



**ARIZONA DEPARTMENT OF
CORRECTIONS**

**FIVE-YEAR STRATEGIC PLAN
FY 2012 to FY 2016**

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TABLE OF CONTENTS

Executive Summary	i
Strategic Plan	1
Agency Vision	1
Agency Mission	1
Agency Description	1
Agency Guiding Principles	1
Strategic Issues	2
Agency Goal 1: Safety and Security	3
Objective 1	3
Objective 2	4
Objective 3	4
Objective 4	5
Agency Goal 2: Programming Opportunities and Services	5
Objective 1	5
Objective 2	5
Objective 3	6
Objective 4	6
Objective 5	6
Agency Goal 3: Health Care	7
Objective 1	7
Objective 2	7
Agency Goal 4: Community Corrections	8
Objective 1	8
Agency Goal 5: Administration	9
Objective 1	9
Objective 2	9
Objective 3	10
Objective 4	10
Resource Assumptions	11

EXECUTIVE SUMMARY

The Arizona Department of Corrections, with an annual budget exceeding \$1,052,000,000 and over 10,000 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 2010 (32.4 percent increase). In FY 2010, the Department had an average daily bed deficit of 4,638. Although inmate population growth slowed in FY 2010, 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. As part of this strategic issue, the Department will focus on the maximization of inmate programming and complex scheduling; re-evaluation of the inmate earned incentive program and the inmate classification system, effective management of an aging inmate population; development of a viable workforce through effective staff recruitment and retention; and appropriate allocation of resources to address unmet state prison physical plant needs.

STRATEGIC ISSUE 2: Sentencing Reform and Strategies for Alternatives to Inmate Incarceration.

As Arizona continues to look for solutions to prison overcrowding and growing corrections costs that do not compromise public safety, attention is being paid to sentencing reform and alternatives to incarceration. One viable approach, referred to as Structured Release, involves programs designed to act as enhancements or alternatives to traditional correctional incarceration and correctional community supervision models. Structured Release programs can be used during any portion of an offender's court ordered sentence, including incarceration and supervised early release subject to continued monitoring and compliance for the remainder of the sentence. Such programs slow prison population growth and aid in reducing recidivism. As part of this strategic issue, the Department will focus on the further exploration of viable Structured Release programs, such as day reporting centers and residential centers for offenders on supervised release; the enhancement of inmate transition and re-entry programming; and the refinement of inmate risk and needs assessment tools.

STRATEGIC ISSUE 3: Maximizing efficiency through privatization of services and public/private partnerships

The Department has been actively engaged in privatization and efficiency efforts since 1986. With over 500 current contracts, the Department uses private contractors for many functions, including private prisons that house inmates in-state and out-of-state; correctional health services; inmate food services; inmate commissary services; inmate telephone services; and inmate career training provided through Arizona Community Colleges. As part of this strategic issue, the Department will focus on the privatization of all correctional health care services; the legislatively mandated addition of 5,000 private medium/minimum beds; and the exploration of viable opportunities for additional privatization.

STRATEGIC ISSUE 4: Integration of ADC Technology and Service Delivery

The need for viable technology, optimal platform development, 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. Without viable hardware and software solutions, integrated platforms, and automated processes in place, it will become increasingly difficult for the Department to provide appropriate services in an efficient and safe manner. As part of this strategic issue, the Department will focus on the migration of the AIMS mainframe system to new web-based technology; the exploration of optimum blends of hosted and in-house hardware/software platforms designed to increase efficiency; and the enhancement of disaster recovery capabilities and disaster recovery exercise cycles.

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

Contributing to safer communities through responsible, professional and effective corrections.

AGENCY MISSION

To serve and protect the people of Arizona by securely incarcerating convicted felons, by providing structured programming designed to support inmate accountability and successful community reintegration, and by providing effective supervision for those offenders conditionally released from prison.

AGENCY DESCRIPTION

The Arizona Department of Corrections (Department) was established pursuant to Laws 1968, Chapter 198 (A.R.S. §41-1601, et. seq.) by consolidating independently operated prisons into a single department and authorizing the Department to “provide the supervisory staff and administrative functions at the state level of all matters relating to the institutionalization, rehabilitation and community supervision functions of all adult offenders.”

The Department 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, welfare services and health care services including medical, nursing, dental, mental health, and pharmacy are provided to inmates. In addition, structured programming including work, education, career training, substance abuse treatment, religious services, and recreation 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 the community, the Department supervises offenders released from prison to serve the remainder of their sentence on community supervision. The Department ensures the accurate release, effective re-entry, transition, and supervision of released offenders utilizing a continuum of supervision services, strategies, evidence based programs, and meaningful incentives and sanctions. The Department also facilitates the swift return to custody of those offenders who violate conditions of supervision and who represent a serious threat to the safety of the community.

AGENCY GUIDING PRINCIPLES

- We have the legal and operational responsibility to be accountable and responsive to the judicial, legislative, and executive branches of government; to our employees; to inmates; and most importantly, to the citizens of Arizona.
- 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 make fiscally sound, measurable decisions, and respond effectively to the changing demands placed upon the agency by stakeholders, citizens, and their representatives.
- We maintain an environment that is humane and equitable to both employees and inmates, utilizing a grievance and disciplinary system that is consistently administered and fosters due process.
- We develop, encourage, recognize, and reward professional performance and growth by employees at all levels.

AGENCY STRATEGIC ISSUES

STRATEGIC ISSUE 1: Managing Inmate Population Growth

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As Arizona continues to look for solutions to prison overcrowding and growing corrections costs that do not compromise public safety, attention is being paid to sentencing reform and alternatives to incarceration. One viable approach, referred to as Structured Release, involves programs designed to act as enhancements or alternatives to traditional correctional incarceration and correctional community supervision models. Structured Release programs can be used during any portion of an offender's court ordered sentence, including incarceration and supervised early release subject to continued monitoring and compliance for the remainder of the sentence. Such programs slow prison population growth and aid in reducing recidivism. As part of this strategic issue, the Department will focus on the further exploration of viable Structured Release programs, such as day reporting centers and residential centers for offenders on supervised release; the enhancement of inmate transition and re-entry programming; and the refinement of inmate risk and needs assessment tools.

STRATEGIC ISSUE 3: Maximizing efficiency through privatization of services and public/private partnerships

The Department has been actively engaged in privatization and efficiency efforts since 1986. With over 500 current contracts, the Department uses private contractors for many functions, including private prisons that house inmates in-state and out-of-state; correctional health services; inmate food services; inmate commissary services; inmate telephone services; and inmate career training provided through Arizona Community Colleges. As part of this strategic issue, the Department will focus on the privatization of all correctional health care services; the legislatively mandated

addition of 5,000 private medium/minimum beds; and the exploration of viable opportunities for additional privatization.

STRATEGIC ISSUE 4: Integration of ADC Technology and Service Delivery

The need for viable technology, optimal platform development, 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. Without viable hardware and software solutions, integrated platforms, and automated processes in place, it will become increasingly difficult for the Department to provide appropriate services in an efficient and safe manner. As part of this strategic issue, the Department will focus on the migration of the AIMS mainframe system to new web-based technology; the exploration of optimum blends of hosted and in-house hardware/software platforms designed to increase efficiency; and the enhancement of disaster recovery capabilities and disaster recovery exercise cycles.

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 2010 Actual	FY 2011 Estimate	FY 2012-FY 2016 Estimate
Number of inmates who escaped from any location	1	5	0
Number of major rule violations per 1,000 inmates per average daily population	354	350	325
Number of inmate on staff assaults per 1,000 inmates per average daily population	8.83	9.50	9.75
Number of inmate on inmate assaults per 1,000 inmates per average daily population	17.36	17.44	17.44
Number of major inmate disturbances	4	0	0
Number of inmate homicides [Homicide numbers are subject to change, as final determinations are contingent upon official medical examiner reports, which may be issued in a subsequent fiscal year.]	3	3	0
Number of inmate random positive urinalysis results per 1,000 inmates per average daily population	29	29	29

Number of formal inmate grievances (excluding health grievances) per 1,000 inmates per average daily population	87.67	88.00	88.00
Number of inmates lawsuits (non-habeas) per 1,000 inmates per average daily population	1.97	1.95	1.95

Objective 2: To promote Department safety and security by conducting administrative, civil, criminal, and gang related investigations; conducting daily, weekly, monthly, and annual inspections and performance audits; and ensuring agency compliance with fire and life safety codes.

Performance Measures	FY 2010 Actual	FY 2011 Estimate	FY 2012-FY 2016 Estimate
Percent of administrative investigations completed within established time frames	84.96	100	100
Average annual Arizona State Prison compliance audit percent score	NA New FY 2011 Measure	TBD Audit Tool Revised in FY 2011	TBD Audit Tool Revised in FY 2011
Average annual core competency test score for Arizona State Prison correctional series staff	80.78	85.00	85.00
Average annual core competency test score for Arizona State Prison non-correctional series staff	71.73	85.00	85.00

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.

Performance Measures	FY 2010 Actual	FY 2011 Estimate	FY 2012-FY 2016 Estimate
Average annual private prison compliance audit percent score	NA New FY 2011 Measure	TBD Audit Tool Revised in FY 2011	TBD Audit Tool Revised in FY 2011

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

Performance Measures	FY 2010 Actual	FY 2011 Estimate	FY 2012-FY 2016 Estimate
Average daily inmate population	40,458	TBD	TBD
Average daily bed deficit	4,638	TBD	TBD

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 2010 Actual	FY 2011 Estimate	FY 2012-FY 2016 Estimate
Percent of all eligible inmates participating in appropriate work, education and treatment assignments	78.90	79.00	79.00
Number of inmate hours worked through the Work Incentive Pay Plan	25.5M	26.5M	26.5M
Number of hours provided to communities by inmates per established IGAs or work contracts	1.9M	2.0M	2.1M

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

Performance Measures	FY 2010 Actual	FY 2011 Estimate	FY 2012-FY 2016 Estimate
Number of ACI inmate hours worked	3.2M	3.7M	4.2M
Dollar amount deducted from ACI inmates wages being deposited directly in the State General Fund	2.2M	2.6M	2.9M

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

Performance Measures	FY 2010 Actual	FY 2011 Estimate	FY 2012-FY 2016 Estimate
Number of inmates achieving grade eight proficiency	5,548	5,650	5,700
Number of inmates achieving the General Equivalency Diploma (GED)	1,074	2,880	2,940
Number of Career and Technical Education certificates earned	3,300	3,300	3,300
Number of inmates receiving special education services	336	365	375
Percent of special education inmates receiving special education services	100	100	100

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

Performance Measures	FY 2010 Actual	FY 2011 Estimate	FY 2012-FY 2016 Estimate
Number of eligible inmates completing substance abuse treatment	1,810	2,400	2,600
Number of eligible inmates completing sex offender treatment	182	220	220

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

Performance Measures	FY 2010 Actual	FY 2011 Estimate	FY 2012-FY 2016 Estimate
Number of inmates involved in spiritual services	14,734	15,799	16,864
Number of volunteer spiritual service hours provided	43,282	44,565	45,848

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 2010 Actual	FY 2011 Estimate	FY 2012-FY 2016 Estimate
Percentage of inmates requiring ongoing mental health services admitted for psychiatric hospital care	2.75	2.75	2.75
Number of formal inmate health grievances per 1,000 inmates per average daily population	24.32	18.22	18.26
Percentage of Department of Corrections State Prison Complexes accredited by the National Commission on Correctional Health Care (NCCHC)	90.00	90.00	90.00
Percentage of accredited Department of Corrections State Prison Complexes maintaining National Commission on Correctional Health Care (NCCHC) accreditation	100	100	100

Objective 2: To contain health care costs.

Performance Measures	FY 2010 Actual	FY 2011 Estimate	FY 2012-FY 2016 Estimate
Average length of stay for in-patient hospital care in days	5.7	TBD	TBD
Average cost per inmate for health care [Cost per inmate calculations are estimates for a one year administrative adjustment period that follows the end of the fiscal year.]	4,006	TBD	TBD

Performance Measures	FY 2010 Actual	FY 2011 Estimate	FY 2012-FY 2016 Estimate
Number of inmates requiring outside health care as a result of assault per 1,000 inmates per average daily population	34	TBD	TBD
Number of inmates diagnosed with chronic care conditions per 1,000 inmates per average daily population	167	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.

Performance Measures	FY 2010 Actual	FY 2011 Estimate	FY 2012-FY 2016 Estimate
Percentage of offenders on community supervision returned to prison for technical violations	12.00	11.00	11.00
Percentage of offenders on community supervision returned to prison for a new crime	1.00	1.00	1.00
Percentage of offenders on community supervision Number of offenders returned to prison for absconding	3.00	3.00	3.00

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 2010 Actual	FY 2011 Estimate	FY 2012-FY 2016 Estimate
Number of formal employee grievances	223	240	240
Percentage of employee grievances upheld and/or modified in favor of the employee	39.00	35.00	35.00
Annual Correctional Officer II vacancy rate percentage	6.31	5.00	6.50
Annual Correctional Officer II turnover rate percentage	10.67	10.00	10.75
Annual employee turnover rate percentage (excluding Correctional Officer II's)	13.75	12.00	11.75
Percentage of staff completing mandatory training	89.10	90.00	91.00
Number of executives and managers participating in professional development courses	85	95	105

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 2010 Actual	FY 2011 Estimate	FY 2012-FY 2016 Estimate
Percentage of network uptime for the FY	99.00	99.00	99.00
Annual customer satisfaction survey rating of 3.5 or above for IT Applications/Data Management Unit on a scale of 1 to 5	4.36	4.00	4.00

Performance Measures	FY 2010 Actual	FY 2011 Estimate	FY 2012-FY 2016 Estimate
Percentage of IT help desk calls resolved in a timely manner	NA New FY 2011 Measure	TBD	TBD

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

Performance Measures	FY 2010 Actual	FY 2011 Estimate	FY 2012-FY 2016 Estimate
Number of service contacts provided to inmate families and friends.	30,567	31,000	32,000

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.

Performance Measures	FY 2010 Actual	FY 2011 Estimate	FY 2012-FY 2016 Estimate
Number of crime victim Notifications of Release sent	5,004	5,000	5,000
Number of service contacts provided to crime victims (all crimes)	7,383	7,500	7,500
Dollar amount of court-ordered restitution collected from inmates	1.6M	1.7M	1.7M
Average dollar amount of court-ordered restitution paid per inmate required to pay court-ordered restitution	206.60	215.00	225.00

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

Total Agency Resource Assumptions						
(Calculated in nominal/ constant dollars)	FY 2011 Appropriation	FY 2012 Budget Request	FY 2013 Estimate	FY 2014 Estimate	FY 2015 Estimate	FY 2016 Estimate
Full Time Equivalent (FTE)	10,015.2	10,359.2	10,359.2	10,618.2	10,628.2	10,628.2
General Fund	948,692,900	1,002,704,800	1,089,149,100	1,118,565,900	1,163,307,500	1,174,416,800
Other Appropriated Fund	43,654,000	42,154,000	42,154,000	42,154,000	42,154,000	42,154,000
Non Appropriated Fund Expenditures	44,738,400	47,038,400	47,038,400	47,038,400	47,038,400	47,038,400
Federal Funds Expenditures	15,354,100	13,813,000	13,813,000	13,813,000	13,813,000	13,813,000
Agency Total Funds	1,052,439,400	1,105,710,200	1,192,154,500	1,221,571,300	1,266,312,900	1,277,422,200