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IOWA DEPARTMENT OF CORRECTIONS

***STRATEGIC PLAN
AND PERFORMANCE PLAN***



June 15, 2003

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PREFACE TO THE STRATEGIC PLAN



Faced with declining revenue, state policymakers reduced the correctional services for judicial districts and institutions in both FY '02 and FY '03. At the same time, prison demand and community service requirements are at historical highs. The Iowa correctional system must operate safe institutions and within reasonable caseloads to meet growing prison and community supervision demand.

Most businesses facing operating revenue losses would reduce inventory, adjust production or otherwise reduce services. Yet efforts to balance correctional services with what Iowa citizens can afford remains an insurmountable policy problem. As a result, critical funding for education, children's welfare services and health must be invested in offenders.

Following federal district court hearings beginning in 1997, the Eighth Circuit Court of Appeals ended the debate with the State of Iowa and reaffirmed the Department of Corrections' plan to improve mental health services in the correctional system. In the 2002 legislative session, policymakers funded the plan to expand inpatient psychiatric care by 170 beds at the Iowa Medical and Classification Center to complement the 200 bed Special Needs Unit at the Iowa State Penitentiary with services from the University of Iowa Hospitals and Clinics.

In preparation for further federal court hearings, the University of Iowa Medical School's Department of Psychiatry and Iowa Department of Public Health examined current services for inmates with psychiatric diagnoses. Without including mentally retarded inmates and inmates with personality disorders, their findings confirm that 18% of Iowa inmates require on-going psychiatric care at some level. Yet without revenue, the legislatively approved plan to provide services at the Iowa Medical and Classification Center and the Iowa State Penitentiary faces further delays.

Like many states, the Iowa correctional system is struggling to find a way to balance demand with available funding. If lower risk offenders can move to community based correctional services and return to legitimate jobs, correctional system costs can be reduced. For the last ten years, the Criminal and Juvenile Justice Planning Division tracked how long Class C and D non-person offenders serve in prison.

Iowa sentences make no distinction between people and property with the exception of mandatory drug sentences. A D-felony theft receives the same 5-year sentence as a D-felony assault. A shorter sentence for non-person crimes and a longer sentence for crimes against persons would help communities punish offenders for the harm they commit. Crimes against persons are usually considered more serious than property crimes. This view is reflected in Parole Board release practices and in risk assessment instruments used to assess release and supervision criteria.

The 10-year CJJP study finds that non-person Class C offenders spend only half the time in prison compared to a person offender, yet receive the same 10-year term. Notably, Class C offenders (person) now spend an average of 51 months in prison compared to 30 months in 1993; non-person C offenders serve 24 months, 8 months more than in 1993. Class D non-person offenders serve approximately 7 fewer months than person offenders, yet both receive the same maximum 5-year sentence. Actual length of term data offers a responsible way to reduce prison costs.

Length of Stay

The length of time each inmate spends in prison impacts the size of the prison population. As the CJJP data shows, length of stay (LOS) increased significantly during the past decade.

Inmate Average Length Of Stay (In Months)									
	1991	1996	1997	1998	1999	2000	2001	% Change 1991- 2001	% Change 2000- 2001
<i>New Admissions:</i>									
*No Parole - Murder-2nd	136	190	510	510	510	510	510	275%	0%
*No Parole - Other Class B	67	85	255	255	255	255	255	281%	0%
*No Parole - Class C	31	37	102	102	102	102	102	229%	0%
*No Parole - Habitual Class C	33	47	153	153	153	153	153	364%	0%
*No Parole - Sex Predators	27	34	212	212	212	212	212	685%	0%
B Felony	67	85	103	88	105	81	87	30%	7%
C Persons	31	37	41	45	46	50	51	65%	2%
C Non-Persons	17	25	25	24	24	24	24	41%	0%
D Persons	17	22	22	20	22	24	25	47%	4%
D Non-Persons	10	14	14	16	16	16	15	50%	-6%
Other Felony	33	47	43	52	57	47	44	33%	-6%
Agg Misd Persons	9	9	11	10	11	11	10	11%	-9%
Agg Misd Non-Persons	7	9	8	9	9	9	9	29%	0%
Serious Misd	6	9	8	9	6	8	8	33%	0%
Drunk Driving Initial Stay	2	2	3	3	4	3	2	0%	-33%
<i>Readmissions:</i>									
B Felony	25	24	28	36	63	30	27	8%	-10%
C Felony	17	18	21	22	22	19	18	6%	-5%
D Felony	9	11	12	12	12	13	11	22%	-15%
Other Felony	24	32	35	38	33	24	20	-17%	-17%
All Misdemeanors	7	7	9	6	9	9	7	0%	-22%
Violator Placement	--	2	2	2	2	4	5	NA	25%

Source: Adult Corrections Information System, compiled by CJJP

The compelling CJJP analysis supports the Department's plan to increase community correctional services and adjust prison costs to budgeted levels.

According to the Wall Street Journal and a recent public opinion poll, many states have changed sentencing policy to reflect the new financial realities. As Iowa's revenues remain at unprecedented lows, policymakers may find the length of stay data provides a useful guidance for Iowa's sentencing policy. Without policy change and with revenues at historical lows, correctional budgets will continue to erode budgetary needs in schools, child welfare, health, and public safety.

The Department's Strategic Plan seeks legislative support to move the state of Iowa toward safer communities and balanced sentencing policy based on actual practice during the last ten years.

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

GUIDING PRINCIPLES OF THE DEPARTMENT

Leadership Core Values: Opportunity, Responsibility and Communities

1. **Respect-** We value every individual and recognize the need for respect and fairness:
 - Individual and collective integrity
 - Individual differences without being divisive
2. **Ability to grow and change-** We are committed to providing firm, fair and consistent supervision and programming that will encourage offenders to change, and believe in work as the road to law-abiding behavior.
3. **Community and Restorative Justice-** We believe in restoring individual and community relationships.
4. **Accurate Information and Efficient Use of Tax Supported Resources-**We support sharing of accurate information and providing quality and consistent services. We are committed to the personal/professional growth of our staff.
5. **Leadership through Partnership-** We are committed to teamwork, resourcefulness, and results-oriented approaches to achieve sound correctional practices.
6. **Public Awareness-**We are committed to promoting public awareness and sound public policy by encouraging and facilitating contributions to the overall well-being of Iowa communities.

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

- **Offender risk management and risk reduction to reduce crime and increase public and staff safety**
- **Offenders pay debt to victim and society**
- **Offender Accountability**
- **Constitutional system**

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

- 1. Offender Classification and Assessment (Risk/Needs Identification)** The systematic gathering, recording and communication of information regarding the level of risk to public safety posed by individual offenders is an essential core function. The need for accurate assessment of offender risk to the public, and corresponding appropriate placement to manage that risk must be accomplished whether an offender is committed to community supervision or incarceration. Using assessment instruments of documented reliability (such as the Level of Service Inventory-Revised) permits staff to assign individual offenders to the appropriate level of supervision or custody. This prevents offenders from being “under supervised”, which can pose a threat to public safety, or “over supervised” which can result in excessive costs for supervision and custody than is needed. Accurately determining the specific risk/need level also permits assignment of offenders to settings providing interventions appropriate to their individual criminogenic needs.
- 2. Offender Supervision (Supervision and Custody).** The Department of Corrections provides the actual day-to-day management of offenders in appropriate settings, either Institutional or Community Supervision. This includes the establishment of expectations

and prohibitions for each offender and monitoring individual compliance with those expectations. It also involves applications of sanctions that modify of the level of supervision in those cases in which offenders are failing to comply with expectations. Parole Officers must be acutely aware of the behavior and attitudes of each individual offender. Providing effective supervision and custody services in a consistent fashion is fundamental to fulfilling the department's mission of protecting Iowa communities from criminal harm.

3. **Offender Programming and Accountability (Risk Reduction - Criminality Issues/Treatment/Education and Work).** The Department places offenders in programs intended to hold them accountable for their prior criminal behavior and reduce the likelihood of an offender becoming involved in future criminal behavior. The Department uses research-based strategies to address the principal factors associated with past criminal behavior, promote the development of positive, pro-social skills, and restructure attitudes to reduce future risk to the community. These activities also focus on offender restitution and restorative justice concepts that emphasize offender accountability for past behavior and past harm to the community

4. **Basic Life Care (Basic Needs/Medical).** The Department must provide the basic housing, dietary, physical, medical and other services required to maintain supervision and custody of offenders in 24-hour settings such as correctional institutions and community-based residential facilities. In addition, offenders under field supervision have housing and subsistence issues that supervising staff must be aware of in order to accomplish proper intervention and monitoring of offender activity and compliance with the conditions of supervision. In all confinement facilities-jails as well as prisons and community residential facilities- there are certain constitutional requirements which must be met, especially in such areas as life safety, general conditions of confinement, overcrowding, health care, personal safety, and access to programs. Meeting these constitutional requirements is not optional. It must be done regardless of workload and cost and is in addition to the demands outlined in the other departmental activities. Since correctional facilities require many months to plan and build, and are very expensive to construct and operate, considerable long-term planning is required to accommodate needs while remaining fiscally responsible.

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

- **Ensure adequate resources to maintain infrastructure and delivery of services.**
- **A system that is fiscally responsible.**
- **Ensure adequate staffing resources.**
- **A system that is responsive to stakeholders and the public.**
- **A system that uses information technology effectively to ensure complete, accurate, and accessible information.**

The Resource Management core function and desired outcomes are accomplished through the following activities: Leadership, Fiscal Resources and Management, Human Resources, Intergovernmental and Stakeholder Relationships, Employee Development, and Information Systems and Records.

The Department must provide the support, personnel, fiscal, staff development, information, and coordination of services to enable each of the activities in the Offender Supervision and Custody and Treatment Core Function to be accomplished in the most efficient and effective manner possible. It is critical that individual units operate in a coordinated fashion to meet the Department's many demands. The Department provides information to stakeholders and the public regarding the Department's operations. That interaction is the function that incorporates public and stakeholder needs into the Department's activities and operations. This activity includes development of the annual budget, strategic planning, and strategic management on an ongoing basis.

1. **Leadership and Oversight** The act of guiding institutions, Districts and the Department toward the Vision, Mission and Goals so that Performance Measures and Targets can be met. This requires balancing the interests of stakeholders, including the Court System and the State Legislature, with victims and employees, with the constitutional rights of offenders. It requires making day-to-day decisions that deploy the global mandates and policies to the level of the individual employee or offender. Finally, it requires determining the broad scope of how resources will be spread across the enterprise and carefully monitoring their use.

2. **Fiscal Resources and Management** Decisions must be made about where the Department's monetary and human resources will be applied in order to make the best use of a limited commodity, and changing circumstances frequently necessitate adjustment of plans. These decisions must be based on sound predictions and budget plans, as well as on an understanding of how events in the wider world can affect our financial well-being. For example, events half way around the world had a disastrous impact on the price institutions paid for heating oil in recent years. The Department's ability to accurately evaluate the cost of services we provide and the cost of providing a constitutional and humane environment for staff and offenders is key to discussions with leaders in the Executive and Legislative branches.
3. **Human Resources** This activity provides the basic service of compensation and benefits for all staff. Human Resources must be responsive to staff concerns, must provide complete and accurate information and services, and must address issues that relate to the broader working environment as well as compensation and benefits. The performance management system supports the need to create a customer-serving, motivated, accountable, reliable, creative, and dedicated workforce. This is essential for the Department to retain their valued knowledge and skills and "grow" a cadre of learned professionals that will move us toward our vision with assurance and skill.
4. **Intergovernmental and Stakeholder Relationships** One of the key functions of any state agency is coordination and collaboration with other state, local, and federal agencies, and collaboration and responsiveness to the demands of the public. Accomplishing this purpose requires constant interaction and communication with many entities, including county sheriff's, the Attorney General, the Parole Board, Public Safety, the Legislature, the Governor's Office, victims' groups, the media, and many more. Assuring that the Department is working in collaboration with other public purposes, and is remaining aware of public needs, is central to effective accomplishment of our mission.
5. **Information Systems and Records** The Department's reliance on accurate, easily retrievable records has increased dramatically. The need to provide prompt, accurate information not only affects our relationship with the courts and others in the criminal justice system, but also affects our interactions with many customers and those who make decisions about operations through legislation or appropriation. As staff numbers decrease, the need to rely on automated information production increases, and the Department's need to assure that information is reliable, dependable, and complete becomes critical.

The activities in the Resource Management Core Function are essential to providing the correctional services Iowans want and need. Without adequate attention to any of these Activities, the Department would be unable to fulfill its mission of cost-effectively protecting the public and reducing crime.

DEPARTMENTAL ASSESSMENT

The Department of Corrections is an administrative agency of the executive branch of state government charged with the responsibility of housing and providing services to change convicted adult offenders who are sentenced by the state Courts to law-abiding citizens following supervision. The Department coordinates services to the state's eight District Departments of Correctional Services (Community Based Corrections).

The Department is a key component of the "safe communities" element of state government. Its activities and operations influence the general public perception of "community safety". In turn, general public attitudes toward broad social issues such as crime prevention, safe streets, and drug control policy impact Department activities and operations reflect the performance of the Department of Corrections.

Legislative and executive decisions influence the Department's mission and purpose. Public policy toward criminal behaviors often vacillates between incapacitation, retribution, and rehabilitation. Competing ideological and political interests frequently impact the Department and its staff. In some years, including 2002 and perhaps for the next several years, state budget reductions require rapid and significant alteration of strategic plans. At the same time, the Department must adapt to provide constitutionally required services to all offenders.

The agency, its institutions, and community corrections are extensively regulated and scrutinized. In addition to the health and safety areas inherent in institutional operations, there is also extensive oversight by other government agencies (e.g. – State Auditor, Department of Management, Ombudsman's Office, Department of Personnel), the judiciary (both state and federal), and the Legislature. The Department is also subject to a Board of Corrections appointed by the Governor, which establishes departmental operating policies and administrative rules.

These purposes must be accomplished even though the Department has no control over its population level. The Court determines the number of offenders sentenced for new crimes, and the Parole Board determines the number granted release. The Department is a workload-driven organization. Constitutionally required services must be provided to all offenders regardless of overcrowding, staffing levels, or budget shortfalls. This task has been made more difficult because of the continued influx of large numbers of offenders into the system and reduced staffing as a result of recent budget reductions.

The Department has identified a number of "customers" or constituencies, including judges and county attorneys who represent the general public. Their decisions reflect concern for removal of dangerous offenders from the community. More specifically, victims are direct "customers", to which the Department devotes increasing attention. The Department regards other law enforcement agencies and the court system as both customers and partners. The Department must also regard offenders as customers, particularly in regard to their health and safety. Traditionally, the primary public demand on corrections has been either incapacitation of

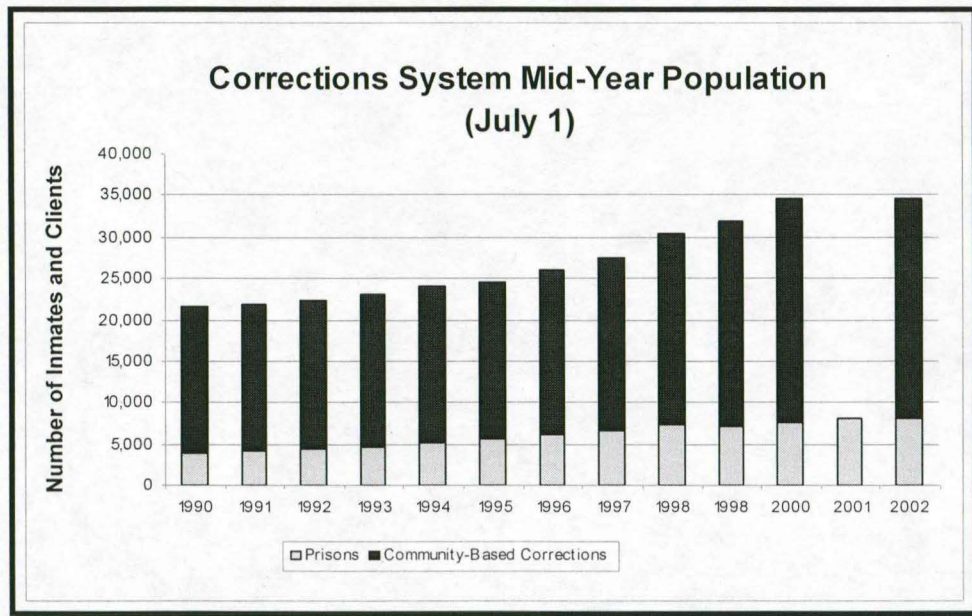
offenders or retribution. However, there is an emerging and increasing demand from many constituencies that Corrections demonstrate that offender interventions reduce recidivism. Investments in treatment must relate these to cost-effective expenditure of public funds.

Traditional partnering relationships in the Department have focused on state and local government agencies directly involved in the criminal justice process and those private vendors supplying goods and services to support institutional operations. The Department continuously partners with national professional correctional organizations and the U.S. Department of Justice on grants, information exchange and resource sharing to assure that national standards and trends are incorporated into Iowa's system. New partnering relationships with human service agencies share services for special need offenders (disabled, elderly, mentally ill). Victim advocacy groups, and private industry employing offenders, and private treatment groups contracting to provide program services in the institutions further refine the corrections mission.

The Iowa corrections system has four parts – Administration, Prisons, Community-Based Corrections (CBC), and Iowa Prison Industries.

Administration

Administration has responsibilities for statewide operations, planning, policy development, program monitoring, training, and budgeting. Medical and classification staff perform system-wide administrative functions. Regional Deputy Directors are located in eastern and western Iowa to work with institutions and judicial districts in each region. Prisons are responsible for incarcerating higher-risk individuals and providing the offenders with services essential to reducing risk to the general public upon release or parole. Community-Based Corrections provide supervision and transitional treatment for probationers, work release clients, operating while intoxicated (OWI) offenders, and parolees in eight judicial districts. Community-Based Corrections provide both residential and community supervision. The chart shows the distribution of prison inmates and CBC clients between 1990 and 2002, as of July 1st of each year.



Prisons

Nine major prison facilities are designed to support 6,772 general population offenders and 511 medical and segregation beds. Each institution is a self-contained community, providing housing, health services, food, laundry, education, recreation, and other services needed by incarcerated offenders. The following table shows the distribution of institution beds and the current institution, work release and OWI facility populations.

Institution	Current Count As of 2/21/03	Capacity	Med/Seg
Anamosa	1259	913	102
Luster Heights	53	71	
Clarinda	889	750	24
Fort Dodge	1204	1162	51
Violators	63	0	
Fort Madison	563	549	48
JBCC	173	152	
MCU	7	0	10
CCU	25	40	
Farm 1	83	80	
Farm 3	93	100	
Mitchellville-Inmates	526	443	54
Violators	28	0	32
Mount Pleasant	918	775	18
Women's Unit	97	100	2
Newton-Medium	847	762	49
Minimum	217	166	6
Violators	79	0	74
Oakdale-Males	783	474	8
Females	63	30	
Patients	16	0	23
Rockwell City	501	245	10
INSTITUTIONAL TOTALS	8487	6812	511
<i>% overcrowded by</i>	25%		
Work Release	417		
OWI	261		
CUSSO/SVP	54		
Safekeepers (County)	0		
FINAL TOTAL	9303		

Community-Based Corrections (CBC)

The CBC system provides community supervision to probation and work release offenders returning to Iowa communities. Chapter 901B, Code of Iowa, requires each judicial district to work through the Chief Judge to develop a “continuum of sanctions”. The District Department’s ability to supervise offenders within the continuum depends on responsible caseloads, an adequate number of probation and parole officers to manage those cases, and community-based treatment resources.

Residential facilities provide a structured setting for 1,404 transitional offenders. Probationers or parolees reside in the community under the supervision of the CBC District Department and participate in substance abuse, sex offender, and criminal thinking (cognitive) treatment, as well as maintain employment in the community. The CBC continuum provides supervision ranging from low-risk supervision to residential supervision where the clients live in a structured residential facility. Between those extremes fall intensive supervision (with and without electronic monitoring) and regular probation and parole. The supervision level is matched to the offender’s level of self-control and ability to conform to program and supervision requirements. As the client improves, he/she is moved to a less intense level of the supervision.

Section 905.7, Code of Iowa, requires the DOC to set standards and provide assistance to each of the eight CBC District Departments. DOC standards for CBC programs include caseload levels, budget oversight, affirmative action goals, program guidelines, and development of performance measures.

Each CBC District Department contracts annually with the DOC to provide pre- and post-institutional services. Each CBC District Director reports to a board of directors. Over the years, the legislature authorized programs to support a continuum of sanctions pursuant to Chapter 901B, Code of Iowa. These programs allow CBC officers to modify the client’s behavior so he/she can live in the community as a law-abiding citizen. The major programs with definable outcomes are:

- Treatment Alternatives to Street Crime (TASC) Program
- Day Programming
- Drug Court
- Youthful Offender Program
- Domestic Abuse Batterers Program
- Sex Offender Program, including a hormonal intervention therapy option
- Community Work Crew Program
- Violator Program
- Community Service Sentencing
- Pre-trial services
- Residential facilities
- Probation/Parole Supervision
- Intensive Supervision

Residential facilities are administered under Community-Based Corrections. With the opening of the 36-bed addition in Dubuque, the CBC District Departments had 1,404 residential beds on July 1, 2001. The DOC and CBC District Directors agreed to reallocate facility space to accommodate 300 additional offenders during FY 2000. These beds are used for probationers

needing the highest level of community supervision, for inmates leaving prison on work release, and for OWI treatment programming. The District Departments reallocate beds among these programs as program demand changes. CBC residential facility beds expanded by 388 since FY 1991, an increase of 38.2%. The Council Bluffs facility is the most recent project, however, the opening date for this new facility has been delayed to July, 2003 due to budget restrictions.

The Judicial District Departments have responsibility for more than three-fourths of the offenders under correctional supervision in Iowa. In 1990, CBC supervised 82.2% of the offenders under community supervision, but by 2001, the percentage declined to 76.7%.

Iowa Prison Industries

Iowa Prison Industries oversees prison work including: traditional Industries' programs, private sector employment, and the prison farms and operates without General Fund support. It must generate operating capital to remain in business and expand work opportunities for inmates. Iowa Prison Industries employs 500 inmates a month, on the average, in traditional programs. Inmates compete for these jobs, work 40 hours per week and are eligible for overtime and bonuses.

Private sector Iowa Prison Industries manages a number of work sites in compliance with federal law. Workforce Development establishes the prevailing wage that inmates must be paid by employers. Space is limited and Iowa Prison Industries has no funding available to construct buildings. Private sector employment is available at the following locations: Clarinda, Fort Dodge, Mitchellville, Mount Pleasant, Newton, and Rockwell City.

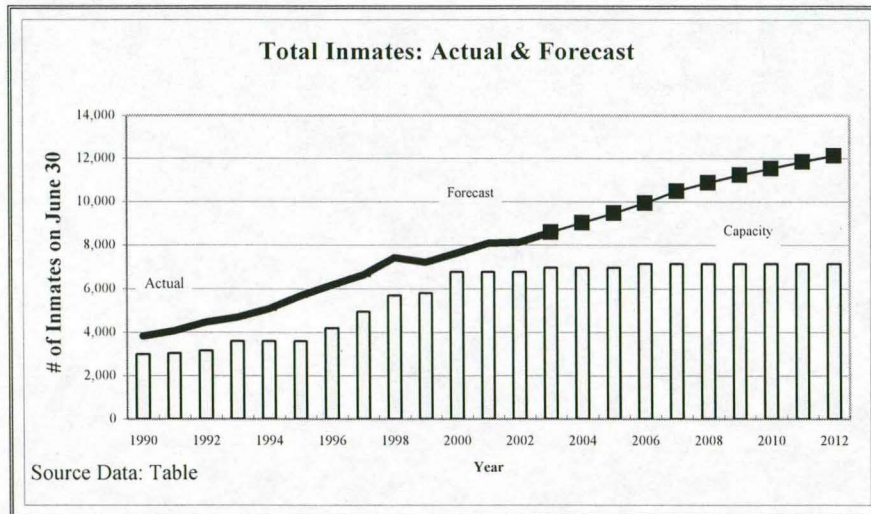
On June 30, 2001, there were 12 companies (down from 16) that employed 153 inmates in private sector jobs. The inmates earned a total of \$2.1 million in FY 2002, distributed as follows:

- General Fund: \$705,872
- Inmate savings accounts: \$417,059
- Victim Compensation: \$107,411
- Restitution: \$219,119
- Family and child support: \$182,278
- Taxes: \$490,726

Iowa Prison Industries manages farms at Anamosa, Eldora, Fort Madison, Glenwood, Newton, Clarinda, Independence, Mitchellville, Rockwell City, and Woodward. There are 3,587.8 acres with 1,714.2 crop acres (47.7%) in operation. The remaining 1,873.6 acres (52.2%) are leased. The prison farms are self-funded and operate without General Fund support and must generate operating capital to remain in operation. The farms' financial statements are reported on a calendar year basis. In calendar year 2001, Iowa Prison Industries achieved a positive balance of \$167,281 in this Farm Fund with 153 inmates employed in farm operations. Iowa Prison Industries intends to double farm production, thereby employing more inmates, by FY 2003.

Prison Population

Between 1990 and February, 2003, the prison population increased **225%** from 3,842 to 8,116 inmates. Over the same time period, the CBC offender population grew by 50% from 17,716 to 26,670 clients, an increase of 8,954.



Corrections Staff

Historically, the prison system employed three-fourths of the corrections system staff. In FY 1990, the prisons employed 70.1% of the correctional system staff, and by FY 2002, the percentage had increased to 73% of the total corrections system staff. In FY 1990, the prisons employed 1,693.4 FTE positions. By FY 2002, the number of prison employees increased by 1,311 (78%) to a total of 3,004. During the same time period, CBC staffing increased from 679 FTE positions to 1,058 FTE's, an increase of 379 (56%) FTE positions. The Central Office had 42.1 FTE positions in FY 1990, but by the start of FY 2002, it had only 35.5 FTE positions, a decrease of 6.6 (16%).

The majority of the Department's institutional staff consists of custody personnel, responsible for maintaining safety and security. CBC personnel are primarily either residential custody and supervision staff, or probation and parole officers. These staff, and most other non-managerial and non-professional staff in the institutions are under a statewide collective bargaining contract. Labor relationships have generally been positive. While minimum qualifications only require a high school education for custody personnel, many have additional education. Professional staff, such as counselors, probation and parole officers, related social service personnel, and administrative staff, are primarily college educated and some have professional degrees. Health Services personnel have appropriate professional degrees and licensure.

Continuum of Sanctions

Iowa law (901B, Code of Iowa) requires the corrections system to operate a continuum of sanctions. These include: A) non-community based sanctions; B) probation and parole; C) quasi-incarceration; D) short-term incarceration; E) incarceration. Iowa's nine prisons control those offenders who cannot be safely managed in community settings. Prisons provide housing; dietary services; medical, mental health and substance abuse treatment; education and job skills training; behavioral and psychological treatment; and physical activities for higher risk offenders.

GOALS OF THE DEPARTMENT

1. Restore the balance between workload and resources by either reducing prison and CBC population/caseloads or obtaining increased staff and infrastructure resources.
2. Restore the Department's capacity to meet offender risk reduction demand by obtaining additional program resources in education, health services, substance abuse, mental health, victim impact, sex offender treatment, domestic violence, vocational programming and criminality reduction.
3. Continue efforts to maximize efficient use of resources and continually improve the quality and effectiveness of departmental activities and services through internal auditing (CPAI, Accreditation) and external evaluation (AGA, IEI).

ACTIVITIES, SERVICES, PRODUCTS & OUTCOME MEASURES

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.

Activity - Offender Classification & Assessment

Improve corrections population management. This goal requires that adequate resources are available throughout the system to properly assess individual offenders and assign them to appropriate supervision and custody settings. The goal places offenders based on risk to accomplish public safety while minimizing the overall cost to the public of the corrections system. This goal also includes providing information to the public and stakeholders to assist in their review of current sentencing practices.

Outcome Measure: Percent of offenders are supervised at a level commensurate with risk assessment.

Activity - Offender Supervision & Custody

Restore essential level of safety and control to community supervision and prison management. This goal relates to the need to address the serious shortage of staff and other resources to provide effective levels of monitoring and control of current populations.

Outcome Measure: Number of critical incidents (assaults, escapes, offender violence, etc.)

Activity - Offender Programming & Accountability

Provide appropriate intervention strategies consistent with offender risks and needs to assure accountability and risk reduction. This goal encompasses a wide range of programs and services designed to hold offenders accountable for their criminal behavior and improve the potential to become a law-abiding citizen. Programs that ensure offender performance are work, education, substance abuse treatment, criminal thinking, sex offender treatment and a number of others. In recent years research has confirmed that these interventions do reduce future criminal behavior and are cost-effective.

Outcome Measure: Offenders meet court-ordered obligations

Outcome Measure: Percent of offenders who receive appropriate, research-based intervention strategies.

Activity - Basic Life Care

Provide constitutionally appropriate housing and subsistence services to committed offenders. This goal seeks appropriate facilities and services to provide housing and other basic needs of incarcerated and residential offenders. Appropriate services may require specialized services for the elderly, medically needy, mentally ill, and other special populations that are occupying the corrections system at a significantly increasing rate.

Outcome Measure: No instances of deliberate indifference, cruel and unusual punishment, or lack of due process.

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.

Activity – Leadership and Oversight

The act of guiding institutions, Districts and the Department toward the Vision, Mission and Goals so that Performance Measures and Targets can be met.

Outcome Measure: Adjust resource utilization in reasonable alignment with essential infrastructure and program needs.

Activity - Fiscal Resources and Management

The process of making decisions about applying the Department’s monetary and human resources to make the best use of a limited commodity.

Outcome Measure: Cost effective use of support monies.

Activity – Human Resources

Human Resources supports the process of creating a workforce that is customer oriented, motivated, accountable, reliable, creative and dedicated, in order to retain and grow a cadre of learned corrections professionals.

Outcome Measure: Develop and retain a diverse, well-trained, professional workforce.

Activity – Intergovernmental and Stakeholder Relationships

Coordination and collaboration with other state, local, and federal agencies, and collaboration and responsiveness to the demands of the public.

Outcome Measure: Facilitate correctional policy discussions/decisions.

Activity – Information Systems and Records

Prompt, accurate information is a cornerstone of a positive relationship with the courts and others in the criminal justice system, as well as with customers and key decision makers.

Outcome Measure: Improved/standardized system and practices.

AGENCY PERFORMANCE PLAN FY 2004

Name of Agency: Iowa Department of Corrections			
Agency Mission: The mission of the Department of Corrections is to: Protect the Public, the Employees, and the Offenders.			
Core Function	Outcome Measure(s)	Outcome Target	Link to Strategic Plan Goal(s)
CF: Offender Supervision and Custody & Treatment			
Desired Outcome(s):			
<ul style="list-style-type: none"> ▪ Offender risk management and risk reduction to reduce crime and increase public and staff safety. 	<ul style="list-style-type: none"> ▪ Percent of offenders are supervised at a level commensurate with risk assessment. ▪ Number of critical incidents (assaults, escapes, offender violence, etc.) 	<p>90% of offenders supervised at level commensurate with risk.</p> <p>No increase in number of critical incidents over previous year.</p>	<p>Goal #1</p> <p>Goal #2</p>
<ul style="list-style-type: none"> ▪ Offenders pay debt to victim and society 	<ul style="list-style-type: none"> ▪ Offenders meet court-ordered obligations. 	<p>100% of offenders have restitution plans.</p>	<p>Goal #3</p>
<ul style="list-style-type: none"> ▪ Offender accountability 	<ul style="list-style-type: none"> ▪ Percent of offenders who receive appropriate, research-based, intervention strategies. 	<p>75% of offenders receive appropriate interventions.</p>	<p>Goal #3</p>
<ul style="list-style-type: none"> ▪ Constitutional system 	<ul style="list-style-type: none"> ▪ No instances of deliberate indifference, cruel and unusual punishment, or lack of due process. 	<p>No instances of courts finding DOC in violation of constitutional requirements.</p>	<p>Goal #4</p>

AGENCY PERFORMANCE PLAN FY 2004

Iowa Department of Corrections - Offender Supervision and Custody & Treatment Core Function

Activities, Services, Products	Performance Measures	Performance Target(s)	Strategies/Recommended Actions
1. Classification and Assessment Org# 238-4006; 244-1105; {(242-249: 1101, 1109, 1220, 1310, 1338, 1342, 1346, 1347, 1348, 1349, 1353, 1355, 1368, 1389, 1474, 1475) (252-1101, 1109, 1220, 1310, 1342, 1346, 1347, 1348, 1349, 1353, 1355, 1368, 1389, 1474)} {221-228: 1120, 1130, 1140, 1160, 1170, 1180, 1200, 1210, 1220, 1230, 1240, 1250, 1260, 1270, 1290, 1310, 1320}			
A. Offender assessment	Level of Service Inventory-Revised (LSI-R) Assessments completed annually on percent of offenders.	LSIs completed on 90% of eligible offenders receiving correctional services.	Continue present use of LSI with CBC and institutional admissions.
B. Offender Placement	Percent of offenders assigned to custody, supervision and programs consistent with assessment (LSI) and case plan.	Program assignment consistent with needs assessment in 90% of case plans if space available.	Monitor program placement and waiting lists; assure that program placement is timely with regard to projected release.
2. Supervision & Custody Org# 238-4006, {(242-249: 1101, 1207, 1220, 1226, 1231, 1338, 1347, 1474, 1475) (252-1101, 1207, 1220, 1226, 1231, 1347, 1474)} {221-228: 1160, 1170, 1180}	Percent of offenders supervised at the lowest level, consistent with classification and risk assessment. Number of staff-initiated recommendations for release to Parole Board.	90% of offenders will be supervised at the lowest level for their custody classification. Increase of 5% over FY '03 recommendations	Offender Services Office monitor custody classification and assignment. Offender Services Office will encourage and monitor paroles.
A Pretrial supervision	Rate of offenders being released from prison by expiration of sentence.	Growth rate is no more than 5% per year.	Add item to current statistical workbook; assure that ICON can track this.
B Probation supervision			
C Residential supervision	Rate of probation technical violations that result in institutionalization.	Reduce by 5% over FY '03 reinstitutionalizations.	Assure that ICON can generate report on this; provide monthly report to Deputy Directors.
D Institution custody & supervision			
E Parole supervision			
F Work Release Supervision			

AGENCY PERFORMANCE PLAN FY 2004

Iowa Department of Corrections - Offender Supervision and Custody & Treatment Core Function

Activities, Services, Products	Performance Measures	Performance Target(s)	Strategies/Recommended Actions
<p>3. Programming/Offender Accountability Org# {(242-249: 1310, 1314, 1338, 1341, 1347, 1353, 1368, 1371, 1389, 1474, 1475) (252-1310, 1314, 1341, 1347, 1353, 1368, 1371, 1389, 1474)} {221-228: 1120, 1130, 1140, 1150, 1160, 1170, 1180, 1200, 1210, 1220, 1230, 1240, 1250, 1260, 1270, 1280, 1290, 1300, 1310, 1320, 1330}</p> <p>A Cognitive Skills B Vocational Training C Substance Abuse D Education E Special Needs F Mental Health G Batterers Education H Sex Offender Treatment I Victim Empathy J Reintegration K Restitution L Pay for Stay M Religious Activities N Recreation O Family Programs P Work Programs/Prison Industries Q Visiting</p>	<p>Percent of offenders' program assignment that identifies criminogenic need.</p> <p>Percent of offender case plans that identify measurable treatment goals and outcomes.</p> <p>Rate of revocations for offenders participating in federally funded Re-entry Program (5th District).</p> <p>The usage rate of "behavior correction alternatives" to Class I Disciplinary reports for offenders in the Clinical Care Unit.</p>	<p>90% of all offenders are in programs that target their identified need.</p> <p>Case plan audits find 75% of case plans include measurable treatment goals and outcomes.</p> <p>Reduction of 5% in rate of revocations for Re-Entry program participants when compared with system average.</p> <p>Number of documented alternative actions increased by 5% (actual reduction of disciplinary reports vs. prior to CCU).</p>	<p>Monitor waiting lists to determine offenders not participating in needed programs.</p> <p>CBC Accreditation process will evaluate and report findings.</p> <p>ICON will generate a report.</p> <p>Assemble data on prior actions against CCU admissions; assure ICON can generate report. Provide quarterly to Deputy Director.</p>

AGENCY PERFORMANCE PLAN

FY 2004

Iowa Department of Corrections - Offender Supervision and Custody & Treatment Core Function

Activities, Services, Products	Performance Measures	Performance Target(s)	Strategies/Recommended Actions
<p>4. Basic Life Care Org# {(242-249: 1220, 1226, 1231, 1338, 1346, 1347, 1348, 1349, 1355, 1356, 1357, 1474, 1475, RM01, RM02) (252-1220, 1226, 1231, 1346, 1347, 1348, 1349, 1355, 1356, 1357, 1474, RM01, RM02)} {221-228: 1160, 1170, 1180}</p>	<p>Level of facilities' compliance with standards of care and safety, constitutional requirements and standards, and state and local mandates.</p> <p>Rate of preventable accident, injury, and death for staff and offenders related to life safety issues.</p>	<p>No adverse findings of offender lawsuits or grievances related to life/safety conditions of confinement standards that are not corrected in 90 days.</p> <p>No increase in rate of preventable accidents, injuries, or deaths.</p>	<p>Deputy Directors will monitor facility compliance with Life Safety inspection findings (Fire Marshall, Health Department, etc.)</p> <p>Continue DOC "Death Reviews" when there is an offender death in prison.</p>
<p>A Food Services</p>			
<p>B Health Services</p>			
<p>C Safety, Environmental, and Support Services</p>			
<p>D. Physical Plant</p>			

AGENCY PERFORMANCE PLAN FY 2004

Name of Agency: Iowa Department of Corrections			
Agency Mission: The mission of the Department of Corrections is to: Protect the Public, the Employees, and the Offenders			
Core Function	Outcome Measure(s)	Outcome Target	Link to Strategic Plan Goal(s)
CF: Resource Management			
Desired Outcome(s):			
Ensure adequate resources to maintain infrastructure and delivery of services.	Adjust resource utilization in reasonable alignment with essential infrastructure and program needs.	No emergency reallocation of funds other than for events beyond our control.	Goal #4
A system that is fiscally responsible.	Cost effective use of support monies.	Evaluate one budget line item per year among all institutions for cost effectiveness.	Goal #5
Ensure adequate staffing resources.	Develop and retain diverse, well-trained, professional workforce.	Staff turnover will be no higher than for the State's workforce.	Goal #2
A system that is responsive to stakeholders and the public.	Facilitate correctional policy discussions/decisions.	Conduct ten functions/events to discuss DOC policy with stakeholders.	Goal #5
A system that uses information technology effectively to ensure complete, accurate, and accessible information.	Improved/standardized system and practices.	Completion of statewide correctional information system.	Goal #5
Activities, Services, Products	Performance Measures	Performance Target(s)	Strategies/Recommended Actions
1. Leadership and Oversight Org# {238-4001, 4007}	<ol style="list-style-type: none"> 1. Policy review for both content and compliance. 2. Vision and Mission statements are developed and deployed. 	<ol style="list-style-type: none"> 1. 90% of institution policies will be reviewed annually for consistency with DOC policies. 2. Mission statement will be: <ul style="list-style-type: none"> • posted at all institutions and District offices • included on DOC letterhead and forms • distributed to all current employees • discussed in Preservice with new employees 	<ol style="list-style-type: none"> 1. Internal reviews/documentation 2. Internal reviews/documentation

AGENCY PERFORMANCE PLAN FY 2004

Iowa Department of Corrections – Resource Management Core Function

Activities, Services, Products	Performance Measures	Performance Target(s)	Strategies/Recommended Actions
2. Fiscal Resources & Management Org# 238-4003; {(242-249:1101, 1109) (252-1101, 1109)}; {(221-228: 1110)}	<ol style="list-style-type: none"> 1. Bed space/supervision resources available for all levels of supervision. 2. Responsible and efficient fiscal management consistent with Accountable Government Act principles and State Auditor requirements. 	<ol style="list-style-type: none"> 1. Budget request for bed space (supervision resources) based on data regarding usage/need. 2. Realignment of budget per AGA. 	<ol style="list-style-type: none"> 1. Continue previous process of obtaining input from staff and using CJPJ forecasts. 2. Continue meetings with DOC Business Managers and coordination with IDOM.
3. Human Resources Org# 238-4003; {(242-249:1101, 1109) (252-1101, 1109)}	<ol style="list-style-type: none"> 1. Number of staff selection and development programs that are competency-based. 2. Stabilize staff turnover rate. 	<ol style="list-style-type: none"> 1. Convert two curriculum areas to competency-based during FY '04. 2. Convert one selection device to competency-based during FY '04. 	<ol style="list-style-type: none"> 1. Utilize DAACUM process to identify competencies. 2. Evaluate use of the probationary period. 3. Assess turnover rates.
4. Intergovernmental and Stakeholder Relationships Org# {238-4001, 4007}	<ol style="list-style-type: none"> 1. Responses to agencies, courts and stakeholders meet agreed timeframes or legal requirements. 2. Increase dissemination of accurate and timely reports on correctional issues. 	<ol style="list-style-type: none"> 1. No confirmed instance of deliberate indifference to established timeframes. 2. Reports and information posted on the DOC website will be updated at least quarterly. 	<ol style="list-style-type: none"> 1. Assure that policies are appropriate and staff are trained. 2. Assign a Central Office staff member to review website information regularly.
5. Information Systems & Records Org# 238-4003; {(242-249:1183)(252-1101, 1183)}	<ul style="list-style-type: none"> ▪ Degree to which offender data is available and accessible to customers. 	<ol style="list-style-type: none"> 1. Increase number of staff using ICON database by 25%. 2. Increase amount of information in the ICON database. 	<ol style="list-style-type: none"> 1. Continue ICON development and deployment of modules. 2. Train staff in use of ICON. 3. Monitor time spent on line.

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