

Grant Management Handbook

JUVENILE ACCOUNTABILITY BLOCK GRANTS PROGRAM 2005/2006

**State of Oregon
Oregon Office of Homeland Security
Criminal Justice Services Division**

The Criminal Justice Services Division of the Oregon Office of Homeland Security is the State Administrative Agency (SAA) for the Juvenile Accountability Block Grants Program and is responsible for producing this document.

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Table of Contents

INTRODUCTION	3
Overview of the JABG Program	3
The Criminal Justice Services Division	3
Allocation of Funds	3
PURPOSE AREAS	5
GENERAL PROVISIONS	7
Coordination with Oregon JCP Initiative	7
State and Local Advisory Board	7
Grant Agreement	7
Program Monitoring	7
Program Funds	8
Cash Match Requirement	8
Allowable Sources of Match	8
Supplanting	9
Construction Costs	9
National Environmental Protection Act Requirements	9
Failure to Commence Program	9
Audit Requirements	9
Civil Rights Requirements	10
Immigration and Naturalization Service Requirements	10
Certification Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements	10
Suspension or Termination of Funding	11
PROGRESS REPORTS AND REQUESTS FOR REIMBURSEMENT	12
Progress Report Purpose	12
Requirements	12
Reporting Due Dates	12
Failure to Submit Progress Reports	13
Requests for Reimbursement (RFR)	13
Procurement Standards	15
Sole Source Procurement	15
RFR Due Dates	15
UNALLOWABLE COSTS	16
REIMBURSABLE EXPENSE CATEGORIES	17
Personnel	17
Equipment	17
Travel/Conferences/Training	17

Supplies	18
Contractual Services	18
Rent and Utilities	18
Administrative Costs	18
Other Expenses	18
REQUESTS FOR REIMBURSEMENT CHECKLIST	19
PUBLICITY AND PUBLICATIONS	20
Publicity	20
Publications	20
ACCOUNTING AND AUDITING REQUIREMENTS	21
Accounting Systems	21
Commingling of Funds	21
Audit Threshold	21
FEDERAL ACCOUNTING REQUIREMENTS	23
APPENDIXES	29
Requests for Reimbursement (RFR) Form	A
State Travel Form	B
Quarterly Progress Report Form and Example	C

INTRODUCTION

OVERVIEW OF THE JUVENILE ACCOUNTABILITY BLOCK GRANTS (JABG) PROGRAM

JABG was first offered in 1998 and was awarded to states to be used to provide assistance to units of local government and state agencies that develop programs which promote greater accountability among youth in the juvenile justice system.

The Department of Justice (DOJ) Authorization Act for FY 2003 (Public Law 107-273) revised JABG and placed it under Title I of the Omnibus Crime Control and Safe Streets Act. The JABG program is administered by the State Relations and Assistance Division of OJJDP, Office of Justice Programs, U.S. Department of Justice.

The Office of Juvenile Justice and Delinquency Prevention (OJJDP) implemented new provisions in FY 2004 (effective October 1, 2003) that provided greater accountability within the juvenile justice system. These provisions included an expanded list of standardized performance measures along with output indicators, short-term indicators and intermediate outcome indicators and definitions across 16 purpose areas. Recommended changes were made when OJJDP noted that the system needed to increase its capacity to develop youth competence, to efficiently track juveniles through the system, and to provide enhanced options such as restitution, community service, victim-offender mediation, and other restorative sanctions. In addition, the process for determining eligibility was enhanced.

The program's goal and underlying premise, however remains the same:

- To reduce juvenile offending through accountability-based initiatives focused on both the offender and the juvenile justice system, and;
- Youth who violate the law should be held accountable for their offenses through swift, consistent application of sanctions that are proportionate to their offenses.

THE CRIMINAL JUSTICE SERVICES DIVISION

The Criminal Justice Services Division (CJSD) of the Oregon Office of Homeland Security is the State Administrative Agency for the Juvenile Accountability Block Grants program.

CJSD has prepared this Juvenile Accountability Block Grants Management Handbook to assist grantees in complying with state and federal requirements. Federal requirements are set forth in the Office of Justice Programs (OJP) Financial Guide. Copies of this document may be obtained at: www.ojp.usdoj.gov/FinGuide/

ALLOCATIONS FROM STATE TO UNITS OF LOCAL GOVERNMENT

Absent a waiver, each state must distribute not less than 75 percent of the state's allocation to local jurisdictions. In making such

distribution, CJSD will allocate to local jurisdictions an amount, by formula, based on a combination of juvenile justice expenditures and the average annual number of Uniform Crime Report Part 1 violent crimes reported by units of local government for the three most recent calendar years for which data are available. Three quarters of each unit of local government's allocation will be based on juvenile justice expenditures data and one-quarter will be based on the reported violent crime data, in the same ratio to the aggregate of all other units of general local government in Oregon.

PURPOSE AREAS

The purpose of the JABG program is to provide states and units of local government with funds to develop programs to promote greater accountability in the juvenile justice system. Funds are available for the following 16 program Purpose Areas.

1. **Graduated sanctions:** Developing, implementing, and administering graduated sanctions for juvenile offenders.
2. **Corrections/detention facilities:** Building, expanding, renovating, or operating temporary or permanent juvenile corrections or detention facilities, including training of personnel.
3. **Court staffing and pretrial services:** Hiring juvenile court judges, probation officers, and court-appointed defenders and special advocates, and funding pretrial services (including mental health screening and assessment) for juvenile offenders, to promote the effective and expeditious administration of the juvenile justice system.
4. **Prosecutors (staffing):** Hiring additional prosecutors so that more cases involving violent juvenile offenders can be prosecuted and backlogs reduced.
5. **Prosecutors (funding):** Providing funding to enable prosecutors to address drug, gang, and youth violence problems more effectively and for technology, equipment, and training to assist prosecutors in identifying and expediting the prosecution of violent juvenile offenders.
6. **Training for law enforcement and court personnel:** Establishing and maintaining training programs for law enforcement and other court personnel with respect to preventing and controlling juvenile crime.
7. **Juvenile gun courts:** Establishing juvenile gun courts for the prosecution and adjudication of juvenile firearms offenders.
8. **Juvenile drug courts:** Establishing drug court programs to provide continuing judicial supervision over juvenile offenders with substance abuse problems and to integrate administration of other sanctions and services for such offenders.
9. **Juvenile records system:** Establishing and maintaining a system of juvenile records designed to promote public safety.
10. **Information sharing:** Establishing and maintaining interagency information-sharing programs that enable the juvenile and criminal justice systems, schools, and social services agencies to make more informed decisions regarding the early identification, control, supervision, and treatment of juveniles who repeatedly commit serious delinquent or criminal acts.
11. **Accountability:** Establishing and maintaining accountability-based programs designed to reduce recidivism among juveniles who are referred by law enforcement personnel or agencies.

12. Risk and needs assessment:

Establishing and maintaining programs to conduct risk and needs assessments of juvenile offenders that facilitate effective early intervention and the provision of comprehensive services, including mental health screening and treatment and substance abuse testing and treatment, to such offenders.

13. School safety: Establishing and maintaining accountability-based programs that are designed to enhance school safety.

14. Restorative justice: Establishing and maintaining restorative justice programs.

15. Juvenile courts and probation: Establishing and maintaining programs to enable juvenile courts and juvenile probation officers to be more effective and efficient in holding juvenile offenders accountable and reducing recidivism.

16. Detention/corrections personnel: Hiring detention and corrections personnel and establishing and maintaining training programs for such personnel, to improve facility practices and programming.

Grant recipients are required to submit data to measure the selected Purpose Area(s) by using corresponding performance indicators. A list of corresponding activities and performance measures is located at:
<http://egov.oregon.gov/OOHS/CJSD/jabg.shtml>

Grantees are not required to report on all performance measures, only those that are relevant to the program. If needed, eligible JABG recipients should consult with the CJSD JABG Grant Coordinator for assistance in identifying the appropriate performance measures for your program.

GENERAL PROVISIONS

COORDINATION WITH OREGON JUVENILE CRIME PREVENTION (JCP) INITIATIVE

All applicants shall certify that the proposed use of JABG funds is consistent with the priorities and strategies of the county coordinated comprehensive plan or tribal JCP plan.

STATE AND LOCAL ADVISORY BOARD/COORDINATED ENFORCEMENT PLANS

Federal law requires both State and local recipients of JABG awards to have an Advisory Board with representation from, if appropriate: (1) police, (2) sheriff's department, (3) prosecutor's office, (4) juvenile court, (5) probation, (6) court, (7) education, (8) social service agency, (9) nonprofit nongovernmental victim advocacy organization, and (10) nonprofit religious or community group.

The Advisory Board is responsible for recommending a coordinated enforcement plan for the use of JABG funds.

Oregon's Juvenile Crime Prevention Advisory Committee (JCPAC) serves as the state Advisory Board.

The Local Public Safety Coordinating Council (LPSCC) may act as the Advisory Board for local recipients.

GRANT AGREEMENT

The Governor's JCPAC recommends programs for funding to the Governor. Once an award is granted, CJSD finalizes program and budget details with the applicant. Once an agreement is reached, CJSD and the applicant sign the grant certificate, known as the grant agreement.

The signed agreement and application constitute a contract between CJSD and the grantee.

The grantee agrees to operate the program, work toward the objectives, and expend funds in accordance with the signed grant agreement.

Modifications to the grant agreement or budget must be requested in writing. Oral agreements are not binding. In no event may the conditions of the grant be modified without prior approval from CJSD.

Failure of the grantee to operate the program in accordance with the written, agreed upon objectives or budget will constitute immediate grounds for suspension and/or termination of the grant agreement and deobligation of unspent funds.

PROGRAM MONITORING

CJSD monitors each program to assure the grantee is operating the program as agreed, that the grantee is working towards its objectives, and that the grantee is following

appropriate fiscal procedures. Monitoring may include one or more on-site visits, and desk monitoring during the grant award period.

PROGRAM FUNDS

Match and grant funds constitute program funds. Grantees must report on match funds; all conditions that apply to grant funds apply to match funds. All funds designated as match are restricted to the same uses as the JABG program funds and must be expended within the grant award period. Grantees must ensure that match is identified in a manner that guarantees its accountability during an audit.

CASH MATCH REQUIREMENT

Federal funds may pay no more than 90 percent of the cost of the program. The remaining 10 percent (match); with the exception of construction of permanent corrections facilities which requires a 50 percent cash match; must be paid from the grantee's own non-federal sources. There is no waiver provision for the cash match requirement. Match must be in the form of cash and must be included in the grantee's financial records.

Matching contributions need not be applied at the exact time or in proportion to the obligation of federal funds. However, the full match amount must be provided and obligated by the end of the program period.

In-kind services and federal funds may not be used as match for JABG-funded programs. Restrictions are also placed on using existing program staff and resources as match.

Funds required for the non-federal portion of the cost of each program for which a grant is made, must be in addition to funds that would otherwise be made available for the program.

ALLOWABLE SOURCES OF MATCH

Allowable sources of cash match under the JABG program are as follows:

- Funds from states and units of local government.
- Housing and Community Development Act of 1974.
- Appalachian Regional Development Act.
- Equitable Sharing Program, a federal asset forfeiture distribution program.
- Private funds.
- Program income funds earned from seized assets and forfeitures (adjudicated by a state court, as state law permits).
- Funds appropriated by Congress for the activities of any agency of a Tribal government or the Bureau of Indian Affairs performing law enforcement functions on Tribal lands may be used as matching funds.
- Otherwise authorized by law.

Funds received from any federal sources other than those listed above may not be used as the cash match required for the JABG program.

SUPPLANTING

Federal funds must be used to supplement existing funds and not replace (supplant) non-federal funds which have been appropriated for the same purpose. Neither grant nor *match funds* may replace funds that would otherwise be available for any of the JABG authorized Purpose Areas. Monies disbursed under this program must be used to fund new programs, or expand or enhance existing programs.

CONSTRUCTION COSTS

If, under Purpose Area 2, a unit of local or tribal government uses funds to construct a permanent juvenile corrections facility, the unit of local or tribal government must provide at least 50 percent (match) of the total cost of the program.

NATIONAL ENVIRONMENTAL PROTECTION ACT (NEPA) REQUIREMENTS

Grantees must comply with the National Environmental Protection Act and other related federal environmental impact analyses requirements in the use of federal grant funds either directly by the grantee or by a subgrantee. Accordingly, prior to obligating grant funds, the grantee agrees to first determine if any of the following activities will be related to the use of the grant funds. The grantee acknowledges that this special condition applies to its new activities whether or not they are being specifically funded with grant funds. That is, as long as the activity is being conducted by the grantee, a subgrantee, or any third party and the activity needs to be undertaken in order to use these grant funds, this special condition must first be met. The activities covered by this special condition are:

1. New construction.
2. Minor renovation or remodeling of a property either (a) listed on or eligible for listing on the National Register of Historic Places or (b) located within a 100-year flood plain.
3. A renovation, lease, or any other proposed use of a building or facility that will either (a) result in a change in its basic prior use or (b) significantly changes its size.
4. Implementation of a new program involving the use of chemicals other than chemicals that are (a) purchased as an incidental component of a funded activity and (b) traditionally used, for example, in office, household, recreational, or educational environments.

FAILURE TO COMMENCE PROGRAM

If a program is not operational within 60 days of the effective date of the grant, the grantee must report to CJSD the steps it has taken to initiate the program, the reasons for the delay, and the expected starting date. If the program is not operational within 90 days of the effective date, CJSD may cancel the grant.

AUDIT REQUIREMENTS

State and local governments, nonprofit organizations, and institutions of higher education are governed by OMB Circular A-133, as amended. Whether an audit is required under this circular is dependent upon the amount of federal funds that may be audited during the recipient's fiscal year. If the organization expends \$500,000 or more per year in federal funds, the organization must

have an organization-wide financial and compliance audit. Commercial (for-profit) organizations shall have financial and compliance audits performed by qualified individuals who are independent from those who authorize the expenditure of federal funds. This audit must be performed in accordance with Government Auditing Standards. Grantees are required to submit an organization-wide financial and compliance audit report to CJSD.

CIVIL RIGHTS REQUIREMENTS

All recipients of federal grant funds, including JABG awards, are required to comply with nondiscrimination requirements of Title VI of the Civil Rights Act of 1964, as amended, 42 U.S.C. § 2000d et seq. (prohibiting discrimination in programs or activities on the basis of race, color, and national origin); Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 U.S.C. §3789d(c)(1) (prohibiting discrimination in employment practices or in programs and activities on the basis of race, color, religion, national origin, and gender); Section 504 of the Rehabilitation Act of 1973, 29 U.S.C. § 794 et seq. (prohibiting discrimination in employment practices or in programs and activities on the basis of disability); Title II of the Americans with Disabilities Act of 1990, 42 U.S.C. § 12131 (prohibiting discrimination in services, programs, and activities on the basis of disability); The Age Discrimination Act of 1975, 42 U.S.C. § 6101-07 (prohibiting discrimination in programs and activities on

the basis of age); and Title IX of the Education Amendments of 1972, 20 U.S.C § 1681 et seq. (prohibiting discrimination in educational programs or activities on the basis of gender).

If required to formulate an Equal Employment Opportunity Program (EEO), the grantee must maintain a current copy on file which meets the applicable requirements.

IMMIGRATION AND NATURALIZATION SERVICE REQUIREMENTS

Organizations funded under the JABG program must agree to complete and keep on file, as appropriate, the Immigration and Naturalization Service Employment Eligibility Form (I-9). This form is to be used by the recipient of federal funds to verify that persons employed by the recipient are eligible to work in the United States.

CERTIFICATION REGARDING LOBBYING; DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants are required to certify compliance with the certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying," and 28 CFR Part 67, "A Government-Wide Debarment and Suspension (Nonprocurement) and Government-Wide Requirements for Drug-Free Workplace

(Grants).” The certification will be treated as a material representation of the fact upon which reliance will be placed by the U.S. Department of Justice in making awards.

JABG recipients were required to review and sign the certification form and submit it as part of the application.

SUSPENSION OR TERMINATION OF FUNDING

The Criminal Justice Services Division may suspend funding in whole or in part, terminate funding, or impose another sanction on a JABG recipient for any of the following reasons:

- Failure to comply substantially with the requirements or statutory objectives of the Juvenile Accountability Block Grants Program, guidelines issued thereunder, or other provisions of federal law.
- Failure to make satisfactory progress toward the goals and objectives set forth in the application.
- Failure to adhere to the requirements of the grant award and standard or special conditions.
- Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected or approved.
- Failing to comply substantially with any other applicable federal or state statute, regulation, or guideline.

PROGRESS REPORTS AND REQUESTS FOR REIMBURSEMENT (RFR)

Before imposing sanctions, CJSD will provide reasonable notice to the grantee of its intent to impose sanctions and will attempt to resolve the problem informally.

PROGRESS REPORT PURPOSE

Progress reports have the following purposes:

- To determine if the grantee is operating the program as agreed.
- To determine if the grantee is making progress towards meeting its objectives.
- To justify continued funding of the JABG program.

The format for quarterly progress reports is shown in Appendix C. The report must be filled out in its entirety and signed by the program contact. The report may be downloaded on the CJSD website located at: <http://egov.oregon.gov/OOHS/CJSD/> or you may receive an electronic attachment of the progress report form by contacting Diana Fleming at 503.378.4145 ext. 549 or diana.fleming@state.or.us.

Anecdotal information may not substitute for a progress report but may be submitted as a supplement to the progress report.

Specifically, the progress report must collect at least one output indicator, short-term indicator, and intermediate outcome indicator for each

identified purpose area from the list of standardized performance measures as developed by OJJDP. The federal indicators are located at: <http://egov.oregon.gov/OOHS/CJSD/jabg.shtml>.

The grantee is responsible for collecting data on all federal indicators as well as additional data to demonstrate program effectiveness on a quarterly basis. Because the annual report covers the period of April 1 through March 31, the JABG Coordinator will utilize data from quarter four of the previous year and the first three quarters of the current year for the annual report. The JABG Coordinator will input the data collected for the federal indicators in the federal online reporting system.

REQUIREMENTS

Quarterly progress reports should be narrative in form and should include the following:

- Data and narrative showing progress made during the reporting period as well as cumulative information for the grant year, in sufficient detail, toward meeting the goals, objectives, and performance measures.
- Activities linked to the specific outcomes of the program.

REPORTING DUE DATES

Progress reports are due quarterly, on the following dates:

Quarter	Date Due
July 1 – September 30	October 31
October 1 – December 31	January 31
January 1 – March 31	April 30
April 1 – June 30	July 31

Grantees are required to submit quarterly progress reports even if no funds have been expended during that reporting period.

It is the responsibility of the grantee to ensure that progress reports are received by CJSD by the due dates.

The annual report data covers the period April 1 through March 31 of each year.

Annual

April 1, 2006 - March 31, 2007

Date Due

April 30, 2007

FAILURE TO SUBMIT PROGRESS REPORTS

CJSD will not issue reimbursements if any progress report or annual report is outstanding or incomplete.

Any progress report that is outstanding for more than one month past the due date may cause the suspension and/or termination of the grant.

REQUESTS FOR REIMBURSEMENT (RFR)

CJSD reimburses only actual and allowable expenditures for goods and services purchased during the grant period.

Grantees may not obligate funds, order goods, enter into contracts, or request purchase orders prior to the start of the grant period.

CJSD will not issue reimbursements for items which are not in the approved budget. CJSD may withhold funds for any expenditure not budgeted or in excess of approved budget amounts.

CJSD reimburses expenses quarterly unless otherwise agreed between CJSD and the grantee.

Grantees are required to submit request for reimbursement forms even if no funds have been expended during that reporting period.

Failure of the grantee to operate the program in accordance with the approved budget will constitute immediate grounds for suspension and/or termination of the grant agreement.

CJSD requires accurate, clear, and verifiable expenditure information prior to reimbursing any funds. The format for reporting expenditures and requesting reimbursement is shown on Appendix A. CJSD encourages you to photocopy this page for quarterly

reporting use or download a copy from the CJSD website located at: <http://egov.oregon.gov/OOHS/CJSD/>

The RFR must reflect all program expenditures which are paid with grant or match funds. Supporting documentation must be included for both grant and match funds.

Copies of supporting documentation (e.g., invoices, receipts, payroll reports, etc.) must accompany all RFRs. RFRs will not be paid without the required supporting documentation of expenditures. Written statements are not acceptable documentation for program expenses.

All conditions that apply to grant funds apply to match funds. Supporting documentation must be separated by each budget category with the amounts clearly identified. Figures must be rounded-off to the nearest whole dollar. Expenses must be totaled for the report period and for the entire period. Figures must add correctly even though they are rounded-off. The RFR must state how much grant money is being requested. CJSD will reduce the final payment if the minimum match requirement has not been met.

The original RFR must be signed by the program contact and mailed to CJSD. Reimbursement checks are mailed to the address appearing on the grant agreement.

Any RFR that is outstanding for more than one month past the due date may cause the suspension and/or termination of the grant.

The grantee must receive prior written approval from CJSD to extend an RFR requirement past its due date. Reimbursements for expenses will be withheld if progress reports or the annual report are outstanding or are incomplete.

CJSD will hold a grantee accountable for any overpayment, audit disallowances or any other breach of grant that results in a debt owed to the federal government.

If travel is included in your budget you must include with your RFP a copy of the state travel form as shown on Appendix B or available online at: <http://egov.oregon.gov/OOHS/CJSD/>.

Modifications to the grant agreement or budget must be in writing; verbal agreements must be followed-up in writing. Budget modifications should be requested prior to the quarter in which the modification would take effect.

If additional fiscal questions need to be addressed, please contact the Grants Accountant at 503.378.4145.

PROCUREMENT STANDARDS

All procurement transactions, whether negotiated or competitively bid and without regard to dollar value, shall be conducted in a manner so as to provide maximum open and free competition. All sole source procurements in excess of \$100,000 must receive prior approval by CJSD. Interagency agreements between units of government are excluded from this provision.

All procurement transactions must be within the grant period. Purchase orders, or placement of orders cannot be made prior to the start of the grant period.

SOLE SOURCE PROCUREMENT

Recipients may make the initial determination that competition is not feasible if one of the following circumstances exists:

1. The item or service is available only from a single source.
2. A public exigency or emergency will not permit a delay resulting from a competitive solicitation; or if it can be shown unequivocally that desired time frames for delivery must be met or the entire project will suffer as a direct result of the delay.
3. After solicitation of a number of sources, competition is considered inadequate.
4. If sole source procurement is pursued, documentation reflecting actions taken and the position of the grantee is extremely important in order to establish an audit trail.

A justification for sole-source contracting should include:

1. A brief description of the program and what is being contracted for.
2. Explanation of why it is necessary to contract non-competitively (expertise of the contractor, management, responsiveness, knowledge of the program, experience of contractor personnel).
3. Time constraints.
4. Uniqueness.
5. Other points that should be covered to sell the case.
6. A declaration that this action is in the "best interests" of the agency.

RFR DUE DATES

Grantees must submit Requests for Reimbursement forms (RFRs) quarterly unless otherwise agreed. It is the responsibility of the grantee to ensure that RFRs are received by CJSD within the due dates. A final RFR is due within 30 days of the end of the grant period.

Quarter	Date Due
July 1 – September 30	October 31
October 1 – December 31	January 31
January 1 – March 31	April 30
April 1 – June 30	July 31

CJSD may deobligate funds at any time during the grant period, and will deobligate all unspent funds at the close of the grant period.

UNALLOWABLE COSTS

Funds may not be budgeted or used for the following items:

1. Meals not associated with overnight travel. An exception is made for breakfast and dinner as long as the employee is on travel status for a minimum of two hours before the beginning of their regularly scheduled work shift or after the end of their regularly scheduled work shift.
2. Meals provided at conferences or training seminars.
3. Tips, meals service or related items (i.e., napkins, plates, forks, spoons, and knives) beverages, snacks, candy, food items, or bar charges.
4. Entertainment, honoraria, gifts, gift certificates, movies, arcades, recreation, or sporting events.
5. Cameras, film or accessories not used for evidence purposes.
6. Fund raising campaigns, endowment drives, or solicitation of gifts and bequests.
7. Personal items such as makeovers, membership dues, flowers, cards, social events or promotion of church attendance.
8. Indirect cost. Administrative costs will be limited to five percent of the federal and minimum match amounts.
9. Grantwriting.
10. Land acquisition.
11. Visas or passport changes.
12. Compensation to federal employees.
13. Bonuses or commissions.
14. Military-type equipment such as armored vehicles, explosive devices and other types of hardware excluding automatic weapons.
15. Lobbying or attempts to influence members of Congress, the Oregon Legislature, City Councils, County Commissions, or other legislative bodies.
16. Corporate formation.
17. Interest; interest on non-bearing items, or the cost of money.
18. Laundry/dry cleaning charges.
19. Expenses related to the maintenance or sale of forfeited or seized property.
20. Stipends or incentives.
21. Car rentals.
22. Vehicles.
23. Mass Transit Tax.
24. Late fees or finance charges.

CJSD reserves the right to modify the list of unallowable costs, if necessary.

REIMBURSABLE EXPENSE CATEGORIES

PERSONNEL costs are the cost of employees, fringe benefits, and payroll taxes. Overtime must be specifically listed and approved in the budget in order to be reimbursed.

Documentation to be submitted with the Requests for Reimbursement (RFR) must include copies of actual payroll reports showing the full amount paid for each employee (wages, taxes, and benefits) as well as a calculation to show how the amount reported was determined.

Federal guidelines (OMB Circular A-87 and A-122) require specific documentation of time spent on the JABG funded program (grant and/or match), as well as any other federal and/or non-federal programs. This requirement can be met by keeping signed Personnel Activity Reports (time sheets) which indicates a daily breakdown of time spent on each program. If the employee works less than 1.0 FTE on the JABG funded program, the Personnel Activity Report must reflect an after-the-fact distribution of the employee's actual breakdown and must account for the total time for which the employee is compensated.

The Personnel Activity Reports must be kept on file with the grantee and available to CJSD staff when requested.

EQUIPMENT is tangible personal property costing over \$5,000 and having a useful life of more than one year. Equipment must be purchased from a governmental price list or through an open competitive process.

Equipment may not be transferred, sold, or disposed of during the grant period without the permission of CJSD. After the end of the grant period, items with a current per unit fair market value of less than \$5,000 may be retained by the grantee for purposes consistent with the JABG authorized Purpose Areas, sold, or otherwise disposed of, in accordance with state procedures, with no further obligation to CJSD.

Criminal justice information and communication systems shall be designed and programmed to maximize the use of readily available equipment and software. If new software is developed, it shall be designed so that other criminal justice agencies will be able to use it with minor modifications at minimum cost. Grantees must receive written approval prior to copyrighting computer software and programs. Refer to the grant agreement for additional requirements.

TRAVEL/CONFERENCES/TRAINING

include employee costs for meals, tolls, lodging, mileage, motor pool fees, commercial transportation, parking fees, registration, and material fees. The documentation must show the nature of the conference (i.e. title, subject) and identify employees by position for whom reimbursement is requested. A copy of the conference registration form or brochure must accompany the RFR.

CJSD requires a state travel form or a form similar to the state travel form be included with the RFR. A sample form may be found on Appendix B. CJSD follows state and federal travel rules in determining expenditure reimbursement. When staying overnight while

attending a conference, meeting or training, CJSD cannot reimburse more than the federal per diem rate for meals and lodging. The federal per diem rates are available at <http://www.gsa.gov> (see travel resources, per diem rates).

In the event the lodging rate is not the federal per diem rate or less, none of the lodging costs associated with the event can be reimbursed, not just the amount in excess of the federal per diem.

Meals may not be claimed as a reimbursable expense if they are included as part of the conference or training registration fee. Employees may receive the meal allowance under the following circumstances:

- An employee is in transit to or from a destination that requires an overnight stay.
- An employee is in transit to or from a destination and the employee must depart from the employee's home more than two hours before the regular starting time or returns home more than two hours after the regularly scheduled end of shift.

Grantees must obtain prior CJSD approval, in writing, for travel out-of-state. CJSD will approve out-of-state travel only if the travel is essential to meet the objectives of the program.

Contact CJSD to determine reimbursable rates for travel within high- or low-cost cities.

SUPPLIES are items that have a useful life of less than one year such as office supplies. Supplies that have a useful life of more than one year, and have a value greater than \$5,000 is considered equipment.

CONTRACTUAL SERVICES are services such as consulting and treatment provided by independent contractors rather than employees. Grantees must follow state or local government procurement rules in awarding contracts. Federal rules limit remuneration for individual consultants to \$450 per day plus expenses, unless otherwise approved by CJSD.

The documentation submitted under contractual services must clearly identify the name of the contractor, the service provided, time period of service provided, and the amount and basis of amount paid to the contractor. The requirements in this *Handbook* relating to expenditures are applicable to contractors as well as grantees. For example, travel reimbursement rates may not exceed state rates or the grantee's rate, whichever is lower.

RENT AND UTILITIES includes rent, telephone, cellular phones/pagers, and other utilities. Maintenance and operation costs are allowable unless duplicated in rent. The documentation should identify each location for which rent is paid and the basis for the amount requested.

ADMINISTRATIVE COSTS are program-related costs such as accounting, program management, legal services, and payroll preparation. Reimbursement is based on the actual cost of these services and will be approved on a case-by-case basis. Administrative costs may not exceed five percent of the federal and minimum match amounts. Supporting documentation for administrative costs must accompany the RFR.

OTHER EXPENSES are goods and services that do not readily fit into any of the other budget categories and will be approved and reimbursed on a case-by-case basis.



REQUESTS FOR REIMBURSEMENT (RFR) CHECKLIST



The following checklist has been developed to assist grantees in complying with the requirements for submitting RFRs. Please use the checklist to ensure there are no delays in the reimbursement of grant funds:

- Is the correct RFR format used (Appendix A)? Are all three columns completed? Do columns and rows balance?
- Is the grant number, reporting period, Program Contact name, and phone number clearly stated?
- Is supporting documentation included for all grant and match expenditures?
- Are expenditures within approved budget amounts?
- Does the RFR reflect personnel/FTE, budget amounts, and categories consistent with the signed grant agreement?
- If Personnel Costs are included in your budget, have you submitted the required documentation that must accompany the RFR (refer to page 17).
- Is the RFR **signed** by the Program Contact and submitted with the supporting documentation?
- Does supporting documentation clearly indicate the purpose of the expense? If the documentation is not self-explanatory, please include a brief description/justification directly on the documentation.
- Is supporting documentation separated and totaled by budget category?
- Are copies of applicable travel forms and conference information attached?
- Have progress reports and/or the annual report been submitted?

PUBLICITY AND PUBLICATIONS

PUBLICITY

Grantees are encouraged to inform the public and the media about the accomplishments of their programs. Responsibility for the direction of the program should not be ascribed to the U.S. Department of Justice. Press releases or other published accounts of program activities and results must include the following statement:

“The opinions, findings, and conclusions or recommendations expressed in this publication, program, or exhibition are those of the author(s) and do not necessarily reflect the views of the U.S. Department of Justice, or the Criminal Justice Services Division.”

Any publication (written, visual, or sound, but excluding press releases, newsletters, and issue analyses) issued by the grantee or any of its subgrantees describing programs funded in whole or in part with federal funds, shall contain the following statement:

“This program was supported by Grant # _____, awarded by the Office of Juvenile Justice and Delinquency Prevention, Office of Justice Programs, U.S. Department of Justice, through the Criminal Justice Services Division, Oregon Office of Homeland Security. The Office of Juvenile Justice and Delinquency Prevention is a component of the Office of Justice Programs which also includes the Bureau of Justice Assistance, Bureau of Justice Statistics, National Institute of Justice, Corrections Program Office, and the Office for Victims of Crime. Points of view or opinions contained within this document are

those of the author and do not necessarily represent the official position or policies of the U.S. Department of Justice, or the Criminal Justice Services Division.”

When issuing statements, press releases, requests for proposals, bid solicitations, and other documents describing programs funded in whole or in part with federal money, the grantee shall include an acknowledgment similar to the following:

“A \$_____ grant awarded by the U.S. Department of Justice paid _____ portion of the cost of this program.”

Grantees may display the official logo of the Office of Justice Programs in connection with activities supported by the grant. The logo should appear in a separate space, apart from other symbols and credits. The words “Funded/Funded in part by OJP” shall be printed as a legend either below or beside the logo each time it is displayed. OJP must approve use of the logo.

PUBLICATIONS

All publications and distribution agreements with a publisher shall include provisions giving the federal government a royalty-free, non-exclusive and irrevocable license to reproduce, publish, or otherwise use the material in any fashion it deems appropriate. Unless otherwise specified in the agreement, the recipient may copyright any books, publications, films or other material developed or purchased as a result of grant activities subject to the right of the federal government.

ACCOUNTING AND AUDITING REQUIREMENTS

ACCOUNTING SYSTEMS

Grantees must establish and maintain accounting systems which accurately account for grant and matching funds. Grantees must maintain, for a minimum of five years after completion of the grant or until an audit is completed, whichever is later, adequate books, records, and supporting documents to verify the amounts, recipients, and uses of all disbursements of funds passing in conjunction with this agreement. Federal requirements for accounting systems begin on page 24 of this document.

COMMINGLING OF FUNDS

Federal agencies shall not require physical segregation of cash deposits or the establishment of any eligibility requirements for funds which are provided to a recipient. However, the accounting systems of all recipients and subrecipients must ensure that agency funds are not commingled with funds from other federal agencies. Each award must be accounted for separately. Recipients and subrecipients are prohibited from commingling funds on either a program-by-program basis or a project-by-project basis.

Funds specifically budgeted and/or received for one program may not be used to support another. Where a recipient's or subrecipient's accounting system cannot comply with this requirement, the recipient or subrecipient shall establish a system to provide adequate fund accountability for each program which it has awarded.

AUDIT THRESHOLD

Non-federal entities that expend \$500,000 or more in federal funds (from all sources) in the organization's fiscal year shall have a single organization-wide audit conducted in accordance with the provisions of OMB Circular A-133.

Non-federal entities that expend less than \$500,000 a year in federal awards are exempt from federal audit requirements for that year. Records must be available for review or audit by appropriate officials including the federal agency, pass through entity, and General Accounting Office (GAO).

Audit costs for audits not required in accordance with OMB Circular A-133 are unallowable. If the grantee did not expend \$500,000 or more in federal funds in its fiscal year, but contracted with a certified public accountant to perform an audit, these costs may not be charged to the grant.

**The federal CFDA number for
JABG funded programs is
16.523**

Grant funds are awarded subject to fiscal and program conditions to which the grantee expressly agrees. Accordingly, the audit objective is to review the grantee's administration of the program for the purpose of determining whether the grantee has:

- Established an accounting system integrated with adequate internal fiscal and management controls to provide full accountability for revenues, expenditures, assets, and liabilities;
- Prepared financial statements which are presented fairly, in accordance with generally accepted accounting principles;
- Prepared financial reports to support claims for reimbursement which contain accurate and reliable financial data and are presented in accordance with the terms of the applicable agreements; and
- Expended program funds in accordance with the agreement and federal and state rules.

FEDERAL ACCOUNTING REQUIREMENTS

The grantee is responsible for establishing and maintaining an adequate system of accounting and internal controls for itself.

a. Elements of Accounting System.

Accounting systems are made up of a series of operations which involve classifying, recording, summarizing, and reporting transactions. Elements of the system must consist of an account structure, accounting records, source documents, a system for coding financial transactions, and written procedures prescribing the manner in which and by whom these operations are performed. A grantee's accounting system must include the following:

1. System coding or classification must permit summarization and reporting of grant expenditures by specific programs, projects, uniform receipt and expenditure classifications, and major steps funded in the approved budget cost categories.
2. Accounting records should adequately identify the receipt and the expenditures of each grantee, subgrantee or contractor.
3. Accounting records, which must include a ledger and supporting books of account, should refer to subsidiary records or documentation which support each entry and which can be readily located and identified with the grant.

4. Accurate, current, and complete financial reporting information.
5. Systems integration with an adequate system of internal controls to safeguard grant funds and properties, check the accuracy and reliability of accounting data, promote operational efficiency, and encourage adherence by the grantee to prescribed management policies.

b. Accounting Systems are generally one of three kinds:

1. Cash Basis — Expenses are recorded when cash is spent and revenues are recorded when cash is received. This system provides little information on which to base expenditure planning.
2. Obligation Basis — Where expenses are recorded when the funds are obligated. This system is little used and is not preferred.
3. Accrual Basis — Revenues are recorded when goods or services are delivered and expenses are recorded when goods or services are consumed without regard to the timing of the exchange of cash. This system is preferred because it best matches revenues and expenses with the period in which they are actually earned or accrued. Accrual accounting also contains information on the receipt and disbursement of cash.

- c. Internal Controls. The grantee must establish and maintain a system of internal controls adequate to safeguard grant funds and resources, check the accuracy and reliability of the grant accounting and financial data, promote the operational efficiency of the grantee, and encourage adherence to the grantee's prescribed managerial policies.

Appropriate internal controls are comprised of a plan of organization (grantee policies, structure, division of staff functions, procedures, staff qualifications, etc.) designed to provide the grantee with effective financial and operational control over both its grant programs or projects.

The degree of internal control is dependent upon the size of the grantee and the funds and resources for which the grantee is responsible. The following criteria are basic to an adequate system of internal control:

1. Operating policies must be clearly stated; systematically communicated throughout the organization; in conformance with applicable laws and external regulations and policies; and designed to promote the execution of authorized activities effectively, efficiently, and economically.
2. Organizational structure must define and assign responsibility for the performance of all duties necessary to carry out the functions of the grantee.
3. Responsibility for assigned duties and functions of the grantees must be classified according to authorization, performance, record

keeping, custody of resources, and review, to provide proper internal checks on performance and to minimize unauthorized internal checks on performance and to minimize unauthorized, fraudulent, or otherwise irregular acts.

4. A system of forward planning, embracing all phase of the grantee's operation, must be developed to determine and justify financial, property, and personnel requirements and to carry out grant operations effectively, efficiently, and economically.
5. Grant procedures must be simple, efficient, and practical, giving due regard to the nature of the grant and applicable legal and regulatory requirements. Feasibility, cost, risk of loss or error, and availability and suitability of personnel are factors that should be considered in formulating the procedures.
6. An adequate system of authorization, record keeping, and transaction coding procedures must be designed by the grantee to ensure compliance with prescribed grant requirements and restrictions of applicable laws, regulations, and internal management policies; to prevent illegal or unauthorized transactions; and to provide proper accounting records for the expenditure of grant funds.
7. An adequate and efficiently operated information system must be designed to provide prompt, essential, and reliable operating and financial data to the grantee responsible for decision-making and performance review.

8. The performance of all duties and functions of grantee personnel must be properly supervised. All performance must be subject to adequate review under an effective internal audit program to determine whether performance is effective, efficient and economical and whether management policies are observed; applicable laws, prescribed regulations, and grant conditions are obeyed; and regulations, and unauthorized, fraudulent, or otherwise irregular transactions or activities are prevented or discovered.
 9. The qualifications of officials and employees with regard to education, training, experience, competence, and integrity must be appropriate for the responsibilities, duties, and functions assigned to them.
 10. Each official and employee must be fully aware of his/her assigned responsibilities and understand the nature and consequences of his/her performance. Each must be held fully accountable for the honest and efficient discharge of his/her duties and functions, including, where applicable, the custody and administration of funds and property, and compliance with grant regulations and legal requirements.
 11. Effective procedures must be implemented for expenditure control to ensure that needed goods and services are acquired at the lowest possible cost; that goods and services paid for are actually received; that quality, quantity, and prices are in accordance with applicable contracts or other authorizations by grant officials and that such authorizations are consistent with applicable statutes, regulations, policies, and grant requirements.
 12. All funds, property, and other resources for which the grantee is responsible must be appropriately safeguarded and periodically inventoried to prevent misuse, unwarranted waste, deterioration, destruction, or misappropriation.
- d. Management System. The grantees should have a management system meeting the following criteria:
1. Established state, local government, and organization administrative and fiscal practice and policies must be followed by subordinate bodies in the administration of federal grant funds.
 2. When no established policies and practices govern, reasonable and prevailing administrative and fiscal practices in the area (preferably adapted from public practice) shall be formally adopted and made a matter of record. The record must contain documentation showing that the standards of reasonableness and prevailing practice have been met.
 3. Administrative and fiscal policies must be applied consistently regardless of the source of funds.
- e. Budget and Accounting.
1. Establish-indirect cost budgets on a basis consistent with the way

resources are to be consumed and accounted for.

2. Record all applied direct costs in work accounts on a basis consistent with the budgets in a formal system that is controlled by the general books of account.

f. Analysis by the Grantee.

1. Identify at the work account level on a monthly basis using data from, or reconcilable with, the accounting system:

- a.) Budgeted cost for work scheduled and budgeted cost for work performed.
- b.) Budgeted cost for work performed and applied direct costs for the same work.
- c.) Variances resulting from the above comparisons classified in terms of labor, materials, or other appropriate elements together with the reasons for significant variances.

2. Identify on a monthly basis in the detail needed by management for effective control, budgeted indirect costs, actual indirect costs and variances along with the reasons therefor.

3. Summarize the data elements and associated variances listed in 1 and 2 above through the grantee organization and to the reporting level specified in the grant.

4. Identify on a monthly basis significant differences between

planned and actual technical performance together with the reasons therefore.

5. Identify managerial actions taken as a result of the above.

6. Monitor the effectiveness of actions taken to resolve problems or correct deficiencies.

7. Based on performance to date and on estimates of future requirements, develop revised estimates of cost at completion for elements identified in the grant and compare these with the grant baseline budgets, with current budgets.

g. Revisions and Access to Data.

1. Incorporate grant changes in a timely manner recording the effects of such changes in budgets and schedules.

2. Prohibit retroactive changes to records pertaining to work performed that will change previously reported amounts for applied direct costs, or indirect costs, except for correction of errors and routine accounting adjustments.

3. Prevent revisions to the grant budget baseline except for government-directed changes to authorized effort, that is, scope, work, and schedules.

4. At the time changes occur, advise the grantor agency of any changes to baseline budgets or schedules.

5. The duly authorized representatives of the grantor agency shall be

provided access to all of the foregoing information and records in support thereof.

h. Personnel and Compensation.

1. The organization will operate under a comprehensive plan that includes a scale of rates or ranges based upon the responsibilities of each position and its relationship to other positions.
2. Compensation paid shall be reasonable. Compensation will be considered reasonable if it is a part of a public compensation plan prescribed for the grantee, or if it is comparable to that paid for similar work in the labor market in which the grantee must compete for the kind of employees involved.
3. The compensation plan must include provisions concerning weekly hours of work; payment, if any, for overtime work; prior approval of all overtime work; and provisions establishing for each authorized part-time position the number of hours to be served each pay period by the incumbent.
4. In the absence of an applicable public fringe benefit plan, fringe benefits extended to employees must be reasonable and of general application. Fringe benefits will be considered reasonable if they are comparable to the benefits extended to employees of similar organizations in the same area.

- i. Safeguarding of Assets. All funds, property, and other resources for which the grantee is responsible shall be appropriately safeguarded and periodically inventoried under appropriate policies and procedures.

APPENDIXES

**A - Requests for Reimbursement (RFR)
Form**

B - State Travel Form

**C - Quarterly Progress Report Form and
Example**

REQUEST FOR REIMBURSEMENT

Implementing Agency: _____

Program Title: _____

Address: _____

Contact Person: _____

Phone: _____ Grant Number: _____

Fax Number: _____ Report for the Period Covering: _____

Budget Category	Expenses Paid This Period	Cumulative Expenses to Date	Program Budget
Personnel*	\$	\$	\$
Equipment	\$	\$	\$
Travel/Conferences/Training	\$	\$	\$
Supplies	\$	\$	\$
Contractual Services	\$	\$	\$
Rent/Utilities	\$	\$	\$
Administrative Costs	\$	\$	\$
Other	\$	\$	\$
Total Expenditures	\$	\$	\$
Less Matching Funds	\$	\$	\$
Grant Funds Requested	\$	\$	\$

Prepared by: _____ Title: _____

Signature of
Program Contact: _____ Title: _____

**Note: Please refer to the budget submitted in the original grant application.
All expenditures must have adequate supporting documentation.**

*If Personnel Costs are included in your budget/RFR, please refer to page 17, Personnel Costs section, for required documentation that must accompany the RFR.

**Juvenile Accountability Block Grant
Quarterly Progress Report
Criminal Justice Services Division-Oregon Office of Homeland Security**

Program Grant #: _____ Report Period: from- _____ to- _____
Implementing Agency: _____
Report Prepared by: _____ Phone number: _____

List each goal from your grant application, followed by progress in attaining your goals for the quarter (attach additional pages as needed and use these pages to make additional copies as necessary. An electronic template will be provided upon request).

Goal: _____
Objective: _____
Purpose _____
Area: _____

Performance Measures:

List all Federal indicators and corresponding data as selected from the JABG performance measure document available online at <http://egov.oregon.gov/OOHS/CJSD/jabg.shtml>.

Output Indicators: _____

Short-term Outcomes: _____

Intermediate-term Outcomes: _____

Progress/ Activities: _____

**Additional goals,
objectives and
outcomes/
activities to
demonstrate
program
effectiveness:**

Goal:

**Objective:
Purpose
Area:**

Performance Measures:

Output Indicators:

**Short-term
Outcomes:**

**Intermediate-term
Outcomes:**

**Progress/
Activities:**

**Additional goals,
objectives and
outcomes/
activities to
demonstrate
program
effectiveness:**

Performance assessment:

A. Is the program on track to meet its goals & objectives? Yes No
(if no, provide explanation)

B. Has the program experienced any delays/problems in meeting its goals & objectives?
 Yes No

Examples: Delay in hiring staff, recidivism rate higher than projected, fewer clients served than projected.
If the program has had delays/problems, what were they and what steps have been taken to resolve them.

Program Contact:

Signature

Printed Name and
Title:

Submit this report to:

JABG Grants Coordinator
Criminal Justice Services Division
Oregon Office of Homeland Security
4760 Portland Rd NE
Salem, OR 97305

Due Date:

For Period:	Report Due:
7/1-9/30	10/31/06
10/1-12/31	1/31/07
1/1-3/31	4/30/07
4/1-6/30	7/31/07

**Juvenile Accountability Block Grant
Quarterly Progress Report
Criminal Justice Services Division-Oregon Office of Homeland Security**

Program Grant #: Example Report Period: from- _____ to- _____
 Implementing Agency: _____
 Report Prepared by: _____ Phone number: _____

List each goal from your grant application, followed by progress in attaining your goals for the quarter (attach additional pages as needed and use these pages to make additional copies as necessary. An electronic template will be provided by request).

Goal: Reduce juvenile offender recidivism
Objective: 80% of youth will not be referred back to the program for another criminal offense for at least one year after successfully completing their peer court agreement.
Purpose Area: (JABG 11) Establishing and maintaining accountability-based programs designed to reduce recidivism among juveniles who are referred by law enforcement personnel or agencies.

Performance Measures:

List all Federal indicators and corresponding data as selected from the JABG performance measure document available online at <http://egov.oregon.gov/OOHS/CJSD/jabg.shtml>.

Output Indicators: #1 Number and percent* of staff trained in accountability programming
a) Number of staff trained – 1
b) Number of staff – 1
#2 Number of hours of training about accountability programming offered – 16
3 Number of accountability programs in operation - 2
 Short-term Outcomes: #1 Number of supervision meetings per youth per month - 5
#2 Number and percent* of youth with a behavioral contract developed at their intake into the accountability program.
a) Number of youth with a behavioral contract at intake – 56
b) Number of youth to enter program - 51

**Percent will be automatically calculated when number is entered on the on-line reporting system.*

Intermediate-term Outcomes:	Number and percent* of youth to complete their accountability program successfully.
	a) Number of youth to successfully complete accountability programming - 56
	b) Number of youth to enter accountability programming - 57
Progress/Activities:	The coordinator worked with and mentored 56 youth referred to the program during this reporting period. Youth were referred to a variety of activities that included involvement in community activities, GED and educational programs and the tracking of their school attendance while in the accountability program.
	Ninety percent of these youth did not have a criminal referral to the juvenile department while in the program.
	Of 57 youth referred to the program during this reporting period, one youth received a non-criminal referral to the juvenile department.
	Of 150 youth referred to the program during the previous year, 20 were referred to the juvenile department within one year of participating in the program, 12 were non-criminal referrals and 8 were criminal referrals with a criminal recidivism rate of 5.33 percent.
Additional goals, objectives and outcomes/activities to demonstrate program effectiveness:	Goal: Increase academic success of delinquent youth. Activities: Court School
	Objective: Program participants will have a significant increase in Comprehensive Adult Student Assessment System (CASAS) test scores prior to leaving Court School.
	At least 50 percent of the students served will successfully transition to another school, GED program, or work . Process: 100 youth under the jurisdiction of the court or returning to the community from state residential placement will receive court mandated, individualized education through Court School.
	Short/Long-Term Outcomes: 60.4 percent reduction in crime. Average pre-criminal referrals = 4.07; average post criminal referrals = 1.61 (n=100; two-year follow-up)

*Percent will be automatically calculated when number is entered on the on-line reporting system.

Performance assessment:

A. Is the program on track to meet its goals & objectives? Yes No
(if no, provide explanation)

B. Has the program experienced any delays/problems in meeting its goals & objectives?
 Yes No

Examples: Delay in hiring staff, recidivism rate higher than projected, fewer clients served than projected.

If the program has had delays/problems, what were they and what steps have been taken to resolve them.

Program Contact:

Signature

Printed Name and
Title:

Submit this report to:

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