



Great Plans for Great Outcomes!

Improving Transfer Acceptance Rates

DCA Training Institute 2022

Presenters



Tracy Hudrlik

Minnesota DCA



Miriam Dyson

Georgia DCA



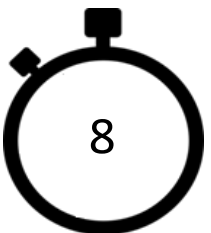
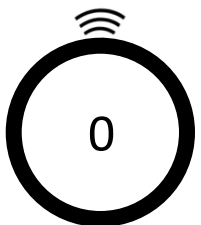
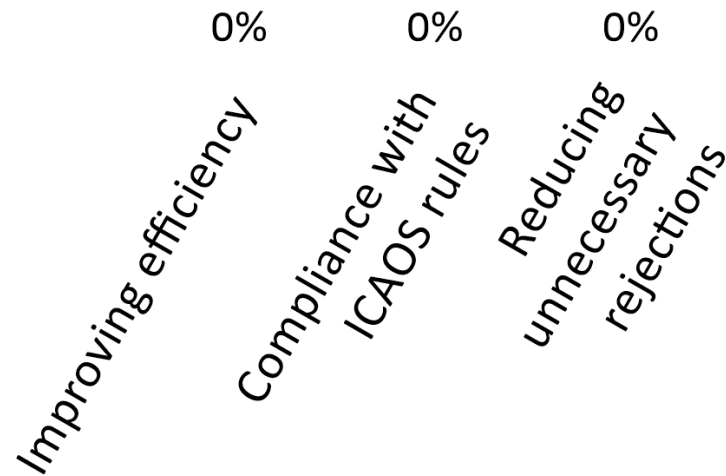
Tanja Gilmore

Washington DCA



Related to the transfer process, what areas are most important to you? (select all that apply)

1. Improving efficiency
2. Compliance with ICAOS rules
3. Reducing unnecessary rejections



FY22 Transfer Assessment Purposes

- Promote offender success, effective tracking, efficient transfer processes, and adherence to ICAOS Rules 3.101, 3.101-1, 3.101-2, and 3.104.
- Review the extent of change following the 2016 assessment.
 - Initiated based on reports of 'invalid denials'
 - Resulted in changes to Rule 3.101-2 & ICOTS
- Identify potential common factors impeding present-day acceptance rates.
- Help states gain an understanding of dashboard reports.



Transfer Assessment FY22

Purpose to promote offender success, effective tracking, efficient transfer processes, and adherence to ICAOS Rules 3.101, 3.101-1, 3.101-2, and 3.104.

Review included:

- **Acceptance Rates compared to FY15:**
 - *Data shows minimal improvement*
 - *Unverified data remains #1 reason for rejection*
- **Thorough review of cases initially rejected, subsequently accepted:**
 - *How can we get it right the first time? Improve efficiency*
- **Top 10 sending/receiving state**
 - *Improve relationships with states your state does most business*

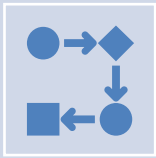
FY22 Assessment Results

Reasons for Rejection	FY2015 Discretionary	April, FY2021 Mandatory & Discretionary
Invalid/Unverified Plan	79.6%	72.1%
Offender in Receiving State w/out Permission	3.9%	4.3%
Non-qualifying Misdemeanor	2.4%	0.7%
Offender Changed Mind	2.6%	5.7%
Absconded during Investigation	0.9%	2.3%
Incomplete Request		2.9%
No Longer Eligible for Transfer		2.3%
Non-compliant Behavior / Pending Charges	0.7%	2.8%
Other	9.8%	7.1%

Sending state should WITHDRAW case, instead of requesting denial

Not a valid reason for denial; Sending state determines 'substantial compliance' Many identified in the assessment, pending charges were in the RECEIVING STATE

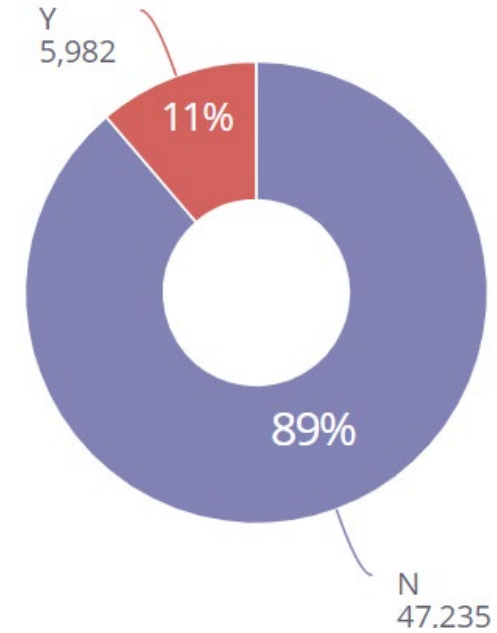
State Self-Assessments



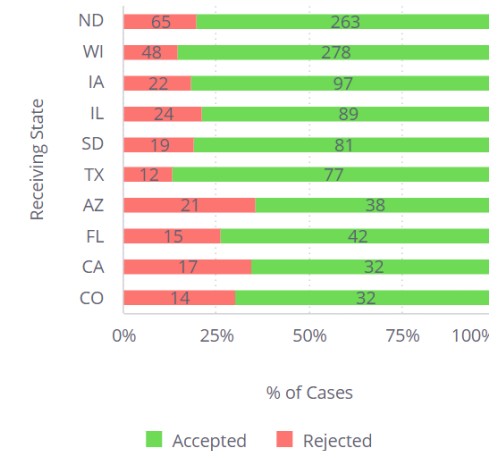
Improve Efficiencies for Cases initially rejected and subsequently accepted (counted as Accepted) How can we get it right the first time?



Focus on 'Top Ten' states with whom you do business



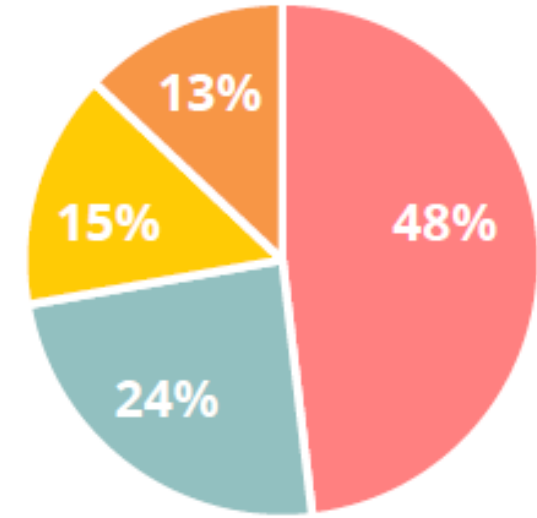
Transfer Reply Decision % - Top 10 Receiving States



State Self-Assessments

For OUTGOING Transfers

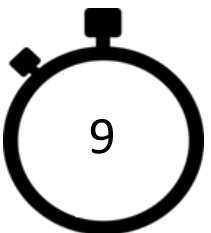
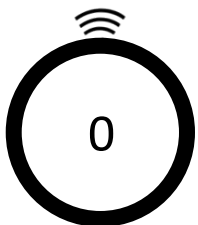
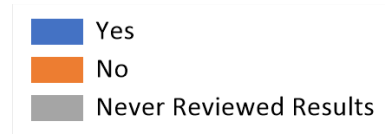
Does your compact office follow-up to ensure transfer justifications are verified through specific or defined procedures before transmission of a transfer request?



- Always
- Sometimes
- Frequently
- Not Typically

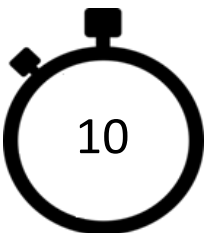
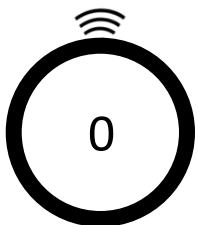
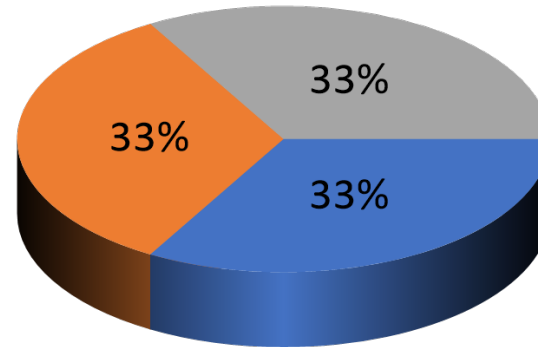
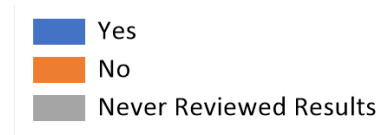
Were you surprised by your state's assessment results?

1. Yes
2. No
3. Never Reviewed Results



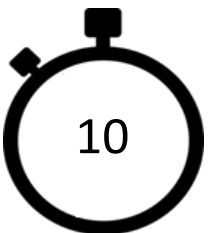
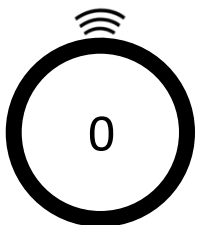
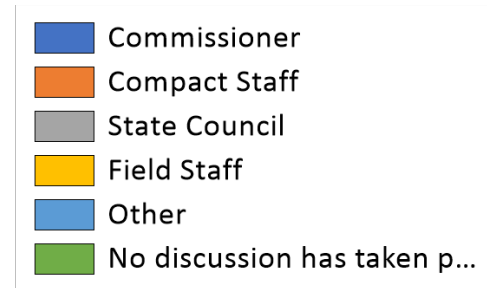
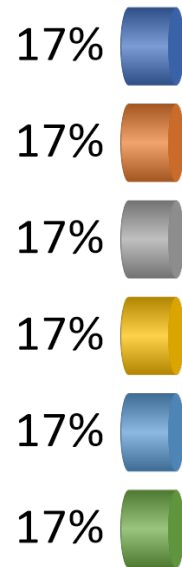
Were you surprised by the National Assessment results?

1. Yes
2. No
3. Never Reviewed Results



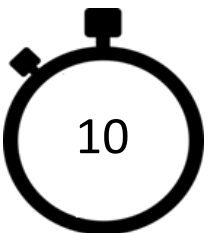
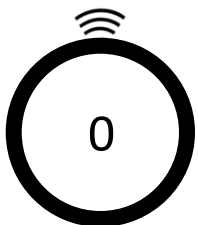
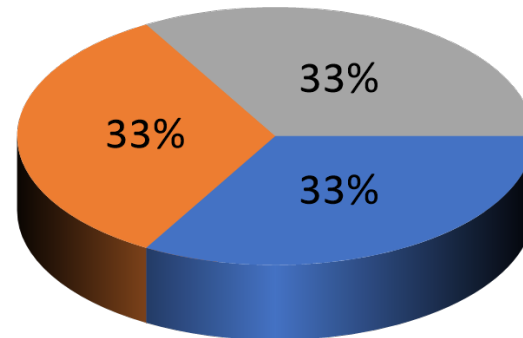
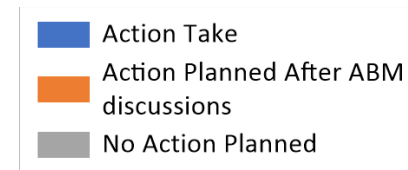
With whom have you discussed your assessment results? Select all that apply

1. Commissioner
2. Compact Staff
3. State Council
4. Field Staff
5. Other
6. No discussion has taken place



Has your state taken any actions (procedure or policy changes) in response to the assessment results?

1. Action Take
2. Action Planned After ABM discussions
3. No Action Planned





Facilitate Transfers Considering Purposes of ICAOS

Promote Public Safety

Ensure Effective Supervision & Rehabilitation



Protect the Rights of Victims

Control/Track Movement of Offenders



ICAOS Creates Circumstances to Promote Successful Supervision

Positive Relationships
& Family Support

Resources/Programs

Ensure Effective
Supervision &
Rehabilitation

Life Stability

Means of Support &
Employment

Improving Transfer Documentation Promotes Supervision Success!



Increases efficiency of the transfer process



Creates Good Business Records



Promotes compliance



Sets good examples for other users



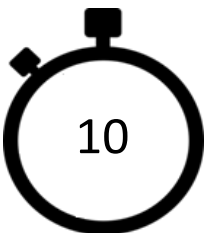
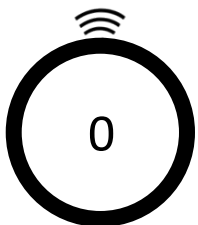
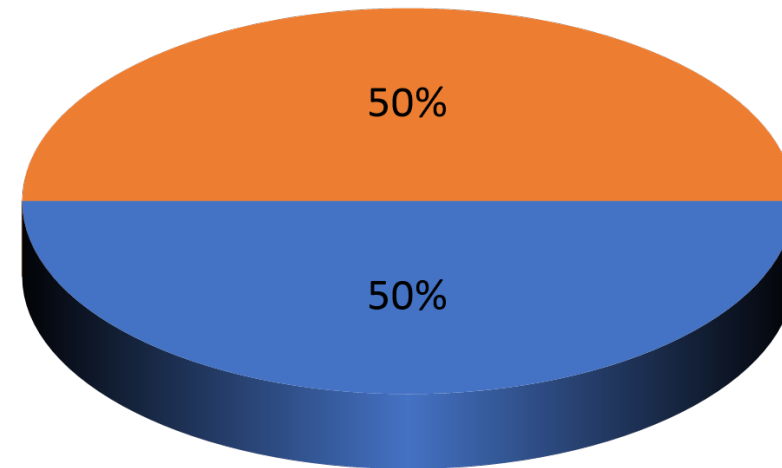
Ensures the best plan for a client to be successful on supervision

Poll Question

Did your state rejections include instances where the client was not on the lease at his or her proposed residence?



1. Yes
2. No



How do you effectively verify a plan of supervision?



Documenting a Valid Plan of Supervision

Top reason for rejection:

Investigation reveals the home situation was not as described

Valid Plan

- › Terms & conditions of supervision
- › Residence
- › Employment/Mean of Support

- Landlord issues, simple address verification, inaccurate information from client, sponsor/host.
- Does the sponsor understand and know what their role is and the plan of supervision?



Documenting a Valid Plan of Supervision

Valid Plan

- › Terms & conditions of supervision
- › Residence
- › Employment/Mean
of Support

- How are conditions of supervision going to be met?
- What is the means of support? How did you verify this?
- If the sponsor is a non-family member, what is the relationship?
- Reason for transfer should illustrate reason qualification and include any supporting documentation. Why does the client want to live (or why do they live) in the receiving state?

Justification for Transfer

Detailed & VERIFIED justifications!!!

- Why is the offender going to be more successful in the receiving state?
- Describe the support system
- Means of support
- Living situation
- Use clear, concise language; no abbreviations

~~FAILURE~~
SUCCESS



Transfer Request

Justification for Transfer for Dora Explorer

Please provide information that will establish a case for this transfer to be accepted. Details of treatment opportunities or social support systems that provide avenues of rehabilitation should be listed here.

Details

Even MANDATORY transfers require justification describing the VERIFIED plan of supervision in the Receiving State. Why is the offender going to have better chances for success in receiving state? List here...Need more room to describe? Use the attachment widget in the 'Supervision Conditions' section!



Transfer Verification Tips

- › Show your work - who did you call? When did you speak with them? Summarize the conversation.
- › Is the plan acceptable for in-state clients? Describe why.
- › Why is this the best plan for the client (physically and mentally)?



Department of
Rehabilitation & Correction

Mike DeWine, Governor
Annette Chambers-Smith, Director

Interstate Compact Transfer Checklist for Eligibility

1. At the discretion of the Sending State, a supervisee shall be eligible for transfer of supervision to a receiving state under the compact, and the receiving state shall accept transfer, if the supervisee
 - Has 3 or more months remaining on supervision?
 - Yes
 - No ***If answering no, the supervisee is NOT eligible for transfer***
2. Sending State determines whether in 'substantial compliance.'

Pending charges, warrants, detainers? If sending state is not pursuing revocation of supervision based on the charges/warrant, the supervisee is in 'substantial compliance' and eligible for transfer.

- Is in 'substantial compliance'?
 - Yes
 - No ***If answering no, the supervisee is NOT eligible for transfer***

Interstate Compact on Adult Offender Supervision

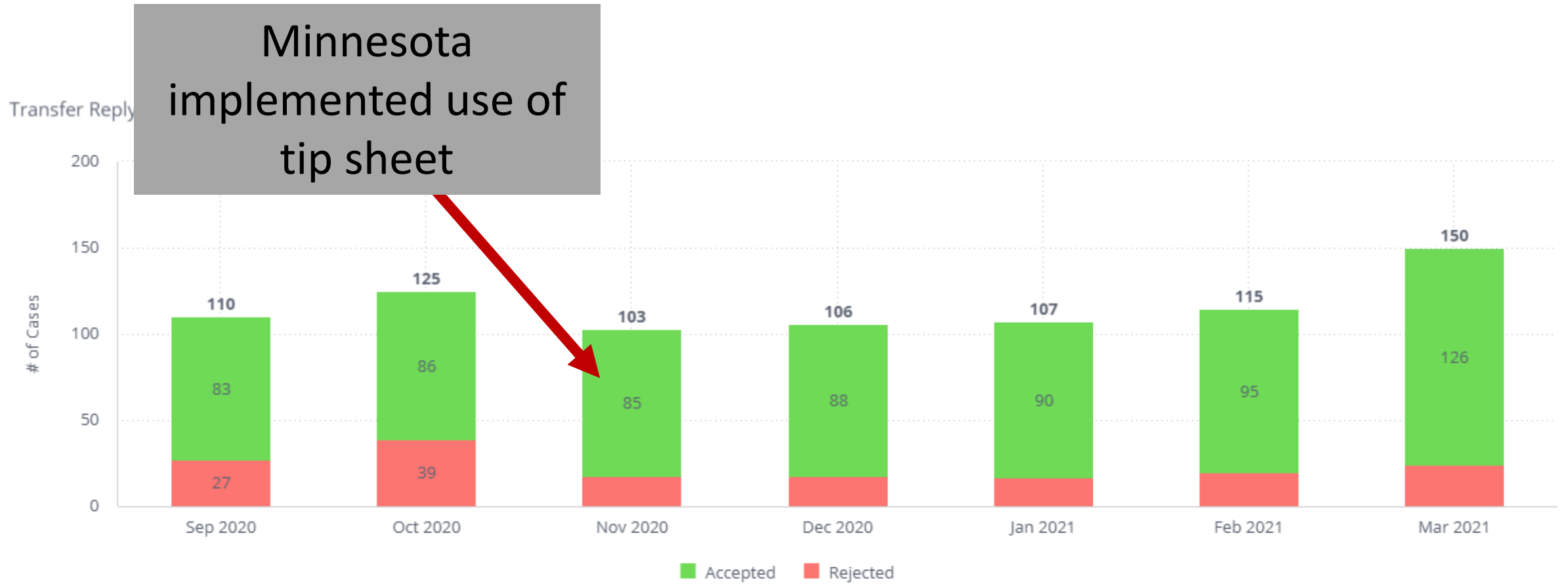
Transfer Tip Sheet-Minnesota Example

Outgoing Cases:

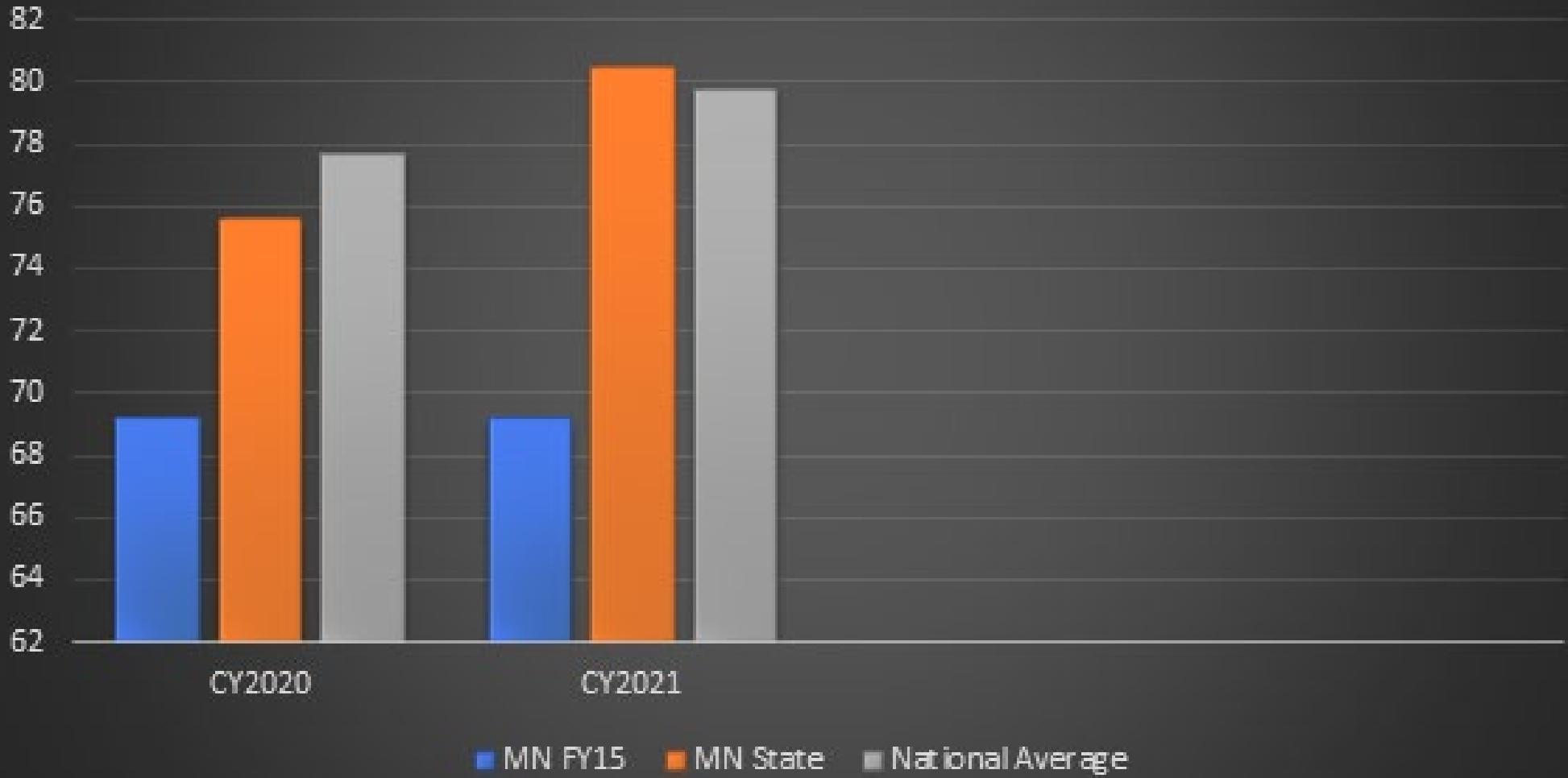
1. VERIFY the Plan of Supervision (as applicable to the plan of supervision)
 - a. Call host and verify their willingness to provide support, explain what support means
 - b. Confirm plan does not violate any conditions (SO, firearms, etc.)
 - c. Confirm address is correct- Driver's license, ID, mail to confirm?
 - d. As needed/applicable, verify with employer
2. PREPARE Host for Investigation Process
 - a. Host should be responsive to calls/inquiries from receiving state
 - b. Be prepared for a home visit
 - c. Confirm there are no violations of conditions (SO, firearms, etc.)
 - d. What kind of support are they willing to provide, expectations
3. JUSTIFY the plan
 - a. How is this plan in the best interest of the client, victim, public safety, etc.
 - b. Why is this the BEST plan for this client
 - c. Does there need to be any supporting documentation? (acceptance letters, etc.)
 - d. Support in the receiving state vs. support in MN (or lack of)
 - e. Document how plan was verified

Incoming Transfer Investigations:

1. You are investigating the plan, not the offender behavior
 - a. If plan is valid, transfer should be approved (would you allow a MN client to live in a similar situation)
 - b. Offender behavior should be addressed through progress reports or violation reports if it rises to the level of revocation.
 - c. Follow DOC policy regarding landlord contact (if articulable public risk)
2. If it is a valid denial, you must document reasons for denial
 - a. As applicable, document why this plan is not in the best interest of the client, victim, community, etc.
3. If the transfer is approved, determine ECRC and notify compact office via email



Outgoing Transfer Acceptance Rates



WASHINGTON

Case Manager Role

- Use Interstate Home Plan Verification Job Aid and Form
 - Ensure case is compact eligible
 - Identify eligibility for RFRI
 - Identify type of TR and valid home plan
 - Interview all parties related to the TR and ensure the plan is valid and everyone understands the compact process
 - Obtain supporting documentation; rent, own, occupants, letters of support, employment/means of support, etc.
- Chrono ALL steps taken to verify the home plan
- Ensure the case meets the same standards expected for an interstate investigation (do not send what you would not approve)
- Send Home Plan Verification Form to the compact office and follow email instructions

Compact Staff Role

Reverify eligibility for RFRI/TR and the validity of the home plan

Review all pertinent chronos and every attachment

If ineligible or invalid home plan, return to case manager with specific instructions and follow up accordingly

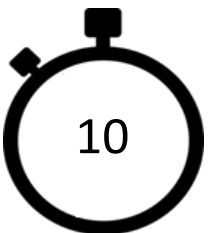
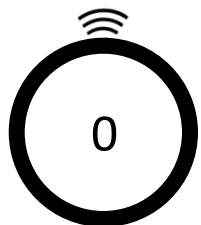
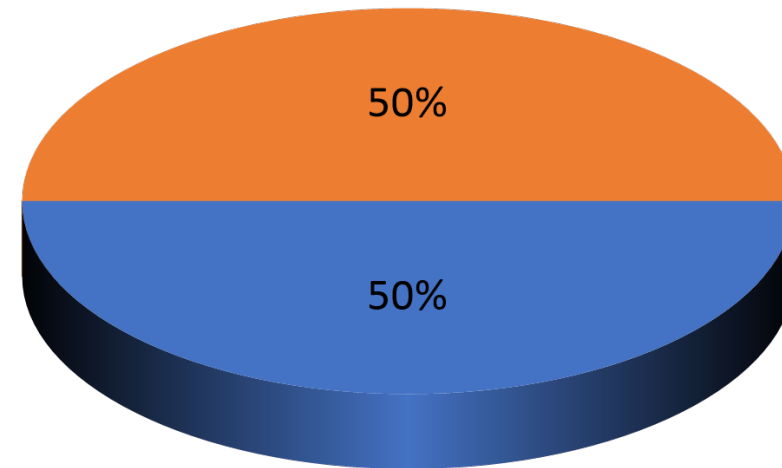
Ensure every expedited RFRI and discretionary TR was staffed with DCA or designee

Ensure every case that is submitted meets the same standard for assigning an interstate investigation (do not send what we would not assign)

Poll Question

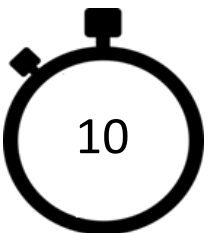
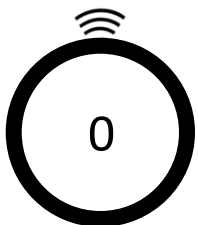
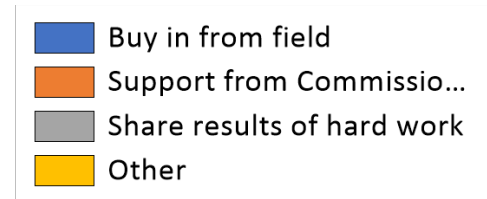
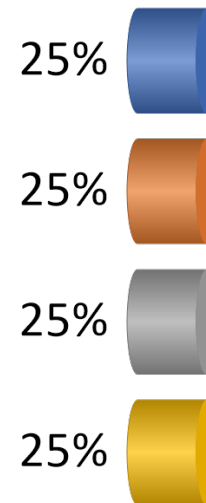
Does your office send transfer requests back to the field when they are inadequate or not verified?

1. Yes
2. No



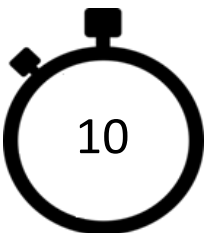
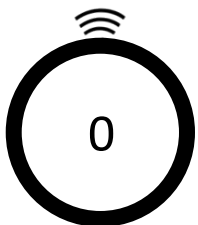
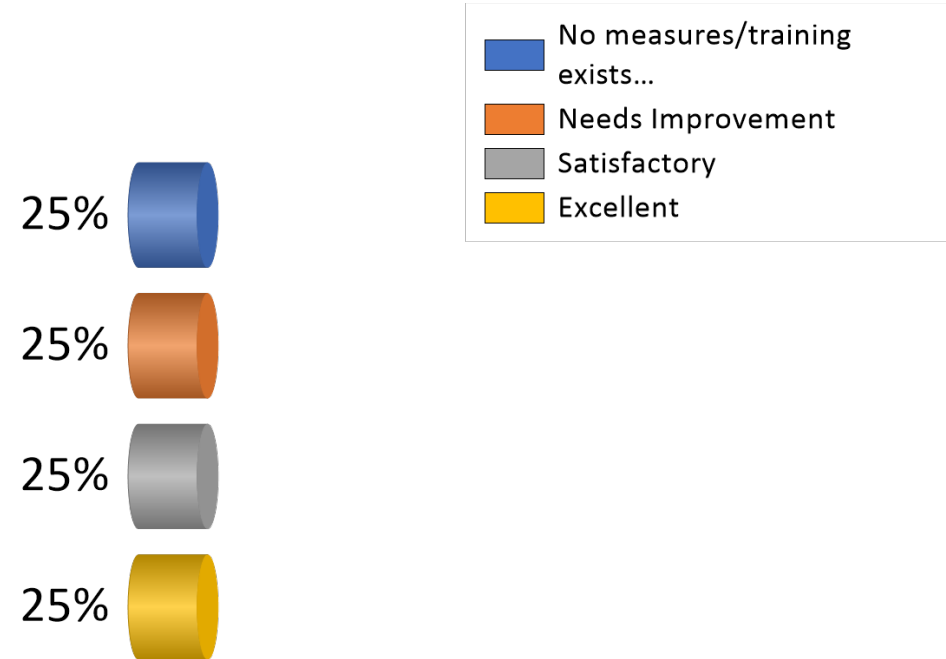
What would best improve follow-up with field staff when case information seems inadequate?

1. Buy in from field
2. Support from Commissioner
3. Share results of hard work
4. Other



What best describes your state efforts to ensure addresses are verified prior to requesting transfer.

1. No measures/training exists on verification practices
2. Needs Improvement
3. Satisfactory
4. Excellent



Improve verification practices to

- Optimize resources involved in the transfer process
- Avoid gaps in supervision
 - *For example, confirming address accuracy for those living in receiving state at the time of sentencing*
- Reduce number of sex offenders living in hotel awaiting approval

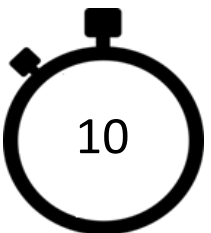
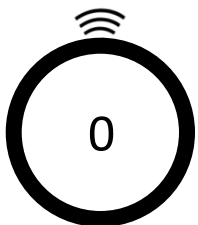
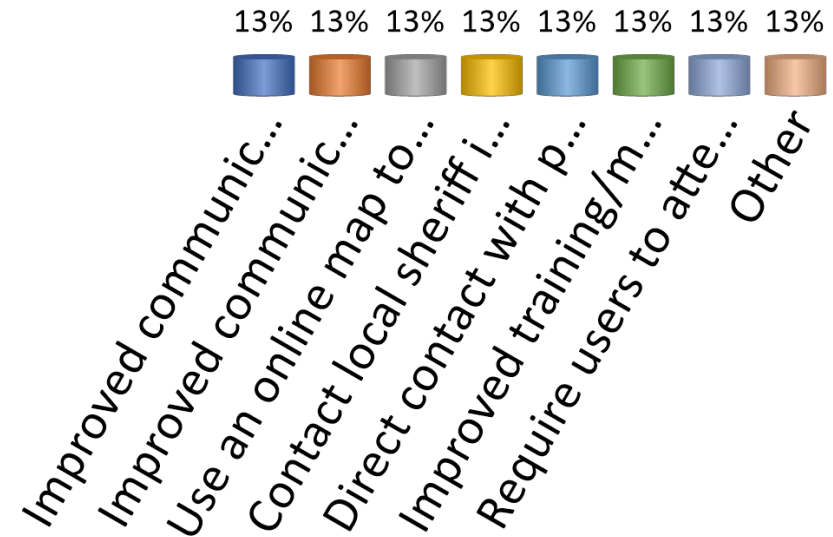


Improvement

What ways can states improve verification efforts?

Select all that apply

1. Improved communication/expectations with the client
2. Improved communication/expectations with sponsors
3. Use an online map tool, such as 'Google Maps'
4. Contact local sheriff in receiving state to confirm restrictions (e.g. sex offender residency requirements)
5. Direct contact with proposed treatment providers
6. Improved training/measures on user expectations
7. Require users to attest data is verified prior to submissions (via technology enhancement) such as new prompts or validation boxes
8. Other



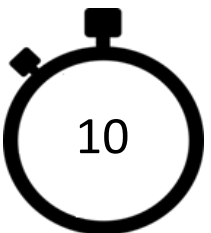
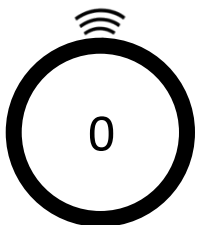
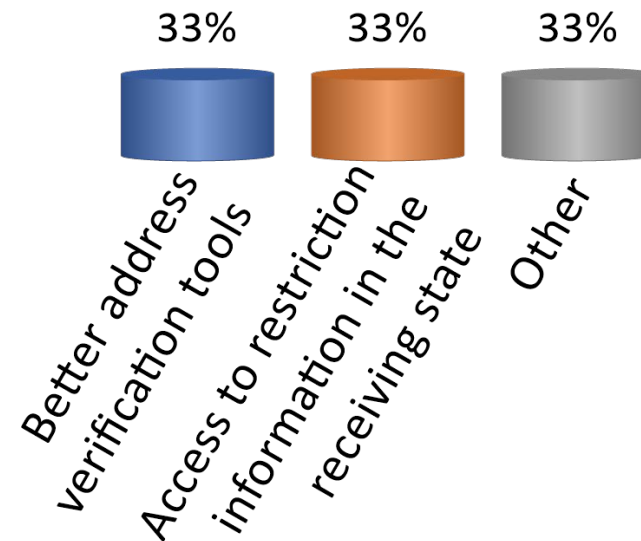
Poll Question

Did you know that sex offenders make up 9% of transfers but over 21% of transfer rejections

How can sex offender transfer acceptances improve?

Select all that apply

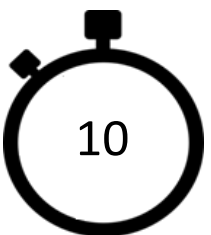
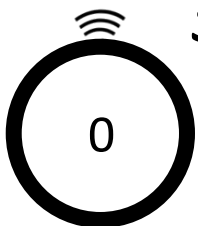
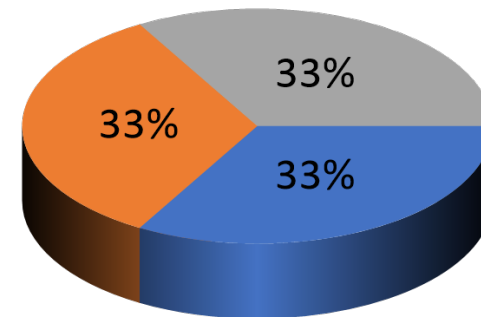
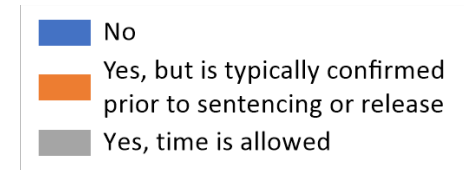
1. Better address verification tools
2. Access to restriction information in the receiving state
3. Other



Poll Question

For an instate client (*sentenced in the receiving state,*) is any time allowed for a sex offender to find a new residence when his or her residence is located in a restricted area?

1. No
2. Yes, but is typically confirmed prior to sentencing or release
3. Yes, time is allowed



Poll Question

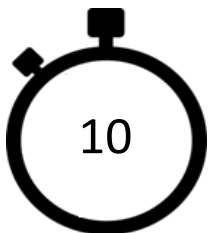
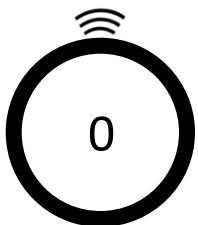
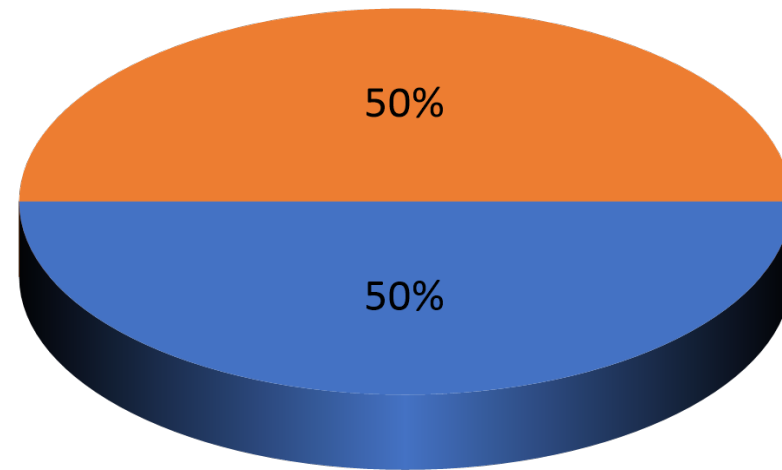
In your state's experience, does rejecting deficient transfers lead to improved sending state verification processes?



1. Yes
2. No

If no, why?

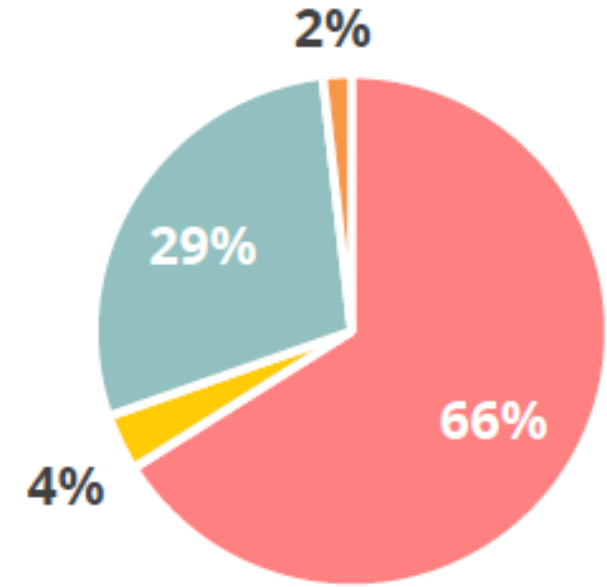
- Compact Offices rarely review rejections unless issue is elevated to them
- End users do not always understand the reason for rejection
- Other



State Self-Assessments

For INCOMING Transfers

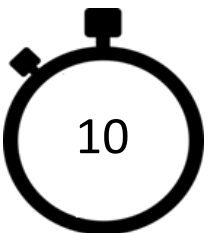
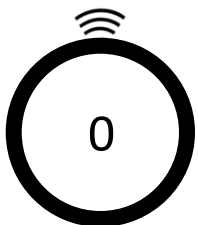
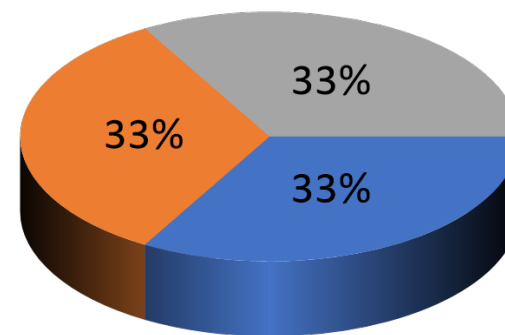
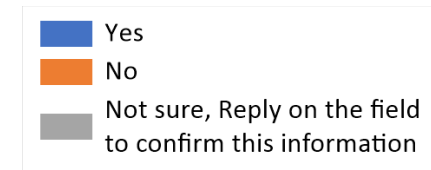
Do transfer decisions consider the purposes of the compact?



- Always
- Sometimes
- Frequently
- Not Typically

Does your state allow rejections for compact offenders when the plan would suffice for an instate offender?

1. Yes
2. No
3. Not sure, Reply on the field to confirm this information



What is the impact of the decision on the client?
Good plan versus best plan

Will a rejection merely delay the process?

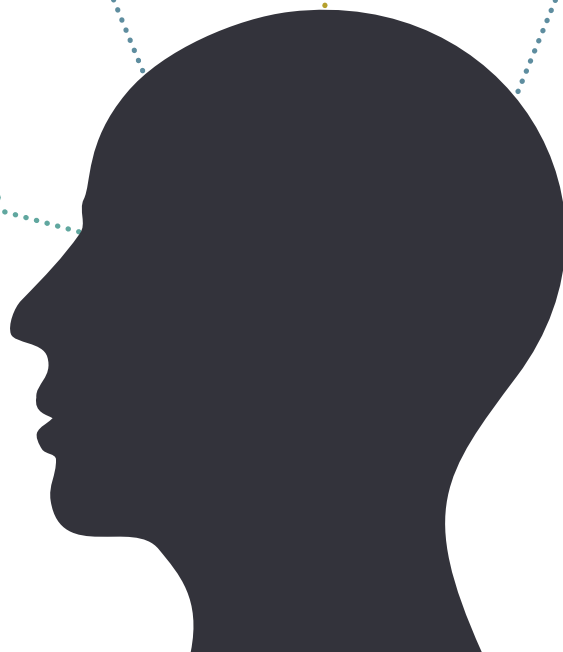


Would the decision be different for an in-state client?

Does the decision directly punish the Client?

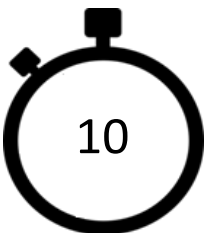
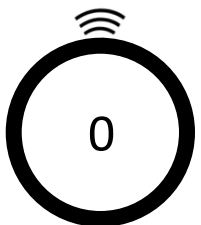
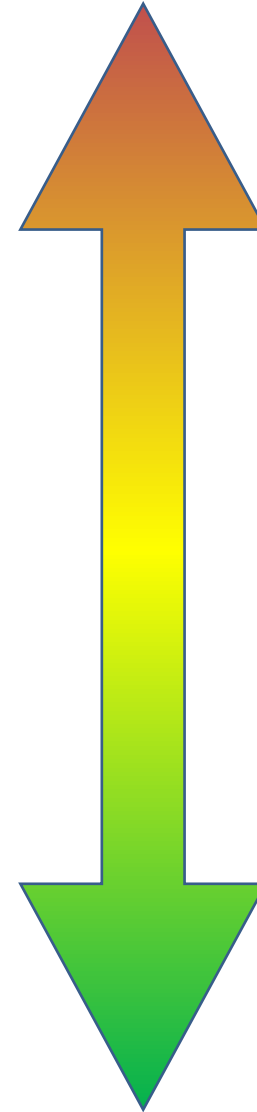


Is this a blanket rejection versus a specific one to a proposed plan?
For example, rejections merely because the sponsor is the fiancé



Where would you rate your state's perspective for incoming requests? Scale of 1 -10

1. Find ANY reason to Reject
2. Option 2
3. Option 3
4. Option 4
5. Option 5
6. Option 6
7. Option 7
8. Option 8
9. Option 9
10. Only say 'No' if absolutely must



What are your suggestions for improving acceptance rates?



Effective Communication Reminders



- The other state only knows what is in ICOTS
- Remember rules are requirements for ALL states to follow and the minimum of what is required
 - Always do more; staff should recognize things may look different from state to state
- Be clear and concise
 - Do not use abbreviations
- Provide an avenue for users to elevate issues to the compact office

Tools & Training



- › **ICAOS Quick Reference Guides:** *Relate to your own in-state processes*
 - › Courts
 - › Jails
 - › Transport/Extradition Teams
 - › Probationer/Parolee: Work WITH individuals transferring. Understanding of the process & cooperation promotes acceptance.
- › **Stakeholder Training: Keep it collaborative**
 - › *How can Compact assist?*
 - › *How can stakeholders assist the Compact?*

