

	<b>Interstate Commission for Adult Offender Supervision</b>	<b>Policy Number</b>  <b>01-2019</b>	<b>Page Number:</b>  <b>1</b>
	<b>ICAOS Administrative Policy</b>  <b>Compliance Sanctioning Guidelines</b>	<b>Dated: February 20, 2019</b>	

**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	1 <sup>ST</sup> OFFENSE	2 <sup>ND</sup> OFFENSE	3 <sup>RD</sup> OR SUBSEQUENT OFFENSE
	\$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