

 Interstate Commission for Adult Offender Supervision	Policy Number 03-2008	Page Number: 1
ICAOS Administrative Policy Guidelines for Resolving Compliance Issues	Dated: 08/01/2008 Reviewed: 10/01/2014	

I. Authority

The Executive Committee is vested with the power to adopt a policy on behalf of the Interstate Commission during periods when the Interstate Commission is not in session. The Executive Committee oversees the day-to-day activities managed by the Executive Director.

II. Applicability

This policy applies to Commissioners, Compact Administrators, Deputy Compact Administrators, State Legal Representatives and all persons engaged in the business of the compact.

III. Policy

- A. This policy establishes a proactive process for resolving non-compliance issues prior to a referral to the Compliance Committee.
- B. The guidelines are intended to promote resolution of such issues through positive interaction and only seek to invoke punitive sanctions in the most serious cases and/or only as a measure of last resort.
- C. While the guidelines set forth in this policy are intended to assist member states with non-compliance problems by promoting positive working relationships and solutions, it is recognized that this process may not be applicable in all cases and it is not intended to circumvent the powers and duties of the Commission to enforce the provisions of the Compact as specified by statute or rules.

IV. Procedures

- A. When a non-compliance matter or complaint comes to the attention of the National Office, it will respond by taking the action identified in Level One and continue up the continuum through Level Five or until the issue is considered resolved.
- B. Five levels for guiding the Commission on compliance matters are identified and outlined. They are as follows:
 - 1. Level One: The Executive Director makes contact with the involved Commissioners and attempts to resolve the matter to the satisfaction of both

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parties. If the matter cannot be resolved it is advanced to Level Two for additional action.

2. Level Two: The Executive Director continues to work to identify an acceptable solution by consulting with the appropriate standing committees, i.e. rules, training etc.
3. Level Three: The Executive Director attempts to resolve the matter by offering technical assistance to include, securing the assistance of subject matter experts, on-site training, assistance with completing a self assessment audit etc.
4. Level Four: The Executive Director has exhausted attempts to resolve the compliance problem using the methods identified in the first three levels. The Executive Director prepares a report to the Executive Committee recommending that the matter be referred to the Compliance Committee for further action. (See: Compliance Policy and Procedure for Investigating Allegations of Non-Compliance)
5. Level Five: The Compliance Committee finds the non-compliant state in default and assesses a penalty. (See: Compliance Policy and Procedure for Investigating Allegations of Non-Compliance)