	POLICY STATEMENT Commonwealth of Pennsylvania • Department of Corrections

Policy Subject: **Planning, Research, Statistics, and Grants (PRSG)**	Policy Number: **2.1.1**

Date of Issue: **July 22, 2004**	Authority: **Signature on File** **Jeffrey A. Beard, Ph.D.**	Effective Date: **August 2, 2004**

I. AUTHORITY

The Authority of the Secretary of Corrections to direct the operation of the Department of Corrections is established by Sections 201, 206, 506, and 901-B of the Administrative Code of 1929, 71 P.S. §§61, 66, 186, and 310-1, Act of April 9, 1929, P.L. 177, No. 175, as amended.

II. PURPOSE

The purpose of this document is to establish policy and procedures for the collection and review of statistical data within the Department.[1]

III. APPLICABILITY

This policy applies to all facilities within the Department of Corrections.

IV. DEFINITIONS

All pertinent definitions are contained in the procedures manual for this policy.

V. POLICY

It is the policy of the Department of Corrections to collect and review statistical data to monitor capacity levels, to assess operational functions, and to identify staff and inmate behavioral trends and to solicit and manage grant funds.

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[1] 1-ABC-1F-03, 2-CO-1F-03

The Department shall cooperate with other governmental agencies in information gathering, exchange, and standardization.[2]

VI. PROCEDURES

All pertinent procedures and/or terms are contained in the procedures manual for this policy.

VII. SUSPENSION DURING AN EMERGENCY

In an emergency or extended disruption of normal facility operation, the Secretary/ designee may suspend any provision or section of this policy, for a specific period.

VIII. RIGHTS UNDER THIS POLICY

This policy does not create rights in any person nor should it be interpreted or applied in such a manner as to abridge the rights of any individual. This policy should be interpreted to have sufficient flexibility to be consistent with law and to permit the accomplishment of the purpose of the policies of the Department.

IX. RELEASE OF INFORMATION AND DISSEMINATION OF POLICY

A. Release of Information

1. Policy

   This policy document is public information and may be released upon request.

2. Procedures Manual (if applicable)

   The procedures manual for this policy is <u>not public information</u> and shall not be released in its entirety or in part, without the prior approval of the Secretary of Corrections or designee. This manual or parts thereof, may be released to any Department of Corrections employee on an as needed basis.

B. Distribution of Policy

1. General Distribution

   The Department of Corrections' policy and procedures manuals (when applicable) shall be distributed to the members of the Central Office Executive Staff, all Facility Managers, and Community Corrections Regional Directors on a routine basis. Distribution to other individuals and/or agencies is subject to the approval of the Secretary of Corrections or designee.

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[2] 4-4102, 1-ABC-1F-02, 2-CO-1F-07

2. Distribution to Staff

   It is the responsibility of those individuals receiving policies and procedures, as indicated in the "General Distribution" section above, to ensure that each employee expected or required to perform the necessary procedures/duties is issued a copy of the policy and procedures.

X. SUPERSEDED POLICY AND CROSS REFERENCE

A. Superseded Policy and Procedure

1. Department Policy

   a. 2.1.1, Capacity and Population Statistics, issued May 22, 1995, by former Secretary Martin F. Horn;
   b. 2.1.3, State Corrections Analysis Network (SCAN), issued August 30, 1991, by former Secretary Joseph D. Lehman;
   c. 2.1.3-1, State Corrections Analysis Network (SCAN), issued February 12, 1997 by former Secretary Raymond E. Clymer, Jr.;
   d. 2.1.3-2, State Corrections Analysis Network (SCAN), issued March 30, 1998, by former Secretary Martin F. Horn;
   e. 2.1.3-3, State Corrections Analysis Network (SCAN), issued May 18, 1998, by former Secretary Martin F. Horn;
   f. 2.1.3-4, State Corrections Analysis Network (SCAN), issued January 20, 1999, by former Secretary Martin F. Horn;
   g. 2.1.3-5, State Corrections Analysis Network (SCAN), issued February 8, 1999, by former Secretary Martin F. Horn;
   h. 2.1.3-6, State Corrections Analysis Network (SCAN), issued February 16, 2000, by former Secretary Martin F. Horn;
   i. 2.1.3-7, State Corrections Analysis Network (SCAN), issued February 16, 2000, by former Secretary Martin F. Horn;
   j. 2.1.3-8, State Corrections Analysis Network (SCAN), issued May 17, 2002, by Secretary Jeffrey A. Beard, Ph.D.; and
   k. 2.4.1, County Prison and Jail Data, issued June 5, 1995, by former Secretary Martin F. Horn.

2. Facility Policy and Procedures

   This document supersedes all facility policy and procedures on this subject.

B. Cross Reference(s)

1. Administrative Manuals

   a. DC-ADM 003, Release of Information
   b. DC-ADM 801, Inmate Discipline
   c. DC-ADM 802, Administrative Custody

2. ACA Standards

   a. Administration of Correctional Agencies: 2-CO-1F-01, 2-CO-1F-02, 2-CO-1F-03, 2-CO-1F-04, 2-CO-1F-05, 2-CO-1F-07, 2-CO-1F-08
   b. Adult Correctional Institutions: 4-4100, 4-4105, 4-4106
   c. Adult Community Residential Services: None
   d. Adult Correctional Boot Camp Programs: 1-ABC-1F-01, 1-ABC-1F-02, 1-ABC-1F-03
   e. Correctional Training Academies: None

PROCEDURES MANUAL
Commonwealth of Pennsylvania • Department of Corrections

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Planning, Research, Statistics, and Grants (PRSG)	**2.1.1**

Date of Issue:	Authority:	Effective Date:
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Release of Information:

Policy Document: The Department of Corrections' policy document on this subject is public information and may be released upon request.

Procedures Manual: This Procedures Manual is **not public information** and **will not be released** in its entirety or in part, without the prior approval of the Secretary of Corrections or designee. This manual or parts thereof may be released to any Department of Corrections employee on an as needed basis.

Procedures Development: All required procedures shall be developed in compliance with the standards set forth in this manual and/or the governing policy. These standards may be exceeded, but in all cases these standards are the minimum standard that must be achieved. In the event a deviation or variance is required, a written request is to be submitted to the appropriate Regional Deputy Secretary and the Standards and Practices Unit for review and approval prior to implementation. Absent such approval, all procedures set forth in this manual must be met.

2.1.1, Planning, Research, Statistics, and Grants (PRSG) Procedures Manual
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Section 1 – State Corrections Analysis Network (SCAN)

A. Roles and Responsibilities

1. Central Office Security Data Analyst

   The Central Office Security Data Analyst, located in the Office of Planning, Research, Statistics, and Grants (PRSG), will:

   a. monitor each facility's compliance with the policies and procedures set forth in this section and report incidences of non-compliance to the Executive Deputy Secretary and the Regional Deputy Secretary for the respective facility for follow-up action;

   b. ***review and analyze the State Corrections Analysis Network (SCAN) information as submitted electronically by the facilities on the SCAN Data Form (Attachment 1-A) template file and prepare the Facility Drug Test Report, the Department and Facility SCAN Reports, the Missing Tools Report, the Security Level Comparison and SCAN Data Breakdown Reports ("Pumpkin Sheets"), the Monthly Checklist Follow-Up Report and the SCAN Checklist Memo;***[1]

   c. review the Facility SCAN Reports to detect emerging trends, and report significant developments to the Secretary, Executive Deputy Secretary, Regional Deputy Secretary, the Director of PRSG, and other designated staff through monthly meetings as close to the 15th working day of each month as schedules permit;[2]

   d. upon completion of the monthly meeting, compile and distribute the monthly Facility SCAN Reports to designated staff, ***including Facility Managers, Facility SCAN Coordinators, Facility Critical Incident Managers, and the State Police Liaison,*** by the 15th working day of each month;

   e. analyze the SCAN data in relation to changes in facility procedures, programs, and personnel;[3]

   f. provide the Secretary, Executive Deputy Secretary, Regional Deputy Secretaries, and Facility Managers with any information of special interest regarding the operational climate system-wide or within a specific region or facility(ies); and

   g. coordinate routine communication regarding the SCAN system and data needs with the Facility SCAN Coordinators.

2. Central Office Bureaus and Divisions

   The Central Office Bureaus and Divisions listed below will review and evaluate the Facility SCAN Report and recommend further investigation or explanation as to the cause

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[1] 1-ABC-1F-01, 2-CO-1F-01, 2-CO-1F-02
[2] 2-CO-1F-04
[3] 2-CO-1F-01, 2-CO-1F-02, 4-ACRS-1C-01

of observed data trends and provide assistance, as needed, to facility staff in addressing any problem areas:[4]

   a. Security Office;

   b. Bureau of Inmate Services (BIS);

   c. The Office of Chief Counsel;

   d. Bureau of Human Resources (BHR);

   e. Staff Development and Training Office; and/or

   f. Regional Deputy Secretary Staff Assistants.

3. Facility Manager

   The Facility Manager will:

   a. ensure that the SCAN system is established and maintained at his/her facility;

   b. designate a Facility SCAN Coordinator to oversee maintenance and coordination of the facility SCAN system;

   c. designate staff persons in each of the program and/or operational areas to complete *the data entry or* the data forms and submit any forms to the Facility SCAN Coordinator by the fifth working day of each month;[5] and

   d. review the SCAN Checklist Memo and Facility SCAN Report, direct staff to examine the possible causes of emerging trends, and submit a written report on possible causes to the appropriate Regional Deputy Secretary and the Security Data Analyst *within the specified time stated on the* SCAN Checklist Memo.[6]

4. Facility SCAN Coordinator

   The Facility SCAN Coordinator will:

   a. coordinate and manage the facility SCAN system;

   b. compile and submit the complete facility **SCAN Data Form** electronically in the format provided by the Security Data Analyst for the previous reporting period to the Security Data Analyst by the eighth working day of each month;

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[4] 4-4106
[5] 4-4106
[6] 4-4106

    c. review the Facility SCAN Report and report significant developments to the Facility Manager and/or designated staff and to the Security Data Analyst;

    d. provide the Facility Manager and designated staff with routine reports on the information received concerning the facility or program/operational area;

    e. schedule and conduct routine briefings with the Facility Manager and designated staff for the purpose of reviewing the Facility SCAN Report;

    f. monitor any action which is undertaken in response to the findings of the Facility SCAN Report; and

    g. coordinate routine communication regarding SCAN with the Security Data Analyst.

5. Facility Management Staff[7]

    Facility Management staff will:

    a. submit the **SCAN Data Form** for the previous reporting period to the Facility SCAN Coordinator by the close of the fifth working day of the current month;

    b. review all SCAN modules and analyses pertaining to their respective areas of responsibility;

    c. initiate any appropriate action as recommended by the Facility Manager/designee in response to information received and/or obtained via the Facility SCAN Report or the SCAN Checklist Memo; and

    d. notify the Facility SCAN Coordinator of significant changes in policies, programs, management personnel, and/or staff training activities, and any significant developments and/or actions taken as a result of the Facility SCAN Report.

B. Report Submission

1. The **SCAN Data Form** contains the name of the submitting facility and the month and year that the data represents.

2. The data listed below shall be submitted:[8]

    a. Cell Searches: Enter the number of cell searches conducted during the reporting period. Do not include security checks.

    b. Contraband Drug Finds: Enter the number of drug finds, by type, which were confiscated during the reporting period. Do not report individual pills, bottles of beer,

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[7] 4-4100
[8] 4-4105

etc., as separate finds. Finding prescription medications in a cell is considered one find. Finding a six pack or a case of beer in a visitor's car is considered one find.

    (1)   Visitor Finds: Contraband finds that are attributed directly to facility visitors.

    (2)   Staff Finds: Contraband finds that are attributed directly to facility staff.

    (3)   Inmate Finds: All other finds are considered Inmate Finds.

  c. Contraband Finds (Non-Drug): Enter the number of non-drug finds, by type, which were confiscated during the reporting period.

  d. Missing Tool Reports: Report all tools reported missing or remaining missing during the reporting period. Report the location from which the tool is missing and, when found, the location where the tool was found. Once a tool has been reported found, you may discontinue reporting it on this report. If a tool remains missing, it must be reported every month until found or until the Regional Deputy Secretary authorizes you, in writing, to remove it from the monthly report.

C. Monthly Reports

Monthly reports include the following:

1. Facility Drug Test Report submitted to Chief of Security;

2. Missing Tool Report;

3. Department and Facility SCAN Report;

4. Security Level Comparison and SCAN Data Breakdown Reports ("Pumpkin Sheets");

5. SCAN Checklist Memo; and

6. Monthly Follow-Up Checklist Report.

D. Central Office Review and Follow-Up

Central Office staff includes, but is not limited to, the Secretary, Executive Deputy Secretary, Regional Deputy Secretaries, Supervising Facility Managers, Staff Assistants for the Regional Deputy Secretaries, and Director of Administration, Community Corrections, Correctional Industries (CI), Corrections Education, Equal Employment Opportunity, Health Care, Human Resources (HR), Inmate Services, Legislative Affairs, Management Information Services (MIS), Operations, PRSG, Office of Professional Responsibility (OPR), Training Academy, Standards, Practices, and Security (SPS), Chief Counsel, and the Press Secretary.

1. Upon receiving the Facility **SCAN Data Form**, the Security Data Analyst will compile, review, analyze the data, and distribute the Department and respective SCAN facility reports to each Facility SCAN Coordinator and designated Central Office staff upon review with the Regional Deputy Secretaries as close to the 15th working day of the month as scheduling permits.

2. Upon receiving the Facility SCAN Report, designated Central Office staff will review the report and prepare appropriate responses when necessary.

3. If necessary, Central Office staff, in conjunction with the appropriate Regional Deputy Secretary, will provide assistance to facility staff in developing appropriate responses to the trends that do not fall within the established normal ranges. The Security Data Analyst will review reports submitted by each Facility Manager on "highlighted" trends and shall develop a listing of facility trends and the corresponding responses by facility.

4. The key indicators of the SCAN policy are reviewed by the Security Data Analyst with Executive Staff on an ongoing basis. Enhancements to data collection systems are made to provide more meaningful and timely information permitting more effective monitoring of each facility. The Security Data Analyst will annually solicit written feedback from each Facility Manager on the overall effectiveness of the policy and system as it relates to overall facility management. PRSG will provide a written assessment on the findings.[9]

E. Facility Review and Follow-Up

1. ***The Facility SCAN Coordinator will review the report and provide the Facility Manager/designee with any information of special interest regarding the identified trends at each facility. Particular attention will be directed toward addressing checked trend boxes on the SCAN Checklist Memo.***

2. The Facility Manager will prepare a report of findings for each checked box on the SCAN Checklist Memo from the Regional Deputy Secretary/designee for the appropriate Regional Deputy Secretary and the Security Data Analyst. The written report will examine the trend(s) in question and shall address the following:

    a. the cause of the trend (if known);

    b. whether the trend is attributed to recent policy, procedure, personnel, programmatic changes/events or training activities; and

    c. any other information which addresses the trend in question.

3. The report will be submitted to the respective Regional Deputy Secretary and the Security Data Analyst via e-mail by the date designated on the SCAN Checklist Memo.

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[9] 4-4106

Section 2 - Capacity and Population Statistics

A. Responsibilities

1. Facility Report Submission

   The Facility Manager/designee shall appoint a facility Population and Capacity Coordinator who will coordinate the collection and submission of reports relating to population and capacity figures. The Coordinator will also arrange for follow-up data collection with appropriate facility staff, as necessary.

   Every facility within the Department shall submit capacity and population data.

   a. Monthly Population Report

      This report shall be submitted by the facility Population and Capacity Coordinator to the Office of Planning, Research, Statistics, and Grants (PRSG) no later than noon on the first working day of each month. The report shall be based on the standing count conducted between the hours of 21:00 and 22:00 on the last calendar day of each month.

   b. Capacity

      All changes in capacity must be entered into the Facility Management System (FMS). Facilities shall report any changes made to beds and/or cells to the Bureau of Operations so that the FMS may be updated accordingly. Any time a cell and/or bed comes on/off line, either temporarily or permanently, it shall be reflected in the FMS. Descriptive information in FMS (such as security level, square footage, housing status, etc.) must be up-to-date as well.

2. Community Corrections Center (CCC) Report Submission

   Every CCC and Community Contract Facility (CCF) shall submit capacity and population figures in accordance with Department policy **8.1.1, "Community Corrections."**

3. Report Preparation and Distribution

   a. The Office of PRSG is responsible for collecting, compiling, and distributing the **Department's Monthly Population Report** to Central Office Executive Staff and the Facility Manager/designee. The frequency of these reports shall be monthly. This report includes both population and capacity statistics[1].

   b. The Office of PRSG is responsible for maintaining the official Department capacity and population statistics. All organizations within the Department are required to use the official Department figures in reports and statements.

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[1] 2-CO-1F-05

4. Inmate Placement Coordinator

   Based on the information provided in the FMS, The Bureau of Inmate Services (BIS) is responsible for scheduling van and bus transportation schedules. These schedules shall be based on a consideration of available bed space by security level as well as the custody level of the inmate requiring transfer.

5. Quality Review

   a. The Bureau of Operations shall monitor new construction, capital improvement and departmental renovation schedules, and shall work with the Office of PRSG to monitor facility capacity and/or security level ratings adjustments, as warranted.

   b. All Central Office Executive Staff and Facility Managers/designees are responsible for monitoring the accuracy of **Monthly Population Reports**, and reporting population, capacity, and security level discrepancies to the Office of PRSG as soon as identified so that the official figures may be modified.

   c. Unresolved discrepancies or adjustments to reported capacity and security levels shall be resolved by the Deputy Secretary in the appropriate region. All final adjustments shall be recorded by the Office of PRSG and the Bureau of Operations.

B. Calculation of Capacity Statistics

1. Operational Bed Capacity

   a. Operational bed capacity is the optimal number of inmates that each facility can house based on a number of factors. In addition to the cell size and security level, operational bed capacity takes into consideration availability of inmate employment or programming, support services, and facility infrastructure.

   b. Operational bed capacity is the official capacity number that the Department will publish.

   c. Operational bed capacity is calculated based on a minimum of 25 square feet of unencumbered space per person in the cell, room, or dormitory.

      (1) Security Level 2 (minimum) housing units which afford a minimum of 25 square feet of unencumbered space per person may be occupied at 100% of capacity. Capacity for typical dormitories/cubicles/rooms can be calculated by adding encumbered space (14.0 sq. ft. per bunk plus 2.25 sq. ft. per locker) plus 25 square feet of unencumbered space per person in accordance with **Minimum Total Square Footage of a Dormitory/Cubicle/Room to House Custody Level 2 Inmates (Attachment 2-A)**. Extra square footage must be provided for those dormitories/cubicles/rooms that have additional encumbered space (beyond bunks and lockers) due to the physical characteristics of the room.

(2)   Cells in Security Level 3 (medium) and Security Level 4 (close) may be double-celled if they are equal to or greater than 75 square feet, and/or afford a minimum of 25 square feet of unencumbered space per person. These minimum requirements may be overridden if it can be determined that the quality of life and safety for both staff and inmates are not compromised.

(3)   Security Level 5 (maximum) housing units may be double-celled after a careful review of the security needs of each inmate being considered for double-celling.

(4)   Capacity associated with contracted community facilities is not included in the Department's calculation of Operational Bed Capacity.

(5)   Capacity and bed space associated with Wooden Modular Units that have reached their expiration date are considered to be temporary housing and, as such, are not included in the Department's operational capacity.

2. Maximum Bed Capacity **(Attachment 2-B)**

    Maximum bed capacity, which includes temporary beds, is for internal Department purposes only and shall not be distributed.

3. Total Beds

    The total number of beds shall be determined by counting the available beds placed in each housing area. This figure excludes those beds which are permanently offline.

C. Calculation of Population Statistics

1. The physically present population consists of every inmate housed in a facility, this information is accessible via Mainframe on a daily basis.

2. The committed population for facilities includes the entire physically present population plus any inmate on furlough status, in local hospitals, or those with an Authorized Temporary Absence (ATA), this information is accessible via Mainframe on a daily basis[2].

3. Any individual who is not serving a sentence under the custody of the Department (an inmate who has been committed to a psychiatric hospital, an individual on bail, an escapee, and an individual serving a sentence under another jurisdiction) is not included in the physically present or committed population counts.

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[2] 2-CO-1F-08

Section 3 – Applying for Grant Funding, Managing Grants, and Sustaining Grant Activity

A. Responsibilities and Process

1. Grants Management Office

    The Grants Management Office will have primary responsibility to coordinate and supervise the grant application process as outlined in the **Grants Flowchart (Attachment 3-A)** and the **Grants Development Checklist (Attachment 3-B)**. The Department Grants Manager will serve as the primary point of contact.

2. Project Lead

    The Project Lead shall be two designated staff members (one primary lead, one secondary lead) within the program area. Primary responsibilities include providing subject matter expertise and assisting in development of the grant concept, the concept summary and the full length proposal. Responsibilities may include writing portions of the summary and the full length proposal.

3. Bureau of Administration

    The Bureau of Administration will select one staff person to participate, where necessary, in the application process, including but not limited to, ensuring the Grants Management Office and Project Lead are aware of, take into consideration, and follow proper financial processes, procurement procedures, and budgetary timeframes. Responsibilities also include the verification of available matching funds (cash and/or in-kind).

4. If a grant idea is generated by the program area, then the program area will contact the Grants Management Office (or vice versa) to:

    a. develop the idea into a general concept to include consideration of idea purpose and priority, project administration/staff capacity, resource availability, evaluation needs, and sustainability. Questions noted below should guide the concept development:

        (1)   does this project relate to Department priority;

        (2)   does the solicitation require matching funds? If yes, are funds available;

        (3)   what is the application deadline? Is there reasonable time to prepare the application packet;

        (4)   is the award amount worth the effort required to prepare (and implement) the application packet;

        (5)   who will prepare the application packet;

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(6)　who will be the Project Lead? Will the primary and secondary persons be committed to ensuring the project reaches its desired outcome;

(7)　will the Project Lead have the resources necessary to ensure project monitoring and reporting occurs;

(8)　is this a pilot project? Or will this be an expansion of an existing program or a new program;

(9)　is this a new idea or has it been implemented in other state correctional facilities or federal correction institutions;

(10)　will this project be in conjunction with another state agency, organization or group;

(11)　would the project be implemented if grant funds were not awarded;

(12)　what is the expected period of completion (start and end dates);

(13)　how will the project be sustained once grant funds expire; and

(14)　does the project require an evaluation plan? How will the evaluation be done? By whom?

b.　identify the Project Leads;

c.　identify current and/or anticipated funding opportunities;

　(1)　If a funding opportunity currently exists and/or is anticipated, then the Grants Management Office will determine eligibility. The Project Lead shall provide any information it has regarding the solicitation, including application deadline, award amount and contact person.

　(2)　If a funding opportunity does not currently exist nor is one anticipated to exist, then the Project Lead will work with the Grants Management Office to develop a concept summary in accordance with **Subsection A.4.e. below**.

d.　once a general concept is developed and a funding source determination is made, the Project Lead and the Grants Management Office will present the general concept (including, where appropriate, the feasibility to search for funding) to the Facility Manager, Bureau Director, and/or Deputy Secretary for approval.

　(1)　If approved, the Project Lead and Grants Management Office will develop a more detailed concept summary. The Grants Management Office will prepare an overview to inform the Secretary.

  (2) If not approved, no further action is to be taken.

e. The Project Lead will work with the Grants Management Office to conduct a brainstorming session that includes, where necessary, other Department staff (including fiscal/purchasing/budget, program, policy, planning & research, etc.), inter-agency partners, and non-Department organizations. As a result, the Project Lead and Grants Management Office will write a concept summary (similar to a white paper), no longer than three pages to include:

  (1) problem statement;

  (2) project design;

  (3) performance outcomes/impact;

  (4) sustainability; and

  (5) estimated budget (yearly).

f. Often, as a concept is discussed and brainstorming occurs, an original concept may be reviewed and updated. If the concept summary differs significantly from the original concept approved by the Facility Manager, Bureau Director, and/or Deputy Secretary, then the Project Lead and Grants Management Office will present the updated concept for re-approval. The Grants Management Office will determine whether or not re-approval is necessary.

  (1) If approved and a funding source is identified or anticipated, then the Project Lead will work with the Grants Management Office to enhance the concept summary into a full length proposal.

  (2) If approved and a funding source is not identified or anticipated, then the concept summary will be maintained by the Project Lead and the Grants Management Office until a source is identified. Once a source is identified, the Grants Management Office will determine eligibility and the appropriate step in the application process to start from.

  (3) If not approved, no further action is to be taken.

g. The Grants Management Office will coordinate and oversee the grant proposal writing process, including assign responsibilities to draft the narrative, budget detail and narrative, and relevant attachments, and draft a timeline of completion for the proposal writing. The Project Leads will serve as subject matter experts and, at times, will jointly write the grant proposal with the Grants Management Office.

  NOTE: The Grants Management Office is responsible to communicate the grant writing progress with the Secretary; Executive Deputy Secretary; and other appropriate Department staff (including Deputy Secretaries, Department's Policy

Director, PRS, Bureau Directors, Managers, Facility Managers, or other designated Department staff) and grant partners.

h. Once the grant proposal is drafted and noted as final, the Grants Management Office is responsible for collecting all official signatures from the Office of Chief Counsel, Bureau of Administration, Secretary/designee or Executive Deputy Secretary – in the event neither Secretary/designee nor the Executive Deputy Secretary is available to sign, the Deputy Secretary for Administration must sign the application.

i. Once all signatures have been obtained, the Grants Management Office is responsible to submit the proposal to the grantor. The Project Lead and/or a facility is not authorized to apply directly for grant funding and/or submit applications in its own name. All grant applications must be submitted in the name of the Department.

j. Once the grant proposal is submitted to the grantor, the Grants Management Office will email a proposal overview to the Secretary, Executive Deputy Secretary, and other appropriate Department staff (including Deputy Secretaries, Department's Policy Director, PRS, Bureau Directors, Managers, Facility Managers, Project Lead, Bureau of Administration representative, and Press Office, as needed), and grant partners. The Grants Management Office and the Project Lead will maintain copies of all grant materials developed throughout the application process.

B. Managing Grant Awards

1. The Grants Management Office is responsible for overseeing all grant inquiries, applications and awarded grants for the Department, including but not limited to:

    a. Act as the Department's sole point of contact with the Grantor, including preparing and submitting all required reports and modification requests. This may include interacting with federal, state, and local agencies and related stakeholders.

    b. Communicate and work with appropriate Department staff, including:

        (1) discuss the progress of the grant with the Policy Director, Executive Deputy Secretary and/or Secretary at regular intervals;

        (2) schedule and coordinate the Grant Status Update meetings with Project Leads and Bureau of Administration representatives;

        (3) supervise the collection and analysis of information pertaining to grant performance, finances, reporting requirements, and evaluation, including communicating with Project Leads, the Bureau of Administration representatives, and related Department staff; and

        (4) schedule and coordinate the overall Grant Team (working group made up of Department staff, non-Department staff, and relevant stakeholders).

3-4

    c. Review and respond to all internal and external inquiries regarding grant funding.

    d. Grant Modifications – The Grants Management Office must be notified of any grants modification requests. The Grants Management Office will collect all appropriate signatures for the modification request, including the Bureau of Administration, Solicitor, Secretary and/or any other designee with proper authority to sign. The Grants Management Office will maintain copies of all modifications and distribute the modification requests to the proper signatories.

    e. Prepare Grant Summary Reports outlining the status of all grant activity for distribution to senior staff and Project Directors.

    f. Maintain relevant, up-to-date grant materials on DOCNet.

    g. Develop and design grant policy and perform grant-related tasks as assigned by the Policy Director.

    h. Develop and/or supervise grant monitoring of Department Project Leads and any/all subcontractors/vendors to ensure programmatic and fiscal activities area free from risk, fraud, waste and abuse. Interact with proper agencies to ensure protocols are followed.

    i. Develop, coordinate, and/or deliver appropriate grants management training activities for Department staff, including purchasing/procurement processes, reporting requirements, monitoring activities, complement, etc.

    j. Oversee and coordinate non-Department grant activity, including:

        (1) oversee and coordinate requests for Letters of Support, including adequately tracking and compiling requests; and

        (2) communicate with and/or outreach to non-Department justice-related grant recipients. The Grants Management Office will identify and work with appropriate Department program staff in outreach efforts.

2. The Project Leads are responsible for implementing grant activity in a timely and coordinated manner, free from waste, risk, fraud and abuse, including but not limited to:

    a. supervise entire project from start date to end date;

    b. communicate and work with the Grants Manager to:

        (1) participate in Grant Status Meetings – to be held on a monthly basis, at a minimum, and more frequently as determined by the Grants Management Office; and

(2) reporting assignments – understand all performance and fiscal reporting requirements established by the grantor and/or the Department. Ensure the proper collection methods are established and that Department staff and grant partners are fully aware of their reporting responsibilities and timelines.

c. communicate and work with appropriate Department staff and grant partners to implement grant activity in accordance to the proposal and action items established by the Grant Team.

3. The Bureau of Administration's representative is responsible for ensuring grant awards follow Commonwealth fiscal process, procurement procedures, and budgetary timeframes, including but not limited to:

a. set-up the grant award in Department/Commonwealth systems, including:

(1) provide budgetary approval to spend grant award;

(2) establish proper grant award coding, including funding identifiers and related information; and

(3) work with the Grant Manager and Project Lead to clearly understand purchasing and procurement procedures required with the proposed grant activity.

C. Sustaining Grant Activity

1. Sustaining grant activity beyond the life of a grant award is to be discussed in the application and planning phases. The Grants Management Office will supervise sustaining the grant activity. Key considerations include:

a. determine what needs to be sustained; and

b. establish strategy or strategies to develop and implement sustainability. Strategic focus extends beyond fiscal ability and also includes everything the Department will need in order to achieve project goals including but not limited to administration (personnel, capacity, training) and programmatic (space, technology, time).

2. The Grants Management Office, Project Leads, and Bureau of Administration representatives will work in partnership to determine sustainability methods for all grant activity.