

INTERSTATE COMMISSION FOR
ADULT OFFENDER SUPERVISION

Public Safety.
Shared Responsibility.
Better Outcomes



VIOLATION RESPONSE TOOL



PILOT OUTCOMES
& RECOMMENDATIONS

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Purpose and Intended Use

The Violation Response Tool is designed to support decision-making for retaking. The tool is not intended to determine the seriousness of violations in isolation but instead applies a risk-informed framework that considers both violation behavior and stability factors, ensuring consistent documentation to support informed retaking decisions.

KEY POINTS OF INTENDED USE :

Use the tool to support retaking decisions when the individual is available for retaking, including after apprehension in absconder cases or in response to new criminal conduct or repeated noncompliance.

Retaking is a process, not an outcome. A retaking request returns the individual to the sending state for formal revocation consideration or continued supervision.

Do not use the tool when the individual is unavailable for retaking.

ICAOS VIOLATION FRAMEWORK PILOT - CASE DATA COLLECTION FORM

SECTION 1: CASE INFORMATION

ICOTS Profile # _____ Receiving State _____ Sending State _____

Supervised Individual Name _____

Date of Assessment _____ Date of Violation* _____

SECTION 2: VIOLATION SEVERITY

Instructions: Use the framework to classify the severity of the violation behavior and risk level intersect on the tool.

Violation Description _____

Risk Level _____

Violation Classification

Low High

Moderate Very High

Optional: Brief Explanation for Classification _____

Initial recommended response _____

SECTION 3: STABILITY FACTOR ASSESSMENT

Instructions: Assess the individual on each factor using the framework.

	YES	NO	UNKNOWN
Habitation, Connection to the Receiving State			
Was the supervised individual a resident of the receiving state or residing in the receiving state prior to the conviction in the sending state?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Has the supervised individual remained in the residence approved by state?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Has the supervised individual maintained stable tenancy for more than 6 months?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Employment			
Is the supervised individual currently employed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is the employment full-time?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Has the supervised individual maintained employment during supervision?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If the supervised individual is unemployed, are they engaged in educational or	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

* Violations assessed under this framework meet the criteria for "Behavior Requiring Retaking" including:

- The supervised individual has committed an act or pattern of non-compliance with supervision conditions;
- These issues could not be successfully addressed through documented corrective actions or graduated responses; and
- The behavior would result in a request for revocation in the receiving state (the court or paroling authority would seek to end supervision and impose incarceration due to the severity or persistence of the behavior.)

The retaking decision should be made **after** using the tool. The tool helps determine whether the violation behavior and documentation meet the threshold for "behavior requiring retaking" and support submission of the request.

Pilot Findings:

Instructional & Training Gaps

The six-month pilot demonstrated that the tool is valuable for improving consistency in retaking decision-making; however, it also highlighted several areas where additional training and guidance are needed.

Guidance should be strengthened in the following areas:

- Clearly define when violation behavior meets the behavior requiring retaking (BRR) standard.
- Reinforce that timely retaking decisions are tied to the individual's availability for retaking.
- Improving understanding of how to evaluate and apply stability factors, including when stability may support alternatives to retaking.
- Clarify when new convictions should require retaking versus when alternative responses may be appropriate, based on case status and availability.
- Encourage sending states to recognize and use available mechanisms to address violating behavior promptly while supervision continues in the receiving state, including in-person or remote proceedings under ICAOS Rule 5.101-2.

ADDITIONAL NOTES:

The pilot findings indicate that the tool could be strengthened by incorporating additional prompts to guide decision-making in cases involving new felony or violent crime convictions, such as:

- Whether supervision has been imposed in the receiving state, and if so, whether a viable supervision plan exists in the sending state should the individual be returned. This would help clarify whether a return transfer is appropriate following disposition of the new offense.
- Whether pending charges, active incarceration, or other legal constraints delay availability for retaking for 30 days or more, and what interim Compact actions could occur during that period.

Pilot Findings:

Data Quality and Accountability

Pilot findings revealed recurring concerns with the completeness and quality of stability-factor reporting.

- Frequent use of “unknown” or “N/A” responses may limit the usefulness of the tool and reduce accountability in decision-making.
 - Consider requiring narrative comments when “unknown” or “N/A” responses are selected.
- Adding checkboxes or confirmation prompts to ensure key procedural requirements have been met, including:
 - Confirmation that the state’s formal violation matrix has been applied.
 - Verification of compliance with Rule 4.101 (Manner and Degree of Supervision: treat as your own) and Rule 4.103 (Conditions of Supervision: receiving state imposing new conditions for violation behavior), including timely notification and required documentation.
- Increasing emphasis on documenting resident status and identifying alternative actions attempted prior to submitting a violation report requesting retaking.



Pilot Findings:

Practice and Oversight Observations

Throughout the pilot, Compact Office staff reviewed submitted framework assessments and identified instances where retaking decisions were not fully aligned with RNR principles or the intended use of the tool. In several cases, staff provided clarification and follow-up guidance to field officers to ensure consistent application and proper documentation.

Additional observations include:

- Retaking is sometimes used as the primary response to noncompliance, even though earlier collaborative interventions may also be available.
- State policies and practices should be reviewed to ensure consistent application of the Compact’s “treat as your own” standard. For example, where in-state cases would require parole board review or similar oversight, Compact cases should reflect comparable decision-making processes to support equity and consistency.



Pilot Findings: Key Takeaways



Structured Decision-Making Improves Consistency.

The framework promotes a more deliberate and documented approach to violation responses, reducing variability in how cases are handled across states.

Alignment with RNR Principles Is Achievable.

When applied as designed, the framework promotes proportional responses to noncompliance and emphasizes behavior change and public safety over automatic enforcement. Retaking decisions should therefore be based on conduct that meets the Compact's threshold for "behavior requiring retaking," rather than routine responses to technical violations.

Documentation Quality and Decision Support.

Feedback from non-pilot (sending) states indicates that the framework has improved documentation practices and provided stronger supporting information through OVRs, resulting in more complete records and better support for revocation decisions.

Availability Drives Process.

The pilot reinforced the importance of distinguishing between individuals who are available for retaking and those who are not. Premature escalation can create unnecessary workload and confusion.

Field Training Is Essential.

Pilot feedback suggests continued training is needed to ensure field staff understand both the purpose of the tool and the distinction between supervision responses and formal retaking actions.

Compact Offices Must Exercise Active Oversight.

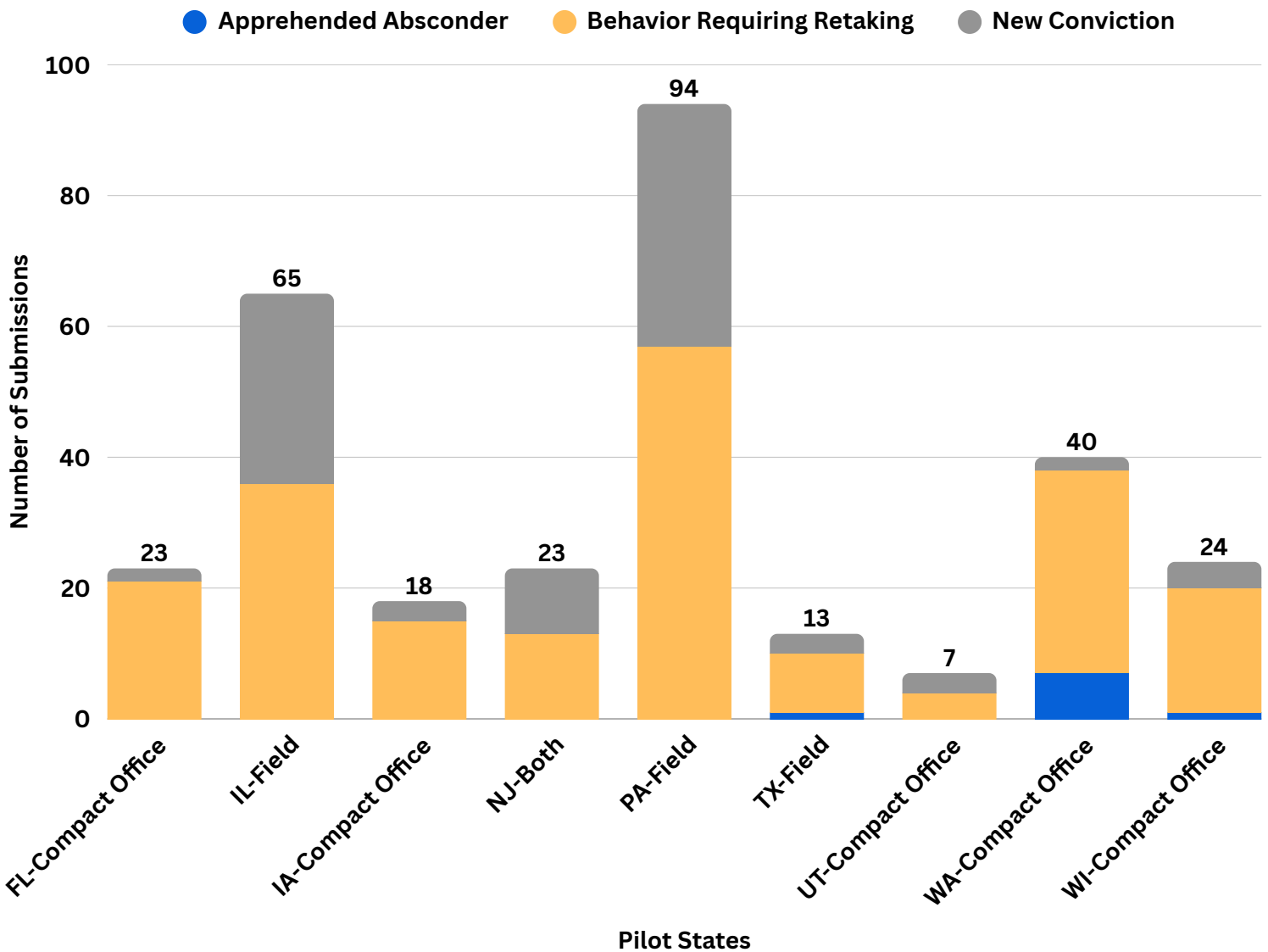
The pilot underscored the importance of Compact Offices being closely engaged in violation cases and retaking decisions. Active review, careful evaluation, and, when necessary, redirecting field recommendations will ensure alignment with Compact standards and RNR principles.

Nine states participated in the six-month pilot, using the tool more than 300 times. It was most frequently used to assess retaking for technical violations (205), followed by new convictions (93). The tool was used only nine (9) times for apprehended absconders, indicating a potential need for greater tracking and management of retaking in these cases.

Use of the tool varied by state:

- 5 states used it within the compact office
- 3 implemented it in the field
- 1 state (NJ) used a hybrid approach
 - probation cases: field
 - parole cases: compact office

Pilot Overview



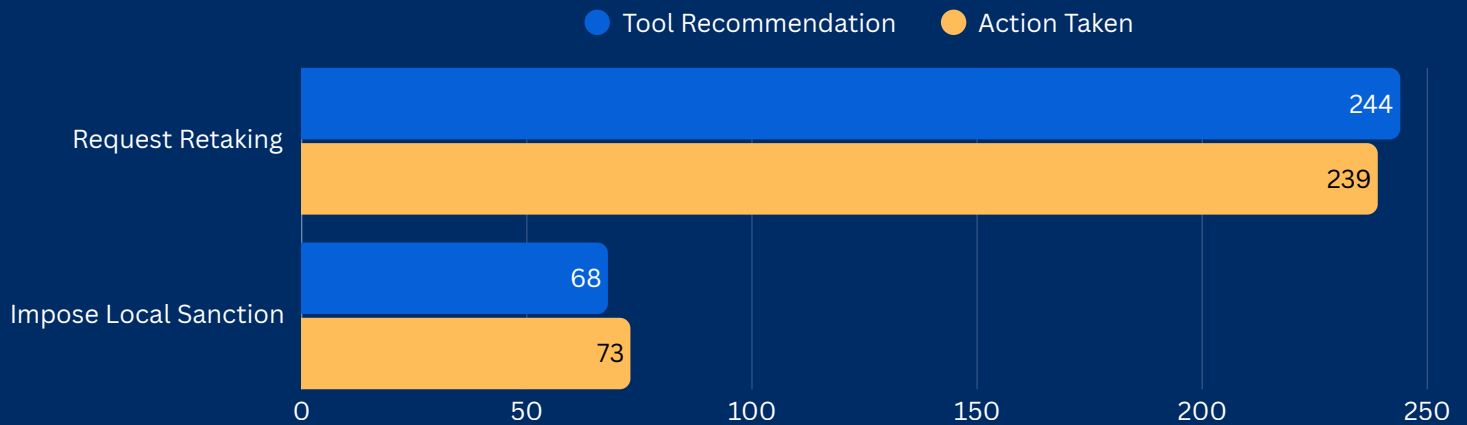
Retaking vs Stability Factors



19% High Stability

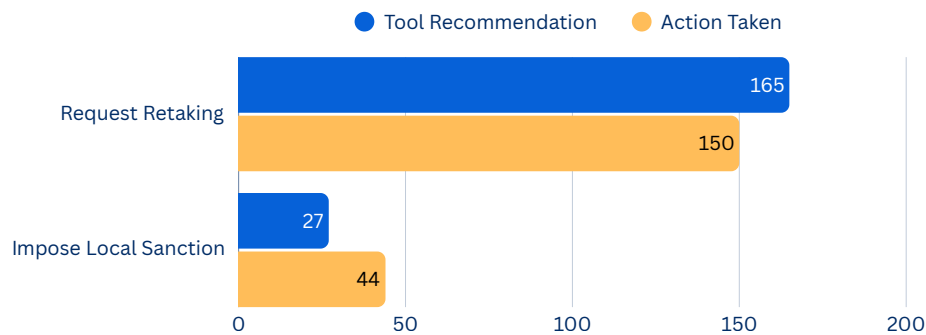
76% Retaking Requested

64% Residents of Receiving State

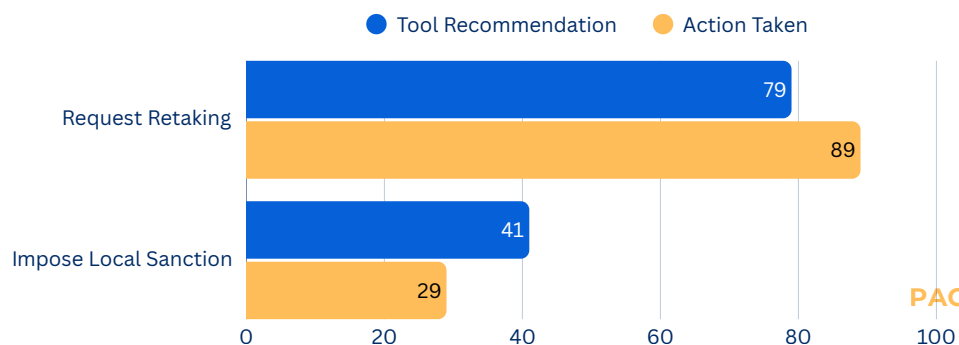


Overall, the tool's recommendation aligned with the action taken. The breakdown below distinguishes between field implementation and use within the compact office. Because recommendations are user-entered, some manipulation of the recommendation may have occurred, particularly in states using the tool in the field.

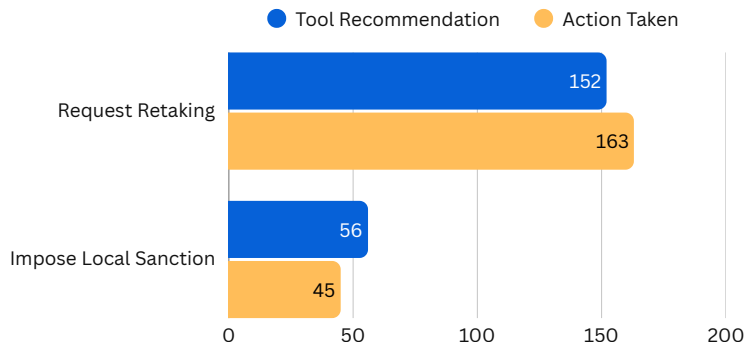
Field (194)



Compact Office (118)

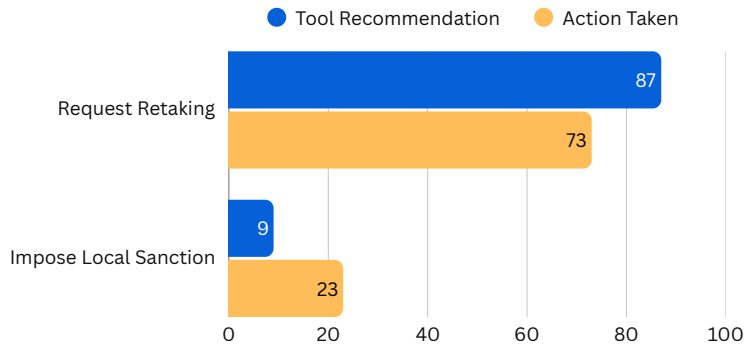


Retakings by Violation Type



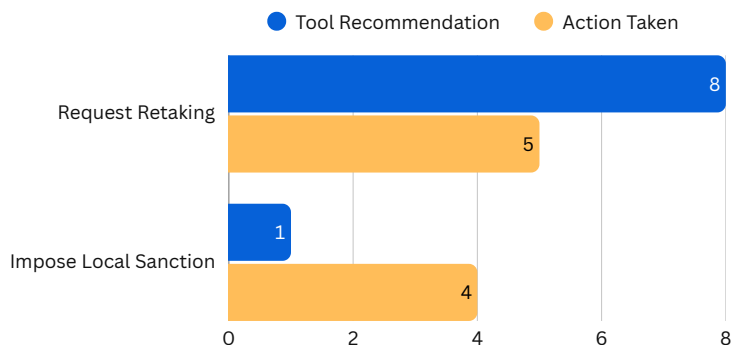
BEHAVIOR REQUIRING RETAKING-TECHNICAL VIOLATIONS

- 67% (208) of decisions were based on technical violations.
- Retaking occurred in 78%
- Tool recommended retaking in 73% of cases.



NEW CONVICTIONS

- 31% (96) of decisions were based on new felony or violent crime convictions.
- Retaking occurred in 76%
- Tool recommended retaking in 91% of cases (*Difference may be due to confusion over availability for retaking*)



APPREHENDED ABSCONDERS

- 3% (9) of decisions were based on absconders apprehended in the RS
- Retaking occurred in 56%
- Tool recommended retaking in 89% of cases

STATE ASSESSED RISK & VIOLATION SEVERITY

61% Assessed at High Risk

75% Assessed as High/Very High Violations