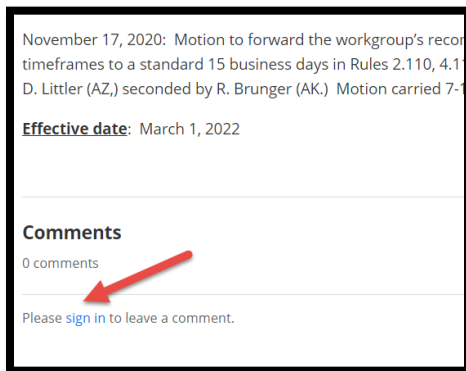


2021 ICOTS Enhancement Proposal

In accordance with Administrative Policy 2-2018, one (1) ICOTS Enhancement Requests is posted for comment to be considered for approval by the Commission at its Annual Business Meeting this fall. Please review the warrant tracking proposal and functional specifications and discuss them within your offices, with stakeholders and in your ICAOS regional meetings. Comments may be posted to the Discussion Forum until 5:00pm ET, Tuesday June 1, 2021. Your comments provide valuable guidance to the Technology Committee in finalizing these proposals. In accordance with the policy, the Technology Committee shall prepare a final draft (to be published at least 30 days prior to vote) for deliberation and approval at the Annual Business meeting of the Commission (scheduled for September 29, 2021.)

To Comment on the Proposal and Functional Specifications, Click the links below, scroll to the bottom of the page to sign in.



- [ICOTS enhancement to Track Warrant Status & New Discretionary Retaking Activity](#)
- [ICOTS enhancement to Track Warrant Status & New Discretionary Retaking Activity – Functional Specifications](#)

Proposal to modify/enhance ICOTS application:

Create ICOTS Processes to Track Warrant Status and New Activity for Discretionary Retaking

Proposed by: Rules & Technology Committee

Users Impacted:

PO (Field User), Supervisor, Compact Office

Statement of Need:

In November 2020, the ICAOS Rules Committee formally recommended an ICOTS enhancement to create new managed warrant tracking process for compact offenders. This recommendation aimed to provide an effective tracking, communication, and measurable compliance tool.

Importantly, there will also be proposed rule amendments related to warrants. However, the ICOTS enhancement will be considered as a separate vote at the 2021 ABM.

‘Warrant’ – means a written order of the court or authorities of a sending or receiving state or other body of competent jurisdiction which is made on behalf of the state, or United States, issued pursuant to statute and/or rule and which commands law enforcement to arrest an offender. The warrant shall be entered in the National Crime Information Center (NCIC) Wanted Person File with a nationwide pick-up radius with no bond amount set.

The Technology Committee approved functional specifications for a new ‘warrant status,’ initiated by retaking or failure to report and new activity for ‘Discretionary Retaking.’ The Technology Committee recommended three components to this enhancement proposal:

1. New Warrant Status for ICOTS records: User entered data related to compact compliant warrants.
2. New email notifications managing the Warrant Status information based on triggers (Failure to Arrive, Disc Retaking, Mandatory Retaking, updates to Warrant Status information)
 - a. Warrant Status Needed-when no warrant record exists and/or data fields for ‘Issuing authority’ and ‘NCIC verification date’ are NULL
 - b. Warrant Status Updated-when any data is added to a warrant record
3. New managed activity for Discretionary Retaking

Current Practices:

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States continue to face significant challenges identified in the FY2020 Warrant Audit. Reported delays (primarily probation cases) result from multi-step processes involving various stakeholders and a lack of consistent or identified tracking efforts. Moreover, although the ICOTS Dashboards provide data on cases where a warrant is required, (e.g., failure to arrive, warrant issued/requested) tracking warrants and warrant compliance is accomplished outside of ICOTS.

The following information is drafted by the Technology Committee:

Justification of Enhancement Priority:

The need to track warrants in ICOTS, although discussed in prior years, was a focal point in the FY2020 Warrant Audit. That audit asked states to provide data on randomly selected absconder cases. Data gathered in the audit had flaws due to inconsistent self-reporting. Further, 21 percent of cases were unsuitable for audit.

Provision of warrant-related tracking data in ICOTS would enhance public safety, compliance measurement, and reporting capacity as defined by Compact goals.

Region/Committee action:

Rules Committee Nov 2020: Commissioner D. Littler (AZ) moved to adopt the workgroup's rule proposal package (*which includes a warrant tracking ICOTS enhancement*) expanding the timeframe for issuing compact compliant warrants to a standard 15-business day for Commission's consideration at the 2021 Annual Business Meeting. Commissioner R. Brunger (AK) seconded. Motion passed 7 to 1.

Impact on Other ICOTS Processes:

Current activities for Violation Responses of 'Warrant Requested/Issued' (transmitted by a sending state) and Notice of Failure to Arrive (transmitted by a receiving state) will trigger the Warrant Status Needed notification. Also, the new process for Discretionary Retaking in this proposal will trigger the notification.

Impact on External Data:

All the new data fields created to track the special status will be added to the daily ICOTS data export in a new table. States will be able to monitor and audit details entered on warrants as well as compliance with ICAOS rules requiring warrant issuance.

Development Cost:

\$XX,XXX {TBD}

Functional Specifications Drafted by National Office:

Permissions & Description of Workflow

Discretionary Retaking

Only the sending state assigned user will create the new compact activity and may withdraw the activity at any time (including after transmission) until case closure. This activity will only occur when invoking Rule 5.101(b) due to triggering the need for a new Warrant Status Record. This retaking workflow will mirror the progress report workflow and notifications with the caveat that it will originate from the sending state. It will follow the normal workflow on the SENSTA side, PO->Supervisor->Compact Office. When transmitted to the RECSTA, the activity will become final except for the assigned user's ability to withdraw.

This process will not apply to offenders ordered to return in-lieu-of-retaking under Rule 5.101 (a) or 5.103 (b). Rather, those offenders will use the existing return reporting instruction procedure.

Warrant Status

Functionality included will allow the sending state-assigned PO, supervisors, and compact office to create/update the Warrant Status data. The compact staff will not need to reassign the case to themselves to add a warrant status update. The Warrant Status record will allow for multiple entries by various users with a time/date audit trail of ICOTS user entry data. Addition of warrant data will be available for any active or historical record (absconder cases are closed in ICOTS.)

For example, the assigned PO may initially create the warrant status record entering data elements related to the date a warrant request was sent to the issuing authority and contact information for the issuing authority. As the process advances, a compact office user may provide additional data to the record such as the warrant number (NIC number) and NCIC verification date. The record remains 'active' in ICOTS to allow for additional details until data is entered that the warrant has been served or withdrawn. At that time, the record is 'read-only.'

Email Notifications for Warrant Status Process

Create two new types of email notifications:

1. 'Warrant status needed' All users associated with the case in the sending state will receive these email notifications (PO, Supervisor, Compact Office)
2. 'Warrant status updated' All users associated with the case in both the sending and receiving states will receive these email notifications (PO, Supervisor, Compact Office)

"Warrant Status Needed"

This email notification reminds users that warrant status information is needed in ICOTS. Emails are prompted when no warrant status records exist or are incomplete (Issuing authority and NCIC verification date are NULL) and triggered by:

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- Discretionary Retaking (New Activity)
 - a. Timeframes:
 - i. Upon transmission of Discretionary Retaking Activity
 - ii. 5, 10, 15, and 30 calendar days after the activity
 - b. Stop Triggers:
 - i. Withdraw of Discretionary Retaking Activity
 - ii. Warrant Status is updated to indicate warrant execution
 - iii. Warrant Status is updated to indicate warrant withdrawal
 - iv. Compact Case closure
- Failure to Arrive Notice:
 - a. Timeframes: 5, 10, 15, and 30 calendar days after FTA
 - b. Stop Triggers:
 - i. Successful NOA transmitted after NOFA
 - ii. Warrant Status is updated to indicate warrant execution
 - iii. Warrant Status is updated to indicate warrant withdrawal
 - iv. Compact Case closure or withdrawal
- OVR Response w/ Warrant Issued/Requested
 - a. Timeframes: 5, 10, 15, and 30 calendar days after OVR Response
 - b. Stop Triggers:
 - i. Mandatory Retaking obligation removed by receiving state compact office (post-2021 enhancement)
 - ii. Warrant Status is updated to indicate warrant execution
 - iii. Warrant Status is updated to indicate warrant withdrawal
 - iv. Compact Case closure (except absconders)

Sample Email

Below is sample language for this new email notification. Text in red is language not previously used on ICOTS email notifications.

ER_2021_01_CreateWarrantTrackingProcess_Technology

*From: ICOTS Notification <icots@globalnotifications.com>
Sent: {DATE}
To: {USER EMAIL}
Subject: Warrant Status Update information is NEEDED for {STATE} offender
{OFFENDER_NAME} ({OFFENDER_ID})*

This email is a notification that Warrant Status update information is NEEDED for {STATE} offender {OFFENDER_NAME} ({OFFENDER_ID}), based on {Notification Trigger Reason (see note at bottom)}.

**IMPORTANT*: Arrests should not occur based on this information alone. Warrant Status does not necessarily indicate an active NCIC warrant, though the process of issuing a warrant may have been initiated. Inaccurate information should be reported to your state compact office immediately.*

*Offender Name: {OFFENDER_NAME}
Age: {Age based on DOB}
ICOTS Offender #: {OFFENDER_ID}
ICOTS Case #: {COMPACT_CASE_ID}
Sending State: {SENSTA}
Receiving State: {RECSTA}
Supervision Type: {SUPERVISION_TYPE}
Special Status: {SPECIAL_STATUS_LIST}
Offender Profile: {OFFENDER_PROFILE_URL}*

NOTICE: This electronic mail transmission is for the use of the named individual or entity to which it is directed and may contain information that is proprietary and/or confidential. It is not to be transmitted to or received by anyone other than the named addressee (or a person authorized to deliver it to the named addressee). It is not to be copied or forwarded to any unauthorized persons. If you have received this electronic mail transmission in error, delete it from your system immediately without copying or forwarding it, and notify the sender of the error by replying via email, so that our address record can be corrected.

“Warrant Status Update”

This email notification is sent to all associated users in both the sending and receiving states upon entry of new warrant status data on an existing warrant record.

Sample Email

Below is sample language for this new email notification. It includes a display of a select number of data fields from the warrant record entered in ICOTS. Text in red is language not previously used on ICOTS email notifications.

Data elements added prompting this email notification will display a ‘NEW’ flag in the email notification.

ER_2021_01_CreateWarrantTrackingProcess_Technology

*From: ICOTS Notification <icots@globalnotifications.com>
Sent: {DATE}
To: {USER EMAIL}
Subject: A Warrant Status Update for {STATE} offender {OFFENDER_NAME}
{OFFENDER_ID} has been submitted*

This email is a notification that a Warrant Status Update for {STATE} offender {OFFENDER_NAME} {OFFENDER_ID} has been submitted.

*Date Warrant Requested of Issuing Authority: {DATE} {NEW}
Date Warrant Issued: {DATE} {NEW}
Issuing Authority Name: {NAME} {NEW}
Warrant Identifier Number (NIC #): {NUMBER} {NEW}
Date Warrant Entered in NCIC: {DATE} {NEW}
Date Warrant Served Record Became "Read Only": {DATE} {NEW}
Date Warrant Withdrawn Record Became "Read Only": {DATE} {NEW}
Warrant Status Comments: {TEXT SAMPLE} {NEW}*

**IMPORTANT*: Arrests should not occur based on this information alone.
Warrant Status does not necessarily indicate an active NCIC warrant, though the
process of issuing a warrant may have been initiated. Inaccurate information
should be reported to your state compact office immediately.*

*Offender Name: {OFFENDER_NAME}
DOB: {DOB_LIST}
ICOTS Offender #: {OFFENDER_ID}
ICOTS Case #: {COMPACT_CASE_ID}
Sending State: {SENSTA}
Receiving State: {RECSTA}
Supervision Type: {SUPERVISION_TYPE}
Special Status: {SPECIAL_STATUS_LIST}
Offender Profile: {OFFENDER_PROFILE_URL}*

*NOTICE: This electronic mail transmission is for the use of the named individual
or entity to which it is directed and may contain information that is proprietary
and/or confidential. It is not to be transmitted to or received by anyone other than
the named addressee (or a person authorized to deliver it to the named
addressee). It is not to be copied or forwarded to any unauthorized persons. If you
have received this electronic mail transmission in error, delete it from your
system immediately without copying or forwarding it, and notify the sender of the
error by replying via email, so that our address record can be corrected.*

Additional Notes

- Data will include a clear audit trail of who, what, and when an entry is made.
- Each state will need to determine how to train on these new processes as procedures to obtain compact compliant warrants varies by state.
- States will need to determine lines of communication to ensure ICOTS privacy policy compliant data entry.
- Users must know that ICOTS/ICAOS does not confirm active/compliant warrants.
- Include this disclaimer on the warrant status screens in ICOTS as well as on every email notification regarding warrant status updates:

“Arrests should not occur based on this information alone. Warrant Status does not necessarily indicate an active NCIC warrant, though the process of issuing a warrant may have been initiated. Inaccurate information should be reported to your state compact office immediately.”