

# INTERSTATE COMMISSION FOR JUVENILES

## Finance Committee Meeting Minutes

July 21, 2022

2:00 p.m. ET

Via Zoom



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### Voting Members in Attendance:

1. Corrie Copeland (TN), Commissioner, Chair
2. Sherry Jones (MD), Commissioner, Treasurer
3. Pat Pendergast (AL), Designee
4. Summer Foxworth (CO), Commissioner
5. Francis "Mike" Casey (DE), Commissioner
6. Nate Lawson (OH), Commissioner
7. Nina Belli (OR), Commissioner
8. Natalie Dalton (VA), Commissioner

### Members Not in Attendance:

1. Dale Dodd (NM), Commissioner, Vice-Chair

### Guests in Attendance:

1. Kellianne Torres (IA)
2. Abbie Christian (NE)

### National Office Staff in Attendance:

1. MaryLee Underwood, Executive Director
2. Emma Goode, Logistics and Administrative Specialist
3. Amanee Cabbagestalk, Training and Administrative Specialist
4. Jenny Adkins, Operations and Policy Specialist
5. Joe Johnson, Project Manager

### Call to Order

Chair Copeland (TN) called the meeting to order at 2:00 p.m. ET.

### Roll Call

Director Underwood called the roll and a quorum was established.

### Agenda

- **N. Belli (OR) made a motion to approve the agenda as presented. N. Dalton (VA) seconded. The motion carried.**

### Minutes

**S. Jones (MD) made a motion to approve the June 8, 2022 meeting minutes as presented. S. Foxworth (CO) seconded. The motion carried.**

### Discussion

- Finance Committee Chair Copeland amended the agenda to begin with the UNITY Enhancements Update to enable Kellianne Torres (IA) and Abbie Christian (NE) to complete their presentation of UNITY enhancements first.

## **UNITY Enhancements Update**

- Technology Committee Chair Kellianne Torres (IA) and UNITY Enhancements Subcommittee Leader Abbie Christian (NE) presented the UNITY Enhancements Group 1 Packages. Group 1 was recommended to the Executive Committee by the Technology Committee, and the Executive Committee approved all packages. A similar presentation was presented to the both the Technology and the Executive Committees in June.

### **Package A: Master Task List**

- A. Christian (NE) provided an overview of Package A, which includes enhancements related to the Master Task List (MTL).
- These enhancements would restructure the “task lists” in the Master Task List (MTL) and the ICJ Office MTL (ICJO MTL), and add a Probation/Parole Supervisor MTL (JPS MTL). Enhancements will include addition of five (5) new filters and revision of one (1) filter. Enhancements also include a change in the naming convention on return cases and addition of a case reassignment function.

### **Package B: Transfer of Supervision (TOS) Workflow**

- K. Torres (IA) provided an overview of Package B, which is related to the Transfer of Supervision (TOS) workflow and “Case Document” design functionality.
- The enhancement will increase data field flexibility of “Court Cases” for Sending States; enhance feature functionality in the “Case Documents” section; and enhance and streamline functionality of the TOS task grid design.
- K. Torres (IA) explained the new design for task list reordering would automatically arrange the TOS information into a chronological order. Additionally, the enhancement includes a departure task information line wherein the receiving state will be required to acknowledge they have received the ICJ Form V departure information.

### **Package C: Navigation Design Functionality**

- A. Christian (NE) provided an overview of Package C, which includes one very important change related to navigation design functionality.
- The enhancement will create a floating navigation panel on the left of the screen when a user is in a case file. The floating panel will make pertinent juvenile profile and case information visible throughout the case, and reduce the need to go to other areas in UNITY to find the pertinent information. This new feature will only be available on desktop applications.

### **Package D: Case Communication Design Functionality**

- K. Torres (IA) provided an overview of Package D, which is related to design functionality.
- The enhancement revises the “Case Communication” section to require the user to select a recipient for a message, and add identifying information to the list of recipients to include state, role, and probation or parole.

### **Package E: Return Workflow**

- K. Torres (IA) provided an overview of Package E, which is related to the return workflow.
- The enhancement will add date and time fields to the "Juvenile has Returned to Home/Demanding State - Return Case Closed" task. This will allow for accurate documentation of when the juvenile is picked-up from the holding state and returned to the home/demanding state. Also, fields will be edited to allow for selection of "abuse/neglect alleged" and entry of human trafficking information throughout return cases. An "unknown" option will be added to the drop-down list related to human trafficking.
- A. Christian (NE) added that "unknown" will encourage additional use of the field, without making the field mandatory.

### **Package F: TOS Travel Plan Event**

- K. Torres (IA) provided an overview of Package F, which is related to functionality of the TOS event.
- The enhancement will allow collaboration on entry of travel plan details during the retaking phase of a transfer of supervision. The dual entry option already exists on travel plans in return cases. This enhancement would mirror the same functionality in the TOS cases. The enhancement is an add-on to an existing workflow to allow both states the opportunity to enter pertinent information in UNITY when retaking a juvenile.

### **Package G: TOS Workflow**

- A. Christian (NE) provided an overview of Package G, related to the TOS workflow.
- The enhancement would create a new TOS workflow for non-sex-related offense probation cases to allow the UNITY user to select whether the TOS workflow starts with the Travel Permit or with the complete referral. The new TOS workflow option would allow the sending state to provide notice of a forthcoming transfer request to the receiving state using a travel permit in cases, when some mandatory referral documents are not yet available.
- A. Christian (NE) explained the enhancement will provide an appropriate option when juvenile already resides in the receiving state at the time of the offense or disposition. However, if the juvenile is truly testing a residence, then that would be the appropriate selection. A 30-day time frame is not prompted, as this is not a rules-based change.

### **Package H: Design Functionality**

- K. Torres (IA) provided an overview of Package H, related to design functionality.
- The enhancement will revise verbiage on task line items to more accurately reflect the actions taken rather than showing the word "approve," which currently applies to a wide range of actions. Also, it will include icon image updates to provide better visuals. She highlighted several examples.

### **Package I: TOS Workflow – Failed Supervision Event**

- A. Christian (NE) provided an overview of Package I, which is also related to design functionality area. Package I is different from other enhancements, in

that it is necessary to ensure the system conforms with the ICJ Rules. This enhancement will modify the failed supervision event to properly align with Rule 5-103 (reporting juvenile non-compliance, failed supervision and retaking).

- Legal Counsel Rick Masters provided a legal interpretation of Rule 5-103(4), regarding whether a legal guardian must remain in the sending state for a juvenile to be returned to the sending state.
- In summary, in Rule 5-103(4), sub-sections (a), (b), and (c) provide separate criteria for establishing that supervision has failed. Whereas a legal guardian must be present in the sending state for a juvenile to be returned pursuant to 5-103(4)(a), the “legal guardian” requirement is not applicable to subsections (b) and (c). However, the UNITY system will only allow users to process a case if the user selects either “Juvenile is over the age of majority” or “Legal guardian is remaining in the sending state.” This essentially imposes the “legal guardian” requirements from section (a) onto sections (b) and (c), which is inconsistent with the ICJ Rules
- The enhancement/correction will enable UNITY users to move forward in all ways allowed by the rules, including when there is a failed supervision as described in Rule 5-103(b) or (c) where there is no legal guardian in remaining in the sending state.

### **Comments**

- S. Foxworth (CO) commented that she liked all the enhancements and asked for clarification of the next steps.
- K. Torres (IA) shared the timeline below:
  - JUN 2021  
Enhancement Request submissions began.
  - MAY 2022  
UNITY Enhancements Subcommittee finalized their review and recommendations.
  - JUN 14, 2022  
Enhancements were presented to the Technology Committee for recommendation.
  - JUN 23, 2022:  
K. Torres (IA) presented the recommendations to the Executive Committee for approval.
  - OCT 4-5, 2022  
Enhancements will be announced to the full Commission during the 2022 ICJ Annual Business Meeting in Burlington, Vermont.
  - AUG 2022 - MAR 2023  
Development & Testing
  - MAR 2023 - MAY 2023  
Pre-Release Education & Training
  - 2023 UNITY Release (Date to be Determined)
- Finance Committee Chair Copeland (TN) commented that the daily UNITY users will appreciate the enhancements and acknowledged the hard work by the UNITY Enhancements Subcommittee.
- Director Underwood thanked the UNITY users who submitted the requests and acknowledged the hard work of the UNITY Enhancements Subcommittee. She

expressed a special acknowledgement to Abbie Christian (NE), Kellianne Torres (IA), and Natalie Dalton (VA), who served on the Enhancements Subcommittee.

- S. Jones (MD) expressed her appreciation to the work of the UNITY Enhancements Subcommittee.
- K. Torres (IA) commented that in addition to the UNITY Enhancements Subcommittee members mentioned, Holly Kassube (IL), Kelly Palmateer (NY), and Nita Wright (IN) also serve on the subcommittee.
- Chair Copeland updated that she had requested the presentation of the UNITY Enhancements approved by the Executive Committee to the Finance Committee as Finance Committee discusses the financial impact in the FY 2023 and FY 2024 Budgets.

### **Dues Assessment and Recalculation Recommendation**

- Finance Committee Chair Copeland reported that she, Finance Committee Vice Chair Dale Dodd (NM), and Treasurer Sherry Jones (MD) met with Director Underwood to discuss how to proceed with dues assessment and recalculation.
- The “ICJ Dues Assessment and Recalculation” document was drafted and presented for the discussion.
- The document proposes two options for consideration regarding a dues assessment increase:
  - Option A Progressive Increase:
    - An increase of 15% the first year (FY24) and a 5.25% increase each year for the next four years (FY25-FY28).
  - Option B One-Time Increase:
    - An increase of 35% the first year (FY2024) which would remain constant for the next four years (FY25-FY28).
- The Finance Committee reviewed the FY24 - FY28 proposed budget worksheet which indicated that to sustain the projected operational expenses and projected inflationary increases, a dues increase is inevitable. The Commission has not increased dues since its establishment in 2008. The cumulative rate of inflation since 2008 is thirty-six percent (36%).
- Chair Copeland proposed that both Option A and Option B should be presented to the full Commission during the 2022 Annual Business Meeting (ABM) for vote, along with a recommendation from the Finance Committee for one of the options.
- Additionally, Chair Copeland asked members to anticipate potential questions states will have, so the committee members will be prepared with responses.
- P. Pendergast (AL) reaffirmed that the Commission has not incurred a nationwide dues increase since inception. He applauded the information as presented in writing and suggested providing states the information in advance to share within their states. He suggested the one-time increase outlined in “Option B” to prevent the need to answer questions about increases every year. However, he indicated he would like to discuss the issue with others in his state before making a final recommendation.
- C. Copeland (TN) supported providing the information to Commissioners to share within their states. She also prefers the one-time increase for her state, noting that the progressive increase would have her state paying approximately \$4,000 more per year over the course of the five years.
- N. Dalton (VA) commented that dues are to be set at an amount sufficient to cover the Commission’s expenses. She noted that the largest line-item increases in the projected budget are the UNITY System and the Professional

Consultants fees items, noting that some of these funds were to be used for work related to racial justice and leadership development. Regarding UNITY enhancements, she suggested considering whether now is the time to spend the money. She stated that she believed states were initially told the new data system would not cause an increase in dues. She expressed that presenting the cost of UNITY enhancements and an increase in dues at the same time will cause concern. She also noted that some states are laying off staff and have not increased wages for state workers in years. She summarized that it would be difficult for her to support an increase in dues to pay for expenses that might be considered optional.

- Chair Copeland thanked N. Dalton (VA) for asking the difficult questions. The Finance Committee will be challenged to answer similar questions. Her statements demonstrate the importance of preparing unified responses for Finance Committee members.
- Director Underwood explained that the Professional Services Consultant line-item for \$60,000 proposed in FY24 is to support new projects outlined in the Strategic Plan for FY 23 – 25, recently developed by the Executive Committee. Of the Professional Services fees proposed in FY24, \$50,000 is proposed to support developing an evaluation partnership with a university to evaluate some of the Commission’s programs. The remaining \$10,000 in line-item #77 includes would be used for Annual Business Meeting speakers, transcription and translation services, and other miscellaneous needs.
- The current Leadership Exchange Series provided in FY 21 and 22 will not be repeated. Instead, the Leadership Development/Racial Justice line-item #78 for \$20,000 was also approved by the Executive Committee for a partnership with Georgetown University to sponsor ICJ leaders’ participation in a leadership certificate program. The new opportunity has not yet been announced to the full Commission.
- N. Dalton (VA) commented those line items speak to her point about budgeting for what is crucial and essential to the operations of the Commission, rather than projects some wish to pursue. She noted that invested funds have been subject to a volatile market. She noted that the UNITY System budget line item for FY23 was approved for \$184,000, and now a \$128,000 increase is proposed. While users would enjoy the enhancements, she suggested waiting until later to make enhancements.
- S. Jones (MD) responded that the investment fund was originally started to cover the new data system. Currently, funds are readily available in the investment account to cover the costs of UNITY enhancements. She advised that no funds were used from the long-term investment funds for UNITY development, as was planned. Instead, funds initially allocated for in-person meetings in FY 21 and FY 22 were reallocated, in the wake of the pandemic. Additionally, she noted that budget projections in the proposed Plan B would leave the Commission in a deficit at the end of the five years, whereas Plan A would not.
- N. Dalton (VA) stated that she understood the original intent of the reserve account. She expressed concern about the possibility of high enhancement costs in FY 24, when it may be necessary to modify UNITY because of rule amendments.
- Director Underwood shared the Vanguard statement balance as of June 30, 2022. While overall the year-to-date balance has declined, the current value of the long-term investment account is more than \$1.7 million. P. Pendergast (AL)

asked if we are making deposits into the investment fund. Director Underwood explained deposits ceased during the development of the new data system. The build was completed within the original budget, and without withdrawing any funds from the long-term investment account.

- P. Pendergast (AL) shared that he does not work in UNITY on a regular basis, and could not offer input on the enhancements. However, the Commission decided years ago to establish the investment account for the purpose of a new data system. If approved enhancements are warranted, then the Commission should move forward with those and use the appropriated funds being mindful with the budget not to overspend and being sensitive to the current economic conditions.
- S. Jones (MD) reminded members that the initial review by the UNITY Enhancements Subcommittee began with over 100 UNITY enhancement requests. All submissions were analyzed and narrowed into the Enhancement Packages presented earlier in the meeting. She asked N. Dalton (VA) as one of the UNITY Enhancement Subcommittee members, if the enhancement packages would cause UNITY users to be more productive in performing the Commission's daily operations.
- N. Dalton (VA) replied that operational productivity was a part of the critical analysis and the packages were intentionally bundled for a cost savings. She stated that there is a risk of increased costs if enhancements are postponed and/or the packages are separated. Additionally, she expressed her concern about increased maintenance and support (M & S) fees, as compared to the original contract. She questioned whether M & S fees are expected to increase each time there is an enhancement or a rule change.
- Director Underwood shared a worksheet with a proposed five-year budget forecast through FY 28. The projections include \$100,000 for UNITY enhancements per year, as well as increased M & S fees.
- Chair Copeland (TN) asked if whether current rule amendment proposals are expected to require significant changes. Director Underwood replied it was too early to know; however, there is a proposal regarding the travel permit which could impact workflows. A workflow change in UNITY is more expensive than a tweaking an established field/label.
- N. Belli (OR) asked where the amounts in the tier structure originated. Director Underwood replied it was developed at the onset of the Commission. Based on available information, she stated that she believes that the initial calculations were run, then grouped into the tier levels. Then, amounts for dues were assessed to cover the cost of operations.
- P. Pendergast (AL) and S. Foxworth (CO) agreed and added that the Council of State Governments (CSG) was instrumental in assisting with the ICJ start-up. CSG presented the formula and tier structure based on other compact structures, including the Interstate Commission for Adult Offender Supervision (ICAOS). The formula, tier structures, and amounts per tier were presented to the Commission by the CSG, they were not developed by the Commission members at the time the Commission originated.
- Director Underwood updated that, since joining the Commission, 37 states have remained in their original tier; 5 states went down a tier; and 10 states went up a tier after the one-time recalculation of dues using the US Census and JIDS data.
- N. Dalton (VA) noted that ICAOS increased their dues by 6% over three fiscal years and implemented a one-time reduction in FY 22. Director Underwood

added that ICAOS will consider a progressive increase in dues during their ABM. Additionally, they are now planning for development of a new data system.

- S. Jones (MD) suggested the “Option A” progressive increase would be best for the Commission, in order to avoid a deficit at the end of five years.
- **S. Jones (MD) made a motion to recommend the Option A Progressive Dues Increase. S. Foxworth (CO) seconded. P. Pendergast (AL), N. Dalton (VA), N. Belli (OR), and M. Casey (DE) opposed. The motion failed.**
- P. Pendergast (AL) suggested the members share the information with their state finance departments for input before making a final recommendation.
- **S. Jones (MD) made a motion to table the discussion to the August meeting. N. Belli (OR) seconded. The motion passed.**
- Chair Copeland (TN) again encouraged the members to bring back any additional questions from their state for discussion at the next meeting.

## **FY 22 Budget Update**

- Director Underwood updated that FY 2022 completed June 30, 2022 under budget. All income and expense items have cleared with the exception of one outstanding check.
- Director Underwood highlighted the income section:
  - The Commission’s revenue is primarily composed of states’ dues. The additional income includes: cash rewards from the credit card; office furniture and equipment sold as a result of downsizing the ICJ National Office; and interest earned from the savings account.
  - Line-item #11 includes the unrealized gain-equity in a negative amount. She explained the amount represents the long-term investment account. The negative amount is due to the current market trend. No monies have been withdrawn.
- Director Underwood highlighted the expense sections:
  - Administrative expenses were reduced as a result of downsizing the ICJ National Office, particularly rent, printing, and postage.
  - Communication expenses finished on target; however, a major reduction will be incurred in the years ahead due to the change to Zoom for teleconferences and phone service.
  - Computer and information technology expenses finished slightly above the projected budget.
  - Meetings and conferences expenses were substantially lower than budgeted due to a reduction in travel and transition to virtual meetings for the Annual Business Meeting (ABM) and the Spring Executive Committee planning meeting.
  - National data system expenses were slightly above the budgeted amount. JIDS continues to be a part of this line item; however, costs will be reduced as JIDS phases out.
  - Payroll expenses finished slightly under budget.
  - Professional services expenses were under budget. These included 2021 ABM presenters, Leadership Exchange Series expenses, and legal services.
- Director Underwood reported a reimbursement from Verizon is anticipated for an inappropriate withdrawal of funds as part of an automated payment. Upon completion of the FY22 Auditor’s Report (which begins August 8), there will be



minor adjustments to the item codes which will impact some of the line item totals.

### **FY 23 Budget Amendments**

- Chair Copeland asked Director Underwood to present the proposed amendments to the FY23 Budget.
- Director Underwood briefed that the FY23 Budget was approved by the full Commission during the 2021 Annual Business Meeting. Each year, the approved budgets are reviewed for adjustments in the line items to accurately reflect actions by the Commission throughout the year.
- Director Underwood highlighted the income section.
  - The dues income remains static in FY23. To cover the costs of UNITY enhancements and increased expenses for the 2022 ABM, the amount to be used from the reserves/investment accounts was increased from \$130,000 to \$279,000.
- Director Underwood highlighted the expenses section.
  - Administrative, Communications, Computer and Information Technology Expenses are amended to be reduced.
  - Meetings and conferences will see an increase in costs as the Commission returns to in-person meetings, with increased costs of travel, food, and audio visual for the 2022 Annual Business Meeting.
  - The National Data System line item is increased to include the enhancements and maintenance.
  - Payroll expenses continue with typical salary and benefits progression.
  - Professional Services is increased to cover the cost of the Executive Committee's decision to promote new opportunities for leadership development focused on racial justice.
- **P. Pendergast (AL) made a motion to approved the amended Fiscal Year 2023 Budget as presented. N. Belli (OR) seconded. N. Dalton (VA) opposed. All other members presented voted to approve. The motion passed.**

### **FY 24 Budget Proposal**

- Director Underwood presented the proposed FY24 Budget. The budget proposal was based on an increase in the appropriations (dues) line item of fifteen percent (15), as outlined in "Option A."
- The administrative, communications, computer and information technology, and payroll expenses proposed reflect three to five percent (3-5%) increases for inflation.
- Budgets for meetings and conferences can be decreased slightly, because the Rules Committee will not meet in person dues to the 2-year rule amendment cycle.
- The budget for the UNITY data system line item can be decreased, as major enhancements will be complete in FY23.
- The budget for professional services includes an increase of \$50,000 to fund an evaluation partnership with a university, as explained earlier in the meeting.
- **N. Dalton (VA) made a motion to table the discussion to the August meeting. P. Pendergast (AL) seconded. The motion passed.**

### **Old Business**

- S. Jones (MD) reminded members if they are interested in an ICJ leadership position next year to submit their names.
- Director Underwood asked member planning to attend the 2022 ABM in Vermont to make their travel arrangements now to help contain the costs.

### **New Business**

There was no new business.

### **Adjourn**

**N. Dalton (VA) made a motion to adjourn. Chair Copeland adjourned the meeting by acclamation without objection at 3:52 p.m. ET.**