



COMPLIANCE COMMITTEE REPORT

Interstate Commission for Adult Offender Supervision

2020 Annual Business Meeting

To: Commissioners of the Interstate Commission for Adult Offender Supervision

From: Allen Godfrey, Chair, Compliance Committee and Commissioner, State of Minnesota

Compliance Committee Members

Allen Godfrey (MN), chair, commissioner
Cathy Gordon (MT), commissioner
Amy Vorachek (ND), commissioner
Jacey Rader (NE), commissioner
Merideth McGrath (CO), commissioner

Hope Cooper (KS), commissioner
Dale Crook (VT), commissioner
Diann Skiles (WV), commissioner
Suzanne Brooks (OH), Ex-officio member, DCA
Tina Balandran (TX), Ex-officio member, DCA

The Compliance Committee is responsible for monitoring compliance of member states with the terms of the Compact and the Commission's rules. In addition, the committee is responsible for developing appropriate enforcement procedures for the Commission's consideration.

Goals and Objectives

The Committee has set three specific goals for this year:

1. Continue to review compliance trends and make recommendations if necessary.
2. Meet and review compliance issues within 30 days of an Executive Committee referral.
3. Develop processes to enhance proactive compliance by monitoring trends and working collaboratively with other committees.

Compliance Issues and Outcomes

During the reporting year, the committee reviewed and made recommendations to the Executive Committee on the following matters:

- **November 18, 2019:** Reviewed dashboards yearly to determine which states, if any, were below 80 percent over four consecutive quarters in a fiscal year. Three states had five or more consecutive quarters below 80 percent on compliance standards and were required to submit a corrective action plan within 30 days.
- **January 13, 2020:** Addressed one formal complaint for allowing the state courts to release an interstate compact offender with an active nationwide warrant. The complaint was not substantiated and applicable training was recommended.

One state did not respond to the FY19 and FY20 audits and failed to provide a corrective action plan within 30 days for failing to meet compliance standards. Recommended the state submit a corrective action plan within 10 days or incur a \$3,000 fine. The state was also in fault for failing to pay its annual dues within 120 days of the fiscal year. Matter was referred for legal enforcement.

- **February 10, 2020:** Compliance and Rules Committees representatives collaborated on planning for the FY21 audit that included documenting action steps taken by each state to address any deficiencies found in issuing warrants and retaking.
- **April 13, 2020:** Given declarations of emergency from the federal and state governments that impacted Compact members' ability to comply with timelines and procedural requirements as outlined in the Commission's rules, recommended temporarily suspend enforcement of compliance dashboard indicators. Tracking and documenting of dashboards indicators will continue. Recommended FY21 audit is postponed until the next year.

Dashboard Trends

States' adherence to the outcomes measured across the compliance dashboard continued to trend upward in four of the six primary categories. Between FY16 and FY20, significant compliance increases occurred in Case Closure Replies (2.8%) and Violation Responses (4.4%). While Case Closure Notices and Requested Progress Reports have leveled, they remain relatively high for compliance.

Compliance Standard	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	5 Year Change	3 Year Change
Case Closure Notices	96.6%	96.2%	96.2%	96.2%	96.4%	-0.2%	0.2%
Case Closure Replies	89.2%	89.8%	90.1%	91.1%	92.0%	2.8%	1.9%
Requested Progress Reports	95.7%	96.4%	88.1%	88.8%	91.1%	-4.6%	3.0%
Violation Responses	84.3%	86.0%	86.1%	88.2%	88.7%	4.4%	2.6%
Transfer Request Replies	90.4%	91.0%	92.0%	93.2%	93.2%	2.8%	1.2%
RFRI Replies	97.2%	97.0%	97.1%	97.8%	97.4%	0.2%	0.3%

Respectfully submitted,

Allen Godfrey

Allen Godfrey
 Chair, Compliance Committee
 Commissioner, State of Minnesota