



**ARIZONA DEPARTMENT OF  
CORRECTIONS**

**FIVE-YEAR STRATEGIC PLAN  
FY 2011 to FY 2015**

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## EXECUTIVE SUMMARY

The Arizona Department of Corrections, with an annual budget exceeding \$1,037,000 and over 9,755 employees, is one of the largest departments in Arizona State Government. The Arizona Department of Corrections serves and protects the people of the state of Arizona by incarcerating inmates in correctional facilities and supervising conditionally released offenders in the community. During incarceration, medical care and other health and welfare services are provided to inmates. In addition, programs such as work, education, training, and substance abuse treatment are provided to inmates to promote employability, literacy, sobriety, and accountability to crime victims and to increase the likelihood that released inmates will become law-abiding citizens upon release.

In looking at the opportunities and challenges facing Arizona in the next five years, the Arizona Department of Corrections has identified four strategic issues that align with the Department's vision and mission and focus the Department's long-term strategic direction through corresponding Goals, Objectives and Performance Measures.

## AGENCY STRATEGIC ISSUES

### **STRATEGIC ISSUE 1: Managing Inmate Population Growth**

Inmate population has increased from an average daily population of 29,936 in FY 2001 to 39,628 in FY 2009 (32 percent increase). In FY 2009, the Department had an average daily bed deficit of 4,420. As the inmate population continues to grow, the Department must continue to use planning and process improvement strategies throughout the organization to maximize resources and ensure the safety of the public, staff and inmates.

### **STRATEGIC ISSUE 2: Validating the Inmate Classification System**

As the foundation of the Arizona correctional system, the Department must ensure that the inmate classification system is an objective and viable tool that provides reliable structure and accountability and appropriately directs resources to inmate management. The system must reliably determine inmate custody and internal risk levels based on the risk the inmate presents to the public and staff and the time remaining until the inmate is released. The classification system is critical to designating proper inmate confinement, movement and housing; identifying inmate medical and mental health service requirements; and scheduling inmate work, education, treatment, spiritual services, and recreational assignments.

### **STRATEGIC ISSUE 3: Providing Health Care for Arizona's Growing and Aging Prison Population**

Just like the rest of the nation, Arizona's prison population is growing older. On June 30, 2009, 34% of the inmate population was age 40 years or older and 5.7% was age 55 years or older. Many of these inmates suffer from the nine chronic high-cost illnesses that contribute to nine out of ten deaths in the United States, including congestive heart failure, chronic lung disease, cancer, diabetes, chronic liver disease, and dementia. As these chronic diseases progress, the amount of care needed and cost of care delivered increase markedly, with much of the cost spent on physician and hospital fees associated with repeated hospitalizations.

#### **STRATEGIC ISSUE 4: Integration of Technology and Service Delivery in the Department**

The need for viable technology, process automation and system integration is essential to the ability of the Department to continue to effectively carry out its mission and its obligations to the public. In the area of health care services, for example, technological needs include electronic medical records systems, billing, medical coding, appointments, and computer equipment for health services staff. Without automated processes in place, it will become increasingly difficult for the Department to provide appropriate service and care in an efficient and safe manner.

#### **AGENCY GOALS**

**Goal 1:** To maintain effective custody and control over inmates in an environment that is safe, secure and humane.

**Goal 2:** To require inmate participation in self improvement programming opportunities and services including work, education, substance abuse treatment, sex offender treatment, and spiritual access designed to prepare inmates to be responsible citizens upon release.

**Goal 3:** To provide cost-effective constitutionally mandated correctional health care.

**Goal 4:** To maintain effective community supervision of offenders, facilitate their successful transition from prison to the community and return offenders to prison when necessary to protect the public.

**Goal 5:** To provide leadership, direction, resource management, and support for Department employees to enable the Department to serve and protect the people of the State of Arizona and to provide comprehensive victim services and victim-focused restorative justice programs that hold offenders accountable.

## **FIVE-YEAR STRATEGIC PLAN**

### **AGENCY VISION**

Excellence in correctional management strengthens public safety and contributes to the mission of the criminal justice system.

### **AGENCY MISSION**

To serve and protect the people of Arizona by imprisoning those offenders legally committed to the Arizona Department of Corrections and by providing community based supervision for those conditionally released.

### **AGENCY DESCRIPTION**

The Arizona Department of Corrections serves and protects the people of the state of Arizona by incarcerating inmates in correctional facilities and supervising conditionally released offenders in the community. During incarceration, medical care and other health and welfare services are provided to inmates. In addition, programs such as work, education, training, and substance abuse treatment are provided to inmates to promote employability, literacy, sobriety, and accountability to crime victims and provide the opportunity to become law-abiding citizens upon their release.

### **AGENCY GUIDING PRINCIPLES**

- We have the legal and operational responsibility to be accountable to the judicial, legislative, and executive branches of government; the inmate; and most importantly, to the citizens of Arizona.
- We are obligated to respond effectively to the changing demands placed upon the agency.
- We value honesty and integrity in our relationships, and we place a high priority on quality of services and development of teamwork, trust and open communication.
- We maintain an environment that is humane and fair to both employees and inmates, utilizing a grievance and disciplinary system that is consistently administered and that fosters due process.
- We encourage, recognize, and reward examples of professional performance at all levels that contribute to the enhancement of our responsibility.

## **AGENCY STRATEGIC ISSUES**

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### **STRATEGIC ISSUE 4: Integration of Technology and Service Delivery in the Department**

The need for viable technology, process automation and system integration is essential to the ability of the Department to continue to effectively carry out its mission and its obligations to the public. In the area of health care services, for example, technological needs include electronic medical records systems, billing, medical coding, appointments, and computer equipment for health services staff. Without automated processes in place, it will become increasingly difficult for the Department to provide appropriate service and care in an efficient and safe manner.

## AGENCY GOAL 1

**Goal 1:** To maintain effective custody and control over inmates in an environment that is safe, secure and humane.

**Objective 1:** To safeguard the public, staff and inmates through the efficient, safe and secure operations of prisons.

Performance Measures	FY 2009 Actual	FY 2010 Estimate	FY 2011-FY 2015 Estimate
Number of escapes from secure facilities for the FY	0	1	0
Number of major rule violations per 1,000 inmates per average daily population for the FY	418	410	410
Number of inmate on staff assaults per 1,000 inmates per average daily population for the FY	8.15	9.34	11.28
Number of inmate on inmate assaults per 1,000 inmates per average daily population for the FY	12.47	15.01	17.44
Number of major inmate disturbances for the FY	3	0	0
Number of inmate homicides for the FY	3	0	0
Number of inmate random positive urinalysis results per 1,000 inmates per average daily population for FY	42	40	40
Number of formal inmate grievances (excluding health grievances) per 1,000 inmates per average daily population for the FY	99	95	95
Number of inmates lawsuits (non-habeas) per 1,000 inmates per average daily population for the FY	3.63	3.5	3.5

**Objective 2:** To promote Department safety and security by conducting administrative, civil, criminal, and gang related investigations; performing annual peer reviews and targeted performance audits; and ensuring agency compliance with fire and life safety codes.

<b>Performance Measures</b>	<b>FY 2009 Actual</b>	<b>FY 2010 Estimate</b>	<b>FY 2011-FY 2015 Estimate</b>
Percent of administrative investigations completed within established time frames for the FY	N/A	TBD	TBD
Average annual peer audit percent score of all state prisons	99.94	95	95
Average annual core competency test score for correctional series staff	82.22	85	85
Average annual core competency test score for non-correctional series staff	81.28	85	85

**Objective 3:** To develop private prison contracts and provide oversight to monitor their safe, secure and cost-effective operation, while imprisoning inmates according to the Department's mission.

<b>Performance Measures</b>	<b>FY 2009 Actual</b>	<b>FY 2010 Estimate</b>	<b>FY 2011-FY 2015 Estimate</b>
Average annual audit percent score of audited private prisons	99.6	95	95

**Objective 4:** To provide leadership and direction in the management of inmate population growth and the allocation of physical and fiscal resources.

<b>Performance Measures</b>	<b>FY 2009 Actual</b>	<b>FY 2010 Estimate</b>	<b>FY 2011-FY 2015 Estimate</b>
Average daily inmate population for the FY	39,628	41,440	43,252
Average daily bed deficit for the FY	4,420	5,055	2,550

## AGENCY GOAL 2

**Goal 2:** To require inmate participation in self improvement programming opportunities and services including work, education, substance abuse treatment, sex offender treatment, and spiritual access designed to prepare inmates to be responsible citizens upon release.

**Objective 1:** To maximize inmate participation in Department programming opportunities.

Performance Measures	FY 2009 Actual	FY 2010 Estimate	FY 2011-FY 2015 Estimate
Percent of all inmates (excluding those in reception, in segregation units, in maximum custody units, in contract beds, out to court, or not present for full month) participating in appropriate work, education and treatment assignments for the FY	77.43	77.5	77.5
Number of inmate hours worked through the Work Incentive Pay Plan for the FY	26,299,877	26,300,000	26,300,000
Number of hours provided to communities by inmates per established IGAs or work contracts for the FY	1,806,851	1,810,000	1,810,000

**Objective 2:** To expand work opportunities for inmates through Arizona Correctional Industries (ACI)

Performance Measures	FY 2009 Actual	FY 2010 Estimate	FY 2011-FY 2015 Estimate
Number of ACI inmate hours worked for the FY	3,340,971	3,400,000	3,400,000
Dollar amount deducted from ACI inmates wages being deposited directly in the State General Fund for the FY	2,213,457	2,300,000	2,300,000

**Objective 3:** To provide education programs and services, including functional literacy, special education, GED, and jobs training to all eligible and assessed inmates.

<b>Performance Measures</b>	<b>FY 2009 Actual</b>	<b>FY 2010 Estimate</b>	<b>FY 2011-FY 2015 Estimate</b>
Number of inmates achieving grade eight proficiency for the FY	5,481	5,400	5,400
Number of inmates achieving the General Equivalency Diploma (GED) for the FY	2,993	2,900	2,900
Number of Work Based Education certificates earned for the FY	3,212	3,200	3,200
Number of inmates receiving special education services for the FY	359	360	370
Percent of special education inmates receiving special education services for the FY	100	100	100

**Objective 4:** To provide assessment and treatment services to eligible inmates.

<b>Performance Measures</b>	<b>FY 2009 Actual</b>	<b>FY 2010 Estimate</b>	<b>FY 2011-FY 2015 Estimate</b>
Number of eligible inmates completing substance abuse treatment for the FY	2,067	2,000	2,000
Number of eligible inmates completing sex offender treatment for the FY	141	140	140

**Objective 5:** To ensure spiritual services are available to inmates.

<b>Performance Measures</b>	<b>FY 2009 Actual</b>	<b>FY 2010 Estimate</b>	<b>FY 2011-FY 2015 Estimate</b>
Number of inmates involved in spiritual services for the FY	14,989	15,000	15,000
Number of volunteer spiritual service hours provided for the FY	46,276	46,500	46,500

### Agency Goal 3

**Goal 3:** To provide cost-effective constitutionally mandated correctional health care.

**Objective 1:** To provide medically necessary medical care, dental care and mental health care to inmates.

Performance Measures	FY 2009 Actual	FY 2010 Estimate	FY 2011-FY 2015 Estimate
Average number of days for an inmate to receive routine care after submitting a health needs request for the FY	N/A	TBD	TBD
Percentage of inmates requiring ongoing mental health services admitted for psychiatric hospital care for the FY	2.4	2.4	2.4
Number of formal inmate health grievances per 1,000 inmates per average daily population for the FY	18.14	18	18
Percentage of prison facilities maintaining National Commission on Correctional Health Care (NCCHC) accreditation for the FY	100	100	100

**Objective 2:** To contain health care costs.

Performance Measures	FY 2009 Actual	FY 2010 Estimate	FY 2011-FY 2015 Estimate
Average length of stay for in-patient hospital care for the FY	5.0 days	5.0 days	5.0 days
Average annual health services dollar cost per inmate	4,486	4,486	4,486
Number of inmates requiring outside health care as a result of assault or accident per 1,000 inmates per average daily population for the FY	N/A	TBD	TBD
Number of inmates diagnosed with chronic care conditions whose conditions are controlled per 1,000 inmates per average daily population for the FY	N/A	TBD	TBD

## Agency Goal 4

**Goal 4:** To maintain effective community supervision of offenders, facilitate their successful transition from prison to the community and return offenders to prison when necessary to protect the public.

**Objective 1:** To effectively release, supervise and monitor offenders under active Department community supervision.

<b>Performance Measures</b>	<b>FY 2009 Actual</b>	<b>FY 2010 Estimate</b>	<b>FY 2011-FY 2015 Estimate</b>
Number of offenders returned to prison for technical violations of their community supervision per 1,000 offenders on community supervision for the FY	92	85	85
Number of offenders returned to prison for new crime convictions while on community supervision per 1,000 offenders on community supervision for the FY	11	10	10
Number of offenders returned to prison for absconding while on community supervision per 1,000 offenders on community supervision for the FY	50	48	48

## Agency Goal 5

**Goal 5:** To provide leadership, direction, resource management, and support for Department employees to enable the Department to serve and protect the people of the State of Arizona and to provide comprehensive victim services and victim-focused restorative justice programs that hold offenders accountable.

**Objective 1:** To recruit, retain, recognize, and develop staff.

Performance Measures	FY 2009 Actual	FY 2010 Estimate	FY 2011-FY 2015 Estimate
Number of formal employee grievances for the FY	117	115	115
Number of employee grievances upheld and/or modified in favor of the employee for the FY	37	35	35
Annual Correctional Officer II vacancy rate percentage	4.05	4.0	4.0
Annual Correctional Officer II turnover rate percentage	11.5	10	10
Annual employee turnover rate percentage (excluding Correctional Officer II's)	11.2	10	10
Percentage of staff completing mandatory training for the FY	88	90	90
Number of executives and managers participating in professional development courses for the FY	75	80	80

**Objective 2:** To maintain and/or enhance the information technology's applications, communications and network's current and future needs by providing the optimal support to computer users.

Performance Measures	FY 2009 Actual	FY 2010 Estimate	FY 2011-FY 2015 Estimate
Percent of network uptime for the FY	99	97	97
Annual customer satisfaction survey rating of 3.5 or above for IT Applications/Data Management Unit on a scale of 1 to 5	4.45	3.5	3.5

<b>Performance Measures</b>	<b>FY 2009 Actual</b>	<b>FY 2010 Estimate</b>	<b>FY 2011-FY 2015 Estimate</b>
Annual customer satisfaction survey rating of 3.5 or above for IT Infrastructure/Field Operations Unit on a scale of 1 to 5	N/A	3.5	3.5

**Objective 3:** To provide a standard process for receiving, reviewing and responding to public concerns regarding inmate related issues.

<b>Performance Measures</b>	<b>FY 2009 Actual</b>	<b>FY 2010 Estimate</b>	<b>FY 2011-FY 2015 Estimate</b>
Number of public complaints and requests for assistance regarding inmates resolved for the FY	23,008	24,000	24,000

**Objective 4:** To effectively provide crime victims with information on inmate incarceration and release, effect change within the inmate population through various restorative justice methods of education and provide service to the community.

<b>Performance Measures</b>	<b>FY 2009 Actual</b>	<b>FY 2010 Estimate</b>	<b>FY 2011-FY 2015 Estimate</b>
Number of crime victim Notifications of Release sent for the FY	4,546	4,600	4,600
Number of crime victims receiving services (all crimes) for the FY	752	755	755
Dollar amount of court-ordered restitution collected from inmates for the FY	1,204,933	1,250,000	1,250,000
Average dollar amount of court-ordered restitution paid per inmate required to pay court-ordered restitution for the FY	154.28	155	155

## RESOURCE ASSUMPTIONS

**NOTE: THE FOLLOWING RESOURCE ASSUMPTIONS (CALCULATED IN CONSTANT DOLLARS) ARE ESTIMATES ONLY AND ARE SUBJECT TO CHANGE IN KEEPING WITH INFLATION AND ECONOMIC CONDITIONS**

<b>Total Agency Resource Assumptions</b>						
(Calculated in nominal/constant dollars)	FY 2010 Appropriation	FY 2011 Budget Request	FY 2012 Estimate	FY 2013 Estimate	FY 2014 Estimate	FY 2015 Estimate
<b>Full Time Equivalent (FTE)</b>	9,755.9	10,246.2	10,246.2	10,246.2	10,246.2	10,246.2
<b>General Fund</b>	879,927.0	1,065,661.2	1,006,002.5	1,130,993.5	1,130,993.5	1,130,993.5
<b>Other Appropriated Fund</b>	44,716.5	42,306.7	40,145.7	40,145.7	40,145.7	40,145.7
<b>Non Appropriated Fund Expenditures</b>	47,814.0	47,814.0	47,814.0	47,814.0	47,814.0	47,814.0
<b>Federal Funds Expenditures</b>	65,354.1	15,354.1	15,354.1	15,354.1	15,354.1	15,354.1
<b>Agency Total Funds</b>	1,037,811.6	1,171,136.0	1,109,316.3	1,233,317.3	1,233,317.3	1,233,317.3

**Notes:**

- FY 2011 figures are based on the ADC's FY 2011 operating budget request.
- FY 2011 assumes that an FTE reduction of 5% occurs as a result of State of Arizona, Forty-ninth Legislature, Third Special Session, 2009, House Bill 2006.
- FY 2011 assumes activation of all new 4,000 state prison beds; closure of all provisional prison beds; and activation of the remaining 2,000 new private prison beds in Kingman, Arizona.
- FY 2011 through FY 2015 assumes a population growth of 151 inmates per month.
- FY 2013 assumes activation of 5,000 new private prison beds as authorized by the State of Arizona, Forty-ninth Legislature, Third Special Session, 2009, House Bill 2010, Section 33.