

**Iowa Department of Corrections**

**Annual Performance  
Report**

**Fiscal Year 2007**



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## Introduction

The Department of Corrections Annual Performance Report for fiscal year 2007 is provided in compliance with requirements of Iowa's Accountable Government Act. The Department's mission, key products and activities, Strategic Plan initiatives, Performance Plan results and highlights of services to Iowans during the last fiscal year are presented for review.

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 and alignment with these best practices has been accomplished through communication of the leadership agenda, 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 a **healthy, safe, and, humane environment** for staff and offenders.

The Departments **key strategic goals** addressed:

- Controlling the correctional system population growth and impacting public safety and recidivism through

provision of evidence based programs, interventions, case planning, and reentry initiatives.

- Providing and effectively managing adequate human and financial resources and processes to maintain the infrastructure and to deliver high quality services at the best value through the utilization of "best practices."

The Departments' key accomplishments include:

(1) Controlling the growth of the corrections system population. Iowa's rate of offender return to prison has grown slightly to a rate of 35 %. The number of offenders supervised in the community rather than entering the prison system due to technical violations was successfully held below the 20% target at 17%.

The Department's efforts to provide housing and supervision capacity consistent with population and caseload demand, constitutional and regulatory standards continue. While demand has continued to exceed capacity, the prison population has been maintained at approximately 121% of capacity, the community corrections residential facilities at 101% of capacity, and field services at 126% of capacity.

Iowa has undertaken a systematic study of the states correctional system with the assistance and expertise of the Durrant Group. This study will provide the foundation upon which policy makers might base future decisions regarding resources, infrastructure, and correctional focus in upcoming years.

(2) Contributing to public safety. There were no significant incidents, escapes, or disturbances that threatened public safety. Initial data indicates that correctional programs are effective at reducing offender risk before they leave the corrections system. 52% of offenders who left the corrections system showed lowered risk when assessed. 35% of offenders who had previously been released from the corrections system were convicted of new offenses within three years of that release.

(3) Continuing to provide a continuum of evidence based correctional interventions and re-entry support services.

Institution and CBC Re-Entry Coordinators have been put in place to collaborate and improve the re-entry process. 15% of offender reentry case plans that outline an offender's programming and integration to society have been completed in accordance with policy requirements.

It is anticipated that 20% of DOC intervention programs will be classified as promising or excellent evidence based.

While the Department maintained capacity in a continuum of supervision levels that meet offenders' risk, only 75% of institutionalized offenders were housed at a level that is commensurate with their classification score. The Department is therefore looking for a new classification tool that will assist the Department to better align offenders with levels of available custody housing.

Reducing the risk of sex offenders continued to be a priority. Treatment programs to address those offenders who have been resistive to treatment or who have special needs have been revised to increase the likelihood that these offenders might receive the benefit of correctional intervention programming.

(4) Making data and analysis available to all levels of the organization to improve daily operations, decision making, and performance improvement. The continued enhancement of the offender information system (ICON), the Criminal Justice Data Warehouse, and the performance measurement system expanded the corrections system's ability to provide outcome data.

Technology has been deployed where possible to improve operations. Offender banking and accounting operations have been modified and digitization of inmate records is underway.

(5) Utilizing Charter Agency flexibilities to transform operations, structure, and processes in order to capture efficiencies, enhance productivity, and increase value to customers.

Transformation projects moved from planning stages to become operational. The **Food Service** ICON module was completed and Food Service Management software is being tested. The **Central Food Warehouse** project team has been formed to develop a central food distribution system. The **Procurement** project partnered with DHS, IVH, and DAS to apply LEAN principles that resulted in NGIP Certification training to change processes for contracts, upgrades in

13 functionality, and continued work on Prime Vendor contracts. The **Records** project realigned duties of records staff across DOC system to maximize efficiencies through specialization. The **Waste** project identified local waste reduction and reuse opportunities. The **Energy** project identified opportunities to purchase energy more efficiently and opportunities to purchase renewable energy. The **Accounting and Finance** project centralized offender banking, child support, and restitution collection at two institutions.

The Department has committed to a focus on excellence, and the examination and scrutiny of operations and programs is accomplished through a variety of initiatives. The Department voluntarily participated in the American Correctional Association Accreditation process to move the Department further toward compliance with nationally recognized standards. Work has begun for FDCF and ICIW. IMCC, FDCF, and NCCF received accreditation from the American Correctional Education Association.

The Department participated in the Pew "Grading the States" survey and will be compared with other correctional agencies around the country.

(6) Making a commitment to invest in the Department's workforce. Professional development opportunities have focused on leadership development and the competencies needed to support the evidence based paradigm shift such as motivational interviewing and ASSIST intervention tools for custody staff have been well received.

Coordination and oversight of employee health and safety continues. A statewide labor/management safety committee was formed and will meet monthly to discuss and resolve issues related to staff health and safety. The effectiveness and safety of operations was supported by efforts to align staff resources with workload demands.

A Correctional Officer staffing analysis was completed to align physical plant demands to critical posts analysis. This analysis will help the Department deploy staff and communicate resource needs. A work study of medical duties and staff has begun to determine if the right people are doing the right work using the right processes.

(7) Meeting the medical and mental health needs of offenders which have placed increasing demands on correctional resources. 90% of Iowa's offenders have current or past problems with alcohol or drugs. As a result of refinements in diagnosis and classification practices approximately 40% of offenders have now been identified as having some mental illness.

Pharmaceutical costs have risen 40%. Demands presented by the aged/infirm required the Department to be responsive to their unique needs and to absorb increasing health care costs. There have been no health care conditions suits or negative litigation findings.

Maintenance of aging correctional facilities presents ongoing challenges. Resources were directed to critical maintenance and renovations of electrical systems, upgrading life safety systems, insuring that food service preparation met applicable codes.

The Department opened the Special Needs Unit at IMCC. Construction was begun on two community residential facilities, one of which will serve offenders with mental health problems.

The Department examined performance outcomes in four areas. The Department of Management conducted a performance audit of prison based licensed substance abuse treatment programs and DOC replicated this examination for community based programs. Results show that institution programs that include after care and community based programs have the biggest impact on recidivism. An internal outcome analysis of the Violator program was begun. The Institute for Social and Economic Development reported that Mental Health Reentry programs positively impacted recidivism. Criminal & Juvenile Justice Planning evaluated the KEYS – Going Home reentry program and found that participants had lower re-arrest and prison return rates than those that did not participate. An internal outcome analysis of victim impact classes showed that they can, when included as a part of other correctional interventions, impact recidivism.

After significant revision of performance measures in FY06, the Department has now established a performance baseline on which targets can now be set and historical comparisons and trend can be seen.

The Department met or exceeded 22% of its 2007 performance targets. There were no inmate suicides, escapes, or disturbances. The median level of restitution paid by all offenders was 48%. The rate of probation technical violation was under the target. Required assessments, on which Offender Reentry Case plans are based, were completed 80% of the time.

The Department did not meet 55% of performance targets. The percent of EBP interventions linked to criminogenic needs could not be calculated because evaluations of interventions were not completed. The

rate of return to prison showed a slight increase to 35%. There was a slight increase in number of staff serious injuries and in the number of life safety code violations. There were two negative findings of litigation totaling \$566,000 in costs. The alignment of institution supervision to risk level was only 75% indicating the need to evaluate and revalidate the static classification instrument that has been in use for over two decades.

The Department partially achieved some goals. The rate of sexual violence in prison (staff sexual misconduct) stayed constant. The level of offender deaths/serious injuries was maintained. The goal for the number of community service hours was nearly met. While the Department has not yet fully realized potential savings related to Transformation Projects, major changes in operations and process generated savings of .4%.

18% of the performance measure areas produced baseline data, which will provide the foundation for future performance analysis. 35% of medium high risk offenders had new felony convictions. 52% of all released offenders showed a reduction in their assessed risk score.

The baseline for medium/high risk offenders completing case plan programming for each of top four needs before final discharge was not established. The ability to capture and analyze data was not yet deployed.

# Agency Overview

## Mission Statement

We Protect the Public, Employees, and 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 emotional and physical 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

## Vision Statement

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.

## **Overview**

The Department of Corrections is a public safety agency within the Safe, Just, and 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 across the state. The legislatively appropriated budget is administered and allocated by the Department of Corrections, and 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.

Under the leadership of Director John Baldwin, the Department is structured into five main divisions: Administration, Western Region, Eastern Region, Offender Services and Iowa State Industries. Support process operations include Policy and Legal, Training and Professional Development, Information Technology, and Human Resources. The Department oversees a General Fund budget of over \$339,000,000.

DOC activities and operations are administered by a Director, appointed by the Governor and advised by the Corrections Board, and a DOC executive staff. A Director appointed by the District Board administers each of the District Departments.

Iowa's corrections system, comprised of institution and community services, provides a continuum of custody, supervision, and correctional programming for adult offenders. Recognition of the ultimate release of most offenders makes targeted programming, release preparation and planning, and transitioning key. Effectively and efficiently



managing offenders in accordance with their risk and criminogenic need (those needs that contribute to criminality) is an ongoing focus.

Currently the Iowa Corrections system employs approximately 4,086 staff, houses approximately 8,700 offenders in prison, and supervises 30,000 offenders in the community.

Programming, housing and services must address the myriad of needs presented by the growing offender population. Offender case planning creates the road map that guides the corrections system as the offender moves through the correctional continuum. This Re-Entry Case Plan not only insures that each offender is managed and transitioned in a manner that is most effective for that offender but also that correctional resources are aligned where and when offenders most require them.

Special programming and supervision needs are provided for offenders with medical, mental health, and developmental needs as well as the special legal requirements that may be called for because of the nature of the offender's crime (sex offenders, Methamphetamine offenders, etc.)

The Department operates nine major correctional institutions that provide custody ranging from maximum to minimum and operate twenty-four hours a day throughout the year. The Department is responsible for providing "control, treatment, and rehabilitation of offenders committed under law" to its institutions. This is accomplished by the classification of offenders to identify their security risk and their individual offender needs that contribute to their criminality, and assignment to supervision levels and correctional interventions that will address those needs.

Iowa State Industries operates offender training and employment opportunities at Iowa's institutions and in the private sector. Work programs include furniture, farming, printing, and private sector employment projects. Work programs develop work skills and attitudes that can enhance an offender's ability to maintain employment upon release as well as to meet their financial obligations to their families and victims of their crimes.

Iowa's eight Judicial District Departments of Correctional Services provide correctional supervision in all ninety-nine counties, supervision that ranges from minimum to intensive to residential housing. These correctional services are provided to offenders of pre trial release, probation, parole, or work release legal status. Districts have a number of satellite offices in communities around the state and operate twenty-three residential facilities. Judicial District programs utilize the resources of community partners (such as mental health, substance abuse, education) that exist in those communities.

**Iowa Department of Corrections  
FY 2007 Financial Status Reports  
Department Totals through the Period Ending August 31, 2007**

	LEGISLATIVE ACTION	DEPT. REVISED BUDGET	ACTUAL REVENUE AND EXPENDITURE	ENCUMB- RANCES	ACTUAL + ENCUMB- RANCES	PERCENT (Actual of Budget)	EXCEED E / UNDER U
<b>FTE POSITIONS</b>							
Correctional Officer	1,625.00	1,625.00	1,527.33		1,527.33	93.99%	
Total Staffing	3,088.05	2,974.76	2,790.96		2,790.96	93.82%	
<b>RESOURCES AVAILABLE</b>							
Appropriation	304,283,472	304,283,472	304,050,472.00		304,050,472.00		
Salary Adjustment	9,314,572	9,314,572	9,314,572.00		9,314,572.00		
Supplemental	-	5,320,538	5,320,538.00		5,320,538.00		
Tobacco Settlement	3,676,474	3,676,474	3,676,474.00		3,676,474.00		
FY 2006 Balance Forward	-	79,936	169,964.37		169,964.37		
Appropriation transfer	-	-	-		-		
Deappropriation	-	-	-		-		
Re-Allocation	-	-	-		-		
Intra State Transf	-	-	-		-		
Miscellaneous Receipts	3,256,322	3,921,174	5,766,182.39		5,766,182.39	147.05%	
<b>TOTAL RESOURCES AVAILABLE</b>	<b>320,530,840</b>	<b>326,596,166</b>	<b>328,298,202.76</b>		<b>328,298,202.76</b>		
<b>FUNDS EXPENDED AND ENCUMBERED</b>							
Personnel Services	200,079,898	203,661,224	195,566,093.61	-	195,566,093.61	96.03%	
Personnel Travel I/S	142,585	189,376	274,380.68	-	274,380.68	144.89%	
State Vehicle Operations	649,698	678,573	877,165.47	-	877,165.47	129.27%	
Depreciation	75,000	122,000	254,671.93	-	254,671.93	208.75%	
Out-State Travel	16,598	25,648	74,223.92	-	74,223.92	289.39%	
Office Supplies	482,317	418,823	482,686.80	-	482,686.80	115.25%	
Facility Maint Supplies	866,821	865,896	1,510,709.37	-	1,510,709.37	174.47%	
Equipment Maint Supplies	576,324	488,022	557,959.20	-	557,959.20	114.33%	
Professional Supplies	743,826	506,722	626,501.08	-	626,501.08	123.64%	
Housing Supplies	1,991,511	2,120,219	2,903,783.23	-	2,903,783.23	136.96%	
Ag Cons Supplies	23,535	25,986	46,993.97	-	46,993.97	180.84%	
Other Supplies	455,801	425,117	799,476.37	-	799,476.37	188.06%	
Printing and Binding	832	832	8.00	-	8.00	0.96%	
Drugs & Biologicals	5,265,241	7,029,933	8,606,402.05	-	8,606,402.05	122.43%	
Food	9,178,296	9,427,759	9,675,727.09	-	9,675,727.09	102.63%	
Uniforms	1,218,207	1,070,505	1,595,380.82	-	1,595,380.82	149.03%	
Postage	109,518	99,599	124,782.62	-	124,782.62		
Communications	663,076	609,595	714,543.01	-	714,543.01	117.22%	
Rentals	52,447	75,188	96,878.91	-	96,878.91	128.85%	
Utilities	9,379,658	9,337,261	9,206,041.52	-	9,206,041.52	98.59%	
Professional Services	1,268,008	1,500,834	2,117,615.41	-	2,117,615.41	141.10%	
Outside Services	3,539,134	3,684,535	3,571,607.51	-	3,571,607.51	96.94%	
Intra State Transfers	372,840	241,920	127,129.27	-	127,129.27	52.55%	
Advertising & Publicity	6,900	2,100	13,160.93	-	13,160.93	626.71%	
Outside Repairs	767,777	755,086	1,324,666.42	-	1,324,666.42	175.43%	
Data Processing	1,000	1,000	-	-	-	0.00%	
Auditor Reimbursement	1,350	1,350	585.92	-	585.92	43.40%	
Reimb Other Agencies	1,172,410	1,576,609	4,450,586.64	-	4,450,586.64	282.29%	
Facility Improvement Reimb	-	-	-	-	-	0.00%	
ITS Reimbursement	441,028	430,565	352,649.03	-	352,649.03	81.90%	
Workers Compensation	1,830,867	1,803,639	-	-	-	0.00%	
IT Outside Services	-	200,000	419,933.00	-	419,933.00		
Equipment	362,073	355,096	938,493.72	-	938,493.72	264.29%	
Office Equipment	37,586	35,012	53,918.17	-	53,918.17	154.00%	
Equipment Non-Inventory	205,781	192,132	361,070.38	-	361,070.38	187.93%	
DP Inventory	-	-	-	-	-	0.00%	
DP Non-Inventory	-	-	-	-	-	0.00%	
IT Equipment	826,414	762,738	2,086,104.88	-	2,086,104.88	273.50%	
Claims	950	937	155.00	-	155.00	16.54%	
Other Expenses	2,973,552	3,114,766	3,227,550.79	-	3,227,550.79	103.62%	
Securities	143	3,231	4,081.63	-	4,081.63	126.33%	
Licenses	4,480	9,480	8,126.94	-	8,126.94	85.73%	
Fees	-	-	-	-	-	0.00%	
State Aid and Appropriations	74,746,858	74,746,858	74,746,858.00	-	74,746,858.00	100.00%	
Capitals	500	-	-	-	-	0.00%	
Legislative reduction	-	-	-	-	-		
<b>TOTAL EXPENSES AND ENCUMBRANCES</b>	<b>320,530,840</b>	<b>326,596,166</b>	<b>327,798,703.29</b>		<b>327,798,703.29</b>	<b>100.37%</b>	
<b>ENDING BALANCE</b>					<u><u>499,499.47</u></u>		
Supplemental					-		
Reversion					383,528.94		
Balance Forward					115,970.53		
<b>ENDING BALANCE</b>					<u><u>0.00</u></u>		
Percent of actual Funds Available expended				99.85%	encumbered		99.85%
Percent of Support Budget expended				107.10%	encumbered		107.10%
Percent of Equipment Budget expended				254.39%	encumbered		254.39%
<b>Percentage of Year Expended =</b>				<b>100.00%</b>			

## KEY RESULTS

### MISSION, CORE FUNCTION, STRATEGIC GOAL

**Name:** The mission of the Department is to protect the public, the employees and the offenders from victimization. Offender Supervision, Custody, & Treatment Core Function. Strategic goals: Control prison population growth. Impact recidivism.

**Description:** The Department of Corrections manages offenders in a constitutional manner consistent with their risk and offers need-based correctional programming likely to reduce offender risk to the public.

**Why we are doing this:** The citizens of Iowa must be protected from harm from offenders sentenced to and released from the care and custody of the Iowa Department of Corrections and Judicial District Correctional programs.

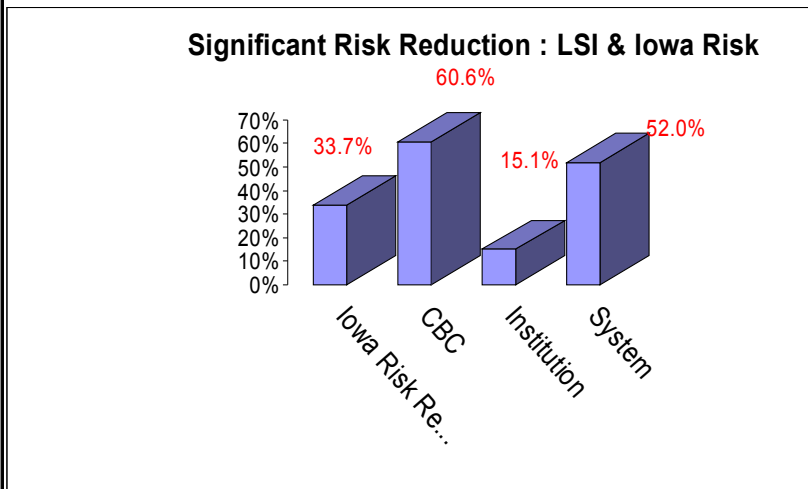
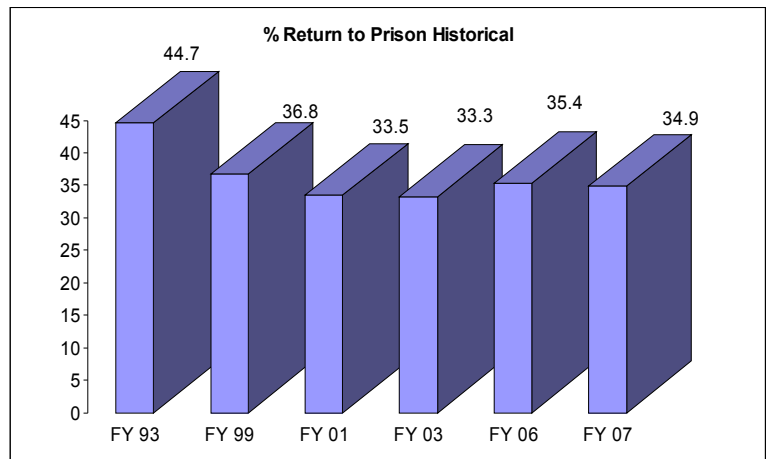
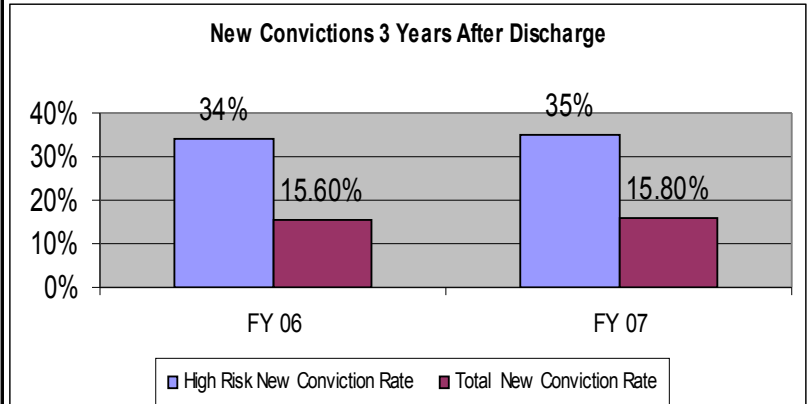
**What we're doing to achieve results:** In order to safely and effectively manage offenders and reduce their risk of future offenses, the Department must assess and classify offenders in order to manage them in facilities and correctional programs that provide the necessary security and evidence based programming to control and reduce their risk to themselves, staff, and the general public. Offenders must be supervised by trained staff, utilizing "best" correctional practices.

## Results

- **Performance Measure:**  
% of offenders who were medium/ high risk at time of admission who are convicted of new aggravated misdemeanor/ felony within 3 years after discharge.
- Rate of return to prison
- % of medium/ high risk offenders whose risk score shows significant reduction at final discharge from corrections system.

### Performance Target:

- Baseline
- 33%
- Baseline



**What was achieved:** 35% of medium to high risk offenders had been convicted of a serious crime and 35% of all prison inmates returned to prison within three years of leaving Iowa's correctional system. The return to prison rate has grown slightly but is impacted by forces outside of the direct control of DOC such as arrest and conviction practices. 52% of offenders experienced a reduction in their assessed risk prior to discharge from supervision.

**Data Sources:** ICON and Iowa Justice Data Warehouse

**Resources:** These activities are funded through General Fund appropriation totaling \$244,965,027 and \$93,686,031 in local revenues. Activities were delivered at Iowa's correctional institutions, DOC administrative offices, Iowa State Industries, and Judicial District Departments of Correctional Services.

## KEY RESULT

### Strategic Goal

**Name:** Impact recidivism through provision of evidence based programs, interventions, case planning, and reentry initiatives

**Description:** Iowa's corrections system is moving to ensure that evidence based correctional intervention programs and practices are in use across the system.

**Why we are doing this:** Research has shown that future offender risk can be reduced by appropriate supervision and receiving appropriately delivered and timed interventions that are directed toward the needs that contribute to that offender's criminal behavior. Release planning and re-entry transition services help to ensure that the offender can more safely be returned to their community

**What are we doing to achieve results:** All programs and practices are undergoing scrutiny to assess their level of compliance with evidence based principles. Corrective action plans are being deployed. Resources are being realigned with those programs that contribute to this effort.

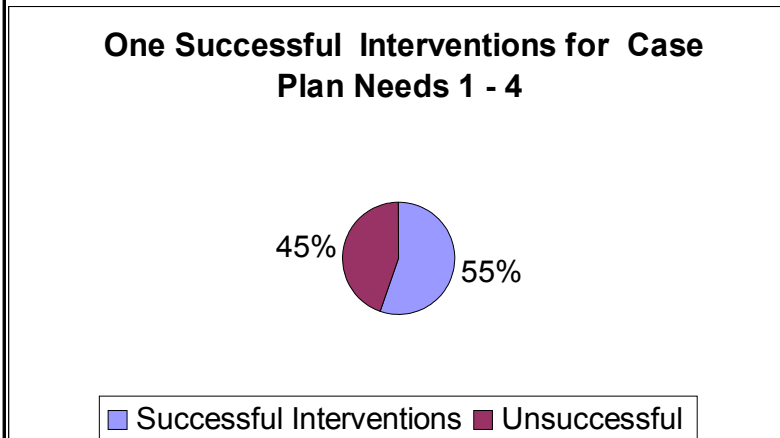
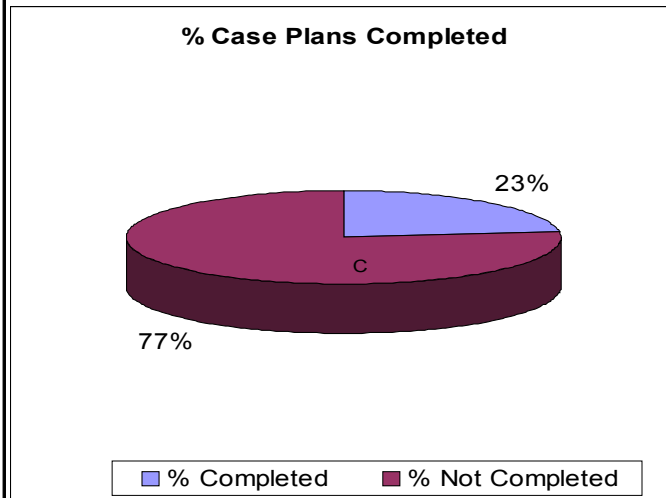
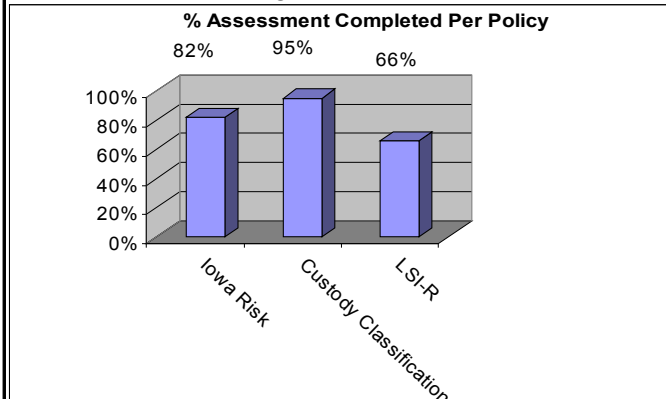
**Performance Measure**

- % of medium/ high risk offenders that are receiving evidence based interventions for one, two, three, or four of their top four criminogenic needs.
- % of medium/ high risk offenders that complete case plan programming for each of their top four criminogenic needs before final release from corrections system

**Performance Target:**

Baseline

No results are yet available for these measures however other indicators contributing to this issue had the following results.



**What was achieved:** Required assessments were completed on the majority of offenders and Offender Reentry plans are being developed. Correctional interventions and programs were evaluated to determine their level of compliance with evidence based principles. This effort was not yet completed at the close of the year. The ability to retrieve case plan intervention data is still in development. It was therefore not yet possible to evaluate all the data for these performance measures. It was, however, determined that 55% of offenders successfully completed programming for at least one of their needs prior to discharge from the system.

**Data Sources:** ICON

**Resources:** These activities are provided by nine correctional institutions at a cost of \$244,965,027 from the General Fund and at eight judicial districts at a cost of \$74,746,858 in General Fund and \$93,686,031 of local revenue. Additional General Fund dollars of \$25,000 are provided for mental health and substance abuse. Additional General Fund dollars of \$1,165,510 are provided for education. Oversight , planning, and support for implementation of correctional interventions that meet principles of evidence based practices is provided by DOC Central Office at a General Fund cost of \$5,293,160.



# KEY RESULT

## MISSION, CORE FUNCTION

**Name:** The mission of the Department is to protect the public, the employees and the offenders from victimization. Resource Management Core Function. Provision of leadership, human, fiscal, physical, and information resources to facilitate public safety and offender management

**Description:**

As a Charter Agency the Department has committed itself to exploring ways of delivering services in new ways to not only produce a better outcome, but conserve valuable resources so that they can be redirected to mission critical activities.

**Why we are doing this:** Leadership support, oversight, and governance of the corrections system is critical to achieving the mission in an efficient and effective manner in order to ensure return on taxpayer investment.

**What we're doing to achieve results:** During the second year of the transformation effort, several departmental operations have been redesigned, centralized, or standardized in order to reduce waste and inefficiencies and implement best practices. These and other transformation projects continue and additional future savings are anticipated

### Results

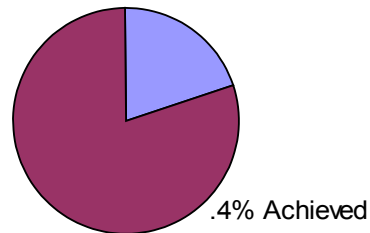
**Performance Measure:**

- % Change in dollars spent due to redesign/ transformation efforts

**Performance Target:**

- .5%

#### Changing How We Do Business



**What was achieved:** Redesign of records, inmate accounts and banking, procurement, food distribution, and pharmaceutical services have resulted in actual dollar savings as well as the indirect savings gained by freeing up staff time so that other duties can be preformed. Dollar savings of .4% nearly met the target of .5%

**Data Sources:** Transformation Project leaders

**Resources:** These activities were provided with the oversight and support of DOC Central Office at a General Fund Cost of \$5,293,160. Transformation efforts were led by Central Office and institution staff. The primary offender data system, ICON, that provides daily offender management and administrative analysis information is provided to the corrections system through institution and technical support budgets and \$427,700 General Fund dollars that are directed toward the ICON system.

## KEY RESULT

### CORE FUNCTION, STRATEGIC GOAL

**Name:** Risk Management Core Function. Provision of adequate resources to maintain infrastructure and delivery of services.

**Description:** The Department aligns resources to need by utilizing staffing studies and work formulas, and making efforts to align offender supervision and programming resources in accordance with that demand.

**Why we are doing this:** Managing offenders at the least restrictive level consistent with their risk enables Corrections to avoid unnecessary use of costly supervision methods, such as more costly prison beds.

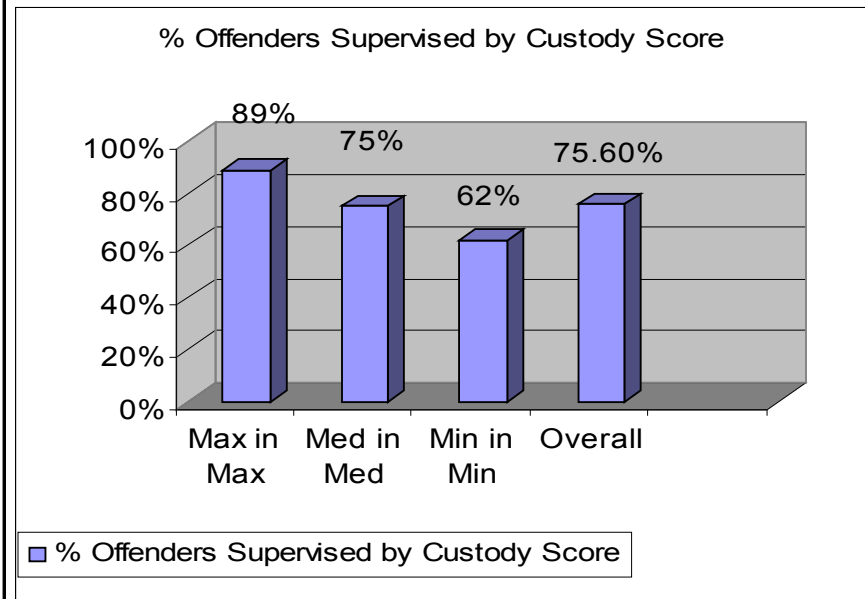
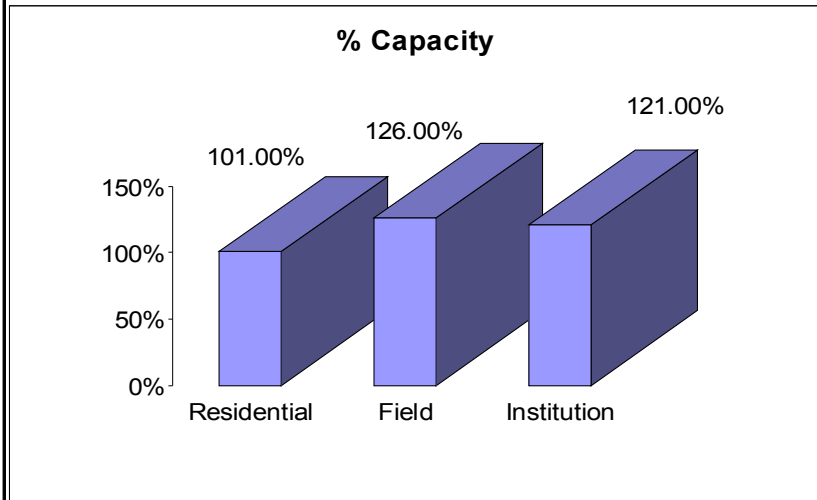
**What are we doing to achieve results?** The alignment of offender placement to risk is regularly reviewed and encouraged. Timeframes for offender movement through the system are monitored and strategies are employed to avoid unnecessary delays.

**Performance Measure**

- Prison Population as % of capacity
- Field workload as % of capacity
- Residential population as % of capacity
- Offenders supervised by custody score

**Performance Target:**

- 100%
- 100%
- 100%
- 100%



**What was achieved:** Population demands exceeded the resource capacity in all areas. Institution beds by custody classification and the classification of offenders was not in alignment, leading to further inquiry into how the classification system might be updated and if beds available match demand.

**Data Sources:** ICON

**Resources:** These activities are provided by nine correctional institutions at a cost of \$244,965,027 from the General Fund and at eight judicial districts at a cost of \$74,746,858 in General Fund and \$93,686,031 of local revenue.

# KEY RESULT

## STRATEGIC GOAL

**Name:** Adequate resources to maintain infrastructure and delivery of services. Fiscally responsible and effective management of resources

**Description:** Providing appropriate facilities and basic daily needs can absorb an ever increasing share of limited resources. Examining the way business is conducted and piloting alternatives to produce efficiencies and economies of scale can slow spiraling cost increases.

**Why we are doing this:** If costs in infrastructure and basic daily needs (food, fuel, pharmaceuticals etc.) are not controlled, limited budget dollars are redirected from the mission critical activities of risk management and risk reduction.

**What we're doing to achieve results:** Utilizing creative ways to impact fixed costs such as increases in food, fuel, and pharmaceuticals that are increasing at a rate that exceeds expected inflation.

## Results

**Performance Measures:**

- Per diem costs – Adjusted for inflation
- Food/ Fuel/ Pharmacy Cost Increases

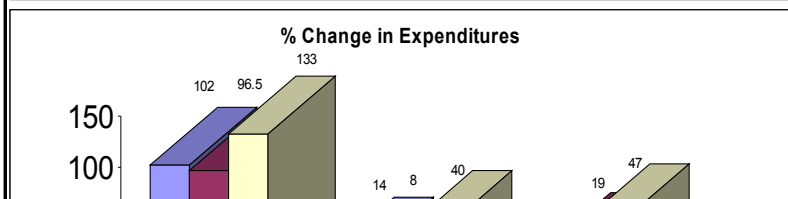
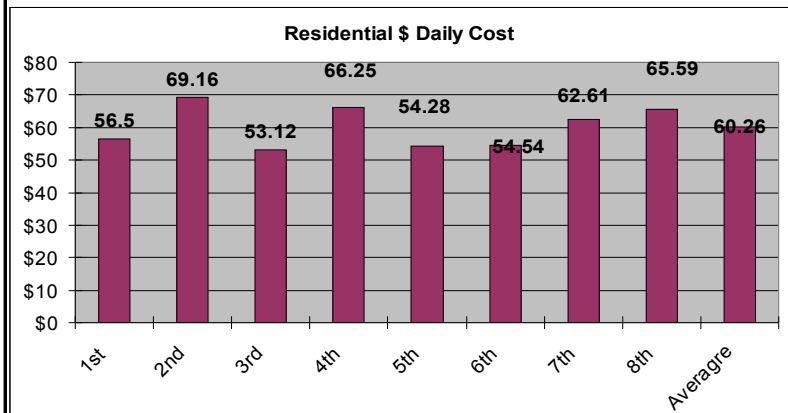
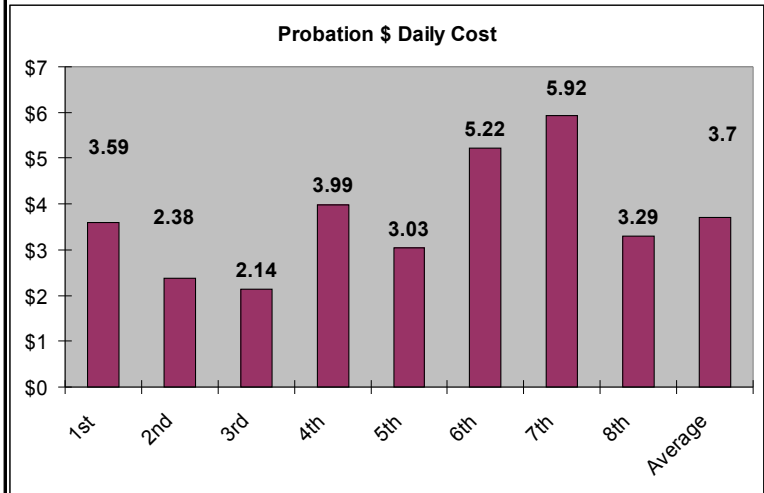
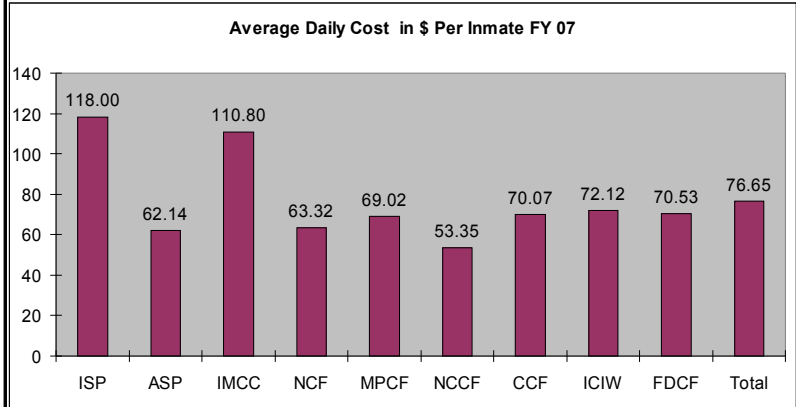
**Performance Target:**

Institution \$64.02 / \$66.58

Probation \$2.93/ 3.05

Residential \$ 55.93 / \$58.17

\*Calculated 4% inflation



**What was achieved:** Daily costs grew at a rate higher than 4% inflation factor (20% to 26%). These increases were driven in part by the opening of new specialized facilities for special need offenders. Institution fixed costs for food and fuel were managed with new approaches to procurement. Food costs grew at a rate of 14% while utilities were held at an increase of only 8%. There was little success controlling pharmaceutical costs due to increased numbers of offenders requiring prescriptions for psychiatric and chronic health conditions as well as skyrocketing costs of the prescriptions themselves. The costs for these drugs grew by 40%. It is hoped that as centralized pharmaceutical management and procurement procedures are implemented, these costs can be better controlled.

**Data Sources:** DOC expenditures

**Resources:** Approximately 9% of correctional funding resources are directed toward resource management activities.

# KEY RESULT

## STRATEGIC GOALS

**Name:** Investing in the corrections workforce. Operational effectiveness through utilization of best practices. Adequate human resources to maintain delivery of services.

**Why we are doing this:** Deployment of best correctional practices requires that staff be knowledgeable and possess the skills necessary to implement these practices in the manner in which they were intended.

**What we're doing to achieve results:** Correctional staff receives job relevant professional development opportunities through centralized and locally delivered training programs. The Department is committed, to developing the future leaders of the organization to sustain the efforts and improvements that are underway.

### Results

#### Performance Measure:

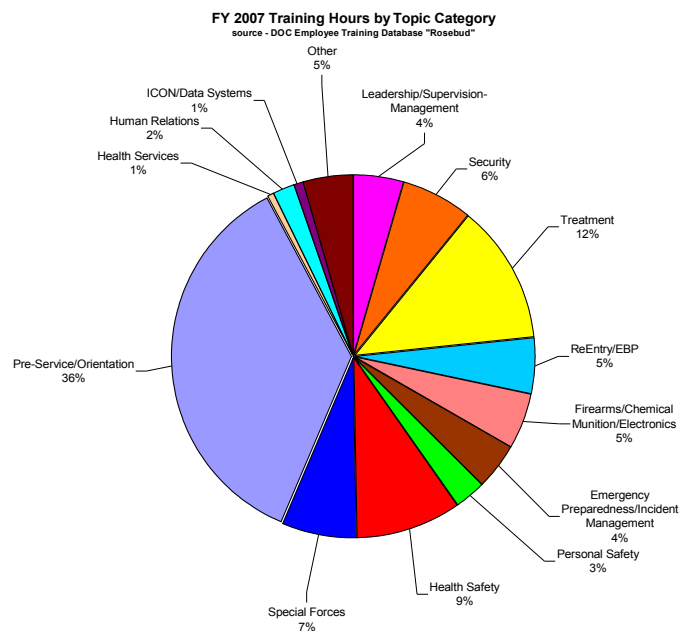
- Staff & Organizational Development

#### Performance Target:

Location specific targets

#### Results.

Staff received training in all major emphasis areas.



**What was achieved:** Strategic initiatives were supported through the investment in the corrections workforce in order to develop and enhance those skill necessary to perform job duties in the most efficient and effective manner possible.

**Data Sources:** Rosebud Training Data Base

**Resources:** These activities are funded by General Fund appropriation \$1,365,056.

<b>Results</b>			
<b>Name of Agency: Iowa Department of Corrections</b>			
<b>Agency Mission: Protect the Public, the Employees, and the Offenders</b>			
<b>Core Function: Offender Supervision, Custody, and Treatment</b>			
<b>Performance Measure (Outcome)</b>	<b>Performance Target</b>	<b>Performance Actual</b>	<b>Performance Comments &amp; Analysis</b>
<b>1. Of offenders who were medium /high risk at time of admission who are convicted for a new aggravated misdemeanor/ felony within 3 years after discharge from system</b>	<b>Baseline</b>	<b>35%</b>	<b>What Occurred: Established baseline utilizing link with Justice Data Warehouse. Comparable rate for all offenders was 16% which indicates assessment instruments assist with predicting future risk. Data Source: ICON and Justice Data Warehouse</b>
<b>2. % of medium to high risk offenders that are receiving evidence based interventions for one, two , three, or four top three criminogenic needs</b>	<b>30%</b>	<b>0</b>	<b>What Occurred: Performance target was not met. The process used to assess whether intervention programs met criteria to classify them as “evidence based” was not completed in the timeframes originally anticipated to allow data computation. Those programs that are not found to be “excellent” of “promising “will be revamped or discontinued. Once program evaluations are finalized, ICON can be used to compare linkages between need and program participation.</b>
<b>3. % of restitution paid by offenders at time of discharge</b>	<b>30%</b>	<b>46%</b>	<b>What Occurred: Met performance target. On average, offenders paid 46% of their obligation prior to discharge with some offenders meeting all obligations. Data Source: ICON and Justice Data Warehouse</b>
<b>4. Number of escapes</b>	<b>0</b>	<b>0</b>	<b>What Occurred: Met performance target. There were no escapes from custody from correctional institutions during the year. Data Source: ICON and Statistical Workbooks</b>
<b>5 .Number of court findings for constitutional rights violations</b>	<b>0</b>	<b>2</b>	<b>What Occurred: Performance target was not met. Litigation challenging DOC’s handling of a case regarding Safe keepers and case regarding Satanic religious services resulted in negative findings. Data Source: Attorney General</b>



6. Number of disturbances/ serious incidents	0	0	What Occurred: Performance target was met. Data Source: Statistical Workbook
7. Number of staff serious injuries	30	35	What Occurred: Performance target was not met. The number of staff serious injuries by inmates exceeded the target. Data Source: Statistical Workbook
8. Rate of return to prison	33%	35%	What Occurred: Performance target was not met. The rate of return to prison increased slightly from the prior year. Data Source: ICON
<b>Service, Product or Activity: Risk Identification</b>			
Performance Measure	Performance Target	Performance Actual	Performance Comments & Analysis
1. % Required validated risk assessment / LSI-R	100%	66%	What Occurred: Performance target was not met. While the level of completions increased, total compliance was not possible. Data Source: ICON
2. % Iowa Risk assessments completed per policy	100%	82%	What Occurred: Performance target was not met. Data Source: ICON
3. % Required custody classifications completed	100%	95%	What Occurred: Performance target was not met. Data Source: ICON
4. Number of offenders assigned / supervised in accordance with risk assessment/ classification instrument	82%	76%	What Occurred: Performance target was not met. Inmates are housed at a security level commensurate with their classification score 76% of the time. The disparity has reinforced concerns that the current classification system needs to be updated to a state of the art model that reflects positive offender adjustment. Revision and revalidation of the instrument will also assess bed space availability to better accommodate the actual offender population. Data Source: ICON
<b>Service, Product or Activity: Risk Management</b>			

Performance Measure	Performance Target	Performance Actual	Performance Comments & Analysis
1. Parole release recommendation / BOP release decisions	Baseline	66%	What Occurred: Baseline was established. Data Source: ICON/ Parole Board
2. % of technical violations resulting in jail/ prison	20%	16.7%	What Occurred: Performance target was exceeded. Using alternative interventions to deal with community offenders who violate the terms of thief supervision assists in limiting the growth of prisons. ICON/ Just ice Data Warehouse
3. Number of community service hours	645,063	615,669	What Occurred: Performance target was not met. Data Source: Statistical Workbooks
4. Rate of inmate suicide	0	0	What Occurred: Performance target was met. Data Source: Statistical Workbooks
5. Number of offender deaths not from natural causes	0	0	What Occurred: Performance target was met. Data Source: Statistical Workbooks
6. Prison population as % of capacity	100%	121%	What Occurred: Performance target was met. The criminal justice system was did not reduce the number of offenders coming into prison however the rate of capacity was held constant. Data Source: ICON
1. Filled CBC FTE as % of calculated workload formula calculated demand	100%	72.40%	What Occurred: Performance target was not met. The criminal justice system continued to utilize community corrections programs as an alternative to incarceration. The capacity of that system was not sufficient to meet the demand. Data Source: ICON
<b>Service, Product or Activity: Risk Reduction</b>			

Performance Measure	Performance Measure	Performance Actual	Performance Comments & Analysis
1. % of medium/ high risk offenders who successfully complete case plan programming for each of their top four criminogenic needs before final release from corrections system	Baseline	No results available	What Occurred: Baseline was not established. The configuration of the ICON Case Plan module to facilitate data collection is not yet complete. It was possible to determine that 55% of offenders completed case plan programming for at least one of their top needs. Data Source : ICON
2. % of offenders who were medium/ high risk at time of admission who's LSI-R gain score shows significant reduction at final discharge from corrections system	Baseline	25%	What Occurred: Baseline was established. Risk reduction for the various components of the system was also determined: Institution = 15%, CBC = 27%. When reduction in Iowa Risk Score was also included (those offenders whose risk does not rise to the level to require an LSI-R assessment) the result was a reduction in 55% of the total corrections population. Data Source : ICON
3. % of required Re entry case plans entered into ICON within 90 days	Baseline	23%	What Occurred: Baseline was established. Data Source: ICON
4. % of medium to high risk offenders who's LSI-R risk score dropped significantly during institution supervision	Baseline	15%	What Occurred: Baseline was established. Data Source: ICON
<b>Name of Agency: Iowa Department of Corrections</b>			
<b>Agency Mission: Protect the Public, the Employees, and the Offenders</b>			
<b>Core Function: Resource Management</b>			

Performance Measure (Outcome)	Performance Target	Performance Actual	Performance Comments & Analysis
1. % Change in dollars spent due to redesign effort	.5%	.4%	What Occurred: Performance target was not met. The dollars generated did not meet the target although realignment of staff resources and raised productivity, if quantified, may account for the additional savings. Future savings are anticipated as projects are completed and fully deployed.
2. % Change in dollars spent due to transformation efforts	.5%	.4%	What Occurred: Performance target was not met. The dollars generated did not meet the target although realignment of staff resources and raised productivity, if quantified, may account for the additional savings. Future savings are anticipated as projects are completed and fully deployed.
<b>Service, Product or Activity: Leadership and Oversight</b>			
Performance Measure	Performance Target	Performance Actual	Performance Comments & Analysis
1. Per diem ( adjusted for inflation by 4%)	Institution \$64.02/ \$66.58 Probation \$2.93/ \$3.05 Residential \$55.93/\$58.17	** Institution \$76.65 Probation \$3.70 Residential \$60.26	What Occurred: Performance Target was not met. The corrections system was unable to hold cost increases to what was anticipated from inflation alone. *** It should be noted that data may not be comparable due to inconsistencies in per diem formulas. These inconsistencies will be corrected in the next year. The following increases are therefore not validated. Increases in staffing, the addition of specialized programming and housing (mental illness, sex offenders, substance abuse) that was needed to address the changing population produced increases in expenditures. Institution costs grew 20%, Probation costs grew 26%, and Residential costs grew 8%. Institution costs were driven by fixed costs primarily in the pharmacy area. Data Source: DOC financial reports
Performance Measure	Performance Target	Performance Actual	Performance Comments & Analysis
<b>Service, Product or Activity: Information Systems and Records</b>			
1. ICON Customer / user satisfaction rating of useful	68%	55%	What Occurred: Performance Target was not met. When surveyed, ICON users relay an overall satisfaction with the ICON system. As the system grows in the number of modules available and the users who are now relying on the system, their satisfaction has been slightly reduced. Most comments were directed toward the timeliness of desired changes, additions etc. which are directly related to the amount of funds/ time available from the contractor who designs and programs such changes. Data Source: ICON Customer Satisfaction Survey

## **Resource Reallocations**

The Department of Corrections continued to explore ways to implement best practices and maximize flexibilities of its Charter Agency status. Transformation projects impacted offender accounting, pharmaceutical distribution, food procurement, waste management, energy procurement, and offender records management resulting in staff realignment, function centralization, and automation. Efforts were taken to scrutinize and redesign the way business was conducted, resulting in corrections agencies that are now doing different things, and in ways that have not been done in the past. Efficiencies produced, resources conserved, or activities found to be ineffective continue to be redesigned or redirected to increase productivity or improve outcomes.

Ever-rising fixed costs driven by operating facilities and programs, twenty-four-seven, with ever increasing offender caseloads taxed human and fiscal resources. Offenders with significant mental health, substance abuse, and chronic health care needs demand resources outside those historically associated with a corrections population. Fixed costs such as pharmaceuticals exceeded budgeted expenditures, sometimes absorbing funds identified for the personnel necessary for offender supervision and constitutionally compliant operation of facilities and programs.

## **Agency Contact Information**

Copies of the Iowa Department of Corrections Performance Report are available on the DOC Web site at [www.doc.state.ia.us](http://www.doc.state.ia.us).

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