

Performance Report Introduction

The Department of Corrections Annual Performance Report for fiscal year 2012 is provided in compliance with requirements of Iowa's Accountable Government Act.

The Department continued its focus on those operational and correctional practices shown by research, data or results to be the most effective "best practice" in each area of the organization. By focusing on what is known to work, the agency has better directed limited resources to those strategies that produce the greatest value to Iowans. State-wide focus on the alignment with these best practices has been accomplished through communication of the leadership agenda, the Departments' Strategic Plan, Performance "Score Card", offender information system (ICON) and management information system, and the employee performance accountability system.

The Departments' key service areas include: the assessment and **identification of the risk** offenders pose to the community; the effective **management of individual offender risk** and **offender accountability**; **the reduction of future risk** from supervised offenders through the use of intervention and treatment programs that have been shown to impact criminal behavior; and efficient **management** of the facilities and resources that provide for **healthy, safe and humane environment** for staff and offenders.

The Departments **key strategies** are:

- 1. Offender Management – Best Practices Reentry Model**
- 2. Population Management**
- 3. Information Best Practices**
- 4. Workforce Investment**

Strategic Goals are:

1. Impact recidivism through provision of evidence based programs, interventions, case planning and reentry initiatives.
2. Improve operation effectiveness through utilization of "best practices"
3. Impact Corrections system grown in community and prisons
4. Reinvention of the way the department does business to manage resources in the most cost effective and productive manner to produce ultimate value for taxpayer dollars.
5. Use data and evidence to make fiscally responsible decisions.
6. Adequate and diverse human resources, financial resources and processes to maintain infrastructure and delivery of services.

The Departments' accomplishments for each key strategy include:

1. Offender Management – Best Practices Reentry Model

- 41.7% of correctional treatment interventions have been designated as EBP “Promising” or “Excellent”.
- Iowa has a low parolee return rate of 11.7% compared to the surrounding Midwest states.
- The Department contracts with community colleges to provide GED classes to offenders in prison and in FY2012 514 offenders received their GEDs. The GED program provided 209,616 hours of instruction in GED.
- The Literacy Program in the prisons served 40 offenders and provided 35,268 hours of instruction. 299 literacy completions were awarded.
- Eight of Iowa's nine prisons have received CEA (Correctional Education Association) Accreditation Certificates.
- 66.3% of community based corrections offenders are successfully completing treatment programs, such as Batterers Education, Drug Court, Dual Diagnosis, etc.
- 86.3% of DOC's offenders are completing treatment for their top 4 needs.
- Only 11.7% of DOC's offender's recidivate with subsequent convictions for felonies or aggravated misdemeanors who have discharged from corrections supervision.

Improving Offender Programming

In 2008, the Iowa Department of Corrections embarked on a comprehensive audit of all institutional and community corrections offender programs that receive corrections funding. The audit focused on the degree to which each program adheres to evidence-based practices principles (what works best). The audit areas are listed below along with some examples of the questions asked about each program:

Risk Assessment Criteria. Is a risk assessment conducted? Does the program address the risks identified by the risk assessment?

Responsivity Assessment Criteria. Does the assessment identify how best to motivate an offender (for example; incentives, rewards, motivational enhancement interviewing)? Is the treatment designed to be received positively by the offender?

Cognitive Behavior Interventions (changing the way the offender thinks). Are cognitive behavioral programs used to help the offender develop a more positive way of thinking (and behaving)?

Continuing Support. Is there a plan for the offender to receive continuing community support after the formal program has been completed (for example: mentors, support groups)?

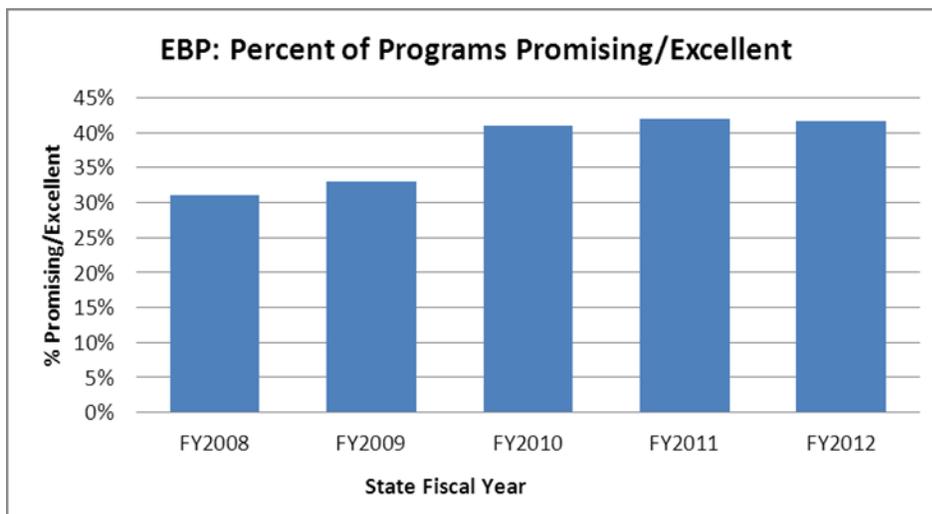
Program Measurement/Feedback. Has the program been evaluated by correctional staff for effectiveness? Has it been evaluated by and independent researcher?

Clinical Supervision. Has the program supervisor been trained in Evidence-Based Practices (what works best)? Each program received a rating, with categories from high to low as follows: Excellent, Promising, or Needs Improvement. Some programs were eliminated and improvement plans were developed for other lower-scoring programs. As shown below, more programs now score as promising or excellent due to these efforts.

More Offender Reentry and Employment Issues

A recent Iowa Workforce Development study found that offenders who obtained a high school diploma or GED (with the majority achieving the latter) had higher employment rates than those who did not. In addition, offenders with a high school diploma or GED consistently earned higher wages than those that did not.

The IWD study also found that the accommodation and food service industries provide among the lowest pay, yet employ the highest average number of female offenders (comprising 50.7% to 64.6% of those employed, depending on the quarter), and ranked second in employment of male offenders (comprising 17.8% to 22.5% of those employed, depending on the quarter). Such findings are of particular significance in that a 1999 study by Christopher Uggen found a small but consistent relationship between job quality (e.g. job satisfaction, net pay) and recidivism.

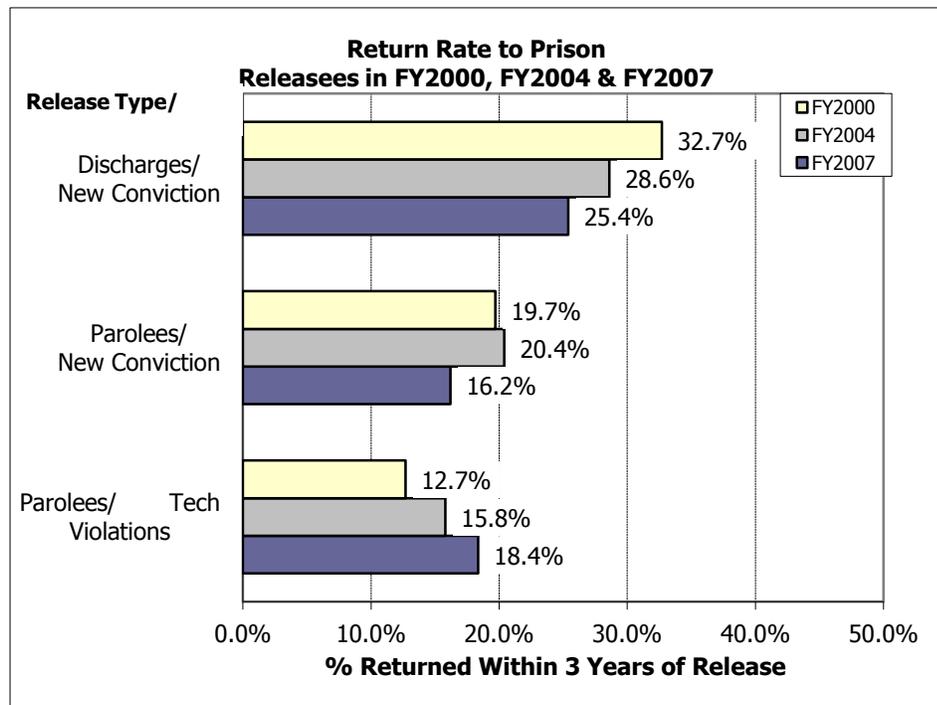


Reentry efforts aimed at improving the quality of post-release employment for all offenders appears to hold promise for further reducing recidivism; manufacturing jobs, for example, were among the highest paying jobs held by both male and female offenders.

New Conviction Lower for Paroles

In June 2011 DOC released a report entitled Iowa Recidivism Report: *Prison Return Rates (FY2007 Releases Tracked for 3 Years)*, in which it is found that those prison inmates who are paroled are less likely to return to prison due to a new conviction than are inmates who leave prison due to expiration of sentence.

Offenders who discharge their sentences cannot be returned to prison for technical violations because they do not receive community supervision. However, as shown below their rates of return to prison for new conviction is higher than for parolees, suggesting that community supervision enhances public safety. Given the difference in recidivism rates between discharges and paroles for the most recent period, one may estimate that for every one hundred offenders who are paroled rather than discharge by way of expiration of sentence, nine new convictions involving prison incarceration may be prevented.



The bar graph illustrates two additional findings:

- There has been a downward trend in new convictions for both offenders expiring their sentences and those placed on parole. This suggests that correctional programming in the institutions and the community has improved; and
- There has been an upward trend in parolees returned to prison due to technical violations. It is beyond the scope of the report to ascertain the cause(s) for this trend. In so far that returning technical violators in prison increases prison crowding and correctional costs, further research would be beneficial.

WISH

WISH is designed to provide comprehensive, gender responsive substance abuse treatment over a 6 month period to female offenders who are subject to release within 12 months of incarceration. The project treats 45 female offenders at ICIW during a six month cycle.

WISH is a major improvement to the existing female offender substance abuse treatment because this new program is not limited to long-term offenders. All female offenders who begin prison treatment with shorter sentences are afforded the opportunity to complete a gender-responsive holistic substance abuse treatment program which also provides a mentoring component to enhance their reentry/transition back into the community. A co-occurring component was also developed for this program which utilizes an integrated approach focusing on both substance use and psychiatric disorders.

INNOVATIVE BEP PILOT PROJECT

Since October of 2009, the DOC has been collaborating with the Judicial Branch, Fifth and Sixth Judicial Districts, the University of Iowa and the Iowa Coalition against Domestic Violence (ICADV) to test the feasibility and efficacy of a novel, evidence-based group intervention program for domestic abuse offenders. A draft of the new treatment manual has been completed and is being piloted in the first, second, fifth and sixth judicial districts. The new curriculum entitled “***Achieving Change Through Value-Based Behavior***” (ACTV) is based on the principles and techniques of Acceptance and Commitment Therapy (ACT). The United States Substance Abuse and Mental Health Services Administration (SAMHSA) has now listed ACT as an empirically supported method as part of its National Registry of Evidence-based Programs and Practices (NREPP). Acceptance and Commitment Therapy (ACT) is based on empirically-supported mindfulness-based cognitive behavioral therapy and has two major goals:

- To foster acceptance of unwanted mental experiences which are out of our personal control
- To facilitate commitment and action toward living a valued life

The ACTV Curriculum has incorporated the essential components of Acceptance and Commitment Therapy and applied it to working with domestic abuse offenders. ACTV seeks to expand the offenders' knowledge of ACT and to assist them in applying it to their daily lives. The goal is to assist offenders in defining their true values in life and working with them as they move toward a life consistent with their values, particularly that of remaining nonviolent and non-abusive.

Iowa is the first state in the country to apply this model and these new techniques to a BEP. If the ACTV programming proves effective in reducing participants' aggressive and controlling behavior more than existing programs around the country (which are all based on Duluth and/or cognitive-behavioral models), Iowa would have a groundbreaking curriculum to present to other states. The project, supported through the Judicial Branch Violence Against Women Act funds, is now in the middle stage of completion. Additional funds have been received to complete and evaluate this innovative approach to batterer's treatment for statewide application and national review.

2. Population Management

The Department of Corrections contracts with Spectrum Health Systems to conduct front-end substance abuse assessments at the inmate reception center – Iowa Medical and Classification Center. Such assessments are considered vital in so far as 80-85% of offenders in DOC institutions list alcohol/drug problems as one of their top three need areas. These assessments not only identify whether or not substance abuse treatment is needed, but also the appropriate level of care.

For both male and female offenders, the most common level of treatment needed is outpatient treatment. However, the data also show that substance abuse treatment needs differ between male and female offenders. Higher percentages of male offenders were identified as needing inpatient or outpatient treatment, while higher percentages of female offenders were identified as needing aftercare after relapse.

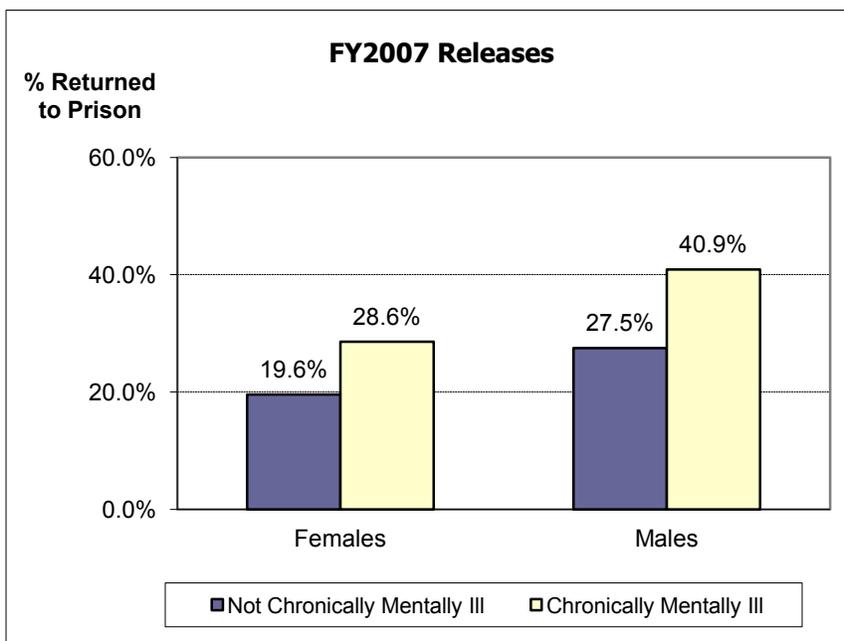
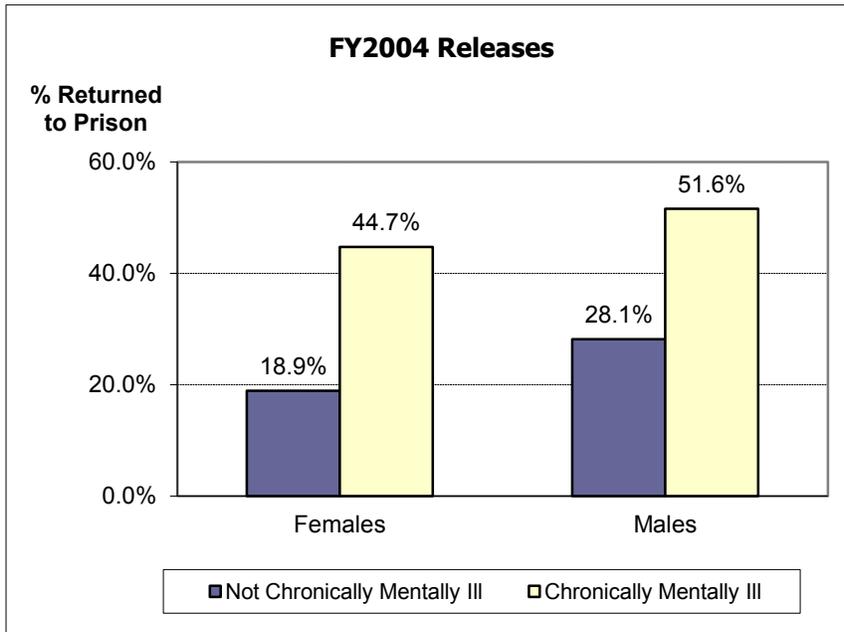
Improved Outcomes for Offenders with Chronic Mental Illness

In June 2011, DOC released a study entitled *Iowa Recidivism Report: Prison Return Rates*. The study documents that Iowa's three-year return rate to prison for offenders released during FY2007 decreased from 33.9% for the previous three-years period studied to 31.8% (and below our goal of 33.3%). More dramatic is the decrease in the percent of offenders with mental illness returning to prison.

Comparison between the two graphs below reveals return rates to prison for offenders released in FY2007 who had a chronic mental illness were significantly lower than the rates for mentally ill offenders released in FY2004. However, return rates to prison for

offenders who were not chronically mentally ill were not significantly different. “Chronic” mental illness is defined as conditions that are managed rather than “cured.”

These improved outcomes involve a substantial number of offenders; 63% of female offenders and 40% of male offenders released in FY2007 had at least one chronic mental illness.



While much more needs to be done to improve the supervision and treatment of offenders with a mental illness in our institutions, it is heartening to establish that our efforts to date have made a difference.

Central Classification

IDOC continues to use the Custody Classification instrument, implemented in 2009 on incoming offenders and reclassified all incarcerated offenders. The instrument is gender specific and structured to better assess risk to security and to society and appropriate incarceration custody level recognizing security, programming and reentry services. The new scoring instrument, utilized for both male and female offenders resulted in classification and re-classification of a significant portion of the population to minimum custody.

Dual Diagnosis Program Works Best for Minorities

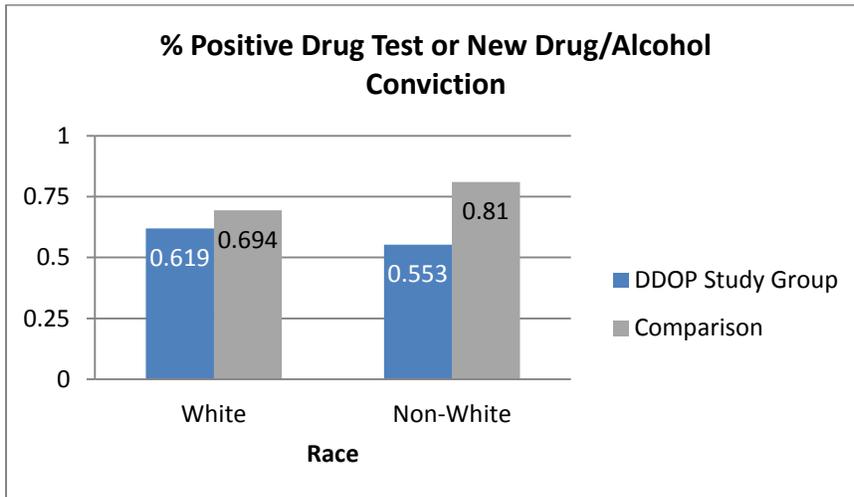
The Iowa Division of Criminal and Juvenile Justice Planning recently released a report summarizing its evaluation of the Dual Diagnosis Offender Program (DDOP) administered by the First Judicial District Department of Correctional Services.

Basically, DDOP entails case management and treatment of dual diagnosed offenders (substance abusing and mentally ill) by a team comprised of a PPOIII who has expertise in working with this challenging group, a substance abuse treatment counselor, and a mental health counselor. The offenders reside from 6-12 months in a 16-bed unit for male offenders at the Waterloo Residential Correctional Facility.

The evaluation consisted of comparing outcomes of DDOP completers and non-completers with that of a control group comprised of offenders with similar characteristics not receiving DDOP. As the table below shows, there did not exist a statistically significant difference between white DDOP completers and the comparison group in regards to being convicted of a new crime than non-white offenders not receiving DDOP services.



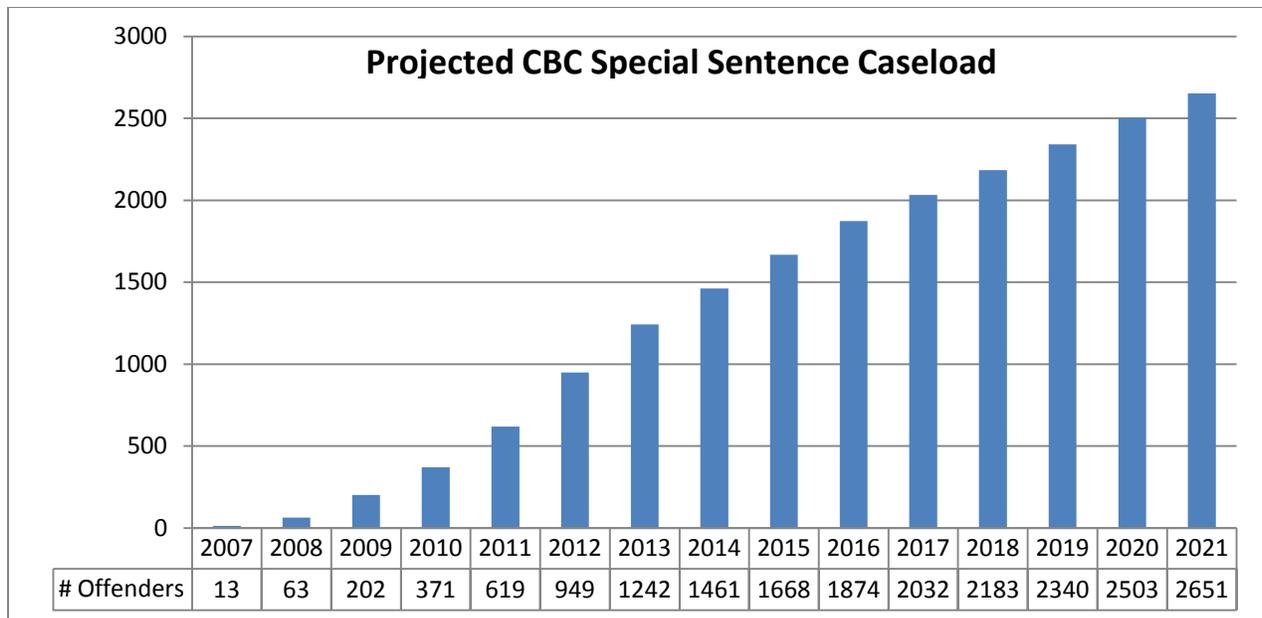
When comparing outcomes for testing positive for drugs or new drug/alcohol conviction, white and non-white DDOP completers *and* noncompleters fared better than their counterparts in the comparison group. In other words, even noncompleters benefitted from DDOP via lower UA test results or new drug/alcohol convictions. Further, non-white DDOP offenders again achieved dramatic improvement in outcomes through participation in DDOP.



While DDOP overall provided positive outcomes for both white and non-white offenders, it proved particularly beneficial for non-white offenders. That result is good news for reducing disproportionate incarceration, and the report findings suggest that the First District expand the number of non-white offenders placed in DDOP.

CJJP Forecasts Increase in Special Sentence Sex Offenders Caseloads

The Iowa Sex Offender Research Council recently released a report to the Iowa General Assembly focusing on sex offender registration and the special sentence for sex offenders. Regarding the latter, the Council (staffed by the state's Division of Criminal & Juvenile Justice Planning) projected a steady increase in community-based corrections' special sentence caseloads from 619 offenders in 2011 to 2,651 offenders in 2021.



In its analysis, CJJP reports that “the current policy of set terms of post-sentence parole is not supported by research, is not the most effective use of limited resources, and does not contribute to increased public safety.”

Further, CJJP recommends the following:

- A minimum number of years on post-sentence parole;
- A required review of each offender’s progress and risk every X number of years; and;
- That an extension of parole past the review date would require proof of risk of sexual or violent re-offense.

3. Information Best Practices

- Successfully deployed an offender e-mail (CorrLinks) system in the prisons statewide with all of the prisons deploying bi-directional email.
- **ICON: It’s Not Just for Corrections Anymore**

The Iowa Correctional Offender Network (ICON) is a data collection system that was first deployed in community corrections in 2000 after two years of planning, and was integrated with the institutions in 2004. The purpose of ICON is to collect and organize the data necessary to make informed decisions. Corrections owes it to the Iowa taxpayers to be good stewards with the funding they provide, and ICON helps accomplish that charge by telling us which correctional programs work and don’t work, along with when, where, and with whom. ICON helps tell us what is the optimal level of

security for each offender, both in institutions and under community-based supervision. Nationally, Iowa Corrections has one of the lowest rates of return-to-prison in the nation, and the information we receive from ICON is one of the reasons why. In recent years, the ICON system has begun interacting with other organizations and whole systems for the benefit of public safety and the taxpayers, including:

- ✓ Criminal Justice Information System (CJIS)-County Attorneys obtain victim information and offender release information from prison;
- ✓ DOC and the Iowa Courts Information System (ICIS) exchange Pre-Sentence Investigation of orders and returned to courts information;
- ✓ Board of Parole (BOP)-ICON feeds information into the BOP docket and Release Plans, and ICON in turn receives Review Dates, BOP Risk Scores and Decision Codes;
- ✓ DOC and ICIS-Offender recidivism is tracked through ICIS;
- ✓ ICON sends Child Support Recovery and Food Assistance Program a file to assist with locating offenders;
- ✓ ICON sends Medicaid a file to assist in the investigations of fraudulent usage of Medicaid; and
- ✓ ICON sends Iowa Vine data, which provides victims with information and notification.
- ✓ ICON exchanges data with the Sex Offender Register i.e., address, tier, restrictions, etc.
- ✓ Standardizing crime code language among justice system partners to improve sharing of information.
- ✓ Not only does Iowa Corrections depend on the information generated through ICON, but so do a number of other agencies. The results are taxpayer savings and improved public safety.

4. Workforce Investment

- For institution and industries staff there was an average of 77 training hours per employee for FY12.
- The Learning Center conducted 5 Pre-Services in Training Year 2012 for a total of 20 weeks of Pre-Service Training. (In 2013 there are 7 Pre-Service Academies scheduled.)
- In Training Year 2012, there were 54 hours of training offered via eLearning. (In training Year 2013, there will be approximately 68 hours of training offered via eLearning.)

