INTERSTATE COMMISSION FOR ADULT OFFENDER SUPERVISION

AUDIT COMMITTEE
TELECONFERENCE MEETING

Thursday, January 12, 2006
2:00 p.m. (EST)

Committee Members in Attendance:
1. Warren Emmer (ND)
2. Dave Nelsen (ID)
3. Gregg Smith (LA – Ex-Officio)
4. Colleen Fickel (PA – Ex-Officio)

Committee Members not in Attendance:
1. Jackie Kotkin (VT)

Staff:
1. Don Blackburn
2. Ashley Kenoyer
3. Mindy Spring
4. Xavier Donnelly
5. Kelli Price
• W. Emmer started the meeting off by sharing with the committee that Compliance related problems would be in Chapters 3-5 in ICAOS Rules. There was discussion that the largest complaints are with timeframes

• D. Nelsen began the discussion regarding the Audit Process.
  o Establish an Audit Committee – this obviously has been completed.
  o Establish Audit Universe
    ▪ NACIS will provide a Risk Assessment
  o Determine audit model to be used
    ▪ NACIS will be able to provide the Auditors the information needed to assist in flagging compliance issues. Most of information can be gathered via the computer; if further investigation is warranted then a state visit will be arranged.
  o Hire Director of Audit
    ▪ This will be the Chair of the Compliance Committee
  o Draft Audit Charter / Responsibilities
    ▪ This needs to be put together and presented at the 2006 Annual Business Meeting
    ▪ There was discussion on developing QSA process until NACIS is up in order to provide the states with a baseline. Some states believe they are in compliance, when in fact they are not.
    ▪ After the states complete the QSA then the committee can report their findings at the Annual Business Meeting.
  o Establish Audit Manual
    ▪ Needs to be completed by Annual Business Meeting incorporating the goal and purpose.
  o Submit Audit Charter to Audit Committee
    ▪ The wording was changed to ‘Submit Audit Charter to Compliance Committee’
  o Obtain approval of Audit Committee
    ▪ The wording was changed to ‘Obtain Approval of Executive Committee’
  o Implement Audit Plan upon Approval
  o Report to Audit Committee (Audit Charter)

• The purpose of the Audit Committee is to determine member states comply with ICAOS rules and regulations. Discussion followed regarding the responsibilities of ICAOS and the goals of ICAOS. Under goals, the second bullet was changed to the following: Provide an opportunity for input and timely notice of victims of crime and to the jurisdiction where offenders are authorized transfer of supervision.

  o How the Audit Function Works
    ▪ Under the second bullet, the wording was changed to:
A robust audit function, will aid ICAOS in achieving its goals, provide training and education nor ensure compliance with the interstate compact rules.

The Audit function will Address

- Creating a regulatory system applicable to the interstate movement of adult offenders.
- Confirmation of implementation of the agreement by providing audited verification of member state compliance with the rules and regulations of the interstate commission.
- This can be achieved by reviewing ICAOS Member Web Page and preparing a “perm file” that documents the appropriate responsible officials for interstate compact for each state.
- By performing an on-site visit, an auditor/audit team will be able to:
  - Review policies and procedures of the member state;
  - Interview interstate compact staff regarding procedures’ observe the interstate compact business process;
  - Review state statutes to ensure agreement with the Interstate Compact Agreement as adopted on August 1, 2005 and amended through January 1, 2006.
  - Confirm appropriate interstate compact forms are utilized to affect interstate transfers of Adult Offenders. (NACIS Electronic Information System)
  - Initially, this confirmation can be achieved by preparing a quality self-assessment that is administered electronically so the elements listed above can be gathered and compared in a risk analysis process. The benefit of implementing this type of a process provides a more focused audit.
  - The risk assessment process would not eliminate the need to visit each member state. The risk assessment would focus the first stages of the audit function to ensure efficient and appropriate use of resources.

Establish a system of uniform data collection

- Data collection is an important element of the success of the ICAOS mission and purpose. If data is not comparable, accurate and uniform, the purpose of the ICAOS is put at risk.
- Audit is a necessary function of Data Collection to ensure the correct and appropriate information is recorded by each member state. Auditing the data collection process will pinpoint discrepancies in reporting procedures as well as ensure data that is reported meets standard criteria ensuring uniformity.
- Data collection may be validated by a site visit to the member state’s interstate compact office by an auditor/audit team.
o Provide access to information on active cases to authorized criminal justice officials. The section (The audit function, in performed correctly will provide assurance to all users that the information gathered by ICAOS is reliable and can make informed decisions.) was deleted.

o Coordinate regular reporting of Compact activities to heads of state councils, state executive, judicial and legislative branches and criminal justice administration. The first bullet was stricken. The second bullet now reads: Independent review of the information and the ability to track the information to its source provides assurance as to the reliability and integrity.

● Structure of the audit function:
  o Self Reporting (QSA)
  o Centralized
    ▪ Electronic Data Collection
  o Regional

● Meeting adjourned at 3:30 p.m. EST.