



STATE OF IOWA

KIM REYNOLDS, GOVERNOR
ADAM GREGG, LT. GOVERNOR

DEPARTMENT OF CORRECTIONS
BETH A. SKINNER, PhD, DIRECTOR

September 24, 2019
Governor Kim Reynolds
Legislative Services Bureau
Todd Nuccio, State Court Administrator

Dear Governor, Senators, Representatives, and To Whom It May Concern,

We write to you regarding the FY2019 Annual Report on the Interstate Commission for Adult Offender Supervision. Pursuant to Iowa Code section 907.8, the Department of Corrections submits its annual reporting relating to the Interstate Commission for Adult Offender Supervision (ICAOS) administered under section 907.B. You will find the report enclosed.

In reviewing the report, there are several details we would like to highlight for your awareness and consideration. As you will notice, the national trend in compliance with ICAOS standards has been positive year over year since FY2013. We'd like to further point out that the State of Iowa has performed well in meeting these standards for many years. In fact, Iowa has outperformed the national trend in the timeliness of reporting instructions replies, violation report responses, progress reports and case closure notices and replies since FY2013. This has been made possible by the diligent work of our staff in the Department that work to ensure our fidelity to standards, and by your support for our duties.

Thank you for your review and consideration of this annual report, and if any additional information may be provided, we would meet any requests as swiftly as possible.

Sincerely Yours,

A handwritten signature in blue ink, appearing to read "BS", with a long, sweeping underline.

Beth A. Skinner
Department Director

A handwritten signature in blue ink, appearing to read "Charles R. Lauterbach", with a long, sweeping underline.

Charles Lauterbach
ICAOS Program Director

The mission of the Iowa Department of Corrections is:
Creating Opportunities for Safer Communities

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INTERSTATE COMMISSION
FOR ADULT OFFENDER
SUPERVISION

STATE LINE

FISCAL YEAR
2019
ANNUAL REPORT

A LETTER FROM THE CHAIR

It is hard to believe how quickly fiscal year 2019 came and went. I officially began my tenure as Commission chair this year and I am proud to highlight and share our accomplishments with our members, partners, and stakeholders. The Commission continues to make notable strides within our policy and work. Efforts that wouldn't be possible without the collaboration and expertise of commissioners, deputy compact administrators, and national office staff who navigate the complex landscape of interstate compact across the country.

As you read this report, you will see there is a lot worth celebrating. From witnessing long-running projects wind down to new efforts getting underway, fiscal year 2019's report reinforces how important our work is, and how much we rely on our partners to make it a reality. By uniting our cause, we are able to create far more impact. For this reason, my vision for the Commission includes expanding our collaboration with other justice centered organizations to create new opportunities and help measure the Compact's success.

Throughout the year, robust and meaningful discussions paved the way for technological advancements such as dashboard compliance notifications, ICOTS enhancements, and an online state council toolkit. We published policies for filing complaints, sanctioning states and enhancing ICOTS. New opportunities surfaced this year to educate federal partners like the Global Justice Information Sharing Advisory Committee and the Criminal Justice Information Services Division of the FBI, which are leading to warrant tracking and data sharing possibilities that support the Commission's mission to ensure public safety and improve supervision strategies.

This report also highlights the success of the fiscal year 2019 audit on states' policies and procedures for ICOTS use. The report is a precursor to the upcoming audit on warrants. That audit report has generated significant discussions this year and prompted a review of the Commission's rules around warrants. Other rules for Commission consideration this year are revisions to the sex offender and victim notification rules. After careful deliberation over the past two years, the rules committee proposes significant updates to rules which have not been updated since their passage over ten years ago.

Another much needed review occurred this fiscal year with the Commission's bench book and advisory opinions. A comprehensive editorial review of the bench book lead to added commentary, updated legal citations and improved judicial instruction. Further, a review of 52 published advisory opinions resulted in the retirement of sixteen outdated opinions. This is all in preparation of a new online tool that searches and cross references the Commission's legal documents, rules and related resources so individuals can locate information on a specific topic, rule or process at the click of a button.

This report also serves as an important piece of accountability, not just financially, but from a mission perspective as well. It is critical to ask ourselves: Are we listening to our members and ensuring everyone has a voice? Are we helping to enact policy change at the state level when needed? Are we living up to our ideal to support evidence based practices? I am proud to say that this report illustrates how we are holding firm to our ideals and to our mission. It is an honor and a pleasure to serve in the role as chair for the Commission. I am able to witness first-hand the incredible passion of our members and dedicated staff, as well as participate in making difficult decisions as how best to direct our efforts and maximize our effectiveness.

Best Regards,
Jeremiah Stromberg, Chair
Interstate Commission for Adult Offender Supervision



Jeremiah Stromberg
(OR) Chair



Hope Cooper
(KS) Vice-Chair



Gary Roberge
(CT) Treasurer

EXECUTIVE COMMITTEE

Jeremiah Stromberg (OR),
Chair

Hope Cooper (KS),
Vice-Chair

Gary Roberge (CT),
Treasurer and Finance Committee Chair

Dale Crook (VT),
East Region Chair

Russell Marlan (MI),
Midwest Region Chair

Brody Burks (TX),
South Region Chair

Roberta Cohen (NM),
West Region Chair

Allen Godfrey (MN),
Compliance Committee Chair

Chris Moore (GA),
Information Technology Committee Chair

Doug Clark (SD),
Rules Committee Chair

Jacey Rader (NE),
Training, Education and Public
Relations Committee Chair

Tracy Hudrlik (MN),
DCA Liaison Committee Chair

Sara Andrews (OH),
Ex Officio Past Chair

Hon. Chief Justice

Richard Barajas (NOVA) (ret.),
National Victims'
Representative

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EX-OFFICIO ORGANIZATIONS

American Jail Association (AJA)

American Probation and Parole Association (APPA)

Association of Paroling Authorities International (APAI)

Association of Prosecuting Attorneys (APA)

Conference of Chief Justices (CCJ)

Conference of State Court Administrators (COSCA)

International Association of Chiefs of Police (IACP)

Interstate Commission for Juveniles (ICJ)

National Association for Public Defense (NAPD)

National Association of Attorneys General (NAAG)

National Association of Police Organizations (NAPO)

National Conference of State Legislatures (NCSL)

National Governors Association (NGA)

National Institute of Corrections (NIC)

National Organization for Victim Assistance (NOVA)

National Sheriffs' Association (NSA)

ENGAGING LEADERS AT THE 2018 ANNUAL BUSINESS MEETING

Lake Buena Vista, Florida served as the scenic backdrop for the 2018 Annual Business Meeting and biennial DCA Training Institute. Welcomed by Commission Chair Sara Andrews (OH) and Commissioner Jenny Nimer (FL), Florida Secretary for the Department of Corrections Julie Jones gave a compelling keynote about Florida's One Life at a Time commitment to offender success.

Commission work began with discussions about supervision strategies, retaking requirements, warrant issuance, and tracking. Attendees also considered strategies to manage retaking despite pending charges. Concluding training, presenters encouraged attendees to seek early stakeholder engagement, promoting awareness, dialogue, and action.

Subsequently, Commission members learned more about innovative approaches, policies, and practices in corrections from Dr. Angela Hawken. Next, Florida officials facilitated a riveting discussion on a tangled web of insurance fraud, sex trafficking, and the exploitation of addicts through false treatment centers. Finally, Dr. Jaime Brower revealed methods to create positive environments and change to enhance performance, resilience, and wellness.

On the final legislative day, the standing committees not only provided updates on new programs and goals for the upcoming year, they each met individually allowing guests to listen in on the work being done. Most notably, members evaluated the maintenance of a centralized and automated victim notification service. After thoughtful deliberations, a majority of present members voted to pursue more effective state-based systems.

Closing the 2018 meeting, the body elected new officers including: Commissioner Jeremiah Stromberg (OR) as Chair, Commissioner Hope Cooper (KS) as Vice-chair, and Commissioner Gary Roberge (CT) as Treasurer. The Commission also welcomed its new victims' representative, (ret.) Hon. Chief Justice Richard Barajas, Executive Director to the National Organization for Victims Assistance and expressed enduring gratitude for outgoing representative Pat Tuthill's more than 15 years of service.

AWARDS PRESENTED

Executive Chair Award:
Commissioner Shawn Arruti (NV)

Executive Director Award:
DCA Margaret Thompson (PA)

Peyton Tuthill Award:
Victims Representative
Susan Smith (FL)

SPIRIT OF THE COMPACT RECOGNITION

Brandon Watts (TX)
Sally Reinhardt-Stewart (NE)

Paul Fuentes (TX)
Steve Turner (KY)

Doris Crews (FL)
Jocelyn Angton (TX)

Tim Strickland (FL)
Heather Clark (TX)
Jennifer Fountain (WY)

Daniel Montoya (NM)

Felix Rosa (NY)
Elizabeth Powell (DC)
Israel Branton (FL)

“

THROUGH THE OTNS,
THE WEST VIRGINIA
INTELLIGENCE FUSION
CENTER CAN NOW PROVIDE
LAW ENFORCEMENT OFFICERS
WITH UP-TO-DATE INFORMATION
ON POTENTIALLY DANGEROUS
PERSONS RELOCATING TO THE
COMMUNITIES IN WHICH
THEY SERVE.”

OFFENDER TRANSFER NOTIFICATION SERVICE AND FUSION CENTERS

In 2011, the Commission authorized the establishment of the Offender Transfer Notification Service (OTNS), allowing data transfers with fusion centers to improve information sharing between law enforcement and community corrections. Prior to its establishment, local officers, as well as parole and probation officials, relied on individual communication with another jurisdiction's probation/parole officer, local task force, or other interagency groups.

To increase participation in the project, the national office recently presented information to the National Fusion Center Association as well as the Global Justice Information Sharing Advisory Committee. These renewed efforts expanded participation to include a total of eight fusion centers with more expected to join.

COMPLIANCE AUDITS: IMPROVED PUBLIC SAFETY THROUGH ACCOUNTABILITY

Commission members rely on the integrity of data in the ICOTS system to process, track, and manage interstate offenders. In addition to our use, other federal, state and local law enforcement entities use and trust the reliability of Commission information.

To ensure implementation of policies and procedures that protect privacy as well as the validity of data, the fiscal year 2019 audit differed from previous reviews. Because states assume the responsibility for data entry and data management in ICOTS, the executive committee chose to evaluate each state's internal policies and procedures for ICOTS user administration. The audit reviewed policies and documentation regarding ICOTS user training, user management or account maintenance, data management practices, data sharing policies, data security requirements, and policy enforcement in accordance with the ICOTS Privacy Policy.

As initially submitted, 27 states provided sufficient documentation for their policies and procedures. Twenty-five states subsequently addressed deficiencies with one state remaining deficient. With subsequent corrections and by the end of the audit period, however, 52 member states met the overall standards of the audit.

Among noted deficiencies, data sharing and data security were the two largest issues detected, followed by policy enforcement and general data management. As well, the review of user roles within states revealed seven members with excessive, duplicate, or generic login accounts. Moreover, twenty-eight states initially reported accounts with no activity for more than 12 months, resulting in national office staff marking 343 accounts for deactivation at the close of fiscal year 2019.

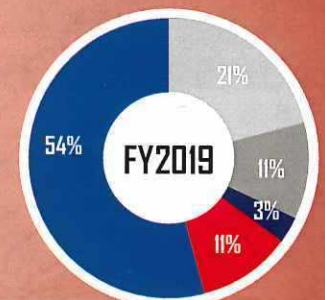
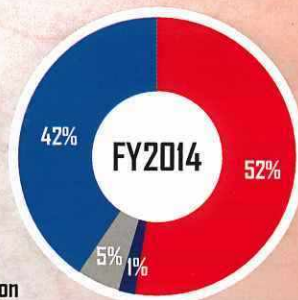
This useful evaluation provoked needed policy discussions and resulted in tangible change. It, however, did not supplant 2011 compliance standards as a central focus for the Commission or its respective members. Through continuing use of leading technology advancements, the national office generated highly intuitive and useful quarterly dashboard reports that eliminated the need for annual compliance audits on these standards.

Today, members receive automated email notifications with visual representations of their state's compliance performance, promoting active compliance efforts throughout the year. Subsequently, and at the close of the fiscal year, the Compliance Committee can now review overall results and take action if necessary.

INCOMING AND OUTGOING CASES INVOLVING OFFENDERS ON COMPACT SUPERVISION

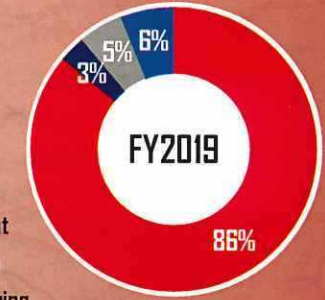
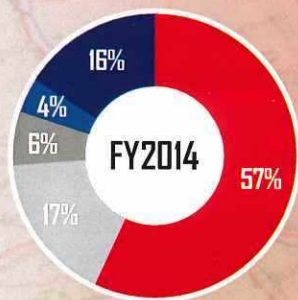
From fiscal year 2014 to 2019, total case closure numbers for violations remained nearly unchanged at roughly 13,000. Over that six-year period, however, violation types resulting in closure changed significantly. Case closures for behavior requiring retaking declined by more than 58 percent when compared to prior use of the significant violation standard. Thus, the data regarding closure due to a violation provided better context for the growth in absconder cases as well as violations resulting from new violent crime or felony convictions, each of which grew over the six-year period by 118% and 111% respectively.

- Absconder
- New Felony Conviction
- New Conviction of a Violent Crime



CLOSED CASES BY VIOLATION TYPE

- Issue Warrant
- Order Return
- Conduct Hearing
- Supervise with Sanction
- Continue Supervision



RESPONSE TO VIOLATIONS OF SUPERVISION

COLLABORATIONS AND PARTNERSHIPS

National Crime Information Center and Warrants

Responses to offender violations changed significantly from fiscal year 2014 to 2019, with warrant issuance increasing from roughly 57% to 86%. The basis for this change rests with the implementation of rules that employ a single standard of supervision and quality based reporting of behavior requiring retaking.

Commission data, however, is limited in its value and application when considering automated and reliable methods for monitoring and measuring compliance with actual issuance and current warrant status for compact offenders. As well, field officers often do not have easily identifiable means of determining whether an offender with a warrant is subject to the compact.

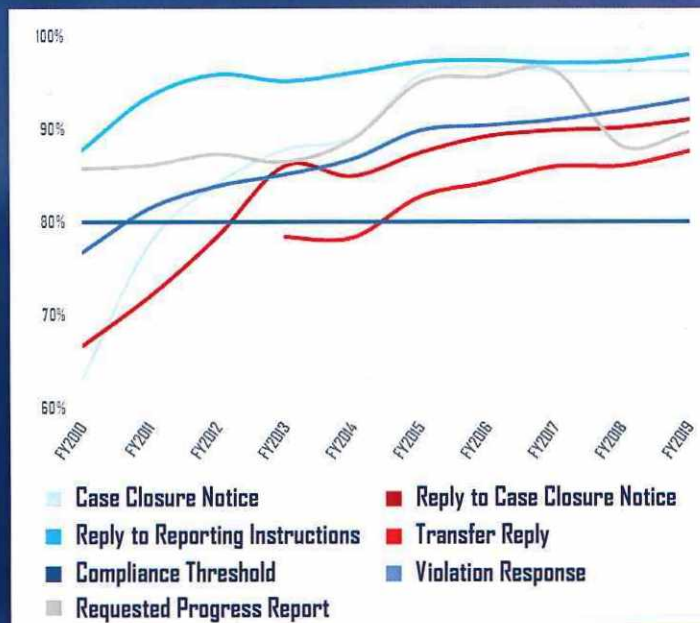
In a new collaboration with the Federal Bureau of Investigation's Global Law Enforcement Support Section of the NCIC Operations and Policy Unit, ICAOS proposed developing a data sharing agreement that would enable cross-referencing an interstate compact offender's FBI Number against the same FBI identifiers entered into the NCIC

warrant system. If successful, this agreement will allow states to review offender files and determine the status of appropriate law enforcement action while also facilitating audits and verification of warrant issuance in accordance with federally mandated Interstate Compact rules.

Additionally, the national office initiated efforts to add a no bond allowed field to the update of the NCIC system (NG3), to make interstate offenders more obvious for enforcement officials. To date, the FBI's planning committee provided preliminary approval to include the "no bond allowed" field. And, it forwarded its positive recommendation to the controlling advisory group.

COMPLIANCE TRENDS AND RESULTS

NATIONAL COMPLIANCE BY FISCAL YEAR



Transfers that took 31.8 days in fiscal year 2010 now occur on average within 24.6 days. That is a significant change in processing time. Over the same period, the trend in national compliance across all major metrics reveals dramatically increasing responsiveness by sending and receiving states with measures such as closure notices doubling compliance proportions. In conjunction with increasing compliance percentages, there are also extraordinary changes in responsiveness to overdue actions. What took 25 days for closure notices to remain overdue in fiscal year 2010 now takes barely more than 16 hours in 2019. Similarly, case closure replies have decreased from 97 days to barely 3.5 days.

What is also clear from compliance trends is the effect that rule changes and the implementation of technology can have. Automated notices for case closure and progress reports significantly drove up performance in those categories from fiscal year 2014 forward.

FINANCIAL REPORT

AUDITOR'S LETTER




Strong financial oversight forms the operating environment detailed in this report. For the third consecutive year and resulting from the Commission's prudent management, fiscal year 2019's closeout expenses remain under budget by 4.3%.

Today's work establishes a foundation for the coming years. To ensure the Commission remains at the forefront of technological advancements, we continue to invest in enhancements to the Interstate Compact Offender Tracking System (ICOTS). Through pragmatic funds management and consecutive years of reinvested operating savings, Commission reserves remain well positioned to fund future programs and technology improvements without increasing state membership dues. Consequently, the Finance Committee does not recommend a dues increase for fiscal years 2020 or 2021.

Reflective of the Commission's prudent management over the past few years, comparison of ICAOS revenues and expenses when normalized with a consumer price index adjustment for inflation reveals the strength of current management strategies.

In accordance with the Commission's statute and in keeping with sound financial practice, the Commission engaged the independent auditing firm of Hicks & Associates who once again provided an unmodified and clean opinion.

THE FISCAL YEAR ENDED WITH THE FOLLOWING:

 Balance in cash reserves	\$1,581,915.63
 Balance in long-term investments	\$1,782,623.70
 Total Revenue	\$1,581,679.13
 Total Expenses	\$1,522,024.08

Hicks & Associates CPAs

CERTIFIED PUBLIC ACCOUNTANTS

INDEPENDENT AUDITORS' REPORT

To the Executive Committee
Interstate Commission for Adult Offender Supervision
Lexington, Kentucky

We have audited the accompanying financial statements of the Interstate Commission for Adult Offender Supervision ("Organization"), which comprise the statement of assets, liabilities, and net assets - modified accrual basis as of June 30, 2019, and the related statements of revenues, expenses, and changes in net assets - modified accrual basis and cash flows - modified accrual basis for the year then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with the modified accrual basis of accounting as described in Note A; this includes determining that the modified accrual basis of accounting is an acceptable basis for the preparation of the financial statements in the circumstances. Management is also responsible for the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditors' Responsibility

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditors' judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditors consider internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the assets, liabilities, and net assets of the Organization as of June 30, 2019, and its revenues, expenses, and changes in net assets and cash flows for the year then ended in accordance with the modified accrual basis of accounting as described in Note A.

Basis of Accounting

We draw attention to Note A of the financial statements, which describes the basis of accounting. The financial statements are prepared on the modified accrual basis of accounting, which is a basis of accounting other than accounting principles generally accepted in the United States of America. Our opinion is not modified with respect to this matter.

Hicks & Associates CPAs

August 23, 2019

INCOMING AND OUTGOING CASES INVOLVING OFFENDERS ON COMPACT SUPERVISION AS OF THE CLOSE OF FISCAL YEAR 2019

State	Incoming Cases			Incoming Offenders	Outgoing Cases			Outgoing Offenders	Total Offenders
	Parole Only	Probation Only	Probation & Parole		Parole Only	Probation Only	Probation & Parole		
Alabama	618	3,009	90	3,642	499	1,332	3	1,823	5,465
Alaska	55	114	3	171	24	49	41	111	282
Arizona	667	1,498	-	2,118	225	2,745	-	2,955	5,073
Arkansas	659	1,647	16	2,288	1,769	1,535	15	3,306	5,594
California	1,446	4,453	80	5,889	740	2,360	1	3,080	8,969
Colorado	365	1,436	-	1,772	899	2,716	-	3,542	5,314
Connecticut	146	775	-	910	166	930	-	1,085	1,995
Delaware	179	668	6	794	11	293	8	312	1,106
District of Columbia	158	965	13	1,053	-	530	-	524	1,577
Florida	1,882	5,652	128	7,513	195	6,224	9	6,391	13,904
Georgia	1,266	4,022	18	5,204	992	7,705	457	9,027	14,231
Hawaii	45	118	-	162	131	175	-	304	466
Idaho	177	477	35	683	622	1,529	10	2,159	2,842
Illinois	1,168	3,632	-	4,703	973	2,333	-	3,269	7,972
Indiana	694	2,354	-	2,994	268	2,120	-	2,363	5,357
Iowa	301	1,177	9	1,463	463	961	6	1,413	2,876
Kansas	440	1,146	4	1,544	541	1,580	-	2,097	3,641
Kentucky	492	2,007	25	2,484	822	2,799	5	3,593	6,077
Louisiana	734	1,845	21	2,566	1,033	1,204	14	2,207	4,773
Maine	87	316	-	391	3	288	-	291	682
Maryland	568	3,117	23	3,577	506	1,573	26	1,889	5,466
Massachusetts	199	1,349	-	1,523	103	1,140	-	1,211	2,734
Michigan	695	2,065	35	2,749	475	1,133	2	1,603	4,352
Minnesota	361	1,465	38	1,831	388	2,741	3	3,033	4,864
Mississippi	626	1,480	25	2,093	500	1,602	9	2,105	4,198
Missouri	948	2,814	24	3,733	1,476	3,368	-	4,729	8,462
Montana	107	356	11	470	201	762	274	1,233	1,703
Nebraska	228	611	-	822	67	510	-	575	1,397
Nevada	279	901	25	1,188	596	1,034	5	1,625	2,813
New Hampshire	79	611	2	677	174	228	2	404	1,081
New Jersey	601	2,025	-	2,563	932	2,082	1	2,949	5,512
New Mexico	228	915	5	1,132	195	683	6	793	1,925
New York	801	3,995	3	4,643	1,599	1,987	-	3,566	8,209
North Carolina	1,128	3,809	84	4,883	353	1,140	25	1,490	6,373
North Dakota	123	835	23	960	38	463	109	602	1,562
Ohio	1,013	3,092	26	4,066	845	2,128	1	2,929	6,995
Oklahoma	882	1,834	16	2,683	184	1,464	3	1,648	4,331
Oregon	314	1,081	45	1,422	538	766	39	1,335	2,757
Pennsylvania	725	2,440	12	3,109	1,732	4,370	3	5,963	9,072
Puerto Rico	104	131	-	233	25	112	-	137	370
Rhode Island	44	432	1	471	31	843	-	868	1,339
South Carolina	566	2,286	90	2,892	201	685	4	887	3,779
South Dakota	102	452	-	547	247	436	-	681	1,228
Tennessee	938	3,514	74	4,449	396	2,707	16	3,115	7,564
Texas	2,294	4,584	-	6,747	2,701	6,913	1	9,506	16,253
Utah	183	629	15	813	204	284	2	488	1,301
Vermont	68	218	3	286	72	268	2	341	627
Virgin Islands	6	27	-	33	10	4	-	14	47
Virginia	659	1,791	33	2,435	334	6,672	54	6,741	9,176
Washington	633	1,783	119	2,514	103	663	7	770	3,284
West Virginia	186	1,222	5	1,369	559	413	-	966	2,335
Wisconsin	343	1,504	19	1,815	1,406	1,689	50	3,112	4,927
Wyoming	99	332	15	443	142	740	6	886	1,329
Total	27,709	91,011	1,219	117,515	27,709	91,011	1,219	118,046	235,561

