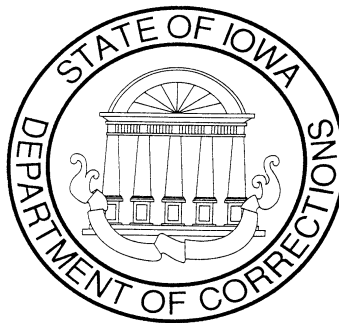


IOWA DEPARTMENT OF CORRECTIONS

***2006-2007
STRATEGIC PLAN***



December 2005

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PREFACE TO THE STRATEGIC PLAN

The Department of Corrections is a public safety agency within the Safe 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 **2006 Strategic Plan** outlines the key areas in which the Department will focus its efforts over the next three years to contribute to the Governor's Leadership Agenda and make Iowa's communities safe for its citizens.

The Department will continue to redesign the way business is conducted in FY 2006 and FY 2007 in order to control the increase of the prison population and manage limited resources in a manner that will maximize the return on investment to Iowans.

The Department deployed a number of continuous improvement initiatives as it moved to implement the Departments' Iowa Excellence Improvement Plan. Charter agency flexibilities and grants enabled the Department to pilot changes in operational processes that will have system wide applications. A number of process transformation projects are currently being championed.

Across the Department employees look differently at old assumptions of who does what, how they do it, when and where it is done. Improvement and innovation will continue as long-term sustainable solutions are shared.

The Department is committed to improving its ability to provide sound outcome data to policymakers that make legislative and funding decisions. Data can ensure that resources can be focused on strategies and interventions that impact public safety. Utilizing national research on "what works", both in prison and community-based correctional programs, implementing initiatives to replicate sound correctional practices in Iowa and then validating the outcomes of these initiatives will provide information about the adjustments that may be needed. Reliable

data systems, performance and efficiency measurement, and research capabilities will be critical to this effort.

Iowa's correctional programs manage offender risk in a manner consistent with public safety and provide programs that assist offenders in the transition back to society. Such strategies improve offender success, impact recidivism, and assist offenders to become contributing members of society. Doing the "smart thing" in the "smart way" can reduce correctional costs and increase societal benefits. The Department must continue to invest in one of its most valuable resources, its employees, to ensure that employees are skilled and empowered to perform their duties effectively now and into the future.

The Department's strategic plan will focus on those areas most likely to impact its success in the areas that have been described. The Department will implement the offender Re-Entry initiative that will utilize validated assessment instruments to assess risk and need, and plan for the programs and interventions in a specified timeline that is developed upon entry into the system. 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 substance abuse, mental health needs, or high-risk behaviors such as sex offenses.

Effective population management will continue to be a challenge to the Department. Strategies will be deployed to provide the facility and program resources needed to manage offenders consistent with their risk and needs. During the next few years, efforts will focus on maximum security and high-risk offenders.

Decisions based on data will be encouraged and supported. Deployment of Evidence Based Practices initiatives, critical support to data systems such as ICON and the Data Warehouse, research on program effectiveness, redesign of support processes and budget / accounting strategies and technologies, performance measurement, and development of consistent reporting mechanisms will provide the necessary foundation.

VISION STATEMENT OF THE IOWA DEPARTMENT OF CORRECTIONS

The Iowa Department of Corrections will be recognized as a national leader in providing a fully integrated corrections system. As the nation's leader, we will provide the most sophisticated and strongly supported continuum of community and institution programs and services.

We will be seen as an organization that delivers research-driven correctional programs of the highest quality while utilizing the most effective communication and technology resources to provide "best practices" management.

We will be known as an organization that is driven by a strong value system that recognizes the intrinsic worth of all human beings, respects and recognizes the needs of victims, and holds the belief that offenders can change their lives.

We will be known for our staff development and training programs that engender the strong ethics, diversity, and professional nature of this Department.

We will be known for keeping operational costs low, while providing high-quality programs in a safe environment.

We will be seen as a highly credible Corrections Department that focuses on its mission, and takes care of its people.

MISSION OF THE IOWA DEPARTMENT OF CORRECTIONS

The mission of the Department of Corrections is to: Protect the Public, the Employees, and the Offenders

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

We Value

A Safer Iowa

We are responsible to the people of Iowa for doing our utmost to protect communities from harm by offenders, creating opportunities for offenders to repair harm that has been done, and preventing future harm.

Our Employees

Each employee makes unique contributions to accomplishing our mission; we value professionalism, diversity and opportunity for our employees.

Personal Change

Everyone, staff and offenders, has the capacity to change and grow; acceptance of personal responsibility and accountability are the keys to growth. We encourage each person to reach his or her full potential

Individual Worth

We embrace the rights, dignity and individuality of all persons; we treat all persons with respect, fairness and compassion.

Our Organization

We are cohesive, collaborative and innovative; mission-driven excellence focuses our activities and guides our decisions.

CORE FUNCTIONS

OFFENDER SUPERVISION, CUSTODY AND TREATMENT CORE FUNCTION

Manage offenders commensurate with their individual risk and program needs in order to reduce offender risk to the public.

DESIRED OUTCOMES

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

The Offender Supervision, Custody, and Treatment core function and desired outcomes are accomplished through the following activities:

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

The systematic gathering, recording and communication of information regarding the level of risk to public safety posed by individual offenders. By utilizing validated risk and need 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)

The 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 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)

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

STRATEGIC GOALS

- **Control prison population growth**
- **Impact recidivism through provision of evidence based programs, interventions, case planning, and reentry initiatives**

RESOURCE MANAGEMENT CORE FUNCTION

Corrections professionals provide leadership, human, fiscal, physical, and information resources to facilitate public safety and offender management, which is achieved by an open accessible system.

DESIRED OUTCOMES

- **Clarity of vision and mission**
- **Fiscally responsible and effective management of resources**
- **Responsiveness to stakeholders and the public**
- **Provision of information, technology, and information analysis to ensure access to complete, accurate, timely, and useful information**
- **Continuous improvement in the delivery of services to the people of Iowa**

The Resource Management core function and desired outcomes are accomplished through the following activities: Leadership and Oversight, and Fiscal and Resource Management.

1. Leadership and Oversight

Governance of institutions, Districts, and the Department to accomplish the Vision, Mission and Goals. Balancing the interests of stakeholders including the Court System, Legislature, victims, employees, and offenders. Collaboration with public partners in accomplishing agency goals.

2. Fiscal and Resource Management

Deployment of the monetary and human resources in an efficient and effective manner. Provision and analysis of accurate and reliable data and information needed for daily operations and management throughout the agency as well as for its many customers.

3. 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.

STRATEGIC GOALS

- **Adequate human, financial, resources and processes to maintain infrastructure and delivery of services**
- **Operational effectiveness through utilization of “best practices”**
- **Reinvention of the way the Department does business to manage resources in the most cost effective and productive manner**



STRATEGIES

- 1. Deploy Offender Re- Entry Model**
 - **Re- entry Case Plan**
 - **Core /centralized assessments**
 - **Release coordination**
 - **Recommended release dates**
- 2. Manage Offender Population**
 - **High-risk supervision**
 - **Maximum-security resources**
 - **Sex Offenders**
 - **Mentally Ill Offenders**
 - **Substance Abuse**
- 3. Sustain & Improve Data Based Decision Making**
 - **Evidence Based Practice**
 - **Data Systems**
 - **Research**
 - **Performance Measurement**
 - **Budget Efficiencies/ Cost Benefit Assessment**
 - **Consistent Reporting**

4. Invest in Corrections Workforce

- **Well Being/ Morale**
- **Knowledge & Skills**
- **Health & Safety**
- **Leadership Development/ Succession Planning**
- **Performance Evaluation**

OUTCOME MEASURES

OFFENDER SUPERVISION, CUSTODY AND TREATMENT CORE FUNCTION

Core Function Outcome Measures:

Prison population as percent of capacity
Offenders meeting court ordered restitution
Offenders receiving appropriate research based interventions
Rate of new felony arrests by supervised offenders
Rate of serious injury to staff by inmates
Rate of serious injury to public by offender
Rate of escapes/ serious incident/ disturbance
Number of court finding constitutional rights violations
Rate of return to prison

Activity 1 - Offender Classification/ Assessment & Risk Identification

Outcome Measures:

Case file LSI-R Quality assurance audits
LSI-R offender required assessments
Custody Classification required assessments
Iowa Risk required assessments
Inmates assigned according to custody classification
Custody classification override level
Iowa Risk override level

Activity 2 - Offender Supervision & Custody- Risk Management

Outcome Measures:

Monthly Parole Board release recommendations
Parole Board release processing timeframe
Offender case/ re-entry plans completed
Community service hours provided
Inmate deaths not from natural causes
Inmate on inmate assaults with injury
Probation technical violation rate
Supervision Status closure success rates
Restitution and family support dollars paid by inmates employed IPI private sector program

Activity 3 - Offender Programming & Accountability- Risk Reduction

Outcome Measures:

Offender Case Plan interventions completed
Intervention Status closure success rates
Number of inmates employed in Iowa Prison Industries

Activity 4 - Basic Life Care

Outcome Measures:

Rate of conditions suits filed
Rate of serious accidents, injuries, and deaths
Number of sexual violence occurrences

RESOURCE MANAGEMENT CORE FUNCTION

Core Function Outcome Measures:

Budget expenditures reallocated as result of agency “evidence based “redesign
Budget expenditures reallocated as result of process transformation

Activity 1 – Leadership and Oversight

Outcome Measures:

Programs / cost centers evaluated for improvement

Activity 2 - Fiscal and Resources Management

Outcome Measures:

Percent of budget allocated by workload/ demand formula
Appropriated dollars redirected to central administration
Appropriated dollars to food/ fuel / pharmacy

Activity 3 - Information Systems/ Records/ Communication

Outcome Measures:

Customers rating of ICON

APPENDIX

2006-2007 Strategic Plan Strategy / Implementation Plan

STRATEGIC GOAL <ul style="list-style-type: none"> • Run the Business • Change the Business 	ACTION <ul style="list-style-type: none"> • Change • Sustain • Improve • Deploy 	IMPACT AREA	RESOURCES NEEDED <ul style="list-style-type: none"> • Infrastructure • Financial • Capital Improvement • Human Resources • Technology • Data 	TIMEFRAME
Re entry Model	Deploy	Re- entry Case Plan <ul style="list-style-type: none"> • ICON programming • Counselors & Relapse Coordinator • Monitor implementation 	<ul style="list-style-type: none"> • Training 	FY 2006
	Deploy	Core Assessments <ul style="list-style-type: none"> • Designate intake counselors (4) 	<ul style="list-style-type: none"> • Counselor positions to designate 	Calendar 2006
	Deploy	Release Coordination <ul style="list-style-type: none"> • Pre-Release & Release transition planning 	<ul style="list-style-type: none"> • '07 budget with release coordinators at 3 institutions 	FY 2007 - 2009
	Deploy	DOC Recommended Release Date <ul style="list-style-type: none"> • SRA projected release date • Monitor impact on release patterns 	<ul style="list-style-type: none"> • 28D Agreement 	April 2007 2007-2009
	Deploy	Treatment Capacities/ Deployment <ul style="list-style-type: none"> • Life Skills classes • Family component • Victim • Pre release programming 	<ul style="list-style-type: none"> • DMACC • Recommended release date data used to project capacity needs 	FY 2007 - 2009

	Sustain	Collaborative Partnerships	Leadership maintains collaborative relationships <ul style="list-style-type: none"> • Statewide steering committee • CURE • Faith based • Victims 	Ongoing
	ACTION	IMPACT AREA	RESOURCES NEEDED	TIMEFRAME
Population Management	Sustain, improve	High Risk Supervision resources: CBC	<ul style="list-style-type: none"> • PO's for high risk caseloads • Residential beds • Day programming/ treatment resources 	FY 2007 FY 2008 FY 2008
	Sustain, improve	Maximum Security Obtain resources to meet needs	<ul style="list-style-type: none"> • Needs assessment: beds & classification need alignment • Staffing analysis-NIC • Physical plants / resource assessment • Facility design: construction/ modification 	FY 2006 FY 2006-07 FY 2006-07 FY 2007
	Sustain, improve	Sex Offenders	<ul style="list-style-type: none"> • Equipment • Staff • Treatment • Community education 	06-07 06-07 06-07 06-07
	Sustain, improve	Mentally Ill	<ul style="list-style-type: none"> • Mental health director • CCU additions • SNU completion • Mental health transition coordination plan 	FY 2006 FY 2007 FY 2007 FY 2007
	Change, improve	Substance Abuse <ul style="list-style-type: none"> • Institution offenders with substance abuse problems 	<ul style="list-style-type: none"> • Treatment funding • Facility • Vocational education program • Continuing care in community 	FY 2008-2010

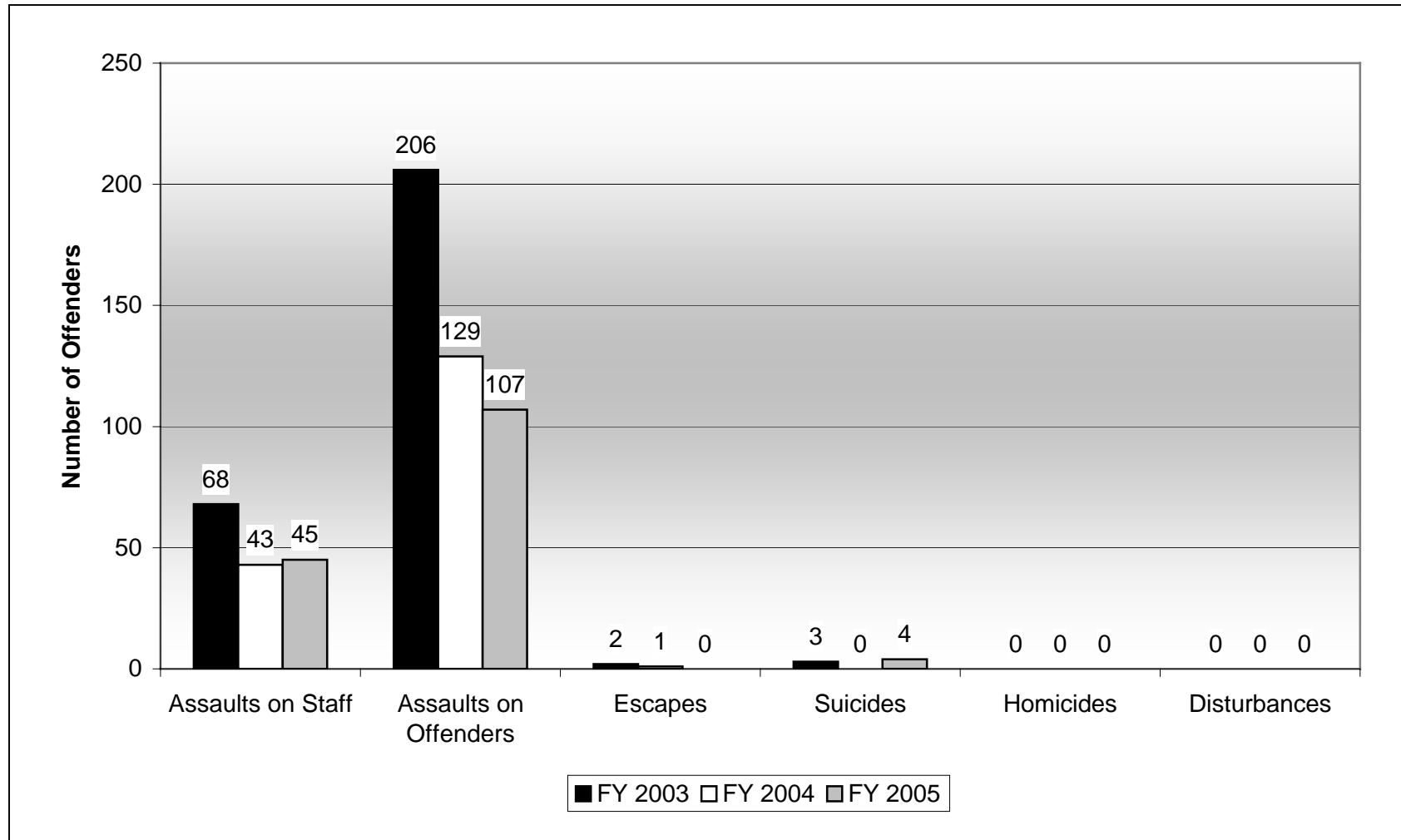
	ACTION	IMPACT AREA	RESOURCES NEEDED	TIMEFRAME
Data- Based Decisions	Sustain, improve, deploy	Evidence Based Practice <ul style="list-style-type: none"> Evidence based programs/ practice 	<ul style="list-style-type: none"> CBC EBP plans- review status Institution EBP training Institution implementation plan 	FY 2006 FY 2006 FY 2007
	Sustain, improve	Data systems (ICON, Data Warehouse, Data mining etc.)	<ul style="list-style-type: none"> Appropriation to maintain & expand system 	FY 2007
	Improve	Research Iowa validation: implementation & programs	<ul style="list-style-type: none"> Partnerships with Regents institutions Partnerships with non-Regents institutions Funding 	FY 2006-09
	Sustain	Performance Measurement Validation of programs as “evidence based” so that success rates can then be measured against designated programs	<ul style="list-style-type: none"> Substance Abuse program CPAI assessments Validation of other programs 	FY 2006-07 FY 2008-09
	Sustain, improve, deploy	Budget/Cost Benefit <ul style="list-style-type: none"> Efficiencies/effectiveness Return on investment 	<ul style="list-style-type: none"> Charter agency flexibilities Reference Point Standardized accounting/ data 	FY 2006 FY 2007 FY 2008
	Improve	Consistent Reporting <ul style="list-style-type: none"> Definitions Reporting mechanisms Annual reports 	<ul style="list-style-type: none"> Review/evaluate information vehicles/ reporting mechanisms Establish definitions Training for institutions, central office 	FY 2006-07

	ACTION	IMPACT AREA	RESOURCES NEEDED	TIMEFRAME
Workforce Investment	Deploy, Improve	Well Being/ Morale <ul style="list-style-type: none"> • Survey • Employee recognition 	<ul style="list-style-type: none"> • Survey funding • Staff support of Employee Recognition Program 	FY 2006
	Deploy	Knowledge & Skills <ul style="list-style-type: none"> • Job analysis-job description review • Selection process review • Training 	<ul style="list-style-type: none"> • Staff resources to deploy 	FY 2006-09
	Deploy	Health & Safety <ul style="list-style-type: none"> • Data analysis • Training • Audits/ inspections 	<ul style="list-style-type: none"> • Statistical Workbook data • Training resources • Audit resources 	FY 2006
	Deploy	Leadership Development/ Succession Planning <ul style="list-style-type: none"> • DACUM on Lt. & Captains • Training <ul style="list-style-type: none"> - First line - Supervisory level - Executive leadership 	<ul style="list-style-type: none"> • DAACUM facilitators • Training resources 	FY 2006-2007 FY 2006-07
			Performance Evaluation	Performance Evaluations: <ul style="list-style-type: none"> • Have development component • Completion rates

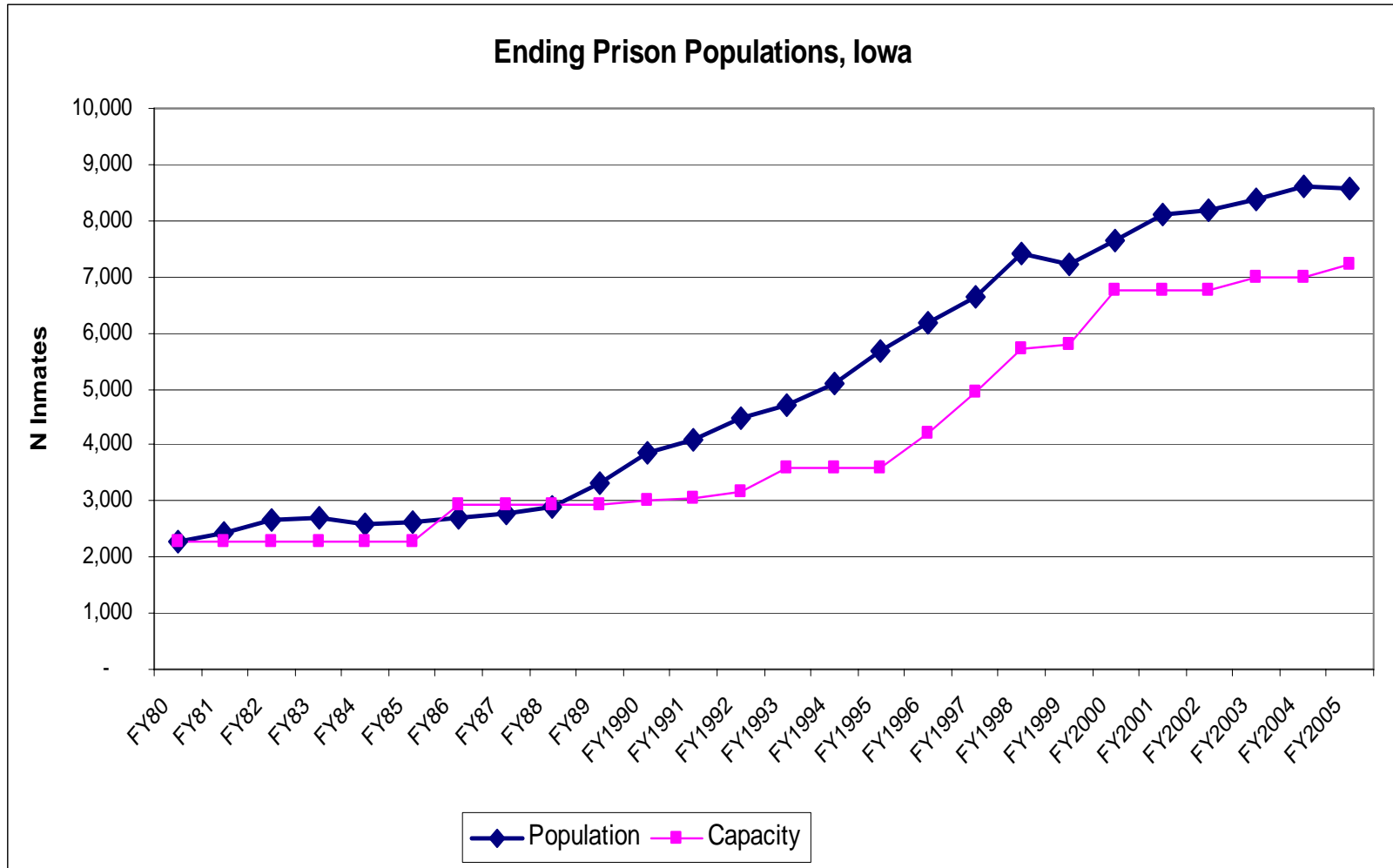
Population

Daily Statistics - 12/21/2005			
Institution	Current Count	Capacity	% Capacity
Anamosa	1287	913	141%
Luster Heights	41	88	47%
Clarinda	1042	975	107%
Fort Dodge	1146	1162	99%
Mitchellville	631	443	142%
Oakdale	851	528	161%
Patients	16	0	0
Fort Madison	562	549	102%
JBU	150	152	99%
CCU	129	200	65%
Farm 1	57	80	71%
Farm 3	67	100	67%
Mount Pleasant	971	775	125%
Women's Unit	96	100	69%
Newton-Medium	865	762	114%
Minimum	314	166	189%
Rockwell City	489	245	200%
INSTITUTIONAL TOTALS	8,714	7,238	120%
Work Release	446		
OWI Continuum	236		
OSC	65		
Out-of-State	38		
FINAL TOTAL	9,499		
(Numbers Included Above)			
Females	781		
CCUSO Pre-Trial	7		
County Jail Contract	41		
Federal Pre-Trial	161		
Violator Program	176		

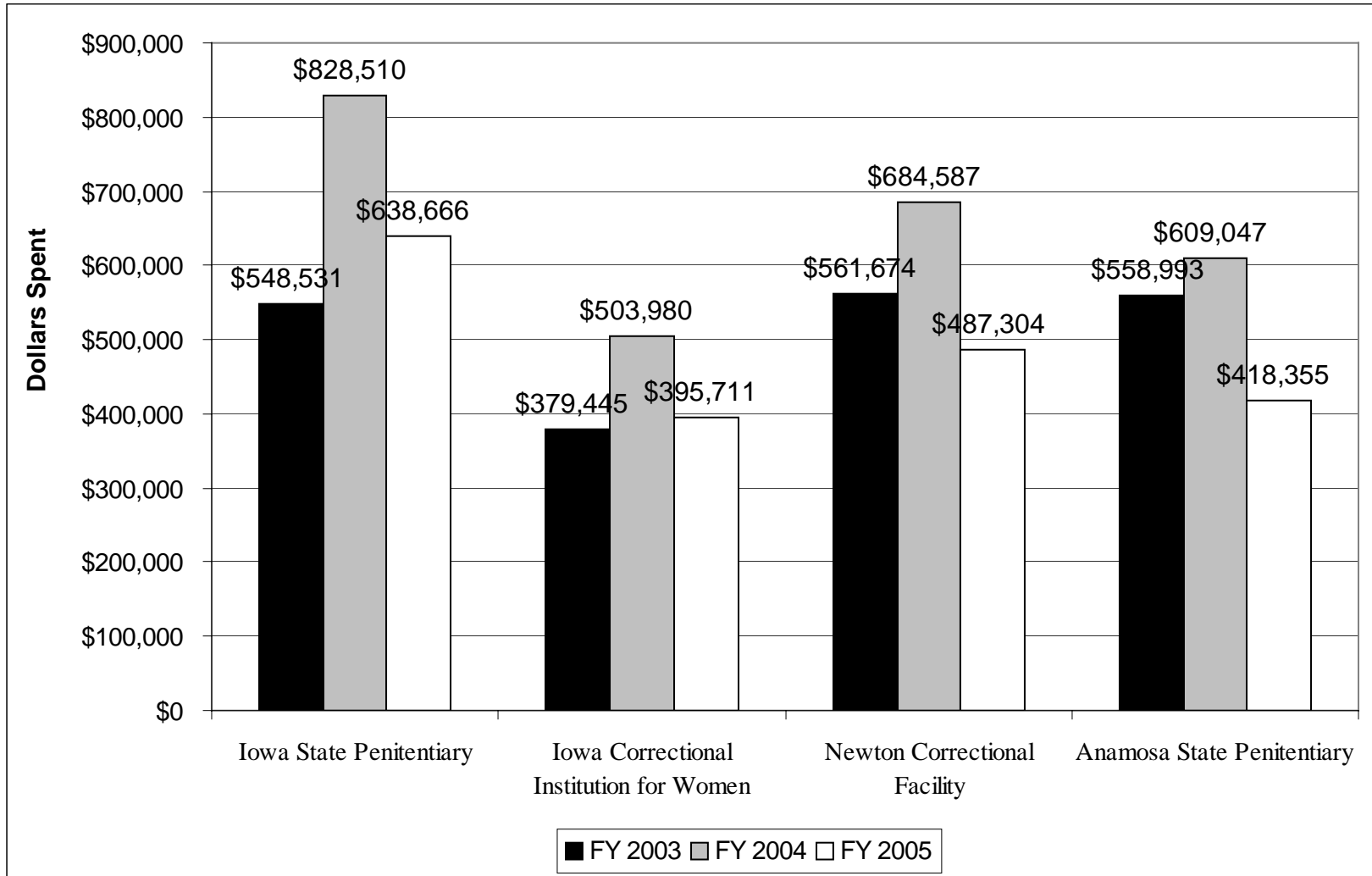
Critical Incidents



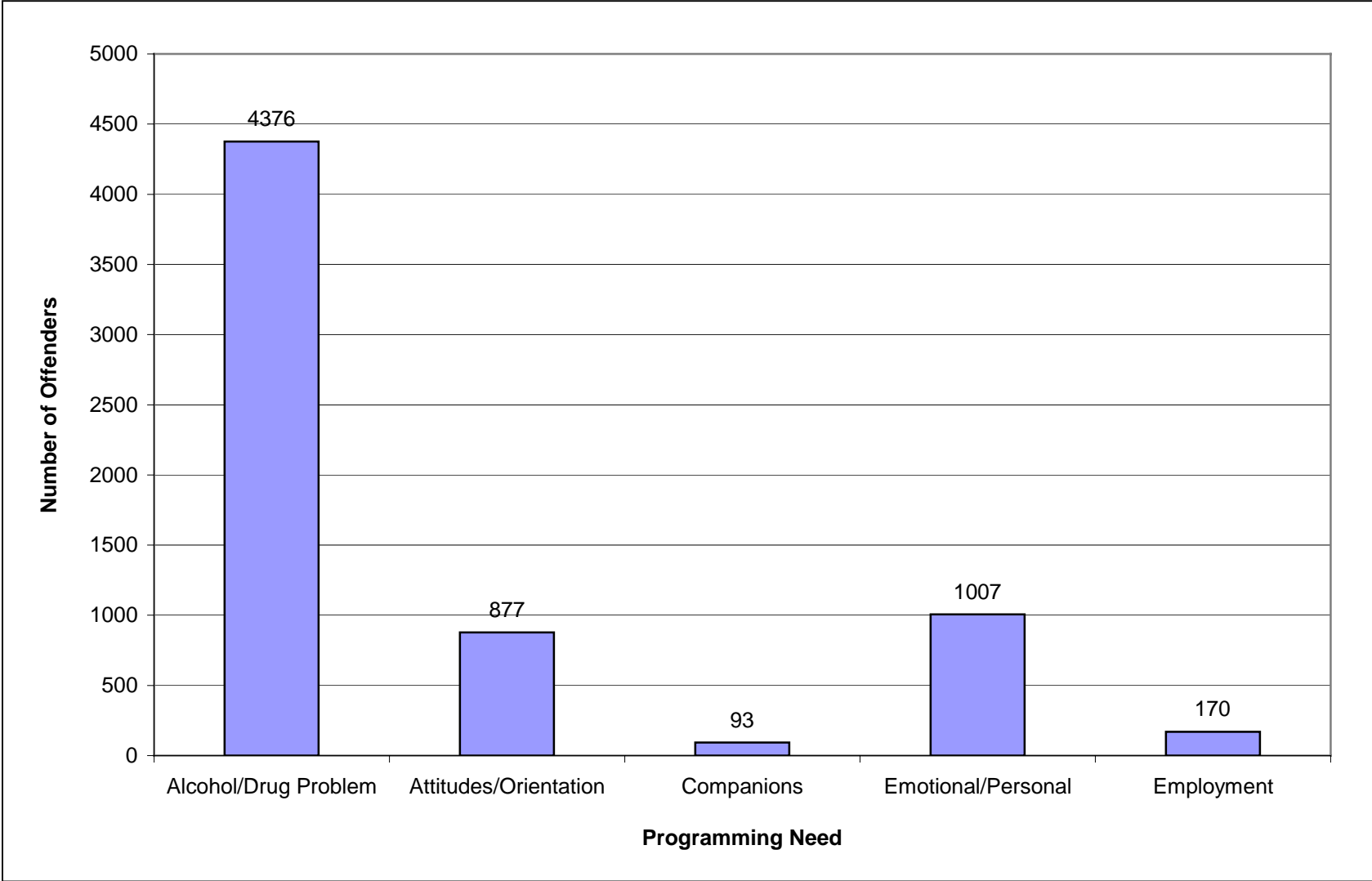
Controlling Prison Population



Pharmaceutical Procurement Process Transformation



Community-Based Corrections Offender Need Priorities



Institution Offender Need Priorities

