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<p>ICJ Compliance Policy Performance Measurement Policy and Standards</p>	<p>Dated: October 27, 2014 Revised April 10, 2018</p>	

I. Mission

To provide objective information about State’s adherence to Commission rules, policies and procedures.

II. Objectives

The objectives of the performance measurement policy are to provide analyses and assessments of data and business processes, as well as examine management controls to assess data integrity, management of risk, and achievement of the Commission’s goals.

III. Scope


The scope of the policy is limited to State’s compliance with Commission rules, policies and procedures.

IV. Authority

- A. Article I of the Compact statute states the purpose of this compact, which includes, *“(K) monitor compliance with rules governing interstate movement of juveniles and initiate interventions to address and correct noncompliance.”*
- B. Article IV of the Compact statute states the powers and duties of the Interstate Commission, which include: *“(4.) To enforce compliance with the compact provisions, the rules promulgated by the Interstate Commission, and the by-laws, using all necessary and proper means, including but not limited to, the use of judicial process.”*
- C. Article VII (B.) (3.) of the Compact Statute states, *“The Interstate Commission, in the reasonable exercise of its discretion, shall enforce the provisions and rules of this compact using any or all means set forth in Article XI of this compact.”*

V. Access

The ICJ Compliance Committee and designated National Office staff are granted access to Compact records, files, and information. Member states are required to cooperate with

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the staff of the National Office in fulfilling their performance measurement functions and duties.

VI. Confidentiality

Information provided to the National Office or ICJ Compliance Committee shall be handled in a confidential manner. The Executive Director shall ensure that internal staff members are instructed in the handling and safeguarding of confidential information.

VII. Responsibility

- A. After each performance measure assessment, the National Office will provide a written report, which shall include any findings of noncompliance.
- B. The initial report shall be considered final, unless a State disputes any finding(s) of noncompliance by submitting a written response within 30 calendar days from the date of the report.
- C. The ICJ Compliance Committee or Committee Chair will review reports and written responses from states.
- D. When a State has submitted a written response, a revised report will be returned to the State with the State's written response incorporated as an addendum within 60 calendar days of issuance of the initial report. If the Committee determines performance measurement assessment score(s) should be amended based on a State's written response, the revised report will include such amendments.
- E. When a State fails to achieve a compliance rate of 70% or better on any standard, the State shall submit a corrective action plan. The corrective action plan is due within 30 calendar days of the issuance of the initial report, or if a written response is filed, within 90 calendar days of the issuance of the initial report.
- F. Corrective action strategies may include, but are not limited to, training provided through the State Compact Office or National Office. The written corrective action plan shall include:
 1. A problem statement, with reference to the relevant standard(s);
 2. A description of the desired outcome;

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3. The implementation start date;
 4. For each task, the plan must identify the person responsible, the stakeholders, resources, constraints, due date and the metrics used to measure success; and
 5. Signature of the Commissioner.
- G. A State shall submit written quarterly reports on a corrective action plans at least once per quarter until a final progress report is submitted.
- H. Upon completion of a corrective action plan, the State Compact Office shall submit a final progress report. The Compliance Committee shall review final reports and determine whether reassessment is required.
- I. If the report reveals areas of noncompliance that are not addressed through a corrective action plan, they will be addressed as outlined in the Commission policy titled, “Guidelines for Resolving Compliance Issues.”
- J. The ICJ Compliance Committee will establish the standards, determine the schedule, conduct periodic reviews of the procedures, and recommend changes as needed.
- K. National Office will maintain copies of all reports, including revised reports.
- L. The National Office will analyze the data for trends in both compliance and noncompliance.

VIII. Appendix: ICJ Performance Measurement Standards

ICJ Performance Measurement Standards

The Compliance Committee recommends three equally-important priorities be established for compliance monitoring:

- A. Safe & Successful Supervision
- B. Effective Returns
- C. Compact Office Operations

The Committee also identified 7 “Core Standards” to be assessed each monitoring cycle.

This document lists Standards associated with each Compliance Priority. Core Standards are listed at the top of each section and marked with an asterisk (“*”). Additional Standards are listed in numerical order according to the related ICJ Rule.

Priority A: Safe and Successful Supervision

- A-01*** For all cases falling under Rule 4-102, Receiving States shall forward the home evaluation within 45 calendar days of receipt of the referral. **Rule 4-102(4)**
- A-02*** Receiving States shall furnish written progress reports to the sending state on no less than a quarterly basis. **Rule 5-101(4)**
- A-03*** Sending States shall respond to a report of violation no later than 10 business days following receipt. **Rule 5-103(2)**
- A-04*** Sending States shall issue a referral packet within 30 calendar days of the effective date of the Travel Permit for a juvenile testing a proposed residence. **Rule 8-101(3)**
- A-05** With regard to state committed parole cases, Sending States shall not allow the juvenile to transfer to the receiving state until the request for transfer has been approved. **Rule 4-102(2)(a)**
- A-06** With regard to state committed parole cases, Sending States shall forward parole conditions to the receiving state upon the juvenile’s release from an institution and the Form V prior to the juvenile relocating to the receiving state. **Rule 4-102(2)(a)**
- A-07** With regard to state committed parole cases where it is necessary for a juvenile to relocate out of state prior to the acceptance of supervision, Sending States shall provide the

- complete ICJ referral to the receiving state ICJ Office within ten (10) business days of issuing a Travel Permit for that juvenile. **Rule 4-102(2)(a)**
- A-08** With regard to probation cases, Sending States shall ensure referral documents are complete and forwarded to the receiving state. **Rule 4-102(2)(b)**
- A-09** With regard to juvenile sex offender cases, Sending States shall ensure documentation is provided to the receiving state. **Rule 4-103(2)**
- A-10** With regard to juvenile sex offender cases where it is necessary for a juvenile sex offender to relocate prior to the acceptance of supervision, Sending States shall provide the completed ICJ referral to the receiving state ICJ Office within 10 business days of issuing a Travel Permit for that juvenile. **Rule 4-103(3)(b)**
- A-11** The Receiving State's ICJ Administrator or authorized agent shall sign the Home Evaluation accepting or denying supervision. **Rule 4-104(2)**
- A-12** Receiving States shall submit a Violation Report for juvenile absconders that include the juvenile's last known address and phone number, date of the juvenile's last personal contact with the supervising agent, details regarding how the supervising agent determined the juvenile to be an absconder, and any pending charges in the receiving state. **Rule 5-102(2)**
- A-13** As it applies to Rule 5-103, when a juvenile is out of compliance with conditions of supervision, Receiving States shall submit a Violation Report that contains the date and description of the new citation or technical violation, the status and disposition (if any), supporting documentation regarding the violation, efforts or interventions made to redirect the behavior, sanctions if they apply and receiving state recommendations. **Rule 5-103(1)**
- A-14** Sending States shall ensure juveniles relocate within 90 calendar days of the receiving state accepting a probation/parole case for supervision. **Rule 5-104(2)**
- A-15** Sending States shall provide a written explanation within 60 calendar days when a request to discharge/terminate supervision is denied. **Rule 5-104(3)**
- A-16** Travel permits shall not exceed 90 calendar days. **Rule 8-101(3)**

Priority B: Effective Returns

- B-01*** Home/Demanding States, shall return juveniles within five (5) business days of receiving a completed Form III or adult waiver. **Rule 6-102(10)** *defer until 2020 or later*
- B-02*** Home/Demanding States shall return juveniles within 5 business days of receiving the order granting the requisition. **Rule 6-103(9) and 6-103A(9)** *defer until 2020 or later*
- B-03** As it applies to Rule 5-103(3)(d), when Sending States determine a violation requires retaking, it shall return the juvenile within 5 business days. **Rule 5-103(3)(d)**
- B-04** The Holding State shall ensure that juveniles in agreement with the voluntary return shall sign the Form III in the presence of a judge who also signs the Form III. **Rule 6-102(6)**

Priority C: Compact Office Operations

JIDS

- C-01*** States shall use the electronic information system authorized by the Commission for all forms processed through the Interstate Compact for Juveniles. **Rule 3-101**
- C-02** Allow only authorized users to access the information in JIDS and only for purposes related to the performance of their official duties. **Privacy Policy 5.0 (a)(10)**
- C-03** Information will be reviewed periodically for purging. **Privacy Policy 21.0 (a)**
- C-04** The ICJ will require any individuals authorized to use the system to agree in writing to comply with the provisions of this policy. **Privacy Policy 24.0 (e)**

Policies and Procedures

- C-05** Each ICJ Office shall develop policies/procedures on how to handle ICJ matters within their State. **Rule 4-102(1)**
- C-06** Each ICJ Office shall have policies/procedures in place involving the return of juveniles that will ensure the safety of the public and juveniles. **Rule 6-102(9)**

While Performance Measurement Assessments (PMA) help ensure compliance with ICJ Rules, it is not feasible to proactively assess compliance with all ICJ Rules. Therefore, compliance-related matters may also be addressed in accordance with ICJ Compliance Policies 01-2009, 02-2009, and 03-2009. State Council Enforcement is addressed in accordance with ICJ Administrative Policy 02-2011. Commissioner Appointment is addressed in accordance with ICJ Administrative Policy 01-2015.