LIABILITIES	\$ 495,445	\$ 858,784	\$ 981,745
• PERCENTAGE CHANGE IN TOTAL LIABILITIES	-42.31%	-12.52%	+11.45%
• OPERATING CASH FLOWS	\$ -274,566	\$ -72,873	\$ 95,057
• TOTAL CASH FLOWS	\$ -274,566	\$ -72,873	\$ 86,238

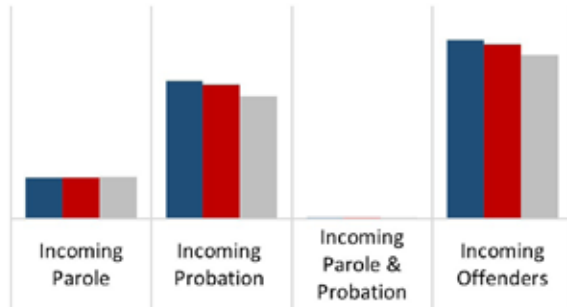
1. AN "UNMODIFIED OPINION" IS THE TERMINOLOGY THAT REPRESENTS A GOOD, CLEAN AUDIT. ALL THE INFORMATION WE REQUESTED TO SUPPORT OUR OPINION WAS PROVIDED BY MANAGEMENT DURING OUR AUDIT. THERE WERE NO INSTANCES OF FRAUD, ABUSE, OR UNSUPPORTED TRANSACTIONS OBSERVED DURING OUR TESTING. OUR OPINION ON THE FINANCIAL STATEMENTS RELATES TO THE FINANCIAL STATEMENTS BEING PREPARED ON THE MODIFIED ACCRUAL BASIS OF ACCOUNTING, WHICH IS A BASIS OF ACCOUNTING OTHER THAN U.S. GAAP.
2. THE REPORT TO MANAGEMENT DESCRIBES (1) THE RESPONSIBILITIES OF THE AUDITORS, MANAGEMENT, AND THE COMMITTEES; (2) THE OVERALL AUDIT PROCESS, AND (3) ANY RECOMMENDATIONS WE HAD DURING THE CURRENT YEAR AND UPDATES TO ANY ITEMS THAT MAY HAVE BE MENTIONED IN THE PRIOR YEAR. WE DID NOT HAVE ANY RECOMMENDATIONS FOR THE YEAR ENDED JUNE 30, 2021.
3. INTEREST AND DIVIDENDS OF \$34,982; NET REALIZED GAINS OF \$14,934; AND NET UNREALIZED GAINS OF \$462,889 FOR THE YEAR ENDED JUNE 30, 2021.

\* THE INFORMATION PRESENTED ABOVE HAS BEEN SUMMARIZED FOR MANAGEMENT'S PURPOSES AND DOES NOT INCLUDE ALL INFORMATION FROM THE AUDIT REPORTS ISSUED FOR THE YEARS ENDED JUNE 30, 2021, 2020, AND 2019. PLEASE REFER TO THE FULL AUDIT REPORTS FOR ADDITIONAL INFORMATION AND DISCLOSURE.



### Incoming Offender Population

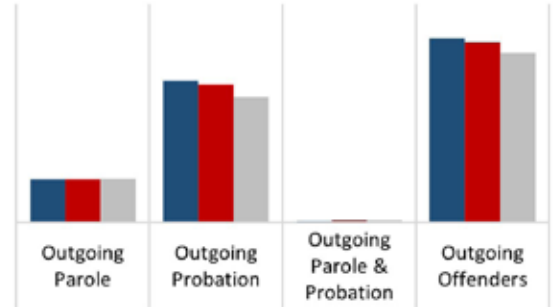
FY2019 FY2020 FY2021



FY2019	27,709	91,011	1,219	117,515
FY2020	27,695	88,249	1,374	114,922
FY2021	28,093	80,596	1,521	107,965

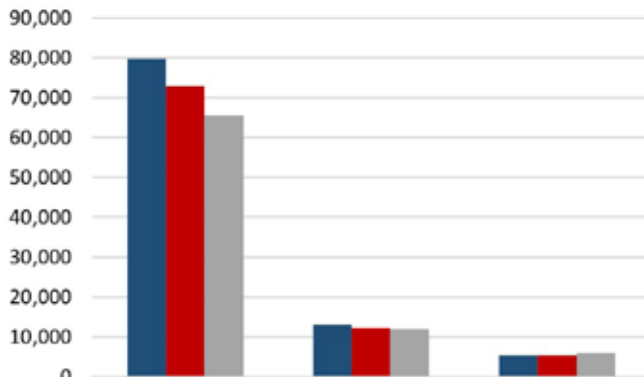
### Outgoing Offender Population

FY2019 FY2020 FY2021



FY2019	27,709	91,011	1,219	118,046
FY2020	27,695	88,249	1,374	115,452
FY2021	28,093	80,596	1,521	108,407

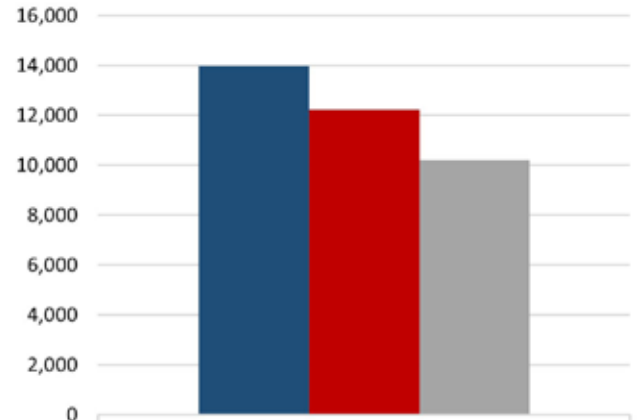
### Transfer Requests Over Time



FY 2019	79,689	13,084	5,406
FY 2020	72,857	12,096	5,247
FY 2021	65,598	12,038	5,951

FY 2019 FY 2020 FY 2021

### Violation Reports Over Time



FY 2019	13,962
FY 2020	12,206
FY 2021	10,209

FY 2019 FY 2020 FY 2021

### Case Acceptance Rates Over Time



FY 2019	78.3%	66.7%
FY 2020	77.7%	63.1%
FY 2021	78.6%	66.3%

FY 2019 FY 2020 FY 2021



3070 Lakecrest Circle, Suite 400-264  
Lexington, KY 40513  
859.721.1050  
[www.interstatecompact.org](http://www.interstatecompact.org)

\*Incoming and outgoing totals differ due to offenders with outgoing supervision from multiple sending states for different convictions who have a single receiving state.