

State of Indiana Indiana Department of Correction	Effective Date 07/01/07	Page 1 of 9	Number 00-00-101
POLICY AND ADMINISTRATIVE PROCEDURES Manual of Policies and Procedures			

Title THE ORGANIZATION AND OPERATION OF THE DEPARTMENT OF CORRECTION
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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 11-8-2-1 IC 11-8-2-5	00-04-101	ACA: CO: 1A-01; 1A-04; 1A-06; 1A-07; 1A-10; 1A-12; 1A-13; 1A-19; 1A-21 ACI: 4-4002; 4-4003; 4-4005; 4-4006; 4-4008; 4-4010; 4-4015; 4-4016; 4-4018; 4-4035 JTS: 1A-08; 1A-09; 1A-10; 1A-22; 1A-24

I. PURPOSE:

The purpose of this policy is to establish the organization of the Department of Correction and provide a structured method for the Department of Correction to operate.

II. POLICY STATEMENT:

The Department of Correction shall be organized and operated in a manner which promotes:

- A. Attainment of all constitutional, statutory and judicial mandates;
- B. Attainment of departmental mission, goals and objectives;
- C. Utilization of a multi-disciplinary approach to correctional management; and,
- D. Utilization of available staff and resources in the most effective and efficient manner.

The Commissioner shall organize the Department and employ staff necessary to discharge the duties and powers of the Department. The Commissioner shall administer and supervise the Department in a manner that provides for the safety of the general public as well as the safety of staff and confined offenders.

The Commissioner shall ensure that the Department's organization is reviewed and evaluated annually to provide the most efficient management and operation. It is the responsibility of staff to promote the mission, goals and objectives of the Department and to assist in the attainment of departmental mandates. In order to ensure that staff is aware of the mission, goals and objectives of the Department and the facilities within the Department, administrative and supervisory staff shall

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establish lines of communication with staff reporting to them. Information shall be exchanged that promotes the most efficient and effective operation of the Department.

III. DEFINITIONS:

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

- A. Chief Financial Officer: The executive staff person responsible for overseeing all issues related to Department finance and performance.
- B. Commissioner: The chief executive of the Department of Correction.
- C. Department: The Indiana Department of Correction.
- D. Deputy Commissioner: A member of the Executive Staff of the Department appointed by the Commissioner to supervise the overall operation of one of the major segments of the department, including but not limited to: Administration, Operations, and Re-Entry and Community Programs.
- E. Director: An administrative staff member within the Department's Central Office assigned the responsibility of overseeing the operation of a particular division within the Department (e.g., the Director of Juvenile Services, Director of Classification, Regional Director of Operations).
- F. Division: An operational unit of the Department that encompasses related areas of services (e.g., Division of Juvenile Services, Division of Planning, Division of Classification).
- G. Executive Staff: The committee made up of the Commissioner, the Deputy Commissioners, the Chief Financial Officer, the Director of Legal Services and any other person(s) designated by the Commissioner responsible for the executive review and operation of the Department.
- H. Facility: An organizational unit of the Department where Department business is conducted (e.g., Central Office, a Parole District Office, Indianapolis Juvenile Correctional Facility, Madison Correctional Facility, Pendleton Correctional Facility, Plainfield Correctional Facility, etc including a private correctional unit with which the Department has a contract and which conducts Department business).

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- I. Facility Head: The chief administrator of a facility appointed by the Commissioner to oversee the operation of a facility.
- IV. ESTABLISHMENT OF THE INDIANA DEPARTMENT OF CORRECTION:
- Pursuant to Indiana Code 11-8-2-1, the Indiana Department of Correction is established as a part of the Executive Branch of state government.
- Additionally, the Office of the Commissioner is established as provided in IC 11-8-2-4. The Commissioner shall be appointed by the Governor and shall serve as the chief executive of the Department of Correction. As the chief executive officer of the Department, the Commissioner shall be responsible for the administration and supervision of all state-owned and operated correctional facilities and the employees of the Department. The Commissioner may delegate duties to other staff, including the supervision of facilities and staff.
- V. AUTHORITY TO ORGANIZE THE DEPARTMENT:
- The Commissioner, pursuant to Indiana Code 11-8-2-5 (a)(1), is granted the authority to organize the Department. The Department shall be organized in such a manner as to promote efficiency and the attainment of constitutional, statutory and judicial mandates. Additionally, the organization shall further the attainment of the Department's vision, mission, goals and objectives.
- VI. ORGANIZATIONAL STRUCTURE OF THE DEPARTMENT:
- The Department shall be organized administratively in the manner presented in ATTACHMENT I. Any exceptions or revisions to this organizational structure are to be approved by the Commissioner and the Executive Staff. The organization of the Department shall be in such a manner that groups similar functions, services and activities into administrative sub-units (i.e. divisions, sections, etc.). Also, the organization shall clearly designate lines of responsibility, authority and support. Individual staff persons shall not have responsibility to more than one direct line supervisor as provided by the organizational chart.
- The Commissioner and the other members of the Executive Staff shall review the organization of the Department annually. This review shall determine whether the organization of the Department is appropriate for completing the vision, mission, goals, objectives and mandates of the Department. Any staff person may make a recommendation regarding the organization of the Department by presenting the recommendation to the appropriate Executive Staff member for review.

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Each division and facility shall develop an organizational chart delineating the organizational structure of that division or facility. The organizational structure of each division and facility shall be based upon the same criteria as that of the Department. The Division Director or Facility Head shall submit the division or facility organizational chart to the Commissioner, Deputy Commissioner, Chief Financial Officer or Director responsible for the operation of the division or facility for approval. The approved organizational chart shall be attached to the division or facility's copy of Attachment I of these administrative procedures and shall be labeled Attachment I-A. Additionally, the appropriate Deputy Commissioner, Chief Financial Officer or Director and the Department Policy Manager shall maintain a copy of the division or facility organizational chart. The division or facility shall review its organizational chart annually and the appropriate Deputy Commissioner, Chief Financial Officer or Director shall be advised as to whether changes are recommended.

VII. DEVELOPMENT OF VISION AND MISSION STATEMENTS:

The Commissioner, with assistance from the Executive Staff and any other designated staff or persons, shall develop a vision statement and a mission statement for the Department. These statements shall clearly identify the intent of the Department. In developing the statements, the Commissioner or designated staff shall seek input from staff within the Department or any other persons or agencies as deemed appropriate. Any suggestions or recommendations regarding the statements shall be considered. The statements shall be based upon sound correctional principles and in accordance with mandates impacting the Department.

The Commissioner and the Executive Staff shall review the vision and mission statements at least annually. Additionally, the members of the Executive Staff shall discuss the review of the vision and mission statements with staff under their supervision to obtain input in the review. Following the receipt of the input from staff and any other persons or agencies deemed appropriate, the Executive Staff shall make a recommendation to the Commissioner indicating whether the vision and mission statements should remain the same or be revised. The Commissioner shall review the recommendation and make a final decision. All divisions and facilities shall be notified of the approved vision and mission statements by use of an Executive Directive. The Executive Directive shall indicate when the vision and mission statements will be reviewed again so that staff may have the opportunity to present suggestions.

ATTACHMENT II presents the current Vision and Mission Statements.

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VIII. FORMULATION OF GOALS AND OBJECTIVES:

The Commissioner or designee shall develop a Department Strategic Plan which shall include annual goals and objectives for the Department. The Strategic Plan shall be distributed to the Deputy Commissioners for further distribution and discussion with appropriate staff. The Deputy Commissioners shall receive comments from staff under their supervision and present these comments to the Commissioner or designee. These comments shall be considered when the Department's Strategic Plan and goals and objectives are finalized. The Department's Strategic Plan and goals and objectives shall be reviewed annually and updated on an as needed basis.

Each Director and Facility Head shall develop annual objectives that facilitate the achievement of the Department's goals and objectives. The Director shall solicit comments from all staff in the division and staff impacted by the objectives in the facilities. The Facility Head shall solicit comments from facility staff. These comments shall be taken into consideration during the development of these objectives. The division objectives shall be submitted to the appropriate Deputy Commissioner/Chief Financial Officer for review and approval. The facility's objectives shall be submitted to the Director responsible for the facility for review and approval. These objectives shall be reviewed annually and updated as necessary.

The Commissioner or designee shall ensure that the objectives are measurable and that they are presented to staff with any specific instructions regarding the intent of the objectives and how they are to be measured.

IX. STAFF MEETINGS:

Each Director and Facility Head shall ensure a staff meeting is held with key staff at least monthly. The content of the staff meeting may be at the discretion of the Director or Facility Head. The Director or Facility Head shall share any information, such as new or updated policies, administrative procedures, Executive Directives, Division Directives, etc., with staff during these meetings, as deemed appropriate and necessary by the Director or Facility Head. A summary of these meetings shall be prepared and submitted to the appropriate Deputy Commissioner/Chief Financial Officer or Director.

The Commissioner shall hold a staff meeting with the Executive Staff at least monthly. The time, location and content of the meeting may be at the discretion of

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the Commissioner. A summary of these meetings shall be prepared and distributed to the members of the Executive Staff and the Directors and Facility Heads.

At least annually, the Commissioner shall invite all Deputy Commissioners, Chief Financial Officer, Directors, Facility Heads and other designated staff to meet at a designated location. During these meetings, information of interest to the Department shall be presented. Staff shall be given the opportunity to present items of interest and concern to other staff of the Department.

Staff meetings, involving staff from more than one facility, shall require notification to the Office of the Commissioner in order that the Commissioner may be made aware of these meetings. Minutes of these meetings shall be forwarded to the appropriate Regional Director/Director of Juvenile Services/Director of Parole Services for review and distribution as appropriate.

X. COMMUNITY INVOLVEMENT IN THE DEVELOPMENT OF DEPARTMENT PROGRAMS:

As the involvement of community groups and agencies, such as public and private educational, business and social agencies, can assist in the formulation and development of goals, objectives, policies, procedures and programs within the Department, these contacts are encouraged. Contact with outside agencies or groups for the establishment of volunteer programming or the utilization of community resources shall be based on the overall needs, goals and objectives of the Department and shall be in accordance with Policy 01-03-103, "The Development and Delivery of a Community Involvement Program."

The Commissioner or designated staff shall prepare a list of all programs and services provided to offenders at each facility operated by or under contract with the Department. This list shall include the security level of the facility, if appropriate, and all services and programs offered for the benefit of the offenders at that facility. This list shall be updated and distributed annually to all courts having criminal or juvenile jurisdiction and to any other criminal justice agencies to which this information will be beneficial, including all Department facilities.

Contacts with external agencies are to be coordinated by the appropriate Director and the Director, Media and Public Relations.

XI. OPERATION OF THE DEPARTMENT:

The Department shall be operated in a manner consistent with the Vision and Mission Statements. The operation of the Department shall be based upon the

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achievement of all mandates and the most effective and efficient use of departmental resources. Additionally, the Department shall be operated in a manner that best achieves the vision, mission, goals and objectives, established by the Commissioner.

XII. STATUS REPORTS:

The appropriate Director, fiscal staff and other staff as deemed appropriate shall conduct periodic, at least quarterly, meetings with each facility. These meetings shall be to review the overall operation of the facility during the previous quarter and determine the status of the facility's fiscal and programmatic operations. At these meetings, the following topics shall be considered:

- Changes in the needs of the facility's offender/juvenile population and the manner in which these needs are met
- Major developments in each facility, department or unit
- Major incidents
- Offender population data
- Assessment of staff and offender morale
- Major problems and plans for addressing them
- Other topics of significance to the overall operation of the facility
- Financial status of the facility.
- Update of facility objectives

Any change in offender needs or the manner in which these needs are met or other plans of action requiring the assistance of Central Office shall be forwarded to the Commissioner and the appropriate Deputy Commissioner(s)/Chief Financial Officer for further distribution as needed. The Commissioner and Deputy Commissioner/Chief Financial Officer shall ensure that these issues are discussed at a meeting of the Executive Staff and a plan of action developed to meet these needs.

XIV. ANNUAL REPORT:

Each division and facility shall prepare an annual report indicating the significant activities that took place during the previous year. The annual reports from the divisions shall include significant activities within the division during the previous year. The annual report from the facilities shall include a summary by month of significant incidents consisting of:

- An accounting of all batteries on staff and offenders
- Cell extractions
- Disturbances
- Uses of Firearms or Chemical Agents

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- Activation of Quick Response Teams (QRT) and Emergency Squads
- Uses of four-way restraints
- Health Care referrals due to injuries sustained by staff or offenders/juvenile
- Escapes
- Programmatic issues
- Substantiated grievances
- Offender deaths.

A copy of the division or facility's annual report shall be forwarded to the appropriate Regional Director/Operations or Deputy Commissioner/Chief Financial Officer for review. These annual reports shall be completed and submitted to the appropriate staff no later than July 15 of each year.

Upon receipt of the annual reports from the divisions and facilities, staff designated by the Commissioner shall compile all necessary information and shall prepare an annual report for the Department. This annual report shall include narrative and statistical data on the objectives, programs and services provided in the Department during the previous year. A copy of this annual report shall be submitted to the Governor and any other officials deemed appropriate by the Commissioner. Additionally, a copy of the annual report shall be made available to the divisions, facilities and the public.

XV. PROFESSIONAL ORGANIZATIONS:

In addition to participating in training and education programs provided in the Department, staff is encouraged to participate in criminal justice and allied professional associations and organizations. Directors and Facility Heads shall encourage staff to become members of such associations and organizations.

Facilities shall include funds in their budgets to allow attendance at professional associations. When resources are available, divisions and facilities shall encourage staff to attend conferences and other programs presented by professional associations and organizations that may provide new ideas and information beneficial to the operation of the Department and/or the division or facility. Approval to attend such conferences or training shall be in accordance with all applicable Department policies/administrative procedures and state travel rules and regulations.

XVI. APPLICABILITY:

These procedures are applicable to all Department facilities and staff.

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Signature on File

J. David Donahue
Commissioner

5/16/07

Date