



**ARIZONA DEPARTMENT OF  
CORRECTIONS**

**FIVE-YEAR STRATEGIC PLAN  
FY 2014 to FY 2018**

**Charles L. Ryan  
Director**

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## EXECUTIVE SUMMARY

The Arizona Department of Corrections (Department), with a Fiscal Year (FY) 2013 appropriated budget of \$1,005,942,400 and over 9,200 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, substance abuse treatment, sex offender treatment, and spiritual services 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 five 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 Changes in Inmate Population**

Historically, the inmate population increased from an average daily population of 29,936 in FY 2001 to 40,226 in FY 2011 (34.4% increase). After continuous inmate population growth from FY 2001 to FY 2010, with a monthly average growth rate of 117 inmates, inmate population growth dramatically declined in FY 2010 and FY 2011. ADC grew by only 65 inmates in FY 2010, and then actually declined by 296 inmates in FY 2011. This trend continued in FY 2012, with an average daily population of 40,011; at the end of FY 2012, the Department housed 39,877 convicted felons. Although inmate population growth slowed from FY 2010 through FY 2012, the Department must continue to use planning and process improvement strategies throughout the organization to maximize resources and to ensure the safety of the public, staff, and inmates. Despite the stabilization of the inmate population overall, specific segments of inmates are increasing (such as maximum security, sex offenders, and protective segregation), requiring the continued focus on accurate bed plan forecasting and optimal program availability and alignment. There remains a need for efficient control of population movement and management of permanent state beds and contracted private beds; maximization of inmate programming and complex scheduling; effective management of an aging inmate population; development of a viable workforce through targeted staff recruitment and retention; and appropriate allocation of resources to address unmet state prison physical plant needs. The Department is also responding to the reduction in the minimum custody inmate population by looking for opportunities to close minimum custody units that are no longer necessary and to shift those resources to other facilities.

### **STRATEGIC ISSUE 2: Enhancing Security and Oversight of Prison Operations**

When Director Charles L. Ryan assumed Department leadership in January 2009, he began a systemic review of the operational and administrative practices at both state-operated and contracted private prisons, focusing on the strict and uniform compliance with Department policy, especially safety and security practices. Since then, the Department has worked diligently to develop systems to strengthen state-operated and contracted private prison oversight, including

enhancements to the significant incident reporting (SIR) process; strengthening of institutional and agency-wide emergency response; collection and analysis of assault data and mortality data; and improved private prison contract monitoring. The Department enhanced the Office of the Inspector General (IG) investigative processes and created a new inspection program within that office, including an annual audit instrument designed to identify areas of non-compliance and violations of policy for correction. In addition, the data and information are used to make systemic operational changes to reduce violations and ensure safety. As part of this strategic issue, the Department will continue to work to improve its oversight procedures, provide ongoing staff training, increase security and staff presence among inmates, ensure safe housing assignments, and develop sound intervention strategies for high-risk inmates.

### **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 600 current contracts, the Department uses private contractors for many functions, including operating private prisons that house state inmates; 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 is undertaking a number of initiatives: Legislatively mandated privatization of all inmate health services as of July 1, 2012; Legislatively mandated addition of 1,000 private medium beds; inquiry concerning private sector interest in managing a Community Correction Center for offenders on community supervision in Maricopa County; and the exploration of viable opportunities for additional privatization.

### **STRATEGIC ISSUE 4: Integration of ADC Technology and Service Delivery in Support of Knowledge Management and Business Intelligence**

In order for the Department to ensure relevance and sustainability in carrying out its mission, there is a need to ensure that technological systems and services support the collection of accurate data, the synthesis of data into information, and the creation of knowledge and expertise on which to base current and future decisions. The need for viable technology; process automation; system integration; and secure information systems that are efficient, effective, standardized, and easy to use are essential to the ability of the Department to continue to effectively carry out its mission and its obligations to the public. The Department recognizes that part of public stewardship is to ensure the judicious use of staff and financial resources. 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; the enhancement of disaster recovery capabilities and disaster recovery exercise cycles; and the introduction of videoconferencing capability for increased, cost-effective communication. Further, the Department is ensuring that consistent administrative processes are in place to appropriately review, approve, and prioritize all technology projects to maximize the benefit of automation and technology agency-wide, to include staff and financial resource management.

## **STRATEGIC ISSUE 5: Recidivism Reduction through Improved Offender Transition and Re-Entry Support**

Stabilization of the inmate population provides the Department with the opportunity to focus financial and human resources on methods to strengthen re-entry and transition efforts and to reduce recidivism within the state prison population. With future prison expansion focused on population management, rather than population growth, ADC can dedicate previously unavailable resources to ensure the optimal alignment of inmate programs to proactively support re-entry and transition, and to commit additional resources to assist offenders in successful completion of community supervision. In FY 2012, 18,374 offenders were released from prison, of which 12,594 were released to Community Supervision. During FY 2012, 2,932 offenders were returned to custody for committing a technical violation of their release, representing 16% of all prison admissions for that year. Efforts dedicated to successful completion of community supervision have the potential to reduce the number of revocations, reduce recidivism, and further reduce admissions to prison. In pursuit of this opportunity, the Department has already approved the creation of a Community Corrections Center (CCC) in Pima County and has explored interest from the private sector in establishing a CCC in Maricopa County, as 74% of offenders are released to these counties.

### **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, sex offender treatment, spiritual 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**

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Stabilization of the inmate population provides the Department with the opportunity to focus financial and human resources on methods to strengthen re-entry and transition efforts and to reduce recidivism within the state prison population. With future prison expansion focused on population management, rather than population growth, ADC can dedicate previously unavailable resources to ensure the optimal alignment of inmate programs to proactively support re-entry and transition, and to commit additional resources to assist offenders in successful completion of community supervision. In FY 2012, 18,374 offenders were released from prison, of which 12,594 were released to Community Supervision. During FY 2012, 2,932 offenders were returned to custody for committing a technical violation of their release, representing 16% of all prison admissions for that year. Efforts dedicated to successful completion of community supervision have the potential to reduce the number of revocations, reduce recidivism, and further reduce admissions to prison. In pursuit of this opportunity, the Department has already approved the creation of a Community Corrections Center (CCC) in Pima County and has explored interest from the private sector in establishing a CCC in Maricopa County, as 74% of offenders are released to these counties.

## AGENCY GOAL 1 – SAFETY AND SECURITY

**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 2012 Actual	FY 2013 Estimate	FY 2014-FY 2018 Estimate
Number of inmates who escaped from any location	2	0	0
Number of major rule violations per 1,000 inmates per average daily population	475.00	475.00	475.00
Number of inmate on staff assaults per 1,000 inmates per average daily population (95% of all assaults on staff are committed by higher custody inmates housed exclusively in state prisons. Since FY 2009, despite the state prison staff shortage of Correctional Officer II positions, ADC reduced the 2-year rate of increase from 33.5% to 8.6% by establishing the equivalent of 193 positions through overtime, and compensatory time; with the addition of 103 Correctional Officer IIs in FY 2013, this rate is projected to continue to decrease.)	9.42	9.33	9.04
Number of inmate on inmate assaults per 1,000 inmates per average daily population	20.04	19.69	19.45
Number of major inmate disturbances	0	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	0	0

<b>Performance Measures</b>	<b>FY 2012 Actual</b>	<b>FY 2013 Estimate</b>	<b>FY 2014-FY 2018 Estimate</b>
Number of inmate random positive urinalysis results per 1,000 inmates per average daily population	24.00	20.00	16.00
Number of formal inmate grievances (excluding health grievances) per 1,000 inmates per average daily population	79.00	69.00	59.00
Number of inmates lawsuits (non-habeas) per 1,000 inmates per average daily population (The count is based on "cases filed." Note that a case with multiple plaintiffs is counted as a single case filed.)	2.67	2.41	2.48

**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.

<b>Performance Measures</b>	<b>FY 2012 Actual</b>	<b>FY 2013 Estimate</b>	<b>FY 2014-FY 2018 Estimate</b>
Percent of administrative investigations completed within established time frames	99.62%	100.00%	100.00%
Average annual Arizona State Operated Prison compliance audit percent (Contract Private Prisons reported separately below under Objective 3.)	95.60%	100.00%	100.00%
Average annual core competency test score for Arizona State Prison correctional series staff	85.95	87.00	88.00
Average annual core competency test score for Arizona State Prison non-correctional series staff	77.84	87.00	88.00

**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 2012 Actual	FY 2013 Estimate	FY 2014-FY 2018 Estimate
Average annual Contracted Private Prison compliance audit percent score	97.10%	97.50%	98.00%

**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 2012 Actual	FY 2013 Estimate	FY 2014-FY 2018 Estimate
Average daily inmate population	40,011	39,877	40,357
Average daily rated bed deficit	2,878	2,768	2,558

## AGENCY GOAL 2 - PROGRAMMING OPPORTUNITIES AND SERVICES

**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 2012 Actual	FY 2013 Estimate	FY 2014-FY 2018 Estimate
Percent of all eligible inmates participating in appropriate work, education and treatment assignments	75.30%	75.00%	75.00%
Number of inmate hours worked through the Work Incentive Pay Plan	28.0M	28.0M	28.2M
Number of hours provided to communities by inmates per established IGAs or work contracts (excluding ACI)	2.4M	2.5M	2.7M

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

<b>Performance Measures</b>	<b>FY 2012 Actual</b>	<b>FY 2013 Estimate</b>	<b>FY 2014-FY 2018 Estimate</b>
Number of ACI inmate hours worked	3.80M	4.12M	4.60M
Dollar amount deducted from ACI inmate wages being deposited directly in the State General Fund	\$2.7M	\$2.8M	\$3.0M

**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 2012 Actual</b>	<b>FY 2013 Estimate</b>	<b>FY 2014-FY 2018 Estimate</b>
Number of inmates achieving grade eight proficiency	4,283	4,350	4,500
Number of inmates achieving the General Equivalency Diploma (GED). (The estimated decrease is the result of two significant changes in the GED: 1) the cost of the test will be increasing from \$30 to \$150 - a 400% increase - and 2) administration will transition from paper to computer-based. As a result, it is anticipated that the number of inmates participating will be significantly reduced and a new measurement/examination will need to be explored.)	1,196	1,000	500
Number of Career and Technical Education certificates earned	2,438	2,600	2,600
Number of inmates receiving special education services	376	400	400
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 2012 Actual	FY 2013 Estimate	FY 2014-FY 2018 Estimate
Number of eligible inmates completing substance abuse treatment	2,633	3,000	3,250
Number of eligible inmates completing sex offender treatment	159	175	225

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

Performance Measures	FY 2012 Actual	FY 2013 Estimate	FY 2014-FY 2018 Estimate
Number of inmates involved in spiritual services (average per month)	13,148	13,750	14,250
Number of volunteer spiritual service hours provided	44,388	43,900	44,250

**Agency Goal 3 – HEALTH CARE**

**Goal 3:** To ensure the provision of medical, dental, mental health, nursing, and pharmaceutical services through a private vendor that is monitored by the Department for contract compliance and quality of care. The vendor provides inmate health services through licensed staff and contracts with community hospitals and specialists. (The Department privatized the provision of inmate health care services on July 1, 2012. FY 2013 and 2014 estimates provided by the health services vendor.)

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

Performance Measures	FY 2012 Actual	FY 2013 Estimate	FY 2014-FY 2018 Estimate
Percentage of inmates requiring ongoing mental health services admitted for psychiatric hospital care	1.96%	2.14%	2.04%

<b>Performance Measures</b>	<b>FY 2012 Actual</b>	<b>FY 2013 Estimate</b>	<b>FY 2014-FY 2018 Estimate</b>
Number of formal inmate health grievances per 1,000 inmates per average daily population (The Department anticipates an initial increase in health-related grievances early in the transition to privatized inmate health care. FY 2013 and 2014 estimates were provided by the health services vendor.)	31.34	45.60	25.06
Percentage of Department of Corrections State Prison Complexes accredited by the National Commission on Correctional Health Care (NCCCHC)	90.00%	100.00%	100.00%

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

<b>Performance Measures</b>	<b>FY 2011 Actual</b>	<b>FY 2012 Estimate</b>	<b>FY 2013-FY 2017 Estimate</b>
Number of hospital admissions (revised from number inmates hospitalized)	3,372	2,478	2,352
Average length of stay for in-patient hospital care in days	4.47 days	4.52 days	4.61 days
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.]	\$4,019	\$3,471	\$3,555

## Agency Goal 4 – COMMUNITY CORRECTONS

**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 2012 Actual	FY 2013 Estimate	FY 2014-FY 2018 Estimate
Average daily population of offenders on community supervision (new measure FY 2013)	5,843	5,850	6,043
Percentage of offenders on community supervision returned to prison for technical violations (The Department expects a decline in offenders returned to prison for technical violations in the future due to the opening of Community Correction Centers in Pima and Maricopa Counties.)	10.90%	10.90%	10.70%
Percentage of offenders on community supervision returned to prison for a new crime	1.20%	1.00%	1.00%
Percentage of offenders on community supervision returned to prison for absconding (The Department expects a decline in the number of absconders due to increased emphasis on goals and objectives in this area.)	6.00%	6.00%	5.50%

## Agency Goal 5 – ADMINISTRATION

**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 2012 Actual	FY 2013 Estimate	FY 2014-FY 2018 Estimate
Number of formal employee grievances	173	146	146
Percentage of employee grievances upheld and/or modified in favor of the employee	40.00%	20.00%	20.00%
Annual Correctional Officer II vacancy rate percentage	1.80%	2.00%	2.00%
Annual Correctional Officer II turnover rate percentage	11.92%	11.00%	10.00%
Annual employee turnover rate percentage (excluding Correctional Officer II's) (FY 2012 Actual also excludes Health Services staff, who were subject to a Reduction in Force due to privatization of inmate health services.)	10.91%	10.00%	10.00%
Percentage of staff completing mandatory training	95.00%	96.00%	97.00%
Number of executives and managers participating in professional development courses	163	173	183

**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 2012 Actual	FY 2013 Estimate	FY 2014-FY 2018 Estimate
Percentage of network uptime for the FY	99.99%	99.99%	99.99%

Performance Measures	FY 2012 Actual	FY 2013 Estimate	FY 2014-FY 2018 Estimate
Annual customer satisfaction survey rating of 3.5 or above for IT Applications/Data Management Unit on a scale of 1 to 5	4.93	4.90	4.90
Percentage of IT help desk calls resolved in a timely manner	96.00%	96.00%	96.00%

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

Performance Measures	FY 2012 Actual	FY 2013 Estimate	FY 2014-FY 2018 Estimate
Number of service contacts provided to inmate families and friends	26,034	27,500	28,000

**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 2012 Actual	FY 2013 Estimate	FY 2014-FY 2018 Estimate
Number of crime victim Notifications of Release sent	6,172	6,266	6,822
Number of service contacts provided to crime victims (all crimes)	12,782	12,973	13,523
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	\$202.39	\$205.00	\$205.00

## 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<sup>1</sup>**

<b>Total Agency Resource Assumptions</b>						
(Calculated in nominal/ constant dollars)	FY 2013 Appropriation <sup>2</sup>	FY 2014 Budget Request	FY 2015 Estimate <sup>3</sup>	FY 2016 Estimate <sup>3</sup>	FY 2017 Estimate <sup>3</sup>	FY 2018 Estimate <sup>3</sup>
<b>Full Time Equivalent (FTE)</b>	10,118.2	9,923.0	9,923.0	9,923.0	9,923.0	9,923.0
<b>General Fund</b>	956,404,200	996,842,700	1,009,532,700	1,015,717,000	1,007,717,000	1,007,717,000
<b>Other Appropriated Fund</b>	44,907,700	44,907,700	44,907,700	44,907,700	44,907,700	44,907,700
<b>Non Appropriated Fund Expenditures</b>	59,034,000	58,955,100	58,955,100	58,955,100	58,955,100	58,955,100
<b>Federal Funds Expenditures</b>	10,566,900	10,269,800	10,269,800	10,269,800	10,269,800	10,269,800
<b>Agency Total Funds</b>	1,070,912,800	1,110,975,300	1,123,665,300	1,129,849,600	1,121,849,600	1,121,849,600

<sup>1</sup> FY 2014 - FY 2018 resource assumptions are estimates only and are subject to change based on economic conditions, legislative changes, inmate population, and other factors facing the Department.

<sup>2</sup> The FY 2013 Appropriation excludes the 5% retention pay and premium holiday adjustments. This is consistent with the required budget request methodology and Appropriations Report.

<sup>3</sup> FY 2015 - FY 2018 funding adjustments are due to the following:

- Activation/annualization of 1,000 new private medium custody male beds in FY 2015 and FY 2016.
- Activation/annualization of 500 new state maximum custody male beds in FY 2015.
- Elimination of the ASPC-Yuma Cheyenne Unit buildings repair/replacement cost in FY 2015.
- Elimination of the 3-year AIMS Replacement cost in FY 2017.