

Fiscal Year 2016 Annual Report



SERVING 11 COUNTIES IN NORTHEAST IOWA

Allamakee • Black Hawk • Buchanan
Chickasaw • Clayton
Delaware • Dubuque • Fayette • Grundy
Howard • Winneshiek

Our Website: www.FirstDCS.com

Message from the Director

Director Jerry Bartruff
Department of Corrections Central Office
510 East 12th Street
Des Moines, Iowa 50319

This annual report is prepared pursuant to the Code of Iowa and provides information about the First Judicial District Department of Correctional Services' organizational composition, financial reports, correctional programming, supervision, strategic plan, and significant events during the year.

The First District continues a commitment to safer communities by providing effective supervision and treatment strategies for individuals under community based supervision. We continue our commitment to strong stakeholder collaboration across the district. In addition to standard levels of supervision we provide specialized supervision and programming for sex offenders, mentally ill offenders, batterers, and drug court participants.

We are committed to evidenced based practices and have embraced the work of the Statewide Recidivism Reduction (SRR) initiative. Our staff are learning to use new assessment tools and like all facets of our work, we will continuously seek to improve.

Status quo appropriations continue to make our work difficult. Not all offenders are able to be provided cognitive programming as needed. Staffing patterns in our facilities are at the minimum level which reduces the number of accountability checks we are able to complete. We are committing greater numbers of low risk offenders to "banked" caseloads to maintain adequate resources to work with those offenders assessed at higher risk. We also continue to work and maintain collaborative relationships with community stakeholders who work with the offenders under our supervision.

I want to thank the Board of Directors, Advisory Committees, community partners, and the Department of Corrections for their on-going support. I also want to express my appreciation to the employees of the First District, who are maintaining safer communities through their hard work and commitment on a daily basis.

Respectfully,



Ken Kolthoff
District Director

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Our Vision, Mission, Values & Beliefs, and Goals

VISION



MISSION

Creating Opportunities for Safer Communities

VALUES & BELIEFS

People can change
Our efforts help make people safer
We must work as a team if we are to succeed
Every person should be treated with dignity and respect

GOALS

- ❖ To implement evidence-based practices in treatment and supervision for the purpose of supporting consistency and decreasing recidivism.
- ❖ To increase offender satisfaction in their treatment and supervision experience.
- ❖ To embrace diversity through enhancing sensitivity to differences, recognize the commonalities, and respect the uniqueness of all individuals.
- ❖ To provide training to all staff consistent with their job responsibilities and the department's mission.
- ❖ To provide a safe environment for visitors, employees, and offenders.
- ❖ To provide technological and information resources for staff to more efficiently and effectively do their jobs.
- ❖ To provide office space and residential facilities which meet the needs of the offenders being served.
- ❖ To provide accurate and efficient accountability in all fiscal activities.

First Judicial District 5 Year Strategic Plan Fiscal Year 2017 through Fiscal Year 2022

Priorities, Goals, & Desired Outcomes

Strategic Priority #1: Identify and focus resources toward individuals most likely to reoffend.

Strategic Goals:

- Continuously review data and make evidenced based decisions.
- Complete thorough investigations and provide to the court prior to sentencing.
- Support sentencing options that provide individuals an opportunity to change while prioritizing safety to the community.
- Assess all individuals placed under supervision to make informed decisions for supervision levels and programming needs.
- Deploy techniques that enhance offenders' motivation and capabilities to complete treatment successfully.
- Work with the institutions to effectively transition offenders returning to the community.

Strategic Priority #2: Focus on evidence based and research-informed practices for improved offender success.

Strategic Goals:

- Invest in program models that reduce recidivism.
- Support supervision and treatment opportunities for mentally ill offenders.
- Use cognitive behavioral and social learning models.
- Continuously review and evaluate offender program effectiveness.
- Expand continuous quality improvement processes.
- Measure process, practice, and outcomes.
- Monitor the quality and performance of implemented program models to ensure recidivism reduction outcomes.
- Expand collaboration with other agencies, organizations, and community partners to better utilize resources and improve outcomes.

Strategic Priority #3: Funding and budget focused toward staff resources, training, and equipment to carry out the agency mission at the highest level.

Strategic Goals:

- Improve supervision success rates by providing staffing sufficient to offenders risk and needs.
- Increase the use of "banked" caseloads for lower risk offenders allowing manageable workloads for high risk caseloads.
- Increase residential officer positions to improve accountability and compliance monitoring.

- Adequately staff secretarial, cook, and maintenance positions.
- Allocate and restructure management staff to improve ability to effectively train, support, and provide guidance to staff districtwide.

Desired Outcomes:

- Evidenced based decisions supporting *long-term public safety*.
- Adequate fiscal support to carry out the agency mission at the *highest level*.
- Responsible use of taxpayer dollars- offenders will be effectively monitored for compliance and accountability while being provided opportunities for *successful supervision*.
- Quality Assurance and *Continuous Quality Improvement*.
 - Will have regularly scheduled training and booster opportunities.
 - Case managers will be proficient in the use of assessment instruments.
 - Offenders will be supervised at an appropriate level.
 - Offenders will be referred appropriately to interventions, internal as well as external, to effectively address their needs.

Department Overview

The First Judicial District Department of Correctional Services is an agency established under Iowa Code Chapter 905 to provide correctional services throughout the eleven counties of Northeast Iowa, comprising the First Judicial District.

In October of 1973, the first efforts at establishing community-based corrections in the First Judicial District revolved around a Waterloo based agency established to provide correctional services in Black Hawk, Grundy, and Buchanan Counties, named the “Tri-County Department of Court Services.”

In late 1974, a similar office was established in Oelwein to provide correctional services in Fayette, Chickasaw, Clayton, Howard, Winneshiek, and Allamakee Counties.

In November of 1976, the two agencies were merged into one to provide most of the basic pre-institutional services in nine of the eleven counties of the district and a limited level of service in Dubuque and Delaware Counties. In 1977, all eleven counties merged into one agency called, “The First Judicial District Department of Correctional Services.”

Early efforts to establish a residential facility/probation office in the Waterloo-Cedar Falls area finally paid off in late 1976 with the establishment of a residential facility in the old Ellis Hotel building in downtown Waterloo. A second residential facility was leased in 1978 in Dubuque at an old house on Garfield Street. In November of 1981, Waterloo probation staff separated from the residential setting and moved from the Ellis Hotel to the current Waterloo Probation/Parole Office at 527 E. 5th Street. In 1984, a 36-bed facility was built in Dubuque on Elm Street; and in 1985, the Waterloo Residential Facility moved from the condemned Ellis Hotel to a newly constructed 56-bed facility at 310 East 6th Street.

On July 1, 1984, the State Department of Corrections turned over the administration of all community-based correctional services to the eight judicial districts, bringing on Parole, Compact Services, and Work Release for those inmates released from prison. The Work Release Facility in Waterloo had been in operation since November of 1971. In March of 1991 an addition was completed to the Waterloo Residential Facility to house Work Release and Administrative Offices. In this transition Work Release expanded from a 20-bed facility to a 64-bed multi-program facility.

In 1992, a 32-bed multi-program correctional facility was completed in West Union. In 1995, an 8-bed expansion was built creating a 40-bed co-correctional facility. In 2001 an additional 8 beds were added, raising capacity to 48. In May of 1999, the Dubuque Field Services Offices moved to a new location at 745 Main Street. In early 2001, a 44-bed expansion of the Dubuque Residential Facility was completed bringing the total design capacity to 80 beds. In June of 2004, the Oelwein Field Services Office moved to 1584 South Frederick Street in Oelwein. In April of 2005, the Decorah Field Services Office moved to 1014 South Mill Street in Decorah.

In June 2011, construction of the Waterloo Women’s Center for Change at 1515 Lafayette Street was completed. This new facility is dedicated to serve female offenders in the Waterloo area. The center combines both residential and field services programming with 45 residential beds and office space for probation officers and other staff.

The First Judicial District Department of Correctional Services provides a comprehensive program of community correctional services, including: Pre-trial Services, Pre-sentence Investigations, Probation Supervision, Residential Correctional Facilities, Work Release, Parole, Interstate Compact Services, and Special Programs.

First District Offices and Residential Facilities

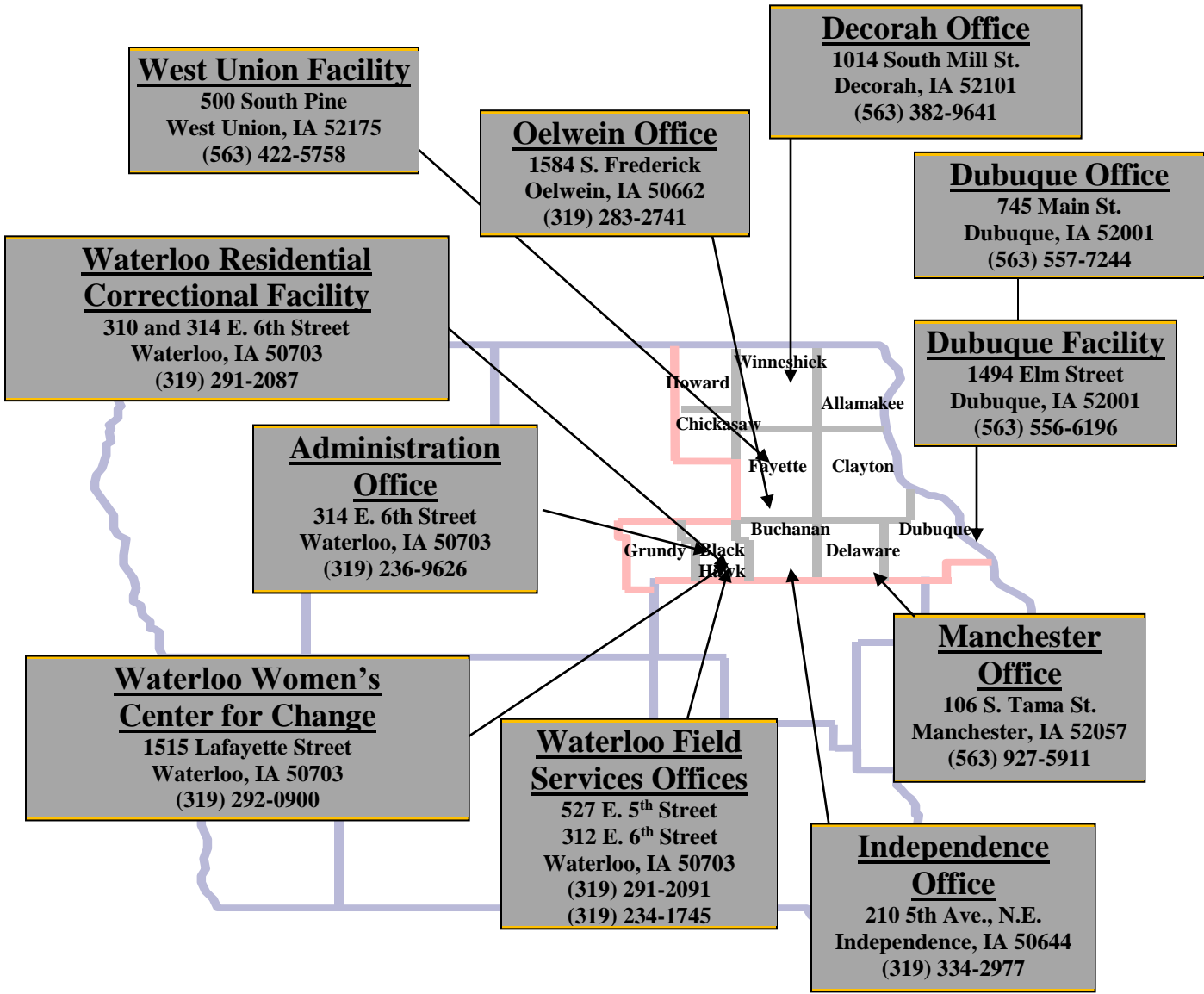
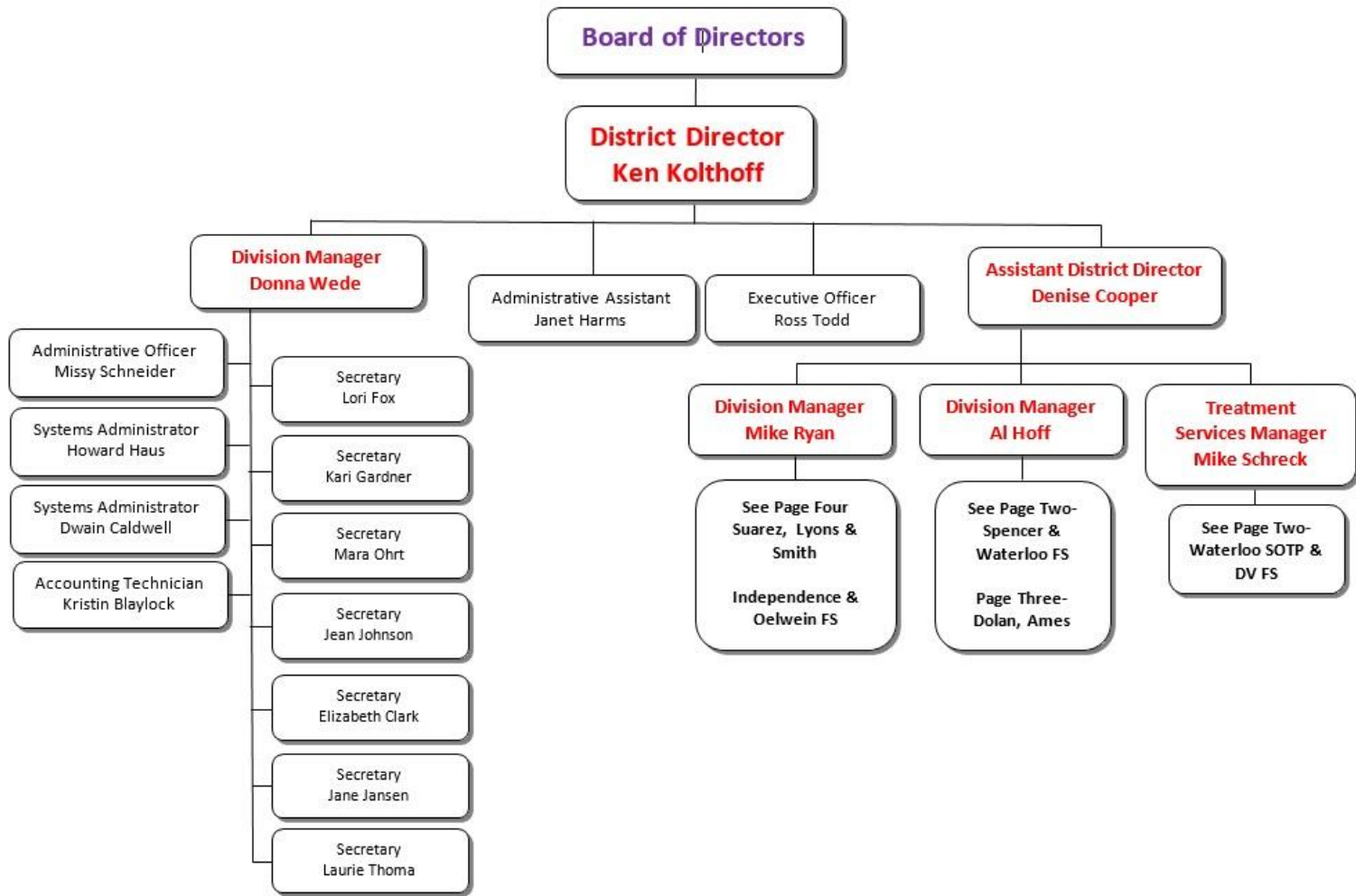
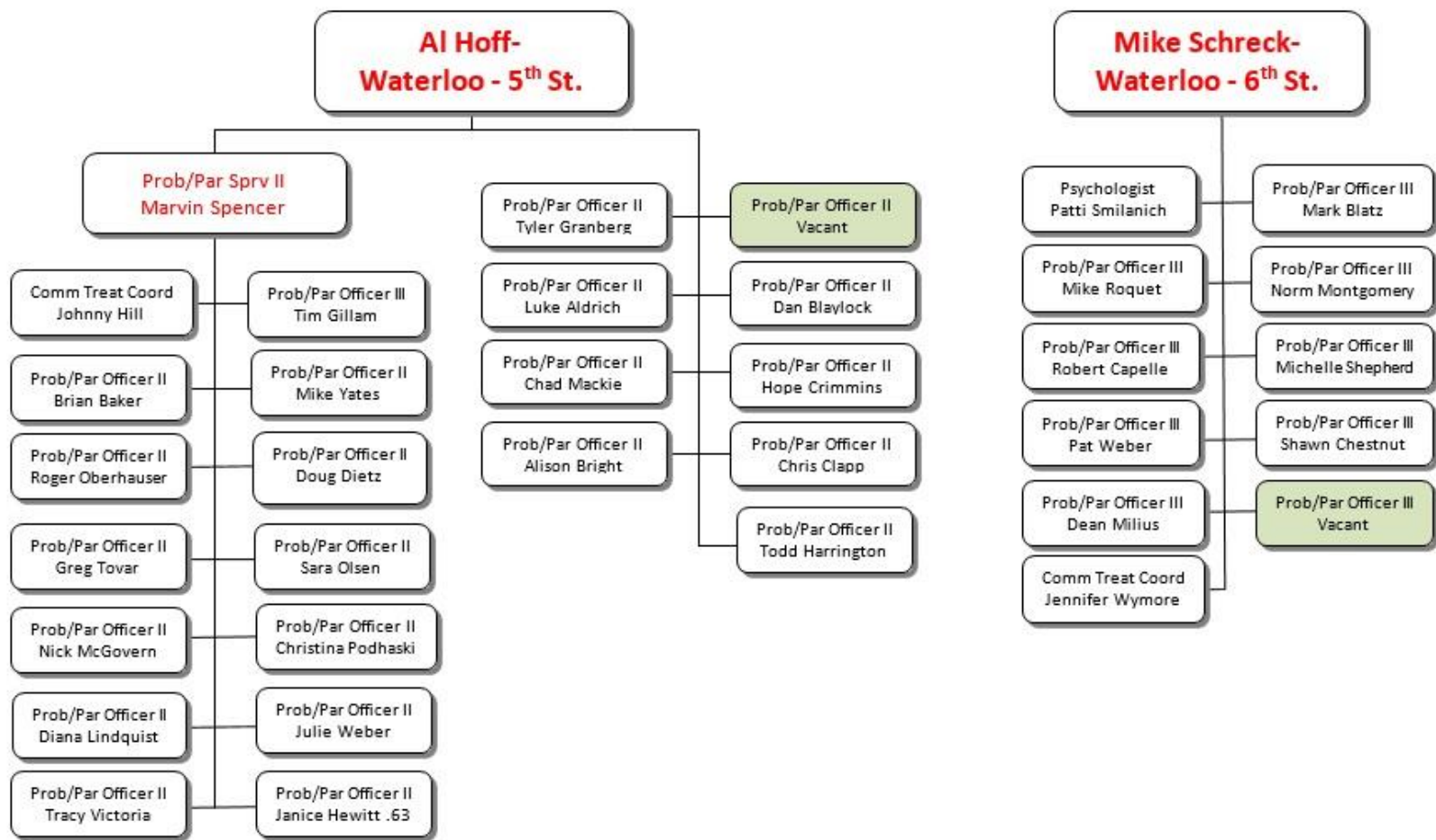


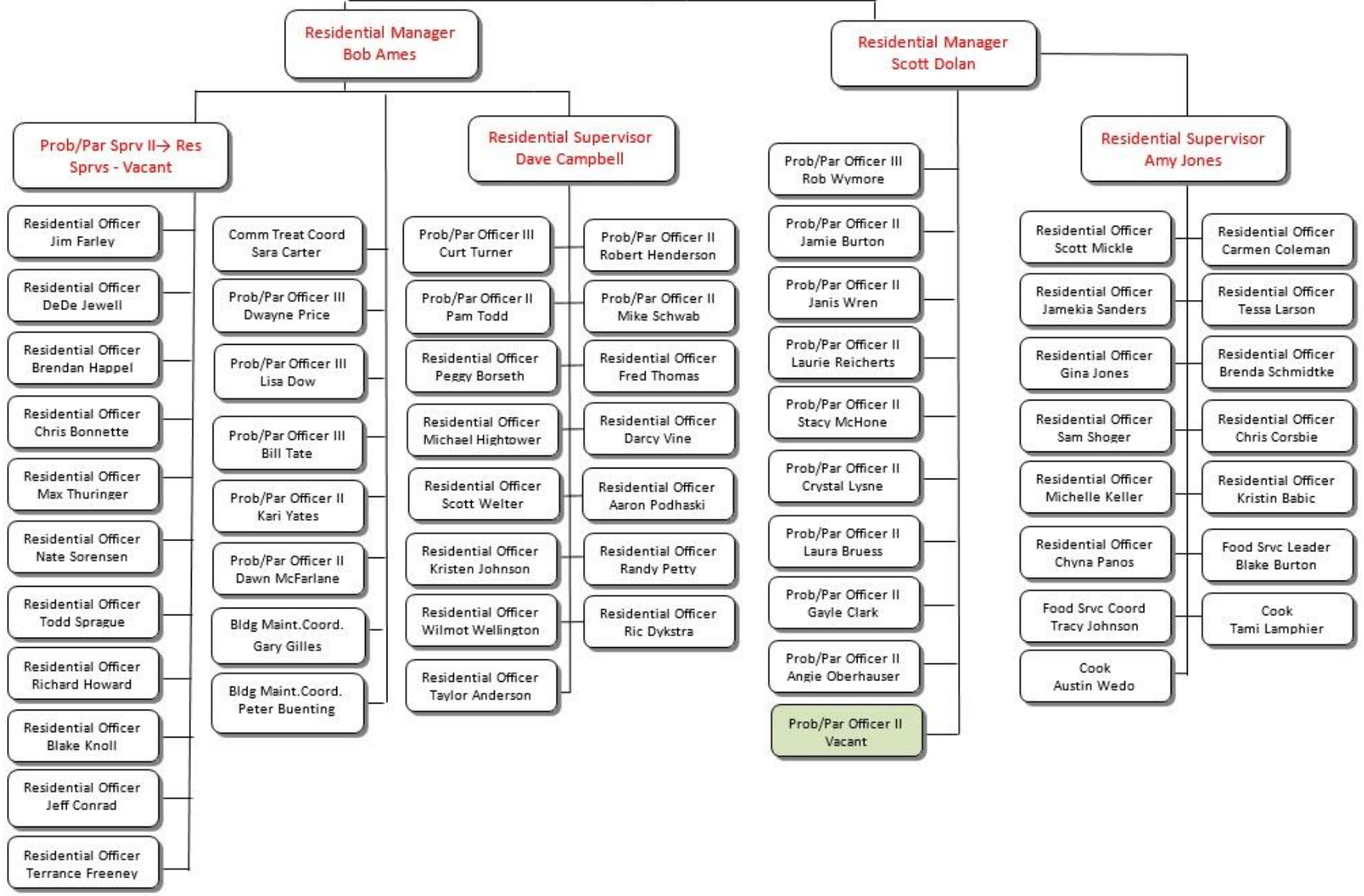
Table of Organization as of June 30, 2016



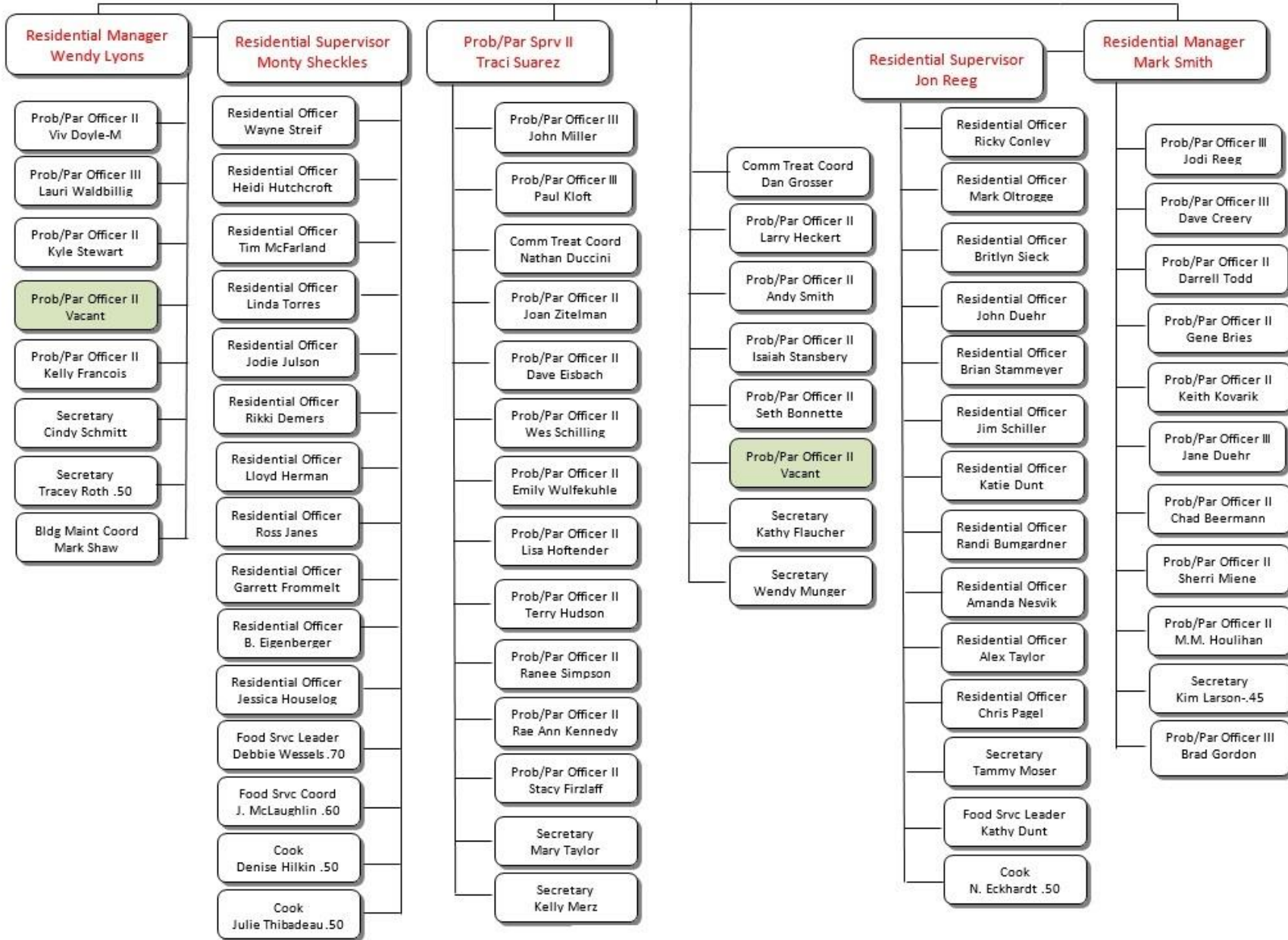
189.38 FTE's



**Al Hoff
Waterloo Facilities**



Mike Ryan



Board of Directors

1st Judicial District Department of Correctional Services Board of Directors (*Indicates Executive Committee Member)

Allamakee County:	Larry Schellhammer*	(Alternate: Dennis Koenig)
Black Hawk County:	Frank Magsamen* – Chair	(Alternate: Linda Laylin)
Buchanan County:	Gary Gissel*	(Alternate: Ellen Gaffney)
Chickasaw County:	Tim Zoll* – Vice Chair	(Alternate: Dan Carolan)
Clayton County:	Larry Gibbs	(Alternate: Ron McCartney)
Delaware County:	Shirley Helmricks*	(Alternate: Jeff Madlom)
Dubuque County:	Jay Wickham	(Alternate: Wayne Demmer)
Fayette County:	Darrel Dolf	(Alternate: Jeanine Tellin)
Grundy County:	Chuck Bakker	(Alternate: Barbara Smith)
Howard County:	Mark Kubik	(Alternate: Jan McGovern)
Winneshiek County:	Lloyd Ashbacher	(Alternate: Dean Thompson)
Judicial:	Linda Nilges	(Alternate: Arnell Ernst)
Judicial:	Linda Hall*	(Alternate: Joe Sevcik)
Judicial:	Jim Hellman	(Alternate: Thomas Goodman)
Eastern Advisory:	Greg Egan	(Alternate: Don Vrotsos)
Northeast Advisory:	Sue Morse	(Alternate: Vacant)
Western Advisory:	Bob Greenlee*	(Alternate: Janet Walden)

Advisory Committees

Eastern

Scott Crabill
Len Decker
Greg Egan
Bill Hickson
John LeClere
Deb Prier
Terry Tobin
Don Vrotos

Northeastern

Bill Bouska
Sherry Massman
Sue Morse
Marcia Oltrogge
Bill Wolfgram
Deidre Vick Froehlich
Dave Zimmer

Western

Marilyn DeKoster
Cheryl Faries
JoAnn Finkenbinder
Bob Greenlee
Holly Hartley
Leon Mosley
Valerie Nehl
Lynn Neill
William Speller
Janet Walden

Program/Treatment Services Overview and Statistics

The First Judicial District offers an array of treatment options, comprehensive programs, and supervision levels to effectively address the needs of the offenders we serve. The focus of these varied strategies is to provide several options to effectively change offender behavior.

Treatment & Programming need areas include:

- Domestic Violence (Iowa Domestic Abuse Program, Domestic Violence Court)
- Substance Abuse (Drug Courts, OWI Programs)
- Cognitive Change & Problem Solving Skills (Thinking for a Change)
- Mental Health Disorders (Mental Health Jail Assessment Programs, Mental Health Re-entry)
- Women's Issues (Moving On)
- Sexual Deviancy (Sex Offender Treatment Program)

Supervision strategies may vary depending on offender risk as determined by the Iowa Risk-Revised Assessment and the Dynamic Risk Assessment for Offender Re-entry (DRAOR). Offenders are placed in specific supervision program areas designed to most effectively help them meet their individual supervision objectives.

Iowa Domestic Abuse Program

Available District-wide

Iowa law mandates anyone convicted of domestic abuse must complete the Iowa Domestic Abuse Program (IDAP). This program provides group education and treatment for offenders who have either been convicted of domestic abuse charges or who have a pattern of abusive behavior within their relationships. Classes are offered at a variety of times to accommodate offender personal schedules. To complete the program, participants must attend 24 two-hour sessions and satisfactorily complete all homework. In addition, all participants are responsible for paying for their classes.

Black Hawk County operates a Domestic Violence Court which includes one Probation/Parole Officer who is assigned to the project. In FY16 this position was partially supported with grant funding from the U.S. Department of Justice.

Iowa Domestic Abuse Program	
Active on 7/1/15	456
New Admissions	334
Closed	294
Successful Completion Rate	83.7% (246)
Unsuccessful Completion Rate	1.7% (5)
Administrative Closures	14.6% (43)
Active on 6/30/16	470
Total served FY'16	790

Drug Court

Available in Black Hawk, Dubuque, and Delaware Counties

Drug Court represents a non-traditional approach to criminal offenders who are addicted to drugs. Rather than focusing only on the crimes and punishments, Drug Court also attempts to solve some of the offenders' underlying problems. The program is built upon a unique partnership between the criminal justice and drug treatment communities, one which structures treatment intervention around the authority and personal involvement of a single Drug Court Judge.

The Drug Court Teams utilize a group of professionals consisting of the following:

<p>Drug Court Judge Defense Attorney Law Enforcement Representative</p>	<p>County Attorney Probation/Parole Officer Substance Abuse Treatment Provider</p>
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Drug Court is dependent upon the creation of a non-adversarial courtroom atmosphere where a single Judge and dedicated correctional and treatment staff work together toward the common goal of breaking the cycle of drug abuse and criminal behavior. An environment with clear and explicit rules is created and a participant's compliance is within their own control.

The mission of Drug Court is to enhance public safety and benefit the community through a judicially supervised, collaborative effort to more efficiently work with substance abusing offenders, thereby reducing recidivism and associated crime.

Both Drug Courts also contain a "Mental Health Component" which includes the provision of mental health services for Drug Court participants.

Dubuque & Delaware County Drug Court	
Active on 7/1/15	19
New Admissions	14
Successful Completions	5
Unsuccessful Closures	8
Active on 6/30/16	20
Total served FY'16	33

Black Hawk County Drug Court	
Active on 7/1/15	21
New Admissions	18
Successful Completions	1
Unsuccessful Closures	11
Active on 6/30/16	27
Total served FY'16	39



OWI Programs

Available in Waterloo and West Union Facilities

District Residential Facilities in Waterloo and West Union provide programs for offenders convicted of multiple Operating While Intoxicated (OWI) charges, as authorized by the Iowa Code, Chapter 904.153. Although they are considered to be state inmates, offenders in these programs are allowed to reside in a residential facility and participate in treatment rather than going to prison. OWI offenders are required to complete a substance abuse evaluation and participate in a variety of treatment activities. Substance abuse group treatment and individual counseling are provided through contracted services with local substance abuse agencies.

OWI Programs	
Active on 7/1/15	21
New Admissions	62
Closed	59
Successful Completion Rate	88.1% (52)
Unsuccessful Completion Rate	11.9% (7)
Administrative Closures	0% (0)
Active on 6/30/16	22
Total served FY'16	83

Thinking For A Change

Available District-wide

Thinking for a Change (T4C) was developed by the National Institute of Corrections (NIC) and is used with correctional populations throughout the United States. The three components of Thinking for a Change are: cognitive self-change, social skills, and problem solving skills. Cognitive self-change teaches individuals a concrete process for self-reflection aimed at uncovering antisocial thoughts, feelings, attitudes, and beliefs. Social skills introduction prepares group members to engage in pro-social interactions based on self-understanding and consideration of the impact of their actions on others. Problem solving skills integrates the two previous interventions to provide group members with an explicit step-by-step process for addressing challenging and stressful real life situations.

Thinking For A Change	
Active on 7/1/15	35
New Admissions	46
Closed	70
Successful Completion Rate	58.6% (41)
Unsuccessful Completion Rate	18.6% (13)
Administrative Closures	15.7% (11)
Intermediate Sanctions	7.1% (5)
Active on 6/30/16	14
Total served FY'16	81

“By taking charge of our thinking, we take control of our lives.”

Mental Health Jail Assessment & Diversion

Available in Dubuque, Buchanan, Delaware, Bremer, and Black Hawk Counties

Community Treatment Coordinators in all three Divisions conduct mental health screenings on individuals incarcerated in local county jails to determine if appropriate services exist within the community that would allow the offender a suitable placement alternative in lieu of prison or jail. Through collaboration with multiple community agencies, each individual’s mental health needs are addressed in conjunction with issues related to housing, medications, provider support, and appropriate correctional supervision. The Community Treatment Coordinators may supervise offenders in the community or make referrals to various mental health programs within the Department. The Mental Health Jail Assessment Program has proven to be a valuable asset to the First District in our efforts to more effectively address the needs and issues of mentally ill people in the correctional system.

Mental Health Jail Assessment Programs	Black Hawk County	Bremer County	Buchanan County	Delaware County	Dubuque County
Number of Offenders screened in Fiscal Year 2016	125	14	14	15	35
Number of Offenders released from jail to the community with services provided	102	10	10	9	31
Number of Offenders released from jail to a Residential Care Facility	19	2	1	1	7
Number of Offenders Supervised by CTC in Fiscal Year 2016	60	10	13	14	92

Mental Health Re-Entry

Available in Black Hawk County

With the growing prevalence of mentally ill people on correctional supervision, the need to offer more rehabilitative options in conjunction with specialized supervision has become necessary. In FY 2016 the Department had a total of four Probation/Parole Officers specifically assigned to supervise high-risk/high-need mentally ill offenders in Black Hawk County. These agents supervise male and female offenders on pre-trial, probation, parole, and in the Waterloo Residential Facilities. “Mental Health Re-entry” is a broad term used to identify this specific offender population.

In FY16 grant funding from the Governor’s Office of Drug Control Policy paid for additional mental health programming for correctional offenders.

Mental Health Re-Entry	
Active on 7/1/15	110
New Admissions	133
Closed	146
Active on 6/30/16	98
Total served FY’16	243

Black Hawk County Culturally Specific Re-entry Initiative

Available in Black Hawk County

The Black Hawk County Culturally Specific Re-entry Initiative began operations in 2009. Development of this initiative can be attributed to the on-going efforts of the Department of Correctional Services to become more responsive to the needs of our African-American community. African-American men who are assessed to be high risk, excluding those meeting the criteria for specialized programming such as sexual offender treatment and/or mental health, meet the initial eligibility requirements. Along with trying to implement culturally responsive groups and smaller caseloads, community involvement is a primary focus. A Re-entry Steering Committee focuses on increasing the level of community investment and involvement. Circles of Support & Accountability have been developed. These teams are comprised of community members who donate their time to provide guidance, support, encouragement, and accountability to the Department and the clients.

Black Hawk County Re-Entry Initiative	
Active on 7/1/15	89
New Admissions	74
Closed	92
Active on 6/30/16	71
Total served FY'16	163

Moving On

Available District-wide

Moving On is a 26-session curriculum-based program that was developed exclusively for women offenders. The primary goal of the program is to provide women with pro-social alternatives and choices so that they can make lifelong changes. Weekly groups address topics such as strengths, assertiveness, skills, emotions, decision making, problem solving, family relationships, parenting, unhealthy relationships, and stress management. This is a research-based cognitive behavioral approach to learning and provides women with a network of support with opportunities to identify, understand, and use resources necessary to make healthy choices. The program has received positive reviews from both clients and facilitators.

Research suggests that women offenders face different challenges than men, and therefore require unique services, delivered in a different way, under different circumstances.

Moving On	
Active on 7/1/15	0
New Admissions	34
Closed	34
Successful Completion Rate	58.9% (20)
Unsuccessful Completion Rate	32.4% (11)
Administrative Closures	5.8% (2)
Intermediate Sanctions	2.9% (1)
Active on 6/30/16	0
Total served FY'16	34

Sex Offender Treatment & Supervision

Available District-wide

Program staff for the SOTP unit includes a Psychologist, a Polygraph Examiner, and 11 Specialized Probation/Parole Officers located across the District. All sex offenders are supervised at an enhanced level of supervision and are expected to participate in treatment provided by the Department. Various assessments are used to determine individual risk and ascertain treatment needs and goals. Testing instruments such as the polygraph are used to verify information about sexual deviancy patterns and monitor compliance with supervision conditions.

Specialized SOTP cognitive groups and a specific program for statutory offenders are offered. Supervision of the SOTP unit has been streamlined in order to more efficiently address the complexities of specific laws for sex offenders, sex offender registry issues, increased periods of supervision, electronic monitoring requirements, and the development of more uniform programming across the District.

Sex Offender Treatment & Supervision	
Active on 7/1/15	239
New Admissions	130
Closed	126
Active on 6/30/16	247
Total served FY'16	369

Electronic Monitoring

Available District-wide

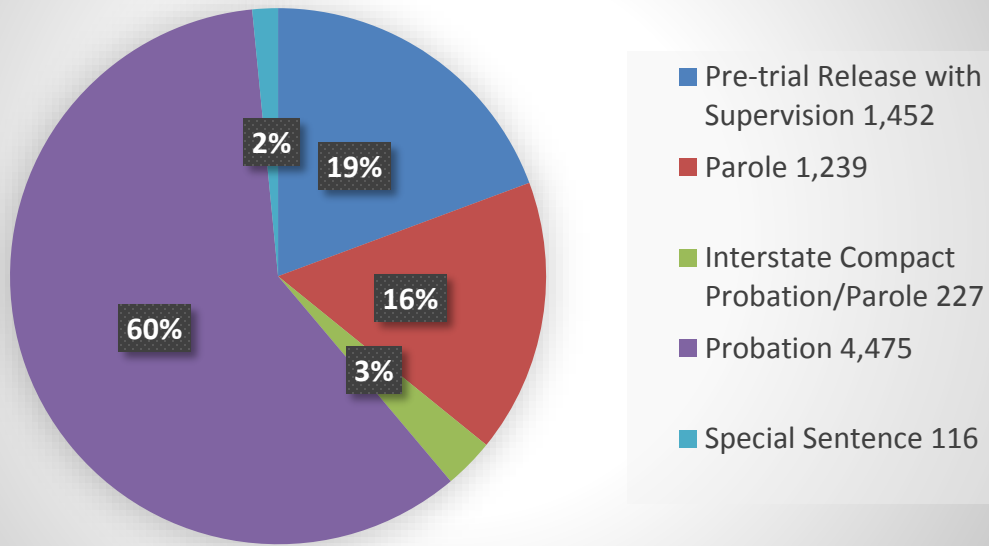
Electronic monitoring is used to enhance offender accountability through the use of sophisticated technology. It is a cost-effective tool used to assist officers in monitoring the whereabouts of offenders in the community. Electronic monitoring is used primarily with sex offenders. As mandated by Iowa law, sex offenders may be required to wear electronic monitoring (EM) devices or global positioning system (GPS) units depending on their crime. The movements of an offender can be tracked by the GPS and viewed via computer by Department staff.

Global Positioning - Satellite	
Active on 7/1/15	115
New Admissions	139
Closed	142
Active on 6/30/16	113
Total served FY'16	254

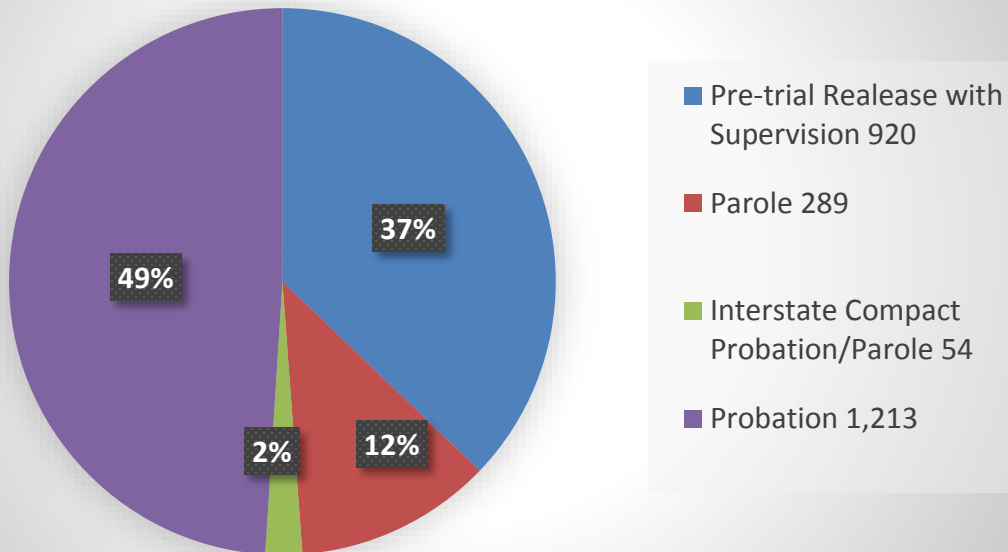
Field Services Division

The majority of offenders supervised by the Department of Correctional Services are monitored by staff in the Field Services Division. Often referred to as “street supervision” this category typically includes pre-trial supervision, various probation supervision levels, and parole. The following pages include information about the numerous supervision types and services provided by the Field Services Division.

Offenders Served in Field Services



Field Services Successful Discharges



Standard Pre-Trial Supervision

Available District-wide

The Department established Pre-Trial Services in 1974. Arrestees are interviewed in local jails and are assessed for their likelihood to be present for future court appearances and their potential danger to the community. Recommendations to the Court for release may include release on own recognizance, release with supervision, release on bond, or release on bond with supervision. If release with supervision is ordered, the defendant is monitored to assure attendance at court appearances and compliance with conditions of release. Defendants will be supervised until the disposition of their cases or until further Court order.

**Pre-Trial Interviews
Completed FY '16= 719**

Standard Pre-trial Supervision	
Active on 7/1/15	431
New Admissions	1,021
Closed	1,027
Successful Completion Rate	89.6% (920)
Unsuccessful Completion Rate	2.0% (21)
Administrative Closures	8.4% (86)
Active on 6/30/16	409
Total served FY'16	1,452

Intensive Pre-Trial Supervision

Available in Black Hawk County

An Intensive Pre-Trial Supervision Program was initially established in 1985 to help alleviate jail overcrowding in Black Hawk County. Even after the construction of a new county jail, Intensive Pre-trial Supervision has continued to provide services for high-risk defendants who may otherwise remain incarcerated. The program is a cost-effective alternative to incarceration for people awaiting further Court proceedings in their cases.

**Intensive Pre-Trial
Interviews
Completed FY '16= 81**

Intensive Pre-trial Supervision	
Active on 7/1/15	106
New Admissions	202
Closed	206
Successful Completion Rate	68.9% (142)
Unsuccessful Completion Rate	6.3% (13)
Administrative Closures	24.8% (51)
Active on 6/30/16	102
Total served FY'16	308

Low Risk Probation

Available District-wide

The Low Risk Supervision Program was developed to remove the majority of low risk offenders from standard supervision caseloads in order to address high caseloads for standard officers in a cost-effective manner. Offenders participate in a group intake where they are informed of their court-ordered obligations and responsibilities for supervision. Once their obligations are met, they may be eligible for discharge from supervision.

The Low Risk Supervision Program
consist of:

- **High offender to staff ratios**
- **Group sign-ups**
- **Shortened supervision**
- **Monitoring of court-ordered requirements**

Low Risk Probation	
Active on 7/1/15	605
New Admissions	445
Closed	486
Successful Completion Rate	73.3% (356)
Unsuccessful Completion Rate	3.9% (19)
Administrative Closures	18.7% (91)
Intermediate Sanctions	4.1% (20)
Active on 6/30/16	564
Total served FY'16	1,050

Intensive Probation & Parole—Domestic Violence

Available in Black Hawk County

Intensive Supervision is typically reserved for Domestic Violence offenders who have been assessed as high-risk and require more assistance and supervision than those on standard probation or parole. These offenders may be subject to increased contact standards, frequent home visits, curfews, surveillance, and may be required to wear electronic monitoring devices. In addition, these offenders are required to participate in Iowa Domestic Abuse Program groups and regularly report to the Domestic Violence Court.

Intensive Probation & Parole	
Active on 7/1/15	103
New Admissions	51
Closed	105
Successful Completion Rate	57.1% (60)
Unsuccessful Completion Rate	14.3% (15)
Administrative Closures	24.8% (26)
Intermediate Sanctions	3.8% (4)
Active on 6/30/16	51
Total served FY'16	154

Probation & Parole

Probation: Offenders are placed on probation after being found guilty of a criminal offense. They typically receive a jail or prison sentence which is suspended “with good behavior” and they are then placed on probation. This sentencing option gives offenders an opportunity to correct their behavior while remaining in the community. In order to effectively address criminogenic needs, offenders participate in an assessment process, case planning, and appropriate treatment. Probation Officers monitor compliance with supervision expectations, work with offenders to facilitate behavioral change, and report progress to the Court.

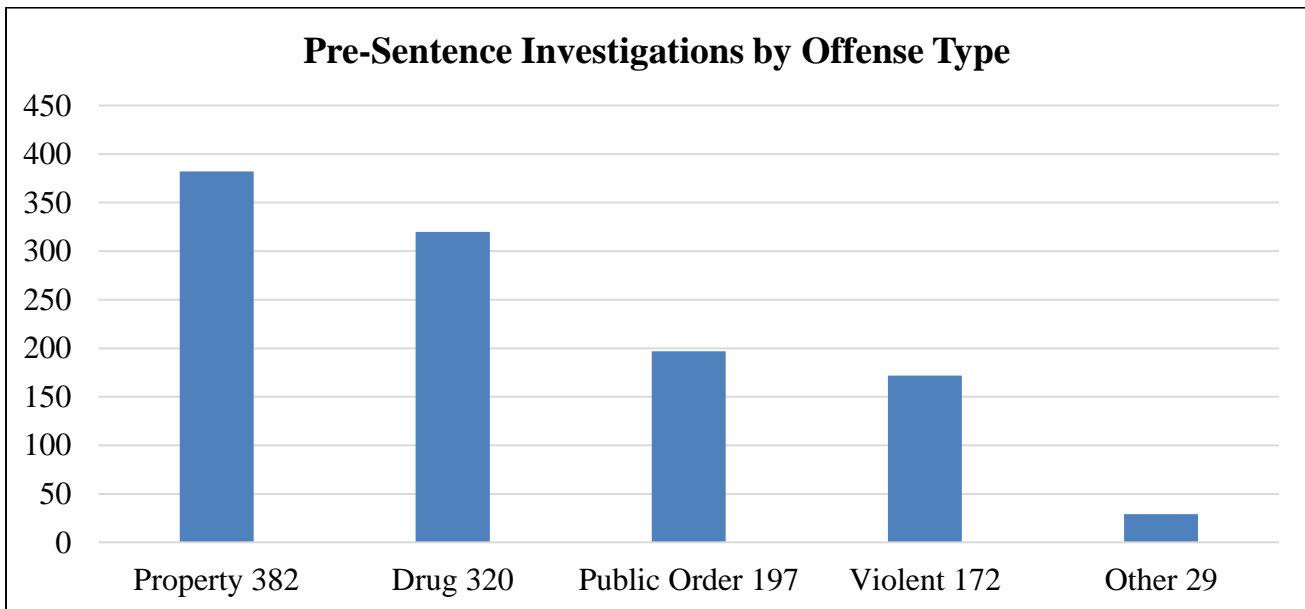
Parole: Offenders are granted a parole as authorized by the Iowa Board of Parole either directly out of a state institution or from a Work Release Facility. The 1st District Re-Entry Coordinator works with prison counselors and re-entry coordinators to help facilitate a smooth transition from incarceration back to the community. Parole Officers conduct assessments, make referrals for treatment and assistance, facilitate lifestyle changes, and monitor compliance with parole conditions.

Probation (all Specialties included)	
Active on 7/1/15	3,011
New Admissions	1,464
Closed	1,620
Successful Completion Rate	74.9% (1,213)
Unsuccessful Completion Rate	23.3% (378)
Administrative Closures	1.8% (29)
Active on 6/30/16	2,629
Total served FY'16	4,475

Parole (all Specialties included)	
Active on 7/1/15	647
New Admissions	592
Closed	590
Successful Completion Rate	49.0% (289)
Unsuccessful Completion Rate	30.3% (179)
Administrative Closures	1.0% (6)
Intermediate Sanctions	19.7% (116)
Active on 6/30/16	647
Total served FY'16	1,239

Pre-Sentence Investigations

The Pre-Sentence Investigation is a detailed report provided to the court prior to sentencing. Because the Court has considerable discretion in most cases, it relies on the report to provide an accurate and objective description of the individual and their background. The report includes details regarding an individual’s criminal history, substance abuse issues, social history, family, education, employment, and other pertinent information. Also included are proposed correctional and treatment plans to meet the needs of the offender and safeguard the public. Finally, a sentencing recommendation from the Department is made to the Court. The Pre-Sentence Investigation report also provides valuable information to other correctional staff who later supervise the offender.



Pre-Sentence Investigations by Offense Class		
Offense Class	Total	Percentage
A Felony	6	.5%
B Felony	49	4.5%
C Felony	201	18.3%
D Felony	651	59.2%
Felony - Enhancement to Original Penalty	32	2.9%
Aggravated Misdemeanor	78	7.1%
Serious Misdemeanor	61	5.5%
Simple Misdemeanor	17	1.5%
Other	5	.5%
Total/Percent	1100	100%

Pre-Sentence Investigations by Form Type		
Form Type	PSI Count	Percentage
Long	550	50.0%
Short	491	44.6%
Pre Plea	59	5.4%
Total/Percent	1100	100%

First District Residential Facilities: Dubuque, Waterloo, & West Union

Residential Supervision is provided in all three facilities for the following types of offenders:

- ❖ Work Release
- ❖ Operating While Intoxicated/321.J
- ❖ Probation
- ❖ Federal
- ❖ Direct Sentence/Alternative Jail Site
- ❖ Interstate Compact
- ❖ Parole
- ❖ Pre-trial Release

Offenders are committed to Residential Facilities either by Court order, through the Corrections Continuum, or as ordered by the Iowa Board of Parole. In addition, Federal residents may be housed in residential facilities via a contract with the United States Bureau of Prisons. Offenders may be placed in facilities on several different legal statuses such as pre-trial, probation, parole, work release, and federal.

First District Facilities provide safe and secure environments which are conducive to positive offender change. Offenders progress through facility programs via a level system, whereby privileges are gained through compliance with program rules and treatment objectives. Programming is individually tailored to meet offender needs and may include securing and maintaining employment, participating in an education program, performing community service work, substance abuse and mental health counseling, and cognitive-behavioral treatment. Residential Probation/Parole Officers assist offenders with money management to ensure they meet their financial obligations including victim restitution and child support. Facility residents also pay rent to the facility, which helps defray the costs associated with their stay.

Program Utilization Summary (R & VC Beds)	
Active on 7/1/15	299
New Admissions	1,168
Closed	620
Active on 6/30/16	293
Total Served FY'16	1,467

**New admissions –
1st District Facilities
Fiscal Year 16: 1,168**

**Total Bed Capacity=323
Male=252
Female=71**

Average Daily Population	
Waterloo Residential Facility	137.01
Waterloo Women's Center for Change	37.95
Dubuque Residential Facility	74.33
West Union Residential Facility	41.98
Total	291.27

First District Residential Facilities



Waterloo Women's Center for Change, Bed Capacity=45, Females Only



**West Union Residential Facility
Bed Capacity=48
Male=40, Female=8**

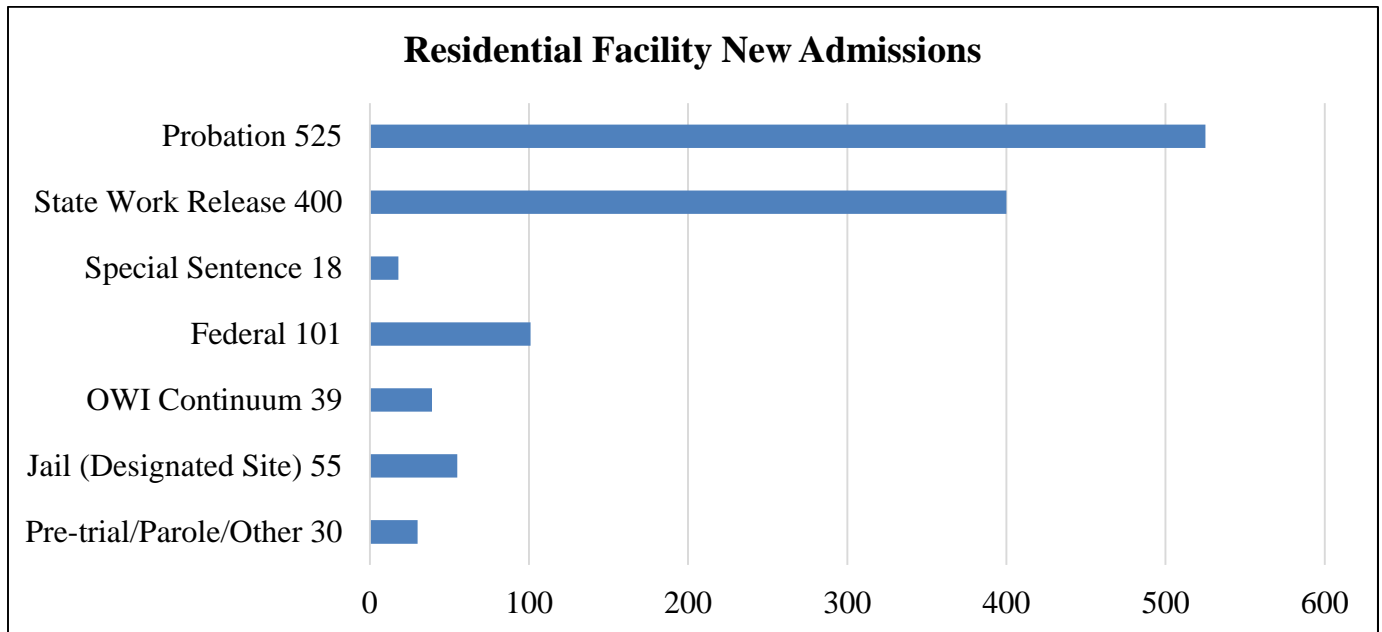


**Dubuque Residential Facility
Bed Capacity=80
Male=62, Female=18**



Waterloo Residential Facility, Bed Capacity=150, Males Only

First District Residential Facilities



Community Service Work

Available District-wide

The 1st District is committed to helping restore harm done to the many victims in our communities. One method used to help accomplish this goal is for offenders to perform community service work in our neighborhoods. While this labor certainly benefits the community, it can also provide opportunities for offenders to learn job skills and develop a sense of responsibility to society. There are several options for how and why community service work is ordered and incorporated into programming. These may include:

- ***Community Service Sentencing:*** Offenders are ordered by the Court to perform community service work as part of their probation conditions.
- ***Community Service In Lieu of Payment for Court Fees:*** Offenders may perform community service work in lieu of paying selected court fees, if approved by the Court. Community service work cannot be used to repay any victim damages or victim restitution.
- ***Community Service as an Intermediate Sanction:*** Offenders may be ordered by the Court or the Corrections Continuum Committee to perform community service work as a penalty for violations of supervision.
- ***Community Service as a Component of the Level System:*** Offenders may be required to perform community service work in order to advance through the Residential Facility Level System, which determines eligibility for furloughs and successful discharge from the facility.

Community Service Work Hours completed in First District in FY '16 = 18,493

FY '16 Financial Information

TOTAL REVENUES BY SOURCE	FY 2016	FY 2015	% Change
State	14,787,977	14,753,977	0.23%
Federal	887,591	727,682	21.98%
County	496,642	372,886	33.19%
Offender Fees (Detailed Below)	2,738,417	2,520,560	8.64%
Iowa Domestic Abuse Program Support	195,199	206,521	-5.48%
Intra-State Transfers	0	50,023	-100.00%
Interest	6,079	3,971	53.08%
Other	43,942	22,844	92.36%
Previous Fiscal Year Carryover	370,505	248,169	49.30%
TOTAL	19,526,351	18,906,634	3.28%



Offender Fees Collected	FY 2016	FY 2015	% Change
Residential Rent	1,949,172	1,844,209	5.69%
Residential Day Reporting Fees	170,421	139,570	22.10%
Supervision Fees	594,952	515,805	15.34%
Program Fees	23,872	20,975	13.81%
TOTAL	2,738,417	2,520,560	8.64%

FY '16 Financial Information

Expenditures by Cost Center	FY 2016	FY 2015	% Change
Salaries & Benefits	16,872,156	16,649,662	1.34%
Travel & Subsistence	65,452	67,585	-3.16%
Supplies	696,641	718,905	-3.10%
Contractual Services	966,056	921,801	4.80%
Equipment & Repairs	183,344	148,101	23.80%
Debt Reduction & Insurance	33,933	30,075	12.83%
TOTAL	18,817,581	18,536,129	1.52%

Expenditures by Major Cost Center	FY 2016	FY 2015	% Change
Administration **	1,227,245	1,291,678	-4.99%
Probation/Parole	5,729,776	5,650,528	1.40%
Residential Services	8,150,811	7,988,814	2.03%
Special Projects (detailed below)	3,709,749	3,605,109	2.90%
TOTAL	18,817,581	18,536,129	1.52%

****First District Administration directs, manages, establishes policies and procedures, and oversees all community based district operations including: strategic planning, budgeting, personnel, technology, fiscal management and accountability, offender services, program development, and contracted services.**

FY '16 EXPENDITURES BY SPECIAL PROJECT BY REVENUE SOURCE	State	Federal, Local, Or Other	Total
Probation/Parole/Pre-trial Intensive	217,267	111,620	328,887
Sex Offender Treatment	1,157,718	389,337	1,547,055
Mental Health	110,412	392,443	502,855
Iowa Domestic Abuse Program	0	320,539	320,539
Drug Courts	324,415	90,462	414,877
Culturally Specific Re-Entry	305,277	415	305,692
Jail Assessment Dubuque County	0	105,110	105,110
Jail Assessment Black Hawk County	0	106,528	106,528
Jail Assessment Brem. Buch. Dub. Counties	0	78,206	78,206
TOTAL	2,115,089	1,594,660	3,709,749

FY '16 Financial Information

	FY16	Department Revised Budget	Actual Revenues and Expenditures	Percent (Actual of Budget)
	Resources Available			
04B	Balance Brought Forward	370,505	370,505	100.00
02B	Adjustment to Balance Brought Forward	0	0	0
05A	Appropriation	14,787,977	14,787,977	100.00
05K	DAS Distribution	0	0	0
---	Appropriation Transfer	0	0	0
---	De-appropriation	0	0	0
201R	Federal Support	0	0	0
202R	Local Governments	538,308	496,642	92.26
204R	Intra State Receipts	0	0	0
205R	Reimbursement from Other Agencies	69,791	69,794	100
234R	Transfers – Other Agencies	0	0	0
301R	Interest	3,500	6,079	173.69
401R	Fees, Licenses & Permits	520,000	595,589	114.54
402R	Tuition & Fees	0	0	0
501R	Refunds & Reimbursements	2,792,210	3,150,608	112.94
602R	Sale of Equipment & Salvage	0	0	0
603R	Rents & Leases	0	0	0
604R	Agricultural Sales	0	0	0
606R	Other Sales & Service	0	0	0
704R	Other	50,000	49,157	98.31
	Total Resources Available	19,132,291	19,526,351	102.06
	Funds Expended			
101	Personal Services-Salaries	17,132,362	16,872,156	98.48
202	Personal Travel (In State)	32,500	33,281	102.40
203	State Vehicle Operation	33,000	32,171	97.49
204	Depreciation	0	0	0
205	Personal Travel (Out of State)	1,500	0	0
301	Office Supplies	47,500	34,168	71.93
302	Facility Maintenance Supplies	13,000	12,552	96.55
303	Equipment Maintenance Supplies	0	0	0
304	Professional & Scientific Supplies	45,850	44,758	97.62
306	Housing & Subsistence Supplies	95,000	98,887	104.09
307	Ag. Conservation & Horticulture Supply	0	0	0
308	Other Supplies	2,500	871	34.84
309	Printing & Binding	0	0	0
310	Drugs & Biologicals	0	0	0
311	Food	440,505	437,854	99.40
312	Uniforms & Related Items	0	0	0

	FY16	Department Revised Budget	Actual Revenues and Expenditures	Percent (Actual of Budget)
313	Postage	0	0	0
401	Communications	75,000	67,549	90.07
402	Rentals	80,500	81,363	101.07
403	Utilities	185,000	211,613	114.39
405	Professional & Scientific Services	414,663	418,092	100.83
406	Outside Services	51,000	39,685	77.81
407	Intra-State Transfers	0	0	0
408	Advertising & Publicity	1,000	427	42.70
409	Outside Repairs/Service	175,000	48,224	27.56
412	Auditor of State Reimbursements	1,000	530	53.00
414	Reimbursement to Other Agencies	93,561	83,355	89.09
416	ITS Reimbursements	78,500	82,769	105.44
417	Worker's Compensation	0	0	0
418	IT Outside Services	0	0	0
434	Transfers – Other Agencies Services	0	0	0
501	Equipment	0	68,173	0
502	Office Equipment	0	0	0
503	Equipment - Non-Inventory	26,000	13,805	53.10
510	IT Equipment	61,350	101,365	165.22
601	Claims	0	0	0
602	Other Expense & Obligations	46,000	33,933	73.77
609	Bonds, Credit Union, Deferred Comp	0	0	0
705	Refunds-Other	0	0	0
901	Capitals	0	0	0
---	Balance Carry Forward	0	708,770	0
---	Reversion	0	0	0
	Total Expenses	19,132,291	19,526,351	102.06

FY '16 Financial Information

Average Daily Costs			
FIELD SERVICES			
	Total Amount		
Grand Total Field Services Expenditures	\$5,729,776.00		
	Dollars Allocated	# of Interviews	Cost per Interview
Pretrial Interviews	\$25,211.01	805	\$31.31
	Dollars Allocated	# of Reports	Cost per Report
Presentence Investigation Reports	\$170,747.32	1100	\$155.22
FIELD SERVICES SUPERVISION			
	Dollars Allocated	Average # Offenders	Cost per Offender
Pretrial Release with Supervision	\$366,132.69	490	\$2.04
Probation/Parole Supervision	\$5,070,278.78	2,944	\$4.71
SPECIALTIES (deducted from probation/parole)			
	Dollars Allocated	Average # Offenders	Cost per Offender
Probation/Parole Intensive Services	\$218,244.00	79	\$7.56
Low Risk Probation Expenditure	\$97,406.19	643	\$0.41
Minimum Risk Probation Expenditure	0	0	0
Intensive Supervision - Sex Offenders Expenditure	\$1,086,359.75	249	\$11.95
Drug Court Expenditure	\$414,877.00	55	\$20.66
INTERVENTION PROGRAMS (not deducted from probation/parole)			
	Dollars Allocated	Average # Offenders	Cost per Offender
Iowa Domestic Abuse Program	\$320,539.00	493	\$1.78
Sex Offender Treatment Program	\$460,695.25	231	\$5.46
RESIDENTIAL SERVICES			
	Dollars Allocated	Average # Offenders	Cost per Offender
Total Residential Expenditures	\$8,150,811.00	295.33	\$75.61

Supplementary Statistical Information

1st District Field Services by Supervision Status FY16					
Supervision Status	Active on 7-1-15	New	Closures	Active on 6-30-16	Offenders Served
Interstate Compact Parole	46	15	32	31	61
Interstate Compact Probation	116	50	56	104	166
Parole	647	592	590	647	1,239
Pretrial Release With Supervision	431	1,021	1,027	409	1,452
Probation	3,011	1,464	1,620	2,629	4,475
Special Sentence	98	18	27	96	116
Other	2	14	1	1	16
District Total	4,351	3,174	3,353	3,917	7,525

1st District Field Services by Supervision Status and Reason for Change FY16					
Supervision Status	Administrative	Intermediate Sanction	Successful	Unsuccessful	Totals
Interstate Compact Parole	16	0	15	1	32
Interstate Compact Probation	17	0	39	0	56
Parole	6	116	289	179	590
Pretrial Release With Supervision	86	0	920	21	1,027
Probation	29	0	1,213	378	1,620
Special Sentence	1	5	10	11	27
Other	0	0	1	0	0
Totals:	155	121	2,487	590	3,353

Supplementary Statistical Information

1st Judicial District Region Specialties FY16					
Specialty	Active on 7-1-15	New Admits	Active on 6-30-16	Offenders Served	Closures
Day Reporting - Residential	75	294	83	369	292
Domestic Abuse Supervision	0	16	16	16	0
Drug Court Supervision	46	81	62	127	65
Federal BOP	19	81	24	100	76
Federal Public Law	6	30	11	36	25
Global Positioning - Satellite	115	139	113	254	142
Home Confinement - Federal Offender	5	37	8	42	34
Intensive Supervision	103	51	51	154	105
Intensive Supervision - Pretrial Release	106	202	102	308	206
Intensive Supervision - Sex Offenders	239	130	247	369	126
Jail (Designated Site)	2	50	3	52	49
Low Risk Probation	605	445	564	1,050	486
Mental Health Re-Entry	110	133	98	243	146
One Stop Re-Entry	89	74	71	163	92
OWI Pre-Placement	3	37	2	40	38
SCRAM (Secure Continuous Remote Alcohol Monitoring)	1	1	0	2	2
WOCMM (Women Offender's Case Management Model)	1	1	1	2	1
District Total Specialties	1,525	1,802	1,456	3,327	1,885

Supplementary Statistical Information

1st District Interventions FY16					
Intervention	Active On 7-1-15	New	Closures	Active On 6-30-16	Offenders Served
ACTV: Achieving Change Through Value-Based Behavior - Dubuque	15	113	79	58	128
ACTV: Achieving Change Through Value-Based Behavior/FEMALE GROUP - Waterloo	0	43	19	24	43
ACTV: Achieving Change Through Value-Based Behavior - Waterloo	73	209	206	100	282
ACTV: Achieving Change Through Value-Based Behavior – West Union	14	28	34	13	42
Iowa Domestic Abuse Program (IDAP) Group - Dubuque	2	38	32	18	40
Iowa Domestic Abuse Program (IDAP) Group - Waterloo	12	16	38	0	28
Iowa Domestic Abuse Program (IDAP) Intake - Dubuque	0	155	155	0	155
Iowa Domestic Abuse Program (IDAP) Intake - Waterloo	0	271	272	0	271
Iowa Domestic Abuse Program (IDAP) Intake - West Union	0	30	30	0	30
Moving On-Women Offender Programming-Decorah	0	11	11	0	11
Moving On-Women Offender Program-Waterloo	0	23	23	0	23
Sex Offender – Continuing Care Group - Decorah	0	5	0	5	5
Sex Offender – Continuing Care Group – West Union	0	4	1	3	4
Sex Offender – Female Group - Waterloo	3	0	1	3	3
Sex Offender - Phase I & II Treatment Group - Dubuque	35	14	23	26	49

Intervention	Active On 7-1-15	New	Closures	Active On 6-30-16	Offenders Served
Sex Offender - Phase II Treatment Group - Waterloo	8	6	9	6	14
Sex Offender - Phase II Treatment Group - West Union	6	8	9	5	14
Sex Offender- Phase I Treatment Group-Oelwein	8	0	3	5	8
Sex Offender- Phase I Treatment Group-Waterloo	8	13	9	12	21
Sex Offender-Phase I Treatment Group-West Union	13	13	12	14	26
Sex Offender-Treatment Aftercare - Decorah	8	3	5	6	11
Sex Offender-Treatment Aftercare - Dubuque	0	18	1	17	18
Sex Offender-Treatment Aftercare - Waterloo	35	18	21	33	53
Sex Offender-Treatment Aftercare – West Union	12	4	6	10	16
SOTP - Accelerated Sex Offender Curriculum - Waterloo	7	0	4	3	7
SOTP Alternative Aftercare - Waterloo	11	5	4	12	16
SOTP Mental Health Group - Waterloo	12	3	6	9	15
Thinking for a Change – Dubuque	23	1	23	3	24
Thinking for a Change – Oelwein	0	16	5	11	16
Thinking for a Change – SOTP - Waterloo	12	10	22	0	22
Thinking for a Change – Waterloo	0	19	20	0	19

1st District ~ Quick Facts as of June 30, 2016

About Employees~

Number of Employees: 187

1 st District Staff Diversity Profile	Percentage
Women	49%
People of Color	11%

**Field Services
Offenders Served in
FY16=7,509**

About 1st District Facilities~

Facility Locations & Capacity	Men	Women
Dubuque	62	18
West Union	40	8
Waterloo	150	45
Totals	252	71

**Pre-Sentence
Investigations Completed
in FY16=1,100**

The Offenses~

Offense Type	Percentage
Violent	23.0%
Property	25.0%
Drug	25.0%
Public Order	24.2%
Other	2.8%
Total	100%

**New admissions to
1st District Facilities
in FY16=1,168**

**Successful Supervision
Discharges in
FY16=2,476**

About Offenders~

Number of Offenders on 6-30-16	
Field Services	3,917
Residential Facilities	293
Total	4,210

Gender	Percentage
Male	75.9%
Female	24.1%
Total	100%

Race/Ethnic Origin	Percentage
White	72.9%
Black	24.1%
Other	3.0%
Total	100%

Age Group	Percentage
19 and under	3.2%
20 through 29	37.0%
30 through 39	28.6%
40 through 49	15.7%
50 and older	15.5%
Total	100%

Intern/Volunteer Services

The Department partners with local colleges and universities to provide students with an opportunity to complete internships or volunteer work experience in community-based corrections. Numerous Department employees were interns/volunteers before being hired.

Benefits to the student:

- Practical experience will help with career planning and decisions.
- Provides an opportunity to learn and practice new skills.
- Increases their knowledge and enhances their chances of obtaining employment in the corrections field.
- Networking opportunities with professionals in the corrections field.

Benefits to the Department:

- Develops a more experienced employee applicant pool.
- Improves the employee selection process by providing an opportunity to observe potential employees in the work environment.
- Assists Department staff with job tasks which may be performed in a supervised capacity.
- Gives Department staff an opportunity to help students grow and learn.







Intern/Volunteer hours performed during FY '16:

Western Division=3,340

Eastern Division=1,510

Northeastern Division=280

Special Recognitions

	<p>Karen Herkelman began her career in corrections with the First District on September 2, 1979 as a part-time Residential Advisor at the Waterloo Residential Facility. She then held the positions of Residential Counselor, Probation/Parole Officer, Residential Supervisor, Probation/Parole Supervisor, and Assistant District Director. On September 24, 2004 she was named the District Director. Her retirement date was July 31, 2015.</p>
	<p>JoAnn started working for our Department on July 1, 1994 as a contracted part-time teacher at the Individual Learning Center, West Union Facility. She was then hired as an Education Aide on June 30, 1995. On March 14, 2003 she was reclassified to a Residential Officer. She stayed at the WURF until Nov. 22, 2013 when she transferred to the newly opened Waterloo Women's Center for Change. Her retirement date was December 1, 2015.</p>
	<p>Bob was hired by the State of Iowa on August 1, 1975 and transferred to First District on November 26, 1999 as a Probation/Parole Officer III in the Intensive Probation/Parole Unit in Waterloo. At the time of his retirement on December 31, 2015, he was at Probation/Parole Officer III in the Waterloo Sex Offender Treatment Program Unit.</p>
	<p>William started with 1st District on October 17, 1977 as a Probation Officer at the Waterloo Field Services Office. His position held other names such as Correctional Services Worker and eventually Probation/Parole Officer. On August 1, 1986 he was promoted to Probation/Parole Supervisor and has held that position until the time of his retirement on February 25, 2016.</p>
	<p>Tom began working in First District on April 6, 2007 as a Probation/Parole Officer II at the Dubuque Residential Facility and stayed at that position his entire career, retiring on April 12, 2016.</p>
	<p>B.J. Wilcox began working at First District on May 20, 1991 as a Probation/Parole Officer I at the Waterloo Field Services Office. On November 6, 1992 she was promoted to Probation/Parole Officer II, the position she held until her retirement on May 31, 2016.</p>

Annual Report Fiscal Year 2016

This completes the FY '16 annual report.

It has been placed on the First District website: www.FirstDCS.com

The home page of the website has information to phone or e-mail questions or comments regarding this annual report.

