

2022 UNITY DATA ASSESSMENT REPORT



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INTRODUCTION

With the release of the UNITY data system, the Compliance Committee is focused on developing new strategies for proactive monitoring of compliance with ICJ Rules.

In 2022, the Compliance Committee conducted the first-ever UNITY National Data Assessment. Instead of a state-by-state approach to reviewing compliance with ICJ Rules, the Committee assessed 3 Compliance Standards to identify nationwide trends and areas of concern.

This report includes a snapshot of the findings and the Committee's recommendations, as well as Executive Summaries for each Compliance Standard assessed.



The Commission has
6 Core Compliance
Standards and
9 additional rule-based
standards.

Learn more on the
Commission's [website](#).

2022 Compliance Standards Assessed

Response to Violation
Reports

Returns within 5 days after
decision to retake

New living arrangement/
return within 5 business-days

Standard A-03

Sending States shall respond to a report of violation, to include action to be taken by the sending state and the date the action will occur, no later than 10 business days following receipt.
Rule 5-103(2)

Standard 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)

Standard B-04

When a juvenile is not residing with a legal guardian and that person requests the juvenile be removed from his/her home, the sending state shall secure alternative living arrangements within five (5) business days, or the juvenile shall be returned.
Rule 5-103(4)(b)

FINDINGS & TRENDS

Violation Report Responses and Retaking Stats

Overall, sending states are in compliance with ICJ Rule requirements for violation report responses, averaging 7 business-days to respond to the receiving state.

Standards A-03, B-03, & B-04

States use multiple UNITY mechanisms to request revocation. There is a need to determine & integrate best practices into the Commission's training.

Standards B-03 & B-04

Sending states took on average 14.5 business-days to retake a juvenile pursuant to Rule 5-103, exceeding the 5 business-day ICJ Rule requirement.

Standards B-03 & B-04

Data on Detentions Pending Returns Due to Violations in Receiving State

65 %

In 65% of cases where a violation report resulted in revocation, a warrant was issued to detain the juvenile pending return to sending state

80 %

When a warrant was issued, 80% were confirmed to be entered into NCIC

3 days

When a juvenile was detained pending a return to the sending state, they spent 3 days on average in a secure facility

RECOMMENDATIONS

Assessment recommendations fall into three categories: Rules, Training, or UNITY-related. All recommendations were approved by the Compliance Committee on December 8, 2022, and were presented to the Executive Committee on December 15, 2022. All recommendations were referred to appropriate ICJ committees.

Rules	Training	UNITY
Propose ICJ Rule amendment to extend return timeframe for failed supervision returns. Standards B-03 & B-04	Develop training resource to address violation report requirements. Standards A-03 & B-03	Review failed supervision event in UNITY. Standards B-03 & B-04
Review 5-103(3)(b) regarding hearing requirements for retaking due to violations. Standard B-03	Develop training resource to address failed supervision requirements. Standard B-04	Determine if JPO/S UNITY users should be able to initiate a failed supervision event. Standard B-03
	Amend Best Practice on Intrastate Relocations Standard B-04	Review violation report task language for revocation approved/denied pathway Standard A-03



ICJ Compliance Standard A-03 Executive Summary

Sending States shall respond to a report of violation, to include action to be taken by the sending state and the date the action will occur, no later than 10 business days following receipt. **Rule 5-103(2)**

Report Summary

Eligible UNITY case files were obtained for Compliance Standard A-03 using a Tableau report which provides information in which a receiving state submitted a Violation Report to the sending state, where the receiving state requests discharge or revocation.

Violation Reports recommending that supervision continue are not part of this review, as those reports do not require a response from the sending state within 10 business days. This action must have occurred in Fiscal Year 2022, between 07/01/2021 and 06/30/2022. For this assessment, average business days excludes weekends and federal holidays for 2021 and 2022.

Only the most recently submitted Violation Report for each case is used for this assessment. Therefore, this assessment is not comprehensive of all Violation Reports submitted in Fiscal Year 2022.

A sample of 15 percent of each case recommendation (discharge or revocation) was reviewed for the following:

1. date of report submission to sending state,
2. recommendations by the receiving state,
3. date of response by sending state, and
4. actions to be taken based upon the sending state's responses.

By the Numbers

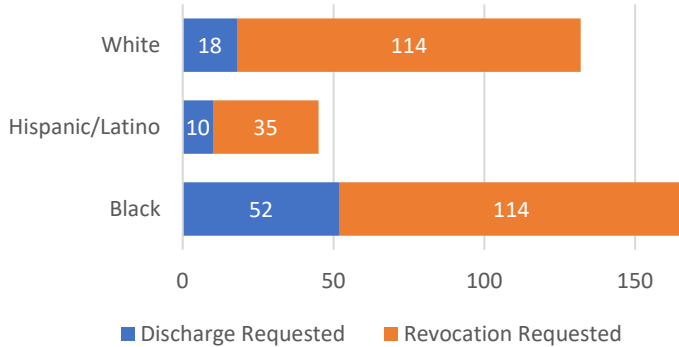
A total of 364 cases were eligible for review. In 276 cases, or 76 %, the receiving state requested revocation. In 88 cases, or 24 %, the receiving state requested discharge.

7	76 %	70 %	44 %	21 %
Average business days for a sending state to respond to a violation report.	Revocation was requested in the majority of violation reports issued.	Based on a sample of cases, violating terms of supervision or absconding were most frequently cited reasons for issuing violation report.	Based on a sample of cases, "Continue Supervision" was the most frequent response/action by the sending state.	Cases that did not contain any response to the violation report.

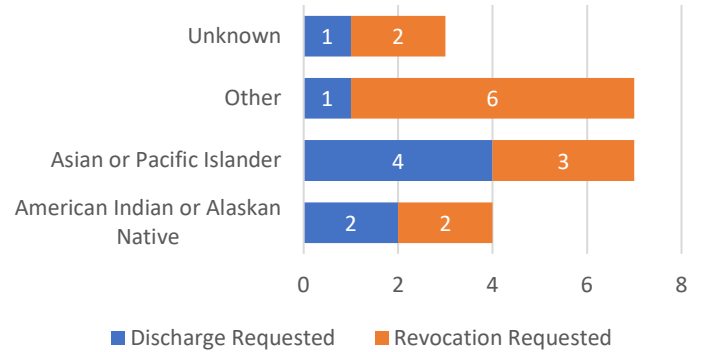
Demographics by Violation Report Recommendation

The following information provides descriptive statistics on Violation Reports issued and does not imply statistical significance.

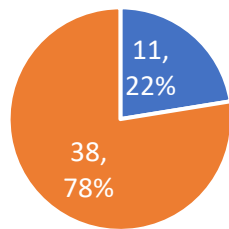
Violation Report Recommendations by Race



Violation Report Recommendations by Race

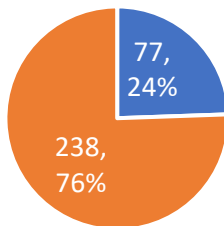


Violation Report Recommendations by Sex: Females n = 49



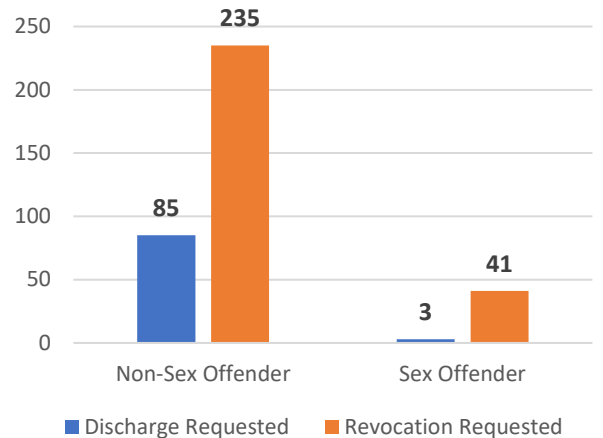
■ Discharge Requested

Violation Report Recommendations by Sex: Males n = 315



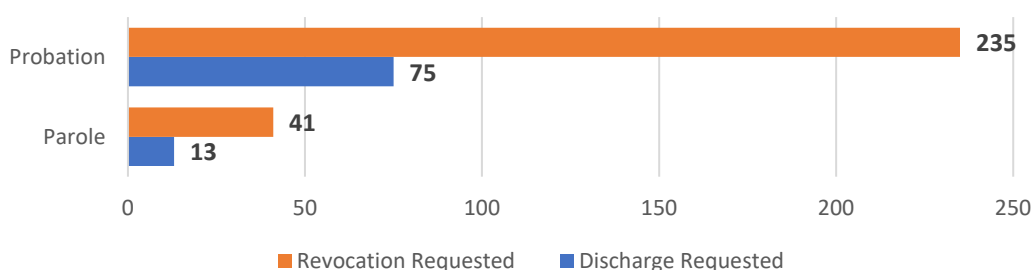
■ Discharge Requested
■ Revocation Requested

Violation Report Recommendations by Sex Offense Status



■ Discharge Requested ■ Revocation Requested

Violation Report Recommendations by Supervision Status



■ Revocation Requested ■ Discharge Requested

Findings & Recommendations

Training Related Findings

1. In 21 cases, or 6 %, sending states did not respond to the Violation Report in UNITY prior to closing the case. Therefore, there is no sending state “Action to be Taken” nor a date to measure the 10 BD compliance.
 - Recommendation: Address Rule requirements in a Training Bulletin or Best Practice. Specifically, is it acceptable to not respond to the Violation Report and submit a Case Closure instead? Is that considered a response? If so, are sending states allowed up to 60 days to do so? Or, must they provide at least some response within 10 BD?
2. Violation report lacked “Reasoning for Recommendation” by receiving state.
 - Recommendation: This a required field in UNITY. Train users to understand that it is important to provide a reasoning because it provides the summary that is presented in the “failed supervision event” section. Submit a Rule Amendment Proposal to add “reasoning for recommendation” to 5-103(1).

UNITY Related Findings

1. When a Violation Report recommending revocation is denied or approved, there is no indication in the UNITY task rows as to the sending state’s decision (denial or approval of the revocation request). When a Violation Report recommending discharge is processed, the tasks clearly indicate if the request was approved or denied.
 - Recommendation: Refer the issue to the Technology Committee to review the Violation Report – Recommend Revocation tasks and consider enhancement to include whether revocation was approved or denied in the task row text.

ICJ Rule Related Findings

1. Potential violation of Rule 5-103(1)(d). Pertinent supporting documentation (police report) missing from initial Violation Report was later sent to sending state outside of UNITY Data System.
 - Recommendation: Best Practice on Violation Report should include language that all supporting documentation be uploaded and transmitted via UNITY. Consider whether ICJ Rules should require that violations be reported within a certain timeframe.

Compliance Standard B-03 Executive Summary

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)**

Report Summary

Eligible UNITY case files were obtained for Compliance Standard B-03 using a Tableau report which provides information related to cases in UNITY in which a sending state made the decision to return a juvenile on supervision due to a violation reported by the receiving state. Sending states can initiate retaking due to a violation by responding to a violation report event that includes a request for revocation. In this case, the sending state typically issues a warrant. Alternately, the receiving state Compact office can initiate the failed supervision event in UNITY.

To be eligible for review, a case must contain a failed supervision event and/or issuance of a warrant by the sending state in response to a violation report occurring in Fiscal Year 2022, between 07/01/2021 and 06/30/2022. For this assessment, business days excludes weekends and federal holidays for 2021 and 2022.

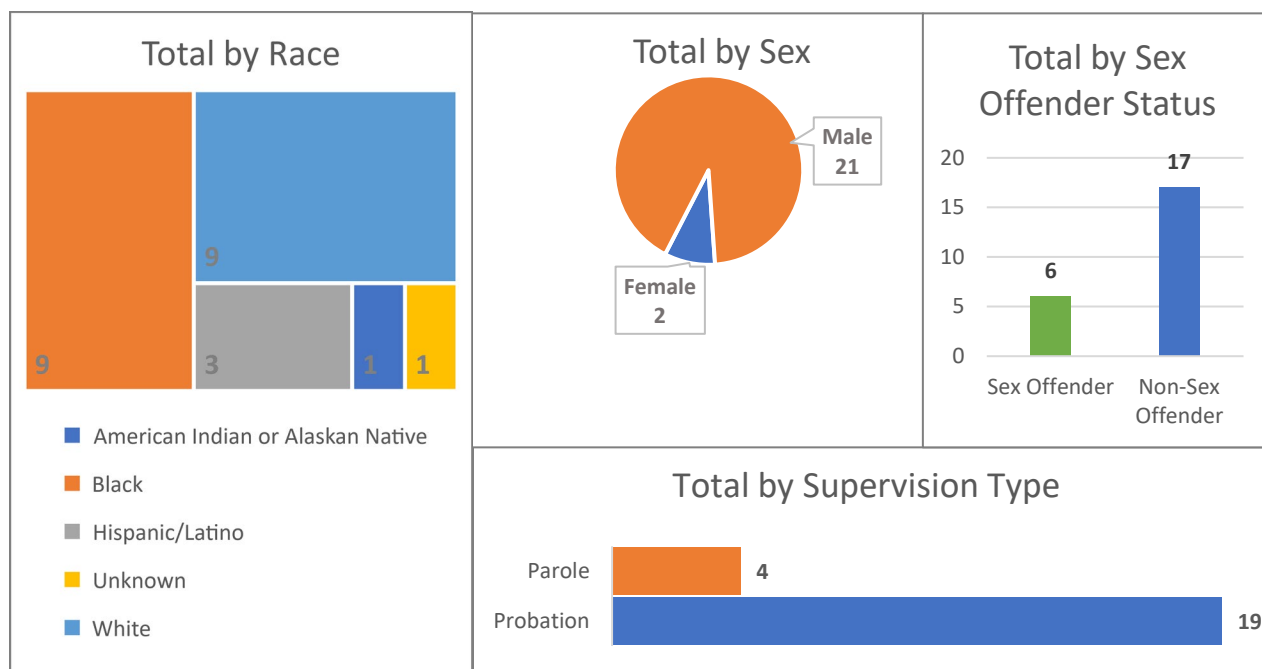
When juveniles are returned to the sending state, the case is typically closed and is not re-opened, with few exceptions. However, the manner in which states report and respond to violations and engage in retaking efforts varied significantly across cases. As such, the primary recommendation of this report is for the Commission to develop best practices relating to reporting and responding to violations and failed supervisions, and launch a targeted training campaign to ensure uniformity of practice across the nation.

Based on a detailed review of violation report narratives and reasonings for recommending revocation, it is recommended that the Commission engage in a conversation and establish criteria for what constitutes behavior requiring retaking. Factors to be considered include current knowledge of adolescent brain development and the Compact's requirement that receiving states supervise Compact juveniles according to the same standards as "its own" juveniles, see Rule 5-101(1). Potential action steps include: development of best practices; training at the Commission's Annual Business Meeting, via instructor-led webinar(s), and/or through on-demand training; amendment of ICJ Rules; and amendment of the UNITY data management system.

UNITY does not provide information on what happens to the youth after they return to the sending state. Though not required for Compact operations, it would be useful to determine what happens with such Compact-involved juveniles when they are returned to the sending state to help us better understand how Compact-related work impacts outcomes.

By the Numbers

In total, there were 23 eligible cases for review for Standard B-03, represented by the following demographics:



Sending states responded to violation reports within an average of 9 business days, which is within the timeframes allowed by the ICJ Rules. Highlights of other case averages are included in the table below:

16 Average business days to return juvenile from receipt of initial report	91 Percent of cases reviewed that exceeded the 5 business day return requirement	35 National compliance average, in percentage points, for returning juveniles within 10 business days	2 Average number of violation reports per case	35 Percent of cases where juvenile had charges pending in receiving state
65 Percent of cases where a warrant was issued to detain the juvenile pending return to sending state	80 Percent of warrants issued that were confirmed to be entered into NCIC	3 Number of average days a juvenile was detained pending return	21 Average business days to submit travel plan information	57 Percent of all returns for failed supervisions or violations to and from West Region states

Findings & Recommendations

Findings include numerous issues that may warrant action through the creation of best practices or training bulletins, amendment of the UNITY system, amendment of ICJ Rules, or other compliance action. This section contains a summary the findings and corresponding recommendations in the areas of training, UNITY, and potential Rule violations.

Training Related Findings

1. Violation report lacked “Reasoning for Recommendation” to revoke by receiving state.
 - Recommendation: This a required field in UNITY. Train users to understand that it is important to provide a reasoning because it provides the summary that is presented in the “failed supervision event” section. Submit a Rule Amendment Proposal to add “reasoning for recommendation” to 5-103(1).
2. Following a return for violation, some transfer of supervision (TOS) cases were closed, some remained open, and sometimes a new TOS case was opened.
 - Recommendation: Determine best practices and train for uniformity. Address the following questions:
 - i. What situation requires opening a new TOS case?
 - ii. When can the original case be reopened?
 - iii. If a separate TOS case is opened, how does this affect annual statistics?

After best practices are determined, develop and provide live and on-demand trainings for JPO/S and ICJOs on violation reports in general to cover Rule 5-103 and UNITY tasks.

3. Some users (ICJO and JPS/O) issued quarterly progress reports (QPRs) instead of violation reports for violations where revocation is recommended. The recommendation options on a QPR event are “Continue Supervision” or “Request Discharge.” Thus, there is no mechanism to request revocation using the QPR.
 - Recommendation: Currently, only ICJOs can initiate a failed supervision event. In most cases, the JPS/O submitted a QPR in UNITY, and the ICJO determined a failed supervision event was warranted and then initiated a separate event. Refer issue to Technology Committee to determine if JPS/O users should be able to initiate a failed supervision event or if there is another way to reduce redundancies. Also, new best practice should address when to issue a violation report verses a QPR.
4. Some users submitted a violation report event and a failed supervision event simultaneously, for the same violation.
 - Recommendation: Determine best practice for ICJOs to document a failed supervision event and provide training/resources. Because the failed supervision event does not contain a way for the sending state to respond, submitting a violation report requesting

revocation may be the least confusing way. Additionally, one reason this may be occurring is that only ICJOs can initiate a failed supervision event. See Finding #3 above.

- See Finding #1 under the “UNITY Related” section of this report which documents the lack of a mechanism for the sending state to respond within the failed supervision event as a potential UNITY related issue. Refer to the Technology Committee to review the failed supervision event task and workflow. If the violation report is to remain embedded within that event, include a task for the sending state to respond to a violation report within 10 business days to ensure compliance with Rule 5-103(2).
5. Violation reports are not uploaded to violation report event tasks.
- Recommendation: Documents relating to each specific violation report event should be uploaded in the case task section that corresponds with the specific violation. This could be addressed in a best practice, perhaps combined with other recommendations from this report.
 - An approved, upcoming UNITY enhancement is slated to organize Case Documents by date. This may alleviate the issue in reviewing Case Documents, but the reports and supporting evidence should still be uploaded in the appropriate UNITY task.
6. ICJO’s name was listed in JPO and JPS fields on all reports (home evaluation, violation report).
- Recommendation: Address as training issue/incorporate into best practice.
7. In 4 out of 11 cases where a failed supervision event was submitted, more than one reason or evidence for the failed supervision was listed.
- Recommendation: An approved, upcoming UNITY enhancement is slated for development that will allow a user to select only one option from the check-list. Address evidence reason as a training issue/incorporate into best practice.
8. Some users experienced issues documenting changes in max expiration dates.
- Recommendation: An approved, upcoming UNITY enhancement is slated to address this issue.

UNITY Related Findings

1. In the failed supervision event, there is a task to enter either a QPR or a violation report. In both circumstances, there is no task for the sending state to respond to the receiving state. Rule 5-103(2) requires that the sending state respond to a violation report requesting revocation within 10 business days.
- Recommendation: Refer issue to Technology Committee to review the failed supervision event task and workflow. If the violation report is to remain embedded within that event, include tasks for the sending state to respond within 10 business days.

2. In the violation report event, task rows were missing for the sending state to add a response to a violation report; as such, the Form IX section corresponding to this information is blank.
 - Recommendation: National office is investigating cases and/or UNITY help desk tickets for possible data system-related issue. Questions to be addressed: Is this due to a system-issue that has since been resolved? Are there any similar reports from UNITY users?

Potential Rule Violation Findings

1. Potential violations of Rule 5-103(1)(e). Some violation reports lack evidence of efforts or interventions/graduated sanctions attempted by receiving state.
 - Recommendation: Commission should consider issuing a training bulletin related to 5-103(1)(e) for Compact offices and field staff and/or develop other strategies to educate stakeholders. Specifically target field staff to ensure Compact requirements are communicated down to the field level. Ensure ICJOs understand requirements of Rule 5-103 so that appropriate efforts are made and incomplete reports are not submitted to the sending state.
2. Potential violations of Rule 5-103(3)(d). Failure to return juvenile within 5 business days, or 10 with an approved extension.
 - Recommendation: If the majority of states (21 cases, or 91 percent) are unable to effect the return of the juvenile within the timeframes laid out in Rule-5-103(3)(d), perhaps the timeframe should be extended. The average business days to return a juvenile from the date the sending state received the initial report to the resolution of the return was 16 business days. It may be that 10 business days with an option to extend by 5 business days is a more realistic timeframe for these cases. Refer issue to Rules Committee or submit a proposed amendment to review and consider increasing timeline in Rule 5-103(3)(d).
3. Potential violation of Rule 5-101(1). It appears juvenile is not being supervised “by the same standards of supervision that prevails for its own juveniles” as no direct contact was made for 139 days.
 - Recommendation: Commission should consider issuing a training bulletin related to Rules 5-101(1) and 5-103(1)(e) for Compact offices and field staff. Specifically target field staff to ensure Compact requirements are communicated down to the field level. Ensure ICJOs understand requirements of Rules 5-101 and 5-103 so that evidence of no-contact with juvenile is addressed in the receiving state prior to a violation report being issued to the sending state.
4. Potential violation of ICJ Rules 4-102 and/or 4-103. Signature’s missing on Form VI.
 - Recommendation: Consider including in best practice and address as training issue.

5. Potential violation of Rules 5-102 and/or 5-103. Case missing absconder report, where juvenile was issued warrant for absconding.
 - Recommendation: Consider including in best practice and address as training issue.
6. Regarding returns due to violations, Rule 5-103(3)(b) states, “The Form VI Application for Services and Waiver has the appropriate signatures; no further court procedures will be required for the juvenile’s return.”
 - Recommendation: Despite Rule 5-103(3)(b), it appears hearings may be important in cases where the retaking may result in revocation, as discussed in [Section 4.5.7.2 of the ICJ Bench Book](#). The National Office has asked Legal Counsel to review this issue and provide guidance. Consider including in best practice and address as training issue.
 - Suggestion for UNITY enhancement: Within Warrant Event, “Juvenile’s Availability for Retaking” – if “Yes – Valid / Complete Signed Form VI” is selected, indicate that Form III hearing is not necessary or required (or, pending input from Legal Counsel, add field to UNITY event to help guide users whether retaking may lead to revocation of probation or parole, in which case hearing may be important).
7. Potential violation of Rule 2-104. Evidence of JPO direct communication which is not documented in case.
 - Recommendation: Address as training issue and recommend that states develop policies to establish when officer-to-officer contact is permitted.

Compliance Standard B-04 Executive Summary

When a juvenile is not residing with a legal guardian and that person requests the juvenile be removed from his/her home, the sending state shall secure alternative living arrangements within five (5) business days or the juvenile shall be returned. **Rule 5-103(4)(b)**

Report Summary

Eligible UNITY case files were obtained for Compliance Standard B-04 using a Tableau report which provides information related to cases in which a receiving state utilized the failed supervision event to report that the juvenile is not residing with a legal guardian and that person requests the juvenile be removed from his/her home. The sending state makes the decision to return a juvenile to the sending state or to secure alternative living arrangements in the receiving state. Rule 5-103(4)(b) requires that either action must occur within 5 business days, with the option for a 5-business day extension if both ICJ Offices agree.

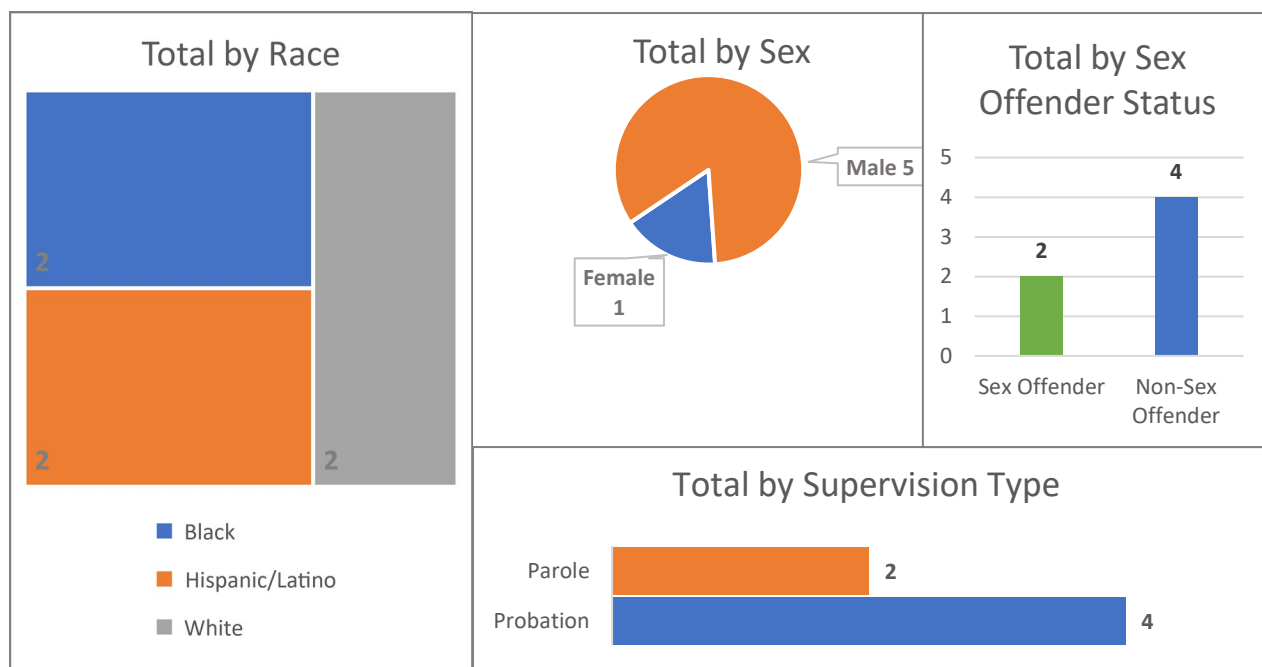
To be eligible for review, a transfer of supervision case must contain a failed supervision event where the receiving state indicates that the evidence for the failed supervision is that the juvenile is not residing with a legal guardian and that person requests the juvenile be removed from his/her home. However, in 2 cases alternate evidence for failed supervision was supplied, and upon investigation the cases did qualify for review under this standard. All cases in this report had failed supervision events occurring in Fiscal Year 2022, between 07/01/2021 and 06/30/2022. For this assessment, business days excludes weekends and federal holidays for 2021 and 2022.

Each case was reviewed for the following:

1. dates of reports, responses, and actions;
2. number of reports submitted prior to retaking;
3. details of violation report;
4. recommendations and reasonings by the receiving state;
5. responses from the sending state;
6. signatures on Form VI; and
7. Case Notes and Case Communications.

By the Numbers

In total, there were 6 eligible cases for review for Standard B-04, represented by the following demographics:



Cases averaged only 1 violation or quarterly progress report, and no cases had charges pending in the receiving state. Highlights of other case averages are included in the table below:

6	16 %	66 %	13	25 %
Average business days for a sending state to respond to a violation report	Only 1 case out of 6 exceeded the 10-business day response requirement	In 4 out of 6 cases, the juvenile was returned to the sending state	Average number of business days to return juvenile	Only 1 out of 4 cases met the ICJ Rule return timeframe

Findings & Recommendations

Findings include issues that may warrant action through the creation of best practices or training bulletins, amendment of the UNITY system, amendment of ICJ Rules, or other compliance action. This section contains a summary the findings in the areas of training, UNITY, and potential Rule violations. Details related to each finding are listed in separate section of the report.

Training Related Findings

1. Submitting an absconder/violation report event and a failed supervision event simultaneously, for the same violation. The violation report event contains a task for the sending state to respond within 10 business days. While the failed supervision event includes a violation report task row, it does not contain a task for the sending state to respond within 10 business days.
 - Recommendation: Determine best practice for ICJOs to document a failed supervision event and provide training/resources. Because the failed supervision event does not contain a way for the sending state to respond, submitting a violation report requesting revocation may be the least confusing way. Additionally, one reason this may be occurring is that only ICJOs can initiate a failed supervision event. If JPS/O users could initiate the failed supervision event, perhaps the duplicate work would be reduced.
 - See Finding #1 under the “UNITY Related” section of this report which documents the lack of a mechanism for the sending state to respond within the failed supervision event as a potential UNITY related issue. Refer issue to the Technology Committee to review the failed supervision event task and workflow. If the violation report is to remain embedded within that event, include a task for the sending state to respond within 10 business days to ensure compliance with Rule 5-103(2).
2. States submitting a quarterly progress report event in UNITY to “reset flow” aka timelines.
 - Recommendation: While the Commission does have a Best Practice on Intrastate Relocations, it should be further clarified how this affects QPR due dates. Refer issue to the Rules and/or Training Committee to determine the best practice for QPR due dates when a juvenile
 - i. is returned to the sending state and ordered back to a new residence in the receiving state (this coincides with best practice recommendation for Standard B-03 for how to handle the existing TOS case in UNITY), and
 - ii. relocates within the receiving state due to a Rule 5-103(4)(b) or other reason.
 - Not the same, but perhaps a related issue is that in the report for Standard B-03, two cases included notes reporting closing an active case to alter QPR due date.

UNITY Related Findings

1. In the failed supervision event, there is no task for the sending state to respond to the receiving state. When the Form IX is generated, this section is blank. Rule 5-103(2) requires that the sending state respond to a violation report requesting revocation within 10 business days.
 - Recommendation: Refer issue to Technology Committee to review the failed supervision event task and workflow. If the violation report is to remain embedded within that event, include tasks for the sending state to respond within 10 business days. This was also a finding related to Standard B-03.

Potential Rule Violation Findings

1. Potential violation of Rule 5-103(4)(b) requirement to return or secure alternative living arrangements within 5 business days, or up to 10 business days with approval from both ICJ Offices.
 - Recommendation: If the majority of states (3 out of 4 where the juvenile was returned or 75 percent for Standard B-04) are unable to effect the return of the juvenile within the timeframes laid out in Rule-5013(4)(b), perhaps the timeframe should be extended. The average business days to return a juvenile from the date they received the initial report to the resolution of the return was 13 business days. It may be that 10 business days with an extension of 5 business days is a more realistic timeframe for these cases. Refer issue to Rules Committee to review. This was also a finding related to Standard B-03.
2. Potential violation of ICJ Rule 4-102 and/or 4-103. Signature's missing on Form VI
 - Recommendation: Refer issue to Training Committee to consider how to address importance of due process as a Commission-wide initiative.