Iowa Department of Corrections

Annual Performance Report

FY 2004

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Introduction

The Department of Corrections is pleased to provide the following Annual Performance Report for Fiscal Year 04 in compliance with requirements of the Iowa's Accountable Government Act. The following pages outline the Department's overall mission and purpose, our key products and activities, and our Strategic Plan and annual Performance Plan initiatives and results.

Each year that we work with new aspects of Iowa's Accountable Government Act we learn to be more precise and data-oriented in our approach to our work. As you will see from the pages below, we are still learning how to develop effective measures and generate data to address the measures. We have made changes in our 2005 Strategic Plan and our FY 05 Performance Plan based on the lessons we have learned.

The Department is committed to the goals and principles of Accountable Government, embracing the concept that accountability and responsiveness to the people of Iowa are central to the purpose of public enterprise.

Overview

The Department of Corrections is a public safety agency within the executive branch of state government charged with the responsibility of supervision, custody, and correctional programming for convicted adult offenders who are sentenced by the state Courts for a period of incarceration in State prisons. The Department also has specific funding and oversight responsibilities with regard to the state's eight Judicial District Departments of Correctional Services (Community Based Corrections), which provide the community supervision component of Iowa's correctional system.

The District Departments (CBC) are closely aligned with the DOC and their legislatively appropriated budget is administered and allocated by the Department of Corrections

The Department, its institutions, and the District Departments are partners in the "Safe Communities" enterprise of state government. Their activities must be closely coordinated to assure offenders are placed appropriately in either the institutional or community supervision system, and receive a continuum of services throughout their supervision, whether in the institution or community setting. The system's mission statement (below) identifies our customers and major products and activities.

The Department consists of nine major institutions that operate 24 hours a day throughout the year. The Department is responsible for providing "control, treatment, and rehabilitation of offenders committed under law" to its institutions.

Currently the system employs approximately 4,000 staff, houses approximately 8,500 offenders in prison, and supervises over 28,000 offenders in the community.

There are also eight Judicial District Departments that provide supervision and services to offenders in the community on probation, parole, or work release. Each district has a number of satellite offices in communities around the state and there are a total of 23 residential facilities operated by the Districts.

The CBC charge is to "provide pretrial release, presentence investigations, probation services, parole services, work release services, programs for offenders convicted under *Iowa Code* 321J (OWI), and residential treatment centers throughout the district, as necessary".

The primary services and activities of the corrections system revolve around assessment and evaluation of the risk each offender poses to the community, effective management of each offender based on the level of risk identified and use of intervention and treatment programs that impact offenders to reduce future risk.

DOC activities and operations are administered by a Director, appointed by the Governor and advised by the Corrections Board, and a DOC executive staff, and each District Department is administered by a Director appointed by the District Board.

The District Directors are responsible for the community programs in each district, including the residential facilities. While the District Departments are not directly supervised by the State Director, each District operates through an annual purchase of service agreement with the Department of Corrections and must fulfill the requirements of the Agreement, which sets forth programming, administrative, financial, and operational requirements.

The Department's key challenges are availability of resources, managing an increasing and aging offender population, an increase in the number of special need offenders, an aging workforce and aging facilities. Other significant challenges include the development of a systematic approach to performance improvement throughout the system.

The Department's FY 04 budget is detailed in the Appendix.

 Major Departmental initiatives include development and implementation of a new automated offender tracking and data system, the Iowa Corrections Offender Network (ICON), which links staff to comprehensive offender information throughout the institutions and community-based corrections agencies, and generates outcome data on Department activities and programs. The Department has its own domain in the statewide computer system and is partnering with a number of community safety agencies in contributing data to the public safety data warehouse.

Mission Statement

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

<u>**Public**</u>
- ➢ 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

<u>**Employees**</u>
- ➢ 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

<u>**Offenders**</u>
- ➢ 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.

Values

We Value

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

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

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

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

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

STRATEGIC PLAN RESULTS

STRATEGIC PLAN

Key Strategic Challenges and Opportunities: The Department's key challenges are achieving balance between resources and workload, an increasing and aging offender population, an increase in the number of special need offenders, an aging workforce and aging facilities. Employee development is needed, particularly at the administrative and leadership level to avert a potential "succession crisis" in the next decade. Other significant challenges include the development of a systematic approach to performance improvement throughout the system, and full implementation of an automated offender database (ICON) that will provide far more offender information to staff than ever before. The Department also needs to attain the capacity to meet offender risk reduction needs, particularly to implement Evidence-Based Practices in offender programming throughout the Institutions and Districts.

Goal # 1: Restore the balance between workload and resources by either reducing prison and CBC population/caseloads or obtaining increased staff and infrastructure resources.

Strategies**:**   a) Improve corrections population management.
                    b) Restore essential level of safety and control to community supervision and prison management.

Results

Performance Measure:

List Measure

    a) Staff Recommendations for Release consideration.

    b) Institutional Assaults

    c) Technical violations of probation resulting in incarceration

Data Sources:

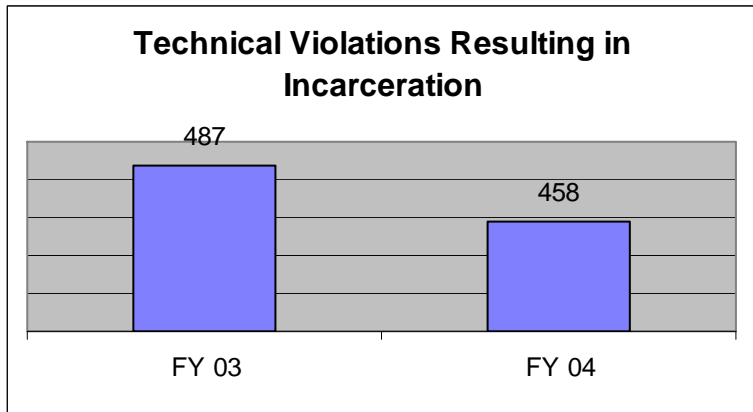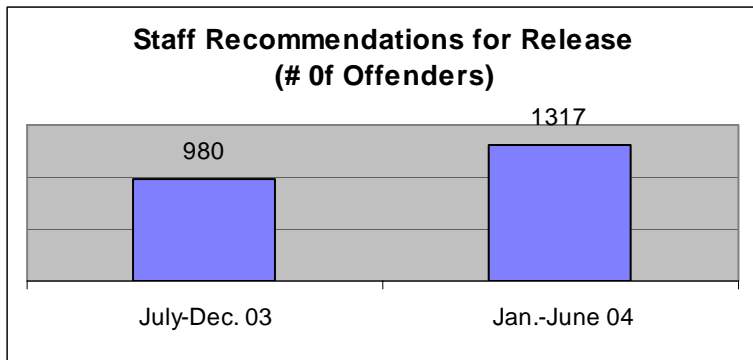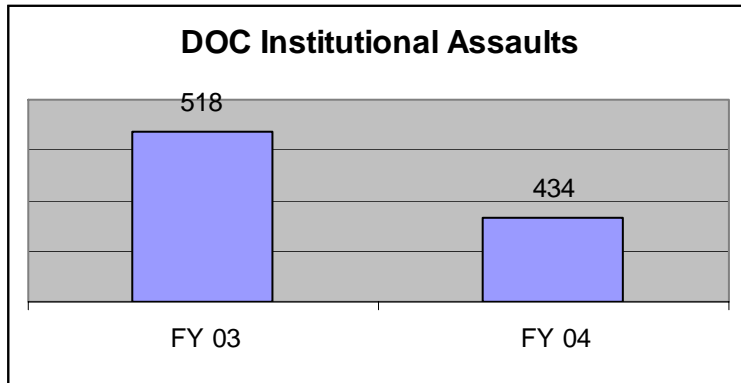List Sources

ICON and Statistical Workbooks.

Insert Chart or Graph

a)

Staff Recommendations for Release (# 0f Offenders)

980 — July-Dec. 03

1317 — Jan.-June 04

Technical Violations Resulting in Incarceration

487 — FY 03

458 — FY 04

b)

DOC Institutional Assaults

518   FY 03

434   FY 04

Data reliability: Good. ICON data is taken directly from database which records staff release recommendations. Institutional Assault data is taken from offender disciplinary reports.

What was achieved: Increased recommendations for release, reduced revocations to prison for technical violations and reduced # of assaults in prison.

Analysis of results: Targeted initiatives can result in better overall population management without increased public safety risk.

Link(s) to Enterprise Plan: None.

Goal # 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.

Strategies: a) Provide appropriate intervention strategies consistent with offender risks and needs to assure accountability and risk reduction.

Results

Performance Measure:

List Measure
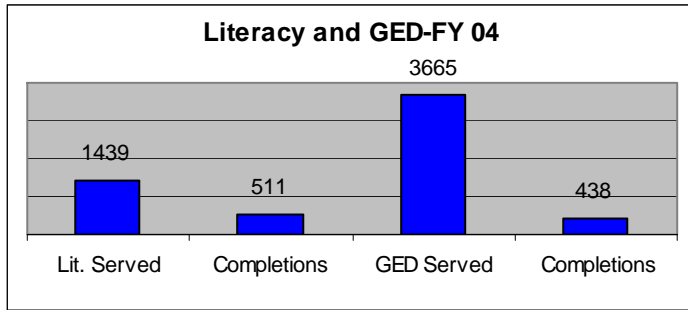a) Offender Education
Results
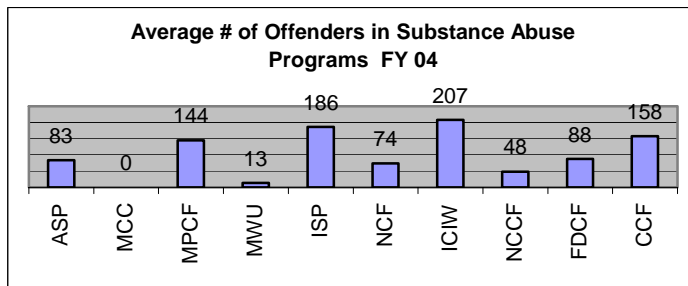b) Substance Abuse
Programming
Participation
c) Offender Public
Service Work Hours

Data Sources:
List Source

Statistical Workbooks

Insert Chart or Graph

a)

Literacy and GED-FY 04

1439	511	3665	438
Lit. Served	Completions	GED Served	Completions

b)

Average # of Offenders in Substance Abuse Programs FY 04

ASP	MCC	MPCF	MWU	ISP	NCF	ICIW	NCCF	FDCF	CCF
83	0	144	13	186	74	207	48	88	158

c)

Hours of Public Service Work Performed by Institutional Offenders for Agencies Feb-Jun 2004

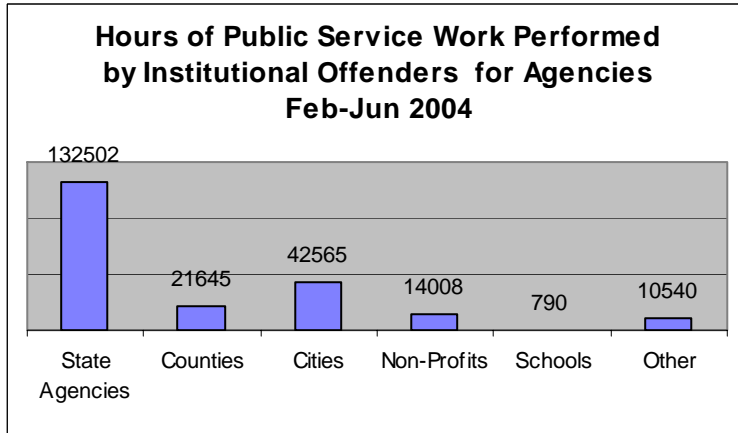| State Agencies	Counties	Cities	Non-Profits	Schools	Other
132502	21645	42565	14008	790	10540

Data reliability: Good. Data is entered directly by staff involved in providing education services, and staff responsible for offender public service work programs.

What was achieved: Offender Literacy and GED completions remained at previous levels, offender substance abuse programming was maintained (average # of offenders involved increased slightly, from 993 to 1001), and offender public service work expanded.

Analysis of results: While FY 04 results for GED and Literacy completions were comparable to FY 03, only 56% of offenders needing GED programs received it and only 32% of offenders needing Literacy programs received it. Offender public service work programs have expanded

significantly in the last year, though detailed summary data in previous years was not compiled.

Link(s) to Enterprise Plan: One of the offender accountability programs is batterer's education, which addresses the same issues involved in protecting citizens at risk of abuse, specifically spouses, dependent adults and children. Another link in this area involves offender public service work, much of which relates to improvement of the environment and supporting disaster relief efforts.

Goal # 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). Further enhance the Department's service to the taxpayers of Iowa through implementation of innovative services and increased efficiency through the "Charter Agency" program.

Strategies: a) Provide constitutionally appropriate housing and subsistence services to committed offenders.

b). Guide institutions, Districts and the Department toward the Vision, Mission and Goals so that Performance Measures and Targets can be met.

c) Create a workforce that is customer oriented, motivated, accountable, reliable, creative and dedicated, in order to retain and grow a cadre of learned corrections professionals.

Results

Performance Measure*:*	Insert Chart or Graph
List Measure	a) No adverse findings regarding compliance with constitutional
a) # of adverse findings	requirements.
regarding conditions of	b) 2004—ICTC and IMCC
confinement	2005—None
b) DOC ACA	2006—CCF
Accreditation schedule	2007—ASP, ISP, MPCF, NCF, ICIW, FDCF, NCCF.
c) CO Turnover Rate and	c) See Charts next page
Training hours	

Data Sources*:*
List Source: Statistical Workbooks

Correctional Officer Turnover Rates

Training Hours FY 04

Category	Hours
Pre-Service	15000
Policy	8472
Employee Focus	10662
Risk Mgmt.	8535
Risk Reduction	9118
Data System	1830
Trainer Prep.	1366
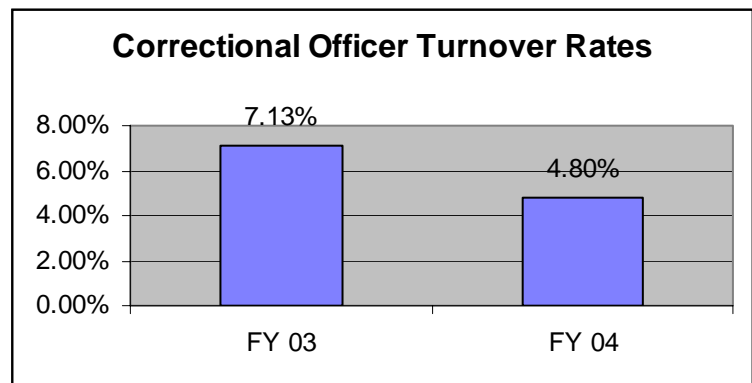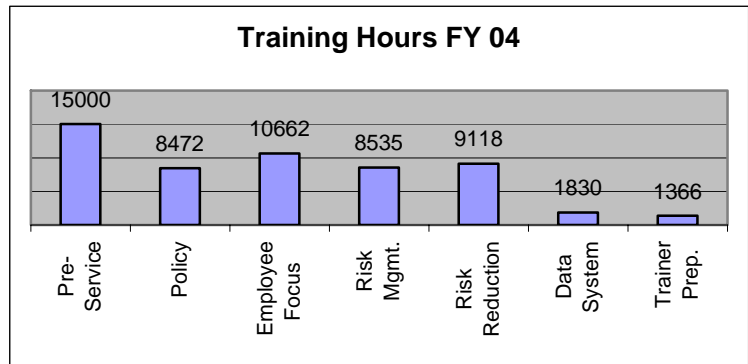
Data reliability: Good, though the system for capturing training information was not as precise or complete as needed. The DOC has now implemented a new training database to improve the quality of data collected.

What was achieved: Iowa's system continues to pass constitutional muster. Progress is being made in improving the stability and training of staff.

Analysis of results: The DOC is energetically pursuing raising standards, both those specific to corrections (ACA Accreditation) and those more generally related to government (AGA).

Link(s) to Enterprise Plan: None.

Goal # 4: Continue to dialogue with key constituent/partner groups relative to the balance of risk to public safety and the most efficient use of taxpayer money.

> **Strategies:** a) Apply the Department's monetary and human resources to make the best use of a limited commodity.
> b) 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.

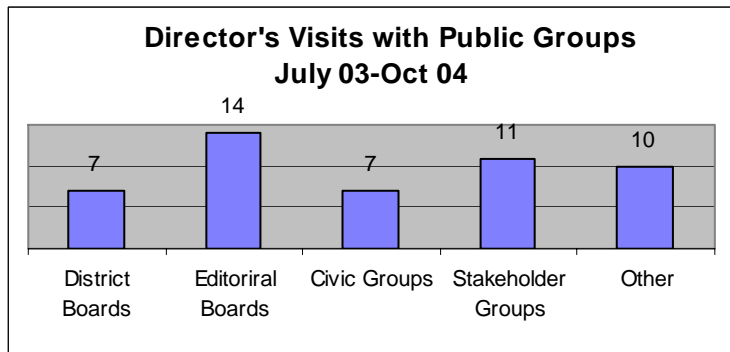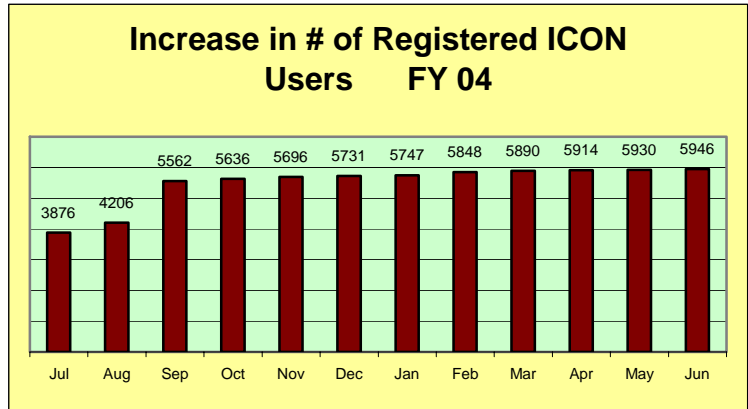| *Results* |
|---|

Performance Measure: Insert Chart or Graph

List Measure   a) See Appendix

    a) See Appendix   b)

    b) ICON usage

Data Sources:

List Source

Increase in # of Registered ICON Users   FY 04

Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
3876	4206	5562	5636	5696	5731	5747	5848	5890	5914	5930	5946

Director's Visits with Public Groups July 03-Oct 04

District Boards	Editoriral Boards	Civic Groups	Stakeholder Groups	Other
7	14	7	11	10

Data reliability: Excellent. Data is directly from ICON and the state's accounting system.

What was achieved: Continued operations of all key system components and significant expansion of the ICON offender information system.

Analysis of results: None.

Link(s) to Enterprise Plan: Completion of the ICON system will permit increased interagency cooperation, better responsiveness to the public, and increased ability to research outcomes. These will all support the goals of Accountable Government.

PERFORMANCE PLAN RESULTS TEMPLATE

Name: Activity—Offender Classification and Assessment (Risk Identification)

Description: Assess individual offenders according to their potential risk to public safety and their criminogenic needs.

Why we are doing this: The goal identifies offender's risk to public safety. This goal also includes providing information to the public and stakeholders to assist in their review of current sentencing practices.

What we are doing to achieve results: Institutions and CBC use the LSI-R; a standardized assessment instrument developed for correctional populations, and is a key component to making decisions about offender placement on the corrections continuum of sanctions.

Results

Performance Measure: List Measure—Number of LSI's completed	Insert chart or graph
Performance Target: Target 90 % of eligible offenders	**FY 04 LSI's Completed** Q1: 4761 Q2: 4791 Q3: 5065 Q4: 4754
Data Sources: List Source: ICON	
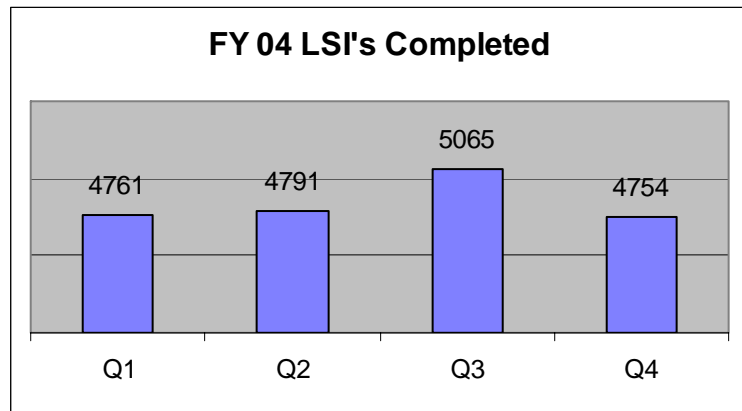
Data reliability: Fair. Data is taken directly from the ICON database, so the numbers of LSI's reported is accurate. We have not yet determined how to count accurately the actual number of "eligible" offenders.

Why we are using this measure: Evaluation is a key component of sound decisions regarding offender placement and supervision

What was achieved: Uniformity of offender assessment across the entire system.

Analysis of results: The target of 90% of "eligible" offenders was not well-conceived, though the intent of the target was achieved.

Factors affecting results: The number of LSI's completed is driven by the number of offenders entering the system.

Resources used: Staff were trained, the LSI was programmed into ICON. Staff time is required to complete the LSI on each new offender.

Offender Programming & Accountability

Description: Placement of offenders in programs that emphasize their accountability to the community for the harm they have done, that stress responsibility for both past and future behavior, and that seek to decrease the likelihood of re-offending in the future.

Why we are doing this: Restorative justice programs, in which offenders seek to make amends for previous damage caused, and rehabilitative programs, in which offenders learn skills and behaviors that reduce the likelihood of future criminal activity are key components of community safety.

What we're doing to achieve results: A large variety of programs including restitution, community service, education, substance abuse programming, criminal thinking programming, re-entry programming, work, and more.

Results

Performance Measure:
 List Measure   Number of offenders in programs, reduction of institutional violence due to program placement

Insert chart or graph

a) Offender discipline declined 22 % after admission to CCU.
b) Total DOC assaults declined after problem offenders were transferred to CCU

Performance Target:
Decrease of 5% of disciplinary reports for offenders placed in CCU, amounts of money collected from offenders for restitution, etc.

T

Assaultive Incidents by Month
FY 03 & 04

Month	FY 03	FY 04
Jul	47	29
Aug	35	24
Sep	39	20
Oct	65	44
Nov	53	36
Dec	38	26
Jan	53	36
Feb	27	22
Mar	32	24
Apr	42	13
May	35	31
Jun	52	39

Offender Repayments FY 04

Restitution	$2,185,424.70
Child Support	$367,777.61
Victim Compensation	$107,876.27

Literacy and GED-FY 04

Lit. Served	1439
Completions	511
GED Served	3665
Completions	438

Average # of Offenders in Substance Abuse Programs FY 04

ASP	MCC	MPCF	MWU	ISP	NCF	ICIW	NCCF	FDCF	CCF
83	0	144	13	186	75	207	48	88	158

Data reliability: Good, data is taken both directly from ICON based on totally recorded offender payments and from Stats workbooks where institution staff directly enter monthly data.

Why we are using this measure: These are key measures of the department's effort to hold offenders accountable and operate a system that addresses offender needs to reduce risk of re-offending.

What was achieved: Opening the CCU benefited both individual offenders placed there and the remainder of the system by having problem offenders in the special unit. Offenders performed extensive public service work, repaid obligations to society and participated in programs to reduce recidivism.

Analysis of results: Continuing to keep these statistics will enable us to measure longitudinally the

impact of program activities.

Factors affecting results: Resources available for programming, imperfect definition of some measures.

Resources used: Offender programming requires extensive resources. Staff spend many hours in both accountability and programming activities. Much offender public service work involves transporting offenders to work sites.

Basic Life Care

Description: The process of providing essential needs and services to incarcerated offenders (food, health care, laundry, etc.)

Why we are doing this: It is a constitutional requirement that incarcerated offenders receive basic standards of care.

What we're doing to achieve results: Constantly monitoring inputs, activities and outputs in variety of areas (dietary, health services, housekeeping, maintenance, etc.)

Results

Performance Measure:
List Measure: Rate of compliance with federal and state constitutional requirements

Performance Target:
Target   No violations of requirements, deficiencies addressed within 90 days.
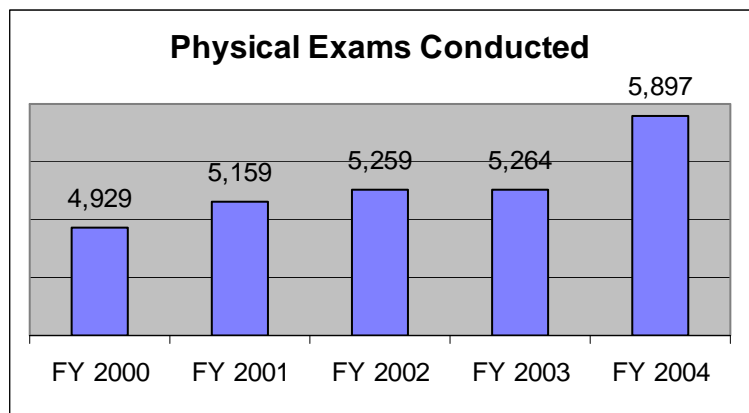
Data Sources:
List Source DOC Health Services Director, Engineer, Inspection reports, Stats Workbooks

Insert chart or graph
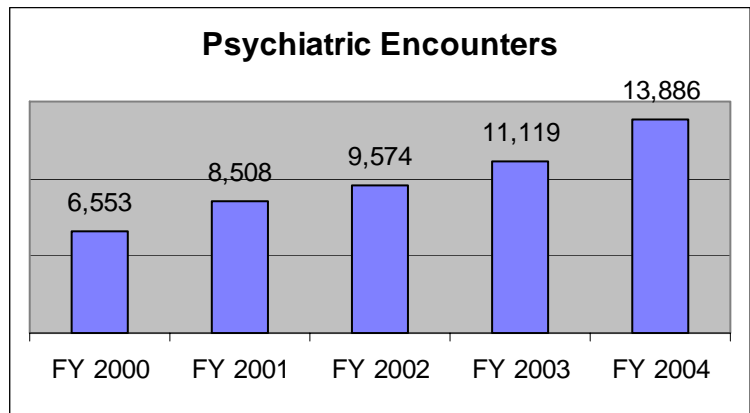a) There were no findings of constitutional violations by DOC during FY 04.

a)

Physical Exams Conducted

FY 2000	FY 2001	FY 2002	FY 2003	FY 2004
4,929	5,159	5,259	5,264	5,897

Psychiatric Encounters

FY 2000	FY 2001	FY 2002	FY 2003	FY 2004
6,553	8,508	9,574	11,119	13,886

Data reliability: Good. Data is directly from personnel responsible for areas of basic life care.

Why we are using this measure: Monitoring of these areas is essential to avoid incidents of offender injury or neglect, and also to assure that Iowa is not subject to expensive lawsuits and ongoing federal judicial scrutiny.

What was achieved: The Iowa system continues to address basic life care issues, and remains relatively safe and stable for both offenders and staff.

Analysis of results: None

Factors affecting results: Age of facilities, an aging offender population, resources for major maintenance projects, availability of staff (especially health services).

Resources used: Very extensive. Health care, food services, housekeeping and maintenance require considerable financial and staff resources.

Leadership & Oversight

Description: The process of providing a central authority to guide and direct all the elements of the system toward the same set of goals and purposes, including alignment with the Enterprise Plan. This also includes direct contact and communication with Iowans regarding the Department's direction and operations.

Why we are doing this: It is a fundamental responsibility of all organizations.

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What we're doing to achieve results: Investing heavily in new initiatives (AGA, ACA Accreditation, Evidence-Based Practices, developing Re-Entry programming, opening special purpose units), initiating meetings with public groups.

Results

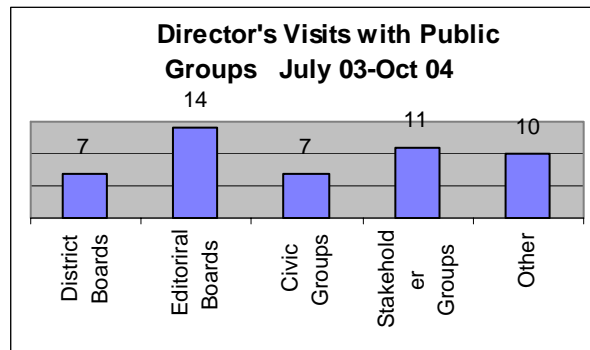|	
Performance Measure*:* List Measure # of facilities to which vision & mission statements are deployed; develop policy review process; # facilities initiating ACA Accreditation.	Insert chart or graph
	a) 100% of institutions have deployed vision & mission statements, including on employee ID's, letterhead, email signatures, etc.
	b) Policy review process was developed but is being revised.
	c) Two units have initiated ACA Accreditation process.
Performance Target*:* Target 100% of institutions deploy vision and mission statement; policy review process developed; at least one unit initiate ACA Accreditation.	d) The DOC Directors "outreach" to the community to achieve responsiveness to the public is included here as a leadership activity.
Data Sources*:* List Source General departmental operations	**Director's Visits with Public Groups July 03-Oct 04** District Boards: 7 Editoriral Boards: 14 Civic Groups: 7 Stakeholder Groups: 11 Other: 10

Data reliability: Good. These items are not actually data, but results are measured by the existence of the activity itself.

Why we are using this measure: These are key steps in assuring alignment of the department units with the DOC executive agenda and ultimately with the state Leadership Agenda.

What was achieved: A useful beginning to the AGA process, start of ACA accreditation, start of Evidence-Based Practices programming, improvement of policy review process, increased alignment of institutional operations.

Analysis of results: None

Factors affecting results: DOC is a large and diverse organization, with a wide variety of activities and functions.

Resources used: Extensive effort from the Central Office level has been required to initiate this process, a number of training and organizational meeting activities have been required.

Human Resource Management

Description: The process of providing the human resources, properly trained and assigned to accomplish the purposes and activities of the Department.

Why we are doing this: It is a fundamental part of organizational activity.

What we're doing to achieve results: Monitoring turnover rates, providing training, increasing staff recognition programs.

Results

Performance Measure:
List Measure Stabilize staff turnover rate

Performance Target:
Target Correctional Officer turnover rate below 7%.

Data Sources:
List Source DAS data

Insert chart or graph

Correctional Officer Turnover Rates
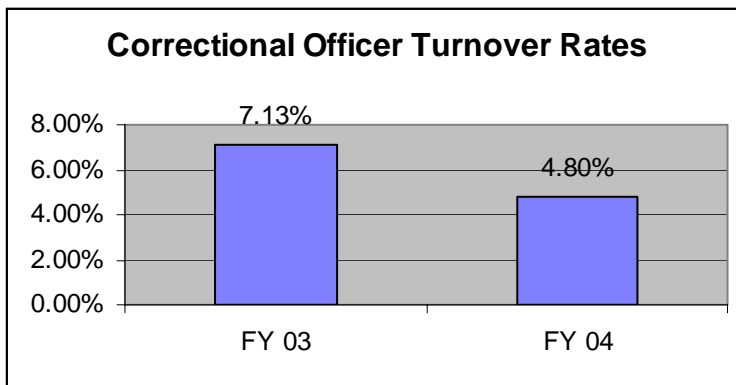
Data reliability: Good. Data is taken directly from state payroll system

Why we are using this measure: Staff turnover is a good measure of satisfaction/dissatisfaction and has major impact on organizational stability and continuity.

What was achieved: Very positive reduction of turnover.

Analysis of results: Iowa's DOC continues to address its human resource needs.

Factors affecting results: Overall economy; budget, collective bargaining.

Resources used: Extensive

Information Systems & Records

Description: Maintenance of records and transfer of information among staff to facilitate offender management.

Why we are doing this: Iowa Code requires maintenance of offender records, other agencies require information, and staff requires information to manage offenders effectively.

What we are doing to achieve results: Developing a state-of-the-art offender information database for use across the entire corrections system in Iowa.

Results

Performance Measure: List Measure Number of registered users in ICON

Performance Target: Target Increase registered users by 25%

Data Sources: List Source ICON

Insert chart or graph

Increase in # of Registered ICON Users FY 04

	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
	3876	4206	5562	5636	5696	5731	5747	5848	5890	5914	5930	5946
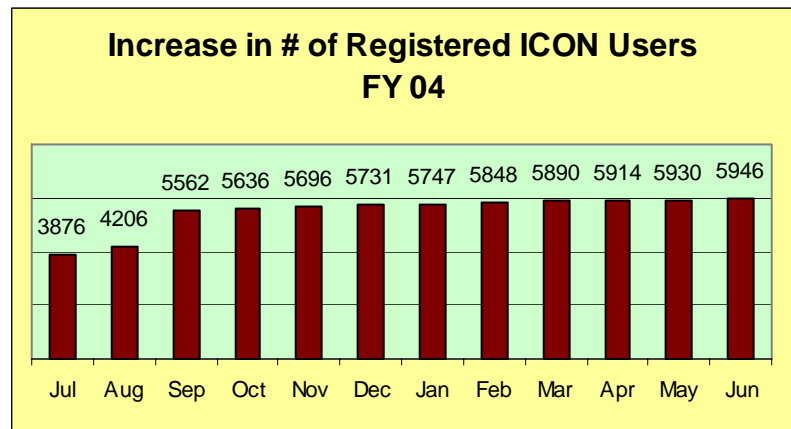
Data reliability: Excellent

Why we are using this measure: Deployment of the ICON system throughout institutions and CBC is measured by the number of users.

What was achieved: # of registered users increased by 53%.

Analysis of results: Deployment of ICON is proceeding extremely well.

Factors affecting results: Policy decisions regarding staff access to ICON, resulting in maximization of use of the system.

Resources used: Monies for continued development of database, training staff, additional time is required to capture data not previously kept.

Offender Supervision, Custody & Treatment

Description: One of the two key core functions of DOC is the day-to-day management and control of the offender population, and the ongoing effort to involve offenders in programs that require them to make compensation to the community for harm done by their criminal behavior, and encourage development of pro-social behaviors that reduce the likelihood of future criminal behavior.

Why we are doing this: This is the central purpose of the Department.

What we're doing to achieve results: constantly monitoring CBC and institutional operations, implementing Evidence-Based Practices, developing specialized housing units, developing re-entry programs, focusing on policy deployment and compliance, training staff, etc.

Results

Performance Measure:
List Measure # of critical incidents; findings of constitutional violations; offenders meeting court-ordered obligations.

Performance Target:
Target No increase in # of critical incidents, no findings of constitutional violations, 100% of offenders have restitution plans.

Data Sources:
List Source ICON, Stats workbooks

Insert chart or graph
a) Institutional assaults decreased from 518 in FY 03 to 434 in FY 04.
b) There were no escapes from medium or maximum custody institutions in FY 04.
c) There were no constitutional violations identified.
d) It is policy that all institutional offenders have restitution plans filed. However, the ICON module that will actually generate the data is not yet fully operational.

DOC Institutional Assaults

	518		434	
	FY 03		FY 04	
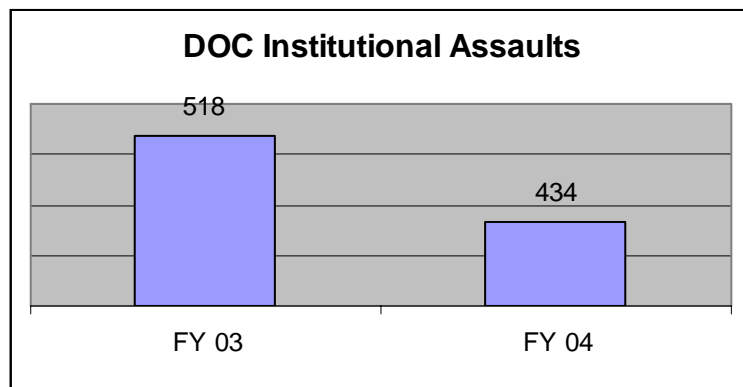
Data reliability: Good.

Why we are using this measure: The central measure of the effectiveness of the DOC is determined by prevention of escapes, operation of a constitutional system, and requiring offenders to

compensate for damage caused.

What was achieved: Reduction of assaults, compliance with constitutional requirements, offender accountability.

Analysis of results: Internally, the system was safer and more stable due to opening of special housing units; externally the public was protected as required by law.

Factors affecting results: Offender population, staffing levels, type of facilities, budget for equipment and training.

Resources used: The vast bulk of the Department's staff are institutional and field staff (only 1.2 % of DOC staff were Central Office), most of whom are directly involved in the process of supervising and providing programming for offenders. Thus, the bulk of the Department's $261 million budget is devoted to salaries for staff involved in this function.

Resource Management

Description: This core function is similar to that in other state departments, namely, the activities involved in operating and maintaining the physical and human resource assets of the Department.

Why we are doing this: It is essential to accomplishing our other core function.

What we're doing to achieve results: Developing the ICON system, focusing on policy deployment and compliance, pursuing ACA Accreditation.

Performance Measure:
List Measure Inmate Daily costs; completion of ICON system; caseload size compared to national average; # of institutions exceeding rated capacity
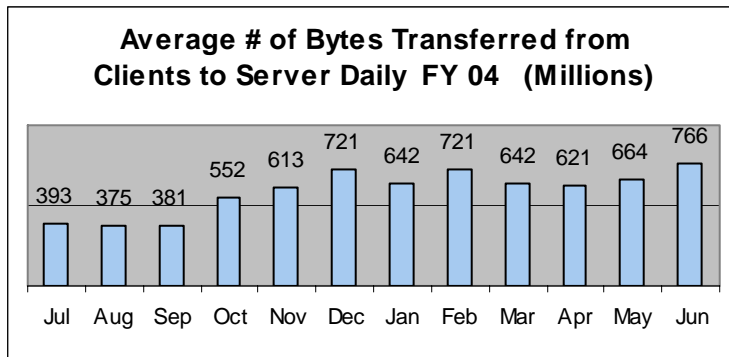
Performance Target:
Target Specific targets not identified

Data Sources:
List Source ICON, Stats Workbooks

Insert chart or graph

Comparison of Institutional & Residential Costs FY 04

	Cost
ASP	56.66
MCC	82.64
MPCF	51.44
MWU	81.87
ISP	100.98
NCF	53.98
ICIW	61.74
NCCF	43.82
FDCF	57.49
CCF	60.96
CBC	54.48

Average # of Bytes Transferred from Clients to Server Daily FY 04 (Millions)

Month	Value
Jul	393
Aug	375
Sep	381
Oct	552
Nov	613
Dec	721
Jan	642
Feb	721
Mar	642
Apr	621
May	664
Jun	766
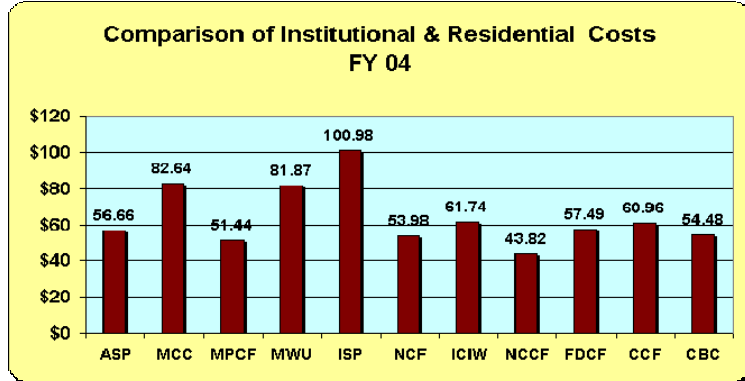
Iowa CBC caseloads average around 110 clients per supervising officer. National caseload figures for FY 04 are not available. There is a time lag in availability of this data. In recent years Iowa has had a higher caseload than the national average.

June 30, 2004 Institutional Population as a % of Capacity

Institution	%
ASP	136%
CCF	120%
FDCF	98%
ISP	99%
ICIW	114%
MPCF	123%
MWU	95%
NCF	113%
MCC	155%
NCCF	187%
DOC	123%
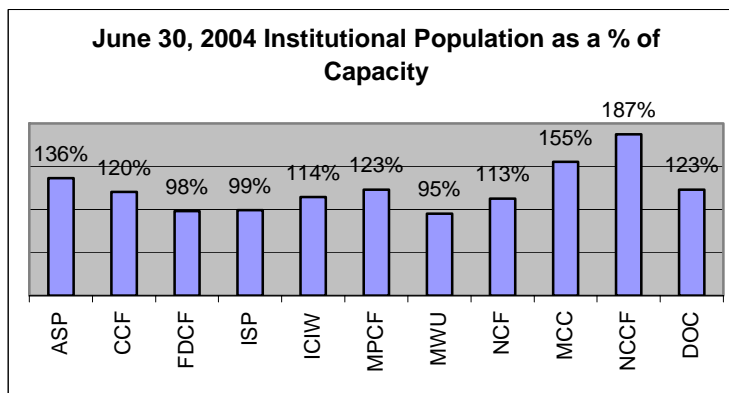
Data reliability: Good, data is from ICON and stats workbooks.

Why we are using this measure: These measures are useful overall benchmarks of the DOC efficiency and effectiveness. Controlling daily costs, implementing ICON, seeking to assure appropriate capacity for workload, are fundamental to organizational stability and community safety.

What was achieved: DOC continues to operate efficiently and to implement improvements (ICON) that will facilitate efficient and effective operations in the future.

Analysis of results: Iowa has historically operated very efficiently, and this continues. The most recent available national data confirms this, but was from 2002 and was thus not included in this report. (See DOC Iowa Excellence Initiative 2004 Self-Assessment, this data is included in Category 7 of that report).

Factors affecting results: DOC budget, workload (determined by the Courts and the Parole Board, which decide how many offenders enter the system and how many offenders are released, respectively).

Resources used: Budget compliance and management is accomplished through a central administration Deputy Director and staff, and local units each have a CFO and staff. ICON development is accomplished through an ongoing staff core group and contract with a software developer.

	LEGISLATIVE ACTION	DEPT. REVISED BUDGET	ACTUAL REVENUE AND EXPENDITURE	ENCUMB-RANCES	ACTUAL ENCUMB-RANCES	+ PERCE (Actual Budget
FTE POSITIONS						
Correctional Officer	1,649.00	1,673.18	1,586.18	-	1,586.18	94.80%
Total Staffing	3,053.32	2,965.64	2,793.75	-	2,793.75	94.20%
RESOURCES AVAILABLE						
Appropriation	252,759,883	265,817,449	265,817,449.00		265,817,449.00	
Salary Adjustment	3,190,551	-	-		-	
Workers Compensation	6,435,919	-	-		-	
Tobacco Settlement	610,000	610,000	610,000.00		610,000.00	
FY 2003 Balance Forward	-	530,821	530,821.42		530,821.42	
Appropriation transfer			(115,000.00)		(115,000.00)	
Appropriation transfer		(688,361)	(688,361.00)		(688,361.00)	
De-appropriation	-	(500,000)	(500,000.00)		(500,000.00)	
Re-Allocation	-	-	-		-	
Intra State Transfer	-	-	-	-	-	
Miscellaneous Receipts	3,863,202	4,658,586	6,566,900.33	-	6,566,900.33	140.96%
TOTAL RESOURCES AVAILABLE	266,859,555	270,428,495	272,221,809.75	-	272,221,809.75	

FUNDS EXPENDED AND ENCUMBERED						
Personnel Services	167,525,899	169,853,487	167,548,784.25	-	167,548,784.25	98.64%
Personnel Travel I/S	108,896	106,756	140,529.31	-	140,529.31	131.64%
State Vehicle Operations						136.68%

	407,621	453,621	620,021.53	-	620,021.53	
Depreciation	160,000	100,000	247,420.57	-	247,420.57	247.42%
Out-State Travel	18,300	18,691	37,837.58	-	37,837.58	202.44%
Office Supplies	679,174	381,345	539,401.45	-	539,401.45	141.45%
Facility Maint Supplies	1,138,812	934,211	794,750.23	-	794,750.23	85.07%
Equipment Maint Supplies	708,890	543,225	526,937.30	-	526,937.30	97.00%
Professional Supplies	590,125	555,286	533,861.65	-	533,861.65	96.14%
Housing Supplies	2,504,516	2,092,287	1,998,130.74	-	1,998,130.74	95.50%
Ag Cons Supplies	41,535	36,535	23,652.13	-	23,652.13	64.74%
Other Supplies	525,590	441,923	386,123.69	-	386,123.69	87.37%
Printing and Binding	832	832	-	-	-	0.00%
Drugs & Biologicals	4,057,964	3,788,215	4,921,099.54	-	4,921,099.54	129.91%
Food	9,659,098	8,441,874	8,688,572.93	-	8,688,572.93	102.92%
Uniforms	1,419,901	1,239,342	958,661.64	-	958,661.64	77.35%
Postage	-	175,218	93,601.85		93,601.85	
Communications	676,602	652,157	780,325.66	-	780,325.66	119.65%
Rentals	49,853	52,048	45,797.32	-	45,797.32	87.99%
Utilities	6,762,624	6,408,068	6,859,918.39	-	6,859,918.39	107.05%
Professional Services	1,798,384	1,612,503	3,522,669.67	-	3,522,669.67	218.46%
Outside Services	3,385,919	4,026,056	3,361,439.24	-	3,361,439.24	83.49%
Intra State Transfers	2,801	3,151	397,000.00	-	397,000.00	12599.1
Advertising & Publicity	2,225	2,626	495.87	-	495.87	18.88%
Outside Repairs	1,029,005	1,014,527	907,507.30	-	907,507.30	89.45%
Data Processing	1,000	1,000	-	-	-	0.00%
Auditor Reimbursement	2,918	2,620	-	-	-	0.00%

Reimb Other Agencies	142,761	121,457	455,953.08	-	455,953.08	375.40%
Facility Improvement Reimb	-	-	-	-	-	0.00%
ITS Reimbursement	233,821	231,821	178,223.30	-	178,223.30	76.88%
Workers Compensation	1,256,754	1,619,169	1,639,243.80	-	1,639,243.80	101.24%
Equipment	190,756	495,495	489,081.73	-	489,081.73	98.71%
Office Equipment	67,681	70,267	37,832.21	-	37,832.21	53.84%
Equipment Non-Inventory	203,365	187,615	143,036.78	-	143,036.78	76.24%
DP Inventory	721,244	587,366	65,009.34	-	65,009.34	11.07%
DP Non-Inventory	339,780	427,350	654,334.64	-	654,334.64	153.11%
Claims	900	1,000	54.32	-	54.32	5.43%
Other Expenses	3,077,699	3,052,084	3,126,483.65	-	3,126,483.65	102.44%
Securities	100	-	-	-	-	0.00%
Licenses	8,400	8,100	8,967.49	-	8,967.49	110.71%
Fees	-	-	26,787.58	-	26,787.58	0.00%
State Aid and Appropriations	57,347,810	60,476,167	60,476,167.00	-	60,476,167.00	100.00%
Capitals	10,000	213,000	208,509.25	-	208,509.25	97.89%
Legislative reduction	-					
TOTAL EXPENSES AND ENCUMBRANCES	266,859,555	270,428,495	271,444,224.01	-	271,444,224.01	100.38%
ENDING BALANCE					777,585.74	
Supplemental					-	
Reversion					277,864.99	
Balance Forward **ENDING BALANCE**					499,720.75	

0.00

Percent of actual Funds Available expended 99.71%   Encumbered 99.71%

Percent of Support Budget expended 103.90%   Encumbered 103.90%

Percent of Equipment Budget expended 51.33%   Encumbered 51.33%

Percentage of Year Expended = 100.00%