

IOWA DEPARTMENT OF CORRECTIONS

***2008-2012
STRATEGIC PLAN***



October 2008

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PREFACE TO THE STRATEGIC PLAN

The Department of Corrections is a public safety agency within the Safe, Just, & Inclusive Communities enterprise of the executive branch of state government. The Department is charged with the supervision, custody, and correctional programming of convicted adult offenders who are sentenced by the state courts for a period of incarceration in state prisons.

The Department has funding and oversight responsibilities for the state's eight Judicial District Departments of Correctional Services, which provide the community supervision and correctional services component of Iowa's adult correctional system. The legislatively appropriated budget is administered and allocated by the Department of Corrections. The Department oversees the Districts' compliance with requirements of the Iowa Administrative Code through an annual purchase of service agreement with the Department of Corrections, which sets forth programming, administrative, financial, and operational requirements.

The Iowa Prisons Industry program, operated by DOC oversees work and farming programs at Iowa's correctional facilities. These programs build work skills and attitudes that will advance an offender's employment potential upon release. Work has been shown to significantly increase an offender's ability to avoid returning to prison after release. IPI programs operate without General Fund support.

The Department of Corrections **2008 Strategic Plan** outlines the Departments' key focus areas for the next three to five years. Key strategic goals will include:

- Developing the culture of a learning organization
- Impacting recidivism through provision of evidence based programs, interventions, case planning, and offender re entry.
- Providing adequate human and financial resources and processes to maintain the infrastructure and delivery of services.
- Reinvention of operations based on best practices to manage resources in the most cost effective and productive manner.

Iowa's adult correctional system carries out its charge of protecting the public through a continuum of institution and community evidence based services and interventions. This continuum is designed with recognition of the ultimate release of most offenders. The effective and efficient management of offenders in accordance with their risk and criminogenic need (those needs that contribute to criminality) is accomplished through targeted programming, release preparation, and transition services. Success in these endeavors assists offenders to become productive members of the community makes it less likely that they will re offend, and results in lowered rates of recidivism.

In FY 2008 The Department will continue system wide implementation of the Offender Re-Entry Case Plan that uses validated assessment instruments to assess risk and criminogenic need and, upon entry into the system, structures a plan and timeline for the programs and interventions appropriate for each offender. Correctional resources can then be deployed in the most efficient

and effective manner. Community resources can be linked to the offender's release in a manner that improves the offender's chance of successful reentry into the community. Special focus can be given to those offenders who present special challenges due to ageing, medical needs, substance abuse, mental health needs, or high-risk behaviors such as sex offenses.

The Department will continue its focus on excellence and scrutiny of operations and programs in order to transform the agency to capture efficiencies, enhance productivity, and increase services to customers. Doing the "smart thing" in the "smart way" can reduce correctional costs and increase societal benefits. Utilizing Charter agency flexibilities to transform operations produce savings and the ability to realign critical resources The Department is moving its cultural paradigm toward those correctional and operational practices shown by research, data, or results to be the most effective best practice in various areas of the organization. Limited resources will be directed to those strategies that produce the desired result. Striving toward professional standards and workforce investment establishes the foundation for employee empowerment and the continued deployment of sustainable solutions to ongoing challenges.

The collection, analysis, and research evaluation of data and programs provides substantive information to all organization levels. Focus on "Score Card" performance measurement and improvement helps the department align resources and focus activities toward the mission. The Department is committed to improving its ability to provide sound outcome data to policymakers that make legislative and funding decisions.

VISION STATEMENT OF THE IOWA DEPARTMENT OF CORRECTIONS

An Iowa with No More Victims

MISSION OF THE IOWA DEPARTMENT OF CORRECTIONS

**We Protect the Public,
the Employees, and the Offenders from Victimization**

Public

- Prevent escapes and maintain accountability of offenders in the community
- Increase community safety in support of a vital economy
- Reduce recidivism and increase the self responsibility of offenders
- Keep citizens informed about corrections issues and activities
- Make responsible decisions about the use of taxpayer dollars
- Attend to the needs and concerns of victims
- Treat members of the public with respect

Employees

- Provide current equipment and staffing to insure employee safety
- Provide for a safe working environment
- Attend to the emotional needs and well being of employees
- Maintain high levels and standards for training
- Insure policies are sound, current, and consistently and fairly enforced
- Treat employees with respect

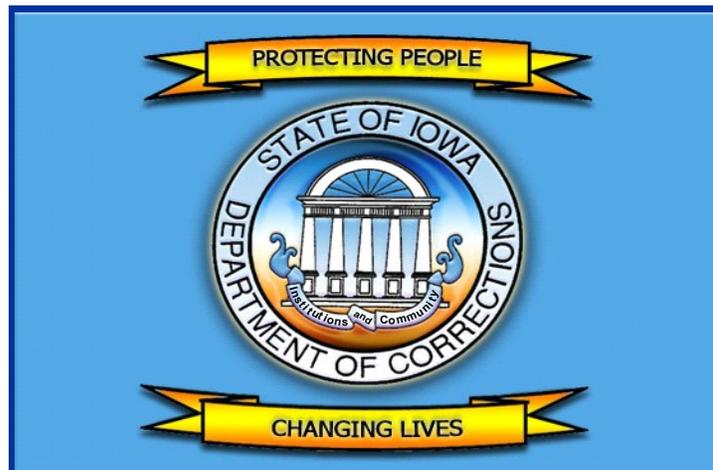
Offenders

- Provide a physically and mentally safe and healthy environment for offenders
- Manage offenders in a firm, fair and consistent manner
- Provide programming, training and education to encourage good work habits and pro-social interaction
- Promote pro-social thinking with contemporary programming
- Keep offenders informed about current corrections policies and procedures
- Develop community support and partnerships that foster reintegration
- Treat offenders with respect

VALUES OF THE DEPARTMENT OF CORRECTIONS

Value and Beliefs

- ❖ People can change
- ❖ Every person should be treated with dignity and respect
- ❖ Our efforts help make people safer
- ❖ We must work as a team if we are to succeed



Strategic Priorities: At A Glance

Offender Management: Best Practice Re Entry Model

- Re-entry Case Plan
- EBP Implementation Plans
- Responsivity & Social learning behavior focus
- Re- Entry Treatment Capacities
- Collaborative Partnerships

Population Management

- Population Master Plan

Information Best Practices

- Data Based Decisions / Practices
- Data Systems
- Research
- Performance Measurement
- Return on Investment
- Data Integrity

Workforce Investment

- Diversity Composition
- Culture Change
- Workload
- Well Being / Morale
- Knowledge/ Skill
- Health Safety
- Leadership Development / Succession Planning
- Use of Technology

STRATEGIC PRIORITY #1

OFFENDER MANAGEMENT: BEST PRACTICES RE-ENTRY MODEL

STRATEGIC GOALS

- 1. Deploy offender management through Evidence Based Practices**
- 2. Impact recidivism through provision of evidence based programs, interventions, case planning and re-entry initiatives**
- 3. Operational effectiveness through utilization of “best practices”**

DESIRED OUTCOMES

- Public safety and crime reduction**

REFERENCE:

Core Function: Offender supervision, custody and treatment services

Service, product or activity for Core Function: Risk Identification, Risk Management and Risk Reduction

STRATEGIC PRIORITY #2

POPULATION MANAGEMENT

STRATEGIC GOALS

1. Offender Classification/Risk Assessment (Risk/Needs Identification)

Systemic gathering, recording and communication of information regarding the level of risk to public safety posed by individual offenders. By utilizing validated risk and needs assessment instruments, offenders can be classified and assigned to programs and interventions that correspond to their individual custody and criminogenic needs.

2. Offender Supervision (Supervision and Custody)

Supervision and management of offenders in institutions or under community supervision at levels that correspond to their level of risk. The establishment of expectations and application of sanctions expected to increase accountability and modify behavior.

3. Offender Programming and Accountability (Risk Reduction – Criminality Issues/Treatment/Education and Work)

Activities designed to hold offenders accountable to society and victims of their criminal behavior. Programming and research based strategies designed to develop pro-social skills, restructure attitudes and reduce the likelihood of an offender becoming involved in future criminal behavior.

4. Basic Life Care (Basic Needs/Medical)

Provisions of housing, food, daily needs, medical and other services required to maintain offenders in a healthy, safe and constitutional manner.

DESIRED OUTCOMES

- **Improved population master plan**
- **Enhanced public and staff safety, and crime reduction**
- **Payment of debt to victims and society by offenders**
- **Offender accountability**
- **Constitutional system**

REFERENCE:

Core Function: Offender supervision, custody and treatment services

Service, product or activity for Core Function: Risk Identification, Risk Management and Risk Reduction

STRATEGIC PRIORITY #3

INFORMATION BEST PRACTICES

STRATEGIC GOALS

1. Sustain and improve best practice data and information

- Data based program and decision making practices
- Data systems: ICON/Data Warehouse
- Research
- Performance measurement: “Score Card”
- Return on investment budgeting
- Data integrity

2. Information Systems/Records/Communication

Provision of records, management information and communication systems to provide internal and external customers with timely, relevant and accurate information needed for daily decision making, offender management and organization management.

3. Use data and evidence to make fiscally responsible decisions

DESIRED OUTCOMES

- **Provision of information, technology and information analysis to ensure access to complete, accurate, timely and useful information**

REFERENCE:

Core Function: Offender supervision, custody and treatment services

Service, product or activity for Core Function: Risk Identification, Risk Management and Risk Reduction

STRATEGIC PRIORITY #4

WORKFORCE INVESTMENT

STRATEGIC GOALS

- 1. Diversity through recruitment, selection and retention**
- 2. Cultural change**
- 3. Workload analysis and management**
- 4. Well being/morale/health/safety focus**
- 5. Knowledge and skill development**
- 6. Leadership development and succession planning**
- 7. Use of technology and utilization of critical data and transformation of current processes to enhance staff productivity**

DESIRED OUTCOMES

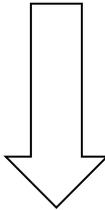
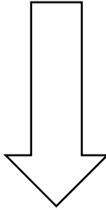
- Quality services; value for tax dollar investment; timely, accurate and accessible service delivery**
- Meaningful collaboration with community stakeholders to facilitate public safety**
- Clarity of vision and mission**
- Continuous improvement in the delivery of services to the people of Iowa**

REFERENCE:

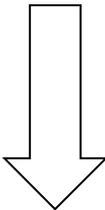
Core Function: Offender supervision, custody and treatment services

Service, product or activity for Core Function: Risk Identification, Risk Management and Risk Reduction

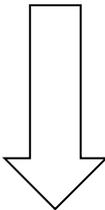
**APPENDIX
2008 - 2012 Action Plan**

| IMPACT AREA / ACTION | FY | RESPONSIBLE PERSON(S) |
|---|---|--|
| Offender Management: Best Practices – Re-entry Model | | |
| Re- entry Case Plan | | |
| <ul style="list-style-type: none"> ✓ Policy review/ changes / deployment ✓ Core Assessments & Alignment <ul style="list-style-type: none"> ▪ Classification tool - Evaluate / Select <ul style="list-style-type: none"> - Gender responsive - Validity / cost effective - Standardized across facilities - Non static tool ▪ Risk, Need, Responsivity <ul style="list-style-type: none"> - Adjust LSI-R as risk measurement tool for prisons - Align criminogenic risk, need & responsivity assessments and institution program assignment - Risk reduction review link to release decision process ▪ Other Assessments <ul style="list-style-type: none"> - Identify uniform tools (substance level of service assessment) - Sex offender assessment – Explore options ▪ Jessness <ul style="list-style-type: none"> - Standardize utilization ✓ Quality Assurance processes <ul style="list-style-type: none"> - Hire institution & district QA staff ✓ Release Coordination <ul style="list-style-type: none"> ▪ Pre-Release & Release Transition planning ▪ Intake Counselors & Re-entry Coordinators ✓ Case plan implementation ✓ DOC Recommended Release Date <ul style="list-style-type: none"> ▪ Monitor impact on releases | <p>5/08</p> <p>1/08</p> <p>7/09</p> <p>1/10</p> <p>3/08</p> <p>2011</p> <p>2011</p> <p>2008</p> <p>2008</p> <p>2008</p> | <p>Deputy Director for Offender Services</p> <p style="text-align: center;"></p> <p>Re Entry Coordinator</p> <p>Deputy Director for Offender Services</p> <p>Re Entry Coordinator</p> <p>Offender services staff/ focus groups</p> <p>Re Entry Coordinator</p> <p style="text-align: center;"></p> |

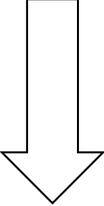
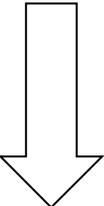
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|---|---|--|
| <p>District & Institution EBP plans</p> <ul style="list-style-type: none"> ✓ Policy development ✓ Plan implementation ✓ Share best practices across system | <p>2008 – Ongoing 2008 – Ongoing 2008 - Ongoing</p> | <p>Deputy Directors for Operations/ Offender Services</p> |
| <p>Disciplinary sanction: Responsivity & social learning alignment</p> <ul style="list-style-type: none"> ✓ Align A.L.J. / process with EBP culture deployment ✓ Incorporate into classification system revision | <p>FY '08</p> | <p>General Counsel / Deputy Directors for Operations & Offender Services</p> |

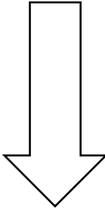
| Re-entry Treatment Capacities/ Deployment | 7/09 | Deputy Director for Offender Programs / Deputy Directors for Operations |
|--|-----------------------------|---|
| ✓ Assessment driven offender programming (LSI / top needs & responsivity) | 7/09 |  |
| ✓ Continuum capacity aligned with need: | | |
| <ul style="list-style-type: none"> ▪ Top four Criminogenic Needs ▪ Stages of Change | | |
| ✓ Flow through continuum of services | 7/09 | |
| <ul style="list-style-type: none"> ▪ Right offender ▪ Intervention ▪ Place ▪ Time ▪ Dosage ▪ Mental Health Responsivity <ul style="list-style-type: none"> - System wide continuum capacity - Assessment - Acute care - Dual diagnosis | 2012 | |
| <ul style="list-style-type: none"> ▪ Gender responsive/ responsivity | 2012 | |
| ✓ Capacity | | |
| <ul style="list-style-type: none"> ▪ GED <ul style="list-style-type: none"> - Track CBC completions ▪ Sex Offender <ul style="list-style-type: none"> - Special needs/ non compliant - Evaluate length of treatment programs | FY '08 – Ongoing | Sex Offender Focus Group |
| <ul style="list-style-type: none"> ▪ Life Skills classes ▪ Family component ▪ Victim restoration: Pilot site for assessment & programming | FY '08 – Ongoing 5/08 | |
| <ul style="list-style-type: none"> ▪ Pre release programming ▪ Motivational interviewing ▪ Cognitive behavioral components ▪ Prison industry work opportunity expansion ▪ Substance abuse <ul style="list-style-type: none"> - Assessments - SAMHSA model treatment continuum capacity | FY '08 | Restorative Justice Coord. |
| | FY '09 FY '09 Ongoing | IPI Director |
| | 3/08 | Deputy Diretrs.Operat. |
| <ul style="list-style-type: none"> ✓ Visiting policy <ul style="list-style-type: none"> - Family relationship sustainability support | FY '08 | |

| | | |
|--|---------------------|---|
| <ul style="list-style-type: none"> ✓ Multidisciplinary case management teams | 2010 | Deputy Dir. Operation/ Offender Services/ Mental Health |
| <ul style="list-style-type: none"> ✓ Policy review & deployment | FY '08 - Ongoing | |
| <p>Collaborative Partnerships</p> <ul style="list-style-type: none"> ✓ Leadership maintains collaborative relationships <ul style="list-style-type: none"> ▪ Statewide steering committee ▪ Victims ▪ Other state & community agencies ▪ Ombudsman's task force ▪ Parole Board/ EBP Training | Ongoing | Director/ Executive Team |

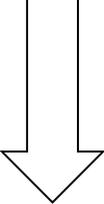
| Population Management | | |
|---|---|---|
| <p>Population Master Plan</p> <ul style="list-style-type: none"> ✓ Facilities construction / re-use master plan development/ implementation ✓ Use of CBC beds evaluation ✓ Risk appropriate capacity alignment (new classification system): <ul style="list-style-type: none"> ▪ Risk Classification/ institution assignment alignment ▪ Institution/ offender alignment with risk level ▪ Risk appropriate community supervision ✓ Special population capacity <ul style="list-style-type: none"> ▪ Sex offenders <ul style="list-style-type: none"> - Evaluate appropriate community release beds for sex offenders ▪ Mentally Ill ▪ Female offenders / capacity & location <ul style="list-style-type: none"> - Reception for females ▪ High risk <p>Ageing / medically challenged</p> | <p>FY '08 – '13</p> <p>FY '08</p> <p>7/09 7/09 2012</p> <p>2012 2012</p> <p>2012 FY '08</p> | <p>Director / Executive Team</p> <p>Deputy Directors for Operations</p> <p>Deputy Directors for Operations</p> <div style="text-align: center; margin-top: 20px;">  </div> |

Information Best Practices

| | | |
|---|---|--|
| <p>Data Based Programs/ Decisions/ Practices</p> <ul style="list-style-type: none"> ✓ EBP intervention designation / Improvement ✓ Quality Assurance ✓ Develop EBP process evaluation capacity | <p>FY '08 2012 2012</p> | <p>Deputy Director for Offender Services</p> |
| <p>Data systems (ICON, Data Warehouse, Data mining etc.)</p> <ul style="list-style-type: none"> ✓ ICON reconfiguration | <p>FY '10</p> | <p>Deputy Director for Administration</p> |
| <p>Research</p> <ul style="list-style-type: none"> ✓ Iowa validation of assessments: implementation & programs ✓ Validation of classification instruments ✓ Directory & broad distribution of reports/ statistics & research findings quarterly ✓ Research <ul style="list-style-type: none"> ▪ Prevalence of mental illness in CBC offenders ▪ LSI-R appropriate cut offs for women ▪ Factors contributing to offender behavior problems in prison ✓ Develop research partnership to study employment & recidivism | <p>FY '08 FY '08 FY '09 FY '09 – '10 FY '09 – '10</p> | <p>Deputy Directors Offender Program/ Operations/ Research Unit</p>  |
| <p>Performance Measurement</p> <ul style="list-style-type: none"> ✓ Executive leadership monthly measure review ✓ Performance improvement Core Team ✓ Mid managers performance reporting system ✓ Deploy score card results quarterly ✓ Develop local score card capacity ✓ Align Score Card with performance evaluation / recognition ✓ Select Targets for FY 08 ✓ Develop institution quality indicator measures | <p>Monthly Ongoing Annually Quarterly Ongoing Ongoing 12/ 07 FY '08</p> | <p>Deputy Director Admin. / Performance Measurement Director</p>  |

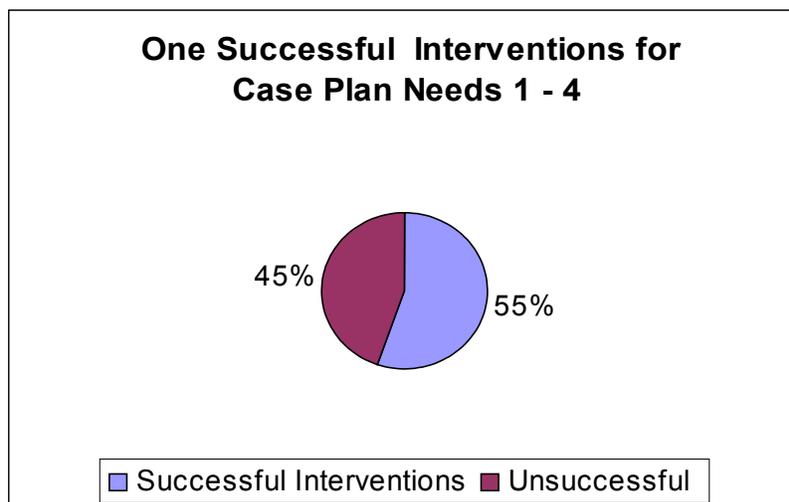
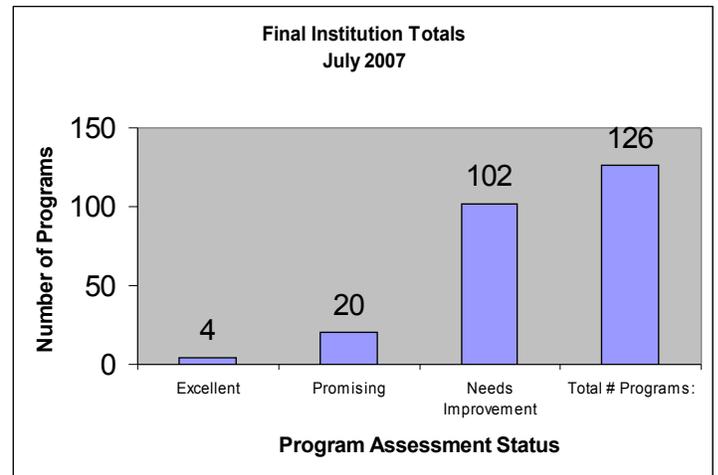
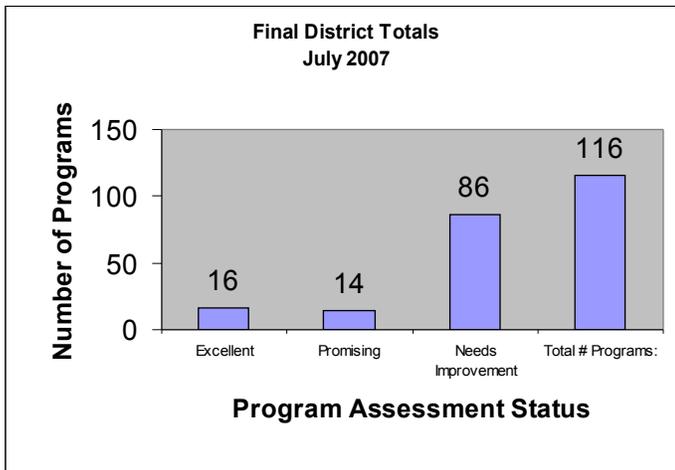
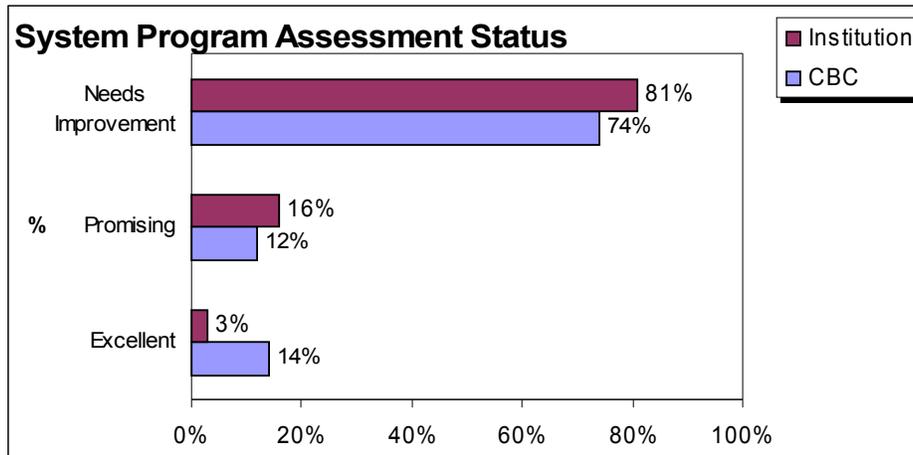
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| <p>Budget / Return on investment</p> <ul style="list-style-type: none"> ✓ Lean Quality- Value – Delivery: Projects ✓ Structure budget decisions in accordance with “results” ✓ Standardize budget practices, cost accounting etc. ✓ Establish ranking criteria ✓ Link budget dollars to programs / staff ✓ Expenditures accountability ✓ Transformation initiative reporting ✓ EBP funding support ✓ Centralized pharmacy ✓ Procurement warehouse ✓ Renewable energy / E85 | <p>FY ‘09</p> <p>FY ‘10</p> <p>FY ‘09</p> <p>FY ‘10</p> <p>FY ‘09</p> <p>Ongoing</p> <p>FY ‘08</p> <p>FY ‘10</p> <p>FY ‘08</p> <p>FY ‘10</p> <p>FY ‘08</p> | <p>Deputy Director for Administration</p>  |
| <p>Data Integrity</p> <ul style="list-style-type: none"> ✓ Consistent Reporting <ul style="list-style-type: none"> ▪ Establish definitions ▪ Reporting mechanisms ▪ Quarterly & Annual reports ▪ Incident reporting | <p>Ongoing</p> <p>FY ‘09</p> | <p>Deputy Director for Administration</p> |

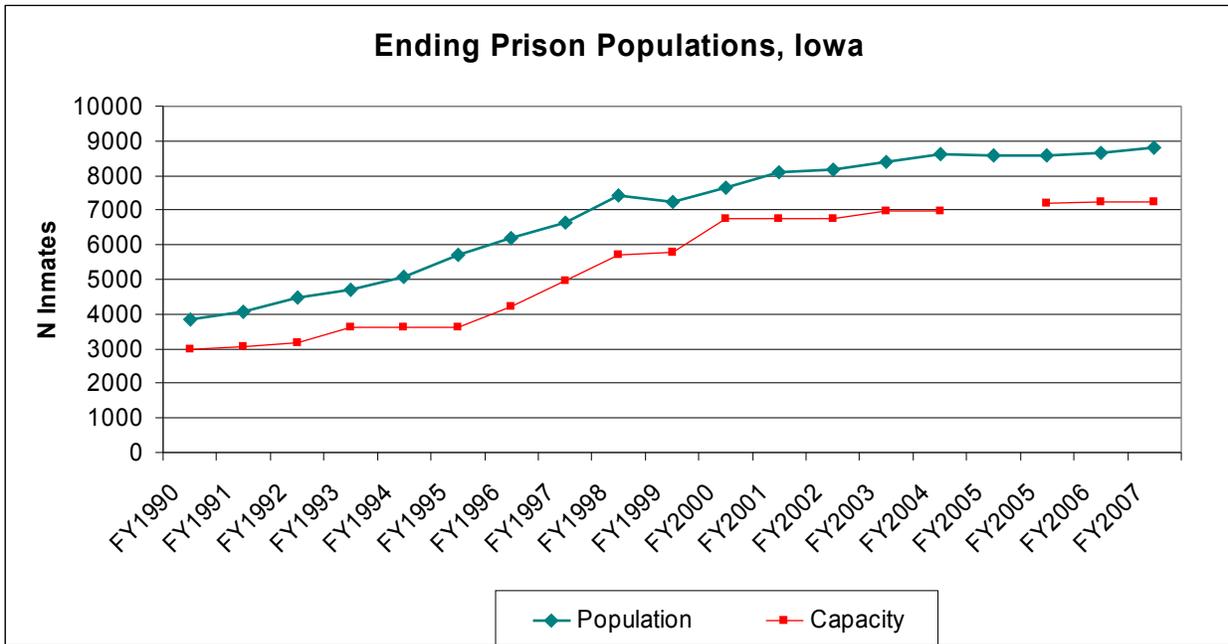
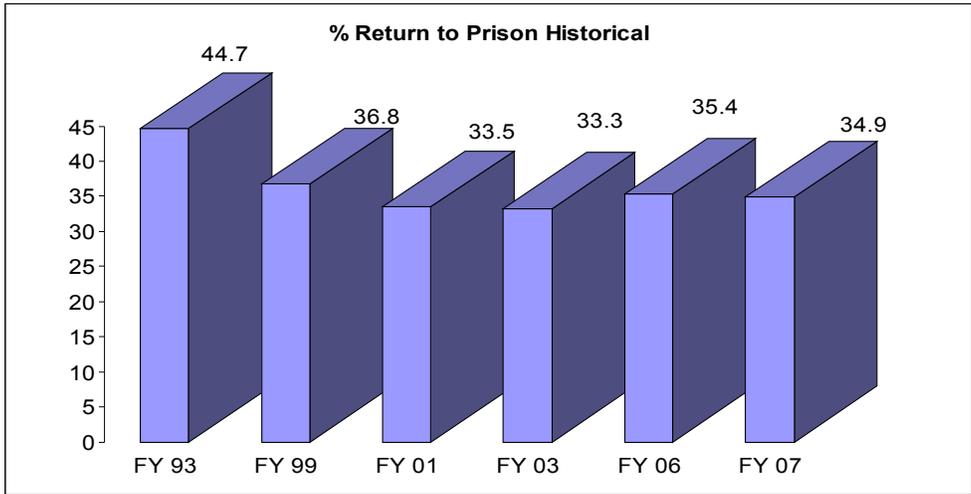
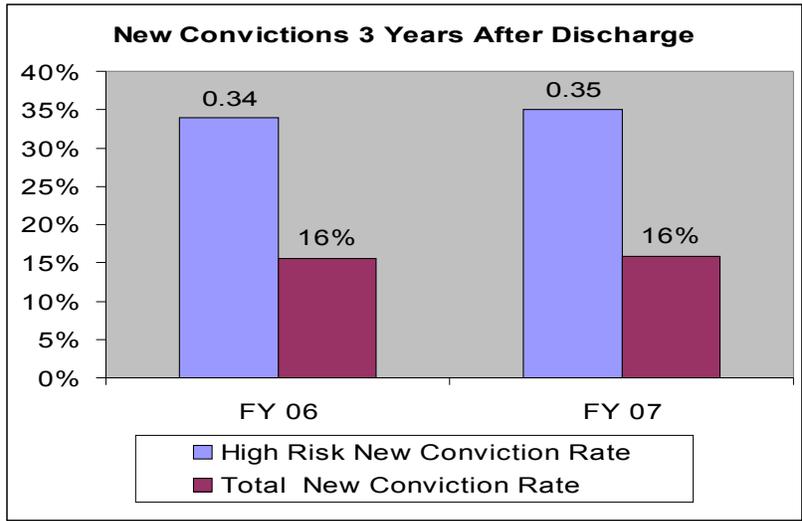
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| Workforce Investment | | |
| <p>Diversity Composition</p> <ul style="list-style-type: none"> ✓ Interview/ selection / retention process improvements ✓ Minorities/ females / disabled: Increase hires | <p>FY ‘08 - Ongoing</p> | <p>General Counsel / Human Resources</p> |

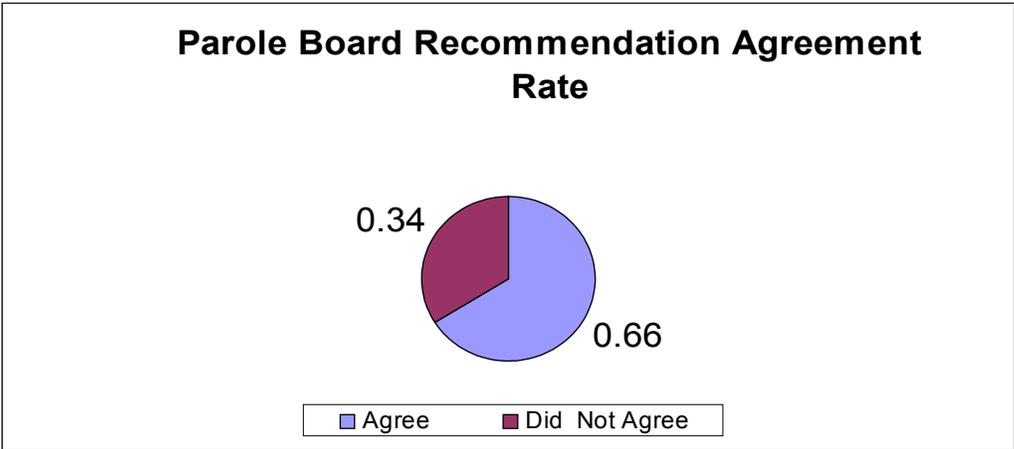
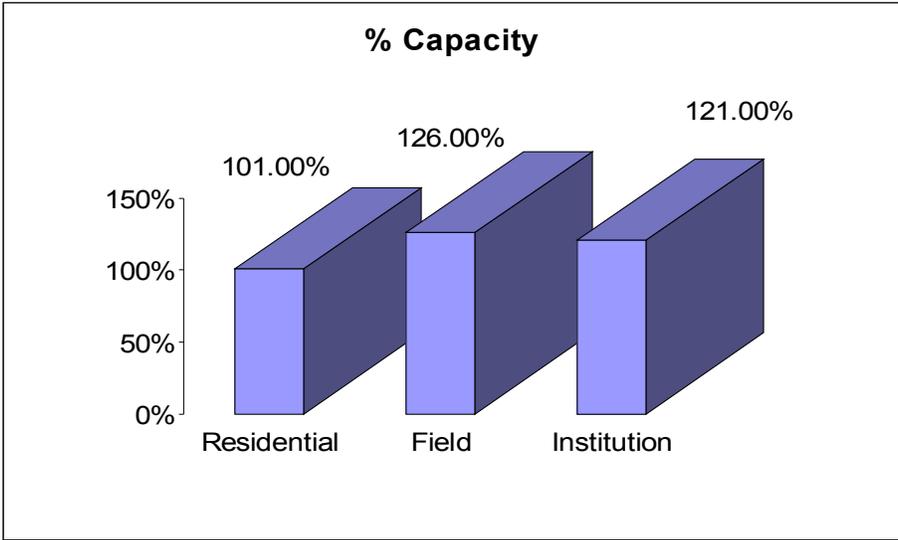
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|---|---|---|
| <p>Culture change</p> <ul style="list-style-type: none"> ✓ NIC Culture assessment ✓ Mid Management buy in / communication plan ✓ Explore AFSME contract transfer issues to support EBP | <p>2012 Ongoing Ongoing</p> | <p>Director/ Deputies for Admin. / Operations/ Department Leadership</p> |
| <p>Workload</p> <ul style="list-style-type: none"> ✓ Institution staffing analysis / include EBP consideration ✓ Clinical supervisor positions | <p>Nursing –'08 All -FY '09 2011</p> | <p>Deputy Directors for Operations</p> |
| <p>Well Being / Morale</p> <ul style="list-style-type: none"> ✓ Survey ✓ Employee recognition policy and practice linked to best practices | <p>FY '08</p> | <p>Executive Team / Leadership</p> |
| <p>Knowledge & Skills</p> <ul style="list-style-type: none"> ✓ Job analysis-job description review ✓ Selection and Performance Evaluation revisions to include EBP principles / traits / skills ✓ Training: Fund training plan <ul style="list-style-type: none"> ▪ EBP Principles familiarization ▪ Classification system: standardized utilization ▪ ASSiSST ▪ Jesness Utilization ▪ Motivational Interviewing ▪ Mental illness ▪ Supervisor training <ul style="list-style-type: none"> - Motivational interviewing - Modeling/coaching ▪ EBP principle ▪ EBP hard skills ▪ Data Based decision making ▪ How to interpret and use data ✓ Trainee follow up survey to supervisor and employee | <p>Ongoing Ongoing FY '08</p> | <p>Deputy Directors for Admin. & Operations Training Director </p> |

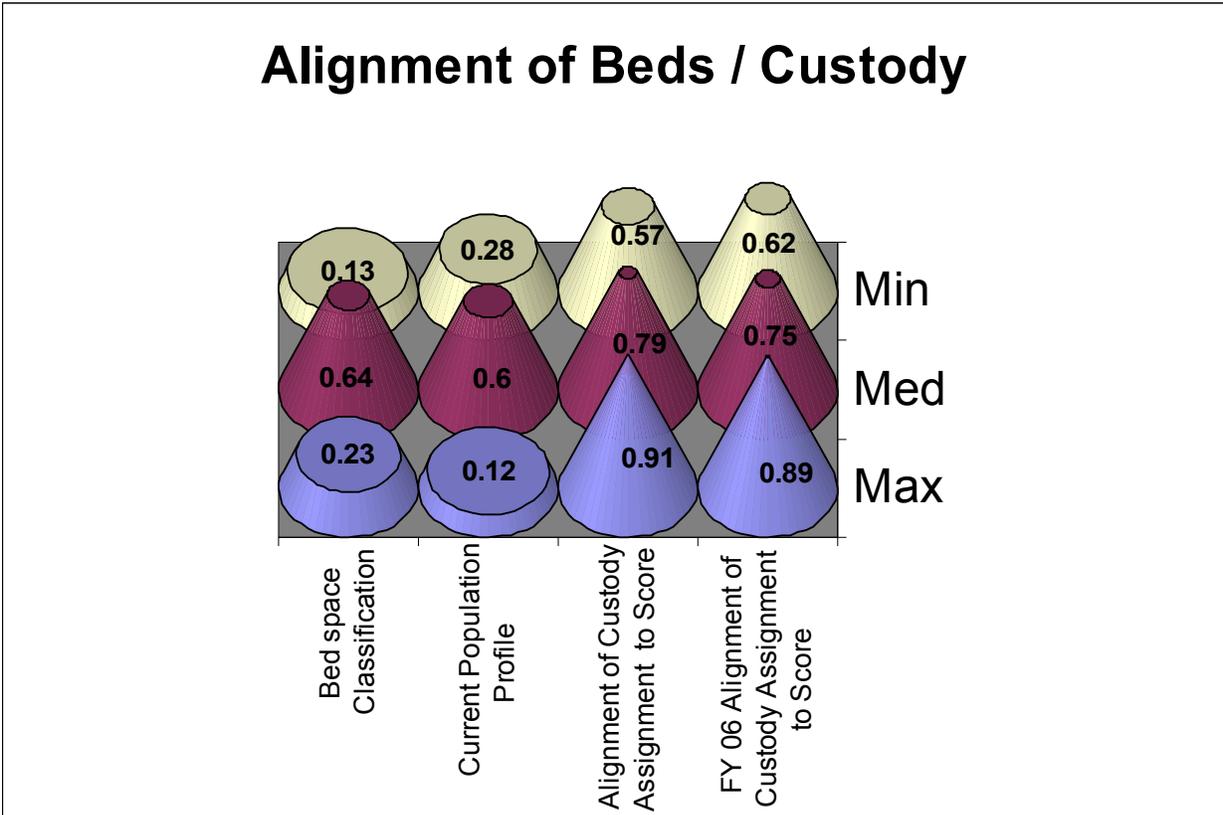
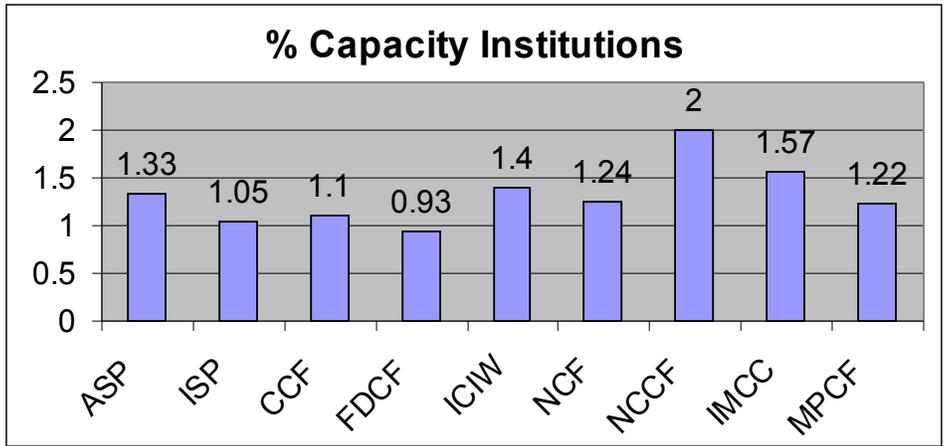
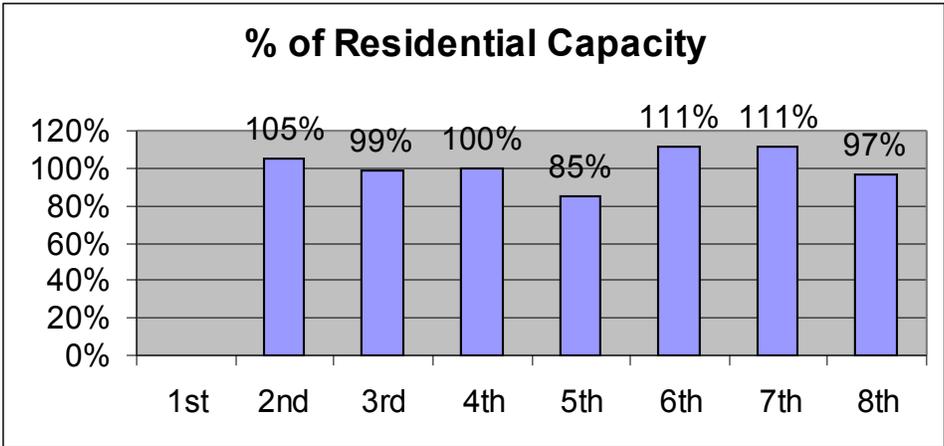
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| <p>Health & Safety</p> <ul style="list-style-type: none"> ✓ Interoperable communication ✓ Data analysis ✓ Training ✓ Audits/ inspections | <p>FY '08 / Ongoing</p> | <p>Chief Security/ Safety Officer</p> |
| <p>Leadership Development/ Succession Planning</p> <ul style="list-style-type: none"> ✓ Identify leadership competencies/ Staff leadership assessment LPI ✓ Training <ul style="list-style-type: none"> ▪ First line ▪ Manager level ▪ Executive leadership ✓ Succession planning | <p>FY '09</p> <p>Ongoing FY '09 FY '09</p> <p>FY '09</p> | <p>Director / Executive Team</p> |
| <p>Use of Technology</p> <ul style="list-style-type: none"> ✓ Transformation project evaluation to redirect staff resources | <p>Ongoing</p> | <p>Executive Team</p> |

Offender Management

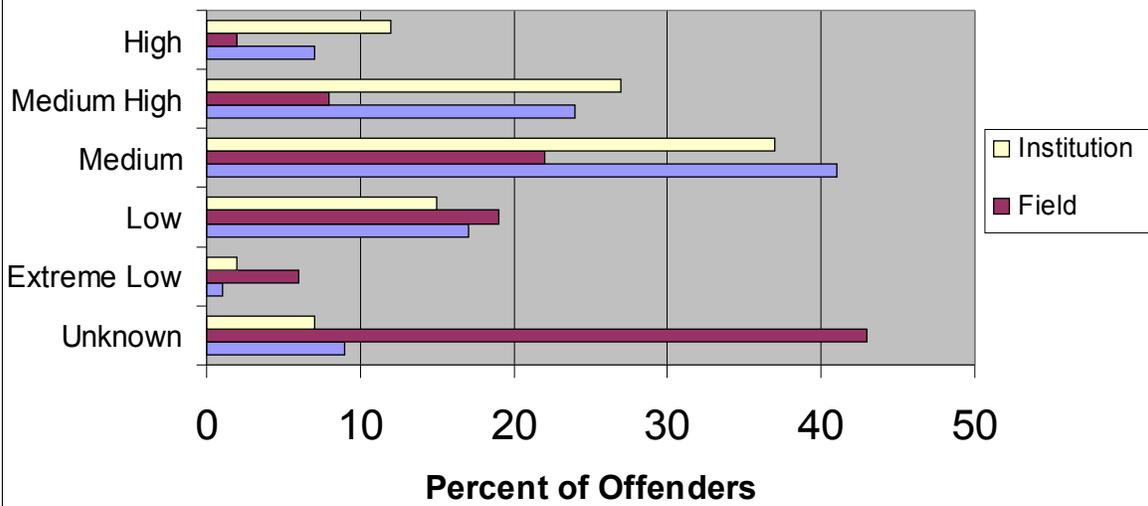




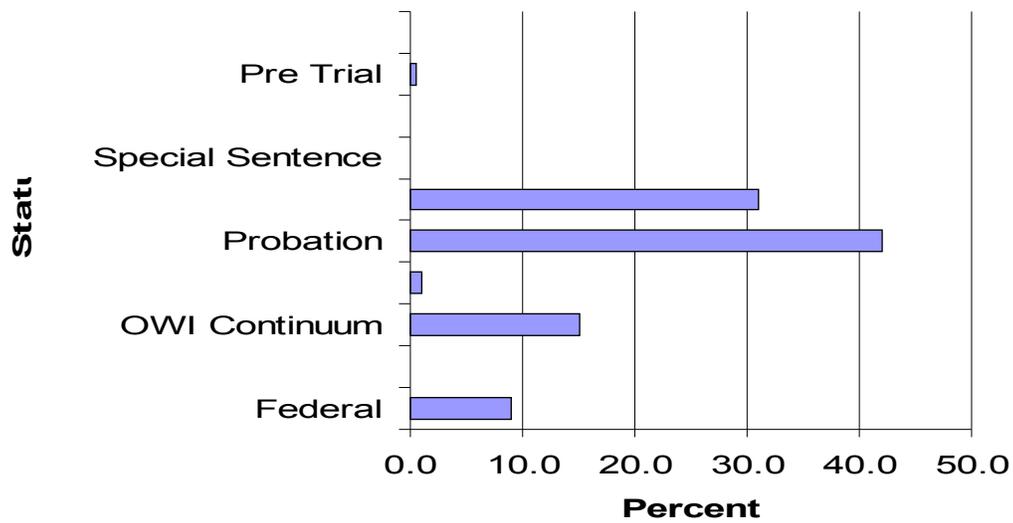




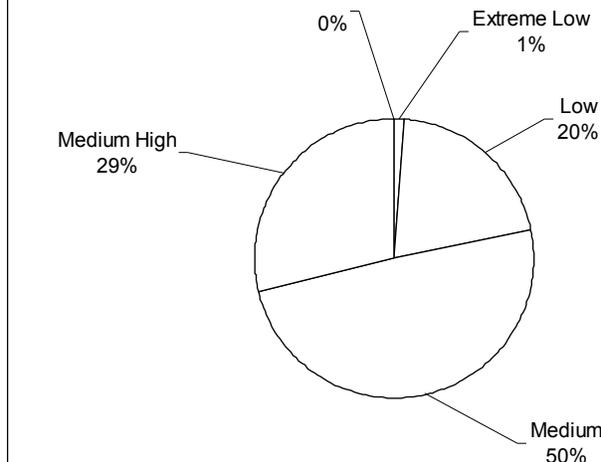
LSI Scores by Supervision Status



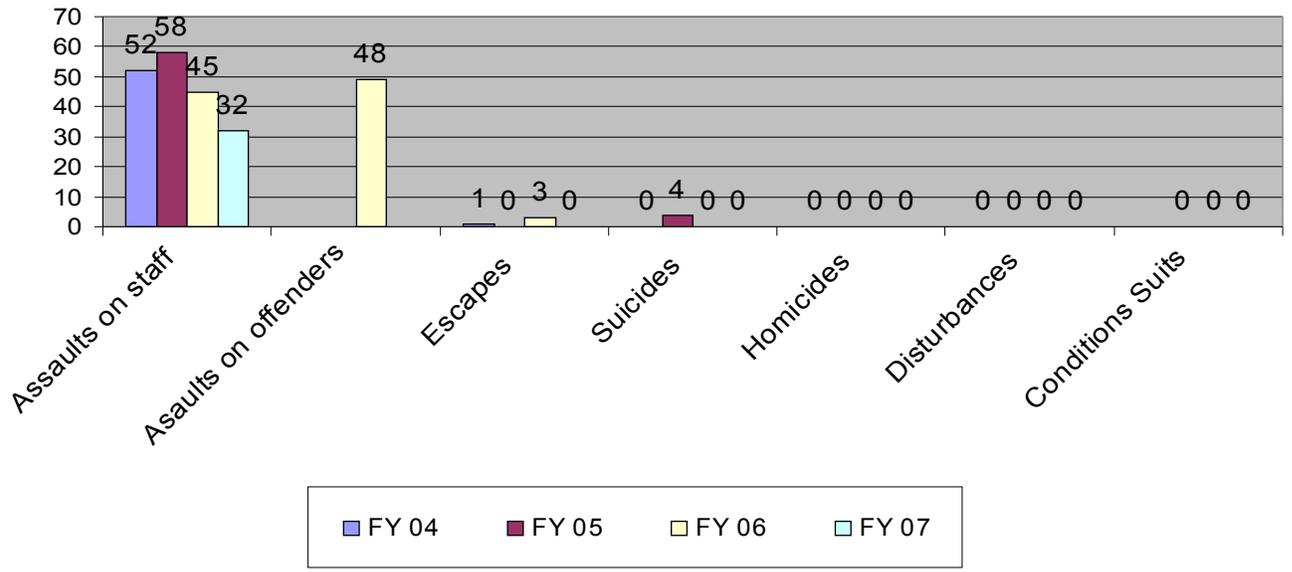
Residential Legal Status



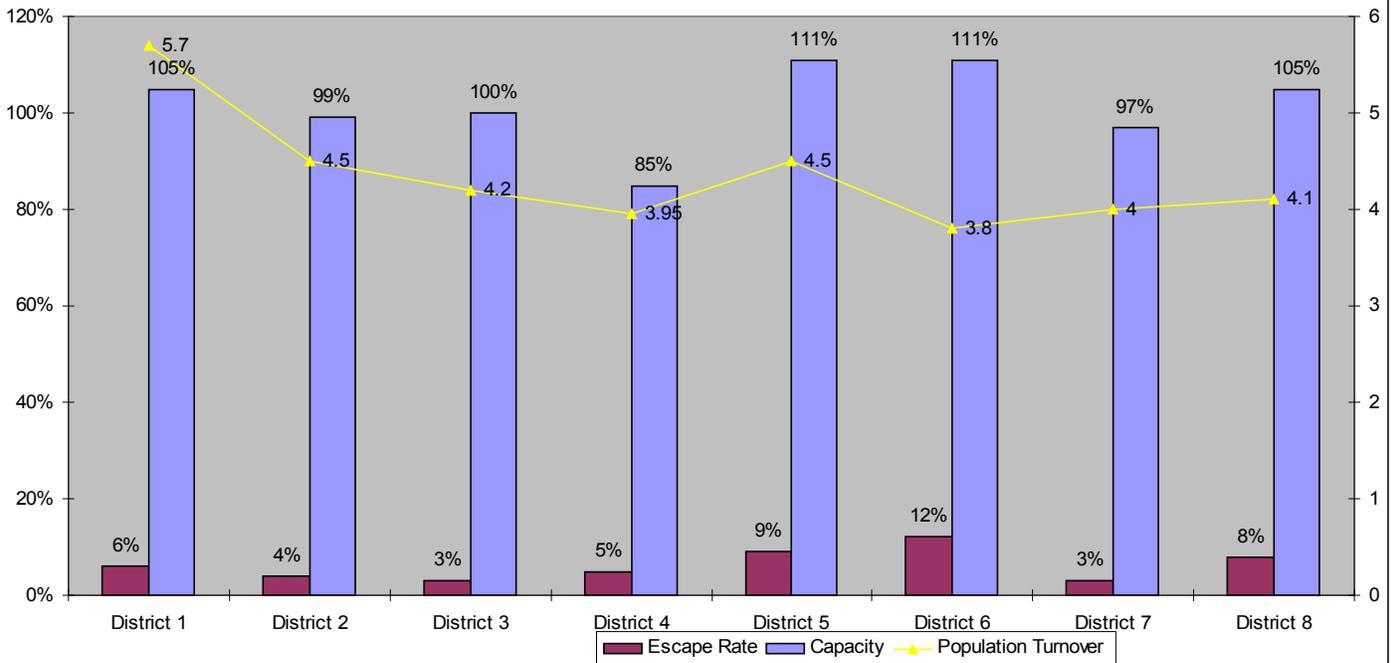
Residential LSI-R Risk Level



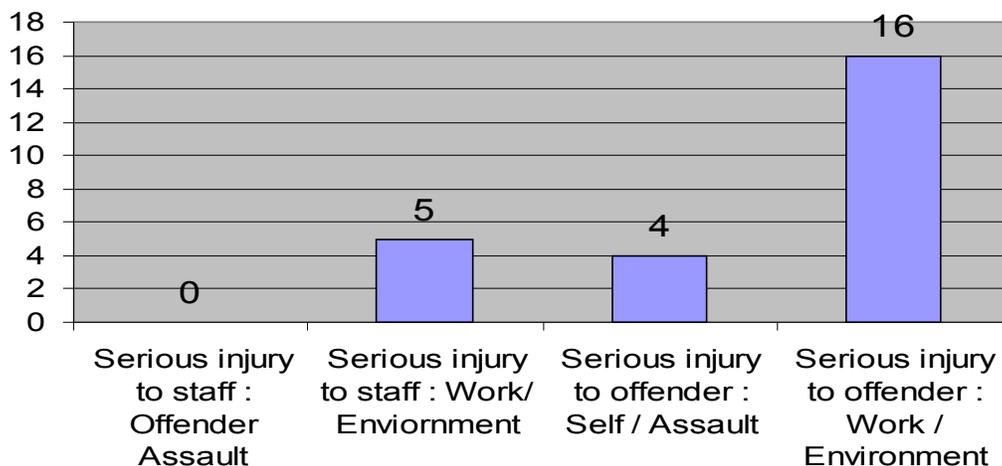
System Incidents



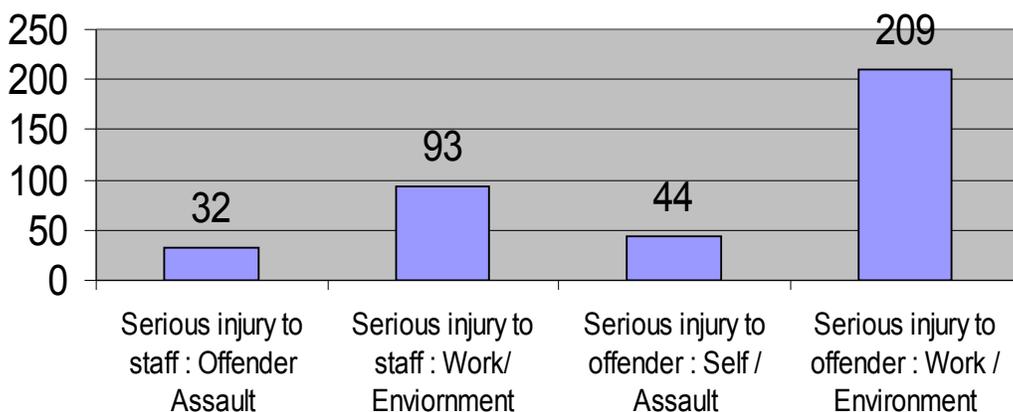
Residential Facilities



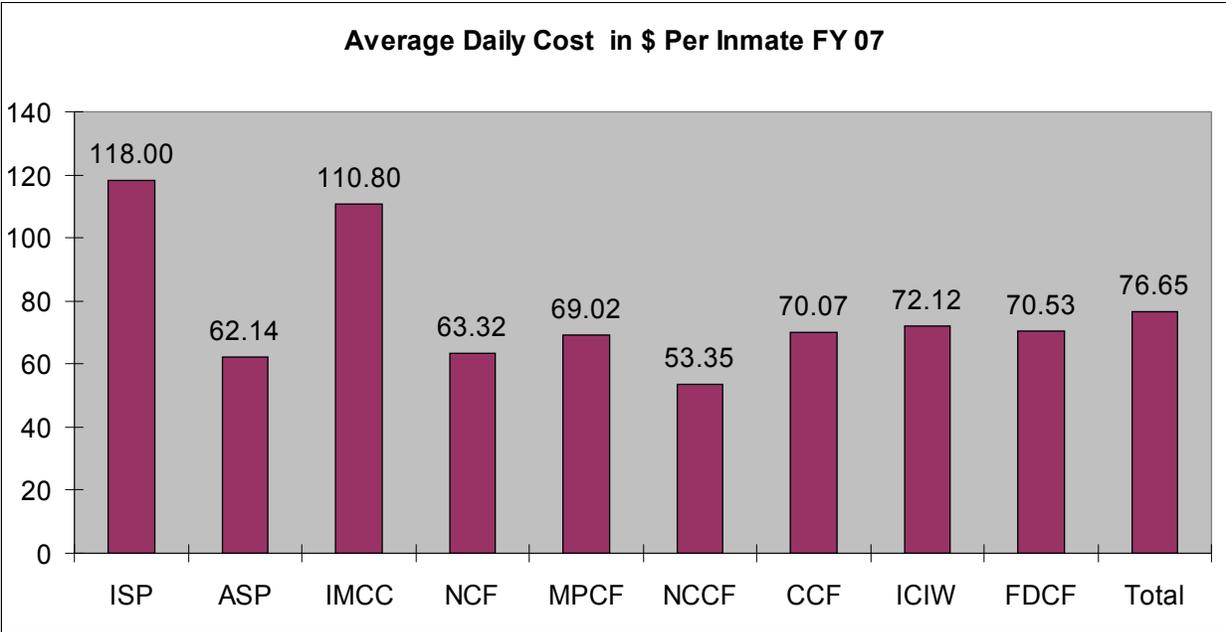
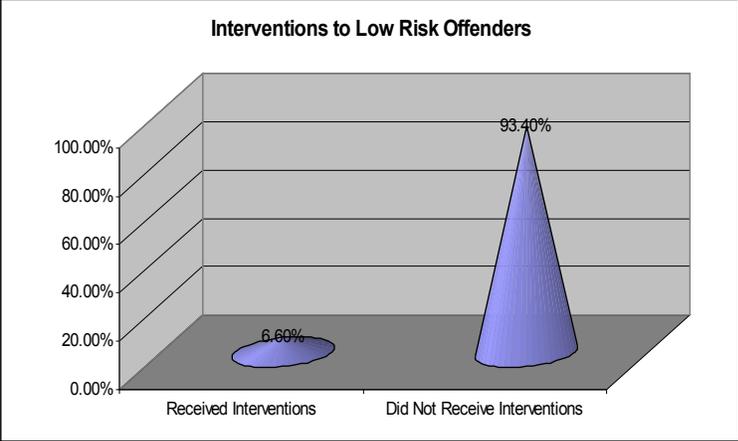
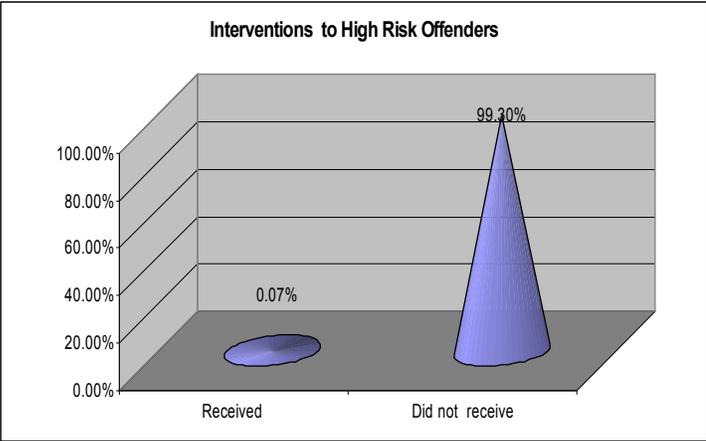
Cause of Injury : CBC

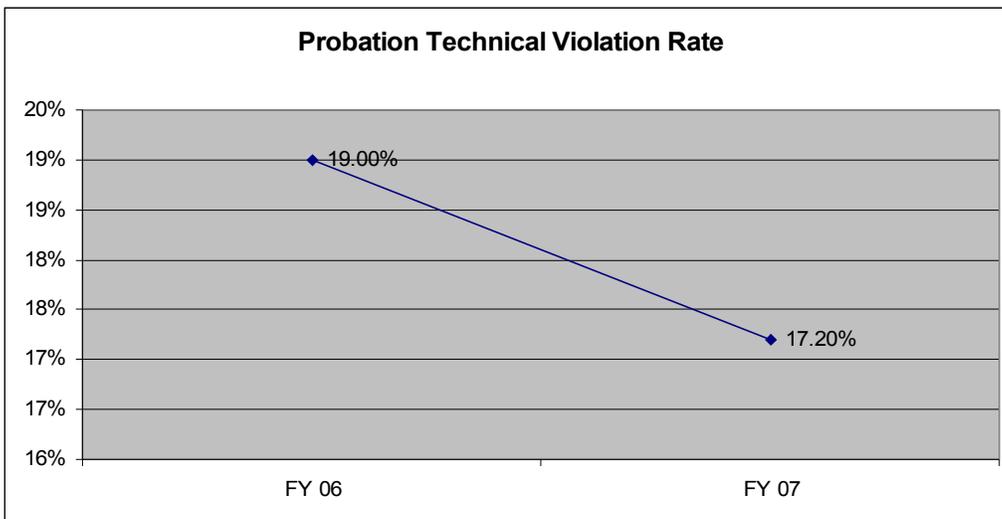
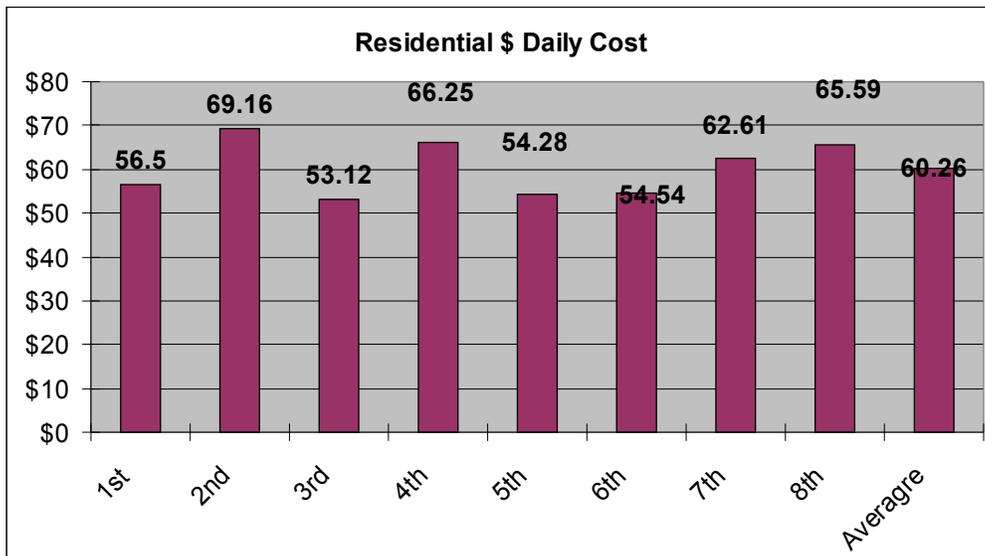
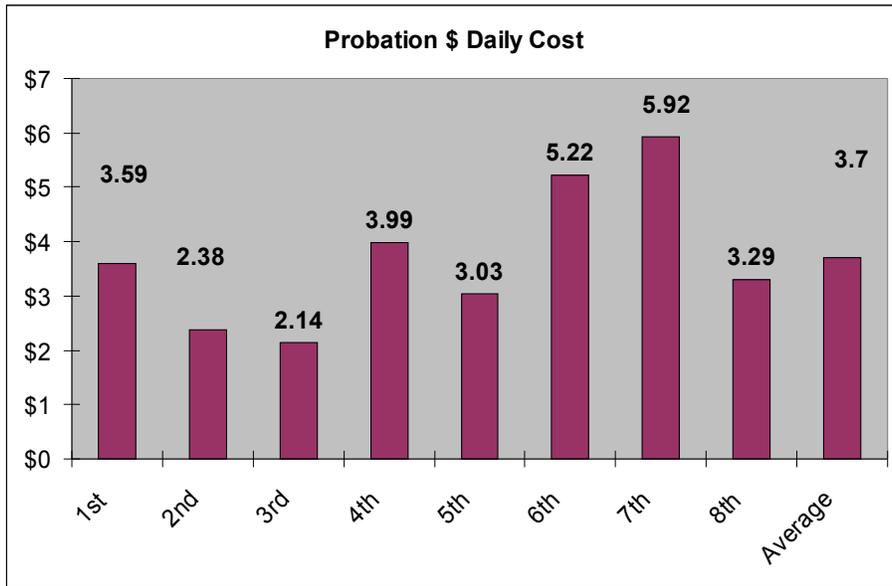


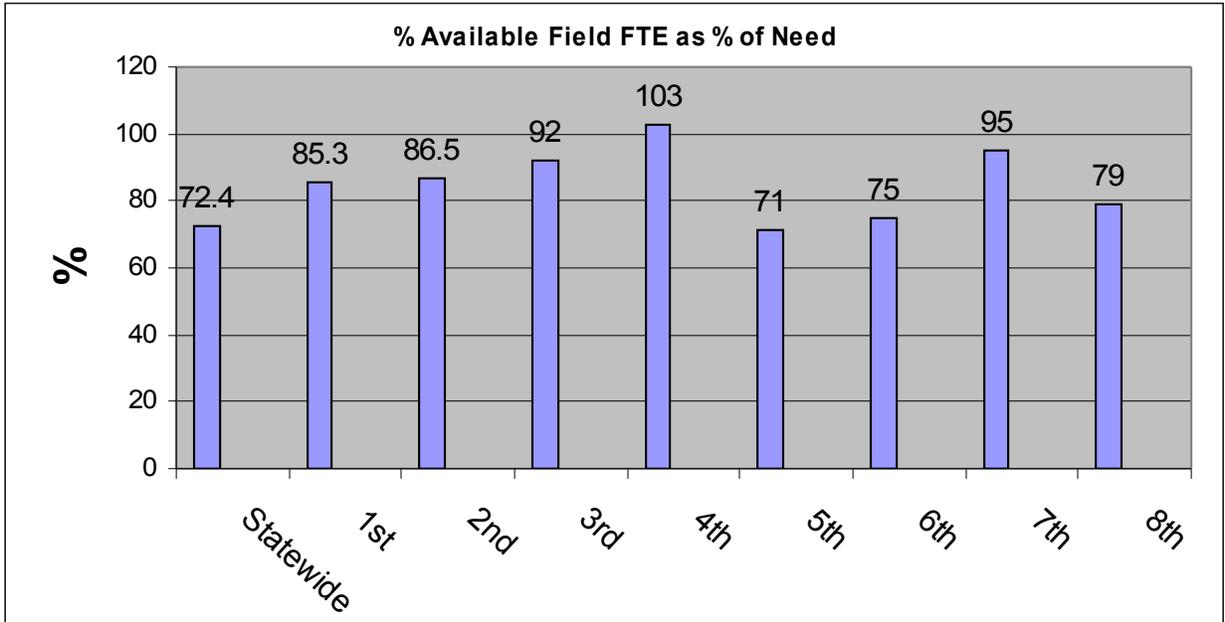
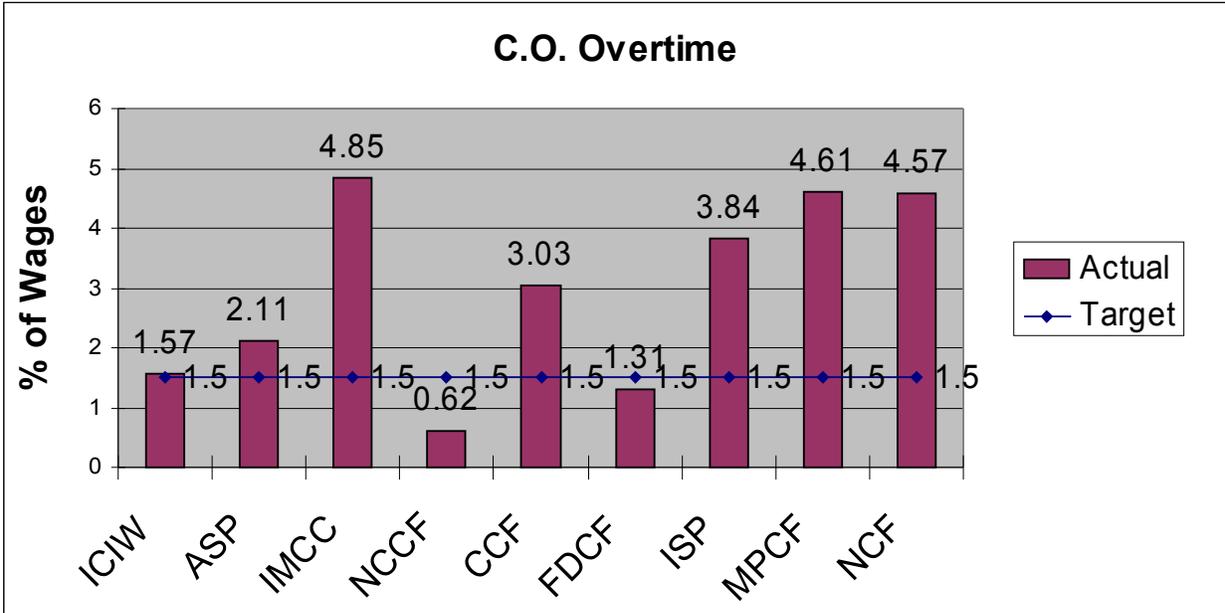
Cause of Injury : Institution



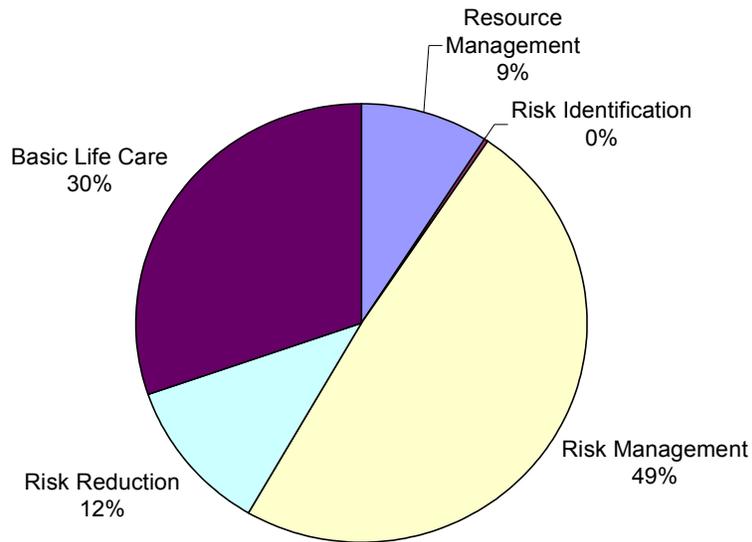
Resource Management





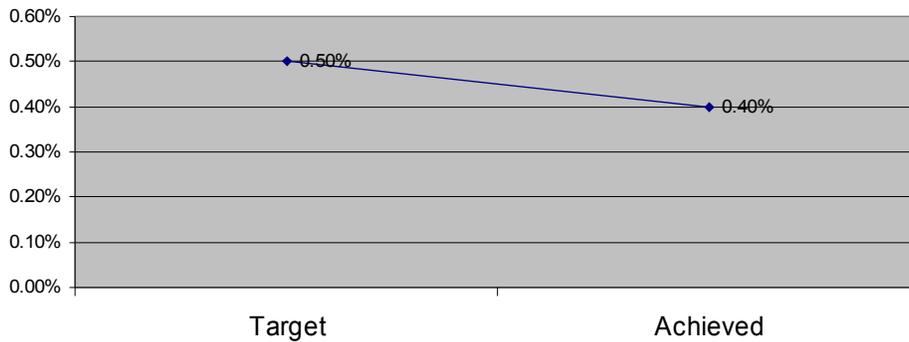


Iowa Department of Corrections Institution Budget Function Breakdown



August 31, 2007

% Budget Redirected Due To Transformation



% Change in Expenditures

