
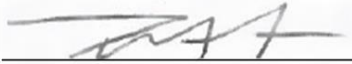


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POLICY NUMBER: 9.20 (ACC)			
CHAPTER 9: SUPERVISION AND CASE MANAGEMENT			
	STATE of MAINE DEPARTMENT of CORRECTIONS Approved by Commissioner: 		PROFESSIONAL STANDARDS: See Section VIII
	EFFECTIVE DATE: March 27, 2025	LATEST REVISION:	CHECK ONLY IF APA []

I. AUTHORITY

The Commissioner of Corrections adopts this policy pursuant to the authority contained in Title 34-A MRSA Chapter 9 Subchapter 6.

II. APPLICABILITY

Adult Community Corrections

III. POLICY

It is the policy of the Department of Corrections that all cases subject to the provisions of the Interstate Compact for Adult Offender Supervision (compact) be processed and managed in accordance with the compact. To the extent that state statutes, rules, or policies conflict with the terms of the compact or rules duly promulgated by the Interstate Commission on Adult Offender Supervision (ICAOS), such state statutes, rules, or policies are superseded by the ICAOS rules.

IV. DEFINITIONS

1. Adult – in Maine, a person who had attained eighteen (18) years of age at the time the person allegedly committed an offense. In other states, this age might be different. In addition, a person who had not attained the specified age at the time they allegedly committed an offense, but who are bound over and convicted as adults come within this definition.
2. Compact Administrator – means the individual in each compacting state appointed under the terms of the Interstate Compact on Adult Offender Supervision (compact) and responsible for the administration and management of the state's supervision and transfer of supervised individuals subject to the terms of the compact, the rules adopted by the Interstate Commission for Adult Offender Supervision (ICAOS), and policies adopted under the compact.
3. Compact Commissioner – means the voting representative of each compacting state appointed under the terms of the compact as adopted in the member state.

4. Interstate Compact for Adult Offender Supervision (compact) – the law that regulates the movement of adults who are under supervision ordered by courts, paroling authorities, corrections, or other criminal justice agencies between states. The compact is an agreement that has been adopted as law throughout the United States.
5. Interstate Compact Offender Tracking System (ICOTS) – a web-based system that facilitates the transfer of supervision of adults under the compact.
6. State – for the purposes of this policy, this refers to all 50 states, plus the District of Columbia, Puerto Rico, and the U.S. Virgin Islands.

V. CONTENTS

- Procedure A: Interstate Compact, General
- Procedure B: Interstate Compact Offender Tracking System (ICOTS) and ICOTS Access
- Procedure C: Interstate Compact Offender Tracking System (ICOTS) Data Security and Data Sharing

VI. ATTACHMENTS

- Attachment A: [Notification of Proposed Transfer to Maine under the Interstate Compact for Adult Offender Supervision](#)

VII. PROCEDURES

Procedure A: Interstate Compact, General

1. Prior to an individual being considered for transfer to Maine under the Interstate Compact for Adult Offender Supervision (compact), the Probation Officer who is assigned to investigate the transfer request shall notify the district attorney for the district in which the individual is proposed to reside; the sheriff for the county in which the individual is proposed to reside; the chief of police of any municipality in which the person the individual is proposed to reside; and the Department of Public Safety of the proposed transfer using the Notification of Proposed Transfer to Maine under the Interstate Compact for Adult Offender Supervision (Attachment A).
2. Adult Community Corrections shall supervise all individuals who have committed felony level offenses and those qualifying individuals who have committed misdemeanor level offenses who are approved for transfer to Maine under the compact.
3. A client who has been placed under the supervision of Adult Community Corrections due to a Maine conviction who is eligible for transfer under the compact to another state shall not be given permission to relocate to that state except as authorized under the provisions of the compact.
4. There shall be a Maine Compact Office consisting of the following Department of Corrections employees appointed by the Governor:
 - a. Compact Administrator;
 - b. Deputy Compact Administrator;

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- c. Maine’s voting member of the Interstate Commission on Adult Offender Supervision (Compact Commissioner), who is also the Compact Administrator.

The Compact Administrator may, as needed, designate other Department employees as part of the Maine Compact Office if they are trained to assist in the functions of the office.

5. In addition, the Commissioner of Corrections, in consultation with the Compact Administrator, shall appoint members of the Interstate Compact on Adult Offender Supervision State Council in accordance with the requirements of the compact and request that the judiciary and legislature each appoint a member. The State Council shall meet at least once annually to perform the functions set out in the compact.
6. The Compact Administrator, or designee, is designated as the administrator of the Interstate Compact Offender Tracking System (ICOTS) records and controls access to ICOTS, and whose duties include, but are not limited, to the following:
 - a. determining and approving all employees who are allowed to have access to ICOTS;
 - b. deactivating employees from ICOTS access who no longer have a role that justifies ICOTS access; and
 - c. performing at least bi-annual audits of all employees assigned access to ICOTS to ensure that their roles are still consistent for them in having access to ICOTS.
7. The Maine Compact Office is responsible for:
 - a. monitoring ICOTS for accuracy and completeness; and
 - b. monitoring employees to make sure that they are following the rules of the ICAOS and ICOTS.
8. Current information about ICAOS rules and using the Interstate Compact Offender Tracking System (ICOTS) are available on the ICAOS website found at <https://interstatecompact.org/>.

Procedure B: Interstate Compact Offender Tracking System (ICOTS) and ICOTS Access

1. To access ICOTS, a Department employee must:
 - a. have assigned job functions which require access to ICOTS as part of their official duties, e.g., Adult Community Corrections employees, to include Probation Officers, Probation Officer Assistants, Regional Correctional Managers, Regional Correctional Administrators, Interstate Compact Office employees, and the Director of Adult Community Corrections;
 - 1) any other Department employee who requests access to ICOTS shall be considered on a case-by-case basis by the Compact Administrator, or designee;
 - b. complete required training on the Interstate Commission for Adult Offender Supervision (ICAOS) rules, ICOTS procedures, and the ICOTS User Agreement and Privacy Policy; and

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- c. read and electronically sign the ICOTS User Agreement and Privacy Policy upon their initial login.
2. When the Compact Administrator, or designee, receives confirmation that the required training has been completed and the user has signed the ICOTS User Agreement and Privacy Policy, approval to access ICOTS may be granted by the Compact Administrator or Deputy Compact Administrator.
3. As determined by the Compact Administrator, or designee, in addition to the above training:
 - a. Adult Community Corrections employees shall receive training on the ICAOS, the compact, compact rules, ICOTS, and this policy during new hire training;
 - b. new employees shall also work directly with a Field Training Officer upon graduation from the new hire academy for further education on ICOTS use; and
 - c. annual training shall be conducted as needed, e.g., refreshers, rule changes enacted by ICAOS, or enhancements/changes to the ICOTS computer program.

Procedure C: Interstate Compact Offender Tracking System (ICOTS) Data Security and Data Sharing

1. Only Department employees with a need to use ICOTS are granted access to it. No outside person or agency shall be granted access to ICOTS.
2. All employees who have access to ICOTS shall adhere to the ICOTS User Agreement and Privacy Policy that has been created by the Interstate Commission for Adult Offender Supervision (ICAOS). Information shall be shared in accordance with this policy. Failure to do so by an employee shall result in their removal from having access to ICOTS.
3. All employees who have access to ICOTS shall adhere to applicable Department of Corrections policies, to include, but not be limited to:
 - a. Policy 8.6, Confidentiality of Adult Community Corrections Client Information;
 - b. Policy 3.5, Code of Conduct;
 - c. Policy 5.5, Internet/Email Access; and
 - d. Policy 5.3, Computer Security.
4. Any violation of any of the above policies or this policy may subject an employee to removal from having access to ICOTS and/or disciplinary action up to and including termination of employment.

VIII. PROFESSIONAL STANDARDS

None

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