



State of Indiana  
Indiana Department of Correction

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00-04-301

## ADMINISTRATIVE PROCEDURES

Manual of Policies and Procedures

Title

## PLANNING AND GRANT DEVELOPMENT

Legal References (includes but is not limited to)	Related Policies/Procedures (includes but is not limited to)	Other References (includes but is not limited to)
IC 11-8-2-5(a)(2); 11-8-2-5(a)(8); 11-8-2-9	00-04-201	ACA: CO: 2-CO-1A-08, 2-CO-1A-13; 2-CO-1A-14

### I. DEFINITIONS:

For the purpose of these administrative procedures, the following definitions are presented:

- A. Director: The Director of the Division of Planning.
- B. Division: The Division of Planning within the department.
- C. Planning: The objective examination of issues and factors which affect the accomplishment of visions, missions and goals in order to provide relevant information and analysis to assist decision-makers in determining how well the visions, missions and goals are being met.
- D. Research: The generation of knowledge concerning the criminal justice system based upon replicable scientific procedures.

### II. MISSION STATEMENT:

The Division of Planning supports the mission of the Indiana Department of Correction by providing accurate, timely and understandable information and analyses for efficient and cost-effective planning and decision making.

### III. PURPOSE OF PLANNING:

The purpose of planning is to objectively examine issues affecting the department in order to provide relevant information and analysis on the current situation and the possible alternatives for the future. This purpose can be accomplished through qualitative and quantitative research analysis, short and long-range planning and analysis of critical factors involving change. The analysis may include:

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- A. Data collection and analysis of a current situation in relationship to the envisioned goal(s);
- B. Facilitating group brainstorming;
- C. Providing information on available resources;
- D. Assisting in preparing the organization for change; and,
- E. Monitoring and evaluating the impact of changes.

Short and long-range plans, that support the department's mission and goals, shall be reviewed and updated as needed, but at least annually.

IV. PURPOSE OF THE PLANNING DIVISION:

The purpose of the Division is met through the assignment of specific planning projects to staff within the Division. Inherent in the planning process is the combination of Division staff with other department staff and/or staff outside the department at every stage of planning to complete an analysis and plan. While planning is the responsibility of all department staff, the Division is to provide a centralized and coordinated system for departmental planning.

Planning shall incorporate the principles of participatory management, consensus building and team effort to accomplish its mission. Related community agencies may be invited to participate in coordinated planning and interagency consultation. Failure to involve affected areas into a planning process may nullify the work of the Division for a particular project.

V. OBJECTIVES AND RESPONSIBILITIES OF THE PLANNING DIVISION:

To accomplish the department's mission, the Division staff shall develop and maintain a validated and audited information base which allows timely and accurate reports and information to decision-makers. Data shall be uniformly collected, recorded, organized and processed on a daily basis. Division staff shall also analyze critical issues that may impact the department's mission.

VI. INVOLVEMENT OF THE PLANNING DIVISION:

Examples of changes in the department that shall be submitted to the Division prior to implementation include:

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- A. Revisions of departmental mission, goals or objectives;
- B. Research that has department-wide impact;
- C. Development of an offender population projection;
- D. Evaluation of programs;
- E. Submission of grant applications;
- F. Requests for research or information from members of the General Assembly or its agents; or,
- G. Requests for data on juvenile and/or adult offenders.

VII. STAFF RESPONSIBILITIES:

The following staff shall be assigned to the Division and shall be assigned duties as indicated:

A. Director:

The Director provides overall management to the Division and assigns priority to all projects assigned to the Division.

B. Senior Research Manager:

The Senior Research Manager develops and updates reports; informs the Indiana courts of offender population; collects, analyzes and interprets data; develops and updates information bases; and provides technical assistance to department divisions and facilities regarding research.

C. Research Analysts:

The Research Analysts design and implement research projects; collect, analyze and interpret data; develop and update information bases; identify trends and the strengths and weaknesses of research results; and provide technical assistance to department divisions and facilities regarding research.

D. Grant Coordinator:

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The Grant Coordinator coordinates grants administration for the department, reviews grant applications, and provides resources through the continual update of a list of available federal, state and private grants.

**VIII. REQUESTS FOR INFORMATION AND REQUESTS FOR RESEARCH:**

A “Request for Information” simply requires that available information be collected and released. REQUEST FOR INFORMATION, is to be completed and forwarded to the attention of the Director whenever an information request project is to be initiated. (Attachment 1)

A “Request for Research” implies various degrees of assessment, evaluation or determination of compliance with a particular procedure, project or activity. Requests for research are to be forwarded to the Director for review prior to the initiation of any research being completed by parties, either internal or external to the department, in accordance with Policy 00-04-201.

Universities, other states’ departments of corrections, and other resource organizations may send survey questionnaires or information requests to the Facility Heads and the Director. When a survey questionnaire or information request is received, the request shall be forwarded to the Director to determine the appropriate person(s) to respond.

All requests for information or research are to be recorded on the DAILY INFORMATION REQUEST LOG. (Attachment 2) This log shall indicate the date of the request, information requested, person requesting the information, staff person responsible for completion, and date of completion. This information is recorded daily and printed weekly.

**IX. ASSIGNMENT OF PROJECTS:**

The Director shall review all requests, prioritize, and specify which staff person will handle a project.

If necessary, the assigned staff person will draft an implementation plan for the project including:

- A. Anticipated resource needs;
- B. Goals and objectives of the project;
- C. Time frame for completion;
- D. Potential policy impact (if any); and,

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E. Constraints to the project (if any).

This proposed plan will be reviewed by the Director and, if necessary, by the Division staff.

After the implementation plan has been reviewed, the assigned staff person shall begin the project as outlined in the plan. Once the project is completed, the staff person shall prepare a Project Report that shall include the following items:

- An *Executive Document Summary* that summarizes the findings in bullet format.
- A *Project Assessment* stating the reasons the project was developed.
- A *Current Status* statement which states the facts as they currently exist relating to the project.
- A *Methodology* that is an overview of the process used in the research and analysis phase of the project.
- The *Findings* which is a narrative of the findings of the research and data collection.
- The *Critical Areas* which is an assessment of the key factors that were considered in the project and can include observations and facts which were brought to light during the research stage of the project as well as actions which need to be considered in decision making.
- The *Recommendations/Options* offering recommended solutions or alternatives for decision-makers based on the project review and analysis of information.

All projects assigned to Division staff shall be tracked. The information maintained shall include:

- The staff person responsible for project;
- The assignment date;
- A brief description of the project; and,
- The status of the project.

X. GRANTS ADMINISTRATION:

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The Grant Coordinator will disseminate information on funding opportunities to departmental staff, as these opportunities become available. Information regarding the criteria, application procedure and reporting requirements will be included.

The Grant Coordinator is to be made aware of the intention of any facility, division or other personnel to pursue a specific grant opportunity as soon as possible.

The Grant Coordinator shall serve as the resource person in the grant application process, making recommendations or changes to the application based upon understanding of the grant's purpose and the funding entity's requirements.

All grant applications originating from facilities, divisions or other personnel shall be sent to the Grant Coordinator for review prior to submission to the funding source. The Commissioner shall make the final determination as to whether an application for funding shall be submitted for consideration.

XI. APPLICABILITY:

These administrative procedures are applicable to all department facilities and staff.

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Evelyn I. Ridley-Turner  
Commissioner

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Date