

130920

U.S. Department of Justice
Office of Juvenile Justice and Delinquency Prevention

Juvenile Justice and Delinquency Prevention Act: *Formula Grant Program*

Performance Report Instructions

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U.S. Department of Justice
National Institute of Justice

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Juvenile Justice and Delinquency Prevention Act
Formula Grant Program
Performance Report Instructions

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CONTENTS

Purpose of the Performance Report	1
Time Frames and Dates	2
Format of Performance Reports	3
Instructions: Form A--Program Area Summary	5
Instructions: Form B--Subgrantee Report Form	8
Instructions: Form C--Summation of Funding and Expenditures	13
Instructions: Form D--State Advisory Group Activities	17
Appendix A: Program Areas	
Appendix B: Project Descriptors	
Appendix C: Glossary	
Appendix D: Examples of Completed Forms	

1990 PERFORMANCE REPORT INSTRUCTIONS

PURPOSE OF THE PERFORMANCE REPORT

Performance Reports are designed to address major questions pertaining to: (1) information on the use of Formula Grant Funds, and (2) activity/performance information of State Planning Agency's (SPA) and subgrantees' progress toward their goals as stated in the Three-Year Plan or Updates.

Pursuant to Section 223(a) and Section 223(a)(22), each State is required to submit an Annual Performance Report to the Office of Juvenile Justice and Delinquency Prevention (OJJDP) which describes the progress in implementing programs, the effectiveness of the programs and activities, and the status of compliance with State Plan Requirements.

The Three-Year State Plan provides the basis for the Performance Report. While the Three-year Plan identifies the State's program areas, goals, and objectives that will be achieved, the Performance Report reviews the plan each year to report on the progress made. The plan is chiefly a planning tool while the Performance Report is an assessment tool.

The Performance Report provides OJJDP with: (1) a basis for determining if funds are being awarded in accordance with the Three-Year Plan and the requirements of the Juvenile Justice and Delinquency Prevention Act; (2) a major source of data for reports to Congress on state accomplishments; (3) a description of progress toward the goals of the Act and problems impeding progress in achieving the mandates of the Act; and (4) program data and information which can be shared with other states.

Performance Reports provide SAGs and state agency staff with a management tool offering: (1) an objective determination of whether subgrantees are achieving expected results; (2) direction in funding decisions; (3) direction in plan development; (4) a planning base for assessment or the viability of program strategies and goals; and (6) information of their annual report to the Governor and Legislature.

The instructions which follow include descriptions of how to fill out each form, time frames, due dates and the format. In addition, program area project descriptors, glossary of definitions, and examples of how forms should be completed are provided in the appendix.

TIME FRAME AND DATES

Each state is required to select a continuous twelve (12) month time period to be reflected in their Performance Report. All Formula Grant activities during that time period are subject to presentation in the report. Flexibility is allowed in selection of the time frame because many states' fiscal and/or funding cycles do not match that of the federal government.

It is assumed that one of three reporting periods will normally be used by states in developing their Performance Reports. Those periods include the prior federal fiscal year, state fiscal year, or calendar year. For example, a state may prepare:

- A Performance Report which presents program and award activity from the prior federal fiscal year, (e.g., the 1990 Performance Report would cover the period October 1, 1988 through September 30, 1989);
- A Performance Report which presents program and award activity for a typical state fiscal year, usually a 12 month period beginning on July 1 (e.g., the 1990 Performance Report would cover the period July 1, 1989 through June 30, 1990); or
- A Performance Report which presents program and award activity for the calendar year (e.g., the 1990 Performance Report would cover the period January 1, 1988 through December 31, 1989).

The only restriction on the period chosen by the state for the performance Report is that it must cover a consecutive twelve month period beginning no earlier than the July two years prior to the due date (e.g., the 1991 Performance Report can cover a 12-month period falling between July 1, 1989 and December 12, 1990; the 1992 Performance Report would cover the same 12 month period falling between July 1, 1990 and December 31, 1991, etc.). The report is due on June 30.

The primary focus of the Performance Report are those projects expending Formula Grants funds during the state's 12-month reporting period. The report must provide information on the amount of expenditures and the accomplishments of all programs funded with Formula Grant funds anytime during the state's reporting 12 month period.

FORMAT OF PERFORMANCE REPORTS

The Performance Report now has five components:

- (1) Cover Sheet;
- (2) Form A: Program Area Summary;
- (3) Form B: Subgrantee Report Form;
- (4) Form C: Funding Distribution; and
- (5) Form D: SAG Activities

The Cover sheet is used only to identify the Performance Report due date, timeframe, and reporting state.

The Performance Report information is closely tied to the program areas and goals established by the State or territory in the Three-Year Comprehensive Plan or Plan Update. Forms A through D are used to provide specific information on program areas, goal status, subgrantees, funding, SAG activities and more. The purpose of each form is briefly presented here.

Form A solicits information for the Program Areas designated in the Three-Year Plan or Plan Update. Most of this information is arranged by the goals for each Program Area listed. The length of this first section will depend on number of Program Areas and the number of goals addressed within each Program Area.

Form B is used to summarize both funding and evaluative information for each subgrantee expending Formula Grant monies within the reporting period. The number of forms included will depend on the number of subgrantees expending grant funds.

Form C is used to summarize funding distribution information and answer questions about the equitable distribution of funds.

Form D is used to answer questions concerning SAG activities during the reporting period.

Examples of completed forms are presented in Appendix D.

States are already required to submit Subgrant Award Report (SARs) forms to OJJDP for each Formula Grants subgrant awarded. Certain data elements on the SAR form correspond to selected items on the Performance Report Form B; therefore OJJDP will use the SAR information to initiate completion of the Form B. Each partially completed Form B will be mailed to the states at least 90 days prior to the Performance Report due date. The States will then only be responsible for verifying the accuracy of the information, responding to the remaining questions, and completing full forms on subgrants for which SARs have not yet been completed and forwarded to OJJDP.

Aside from the inclusion of Forms A, B, C, and D, the only remaining section of the Performance Report is the cover page.

The cover page should include the title "Performance Report," the report's due date, the state's chosen time frame, and the name of the State. The due date is June 30 and the reporting period should be specified by the beginning and ending calendar dates.

State Program Description for _____

FOR _____

OMB Number _____-0157

Expires: September 1993

Short Title _____

PROGRAM AREA SUMMARY

State: _____

Standard Program Area _____

Page No. _____

Three-Year Plan Cycle _____

Reporting Period _____
(from) (thru)

(A) GOALS (from state plan or plan update)	(B) ACHIEVEMENTS	(C) SPA INVOLVEMENT*	(D) STATUS**

*** (C) SPA INVOLVEMENT**

- (1) Fund Project
- (2) Manage Project
- (3) Staff Project
- (4) Provide Technical Assistance
- (5) Coordinate Resources
- (6) Support Legislation
- (7) Other--please specify

*** (D) STATUS**

- (1) Fully accomplished, remains priority
- (2) Fully accomplished, no longer a priority
- (3) Partially accomplished, mission continues
- (4) Partially accomplished, no further effort
- (5) No progress, remains a priority
- (6) No progress, no longer a priority (explanation requested)

INSTRUCTIONS: FORM A--PROGRAM AREA SUMMARIES

Form A is designed to collect information on state progress within each program area identified in its Three-Year State Plan or Annual Updates. When completed, Form A provides an overview of progress for goals within a Standard Program Area during the reporting period.

The basic unit of information is centered around the Goal identified in the Three-Year State Plan or Update. Information in the remaining columns refers back to the Goal and should be aligned horizontally with the Goal.

Note that the Program Area is to be specified at the top of Form A. When starting another Program Area begin a new page. Numerous goals and other information for a Program Area can be continued on consecutive pages as required. Additional pages should restate the Program Area followed by "Continued."

Six pieces of information are requested at the top of Form A. Spaces are provided for:

- (1) State Program Designator--The code used by the state to identify the program.
- (2) Short Title--A descriptor title used by the state to identify program emphasis.
- (3) Standard Program Area--The program areas should correspond to those used in the 1991 Three-year Plan and subsequent three year plans and updates which are listed in Appendix A of these instructions.
- (4) Page No.--The consecutive page number for all forms.
- (5) State
- (6) Reporting Period--The consecutive 12 month period covered by the performance report, to include the beginning month/year and ending month/year.

Each column of the form requires a specific piece of information tied to each specific goal.

Form A Instructions

Column A: Goals

Enter individual goals specified in the Three-Year State Plan and/or plan update. Please number or bullet Goals. Goals should be written word for word from the Plan.

A new Form A sheet is needed when starting a new Program Area.

Column B: Achievements in implementing the objectives established to accomplish the program goal.

Briefly describe major achievements made in implementing the objectives established to accomplish the program goal. The achievements should relate to the objectives established for the goal as presented in the Three Year Plan or Plan Update. If possible the achievements should note the type and size of the target population, and the impact on that population. Be as specific as possible when labeling/identifying the target groups as presented on Form A.)

Estimates as to how many individuals were impacted are permissible, but should be labelled appropriately, (i.e., "approximately").

Column C: SPA Involvement

How is the State Planning Agency (SPA) involved in achieving the Goal? Standard responses include: (1) fund project, (2) manage project, (3) staff project, (4) provide technical assistance, (5) coordinate resources, (6) support legislation, and (7) Other-- Please Specify.

Indicate all responses that apply using the appropriate number(s) presented in the legend at the bottom of the form.

SPA refers to the State agency that is responsible for preparing and administering the State Three-Year Plan and Plan Updates.

Column D: Status

Make a judgement regarding the status of achieving the specific goal in Column A. Use this column to indicate progress made toward meeting the collective objectives developed for each program goal presented in the Three Year Plan or Plan Update. Standard responses for status are presented at the bottom of Form A. Designate status by inserting the appropriate response number in this column, aligning it with the corresponding goal.

FORM B
SUBGRANTEE PROJECT REPORT FORM

Page No. _____

State _____

Reporting Period _____
(from) (to)

(1) SUBGRANTEE NAME _____

(2a) PROJECT NAME _____

(2b) STATE AWARD NUMBER _____

(3) (a) STATE DESIGNATOR _____ (b) SHORT TITLE _____ (c) PROGRAM AREA _____

(4) PROJECT DESCRIPTOR(S) _____

(5a) THIS PROJECT IS DETERMINED TO BE AN ADVANCED TECHNIQUE AS DEFINED IN SECTION 223(a)(10) OF THE JJDP ACT.
____ yes _____ no

(5b) FUNDS FOR THIS PROJECT WERE APPLIED TO JJDP ACT PASS THROUGH REQUIREMENT AS DEFINED IN SECTION 223(a)(5).
____ yes _____ no

(6) DO YOU CONSIDER THIS SUBGRANTEE PROJECT AS ONE OF THE THREE MOST SUCCESSFUL IN THE STATE OUT OF ALL THOSE EXPENDING FUNDS DURING THIS REPORT PERIOD?
____ yes _____ no

(7) (a) Date Funds Awarded: _____ (b) Subgrant Period: _____
(from) (thru)

(8) FORMULA GRANT EXPENDITURES DURING THE REPORT PERIOD BY FORMULA GRANT AWARD SOURCE YEAR

Award Year	Expenditure (\$)
1986 Formula Grant	_____
1987 Formula Grant	_____
1988 Formula Grant	_____
1989 Formula Grant	_____
1990 Formula Grant	_____
1991 Formula Grant	_____

(9) TYPE OF SUBGRANTEE

_____ State Government	_____ Private-Non Profit
_____ Local Government	_____ Private-For profit
_____ Indian Tribe-On Reservation	_____ Other
_____ Indian Tribe-Off Reservation	

(10) PROJECT OBJECTIVE(S)

(11) PROJECT ACCOMPLISHMENT(S)

INSTRUCTIONS: FORM B--SUBGRANTEE REPORT FORM

Form B is designed to collect fiscal and performance information on each subgrantee. To streamline this process, OJJDP will return a Form B to the state on each project for which a Subgrant Award Report (SAR) form which was completed and forwarded to OJJDP by the state during the prior year. Based on the SAR information, OJJDP will be able to complete items 1, 2, 3a, 3b, 3c, 4, 7, and 9. The State will need only to verify the accuracy of the information and respond to the remaining items. Of course, a complete Form B should be filled out by the State on any subgrant for which OJJDP has not yet received an SAR.

When a subgrantee has an award for more than one project, a separate Form B needs to be filled out for each award.

The following represent instructions for completing Form B. Note that those marked with an asterisk (*) will be completed and provided to the State by OJJDP on each subgrant for which a Subgrant Award Report form was received by OJJDP.

Item (1): Subgrantee Name*

Enter name of subgrantee.

Item (2)(a): Project Name*

Enter specific project title. May be same as Subgrantee Name.

Item (2)(b): State Award Number*

Enter the award number designated by the state planning agency.

Item (3)(a): State Designator*

Enter the code used in the state plan to identify the program under which the subgrantee activity is classified.

Item (3)(b): Short Title*

Enter the descriptive title used in the state plan to identify program emphasis.

Item (3)(c): Standard Program Area*

Enter the Standard Program Area under which the program was funded. Refer to the Three year State Plan or Plan Update for the designated Standard Report Area. They are also listed in Appendix A.

*Responses to these items will be provided by OJJDP to the State on each subgrant for which a Subgrant Award Report form is received.

Form B Instructions

Item (4): Project Descriptor(s)*

List all appropriate Project Descriptors which describe the Subgrantee's project. Project Descriptors are presented in Appendix B. If project descriptor codes now differ from those on the SAR, make appropriate changes.

Item (5a): This project is determined to be an advanced technique as defined in Section 223(a)(10) of the JJDP Act.

Refer to Section 223(a)(10) of the JJDP Act for identification of advanced techniques. Check "yes" if this project qualifies as an advanced technique. If not, check "no".

Item (5b): Funds for this project were applied to the JJDP Act Pass-Through Requirement as defined in Section 223(a)(5) of the JJDP Act.

Refer to Section 223(a)(5) of the JJDP Act for the passthrough requirement definition. Then check "yes" if this project qualifies for the pass-through requirements. If your state received an approved waiver from OJJDP, check "no."

Item (6): Do you consider this subgrantee project as one of the three most successful in the State out of those expending funds during this report period?

Indicate whether this subgrantee project could be considered one of the three most successful in meeting program goals and objectives by checking "yes." If project is not considered one of the three most successful, check "no."

Item (7)(a): Date Funds Awarded*

Enter the date on which the Formula Grant funds were awarded to the subgrantee.

Item (7)(b): Subgrant Period*

Enter the beginning day/month/year and ending day/month/year established as the award period for this subgrant.

Item (8): Formula grant expenditures during the report period by formula grant award source year.

Enter the amount(s) of Formula Grant funds expended by the subgrantee during the 12 month reporting period. Dollar amounts expended during the report period should be reported adjacent to the Formula Grant source year. If no funds were expended by the subgrantee from a particular formula grant award source year, the space provided should be left blank.

*Responses to these items will be provided by OJJDP to the State on each subgrant for which a Subgrant Award Report form is received.

Form B Instructions

Appendix D provides an example of a completed Form D.

Item (9): Type of Subgrantee*

Check the agency type as indicated.

Item (10): Objectives

The form is designed so that Objectives [Item (10)] and Accomplishments [Item (11)] can be listed side by side for convenient comparison. Ideally, at least one Accomplishment should directly correspond to each individual Objective. Objectives are basically statements of intention or goal settings, whereas Accomplishments are comments on the actual outcomes or results.

Objectives and Accomplishments should be identified with brief yet thoroughly descriptive statements. These statements can be presented in abbreviated form instead of complete sentences. (See examples below and in Appendix D.)

For Item (10) list individually the subgrantee's Objectives for the project.

It is important to focus on measurable and observable aspects when defining Objectives. Vague objectives usually make it impossible to determine any kind of success or effectiveness. Vague objectives tend to indicate the direction activities will take, i.e., "to train." Specific objectives provide both direction and a goal or distance to be reached, i.e., "to provide 10 one-hour group training sessions for over 50 volunteer shelter care workers."

Subgrantee objectives can be copied or paraphrased from the subgrant application. Relevant Accomplishments in the next column will be compared to these Objectives.

It is important to be as specific as possible when identifying individual objectives of each project and the accomplishments of the objectives. Matching these objectives with actual outcomes (accomplishments) will indicate the degree of effectiveness or success achieved by the subgrantee.

At least one Objective should identify the target population for the project. Clientele or population served should at minimum include the intended number of clients to be served, and what type of group these clients belong to, i.e., juveniles, first time offenders, truants, middle school students, police intake staff, system professionals, etc. Be as specific as possible when identifying the target population.

Finally, it is best to separate and number Objectives as they are listed. See the examples at the end of this section and in Appendix D.

*Responses to these items will be provided by OJJDP to the State on each subgrant for which a Subgrant Award Report form is received.

Form B Instructions

Item (11): Accomplishments

List individually the subgrantee's Accomplishments for the project during the award.

Accomplishments refer to the obtained outcomes or to output measures. These statements will be very similar to the Objectives, but instead of referring to intended actions or consequences, Accomplishments will refer to what actually occurred. It is important that Accomplishments be statements of fact on activities engaged in, consequences measured, opinions changed, etc.

At least one Accomplishment should correspond with each one of the listed Objectives. Examples can be found below and in Appendix D.

It is preferred that Accomplishments be separated and numbered so as to correspond with their relevant Objective. The best method for accomplishing this is to enter Objectives and Accomplishments side-by-side when filling in the form.

Both Objectives and Accomplishments may be continued on additional sheets as needed. However it is requested that the column format be maintained.

For example:

<u>Objective(s)</u>	<u>Accomplishment(s)</u>
1) To provide family counseling to 100 families.	1) 95 families received 5 hours of counseling on average.
2) To reduce recidivism rate of client group by 80%.	2) Client recidivism rate dropped by 95% after program.
3) To reduce the number of juvenile jailings which occurred last year (145 for state).	3) Statewide number of juvenile jailings was 132 for this year.
4) To complete research project and report on findings.	4) Research completed, analysis done, and report written. Final report at printer. Distribution of 250 copies is scheduled.

*Responses to these items will be provided by OJJDP to the State on each subgrant for which a Subgrant Award Report form is received.

FORM C
SUMMATION OF FUNDING ACTIVITY BY FISCAL
YEAR AWARD

STATE _____		ENDING DATE _____					
		1986	1987	1988	1989	1990	1991
(A)	TOTAL FORMULA GRANT FUNDING						
(1)	Total Formula Grants Awarded	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
(2)	Total Formula Grant Awards Expended to Date	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
(B)	STATE ADVISORY GROUP						
(3)	SAG Allotment	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
(4)	Non-SAG Allotment (line 1 less line 3)	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
(5)	SAG Allotment expended to date	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
(C)	PLANNING AND ADMINISTRATION (P&A)						
(6)	Formula Grants to P&A expended to date	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
(7)	State Match to P&A Fund expended to date	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
(D)	ADVANCED TECHNIQUES						
(8)	Funds expended to date on advanced techniques	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
(E)	LOCAL PASS-THROUGH						
(9)	Total passed to local level (cumulative to date)	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
(F)	EQUITABLE DISTRIBUTION						
(10)	Were funds equitably distributed? <input type="checkbox"/> yes <input type="checkbox"/> no						
(11)	On what basis are funds equitably distributed? (Check all options that apply)						
	<input type="checkbox"/> general population distribution						
	<input type="checkbox"/> disadvantaged or minority population distribution						
	<input type="checkbox"/> geographical area, region, or district						
	<input type="checkbox"/> economic need						
	<input type="checkbox"/> crime statistics						
	<input type="checkbox"/> other _____						
	<input type="checkbox"/> other _____						
(12)	What procedures or mechanisms ensure equitable distribution? (Check all options that apply)						
	<input type="checkbox"/> via a Request for Proposal process						
	<input type="checkbox"/> an open competitive process						
	<input type="checkbox"/> application review or approval process						
	<input type="checkbox"/> supervisory and advisory functions of SAG or other agency						
	<input type="checkbox"/> other _____						
	<input type="checkbox"/> other _____						

INSTRUCTIONS: FORM C--SUMMATION OF FUNDING AND EXPENDITURES

Form C is used to aggregate all funding and expenditure information for the 12 month reporting period. The data compiled for each Form B can be used to calculate the information required for Form C.

Form C summarizes cumulative funding activity for each formula grant award. Note that information is requested on an award-by-award basis. For each of items (A) through (E), the information requested must be presented by Formula Grant award year. Expenditures under each award should be reported as those made to date, i.e., the amount of Formula Grant dollars expended to date (i.e., from the award date to the ending date for the current Performance Report).

This information is requested in this manner because the data can change each year. As awards are made and funds passed through to local governments, amounts spent from each award will change. Hence, OJJDP is using the Performance Report to monitor expenditures annually until a state exhausts its award(s).

At the top of Form C, provide the State and the applicable End Date for this Performance Report. The End Date is the final day of the report period for the Performance Report.

PART (A): TOTAL FUNDING LEVELS

Part A is used to calculate the total Formula Grant funding received by the State.

Line (1): Total Formula Grant Awards

Enter total award amount received from OJJDP for the applicable Federal Fiscal Year.

Line (2): Total Formula Grant Awards Expended to Date

Enter the total amount of the applicable Formula Grant award expended to date, that is, from the date of award through the final day of the reporting period for this Performance Report.

PART (B): STATE ADVISORY GROUP

SAG allocations can be no less than five percent of the minimum annual allotment as per Section 222(d) of the Juvenile Justice and Delinquency Prevention Act. Non-SAG allocations serve as a basis to regulate allocations to Advanced Techniques and Local Pass-Through.

Line (3): SAG Allotment

Enter the Total amount of Formula Grant money designated for SAG activities for each applicable FFY award.

Form C Instructions

Line (4): Non-SAG Total Allotment

Subtract line (3) from line (1) and enter difference here.

Line (5): SAG Allotment Expenditure to Date

Enter the cumulative amount of Formula Grant dollars expended to date on the SAG allotment for each Federal fiscal year.

PART (C): PLANNING AND ADMINISTRATION

Planning and Administration allocation amounts are governed by the JJDP Act.

Line (6): Formula Grants to P. & A.

Enter the cumulative amount of Formula Grant money expended for the Planning and Administration of Formula Grant programs from the date of award through the report period end date. This includes Planning and Administration funds expended during prior and current Performance Report reporting periods.

Line (7): State Match to P.A. Fund

Calculate and enter the total amount of State funds expended for Planning and Administration of Formula Grants programs from the date of award through the report period end date. This includes any state Planning and Administration funds expended during previous and current Performance Report reporting periods.

PART D: ADVANCED TECHNIQUES

Section 223(a)(10) of the JJDP Act stipulates that at least seventy-five percent of the Non-SAG funds be devoted to advanced techniques as defined in the same section.

Line (8): Funds Expended to Date on Advanced Techniques

Enter the cumulative amount of Formula Grants money spent on advanced techniques from the date of award through the award period end date. This includes any Formula Grant funds expended during previous and current Performance Report reporting periods.

Form B, item (5)(a) can be used as a reference to complete this item.

PART E: LOCAL PASS-THROUGH

Section 223(a)(5) states that sixty-six and two-thirds percent of Non-SAG funds should be expended through local government, local private agencies, or Indian tribes.

Form C Instructions

Line (9): Pass Through to Local Level (cumulative to date)

Enter the cumulative amount of Formula Grants money spent which qualify as Pass-through expenditures, from the date of award through the report period end date.

Form B, Item (5)(b) can be used as a reference to complete this item.

FORM D
STATE ADVISORY GROUP ACTIVITIES

STATE _____ REPORTING PERIOD (from) _____ (thru) _____

(1) How did the SAG submit their recommendation to the Governor and State legislators during the reporting period?

(2) If applicable, how was the SAG involved with the state's compliance monitoring efforts?

(3) A. Were youth representatives on SAG active during the reporting period (e.g., attend meetings)? ___yes
___no

B. Number of youth representatives on SAG _____

C. How does the SAG contact and seek regular input from juveniles currently under the jurisdiction of the juvenile justice system?

(4) How often did the SAG meet during the reporting period?

(5) How did the SAG review and update the Three-Year State Plan?

(6) If the SAG was advisory only, describe the activities designed to facilitate coordination between the SAG and the State Supervisory Board.

(7) Provide a one paragraph description, based on the most recent data available, of the extent to which your state complies with Section 223 of the JJDP Act and with the plan submitted by the state for the fiscal year.

(Please attach additional sheets as necessary)

INSTRUCTIONS: FORM D--STATE ADVISORY GROUP ACTIVITIES

Answer the questions on Form D with brief answers. Complete sentences are not necessary. A simple list of activities is an acceptable response for most questions. Additional sheets may be attached if desired.

APPENDIX A: STANDARD PROGRAM AREAS

- 01 Planning and Administration. Activity related to state plan development, other pre-awarded activities, administration of the Formula Grant Program, including evaluation and monitoring {Section 222(c) and 28 CFR Part 31.101}
- 02 State Advisory Group Allocation. Activities related to carrying out the State Advisory Group's responsibilities under the JJDP Act. {Section 223(a)(3)}.
- 03 Deinstitutionalization of Status Offenders. Programs, research, or other initiatives designed to eliminate or prevent the placement of nonoffenders and accused or adjudicated status offenders in secure facilities, pursuant to Section 223(a)(12)(A) of the JJDP Act.
- 04 Separation of Juveniles from Adult Offenders. Programs, research, or other initiatives designed to eliminate or prevent the confinement of juveniles in institutions where they may come into contact with adults who are convicted of a crime or are awaiting trial on criminal charges, pursuant to Section 223(a)(13) of the JJDP Act.
- 05 Jail Removal. Programs, research or other initiatives designed to eliminate or prevent the placement of juveniles in adult jails and lockups, as defined in Section 223(a)(14) of the JJDP act.
- 06 Compliance Monitoring. Programs, research or other initiatives designed primarily to enhance or maintain a state's ability to adequately monitor jails, detention facilities, and other facilities, to assure compliance with Section 223(a)(15) of the JJDP Act.
- 07 Minority Overrepresentation. Programs, research or other initiatives designed primarily to address issues related to disproportionate handling of minority youth, pursuant to Sections 223(a)(23) of the JJDP Act.
- 08 Native American Tribes. Programs, research or other initiatives designed primarily to address juvenile justice and delinquency prevention issues for Native Americans.
- 09 Illegal Drugs and Alcohol. Programs, research or other initiatives designed to address the use and abuse of illegal and other prescription and nonprescription drugs and the use and abuse of alcohol. This program area includes prevention activities directed at reducing such drug and alcohol use or abuse.
- 10 Serious Crime. Programs, research, or other initiatives designed primarily to address serious and violent criminal type behavior by youth. This program area includes prevention efforts directed at reducing serious and violent juvenile crime.

- 11 Gangs. Programs, research, or other initiatives designed primarily to address issues related to youth gang activity. This program area includes prevention efforts directed at reducing gang related activities.
- 12 Delinquency Prevention. Programs, research, or other initiatives designed to reduce the incidence of delinquent acts and directed to the general youth population thought to be "at risk" of becoming delinquent. This category includes what is commonly referred to as "primary prevention" (e.g., parent education, law-related education, peer counseling, etc.). This program area excludes programs targeted at youth already judged delinquent, and those programs designed specifically to prevent illegal drug use or gang-related activities which are undertaken as part of program areas 09 and 11.
- 13 Systems Improvement. Programs, research, and other initiatives designed to examine issues or improve systems, policies, or procedures on a system wide basis (e.g., examining problems affecting decisions from arrest to disposition, detention to corrections, etc.). Technical assistance, training, informational systems and other similar programs for system improvement are included.
- 14 Other. Program area not identified above. (Note: An explanation of "other" must be included as a footnote on Attachment A, Budget Summary and briefly discussed under the Standard Program Area of the program description contained in the Three-Year Program Plan).

APPENDIX B: PROJECT DESCRIPTORS

Project Descriptors are used to further define subgrantee activities and purposes. Project Descriptors apply to both Forms A and B.

Use as many descriptor(s) as necessary to describe the subgrantee's project. However, for clarity and accuracy it is recommended the number of descriptor(s) used to be kept small.

- | | |
|--------------------------------------|---|
| 01 Aftercare | 40 Parent Training |
| 02 Alcohol - Prevention | 41 Parole services |
| 03 Alcohol - Treatment | 42 Peer Counseling |
| 04 Arbitration/Mediation | 43 Planning - database
development/information systems |
| 05 Arson | 44 Planning - general |
| 06 Case Management | 45 Planning - needs assessment |
| 07 Child Abuse and Neglect | 46 Police Diversion/Summons |
| 08 Code and Statutory Revisions | 47 Police Intake Service |
| 09 Compliance Monitoring | 48 Police School Liaison |
| 10 Court Appointed Advocate | 49 Pre-Disposition Investigation |
| 11 Court Intake Services | 50 Privatization |
| 12 Crisis Intervention | 51 Probation services |
| 13 Day treatment centers | 52 Prosecutor Services |
| 14 Defender Services | 53 Recreation |
| 15 Detention - Home | 54 Research |
| 16 Detention - Nonsecure residential | 55 Residential Program--community based |
| 17 Detention - Secure residential | 56 Residential Program--noncommunity based
(e.g., state, forestry camps, etc.) |
| 18 Diversion - Court | 57 Service Coordination |
| 19 Diversion - Police | 58 Sex Offenders Programs |
| 20 Drugs - Control | 59 Standards |
| 21 Drugs - Prevention | 60 Subsidies |
| 22 Drugs - Treatment | 61 Systems Coordination |
| 23 Education - Alternative School | 62 Technical Assistance |
| 24 Education - Learning Disabilities | 63 Training - Corrections |
| 25 Education - LRE | 64 Training - Court |
| 26 Education - Other | 65 Training - General |
| 27 Electronic Monitoring | 66 Training - Police |
| 28 Employment | 67 Training - Volunteers |
| 29 Evening Report Centers | 68 Transportation |
| 30 Evaluation - Diagnostic | 69 Victim Services |
| 31 Evaluation - Program | 70 Youth Advocacy |
| 32 Family Counseling | 71 Youth Attendants |
| 33 Foster Care | 72 Youth Service Bureau |
| 34 Health Services | 73 Other (Please specify) _____ |
| 35 Holdover | |
| 36 Homemaker Services | |
| 37 Litigation | |
| 38 Mentor | |
| 39 Outreach | |

APPENDIX C: GLOSSARY

This glossary of terms used in the performance report forms and instructions is offered to help the writer and to assist in standardization of the reports.

Accomplishments. Actual outcomes or consequences that can be contributed to the project's activities and operations.

Advanced Techniques. A specific set of Project Descriptors listed in Section 223(a)(10) of the Act.

Award. Dollar amount allocated or granted to project for financial support.

Effectiveness. Judgement of how well a particular project met or fulfilled all of its intended objectives/goals, usually based on observable outcomes.

Evaluation/Program evaluation. Research conducted to examine how well project goals are completed; usually based on observable data or events.

Expenditure. Actual dollar amount used or spent by the project (drawn out of awards).

Experimental. Research study that controls the selection of respondents or manipulates the situation being studied. This usually entails using random assignment or an unbiased selection technique to establish comparison groups (i.e., treatment group and control group). The term quasi-experimental indicates a lesser degree of this type of control.

Federal Fiscal Year (FFY). Begins on October 1 and ends on following September 30.

Form A. Formatted document to collect information on a State's progress toward achieving its goals set forth in the State Plan. Focuses on program area achievements.

Form B. Formatted document to collect information on subgrantee project information regarding funding and effectiveness.

Formula Grant Funds. Dollars received by states from OJJDP, used to assist in state juvenile justice, delinquency prevention, and JJDP Act compliance activities. For the performance reports, formula grant funds refers to all dollars spent on programs regardless of year, unless otherwise specified.

Goal. Statement of problem to be addressed by activities outlined in three-year plan and plan updates. Completion of goals are used as means of gauging success/effectiveness of program areas.

Objectives. Specified, planned activities indicating both the kind and amount of action to be worked toward or striven for. These are derived from more general and abstract goals.

Outcome Measures. See Accomplishments.

Performance Indicators. A predetermined measuring scale, gradation, or continuum used for both setting objectives and to measuring accomplishments.

Program. A procedure or group of activities established to solve a problem.

Program Areas. Mutually exclusive categories used to classify State goals and activities. The Program Areas are based upon specific stages in the juvenile justice system. See Appendix A for examples.

Project. Planned undertaking requiring concerted effort.

Project Descriptors. List of one or more category labels used to describe project activities and goals.

Reporting Year. A twelve month period selected by the state upon which all Performance Report information is based. Can be the federal fiscal year, state fiscal year, or a calendar year (if different from the state fiscal year)

SAG Allocation. Dollars allocated to SAG activities.

SPA. State Planning Agency.

State Match. Funding from local or state sources which match and supplement the Formula Grant Funds utilized, particularly planning and administration funds.

Status. Statement commenting upon the stage of progress or development toward stated goals.

Sub-Grantee. Recipient of Formula Grant funds distributed by State Grantee to operate and maintain a JJDP program or project.

Target Population/Clients. End-users or recipients of the project's activities and products; includes clients, detainees, law enforcement agencies, etc.

APPENDIX D: EXAMPLES OF COMPLETED FORMS

PROGRAM AREA SUMMARY

(A) GOALS (from state plan or plan update)	(B) ACHIEVEMENTS	(C) SPA INVOLVEMENT*	(D) STATUS**
(1) To increase reductions in the use of detention for status offenders by improving the accessibility, quality, and range of nonsecure options.	(1a) Legislation was passed prohibiting the use of secure detention for CHINS. (1b) Shelters were developed in two cities, leading to a 78 percent reduction in statewide Deinstitutionalization of Status Offenders rates. (1c) A statewide Deinstitutionalization of Status Offenders Conference was conducted for juvenile court, and law enforcement personnel, and others.	1, 4, 5, 6	3

I-1

* (C) SPA INVOLVEMENT

- (1) Fund Project
- (2) Manage Project
- (3) Staff Project
- (4) Provide Technical Assistance
- (5) Coordinate Resources
- (6) Support Legislation
- (7) Other—please specify

* (D) STATUS

- (1) Fully accomplished, remains priority
- (2) Fully accomplished, no longer a priority
- (3) Partially accomplished, mission continues
- (4) Partially accomplished, no further effort
- (5) No progress, remains a priority
- (6) No progress, no longer a priority (explanation requested)

Short Title Data Base Development

PROGRAM AREA SUMMARY

Standard Program Area (13) Systems Improvement

Three-Year Plan Cycle FY 88-90

(A) GOALS (from state plan or plan update)	(B) ACHIEVEMENTS	(C) SPA INVOLVEMENT*	(D) STATUS**
<p>(1) To improve the quality, quantity, and availability of data used by state and local decision-makers for planning and evaluating JJDP services/programs.</p>	<p>(1) Standardized the data collection instrument/process for detention facilities.</p> <p>(2) Established a Statewide Client Tracking Information System Committee and began system development.</p> <p>(3) Passed legislation authorizing a \$250,000 appropriation for a Statewide Client Tracking Information System.</p>	<p>1, 2, 3, 5, 6</p>	<p>3</p>

* (C) SPA INVOLVEMENT

- (1) Fund Project
- (2) Manage Project
- (3) Staff Project
- (4) Provide Technical Assistance
- (5) Coordinate Resources
- (6) Support Legislation
- (7) Other--please specify

* (D) STATUS

- (1) Fully accomplished, remains priority
- (2) Fully accomplished, no longer a priority
- (3) Partially accomplished, mission continues
- (4) Partially accomplished, no further effort
- (5) No progress, remains a priority
- (6) No progress, no longer a priority (explanation requested)

FORM B
SUBGRANTEE PROJECT REPORT FORM

Page No. 1

State Example

Reporting Period 6/1/90 6/30/91
(from) (to)

(1) SUBGRANTEE NAME Abernathy House

(2a) PROJECT NAME Bay City Shelter

(2b) STATE AWARD NUMBER 90-JJ432-A

(3) (a) STATE DESIGNATOR JJDP-3 (b) SHORT TITLE Community Based Services (c) PROGRAM AREA (03) DSO

(4) PROJECT DESCRIPTOR(S) 16 29 38 68

(5a) THIS PROJECT IS DETERMINED TO BE AN ADVANCED TECHNIQUE AS DEFINED IN SECTION 223(a)(10) OF THE JJDP ACT.
 yes no

(5b) FUNDS FOR THIS PROJECT WERE APPLIED TO JJDP ACT PASS THROUGH REQUIREMENT AS DEFINED IN SECTION 223(a)(5).
 yes no

(6) DO YOU CONSIDER THIS SUBGRANTEE PROJECT AS ONE OF THE THREE MOST SUCCESSFUL IN THE STATE OUT OF ALL THOSE EXPENDING FUNDS DURING THIS REPORT PERIOD?
 yes no

(7) (a) Date Funds Awarded: 5/15/90 (b) Subgrant Period: 7/1/90 6/30/91
(from) (thru)

(8) FORMULA GRANT EXPENDITURES DURING THE REPORT PERIOD BY FORMULA GRANT AWARD SOURCE YEAR

Award Year	Expenditure (\$)
1986 Formula Grant	_____
1987 Formula Grant	_____
1988 Formula Grant	_____
1989 Formula Grant	_____
1990 Formula Grant	<u>\$23,525.00</u>
1991 Formula Grant	_____

(9) TYPE OF SUBGRANTEE

<input type="checkbox"/> State Government	<input checked="" type="checkbox"/> Private-Non Profit
<input type="checkbox"/> Local Government	<input type="checkbox"/> Private-For profit
<input type="checkbox"/> Indian Tribe-On Reservation	<input type="checkbox"/> Other
<input type="checkbox"/> Indian Tribe-Off Reservation	

(10) PROJECT OBJECTIVE(S)

(11) PROJECT ACCOMPLISHMENT(S)

(1) Develop an evening report center to service about 12 youths/month.

(1) Report center developed; organize 7 referrals month.

(2) Enhance Family Crisis Intervention Capability.

(2) New procedures developed for CI

(3) Fund training for new staff.

(3) Three new staff trained.

(4) Subsidize van purchase for evening report center.

(4) \$2,000 of award set aside to assesst in purchase of van.

FORM B
SUBGRANTEE PROJECT REPORT FORM

Page No. 2

State Example

Reporting Period 7/1/90 6/30/91
(from) (to)

- (1) SUBGRANTEE NAME State University
- (2a) PROJECT NAME Detention Data System Automation
- (2b) STATE AWARD NUMBER 90-JJ441-A
- (3) (a) STATE DESIGNATOR JJDP-12 (b) SHORT TITLE Data Base Development (c) PROGRAM AREA (13) Systems Improvement
- (4) PROJECT DESCRIPTOR(S) 43 09 61
- (5a) THIS PROJECT IS DETERMINED TO BE AN ADVANCED TECHNIQUE AS DEFINED IN SECTION 223(a)(10) OF THE JJDP ACT.
 yes no
- (5b) FUNDS FOR THIS PROJECT WERE APPLIED TO JJDP ACT PASS THROUGH REQUIREMENT AS DEFINED IN SECTION 223(a)(5).
 yes no
- (6) DO YOU CONSIDER THIS SUBGRANTEE PROJECT AS ONE OF THE THREE MOST SUCCESSFUL IN THE STATE OUT OF ALL THOSE EXPENDING FUNDS DURING THIS REPORT PERIOD?
 yes no
- (7) (a) Date Funds Awarded: 5/15/90 (b) Subgrant Period: 7/1/90 6/30/91
(from) (thru)
- (8) FORMULA GRANT EXPENDITURES DURING THE REPORT PERIOD BY FORMULA GRANT AWARD SOURCE YEAR.

Award Year	Expenditure (\$)
1986 Formula Grant	_____
1987 Formula Grant	_____
1988 Formula Grant	_____
1989 Formula Grant	<u>\$12,500</u>
1990 Formula Grant	_____
1991 Formula Grant	_____

- (9) TYPE OF SUBGRANTEE
- | | |
|---|---|
| <input checked="" type="checkbox"/> State Government | <input type="checkbox"/> Private-Non Profit |
| <input type="checkbox"/> Local Government | <input type="checkbox"/> Private-For profit |
| <input type="checkbox"/> Indian Tribe-On Reservation | <input type="checkbox"/> Other |
| <input type="checkbox"/> Indian Tribe-Off Reservation | |

(10) PROJECT OBJECTIVE(S)

(1) Develop a computer program to enter, compile, and present aggregates juvenile detention center admission data.

(2) Design data collection/detention intake instrument.

(11) PROJECT ACCOMPLISHMENT(S)

(1) Program completed but not yet tested.

(2) Finalized 3/91.

FORM C
SUMMATION OF FUNDING ACTIVITY BY FISCAL
YEAR AWARD

STATE Example ENDING DATE 6/30/91

	1986	1987	1988	1989	1990	1991
(A) TOTAL FORMULA GRANT FUNDING						
(1) Total Formula Grants Awarded	\$ _____	\$ _____	\$ 535,000	\$ 535,000	\$ 535,000	\$ 535,000
(2) Total Formula Grant Awards Expended to Date	\$ _____	\$ _____	\$ 535,000	\$ 520,000	\$ 287,142	\$ 0
(B) STATE ADVISORY GROUP						
(2) SAG Allotment	\$ _____	\$ _____	\$ 26,750	\$ 26,750	\$ 26,750	\$ 26,750
(3) Non-SAG Allotment (line 1 less line 3)	\$ _____	\$ _____	\$ 508,250	\$ 508,250	\$ 508,250	\$ 508,250
(4) SAG Allotment expended to date	\$ _____	\$ _____	\$ 26,750	\$ 26,750	\$ 8,430	\$ 0
(C) PLANNING AND ADMINISTRATION (P&A)						
(6) Formula Grants to P&A expended to date	\$ _____	\$ _____	\$ 38,100	\$ 38,100	\$ 19,050	\$ 0
(7) State Match to P&A Fund expended to date	\$ _____	\$ _____	\$ 38,100	\$ 38,100	\$ 19,050	\$ 0
(D) ADVANCED TECHNIQUES						
(8) Funds expended to date spent on advanced techniques	\$ _____	\$ _____	\$ 418,135	\$ 412,130	\$ 143,000	\$ 0
(E) LOCAL PASS-THROUGH						
(9) Total passed to local level (cumulative to date)	\$ _____	\$ _____	\$ 371,113	\$ 362,180	\$ 114,000	\$ 0
(F) EQUITABLE DISTRIBUTION						
(11) Were funds equitably distributed?	<input checked="" type="checkbox"/> yes <input type="checkbox"/> no					
(12) On what basis are funds equitably distributed? (Check all options that apply)	<input type="checkbox"/> general population distribution <input type="checkbox"/> disadvantaged or minority population distribution <input type="checkbox"/> geographical area, region, or district <input type="checkbox"/> economic need <input type="checkbox"/> crime statistics <input checked="" type="checkbox"/> other <u>Geographic weighting based on a number of risk factors</u> <input type="checkbox"/> other _____					
(13) What procedures or mechanisms ensure equitable distribution? (Check all options that apply)	<input checked="" type="checkbox"/> via a Request for Proposal process <input checked="" type="checkbox"/> an open competitive process <input checked="" type="checkbox"/> application review or approval process <input checked="" type="checkbox"/> supervisory and advisory functions of SAG or other agency <input type="checkbox"/> other _____ <input type="checkbox"/> other _____					

FORM D
STATE ADVISORY GROUP ACTIVITIES

STATE Example REPORTING PERIOD (from) 7/1/90 (thru) 6/30/91

- (1) How did the SAG submit their recommendation to the Governor and State legislators during the reporting period?
- Report to governor
 - Separate report to legislature
- (2) If applicable, how was the SAG involved with the state's compliance monitoring efforts?
- State divided into regions. When necessary, SAG members will assist in on-site verification. All members have been trained for this activity.
 - Monitoring Subcommittee reviews annual report and make recommendation to larger SAG.
- (3) A. Were youth representatives on SAG active during the reporting period (e.g., attend meetings)?
X yes ___ no
- B. Number of youth representatives on SAG 4
- C. How does the SAG contact and seek regular input from juveniles currently under the jurisdiction of the juvenile justice system?
- Statewide Conference for Youth
 - SAG members set aside time during compliance monitoring verification to interview youths according to established interview guidelines. Findings used to develop problem statements.
- (4) How often did the SAG meet during the reporting period?
4 times (quarterly)
- (5) How did the SAG review and update the Three-Year State Plan?
3 Day Planning Retreat to review plan and new data, develop problem statements, goals, objections, etc.
- (6) If the SAG was advisory only, describe the activities designed to facilitate coordination between the SAG and the State Supervisory Board.
- N/A
- (7) Provide a one paragraph description, based on the most recent data available, of the extent to which your state complies with Section 223 of the JJDP Act and with the plan submitted by the state for the fiscal year.

See attached sheet

(Please attach additional sheets as necessary)

FORM D (#7 Continued)

The state's primary program emphasis during the reporting period were: (1) the deinstitutionalization of status offenders; (2) primary prevention; and (3) system's improvement. The state is already in compliance with the jail removal and separation provisions of the Act [Sections 223(a)(13)&(14)]. Toward these priorities, the state has: developed secure alternatives to traditional secure detention, contributing to a 78 percent reduction in status offender detention since last year; developed a statewide LRE program which will be picked up by 27 school districts starting in 1993; and begun a statewide client tracking system for use by the State Planning Agency, the Administrative Office of the Courts, and Local Juvenile Courts.