

INTERSTATE COMMISSION FOR
ADULT OFFENDER SUPERVISION

01-2026 - CODE OF CONDUCT & COMPLIANCE

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I. Objectives

The Interstate Commission for Adult Offender Supervision (ICAOS) is committed to ensuring compliance with its rules and procedures in order to protect public safety, promote fairness, and maintain the integrity of the Compact. This policy outlines a graduated approach to addressing compliance concerns and sets forth a code of conduct for all Commission members.

II. Code of Conduct for Commission Members

This Code of Conduct is adopted pursuant to the ICAOS Bylaws and establishes expectations for professional behavior, communication, and collaboration among Commission members. Its purpose is to promote mutual respect and accountability in Commission operations and to ensure that disagreements are resolved constructively and without hostility or intimidation. The Commission is committed to fostering a professional, respectful environment where all members can work collaboratively to achieve its mission.

A. Expectations

1. Treat all members with dignity, courtesy, and fairness; personal attacks, belittling remarks, or hostile behavior are not acceptable.
2. Raise disagreements respectfully and work toward resolution without intimidation or disparagement.
3. Engage in discussions and negotiations in good faith, with the goal of collaborative problem-solving.
4. Adhere to and comply with all Commission decisions once duly adopted, even if previously opposed.

B. Accountability

1. Members who experience or observe unprofessional behavior are encouraged to report concerns to the Commission Chair or the Executive Director.
2. The Executive Committee may take appropriate action, including facilitated discussion, mediation, or formal review, to address violations of this Code.
3. Persistent or egregious violations may result in formal action by the Commission, including referral to the member’s state council and/or state leadership for review and response.

C. Acknowledgement Requirement

All Commissioners and Deputy Compact Administrators must sign an acknowledgment of the Code of Conduct upon initial appointment and following any subsequent updates or revisions. Noncompliance with this requirement will result in referral to the Executive Committee for appropriate review and action.

III. Facilitated Informal Resolution *(See, Rule 6.101)*

Rule 6.101(a) authorizes states to utilize an informal resolution process for case-specific concerns. This process is intended to:

- Provide a collaborative forum to clarify facts, terminology, or practices.
- Encourage voluntary agreement and compliance with ICAOS rules.
- Resolve concerns before they escalate into formal disputes.

A. Procedures

1. When a state identifies a concern, the Commissioner or DCA shall notify their counterpart in the other state within 5 business days of discovery.

   The notified state shall acknowledge receipt and provide an initial response within 5 business days. If no response is received within that timeframe, the matter shall be escalated to the Commissioners of both states, and, if necessary, referred to the National Office for facilitated assistance.

2. If informal resolution is not achieved within 30 calendar days, the matter shall be escalated to the state Commissioners.

   Extended exchanges between Deputy Compact Administrators (DCAs) shall be avoided. If resolution cannot be achieved through initial discussion, the matter must be escalated promptly rather than prolonged through repeated correspondence.

3. If the Commissioners are unable to resolve the issue collaboratively, the matter shall be referred to the National Office for facilitated assistance.

4. States may contact the Executive Director for assistance at any time once a concern is identified. If facilitated assistance is unsuccessful, the Executive Director may consult relevant standing committees (e.g., Rules, Training) or arrange technical support such as subject matter experts, training, or audit assistance. If resolution is still not achieved, the issue shall be escalated for formal resolution under Rule 6.102.

5. Each state shall maintain a record of all communications and attempted resolutions, which will be provided to the National Office if the matter is escalated for formal action.

IV. Formal Action *(See, Rule 6.102)*

States shall use the formal complaint process when other attempts to resolve disputes through informal means are unsuccessful. Formal complaints are appropriate when non-compliance is serious, ongoing, or persistent, and additional intervention or enforcement action is necessary to ensure compliance with ICAOS rules and regulations.

The Compliance Committee is responsible for reviewing such matters and recommending appropriate outcomes.

A. Procedures

1. Filing a Formal Complaint

   The complainant state shall submit a written complaint (see Appendix A: File a Formal Complaint) to the Executive Director. The complaint shall include:

- The alleged non-compliant state.
- Case number(s) for specific cases, if applicable.
- The ICAOS rule, policy, or statute allegedly violated.
- A description of the issue, including relevant facts, pertinent dates, a timeline of events, and supporting documentation.
- Outcomes of prior attempts to resolve the conflict informally.

2. Notification and Response

- Upon receipt of a formal complaint, the Executive Director shall acknowledge receipt to the complainant state and notify the alleged non-compliant state.
- A written response from the alleged non-compliant state shall be submitted within 15 business days.

3. Referral to the Compliance Committee

- The Executive Director shall provide the Compliance Committee with documentation from both states, along with any record of prior or related complaints.
- The Compliance Committee shall evaluate the complaint and responses within 30 days of receipt, consider any written or verbal submissions, determine whether the state is in default, and recommend remedial action to the Executive Committee.
- The National Office shall provide the Compliance Committee's recommendation to the states involved for informational purposes.
- The Executive Committee shall review the recommendation and vote to approve, modify, or reject the proposed action.

3. Recordkeeping

The National Office shall maintain a complete record of all complaints, responses, and outcomes for reference and accountability.

V. Penalties *(See, Compact Statute: Article XII, Section B and Rule Rule 6.103)*

When a state is found in default, the Commission may impose penalties to promote compliance, ensure fairness, and protect the integrity of the Compact. All penalties shall be approved by the Executive Committee acting on behalf of the Commission.

A. The Commission may impose one or more of the following penalties, independently or in combination, based on the nature and severity of the violation:

1. Corrective Action Plan (CAP): Requirement to implement specific measures designed to bring the state into compliance, which may include training, technical assistance, or reporting obligations. (See, Appendix B: CAP Template)

a. CAPs shall be submitted to the national office within 30 days of imposition. Any extensions must be approved by the Executive Committee.

b. CAPs shall be signed by the Commissioner and include:

i. A problem statement

ii. The desired outcome

iii. Implementation start date

iv. Responsible party

v. Stakeholders, resources, and constraints

vi. Due date

vii. Metrics for measuring success

c. CAPs shall be approved by the Executive Committee and require quarterly progress reports.

d. Once fully implemented, the Commissioner of the submitting state shall notify the national office. The Executive Committee will then vote to close the matter.

2. Monetary Fines or Fees: Assessment of fines or fees proportionate to the seriousness and frequency of the violation, outlined as follows:

a. First Offense: $0-$10,000

b. Second Offense: Up to $50,000

c. Third or Subsequent Offense(s): Up to $100,000

3. Remedial Training and Technical Assistance: Requirement to participate in additional training or accept technical assistance directed by the Commission.

4. Suspension or Termination of Membership: Temporary suspension or removal from the Compact, in accordance with the Compact Statute.

B. Determining Penalties

In recommending and approving penalties, the Compliance Committee and Executive Committee shall consider both the severity of the violation and the circumstances surrounding it. Factors include, but are not limited to:

- Whether the violation(s) was primarily a public safety issue or an administrative/policy issue.
- Whether the violation(s) resulted in serious physical injury or death.
- The state's prior disciplinary record and any pattern of ongoing noncompliance.
- Whether the state acknowledged the violation(s) and accepted responsibility prior to detection or intervention.
- Whether the state voluntarily implemented corrective actions prior to detection or intervention to prevent recurrence.
- The degree to which the state cooperated with ICAOS during examination or investigation of the misconduct.

- Whether the violation occurred over an extended period of time or involved numerous acts and/or a pattern of misconduct.
- Whether the violation was the result of intentional misconduct.