

Iowa Department of Corrections

Annual Performance Report

Fiscal Year 2006



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Introduction

The Department of Corrections Annual Performance Report for fiscal year 2006 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 is transforming its focus and culture to those operational or 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 can better direct limited resources to those strategies that produce the greatest value to Iowans. The state-wide deployment of these best practices has been accomplished through communication of the leadership agenda, the Department's Strategic Plan, Performance "Score Card", offender information system (ICON) and management information system, and employee performance accountability system. These tools focus and align the organization on a daily basis.

The Department's 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 **management** of the

facilities and resources that provide for **healthy, safe, and, humane environment** for staff and offenders.

The Department's **key strategic goals** addressed:

- Controlling prison population growth and impacting recidivism through provision of evidence based programs, interventions, and case planning and reentry initiatives.
- Providing adequate human and financial resources and processes to maintain the infrastructure and delivery of services. Reinvention of operations through the utilization of "best practices" to manage resources in the most cost effective and productive manner.

The Department's key strategic initiatives accomplishments include:

(1) Deployment of a system wide model of offender re-entry aligns and coordinates preparation for eventual offender release. A re-entry case plan outlines the course of an offender's supervision, programming, and progression from entry into Iowa's corrections system through reintegration in the community. Offenders are thereby supervised at the appropriate level commensurate with their risk and receive the interventions that will address their unique "criminogenic" needs that contribute to their future criminal behavior. Research has shown that by insuring that the offender is appropriately supervised, receives the right intervention at the right time, and

experiences release transition services upon release the offender is more likely to become a productive member of their community ,will be less likely to re-offend and victimize other citizens, and community safety can be maintained . Iowa's offenders return to prison at a rate of 35 % which has held stable.

(2) The continued enhancement of the offender information system (ICON), and the Departments' expanded evaluation and research capacity have made substantive data and analysis available to all levels of the organization to improve daily operations, decision making, and performance improvement. Focus on and regular leadership review of performance improvement and outcome data has helped the department align resources and focus activities toward the mission. Performance measurement is an integral part of the annual budget offer development. It also provides a mechanism to monitor progress toward the systemic implementation of best practices.

(3) Charter Agency flexibility has provided opportunities to transform operations, structure, and processes in order to capture efficiencies, enhance productivity, and increase value to customers.

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 continues its voluntary participation in the Iowa Excellence Initiative and is moving toward the integration of Baldrige principles across the organization. The Departments'

voluntary participation in the American Correctional Association Accreditation process drives the Department to strive toward compliance with nationally recognized standards. Attention to resource alignment and process evaluation , such as the Kaizen re-entry project and transformation initiatives in procurement, accounting, pharmacy, transportation, energy, records information technology, and waste have resulted in more efficient / effective operations and resource realignment.

(4) The Departments' commitment to invest in its workforce has continued as professional development opportunities have focused on leadership and the competencies needed to support the evidence based paradigm shift. A department safety coordinator now provides the coordination and oversight of employee health and safety. Ongoing efforts to align staff resources with workload demands, such as staffing studies, impact the safety and effectiveness of operations.

(5) A continuum of offender management, housing, supervision, and program resources enabled the Department to control the growth of the prison population at approximately 120% of capacity.

The demands of the security risk, special medical and mental health needs of offenders presented ongoing challenges. Over 90% of Iowa's inmates have current or past problems with alcohol or drugs. A third of Iowa's inmates are diagnosed to be mentally ill. These and other demands presented by sex offenders and the aged / infirmed, requires the Department to be responsive to their unique needs in order

to manage them in a safe, secure, and constitutional manner. The enhancement of drug courts, sex offender treatment programs, special needs and mental health programming, and telemedicine have resulted in improved outcomes.

By providing this continuum along with employment, education, specialized treatment, and transition services, the corrections system can better manage and treat offenders and impact recidivism.

Aging correctional facilities present ongoing challenges. The Department efforts to provide housing capacity consistent with population and caseload demand, constitutional, and regulatory standards continues. Resources were directed to critical renovations/construction of dietary, power plant operations, and sewage systems. Planning and construction of the Special Needs unit at the Iowa and Medical Classification Center, the Fort Dodge Residential Facility, and the Davenport Residential Facility will improve Iowa's capacity to meet the growing demands of the correctional population.

The Department significantly revised its performance measures in FY 06 in order to measure outcomes of strategic leadership initiatives. Historical comparisons are therefore limited. The Department met or exceeded 10 (31%) of its 2006 performance targets. The Department was able to maintain or improve the general health and safety of its system. The number of serious incidents (disturbances, offender suicides, deaths not from natural causes, offender condition suits, staff and offender assaults) was held at low levels or reduced. The ICON offender

data system user satisfaction ratings indicate the users throughout the system find it satisfactory and useful.

The Department did not meet 10 (31%) of its targets. The department substantially achieved its goal of controlling the growth prison population (120 % of capacity) by impacting prison population growth and return to prison rate event though the target of 100% was not achieved. Since the Department is only one partner in the criminal justice process, it must focus on those areas it can realistically impact. The Department continued to monitor probation technical violation rates, parole recommendation rates and conducted a Kaizen analysis of the processes that included the time needed to release offenders after granted parole or work release. The number of escapes increased slightly. Results related to risk assessment instruments will help the department improve the timeliness and quality assurance of this process. While the Department has not yet realized projected savings related to Transformation Projects, major changes in operations and process have begun which will produce changes in resource utilization in the next year.

11 (32%) of the performance measure areas produced baseline data, which will provide the foundation for future performance analysis. The Departments cultural transition to practices shown to produce results demanded policy, operational and staff development changes. Baseline data was gathered as the department deployed the Offender Re entry Case plan, began the evaluation of interventions to determine if they met criteria to be considered evidence based, and began retooling

staff and procedures to apply evidence based principles across the organization.

One target was partially achieved. Community based corrections agencies are refining their ability to base staffing resource decisions upon workload formulas. Correctional institutions completed staffing analysis training which will result in formula driven staffing.

One target was not measurable due to limitations in field research and data capacity. In order to determine if community offenders are supervised according to assessment risk score, on site case audits would be needed.

Agency Overview

Mission Statement

The mission of the Iowa 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 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 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 Gary D. Maynard, 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 \$305,000,000.

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. Special programming and supervision needs are provided for offenders with medical, mental health, 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 that range from minimum to intensive and residential housing. These correctional services are provided to offenders of pre trial release, probation, parole, or work release legal status. Each district has a number of satellite offices in communities around the state and operates 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.

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.

Iowa Department of Corrections
 FY 2006 Financial Status Report
 Through the Period August 31st,

	LEGISLATIVE ACTION	DEPT. REVISED BUDGET	ACTUAL REVENUE AND EXPENDITURE	ENCUMBRANCES	ACTUAL + ENCUMBRANCES	PERCENT (Actual of Budget)	EXCEED E / UNDER U
FTE POSITIONS							
Correctional Officer	1,664.00	1,664.00	1,547.55	-	1,547.55	93.00%	
Total Staffing	3,037.49	2,951.24	2,735.94	-	2,735.94	92.70%	
RESOURCES AVAILABLE							
Appropriation	277,812,545	284,395,735	284,395,735.00	-	284,395,735.00		
Salary Adjustment	-	8,553,413	8,553,413.00	-	8,553,413.00		
Supplemental	-	3,269,525	3,269,525.00	-	3,269,525.00		
Tobacco Settlement	2,831,285	2,831,285	2,831,285.00	-	2,831,285.00		
FY 2005 Balance Forward	-	67,039	157,103.98	-	157,103.98		
Appropriation transfer	-	-	-	-	-		
Deappropriation	-	-	-	-	-		
Re-Allocation	-	-	-	-	-		
Intra State Transf	-	1,159	1,159.00	-	1,159.00		
Miscellaneous Receipts	2,624,520	3,697,896	6,080,075.20	-	6,080,075.20	164.42%	
TOTAL RESOURCES AVAILABLE	283,268,350	302,816,052	305,288,296.18	-	305,288,296.18		

FUNDS EXPENDED AND ENCUMBERED

101 Personnel Services	171,613,353	188,837,908	184,047,094.97	-	184,047,094.97	97.46%	
202 Personnel Travel I/S	109,656	115,506	260,507.93	-	260,507.93	225.54%	
203 State Vehicle Operations	462,621	519,933	827,220.28	-	827,220.28	159.10%	
204 Depreciation	50,000	100,000	324,404.17	-	324,404.17	324.40%	
205 Out-State Travel	16,448	21,623	65,470.90	-	65,470.90	302.78%	
301 Office Supplies	475,255	426,383	538,393.64	-	538,393.64	126.27%	
302 Facility Maint Supplies	980,011	1,126,622	1,287,367.56	-	1,287,367.56	114.27%	
303 Equipment Maint Supplies	554,225	592,124	543,778.99	-	543,778.99	91.84%	
304 Professional Supplies	553,105	675,477	651,852.30	-	651,852.30	96.50%	
306 Housing Supplies	1,996,915	1,957,604	2,394,352.29	-	2,394,352.29	122.31%	
307 Ag Cons Supplies	36,535	24,675	37,558.17	-	37,558.17	152.21%	
308 Other Supplies	467,274	471,367	569,025.72	-	569,025.72	120.72%	
309 Printing and Binding	832	832	-	-	-	0.00%	
310 Drugs & Biologicals	5,177,391	4,858,349	6,752,216.37	-	6,752,216.37	138.98%	
311 Food	8,791,599	8,867,109	8,841,434.41	-	8,841,434.41	99.71%	
312 Uniforms	1,186,213	1,032,727	1,289,064.34	-	1,289,064.34	124.82%	
313 Postage	136,000	109,518	111,403.76	-	111,403.76		
401 Communications	610,157	638,246	665,931.86	-	665,931.86	104.34%	
402 Rentals	51,298	52,597	108,621.44	-	108,621.44	206.52%	
403 Utilities	7,534,184	9,748,235	8,506,345.96	-	8,506,345.96	87.26%	
405 Professional Services	1,752,900	1,273,206	2,150,167.93	-	2,150,167.93	168.88%	
406 Outside Services	3,475,142	3,493,537	3,473,412.37	-	3,473,412.37	99.42%	
407 Intra State Transfers	3,151	427,702	(776,196.44)	-	(776,196.44)	-181.48%	
408 Advertising & Publicity	3,350	6,902	11,459.00	-	11,459.00	166.02%	
409 Outside Repairs	1,045,127	998,236	1,341,234.73	-	1,341,234.73	134.36%	
410 Data Processing	1,000	1,000	-	-	-	0.00%	
412 Auditor Reimbursement	2,620	1,350	2,499.75	-	2,499.75	185.17%	
414 Reimb Other Agencies	124,031	758,714	3,419,609.99	-	3,419,609.99	450.71%	
415 Facility Improvement Reimb	-	-	-	-	-	0.00%	
416 ITS Reimbursement	234,521	380,733	437,880.73	-	437,880.73	115.01%	
417 Workers Compensation	1,638,069	1,737,447	1,552,836.00	-	1,552,836.00	89.37%	
501 Equipment	181,495	281,946	423,143.65	-	423,143.65	150.08%	
502 Office Equipment	31,267	40,117	152,020.83	-	152,020.83	378.94%	
503 Equipment Non-Inventory	171,765	237,966	310,876.56	-	310,876.56	130.64%	
504 DP Inventory	573,704	-	-	-	-	0.00%	
505 DP Non-Inventory	418,850	-	-	-	-	0.00%	
510 IT Equipment	-	586,332	2,018,383.32	-	2,018,383.32	344.24%	
601 Claims	1,000	950	71.37	-	71.37	7.51%	
602 Other Expenses	3,362,218	2,973,552	3,225,415.97	-	3,225,415.97	108.47%	
604 Securities	-	108	2,355.82	-	2,355.82	2181.31%	
701 Licenses	8,100	4,951	9,263.13	-	9,263.13	187.10%	
702 Fees	-	-	-	-	-	0.00%	
801 State Aid and Appropriations	69,433,968	69,433,968	69,433,968.00	-	69,433,968.00	100.00%	
901 Capitals	3,000	500	-	-	-	0.00%	
Legislative reduction	-	-	-	-	-		
TOTAL EXPENSES AND ENCUMBRANCES	283,268,350	302,816,052	305,010,447.77	-	305,010,447.77	100.72%	

ENDING BALANCE

Supplemental	-				277,848.41	
Reversion	-				107,884.04	
Balance Forward	-				169,964.37	
ENDING BALANCE					0.00	

Percent of actual Funds Available expended 99.91% encumbered 99.91%
 Percent of Support Budget expended 105.92% encumbered 105.92%
 Percent of Equipment Budget expended 178.59% encumbered 178.59%

Percentage of Year Expended = 100.00%

KEY RESULTS

MISSION & CORE FUNCTION

Name: The mission of the Department is to protect the public, the employees and the offenders. Offender Supervision Custody, & Treatment Core Function: Critical Incidents

Description: The Department of Corrections manages offenders in correctional institutions in a constitutional manner that minimizes the risk of offender harm within the institution and to the community.

Why we are doing this: The citizens of Iowa must be protected from harm from offenders sentenced to the care and custody of the Iowa Department of Corrections. Employees and offenders must work, live and receive services in a healthy and safe environment.

What we're doing to achieve results: In order to safely and effectively manage offenders, the Department must assess and classify offenders in order to house them in facilities that provide the necessary security and programming to control their risk to themselves, staff, and the general public. Offenders must be supervised by trained staff, utilizing "best" correctional practices. Regular inspections, an ongoing safety program, regular oversight, compliance with local and national standards guide daily operations.

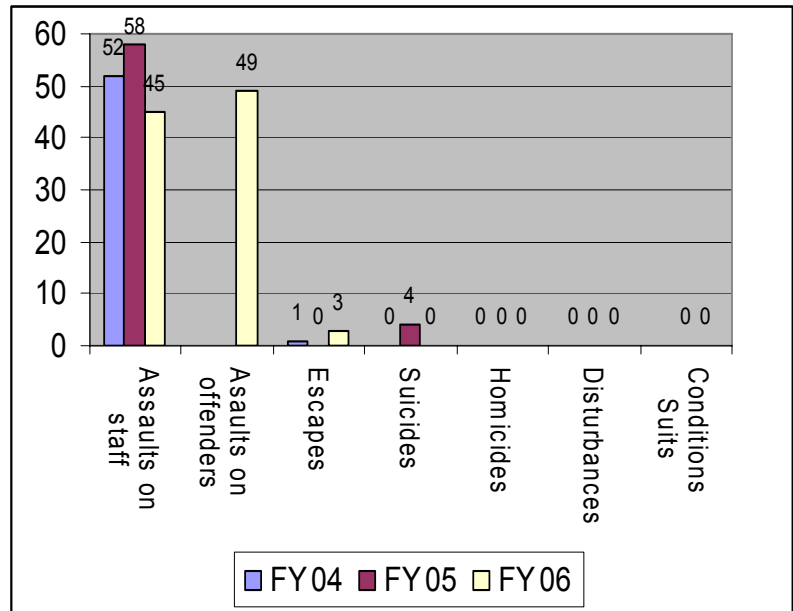
Results

Performance Measure:

Number of critical incidents: assaults on staff and offenders, escapes, suicides, homicides, disturbances, and conditions suits.

Performance Target:

- Baseline -Rate/100 Serious injury to staff by inmate
- .05 / 100- Rate inmate on inmate assaults with injury
- 0- Escape
- 0- Suicides
- 0 -Homicides
- 0 -Disturbances
- 0- Conditions suits



What was achieved: The number of staff injuries by inmate decreased for a rate of .8/ 100, the number of inmate assaults with injury on inmates was .56/ 100 which slightly exceeded the target , the number of suicides dropped to zero, the number of escapes increased to 3, and the number of homicides and disturbances remained at zero.

Data Sources: Institutions report critical incidents via statistical workbooks and critical incident reports.

Resources: These activities are funded through General Fund appropriation. Thos activities, conducted at Iowa's correctional institutions and DOC administrative offices were delivered at a cost of \$235,576,479.

KEY RESULT

Strategic Goal

Name: Provision of resources and processes to maintain the delivery of services... through utilization of best practices to manage resources in the most cost effective manner

Description: A reliable and accurate system wide offender data system (ICON) is critical to the management of and delivery of services to offenders on a daily basis.

Why we are doing this: Such a system also provides the foundation for daily decision making, oversight, management, resource allocation, performance measurement and record keeping. The ICON system captures offender identification, sentence, housing, behavior, risk and need assessment, criminogenic needs, intervention status, and tracks the progress of the Re Entry Case Plan. The data system forms the basis for research into the effectiveness of interventions, supervision practices, and other best practices the system must not only be accessible to all staff that needs to utilize the information but must be viewed as reliable and useful.

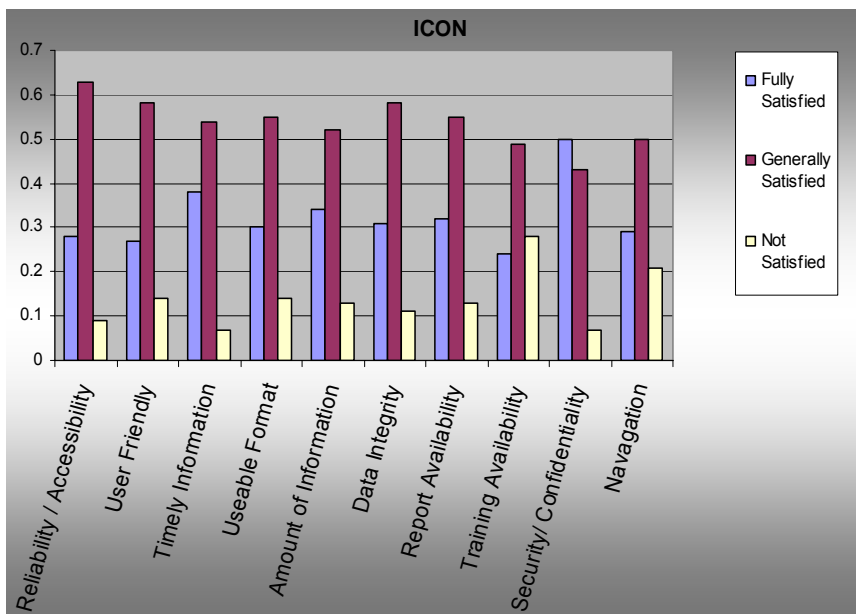
What are we doing to achieve results: Development of the ICON system began in 1999. It has been deployed system wide and enhanced with additional components and upgrades each year. It is available twenty-four hours each day for use by staff for daily management, decision making, and performance improvement. It is now linked with the Criminal Justice System Data Warehouse to expand recidivism and other court system related outcome research. It provides an invaluable tool for research, program evaluation, as well as in directing resources to those practices shown to be producing results.

Performance Measure

Percent of customers / users survey respondents rating ICON as Useful

Performance Target:

Baseline



What was achieved: 74% of users were fully or generally satisfied. Suggestions relayed in the comments suggestion of the surveys are being utilized to make system improvements.

Data Sources: ICON Customer Survey

Resources: These activities are funded by General Fund appropriation. Activities are conducted at D.O.C. offices, institutions and Judicial District Departments. \$1,167,700 in contracted programming / development fees. \$70,522 for Local Area Network lines. (All local community corrections costs not included)

KEY RESULT

STRATEGIC GOAL

Name: Controlling prison population

Description: The Department has instituted a number of initiatives to control the number of offenders coming into the prison system as well as to expedite the safe release of offenders back into their community

Why we are doing this: Correctional institutions are safely and humanely managed when they do not house more offenders than their physical plant and program resources are designed to accommodate. Community Corrections programs can effectively manage many offenders in the community. Due to the high cost of building prisons and housing offenders in a prison setting, it is fiscally sound to manage offenders at the lowest possible level that corresponds to their risk.

What we're doing to achieve results: The Department has continued to improve its utilization of validated assessment tools to identify risk and program need. Classification systems make sure offenders are supervised at the lowest appropriate level consistent with risk. The department continues to devote resources to insure that there are adequate community corrections resources to manage offenders most economically in the community. The Department continues their effort to evaluate the effectiveness of correctional programs at reducing risk of future offenses and redirecting resources from programs that are not found to be effective. The Re-Entry Case Plan deployment will provide a seamless system for offenders to flow through the corrections system in the most efficient and effective manner. The provision of adequate institution program resources will insure offenders are not held in prison while awaiting program participation.

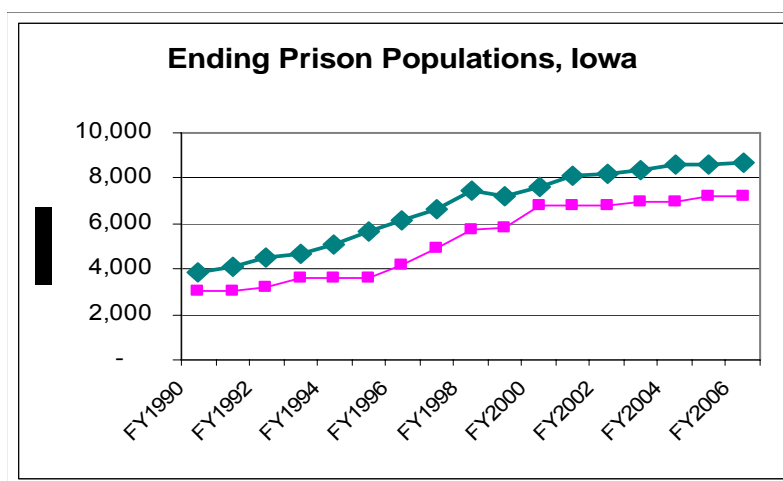
Results

Performance Measure:

Offender prison population as percent of capacity.

Performance Target:

100%



Capacity _____ Population _____

What was achieved: Iowa's prison population has remained stable at 120 % of capacity throughout the fiscal year. While the population was not reduced to design capacity, the continued rise that had previously been experienced has successfully been controlled.

Data Sources: ICON

Resources: These activities are provided by General Fund appropriation and locally generated funds. Activities are carried out in the Department of Corrections Central Office, nine correctional institutions, and eight judicial districts, and the Iowa Prison Industry from operations. Cost for these activities totaled \$351,540,164.

KEY RESULT

CORE FUNCTION, STRATEGIC GOAL

Name: Offender Supervision, Custody, and Treatment Core Function. Impacting recidivism through provision of evidence based programs, interventions, case planning, and reentry initiatives

Description: Appropriate case planning, reentry strategies, and programs that provide offenders interventions consistent with identified criminogenic needs appropriate for their individual needs.

Why we are doing this: By utilizing those correctional “best practices” shown to impact recidivism, the Department will ensure that limited resources are directed where they will have the most impact in changing offender behavior for the long term and thereby assisting offenders, resulting in safer communities.

What we're doing to achieve results: The Iowa Department of Corrections is redesigning offender case management processes in line with nationally recognized correctional practices shown to impact behavior change and recidivism. These include assessing offender’s needs, creating an individualized re-entry case plan that outlines the course of supervision and program interventions for an offender, and places the offender in programs and interventions that are linked to the needs that contribute to their criminality, and providing the services needed during the offenders reintegration to the community. Staff development activities are being directed to develop staff skills for the provision of these services as well as to modify the agency culture. Programs and interventions will be evaluated to determine if they comply with nationally recognized standards.

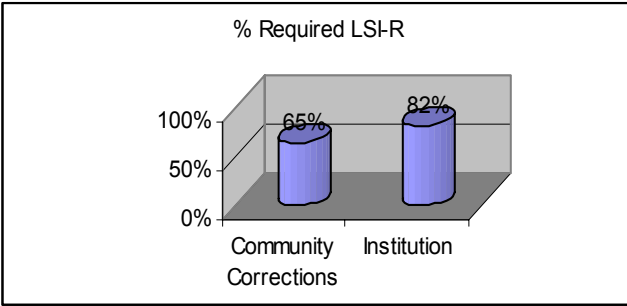
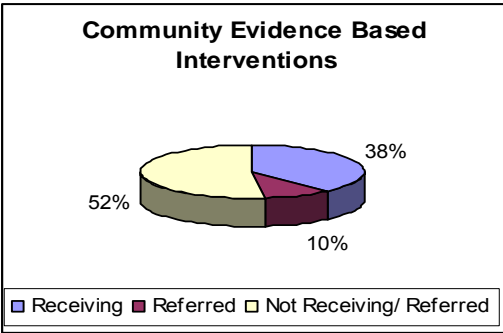
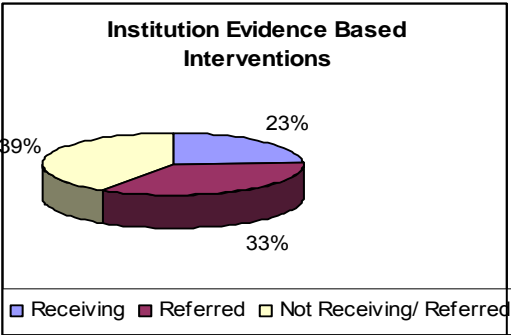
Results

Performance Measures:

- % of offenders receiving appropriate interventions strategies.
- % of offenders assessed with required LSI-R

Performance Target:

- Baseline
- 100%



What was achieved: Offender Re-Entry Case Plan utilization is being implemented throughout the system. This plan is based on identification of the offender’s top criminogenic needs through use of the LSI-R and other validated assessment instruments, and referral to programs and interventions that are shown to produce results, Some required LSI-R’s are not completed within 60 days of admissions thereby indicating opportunities to improve timeliness. The level of intervention referrals call for further evaluation of resource availability .Programs and interventions will be evaluated to determine if they comply with nationally recognized standards. 885 staff participated in over 7900 hours of training in topics such as case management, motivational interviewing, reentry and the principles of evidence based correctional programming in order to develop the competencies needed to implement the necessary changes in supervision and intervention strategies.

Data Sources: ICON

Resources: These activities are funded through General Fund appropriation, Iowa Prison Industry/ farm revolving fund, and locally generated funds. Programs and services are delivered at Iowa’s eight judicial districts and nine correctional institutions at a total cost of \$351,540,164.

KEY RESULT

STRATEGIC GOAL, CORE FUNCTION

Name: Reinvention of operations through utilization of best practices to manage resources in the most cost effective manner. Charter Agency Transformation Projects.

Description: Redesign of operations and processes, and realignment of fiscal and human resources utilizing flexibilities of Charter Agency Status.

Why we are doing this: By securitizing the way business and operations are conducted the agency can identify opportunities to realize cost savings and realign human and dollar resources resulting in efficiencies and improved outcomes.

What we're doing to achieve results: Department staff assumes leadership of Transformation Project committees who explore ways to redesign operations utilizing peer committees who apply their knowledge and expertise to process improvement. Processes and functions have been streamlined, standardized and centralized where appropriate in order to reduce redundancy. The use of technology is being maximized. Opportunities to contract and purchase utilizing economies of scale and group purchasing power are resulting in cost reduction opportunities.

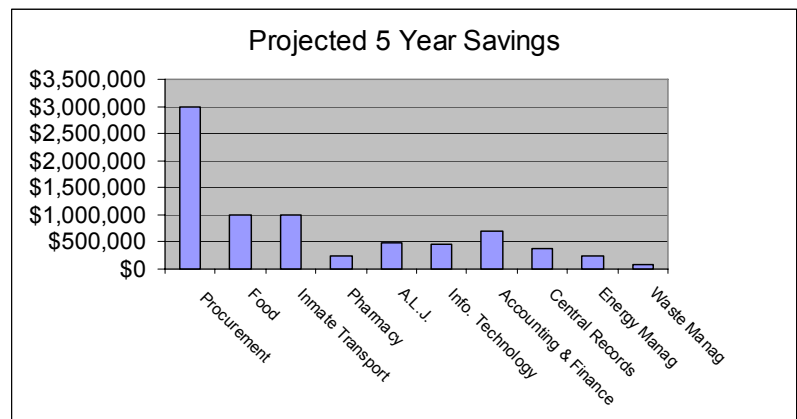
Results

Performance Measure: % of DOC budget reallocated as result of agency redesign “ evidence based evaluation

Savings Target	1.00%
Actual Savings	0.50%

Performance Target: 1%

Results .5% Project committees were formed, project plans were developed, and are in beginning phases of implementation. Given the agency wide scope of these endeavors, most actual savings and staff resource realignment will be realized in FY 2007 through FY 2010 and are projected to exceed 2%.



What was achieved: Implementation plans (2 to 5 years) have/ are being developed for each Transformation project. Some projects have reached implementation or pilot stage. \$148,526 has been saved by the Inmate Records project as a result of changes in the computation of jail credit. Opportunities for savings and resource realignment have been projected for all projects. Performance results are being collected on a quarterly basis.

Data Sources: Transformation Project Leaders

Resources: These activities are funded by General Fund appropriation. Services are delivered in the Department of Corrections Central Office, and nine correctional institutions at a total cost of \$235,576,479.

Name of Agency: Iowa Department of Corrections			
Agency Mission: Protect the Public, the Employees, and the Offenders			
Core Function: Offender Supervision, Custody, and Treatment			
Performance Measure (Outcome)	Performance Target	Performance Actual	Performance Comments & Analysis
1. Prison population as % of capacity.	100%	120%	What Occurred: Performance target was not met due to ongoing population pressures. Prior year population stabilization was maintained. Data Source ICON
2. % of offenders meeting court ordered restitution	Baseline	35% 18%	What Occurred: Established baseline utilizing link with Court data system. 35% of community and 18 % of institution offenders met their obligations prior to discharge Data Source ICON/ Criminal Justice Data Warehouse
3. % of offenders receiving appropriate intervention strategies	Baseline	38% 23%	What Occurred: Established baseline. (Community / Institution offenders) Measured offenders required to receive interventions for top three criminogenic needs due to risk. An additional 10% of CBC and 33% of Institution offenders are referred but have not yet started. Efforts impact ability to reduce recidivism and control prison population growth. Indicates need to evaluate capacity / demand alignment. Data Source ICON
4. Rate/100 new felony arrest by active/ supervised offender	Baseline	4.7%	What Occurred: Established baseline. Data Source ICON / Criminal Justice Data Warehouse
5. Rate/ 100 serious injury to staff by inmate	Baseline	.8	What Occurred: Established baseline. DOC Statistical Workbook
6. Rate/100 serious injury to public by offender	Baseline	.06	What Occurred: Established baseline of incidents of serious incidents by offenders supervised in the community. Data Source: ICON/ Critical Incident Reports
7. Rate/100 of escape of inmates	0/100	.03	What Occurred: Met performance target. Data Source Critical Incident Reports
8. Rate / 100 of disturbance serious incident by inmate	0/100	0	What Occurred: Met performance target. Data Source Critical Incident Reports
9. Number of court findings of constitutional rights violation	0	0	What Occurred: Met performance target. Iowa Attorney General
10. Rate of return to prison	33%	35%	What Occurred: Did not meet performance target by 2%. Rate is impacted by arrest, prosecution, and sentencing policies of criminal justice system partners. Data Source ICON / Criminal Justice Data Warehouse

Service, Product or Activity: Risk Identification			
Performance Measure	Performance Target	Performance Actual	Performance Comments & Analysis
1.% of offender case files audited for LSI Quality Assurance	25%	4.7%	What Occurred: Did not meet performance target. Illustrates audit capacity and need for quality assurance program. Data Source ICON
2. % of offenders assessed with required LSI-R	100%	65% 82%	What Occurred: Did not meet performance target. (Community / Institution offenders) Performance improves when timeframes for completion are expanded past 60 days for new admissions. LSI –R forms the basis of the Offender Case Management Re Entry plan and thereby affects recidivism. Data Source ICON
3. % of inmates assessed with required Custody Classification instrument	100%	95%	What Occurred: Did not meet performance target. Performance improved when timeframes for completion are expanded.
4. % of community offenders assessed with required Iowa Risk	100%	84%	What Occurred: Did not meet performance target. Performance improved when timeframes for completion are expanded.
5. % of inmates assigned / supervised according to Custody Classification instrument	82%	69%	What Occurred: Did not meet performance target. This year looked at actual classification assignment rather than at override rate. Further study is needed regarding the alignment between classification policy, system, institution custody designations, and utilization of custody classification overrides.
6. % of community offenders assigned/ supervised according to Iowa Risk	82%	No results available	What Occurred: Research capacity and data system did not provide adequate information to measure results. This would require manual case by case review of actual community supervision status.
Service, Product or Activity: Risk Management			
Performance Measure	Performance Target	Performance Actual	Performance Comments & Analysis
1. Average monthly release recommendation rate to Parole Board	5%	5%	What Occurred: Met performance target. The presentation of offenders appropriate for release consideration improves the efficiency of the offender release process, insures that offenders are supervised at the least level commensurate with their risk, and can assist in controlling prison population growth. Data Source ICON
2. Number of community service hours provided	645062 hours	660,844	What Occurred: Exceeded target. Increase of 15, 782 hours. DOC Statistical Workbook
3. Number of occurrences of inmate death not from natural causes	Baseline	0	What Occurred: Established baseline. DOC Critical Incident Reports
4. Rate/100 of inmate of inmate– on inmate assault with injury	.05	.56	What Occurred: Did not achieve performance target . Data Source : DOC Statistical Workbook

5. Rate/100 of inmate suicide	0	0	What Occurred: Met performance target. Improvement in treatment and supervision of offenders with mental health issues appears to have effectively improved management of self-destructive behavior. Data Source DOC Critical Incident Reports
6. Rate /100 Probation technical violation rate	Baseline	19%	What Occurred: Established baseline. Managing offenders who violate terms of their supervision within the community continuum is cost effective and assists in the control of prison population growth. Data Source ICON/ Criminal Justice Data Warehouse
7. Supervision Status success rates: Pre Trial Sex offender electronic monitoring Methamphetamine bonded sup. Probation Intensive Probation Residential Probation Institution Parole Intensive Parole Residential Parole Work Release	79% Baseline Baseline 72% 41% 91% Baseline 69% 53% 92% 87%	76% 42% 69% 73% 42% 88% 95% 69% 69% 100% 91%	What Occurred: Met or exceeded target for most supervision statutes. Data Source ICON
Service, Product or Activity: Risk Reduction			
Performance Measure	Performance Measure	Performance Actual	Performance Comments & Analysis
1.% of offender case/ release plans completed	Baseline	0	What Occurred: Deployment of Offender Re Entry Case Plan was delayed as Kaizen project recommendations were implemented. Offenders who will be managed with a case plans have not yet been released. Data Source ICON
2. % Successful intervention Vocational Training/ Work Substance Abuse Treatment Education Special Needs/ Mental Health Batters program Sex Offender Treatment Re-entry	32% Baseline 15% Baseline 64% 77% Baseline	84% 83% 77% 34% 82% 60 77%	What Occurred: Performance target was achieved for most institution interventions. (Data also available for CBC however most services are provided by community providers) Data Source ICON

Service, Product of Activity: Basic Life Care			
Performance Measure	Performance Measure	Performance Actual	Performance Comments & Analysis
1. Rate of conditions suits filed per 100 offenders	0	0	What Occurred: Performance target was achieved. Data Source Iowa Attorney General
2. Rate of serious accidents, injuries, death per 100 staff	Baseline	3.5 /0	What Occurred: Baseline established. Data Source DOC Statistical Workbook
3. Rate of serious accidents , injuries, death per 100 offenders	Baseline	3 / 0	What Occurred: Baseline established. Data Source DOC Statistical Workbook
4. Number of occurrences of sexual violence in institutions	18	27	What Occurred: Performance target was not achieved. Implementation of the Prison Rape Elimination Act may result in temporary increase in reporting. DOC Statistical Workbook

Name of Agency: Iowa Department of Corrections

Agency Mission: Protect the Public, the Employees, and the Offenders

Core Function: Resource Management

Performance Measure (Outcome)	Performance Target	Performance Actual	Performance Comments & Analysis
1. % of DOC budget reallocated as result of agency redesign “ evidence based “ evaluation	1%	.5%	What Occurred: Performance target was not achieved. Transformation projects have begun and operational changes are being implemented but have not yet produced projected savings. DOC budget/ Transformation Project reporting

Service, Product or Activity: Leadership and Oversight

Performance Measure	Performance Target	Performance Actual	Performance Comments & Analysis
1. Number of program / cost centers evaluated for effectiveness/ efficiency/ or cost	2	2	What Occurred: Performance target was achieved. Overtime and Sex Offender electronic monitoring were evaluated.

Service, Product or Activity: Fiscal Resources & Management

Performance Measure	Performance Target	Performance Actual	Performance Comments & Analysis
1. Percent of budget allocated by workload demand formula	25%	30% / 0%	What Occurred: Performance target achieved in community corrections. Staffing analysis is underway in institutions however has not yet resulted in realignment.

Service, Product or Activity: Employee Focus			
Performance Measure	Performance Target	Performance Actual	Performance Comments & Analysis
Service, Product or Activity: Information Systems and Records			
1. ICON Customer / user satisfaction rating of useful	Baseline	68% Reliability 76% Useable 80% Timely 70% Volume 79% Data integrity 58% Training 74% Navigation	What Occurred: Established baseline. Most users rate ICON Generally or Fully satisfactory when surveyed. Data Source Customer Survey

Resource Reallocations

The Department of Corrections continued to maximize flexibilities of its Charter Agency status to scrutinize and redesign the way it conducted business. Efficiencies produced and resources conserved were redirected to meet the ever-rising fixed costs driven by operating facilities, twenty-four-seven, with ever increasing offender caseloads. Fixed costs such as food, fuel, and pharmaceuticals exceed budgeted expenditures threatening funds needed for personnel. The Department was able to fill many critical positions in order to not only provide the necessary level of offender supervision, but to operate facilities and programs in a constitutionally compliant manner.

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. Questions can be directed to Barbara Olk Long at 515-725-5709.

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