



IOWA BOARD OF CORRECTIONS AGENDA  
Friday, March 4, 2011  
9:00 a.m.

Iowa Department of Corrections  
First Judicial District Department of Correctional Services  
Waterloo Residential Correctional Facility  
310 E. 6<sup>th</sup> Street  
Waterloo, IA 50703  
319.291.2015

**TOPIC** **PRESENTER**

Call to Order	Robyn Mills
<ul style="list-style-type: none"> <li>• Chair Remarks</li> <li>• Approval of January 25, 2011 Meeting Minutes <b>(Action Item)</b>  <b>Next Board meeting will be April 1, 2011, at the Johnston Public Library, 6700 Merle Hay Road, Johnston</b></li> </ul>	
Welcome	Karen Herkelman
Director's Comments	John R. Baldwin
Legislative Update	Fred Scaletta
Disciplinary Process: Kaizen Report	Michael Savala and Jerry Bartruff
First District Program Update	Karen Herkelman
Adjournment	Board Members
Tour	

The Board of Corrections' agenda is posted on the DOC Web Site at [www.doc.state.ia.us](http://www.doc.state.ia.us) under the Board of Corrections tab.

The mission of the Iowa Department of Corrections is to:  
**Advance successful offender reentry to protect the public, staff and offenders from victimization.**



## IOWA BOARD OF CORRECTIONS MINUTES TUESDAY, January 25, 2011 9:00 a.m.

Iowa Department of Corrections  
Central Office – Jessie Parker Building  
Des Moines, Iowa 50319  
Phone: 515.725.5708

Board Members Present: Chair Robyn Mills, Art Neu, Sheryl Griffith, Rev. Michael Coleman, Michael Sadler, Johnie Hammond, David Erickson

Staff Members Present: Director Baldwin, Dr. Deol, Fred Scaletta, Dan Duus, Curt Smith, Diann Wilder Tomlinson, Jerry Burt, Laura Farris, Cornell Smith, Patti Wachtendorf, Katrina Carter-Larson, Daniel Fell, Kip Shanks, Sally Creamer, John Fayram, Karen Herkelman, Nick Ludwick, Dan Craig, Mark Lund, Kris Weitzell, Sheryl Lockwood, Terry Mapes, Jerry Bartruff

Visitors Present: Bill Petroski, DM Register; Paul Stageberg, CJP; David Ziskind, STV, Eleena Mitchell-Sadler, Ombudsman's Office

### Call to Order, Robyn Mills

- Approval of January 7, 2011 Meeting Minutes (**Action Item**).
  - Michael Sadler made a motion to approve the January 7 minutes. Rev. Michael Coleman seconded the motion; **motion approved.**
- **Next Board meeting will be March 4, 2011, at the First Judicial District 310 East 6<sup>th</sup> Street, Waterloo**

### Director's Comments, John R. Baldwin

- Director Baldwin attended a meeting sponsored by the National Institute of Corrections who is developing a program called APEX. APEX is an agency-driven agenda designed to provide correctional leaders and staff with a comprehensive model that provides the tools necessary to assess their organizational performance and the strategies necessary to implement to move towards higher levels of competence.
  - APEX is an ongoing opportunity for the Department to assess and address its performance gaps. The advantage of APEX is that it serves as a guiding force for continuous performance improvement and transcends the boundaries of time, fiscal constraints and changes in leadership.
  - The group is looking for a pilot state. Director Baldwin will visit with community-based corrections directors about their possible involvement.
- The Public Safety Advisory Board met January 21. The meeting was an all-day strategic planning event featuring peer to peer style presentations from other states that have faced the same kinds of issues Iowa has.
  - Technical assistance in strategic planning was garnered from the National Governors Association who are partnering with PEW Charitable Trusts. The group wanted a state that was advanced down that path of community based corrections' programs. The group focused on establishing

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CBC and evidence based practices and will propose changes in the way the criminal justice system does business.

- Judges asked for training and narrative on what is put on the PSI so they have a better understanding of what that number means.
- The issue of crack vs. powder was debated.
- Director Baldwin shared that he saw changes to Board of Parole staff in the newspaper. One of the people Governor Branstad chose to fill the vacancy is Jim Felker. Jim was the Department's classification manager for 30 some years and has been retired 4 or 5 years. Jim brings a wealth of experience to the Board of Parole.
  - We should see the population drop when the new members are trained.
- Art Neu asked about the possibility of more budget cuts.
  - Director Baldwin shared that Corrections needs to continually hire people.
  - The Governor's budget recommendations will be released on January 27 and more will be known then.

### **Legislative Update, Gary Sherzan**

Gary was called to the Legislature and was not available to give the board an update.

### **Fee Collection and the Honor Unit at Fort Des Moines, Sally Kreamer**

Redesign of Residential Services (handout)

- Budget Reduction and Evidence Based Practices
  - Worked with the union to negotiate Residential Officer minimums.
  - Moved command center staff to posts to assist during down times and to help with fatigue.
  - Added the Honor Unit as another level to provide offenders incentive for behavior, progress and paying their fees. This unit is staffed by only one Residential Officer.
- Honor Unit
  - Revised the level system to tie advancement to behavior rather than length of stay. Looked at behavior instead of time – those offenders are given more privileges and allows a step down approach for offenders for smoother reentry.
  - Increased employment in the facility. An offender needs to be employed before they are eligible to be in the Honors Unit. Before the Honor Unit was enacted 30% of offenders were not employed. Today, 90% are employed full-time and 10% have a reason they are not working.
  - Restitution and fines need to be paid before an offender can be in honor unit. There is better collection because they know it is tied to advancement. Residential Officers are working with the offenders on their budget.
- The Fifth District is down to 29 Residential Officers. 18 of them are brand new employees.
- Johnie Hammond asked what kinds of services are provided to low risk offenders who are too low risk to be in facility.
  - Sally indicated that housing is always needed and the district uses other community resources and works with the county attorney's office as a lot of times it will be part of a plea bargain.
- Rev Coleman asked whether supervision by risk was statewide and Sally shared that the Honor Unit is specific to the Fifth Judicial District as a creative way to get the waiting list down.
  - In a year or two when data is available, we will know if the Honor Unit offenders reoffend – then other districts will do same type of programming.

### **STV Architects and Iowa Correctional Institution for Women Update, Brad Hier**

- Brad introduced architects and other staff members that are working on the ICIW construction projects.
  - Joel Davidson, STV, is the lead project manager and David Ziskind is the Principal in Charge.
    - David displayed the existing site plan, parking area and entrance to the new construction at ICIW. There were 18 different site plans developed.
    - The facility needs to continue to operate while construction is going on and the architects are creating the least amount of disruption to the existing campus.
  - Curtiss Pulitzer, Pulitzer, Bogard Associates is the IDOC Corrections Specialist. Curtiss gave the board an update on transitioning; Dr. Deol, Laura Farris, Sheryl Lockwood and Kris Weitzell are working on central office policies and procedures.

- Michael Schmidt, who is with the Department of Administrative Services, was introduced to the Board. Brad shared that Michael has been extremely helpful and instrumental in ICIW, ISP, and kitchens as well as the district constructions.
- Links (real time) are available that show Iowa State Penitentiary construction work in progress.
- There is a construction kickoff meeting tomorrow at ICIW. Walsh will be in attendance with the design teams and the other project planners.
- David Ziskind demonstrated a fly-through and walk-through the facility when it will be completed.
- Landscaping for the Iowa Correctional Institution for Women will be done by Iowa State University. Graduate students will be working on the landscaping.

### **e-Learning. Laura Farris**

Handout.

- The graph shows a breakdown this fiscal year of training that has been accomplished.
- 55% of training is done in the classroom setting and 45 % is e-Learning.
- Due to keeping overtime costs at a minimal, there is a struggle to accomplish mandatory training; eLearning has allowed us to provide quality training and reduce overtime.
- Laura shared those other states that are doing e-learning hired consultants to do curriculum development which costs anywhere from \$2000 - \$500,000; Iowa's e-Learning was done all in-house with little or no cost.
- The Department has not stopped hands-on training.
- Chair Mills asked who sets the requirements for e-Learning and Laura shared that American Correctional Association (ACA) standards are used.
- Laura recognized Mark Allen, IMCC employee, for his efforts with e-Learning and told the board that Mark developed the new learning management system and emphasized that Mark's work was instrumental.

### **Second Chance Act Grant, Jerry Bartruff**

- The Department received a grant for a gender-specific women's holistic substance abuse treatment project entitled "Women Inspiring Sobriety and Health" (WISH). The title of the program was created in a brainstorming session by a group of female offenders from ICIW. WISH is designed to provide comprehensive, gender responsive substance abuse treatment over a 15-week period to female offenders who are subject to release within 12 months of incarceration.
  - Upon release they will be referred to one of four local substance abuse treatment agencies with whom the DOC will contract for continuation of gender responsive primary treatment or aftercare programming.
  - We received money the first of October and will hire 3 correctional counselors, 2 therapeutic community (TC) advocates who have been through the TC program.
  - Two ex-offenders are filling those positions. Will treat 45 offenders each time.
  - Will track long term and short term success to see how they are doing 3 months into the program.
- The rate of females coming to prison has increased more than males going to prison. 80% had a substance abuse problem and 30% had a co-occurring disorder.
- There is a huge link with what we are doing with the women offender case management model and we think we will be able to do case management planning in the institutions before they go to community-based corrections.

### **Open Discussion, Board Members**

- Rev. Coleman received a letter about earned time from an IMCC civics class.
- Johnie asked if Lettie has looked at the women population and asked what the factors are causing the female population to increase higher than the male population.
  - Paul Stageberg, CJJP, shared the driver in the last ten years has been drug crimes.

Respectfully submitted,

Fay Olson, Executive Secretary



# Department of Corrections Discipline Event Report Out

**“Team Justice”**

February 8-11, 2011

# Team Members

**Vicki Garrett**

**Facilitator**

**Team Leader**

**Members**

**Mike Rohlf, IDED**

**Laura Scheffert, IMCC**

**Diann Wilder, Central Office**

**Jerry Burt, Central Office**

**Michael Savala, Central Office**

**Tracy Dietsch, Anamosa**

**Denise Jago, Clarinda**

**Sam Proctor, Fort Dodge**

**Jim McKinney, Fort Dodge**

**Joe Whitlow, Mitchellville**

**Bryan Reicks, Mitchellville**

**Vicki Garrett, IMCC**

**Dave Tadman, Ft. Madison**

**Jay Nelson, Mt. Pleasant**

**Doug Buttikofer, Mt. Pleasant**

**Don Baker, Rockwell City**

**John Guthrie, Newton**

**Eleena Mitchell-Sadler, Ombudsman**

**Russ Fry, Retired-8<sup>th</sup> District**

**Jerry Bartruff, Central Office**

**Renee Sneytzer, ALJ**

**Kristian Anderson, ALJ**



# Scope

- **This event will design efficient disciplinary processes that foster institutional safety and security and encourage long-term behavioral change.**

# Objectives

1. Define major process (Seriousness levels and Rules within)
2. Define minor process
3. Less hearings to investigate
4. Determine how to approach discipline
5. Include various stakeholder perspectives
6. Train staff in new/improved processes



# Objectives

7. Improve culture of communication and professionalism
8. Define what we want for outcomes of disciplinary actions
9. Define the staffing and structure of discipline system (central vs. local)
10. Define the progressive discipline process
11. Utilize the data to define what success is and how it will be measured (determine performance and outcome measures)



# LEAN Methodology

- Clear objectives
- Team process
- Tight focus on time
- Quick & simple
- Necessary resources immediately available
- Immediate results (plan for new/improved process designed by end of week)





# SWOT

## Strengths

- Give staff control of the facility
- Existing written policy for major/minor policy and flexibility to accomplish successful discipline
- Holds up legally
- Keep staff/offenders safe
- ICON based-more professional
- Well developed system in place
- Court tested
- Independent ALJ's-non predetermined thoughts

# SWOT

## Weaknesses

- Staff/offender lack of understanding of the current system
- Sharing ALJ – not understanding the full spectrum of each institution, dynamics
- Nine different silos – not a group concept at times
- DD waiting list
- QA, lack of
- Process too long
- Lack of any technological database for minors
- No guidelines for effective alternative means to deal with special needs – “all or nothing”
- Resistance to treatment

# SWOT

## Opportunities

- Re-entry case plan should include Treatment Plan
- Get staff more engaged
- Empower staff
- Staff recognize need/change
- Change offender behavior
- Use of technology -- not fully used now or used inconsistently
- Looking at changing the system
- More creative with less

# SWOT

## Threats

- Fear of termination
- Institution not safe
- Decreased money/funds, decreased staff
- Climate – institution
- Change in administration – budget
- Court intervention
- Lack of resources
- Increased number of offenders
- Lack of quality training



# Brainstorming

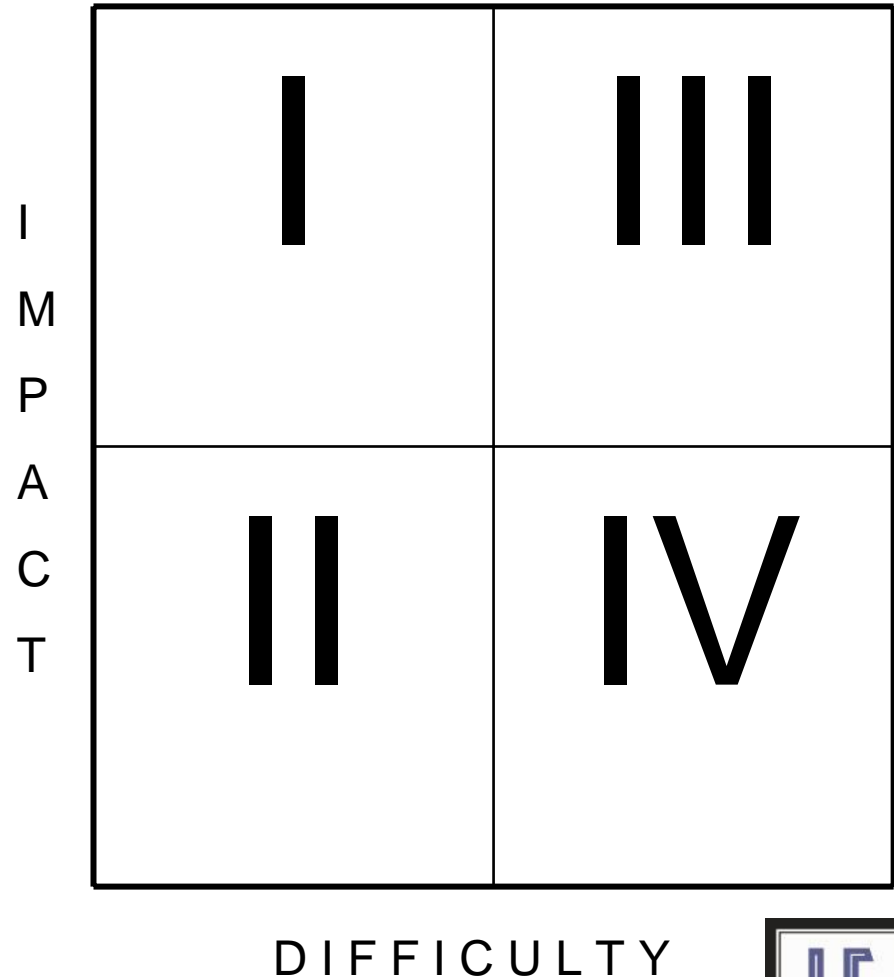
Eleena Mitchell-Sadler

- Train staff in report writing
- Train how to review majors/minors
- Identify support staff to help investigate, schedule, copy, scan
- Rewrite policy to include corrective action, minor to major, progressive
- Readily accessible technology(scanners) for staff duties
- Automatic notification to psych, counselor, work supervisor that major report was approved-provide to ALJ prior to hearing
- Teach 4 to 1
- From top down
- Treatment not punishment for mental health
- Sanctions to be consistent with treatment



# De-selection Process

- Identifies
  - Impact to customer
  - Difficulty implementing
- Helps to rate/rank solutions to resolve issues while identifying ease of implementation



# Focused Improvements

We laid the framework for designing a process for facilitating offenders' behavior change.....

## **Culture Change and Training**

- Vision: Development of Appropriate Responsible Behavior
- What is Discipline? Opportunity for learning;  
Tool to advance successful reentry and to keep you safe.

## **Major Process**

- Streamline and make major reports process more efficient

## **Minor Process**

- Empower staff to utilize the resources they have - corrective action at the lowest level is the goal
- Create a list of proportional creative corrective action activities and make available to all institutions
- Use technology to standardize Minors Report system



# Homework

## Russ Fry

Item	Item Description	Person Responsible	Due Date
	Culture 1.Establish expectations for staff /CO and CO Supervisor Performance Evaluation format 2.Training 3.Discipline policy needs to support 4.Review alternative behavior change measures	Jerry Burt, Diann Wilder Jerry Bartruff, Jay Nelson Michael Savala, Jerry Burt Tracy Dietsch, Jay Nelson	April 2011 April 2011 May 2011 May 2011
	Minor 1.Policy and Review – Include review of alternative sanctions 2.Technology – SharePoint, etc. 3.Training 4.Develop outcome measures (QA, etc.)	Michael Savala and Buttikofer Jerry Bartruff and John Guthrie Jay Nelson and John Guthrie Don Baker, Dave Tadman	May 2011 May 2011 May 2011 August 2011
	Major 1.Support staff 2.Hearings 3.Time-frames 4.Access Issues – Denise 5.Offenders with Mental Illness - Vicki and Doug	1. Bryan Reicks, Denise Jago, Tracy Dietsch, Renee Sneitzer 2. Renee Sneitzer, Kristian Anderson 3. Kristian Anderson, Diann Wilder, Vicki Garrett 4. Denise Jago 5. Vicki Garrett and Doug Buttikofer	April 2011 April 2011 April 2011 April 2011

