

7th Judicial District Department of Correctional Services

ANNUAL REPORT

Fiscal Year 2005

July 1, 2004- June 30, 2005

This Annual Report is prepared pursuant to Section 905.4 of the Code of Iowa. The report includes an overview of fiscal year 2005, 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.

John Oberhaus
Chairman
Board of Directors

JAMES LEE WAYNE
District Director

ANNUAL REPORT

FISCAL YEAR 2005

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Highlights and Major Events in Fiscal Year 2005

Community Resource Center Building Concerns and Relocation

In 2001 a group of current and former employees gave notice of potential work injury and also filed suit against the Community Resources Corporation which owns the CRC building that this Department uses for offices and the Work Release Center in Davenport. They alleged that they had been injured by exposure to mold in the building and were seeking damages and class action status. The Community Resources Corporation filed a cross claim action against the State of Iowa. Only one former employee pursued action pursuant to Worker's Compensation and the claim was denied and upheld upon appeal. In December 2004 the State of Iowa and the Community Resources Corporation came to an agreement with the plaintiffs and settled for a limited monetary settlement. The amount of the settlement was consistent with the opinion that the plaintiffs claims were of limited merit.

The Iowa Legislature approved funding for relocation and the Department has considered many options regarding a future site. Unfortunately the Department has not been able to complete acquisition of the selected properties. Site selection and site acquisition is continuing. Location is a primary consideration since it affects accessibility by offenders and operational costs in many different ways.

Offenders in Prison

Since October of 2000 the number of offenders in Iowa Prisons committed from the Seventh Judicial District has decreased. In October 2000 there were 1081 offenders in prison from the 7th Judicial District and that number decreased to as low as 1011, rose to 1064 on July 1, 2003, decreased again to 1,058 as of July 1, 2004, and decreased further to 1033 in June 2004. Over approximately a five year time period the number of persons in prison from this District has decreased by 4.44% and over the same timeframe the entire prison population has increased by 9.37%. Although there are many factors that contribute to and affect this issue, it is indicative of the effort in this District to make wise use of the resources for incarceration and utilize alternatives whenever possible.

Funding Stability

Although still short staffing as a result of past budget cuts, the funding for FY04 permitted some opportunities to address staff support related issues. It provided funding which allowed travel and training and filling vacancies that occurred. Increased resident rent collections helped the overall financial status as well.

Evidenced-Based Practices

This Department along with the other District Department and the Iowa Department of Corrections made a commitment to the implementation of evidence-based practices. This will be both a multi-year and on-going project to implement and improve programming to ensure that the programs and operations are consistent with what research shows works in Corrections. This initiative compliments other work being undertaken in Iowa including the Accountable Government Act and Corrections as a Charter Agency. In the Seventh District activities have focused several areas including on training and use of motivational interviewing techniques. A process entitled "Reframing" has also begun to

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find forms and processes which can be changed or eliminated without adverse impact on the mission of the Department and will result in resources to be utilized to implement new evidence-based practices.

ICON

On October 1, 2004 the information systems used by community corrections and the correctional institutions were merged together in one database which now serves all of adult corrections in Iowa. This combination will permit the capability to share information quickly and efficiently between community corrections and the state prisons. ICON will permit a parole officer to investigate a parole plan and immediate access the same information that the institutional counselor has and will expedite the parole process. Likewise, the correctional institutions will have access to presentence investigations and violation reports upon admission that had previously been mailed to the institution and all of the details of the offender's supervision in the community.

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Key Statistical Information

The following information was obtained from ICON (Iowa Corrections Offender Network) the offender database system used by District Departments and the Department of Corrections.

- **Pretrial Release Investigations:** Conducted by this Department to provide information to the Court regarding a defendant and the appropriate conditions for release. The number of investigations varies due to several factors including the number of arrests. Over 90% of the investigations are conducted in Scott County due to the staffing level of the program in Scott County.

FY 2003	4,165
FY 2004	4,839
FY 2005	4,627

- **Presentence Investigations:** PSI's are prepared to provide information to the Court about the offender for the purpose of sentencing and to gather pertinent information for later use in corrections.

FY 2003	915
FY 2004	907
FY 2005	950

- **Enrollment Fees** are collected from offenders under probation and parole supervision to offset the public expense to supervise the offenders.

FY 2003	\$194,919
FY 2004	\$205,135
FY 2005	\$202,150

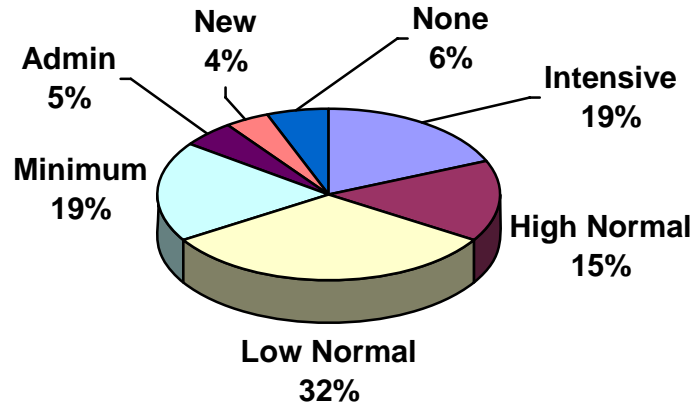
- **Assessment and Reassessments:** 1,825 LSI assessment and reassessments were completed. The LSI (Level of Services Inventory) is an assessment tool used by Department staff to assess and classify offenders for the purposes of case planning and risk management. The higher score represent a higher risk and need for supervision and services. 430 Jessness assessments were completed. Jessness Inventory is another assessment tool used as part of case planning and supervision. 3,433 Iowa Risk Assessments and Reassessments were completed. The Iowa Risk Assessment is used to determine the appropriate level of supervision and for workload and staffing purposes.

- **Field Supervision Offenders:** 1,728 offenders were on active field supervision on pretrial, probation, or parole supervision as of June 30, 2005. This is represent a slight decline after several years of increases. Statewide there were 28, 404 offenders under supervision which was a slight increase.

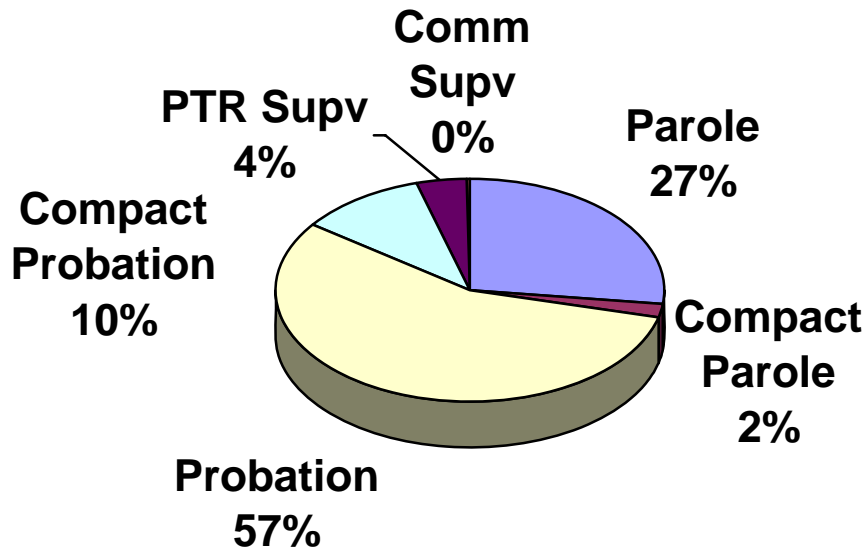
FY 2003	1,681
FY 2004	1,778
FY 2005	1,728

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The level of supervision classification of offenders is shown graphically in the following chart. The Department provides a different level of supervision to different offenders based upon the risk of that offender. The “None” level represents offenders under supervised Pretrial Release who are not classified with the same system as probation and parole offenders.



The supervision status of the offenders under supervision at the end of the fiscal year is shown below. Compact supervision is supervision transferred from another state to Iowa.

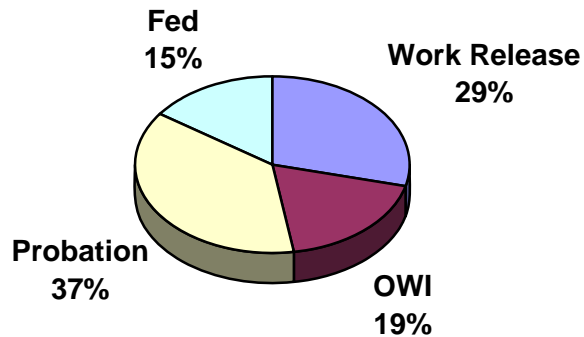


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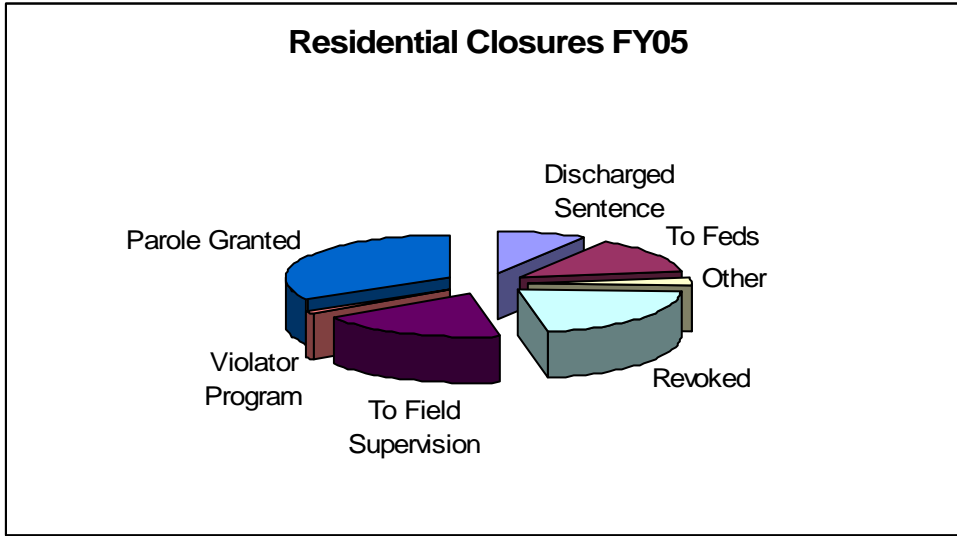
The following chart represents the reason for closure for field supervision closures during FY05. Successful includes discharge from supervision, unsuccessful includes revocations due to technical violations or new crimes, and administrative includes amended charges, special court orders, and death.



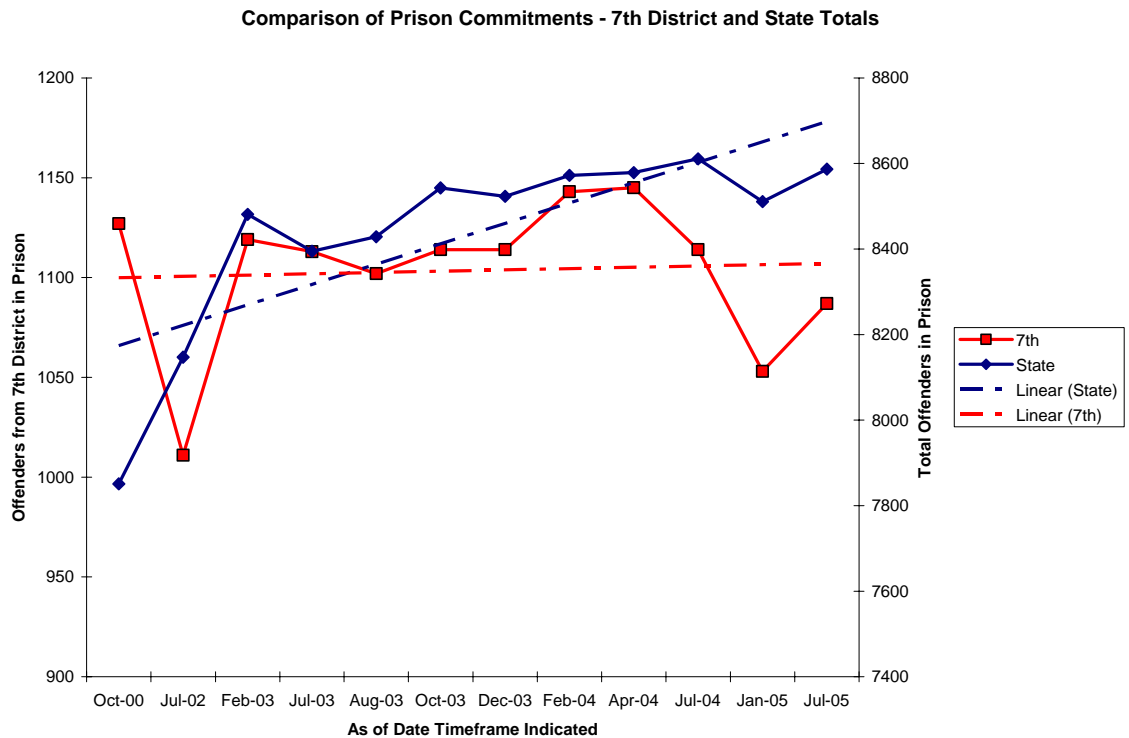
- **Residential Supervision:** 145 offenders were residents of either the Work Release Center or Residential Corrections Facility as of June 30, 2005. The two facilities have a combined capacity of 145. Statewide there were 1,514 residing in residential programs and the 7th District total represents 10% of the statewide total. The program breakdown of the 145 residents were: 42 on Work Release, 27 were in the OWI program, 54 as a condition of probation, and 22 were offenders placed by the Federal Bureau of Prisons.



The following graph represents the reasons for the 510 residential closures that occurred in FY05.



- **Commitments to Prison:** The following chart shows offenders in an Iowa prison from the 7th Judicial District with the red line and the scale on the left hand side and the total prison population over the same time period with the blue line and the scale on the right vertical axis. The respective colored dot-dash line reflects the trendline developed from the data. Note that the blue line is on a slope and that the red line is almost flat.



Summary of Meetings of the Board of Directors

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. This is a brief summary of key items considered and significant actions taken at each meeting.

July 2004

- ❖ Considered locations for relocation.
- ❖ Approved contract for OWI Treatment Services for FY05
- ❖ Continued periodic review of Department Policies and Procedures

August 2004

- ❖ Approved study of relocation site options
- ❖ Review State Audit Report on Community Correction Districts

September 2004

- ❖ Discussed issues regarding CRC building and status of the lawsuit.
- ❖ Continued periodic review of Department Policies and Procedures.

October 2004

- ❖ Approved communication to property owners regarding interest in property of relocation purposes, discussed options and issues related to potential sites
- ❖ Continued review of specific Department Policies and Procedures as part of an ongoing periodic review of Policies and Procedures
- ❖ Discussed the accreditation report on community corrections districts prepared by the Department of Corrections

November 2004

- ❖ Received information on site options and status
- ❖ Policies and Procedures Review
- ❖ Established committee to conduct the District Director's performance evaluation
- ❖ Approved non-contract pay increases equal to contract covered increases

December 2004

- ❖ Notified of the settlement of the lawsuit filed by current and former employee's alleging injury due to exposure to mold against the Community Resources Corporation which owns the CRC building.
- ❖ Approved change in table of organization
- ❖ Discussed relocation sites and approved consideration of a potential site

January 2005

- ❖ Elected officers and executive committee for 2005
- ❖ Discussed Legislative Issues
- ❖ Requested action proceed on potential new construction relocation site
- ❖ Approved annual report for FY04
- ❖ Presentation on the Victim Impact program

February 2005

- ❖ Approved increase in resident rent by \$1 per day effective March 1, 2005
- ❖ Approved contracts for Community Service Sentencing and Court Compliance Program
- ❖ Approved Budget amendment
- ❖ Discussed the Governor's recommended budget and proposed legislation

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- ❖ Tentatively selected site for relocation and recommended actions be taken to obtain that site

March 2005

- ❖ Received information on several potential new construction relocation sites and requested that building committee review sites and report back to the Board
- ❖ Discussed several legislative proposals
- ❖ Review of selected Department Policies and Procedures
- ❖ Approved two staff members to travel to and attend Federal Bureau of Prisons Contractor's Conference in Sioux Fall, South Dakota in April 2005

April 2005

- ❖ Approved potential site for relocation and directed building committee to pursue acquisition and other relevant actions regarding that site
- ❖ Discussed potential legislation and appropriations
- ❖ Approved new Policies and Procedures on Travel and Travel Permits and DNA profiling.
- ❖ Continued routine review of Department Policies and Procedures

May 2005

- ❖ Discussed the status of relocation site acquisition and related issues
- ❖ Discussed the potential impact of the US Court of Appeals decision regarding the 2000 ft sex offender residency restriction law
- ❖ Discussed status of relevant legislation and appropriations
- ❖ Completed routine review of all Department Policies and Procedures
- ❖ Completed evaluation of District Director

June 2004

- ❖ Considered and took action on issue regarding relocation site acquisition
- ❖ Discussed passed legislation and appropriations
- ❖ Discussed potential FY06 Budget plans
- ❖ Discussed the District Director's compensation history
- ❖ Reviewed a summary of the new collective bargaining agreement between AFSCME and the State of Iowa which covers Department employees

Monthly Reoccurring Actions

- ❖ Review and approve monthly fiscal reports
- ❖ Approval of minutes from previous meeting and set next meeting date
- ❖ Approval of District Director's expense claim when needed
- ❖ Review and adopt budget requests, budgets, and budget amendments
- ❖ Receive reports and other information for information purposes and future consideration

2004 - 2005 Board of Directors

John Oberhaus, Board Chairman

Supervisor from Muscatine County

Greg Adamson, Vice-Chairman

Supervisor from Scott County

LeRoy Moeller

Supervisor from Cedar County

Lewis Todtz

Supervisor from Clinton County

J.C. Engel

Supervisor from Jackson County

Jan Jackson

Judicial Appointee
Resigned January 2005

Bob Petersen

Citizen Board Appointee

Esther Dean

Citizen Board Appointee

Kathy Laird

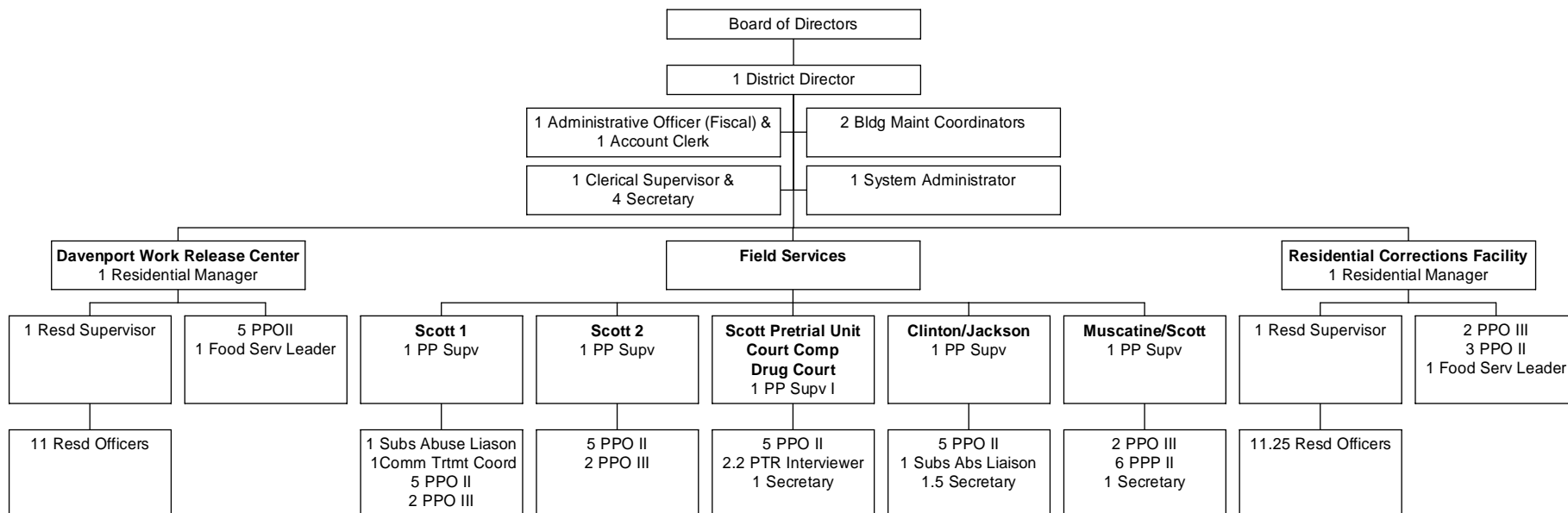
Judicial Appointee

Elston Howard

Judicial Appointee February 2005

Table of Organization

Seventh Judicial District Department of Correctional Services Table of Organization June 2005



Financial Reports

SEVENTH JUDICIAL DISTRICT DEPARTMENT OF CORRECTIONAL SERVICES

Balance Sheet

June 30, 2005

ACCOUNT GROUPS

	GENERAL FUND	GENERAL FIXED ASSETS	GENERAL LONGTERM OBLIGATIONS
ASSETS			
Cash and Investments	225,470	0	0
Accounts Receivable	85,773	0	0
Prepaid Expense	0	0	0
Fixed Assets	0	1,349,053	0
Amount to be provided for retirement of long-term obligations	0	0	816,377
TOTAL ASSETS	311,243	1,349,053	816,377
LIABILITIES			
Accrued Payroll	221,750	0	0
Accounts Payable	57,525	0	0
Due to State Treasurer	15,100	0	0
Compensated Absences	0	0	816,377
Obligations Under Capital Lease Agreements	0	0	0
TOTAL LIABILITIES	294,375	0	816,377
FUND EQUITY			
Investment in Fixed Assets	0	1,349,053	0
Unreserved Fund Balance	16,868	0	0
TOTAL FUND EQUITY	16,868	1,349,053	0
TOTAL LIABILITIES AND FUND EQUITY	311,243	1,349,053	816,377

SEVENTH JUDICIAL DISTRICT DEPARTMENT OF CORRECTIONAL SERVICES
Comparison of Actual Revenues and Expenditures to Budget
For Year Ended June 30, 2005

<u>REVENUES BY SOURCE</u>	ACTUAL	BUDGET
State POS	5,713,009	5,713,009
Intrastate Transfer	132,000	132,000
Interest	8,095	5,900
Residential Client Fees	328,808	310,428
Work Release Client Fees	149,006	128,268
Federal Client Fees	496,059	469,319
OWI Client Fees	128,602	175,200
County Support	142,636	142,635
Enrollment Fees	202,150	206,374
Federal Pass Thru	124,834	126,024
Batterers Education Program Fees	58,983	65,630
Miscellaneous Income	11,046	18,671
Total Revenues	7,495,228	7,493,458

<u>EXPENDITURES BY SOURCE</u>	ACTUAL	BUDGET
State POS	5,682,811	5,713,009
Interest	8,095	5,900
Residential Client Fees	327,038	310,428
Work Release Client Fees	149,006	128,268
Federal Client Fees	496,059	469,319
OWI Client Fees	128,602	175,200
County Support	142,636	142,635
Enrollment Fees	202,150	206,374
Federal Pass Thru	124,834	126,024
Batterers Education Program Fees	58,983	65,630
Miscellaneous Income	11,046	18,671
Intrastate Transfer	132,000	132,000
FY04 Carry Forward Funds	26,815	26,815
Total Expenditures	7,490,075	7,520,273

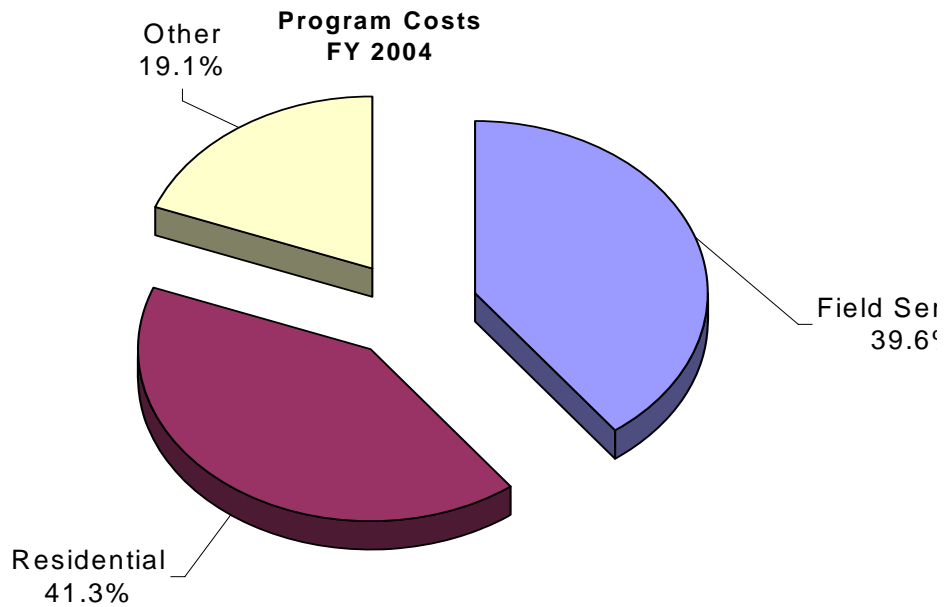
	1110	1140	1160	1200	1210	1220	1260	1270	1310	
Account Class/Program	Admin	Field Services	Residential	TASC	DRUG COURT	VIOL	SO	BEP	ISP	TOTAL
101 Personnel Services	317,713	2,667,748	2,381,943	227,237	172,972	153,957	163,643	70,812	157,713	6,313,738
202 Personal Travel	3,149	11,180	8,167	1,128	129	934	1,815	362	1,821	28,685
203 Vehicle Operation	0	0	30,653	0	0	0	0	0	12,968	43,621
301 Office Supplies	7,520	22,130	10,355	2,698	0	452	838	400	1,349	45,742
302 Bldg Maint Supplies	0	5,824	7,737	0	0	0	0	900	10	14,471
304 Prof & Sci Supplies	0	5,574	9,726	3,000	73	1,000	520	0	1,000	20,893
306 Housing & Subsist Supp	0	0	28,789	0	0	0	0	0	0	28,789
308 Other Supplies	0	0	5,599	0	0	0	0	0	0	5,599
311 Food	0	0	232,381	0	0	0	0	0	0	232,381
401 Communications	1,086	13,932	9,015	0	0	0	244	900	860	26,037
402 Rentals	3,093	97,253	90,307	2,188	0	1,800	1,800	900	730	198,071
403 Utilities	5,023	30,477	92,095	1,822	0	0	927	1,026	127	131,497
405 Prof & Sci Services	0	23,919	118,121	0	0	0	20,269	64,790	0	227,099
406 Outside Services	0	5,363	18,276	0	0	0	0	0	21	23,660
407 Intrastate Transfer	0	0	0	0	0	0	0	0	0	0
409 Outside Repairs & Services	0	5,124	8,224	0	0	0	0	0	0	13,348
414 Reimburse Other Agencies	375	5,100	4,710	440	315	250	432	125	250	11,997
416 ITS Reimbursements	719	45,575	9,149	393	1,116	731	4,378	922	1,362	64,345
417 Workers Compensation	300	7,733	4,375	350	250	200	200	150	200	13,758
501 Equipment	0	0	0	0	0	0	0	0	0	0
503 Equip: Non-inventory	0	2,309	0	0	0	0	0	0	0	2,309
504 Data Processing Inventory	0	0	0	0	0	0	0	0	0	0
505 Data Processing Non-Inventory	3,798	17,648	0	0	0	0	0	0	0	21,446
602 Other Exp & Obligations	405	810	21,374	0	0	0	0	0	0	22,589
604 Securities	0	0	0	0	0	0	0	0	0	0
901 Capitals	0	0	0	0	0	0	0	0	0	0
TOTAL	343,181	2,967,699	3,090,996	239,256	174,855	159,324	195,066	141,287	178,411	7,490,075

SEVENTH JUDICIAL DISTRICT DEPARTMENT OF CORRECTIONAL SERVICES

Comparative Statement of Revenues and Expenditures

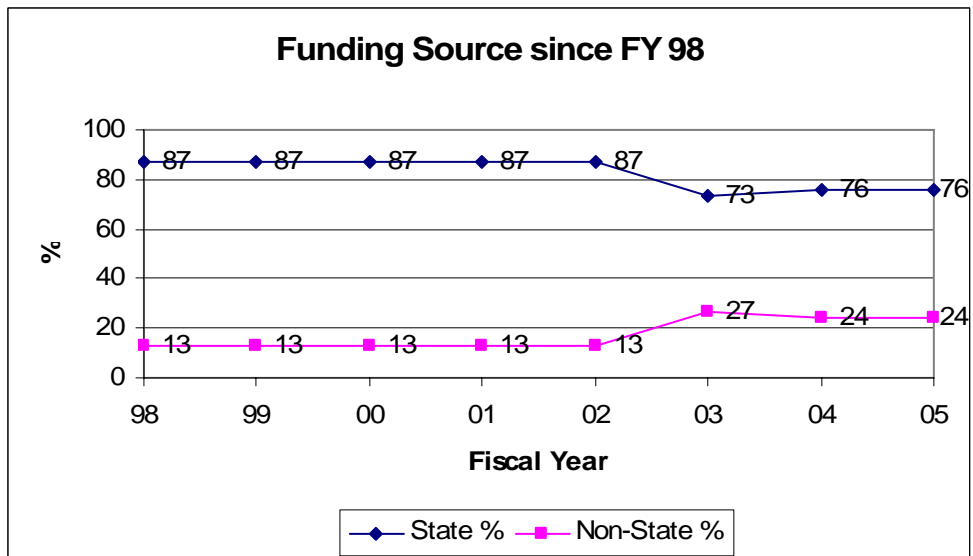
For Year Ended June 30, 2005

	2005	2004	2003
General Fund Balance Beginning of Year	26,815	0	164,188
Revenues by Source:			
State Purchase of Service	5,713,009	5,536,221	5,061,406
Intrastate Transfer	132,000	132,000	99,000
Interest	8,095	5,640	12,246
Client Fees	606,416	579,974	551,856
County Support	142,636	139,486	152,728
Enrollment Fees	202,150	205,135	194,919
Batterer Education Program Fees	58,983	63,561	67,030
Federal Work Release Contract	496,059	507,890	439,667
Drug Court Program Grant	124,834	124,520	105,476
Miscellaneous Income	11,046	19,284	41,101
Total Revenues	7,495,228	7,313,711	6,725,429
Expenditures by Program:			
Administration	343,181	329,975	301,779
Field Services	2,967,699	2,883,902	2,711,547
Residential Corrections Services	3,090,996	3,048,641	2,975,458
TASC	239,256	217,357	154,710
Drug Court	174,855	168,487	141,246
Violator	159,324	150,571	137,270
Sex Offender	195,066	167,041	163,960
Batterers Education	141,287	155,927	148,758
Intensive Supervision	178,411	164,951	151,077
Total Expenditures	7,490,075	7,286,852	6,885,805
Other Uses of Funds			
Reversion to State	15,100	44	3,812
General Fund Balance End of Year	16,868	26,815	0



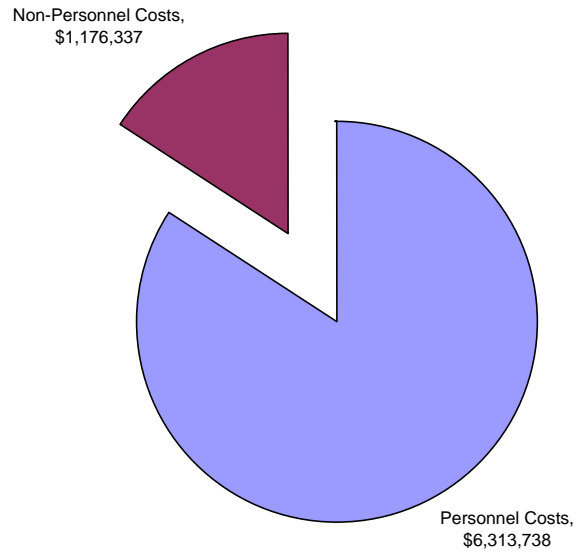
The above chart shows the percentages of expenditures by cost allocation program that the Department utilizes.

The chart below indicates the change over the last 7 fiscal years in the relationship of state funding and non-state funding. Other sources of funds include grants, resident rent, offender enrollment fees, program fees, and miscellaneous. The decrease of the percentage of funding by state funds has hopefully stopped.

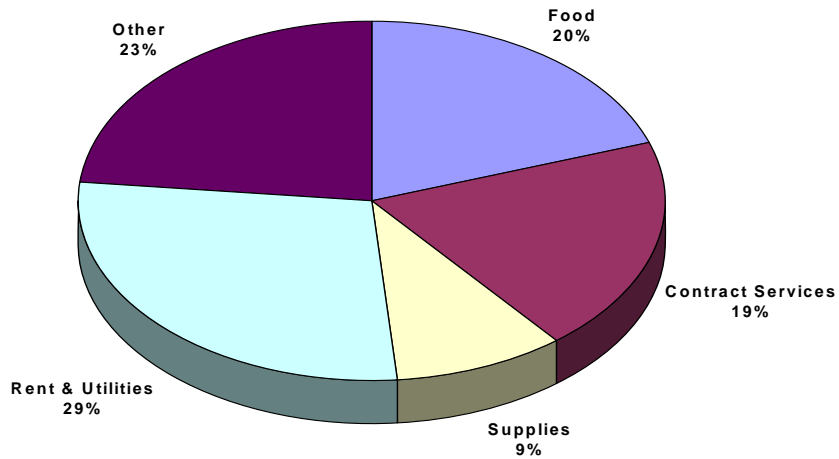


This charts below shows the percentage of costs comparison with personnel expenses (salary and benefits) versus non-personnel expenses and the major categories of non-personnel expenses.

Comparison of Personnel to Non-Personnel Expenses

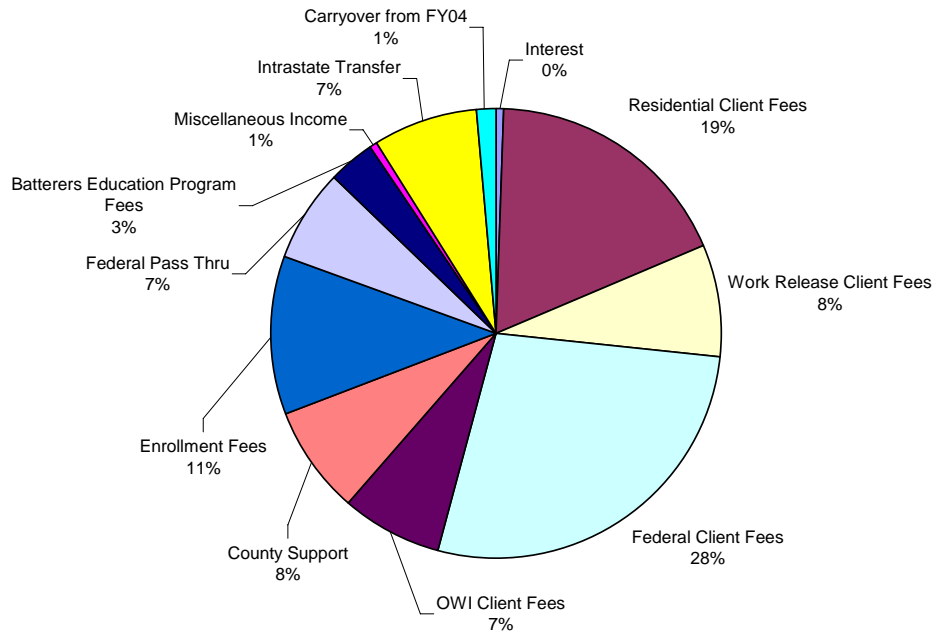


Non-Personnel Cost by Type FY 2005



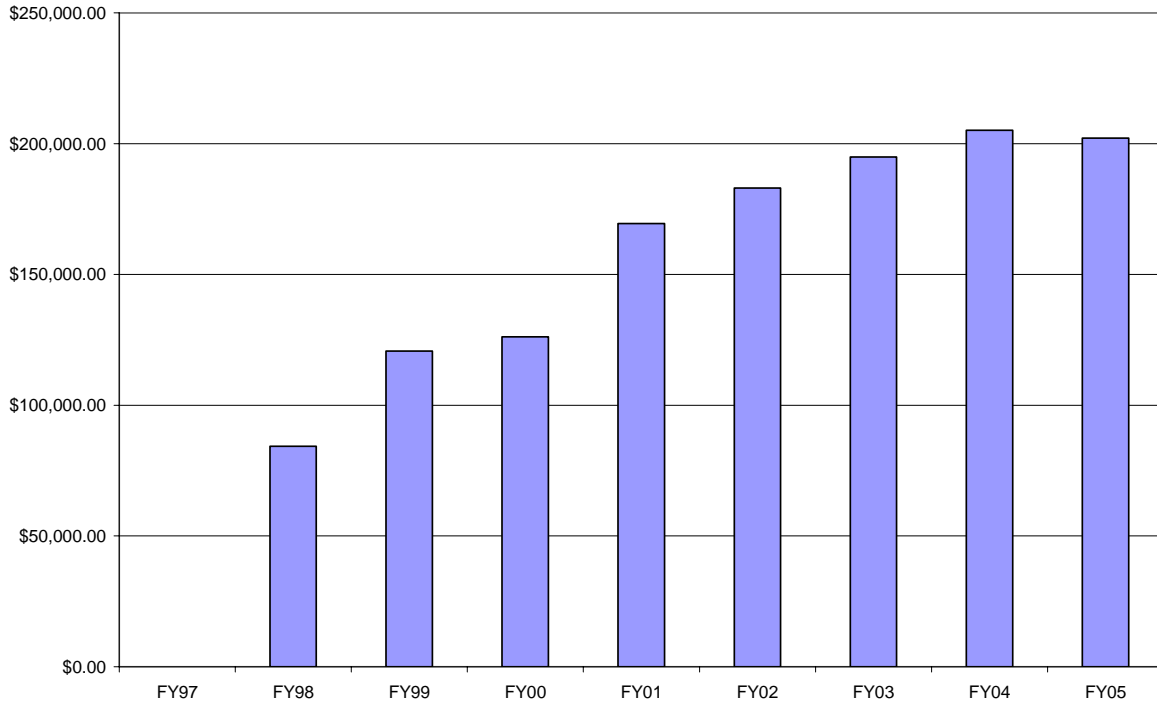
This chart below indicates the source of non-state appropriated funds expended by the Department in Fiscal Year 2005. As shown, the majority of the non-state funds are funds collected from offenders.

FY2005 Non-State Funds Expenditure by Source



The chart below shows the significant increase in enrollment fees paid by offenders placed on probation or parole since the fees was established by state law effective in FY98. The amount of the fee was also increased during that timeframe. Department employees make a concerted effort to collect enrollment fees since they are a significant factor in funding the Department's operations.

Enrollment Fee Income FY1997 - FY2005



The chart below shows the significant increase in rent paid by residents and paid by the Federal Bureau of Prisons for residential services for federal offenders. This represents the increasing cost of operations paid for by the residents and the increased income from the BOP which reduces beds available for state corrections system offenders. Resident paid income increased due to the increase in daily rent rate. The income from the Federal Bureau of Prisons was slightly lower which represents the ability to provide housing for more state offenders than offenders from the federal system which helps stabilize the Iowa prison population.

Resident Rent and Federal Contract Income FY96 - FY05

