

7th Judicial District Department of Correctional Services

ANNUAL REPORT

Fiscal Year 2002

(July 1, 2001 - June 30, 2002)

This Annual Report is prepared pursuant to Section 905.4 of the Code of Iowa. The report includes an overview of fiscal year 2002, proceedings of the Board of Directors, fiscal statements, and statistics illustrative of the Department's general workload and case activities.

Additional information about the Department of Correctional Services may be obtained by contacting:

James Lee Wayne, District Director
Department of Correctional Services
605 Main St.
Davenport, Iowa
563-322-7986

Also available for review is the Department's Budget and related information.

Leroy Moeller
Chairman
Board of Directors

JAMES LEE WAYNE
District Director

ANNUAL REPORT

FISCAL YEAR 2002

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Highlights and Major Events in Fiscal Year 2002

Budget Issues

Fiscal Year 2002 could be best described as the year of the Budget Cut. The Fiscal Year began with making budget reductions to balance the Department budget for the fiscal year. Early in the Fiscal Year Governor Vilsack requested input on impact of a 7% budget cut which was followed by an eventual lower budget cut after results of a special Legislative session. Budget reductions were made again during the 2002 Legislative Session and additional cuts made heading into Fiscal Year 2003.

The Department was forced to leave vacant all the positions that came vacant or were vacant at the start of the Fiscal Year. Due to potential layoffs, several staff members chose to take other employment. The pending potential for layoffs, understandably so made many staff very uneasy. The Special Session of the Legislature in November 2001, due to the need to make budget reductions, enacted a special early out retirement option which was adopted and approved by the Board of Directors for Department employees. Three employees selected that option and retired in January 2002. In total, nine positions have been left vacant and remain vacant as of January, 2003 in order to reduce operational expenses consistent with appropriations and available funds. The loss of the three retired employees, who contributed significantly to the Department and represented over 75 years of experience, and the other employees has significantly impacted the Department and services the Department provides.

Due to the turnover, vacancies, early retirements, and reductions in operational expenses, generation and use of local income, the Department was able to avoid Department staff layoffs and many program reductions. The Department was forced to eliminate the contract with the Safer Foundation for employment related services and a contract for community service sentencing monitoring in Clinton. In addition some auxiliary services and programming have been reduced or eliminated.

Community Resource Center Building Concerns

Due to the allegations of a staff member that she became ill as a result of exposure to mold and the subsequent Indoor Air Quality investigation, the Department worked to improve conditions and also to seek funding for relocation. Funding was not approved by the Legislature in 2002 but relocation plans have been resubmitted for consideration for funding for the Fiscal Year 2004 budget. Based upon a determination that repairs at the Community Resources Center, which houses the Work Release Center and Department offices, could exceed \$3,500,000, it was deemed more cost effective to seek relocation than repairs and remediation at the current site. An expert witness, retained by the original employee seeking compensation, took samples, provided consultation, and reported on his opinions on the

building and mold exposure. He did not recommend that the Department vacate the building but, recommended consultation with the Health Department and OSHA regarding continued operations. Both conducted their own investigations and review of previous studies and concluded that they did not recommend that the building be closed as a health hazard to employees. Iowa OSHA did recommend many repairs and changes that were consistent with prior recommendations. Several more employees and former employees have provided notice of their belief that they have been injured due to exposure to mold. The firm under contract with the State of Iowa to investigate and manage worker's compensation claims is investigating those claims. For the purposes of workers compensation, Department employees are considered state employees.

Department employees working in the Community Resources Center building have been provided and reviewed much information regarding potential health hazard of mold exposure. This topic of mold as a health hazard is of considerable public concern and debate in Iowa and elsewhere. In general, the information available today is inconclusive about the health hazards. The current medical and public health literature identifies some known and established health hazards associated with mold, but does not satisfactorily respond to the how and how much exposure nor to the multitude of allegations made regarding mold exposure causing many types of illnesses and conditions. Based upon the results of a vote taken by AFSCME, union representing Department employees, the majority of the employees did not believe that it was necessary to close the Community Resources Center building, prior to relocation, which would result in loss of beds for use by the Work Release Center as well as lost jobs. Although the majority of employees may be satisfied with the current conditions, the Department does have a responsibility to provide a healthy work environment and will have to continually evaluate and reevaluate the appropriateness of terminating operations in the Community Resources Center building.

Probation Revocations and New Court Commitments to Prison

To address the increasing prison population, the Iowa Legislature had provided increased funding for community corrections for several years. Data generated by the Iowa Department of Corrections showed that in fact probation revocations, in particular for technical violations, had been reduced and offenders in prison from the 7th Judicial District was also reduced. Unfortunately, it is likely that budget cuts may be reversing the progress that had been achieved.

Drug Court

With the support of the District Court Judges and Scott County Attorney, the Department applied for and was approved for funding by the Governor's Office of Drug Control Policy for Federal Byrne Grant funds for a Drug Court program beginning July 1, 2002. Additional financial support was provided by the Riverboat Development Authority and two other local foundations.

Court Compliance

The Court Compliance Program administered by the Department and funded by Scott County continued performance that helped reduce the need for jail space in Scott County. This program focuses on providing specific assistance to offenders, convicted of misdemeanor crimes and give an unsupervised probation sentence, to help them complete court ordered requirements of a suspended sentence and avoid possible jail time for non-compliance.

ICON

ICON, an offender database information system, was implemented in August 2000. Department staff continued during Fiscal Year 2002 to make better use of that system and other automated systems to improve productivity. Many reviews of exception reports and other output data clearly indicates that the Department employees are leading the state in use of ICON. That system is planned to be expanded to include corrections institutions in the next two years.

Staff & Volunteer Recognition

The following persons provided their services to the Department for many years and the accomplishments of the Department for many years have been as a result of their hard work. Their work will be missed greatly.



Jerry Spencer, Assistant District Director

Jerry began work in corrections in 1970 as a Parole officer and worked in Corrections for over 31 years until he chose to take an early retirement option in January 2002. He also held positions of Parole and Probation Supervisor and Assistant District Director(1977 – 2002). Jerry was instrumental in formation of the Department in 1974 and in the continued growth of the Department at many stages. Jerry was a major contributor and leader in the development of the Iowa Offender Risk and Needs Classification system and workload management systems. He made significant contributions on both a District and statewide level in such areas as policy and procedure development, training, and accreditation.



Dennis Timmerman, Personnel and Training Officer

In November 1970 Dennis was appointed as a Parole Officer for the Bureau of Adult Corrections of the Iowa Department of Social Services. During his over 31 year career he worked as Supervisor, Assistant Director, and other administrative positions. He elected to retire as a part of an incentive early retirement program implemented in 2002. Dennis had an active role in development and operations in many critical functions for the Department including AA/EEO, ICBC – automated offender information system, training, statistical tracking and record keeping, pre-employment testing, newsletter, annual reports, and many other roles. He also served as the Department’s unofficial “grammarian”.



Mary Jo England, Probation and Parole Officer

Mary Jo began with the Department in 1976 as a part-time Pretrial Release Interviewer and was promoted to fulltime lead interviewer with a few months. She carried a probation caseload and also a pretrial supervision caseload at various times during her employment. She spent the most years as lead investigator in the Pretrial Release Unit in Scott County. Mary Jo was acting supervisor for a period of time in that unit. Mary Jo was actively involved in the Iowa Corrections Association and served as President for one term. She was highly regarded for her role in the criminal justice system in Scott County and was involved in many positive improvements during her work in corrections. She chose to leave the Department’s employment through an early retirement program in 2002.



Bob Holden, Volunteer and Board Member

Several years after retirement from employment with the Department of Defense at the Rock Island Arsenal, Bob chose to volunteer as a Probation Officer Aide with this Department through the SCORE program. He volunteered at least one day a week and often more for the Department. He became very familiar with the Department's operations and performed work in a variety of areas. Although many years older than many of the employees that he worked with, Bob enjoyed his volunteer work with the Department. Bob received the Iowa Volunteer Award from Governor Vilsack for his work for this Department and others. Bob began volunteering with this Department in 1986 and continued volunteer work until a few months before his death in December 2001. He was appointed as a judicial appointee by Chief Judge James Havercamp in 1993 and served on the Departments Board of Directors until his death.

Key Statistical Information

The following information was obtained from the Criminal Justice Data Warehouse using information from ICON (Iowa Corrections Offender Network – offender database system used by District Departments and the Department of Corrections) and ICIS (Iowa Court Information System)

- **Restitution Collection:** The significance of victim restitution can never be emphasized enough. This is why the Department places a high premium on its collection. For FY '02 an astounding **\$881, 590** was collected in Clerk of Courts offices in this District. This represents restitution collected from all offenders.
- **Pretrial Release Investigations:** The Department completed 4, 088 investigations of the 17, 247 that were completed statewide.
- **Presentence Investigations:** 785 investigations were completed.
- **Enrollment Fees** for probation and parole supervision were collected from offenders in the amount of \$183,013 which offsets the public expense to supervise offenders.
- **LSI Assessment and Reassessments:** 1,659 LSI assessment and reassessments were completed. The LSI (Level of Services Inventory) is an assessment tool used by Department staff to assess and classify offenders for the purposes of case planning and risk management. The higher score represent a higher risk and need for supervision and services.
- **Field Supervision Offenders:** 1,544 offenders were on active field supervision on pretrial, probation, or parole supervision as of June 30, 2002.
- **Residential Supervision:** 181 offenders were residents of either the Work Release Center or Residential Corrections Facility or in transition supervision as of June 30, 2002.

Board of Directors Summary of Meetings

The Department's Board of Directors meets monthly on the morning of the second Friday of each month except when meetings are rescheduled or cancelled as approved by the Board or Board Chairperson. The is a brief summary of key items considered and significant actions taken at each meeting.

July 2001

- ❖ Reviewed the final results of the Indoor Air Quality report for the Community Resources Center
- ❖ Discussed issues regarding building purchase and continued leasing
- ❖ Approved pay increases for non-contract staff effective in January 2002
- ❖ Approved Fiscal Year 2002 Budget
- ❖ Approved Contracts for Services for FY 2002
- ❖ Reviewed summary of relevant legislation passed in 2001 Legislative session

August 2001

- ❖ Discussed issue of relocation and possible sites
- ❖ Approved report for submission to DOC
- ❖ Discussed FY03 budget request
- ❖ Finalized District Director's Performance Evaluation
- ❖ Accepted audit report from Office of Auditor of State on this Department

September 2001

- ❖ Observed a moment of silence in honor and respect of those that were killed or injured in the terrorist attacks and events of September 11th.
- ❖ Approved submission of budget request to Department of Corrections for relocation of Work Release Center and offices
- ❖ Approved FY03 Budget Request
- ❖ Approved pay increase for District Director effective January 2002
- ❖ Discussed plans for Legislative Open House
- ❖ Discussed CRC lease renewal issues and plans stated by Lessor

October 2001

- ❖ Discussed draft plans for a possible 7% budget cut to be made by Governor Vilsack and approved a plan for submission to the Department of Corrections to implement
- ❖ Approved increase in resident rent by \$2 per day
- ❖ Discussed possible sites for relocation
- ❖ Approved plans for Legislative Open House following the December meeting
- ❖ Received a report on employee health concerns related to the mold from AFSCME Chapter President Mary Schave and discussed a plan of action

November 2001

- ❖ Adopted plan for budget reductions due to state budget cuts which did not require layoffs
- ❖ Approved participation in early retirement plan as passed in the November special legislative session

- ❖ Heard a report on possible relocation sites and the results of tours by several staff members of those locations
- ❖ Reviewed proposed changes in lease renewal for CRC building

December 2001

- ❖ Approved restoring funding for community service sentencing contracts that had been cut as part of budget reduction plan to the extent possible
- ❖ Discussed relocation status and issues
- ❖ Received report on initial results from employee health surveys
- ❖ Approved renewal lease with Community Resources Corporation for CRC
- ❖ Approved renewal of lease for adjoining parking lot with Priester
- ❖ Discussed Judicial District reorganization proposal being made by Chief Justice
- ❖ Meeting with area legislators followed Board meeting

January 2002

- ❖ Continued discussion on CRC lease renewal
- ❖ Reviewed sections of a report from United Services on CRC building which identified additional issue of concern of asbestos in the CRC building
- ❖ Discussed an additional possible site for relocation and related issues
- ❖ Approved change in Policy and Procedures to provide for different staff as authorized signatures on bank accounts due to planned retirement of Assistant District Director and Administrative Assistant.

February 2002

- ❖ Discussed proposed Legislation being considered by Iowa Legislature and Governor's Recommended Budget for FY2003
- ❖ Discussed spending limitations correspondence from DOC Director Kip Kautzky
- ❖ Discussed relocation issues and current status

March 2002

- ❖ District Director Jim Wayne reported that CRC building renewal lease had been approved and signed
- ❖ New Board member Clancy Simmons was introduced. He was appointed by Chief Judge Nahra to replace Bob Holden
- ❖ Discussed additional budget reduction recently approved by the Legislature due to declining state revenue
- ❖ Review corrections related legislation being considered by the Iowa Legislature
- ❖ Approved submission of a grant request for a Drug Court program
- ❖ Discussed issues regarding building status and work being done in the building
- ❖ Provided updated information regarding potential relocation sites

April 2002

- ❖ Discussed additional budget reduction impact based upon likely appropriations
- ❖ Was provided updated information regarding the status of several possible relocation sites and authorized a preliminary offer to purchase be made on one site
- ❖ Discussed information provided by Attorney General's office as preliminary data from Dr. Lipsey who did a building review at the request of the employee who is claiming injury due to exposure to toxic mold
- ❖ Was informed that Director Wayne requested management staff to prepare contingency plan for closing the CRC if needed with 24 hour, 30 day, or 90 day notice should that course of action be required

May 2002

- ❖ Reviewed summary of Legislation passed in recently ended session of the legislature

- ❖ Jim Wayne provided status information on potential relocation sites and status of issues related to current CRC building
- ❖ Reviewed contingency plans that were prepared for vacating CRC building location if needed

June 2002

- ❖ Discussed the Legislative Fiscal Bureau Notes on Bills and Amendments(NOBA) on appropriation bill and amendment to appropriation from the Second Special Session of the Iowa Legislature and the potential impact on this Department
- ❖ Review letter from DOC Director Kautzky to the Iowa Department of Health requesting that the Health Department review the CRC building to determine whether a hazard exists that would require vacating the building or relocation. Jim Wayne reported that a team from the Health Department has been formed to review information about the building regarding mold and Indoor Air Quality.
- ❖ Discussed the verbal response received to the Department's offer to purchase a relocation site
- ❖ Board adopted a motion that primary relocation efforts be focused on new construction, secondary focus on efforts to relocate to an existing and remodeled location due the lack of success to date locating an appropriate site, and less consideration be given to proximity of the location to the Courthouse.
- ❖ Approved contracts for services for Fiscal Year 2003
- ❖ Discussed the District Director's Performance Evaluation

Monthly Reoccurring Actions

- ❖ Review and approve monthly fiscal reports
- ❖ Approval of minutes from previous meeting and set next meeting date

2001 - 2002 Board of Directors

LeRoy Moeller, Board Chairman

Supervisor from Cedar County

Lewis Todtz, Vice Chairman

Supervisor from Clinton County

Otto Ewoldt

Supervisor from Scott County

Bob Holden

Judicial Appointee

Clancy Simmons

Judicial Appointee - January 1, 2002

Bob Petersen

Citizen Board Appointee

Esther Dean

Citizen Board Appointee

Dave Maehr

Judicial Appointee

John Oberhaus

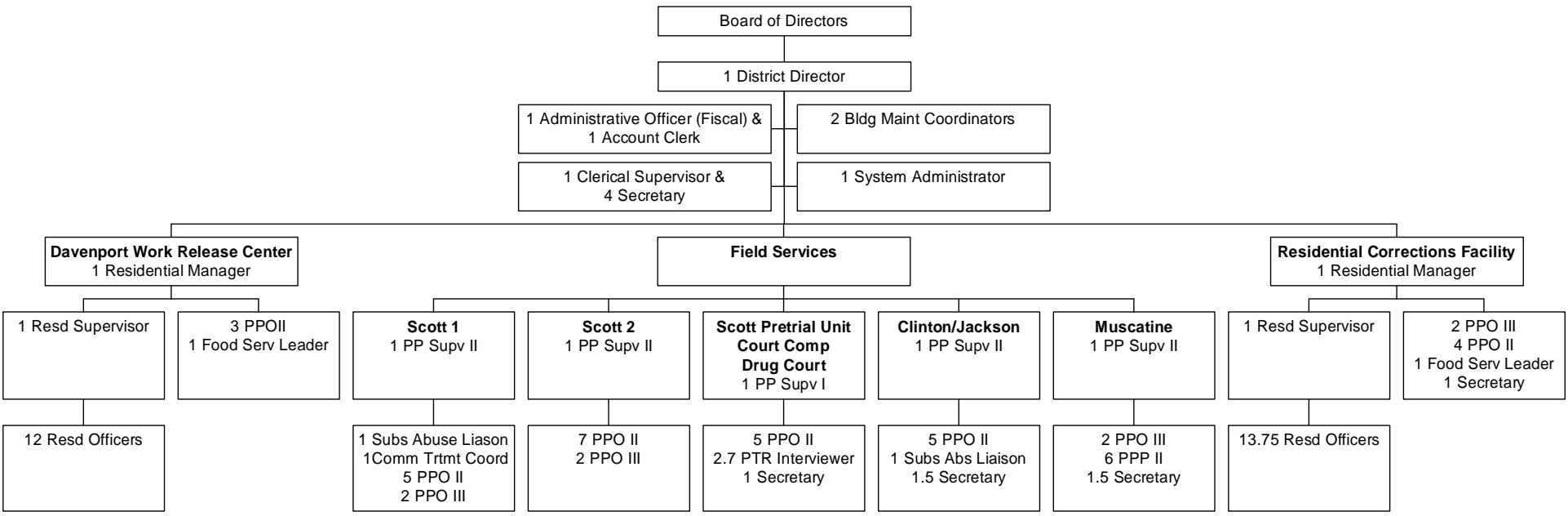
Supervisor from Muscatine County

J.C. Engel

Supervisor from Jackson County

Table of Organization

Seventh Judicial District Department of Correctional Services Table of Organization July 2002



SEVENTH JUDICIAL DISTRICT DEPARTMENT OF CORRECTIONAL SERVICES

**Balance Sheet
June 30, 2002**

ACCOUNT GROUPS

	GENERAL FUND	GENERAL FIXED ASSETS	GENERAL LONGTERM OBLIGATIONS
ASSETS			
Cash and Investments	418,486	0	0
Accounts Receivable	83,150	0	0
Prepaid Expense	1,360	0	0
Fixed Assets	0	1,310,326	0
Amount to be provided for retirement of longterm obligations	0	0	607,031
TOTAL ASSETS	502,996	1,310,326	607,031
LIABILITIES			
Accrued Payroll	111,978	0	0
Accounts Payable	61,819	0	0
Due to State Treasurer	165,011	0	0
Compensated Absences	0	0	607,031
Obligations Under Capital Lease Agreements	0	0	0
TOTAL LIABILITIES	338,808	0	607,031
FUND EQUITY			
Investment in Fixed Assets	0	1,310,326	0
Unreserved Fund Balance	164,188	0	0
TOTAL FUND EQUITY	164,188	1,310,326	0
TOTAL LIABILITIES AND FUND EQUITY	502,996	1,310,326	607,031

SEVENTH JUDICIAL DISTRICT DEPARTMENT OF CORRECTIONAL SERVICES
Comparison of Actual Revenues and Expenditures to Budget
For Year Ended June 30, 2002

	ACTUAL	BUDGET
<u>REVENUES BY SOURCE</u>		
State POS	5,159,647	5,159,647
Intrastate Transfer	124,268	0
Interest	37,686	38,558
Residential Client Fees	281,038	263,441
Work Release Client Fees	110,553	111,055
Federal Client Fees	450,436	407,003
OWI Client Fees	137,762	218,042
County Support	123,881	123,881
Enrollment Fees	183,013	219,848
Federal Pass Thru	42,905	43,366
Batterers Education Program Fees	66,386	73,715
Miscellaneous Income	14,472	16,321
Total Revenues	6,732,047	6,674,877

<u>EXPENDITURES BY SOURCE</u>		
State POS	4,994,636	5,159,647
Interest	37,686	38,558
Residential Client Fees	281,038	263,441
Work Release Client Fees	110,553	111,055
Federal Client Fees	450,436	407,003
OWI Client Fees	137,762	218,042
County Support	123,881	123,881
Enrollment Fees	183,013	219,848
Federal Pass Thru	42,905	43,366
Batterers Education Program Fees	64,236	73,715
Miscellaneous Income	14,472	16,321
Intrastate Transfer	124,268	0
FY00 Carry Forward Funds	0	162,037
Total Expenditures	6,564,885	6,836,914

SEVENTH JUDICIAL DISTRICT DEPARTMENT OF CORRECTIONAL SERVICES
For Year Ended June 30, 2002

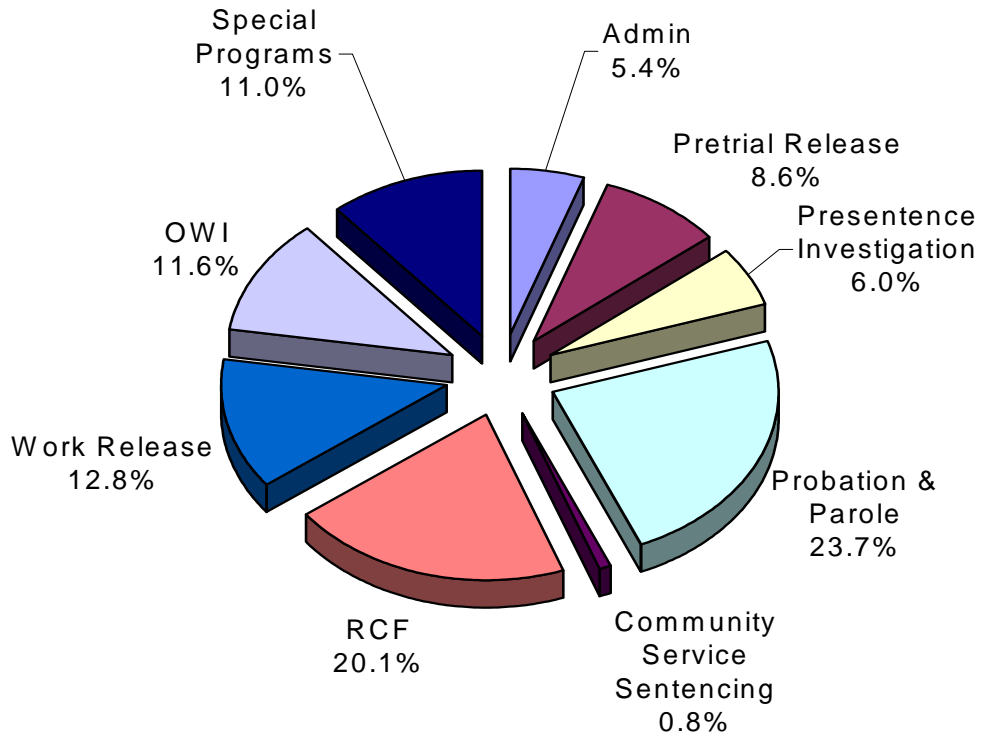
Account Class/Program	1001 Admin	1002 PTR	1003 PSI	1004 PA/PB	1005 CSS	1006 RES	1007 WR	1008 OWI	1009 SPEC PR	TOTAL
101 Personnel Services	324,207	524,564	345,889	1,389,472	0	1,140,145	610,826	531,647	629,087	5,495,837
202 Personal Travel	736	909	3,417	5,606	0	2,202	1,135	1,187	3,482	18,674
203 Vehicle Operation	0	0	0	0	0	7,777	9,305	2,511	5,600	25,193
301 Office Supplies	7,209	3,579	3,470	10,578	0	6,711	4,617	2,529	2,965	41,658
302 Bldg Maint Supplies	0	765	989	2,965	0	3,086	7,788	3,897	19	19,509
304 Prof & Sci Supplies	0	1,200	0	11,800	0	6,593	5,381	2,685	4,401	32,060
306 Housing & Subsist Supp	0	0	0	0	0	4,190	10,506	6,736	0	21,432
308 Other Supplies	45	0	0	0	0	3,369	486	376	0	4,276
311 Food	0	0	0	0	0	78,742	69,971	46,587	0	195,300
401 Communications	1,145	3,725	3,231	9,225	0	8,453	2,496	1,329	1,039	30,643
402 Rentals	8,519	11,570	19,603	58,993	0	4,035	50,075	33,374	701	186,870
403 Utilities	4,684	3,146	4,278	14,534	0	30,355	25,439	16,955	92	99,483
405 Prof & Sci Services	80	158	234	24,326	47,270	489	12,477	96,460	73,358	254,852
406 Outside Services	0	898	1,154	3,459	0	3,776	6,991	4,446	20	20,744
407 Intrastate Transfer	0	0	0	0	0	0	0	0	0	0
409 Outside Repairs & Serv	0	0	0	0	0	121	4,514	1,955	0	6,590
414 Reimb- Other Agencies	0	51	0	51	0	77	26	0	102	307
416 ITS Reimbursements	4,509	14,648	8,030	21,001	0	6,177	6,671	4,447	1,853	67,336
417 Workers Compensation	650	1,560	910	3,250	5,319	3,120	1,690	1,430	1,560	19,489
501 Equipment	0	0	0	0	0	0	0	0	0	0
503 Equip: Non-inventory	0	0	0	0	0	888	5,153	1,129	0	7,170
504 Data Processing Inventory	0	0	0	0	0	0	0	0	0	0
505 Data Processing Non- Inventory	2,847	754	0	0	0	0	0	0	0	3,601
602 Other Exp & Obligations	100	100	100	100	0	9,953	1,015	547	181	12,096
604 Securities	0	0	0	0	0	0	0	0	0	0
901 Capitals	0	0	0	0	0	0	1,059	706	0	1,765
TOTAL	354,731	567,627	391,305	1,555,360	52,589	1,320,259	837,621	760,933	724,460	6,564,885

SEVENTH JUDICIAL DISTRICT DEPARTMENT OF CORRECTIONAL SERVICES

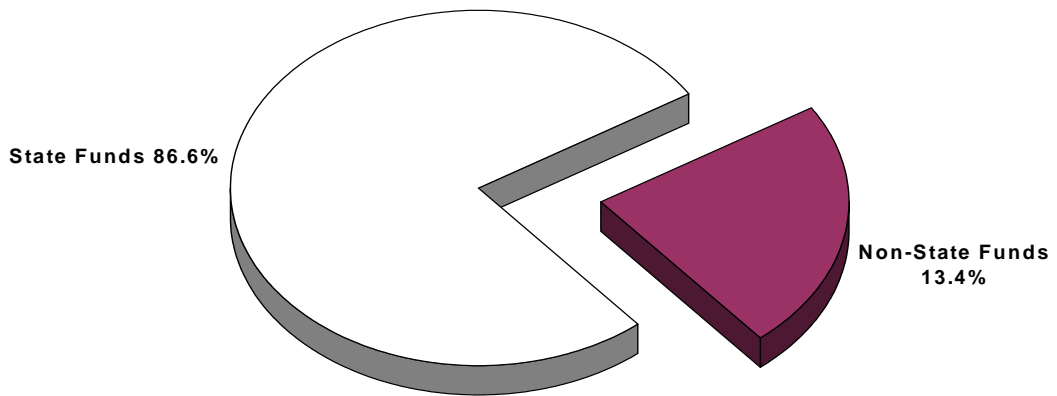
**Comparative Statement of Revenues and Expenditures
For Year Ended June 30, 2002**

	2002	2001	2000
General Fund Balance Beginning of Year	162,037	72,752	24,637
Revenues by Source:			
State Purchase of Service	5,159,647	5,343,165	5,265,098
Intrastate Transfer	124,268	57,118	0
Interest	37,686	37,041	35,927
Client Fees	529,353	543,829	500,741
County Support	123,881	113,978	48,357
Enrollment Fees	183,013	169,423	126,152
Batterer Education Program Fees	66,386	72,683	77,636
Federal Work Release Contract	450,436	350,044	208,793
RCF GED Program Grant	0	0	12,049
RCF Transition Phase Program Grant	42,905	39,992	34,150
Miscellaneous Income	14,472	13,944	11,367
Total Revenues	6,732,047	6,741,217	6,320,270
Expenditures by Program:			
Administration	354,731	398,906	382,519
Pretrial Release	567,627	564,912	457,454
Presentence Investigation	391,305	411,496	388,450
Parole & Probation	1,555,360	1,523,066	1,416,714
Community Service Sentencing	52,589	56,809	51,431
Residential Corrections	1,320,259	1,281,057	1,301,156
Work Release	837,621	832,076	730,522
OWI	760,933	786,875	806,779
Special Projects:			
Safer	0	60,000	60,000
TASC	167,743	188,143	169,565
Violator	128,968	121,527	116,200
Intensive Supervision	289,504	289,411	251,476
Domestic Violence	138,245	89,177	84,455
Total Expenditures	6,564,885	6,603,455	6,216,721
Other Uses of Funds			
Reversion to State	165,011	48,477	55,434
General Fund Balance End of Year	164,188	162,037	72,752

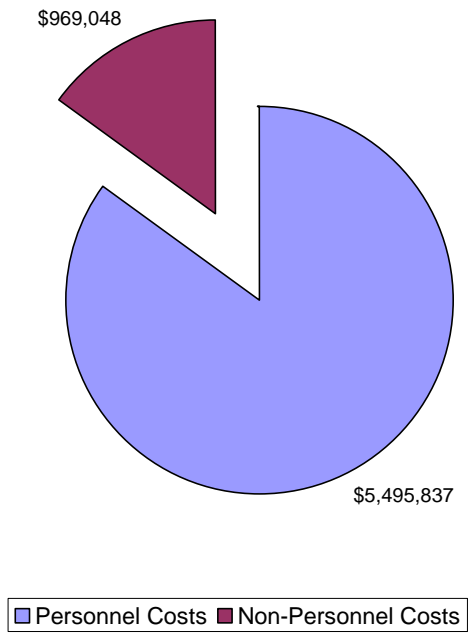
Program Costs FY 2002



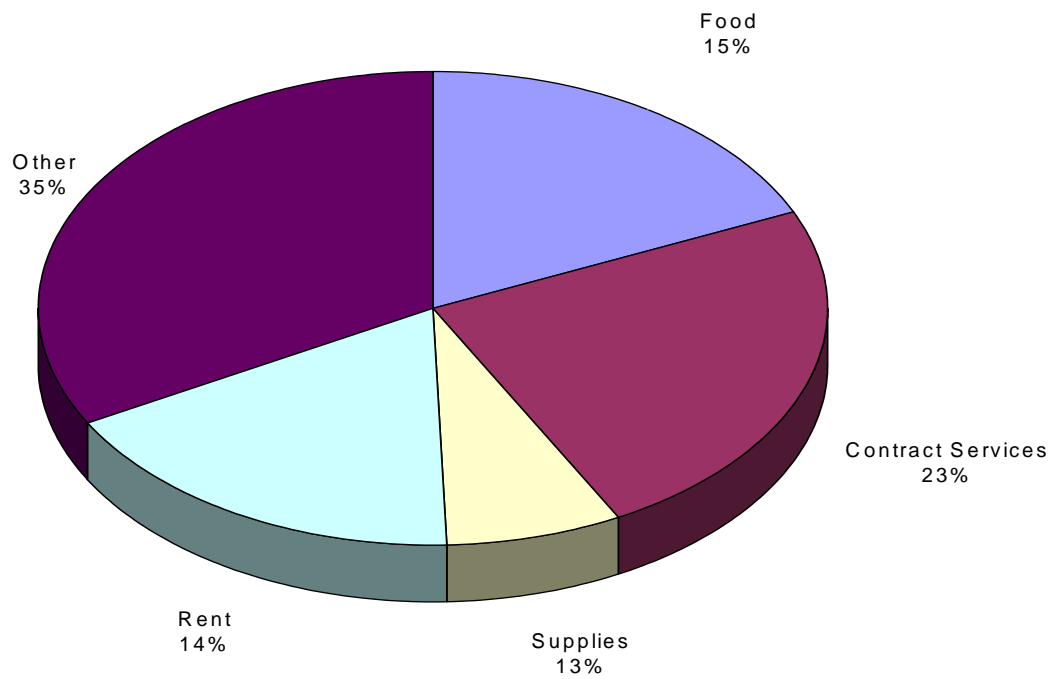
FY 2002 Expenditures By Source of Funds



Comparison of Personnel to Non-Personnel Expenses



Non-Personnel Cost by Type FY 2002



Non-state Funds Expenditure by Source

