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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Office of Juvenile Justice and Delinquency Prevention](#) (OJJDP) is pleased to announce that it is seeking applications for its Fiscal Year (FY) 2012 Enforcing Underage Drinking Laws Field-Initiated Research and Evaluation Program. This program furthers DOJ's mission by funding field-initiated studies and evaluations to inform our understanding of the factors that impact the prevention of underage drinking, the enforcement of underage drinking laws, and individuals' and communities' attitudes and behaviors about underage drinking.

## OJJDP FY 2012 Enforcing Underage Drinking Laws Field-Initiated Research and Evaluation Program

### Eligibility

Eligible applicants are limited to states (including territories), units of local government (including federally recognized tribal governments, as determined by the Secretary of the Interior), nonprofit and for-profit organizations (including tribal nonprofit and for-profit organizations), and institutions of higher education (including tribal institutions of higher education). For-profit organizations must agree to forgo any profit or management fee. (See Eligibility, page 3.)

### Deadline

Applicants must register with [Grants.gov](#) prior to submitting an application. (See How To Apply, page 9.) All applications are due by 11:59 p.m. eastern time on June 4, 2012. (See Deadlines: Registration and Application, page 3.)

### Contact Information

For technical assistance with submitting an application, contact the Grants.gov Customer Support Hotline at 800-518-4726, 606-545-5035, or via e-mail to [support@grants.gov](mailto:support@grants.gov). **Note:** Hotline hours of operation are 24 hours a day, 7 days a week, except federal holidays.

For assistance with any other requirements of this solicitation, contact the Justice Information Center (JIC) at 1-877-927-5657, via e-mail to [JIC@telesishq.com](mailto:JIC@telesishq.com), or by [live Web chat](#). JIC hours of operation are 8:30 a.m. to 5:00 p.m. eastern time, Monday through Friday, and 8:30 a.m. to 8:00 p.m. eastern time on the solicitation close date.

Grants.gov number assigned to this announcement: OJJDP-2012-3299

**Release Date: April 18, 2012**

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# OJJDP FY 2012 Enforcing Underage Drinking Laws Field-Initiated Research and Evaluation Program (CFDA #16.541)

## Overview

OJJDP's Enforcing Underage Drinking Laws (EUDL) Field-Initiated Research and Evaluation (FIRE) Program will support methodologically rigorous research and evaluation studies that inform policy and practice consistent with the Department of Justice's mission. OJJDP will fund field-initiated studies to understand the factors that influence the prevention of underage drinking, the enforcement of underage drinking laws, and individuals' and communities' attitudes and behaviors about underage drinking.

The FY 2012 EUDL FIRE Program will be authorized by the Department of Justice Appropriations Act, Pub. L. No. 112-55, 125 Stat. 552, 617.

## Deadlines: Registration and Application

Applicants must register with Grants.gov prior to submitting an application. OJP encourages applicants to register several weeks before the application submission deadline. In addition, applicants are urged to submit applications **at least 72 hours prior** to the due date of the application to allow time to receive the validation message and to correct any problems that may have caused a rejection notification. The deadline to apply for funding under this announcement is 11:59 p.m. eastern time on June 4, 2012. See How To Apply, page 9, for details.

## Eligibility

Eligible applicants are limited to states (including territories), units of local government (including federally recognized tribal governments, as determined by the Secretary of the Interior), nonprofit and for-profit organizations (including tribal nonprofit and for-profit organizations), and institutions of higher education (including tribal institutions of higher education). For-profit organizations must agree to forgo any profit or management fee.

OJJDP welcomes joint applications from two or more eligible applicants; however, one applicant must be clearly indicated as the primary applicant (for correspondence, award, and management purposes) and the others indicated as co-applicants.

## Program-Specific Information

The Juvenile Justice and Delinquency Prevention Act of 1974 established OJJDP to support state and local efforts to prevent juvenile delinquency, to improve the juvenile justice system response to delinquency, and to protect children from victimization. OJJDP's EUDL program helps the 50 states, the District of Columbia, and the 5 U.S. territories to enforce underage drinking laws and prevent underage persons from consuming alcohol (see [www.ncjrs.gov/pdffiles1/ojjdp/227469.pdf](http://www.ncjrs.gov/pdffiles1/ojjdp/227469.pdf) for more information). The EUDL Field-Initiated Research and Evaluation Program will fund field-initiated studies that inform policy and practice consistent with EUDL's mission.

Recipients of federal funds awarded under this solicitation must budget only for those costs directly associated with the conduct of research and/or evaluation related tasks. Funds are not available under this solicitation for the delivery of program or enforcement services.

## **Purpose**

Research has shown that persons younger than 21 years old who consume alcohol are more likely to experience academic problems (absenteeism and academic failure); social problems (fighting and lack of participation in youth activities); unwanted, unplanned, and unprotected sexual activity; physical and sexual assault; risk of suicide and homicide; alcohol-related accidents; and abuse of other drugs.<sup>1</sup> OJJDP will support research that promises to inform what is understood about the factors that influence the prevention of underage drinking, the enforcement of underage drinking laws, and individuals' and communities' attitudes and behaviors about underage drinking.

Applicants must clearly indicate a central research question and propose a comprehensive and logical research methodology. Additionally, applicants should clearly articulate how the proposed study will fill a gap in the research on underage drinking prevention and/or enforcement and how the anticipated findings will inform state and local efforts to enforce underage drinking laws.

OJJDP is committed to assessing promising program approaches to: (1) identify effective strategies and interventions, and (2) determine when widely used approaches are not producing the intended, positive outcomes for youth. OJJDP strongly encourages applicants proposing to conduct impact analyses to utilize the most rigorous evaluation design feasible to maximize the likelihood the investigation will produce definitive results regarding program outcomes.

## **Goals, Objectives, and Deliverables**

The goal of the FY 2012 EUDL FIRE Program is to foster new and ongoing rigorous, scientific research and evaluation that has practical applications for the prevention of underage drinking and the enforcement of underage drinking laws.

**Objectives.** OJJDP encourages applicants to propose research questions and/or evaluation studies that are consistent with the goals and objectives of this solicitation. Applicants may address one or more of the following research and evaluation objectives or propose and justify their own area of investigation:

- In some states, underage drinking is a civil offense; in other states, it is a criminal offense. How does the variance among state laws, policies, and practices impact individuals' and communities' attitudes and behaviors in regard to underage drinking? How does the type of offense an underage individual is charged with and the subsequent differential sanctions and treatment they receive impact youth outcomes?
- Enforcement of underage drinking laws uses significant law enforcement resources and consequently may be relegated to a lower priority when compared to "serious" crime. What

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<sup>1</sup>U.S. Department of Health and Human Services. 2007. The Surgeon General's Call to Action to Prevent and Reduce Underage Drinking. Rockville, MD: U.S. Department of Health and Human Services. Available at [www.surgeongeneral.gov/topics/underagedrinking/](http://www.surgeongeneral.gov/topics/underagedrinking/).

is the cost/benefit relationship between enforcing underage drinking laws and individual and public safety?

- An individual's perceptions about alcohol and its effects may influence his or her drinking behavior, including whether he or she begins to drink and how much. Individual perceptions also influence adult and community attitudes and behaviors related to their willingness to provide underage individuals access to alcohol and to accept or tolerate underage drinking. What developmentally and culturally appropriate strategies and interventions are most effective in changing individuals' and communities' attitudes and behaviors?
- Environmental interventions are intended to reduce commercial and social availability of alcohol and/or reduce driving while intoxicated. These strategies may include server training and compliance monitoring in venues that sell alcohol; deterring adults from purchasing alcohol for minors or providing alcohol to minors; restricting drinking in public places and preventing underage drinking parties; enforcing penalties for the use of false IDs, driving while intoxicated, and violating zero-tolerance laws; and raising public awareness of policies and sanctions. What elements of these interventions are most effective and/or least effective at changing attitudes and behavior?
- To develop and implement effective policies, programs, and interventions to reduce underage drinking and enforce underage drinking laws, states must continually monitor the extent of the problem and its contributing factors, consequences, and trends. To what extent do existing federal and state data sets provide the information and data states need to assess the breadth and scope of the issue? What recommendations may be made to improve or refine analysis and reporting and expand or refocus data collection efforts to close gaps in existing knowledge?
- Many schools and campuses have zero tolerance discipline policies in effect that mandate specific sanctions for alcohol-related infractions (such as suspensions or expulsions). Additionally, school resource officers and campus police are often involved in disciplinary actions and sanctions. What types of school or campus disciplinary responses for alcohol offenses are effective in preventing and intervening in underage drinking? What impact do zero tolerance alcohol policies in schools/campuses have on youth outcomes?

In addition to those above, many research questions still must be answered about underage drinking and its prevention. These gaps in knowledge must be filled to increase the effectiveness of efforts to prevent and reduce underage alcohol use. OJJDP will support research that addresses unanswered questions and increases the efficacy and cost effectiveness of prevention and enforcement efforts.

**Deliverables.** Proposals should contain a description of all products that the grantee will produce from the project. Successful applicants will submit relevant reports and deliverables to OJJDP. These will be a part of their progress reporting or special reports and include the following:

- Practitioner-friendly overview document(s) highlighting the project's goals and objectives, as OJJDP requires. (Refer to: OJJDP News @ a Glance and JuvJust publications for examples of the type of documents requested, [www.ojjdp.gov/enews/enews.html](http://www.ojjdp.gov/enews/enews.html).)

- Practitioner-friendly interim report(s) highlighting the project's progress and interim findings, as OJJDP requires.
- A detailed progress report to OJJDP semiannually, describing the status of the evaluation, methodological and implementation issues, progress toward the project goals, and any other issues that are relevant to the study's completion.
- A final, detailed report documenting the project and its findings. This publication should include an executive summary and be suitable for a nontechnical audience, to be disseminated at OJJDP's discretion.
- A final, technical journal article highlighting key findings suitable for publication in a refereed journal.

Publication and dissemination of all reports and related products is at the discretion of OJJDP.

### **Evidence-based Programs or Practices**

OJP considers programs and practices to be evidence-based when their effectiveness has been demonstrated by causal evidence (generally obtained through one or more outcome evaluations). Causal evidence documents a relationship between an activity or intervention (including technology) and its intended outcome, including measuring the direction and size of a change, and the extent to which a change may be attributed to the activity or intervention. Causal evidence depends on the use of scientific methods to rule out, to the extent possible, alternative explanations for the documented change. The strength of causal evidence, based on the factors described above, will influence the degree to which OJP considers a program or practice to be evidence-based. OJP's [CrimeSolutions.gov](http://CrimeSolutions.gov) and OJJDP's [Model Program Guide](#) Web sites are two resources that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services.

### **Amount and Length of Awards**

OJJDP expects to award multiple grants under this solicitation that will range from \$100,000 to \$500,000 for a project period of as long as 36 months. Applicants should specify the requested award amount (as much as \$500,000) and the proposed project period. This amount is for the entire award period. OJJDP will make no additional awards to successful applicants in subsequent years.

Award recipients are to use all funds under this program in direct support of research and evaluation expenses. Grantees cannot use funds to support training, program development, or the provision of services (i.e., program implementation). However, they may use funds to evaluate training, prevention, and intervention programs.

All awards are subject to the availability of appropriated funds and to any modifications or additional requirements that may be imposed by law.

### **Budget Information**

**Limitation on Use of Award Funds for Employee Compensation; Waiver:** With respect to any award of more than \$250,000 made under this solicitation, federal funds may not be used to

pay total cash compensation (salary plus bonuses) to any employee of the award recipient at a rate that exceeds 110% of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year. The 2012 salary table for SES employees is available at [www.opm.gov/oca/12tables/indexSES.asp](http://www.opm.gov/oca/12tables/indexSES.asp). Note: A recipient may compensate an employee at a higher rate, provided the amount in excess of this compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.)

The limitation on compensation rates allowable under an award may be waived on an individual basis at the discretion of the OJJDP Administrator. An applicant requesting a waiver should include a detailed justification in the budget narrative of its application. Unless the applicant submits a waiver request and justification with the application, the applicant should anticipate that OJP will request the applicant to adjust and resubmit its budget.

The justification should include the particular qualifications and expertise of the individual, the uniqueness of the service being provided, the individual's specific knowledge of the program or project being undertaken with award funds, and a statement explaining that the individual's salary is commensurate with the regular and customary rate for an individual with his/her qualifications and expertise, and for the work to be done.

**Minimization of Conference Costs.** No OJP funding can be used to purchase food and/or beverages for any meeting, conference, training, or other event. Exceptions to this restriction may be made only in cases where such sustenance is not otherwise available (i.e., extremely remote areas), or where a special presentation at a conference requires a plenary address where there is no other time for sustenance to be obtained. Such an exception would require prior approval from OJP. This restriction does not apply to water provided at no cost, but does apply to any and all other refreshments, regardless of the size or nature of the meeting. Additionally, this restriction does not impact direct payment of per diem amounts to individuals in a travel status under your organization's travel policy.

Updated Department of Justice and OJP guidance on conference planning, minimization of costs, and conference cost reporting will be forthcoming and will be accessible on the OJP website at [www.ojp.usdoj.gov/funding/funding.htm](http://www.ojp.usdoj.gov/funding/funding.htm).

**Costs Associated with Language Assistance (if applicable).** If an applicant proposes a program or activity that would deliver services or benefits to individuals, the costs of taking reasonable steps to provide meaningful access to those services or benefits by individuals with limited English proficiency may be allowable costs. Reasonable steps to provide meaningful access to services or benefits may include interpretation or translation services where appropriate.

For additional information, see the "Civil Rights Compliance" section of the OJP "Other Requirements for OJP Applications" Web page ([www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm)).

**Match Requirement.** This solicitation does not require a match. However, if a successful application proposes a voluntary match amount, the match amount incorporated into the OJP-approved budget becomes mandatory and subject to audit.

## Performance Measures

To assist the Department in fulfilling its responsibilities under the Government Performance and Results Act (GPRA) of 1993, Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111-352, applicants that receive funding under this solicitation must provide data that measure the results of their work done under this solicitation. Any award recipient will be required, post award, to provide the data requested in the “Data Grantee Provides” column so that OJP can calculate values for the “Performance Measures” column. Performance measures for this solicitation are as follows:

Objective	Performance Measure(s)	Description	Data Grantee Provides
To carry out research or evaluation studies that have practical applications that inform what is understood of research questions directly related to EUDL’s mission.	Percentage of research related deliverables (reports, etc.) completed on time.	The number of published research and development products and publications based upon grant funded research or evaluation studies, or training curricula development, during reporting period. Agency records are preferred data source.	Number of deliverables to be submitted to OJJDP (as outlined in the program narrative).  Number of deliverables completed and submitted to OJJDP on time (as determined by the timeline in applicant proposal). Deliverables will differ depending upon the specific project requirements.
	Percentage of deliverables that meet OJJDP’s expectations for depth, breadth, scope and quality of study, and pertinence.		Number of deliverables that meet OJJDP’s expectations for depth, breadth, scope and quality of study, and pertinence, as determined and reported by OJJDP.

Submission of performance measures data is not required for the application. Instead, applicants should discuss in their application their proposed methods for collecting data for performance measures. Refer to the section What an Application Is Expected To Include on page 11 for additional information.

## Human Subjects and Confidentiality Requirements

The following requirements must be met for all applications that propose to conduct research and include human subjects. Research is defined as follows:

**Research** means a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge. Activities that meet this definition constitute research for the purposes of this policy, whether or not they are conducted or supported under a program that is considered research for other purposes. For example, some demonstration and service programs may include research activities. 28 C.F.R. § 46.102(d).

DOJ regulations (28 C.F.R. Part 46) protect the human subjects of federally funded research. In brief, 28 C.F.R. Part 46 requires that most research involving human subjects that is conducted or supported by a federal department or agency be reviewed and approved by an Institutional



Review Board (IRB), in accordance with the regulations, before federal funds are expended for that research. As a rule, persons who participate in federally funded research must provide their "informed consent" and must be permitted to terminate their participation at any time. Funding recipients, before they will be allowed to spend OJP funds on any research activity involving human subjects, must submit appropriate documentation to OJP showing compliance with 28 C.F.R. Part 46 requirements, as requested by OJP.

DOJ regulations (28 C.F.R. Part 22) require recipients of OJP funding to submit a Privacy Certificate as a condition of approval of any grant application or contract proposal that contains a research or statistical component under which "information identifiable to a private person" will be collected, analyzed, used, or disclosed. The funding recipient's Privacy Certificate includes a description of its policies and procedures to be followed to protect the confidentiality of identifiable data. 28 C.F.R. § 22.23. The Department's regulations provide, among other matters, that: "Research or statistical information identifiable to a private person may be used only for research or statistical purposes." 28 C.F.R. § 22.21. Moreover, any private person from whom information identifiable to a private person is collected or obtained (either orally or by means of written questionnaire or other document) must be advised that the information will only be used or disclosed for research or statistical purposes and that compliance with the request for information is voluntary and may be terminated at any time. 28 C.F.R. § 22.27.

Applicants selected for an award will be required to submit all appropriate IRB and privacy documents prior to spending OJP funds for research-related activities.

## **Notice of Post-Award FFATA Reporting Requirement**

Applicants should anticipate that OJP will require all recipients (other than individuals) of awards of \$25,000 or more under this solicitation, consistent with the Federal Funding Accountability and Transparency Act of 2006 (FFATA), to report award information on any first-tier subawards totaling \$25,000 or more, and, in certain cases, to report information on the names and total compensation of the five most highly compensated executives of the recipient and first-tier subrecipients. Each applicant entity must ensure that it has the necessary processes and systems in place to comply with the reporting requirements should it receive funding. Reports regarding subawards will be made through the FFATA Subaward Reporting System (FSRS), found at [www.fsrs.gov](http://www.fsrs.gov).

Please note also that applicants should anticipate that no subaward of an award made under this solicitation may be made to a subrecipient (other than an individual) unless the potential subrecipient acquires and provides a Data Universal Numbering System (DUNS) number.

## **How To Apply**

Applications will be submitted through Grants.gov. Grants.gov is a "one-stop storefront" that provides a unified process for all customers of federal awards to find funding opportunities and apply for funding. Complete instructions on how to register and submit an application can be found at [www.Grants.gov](http://www.Grants.gov). If the applicant experiences technical difficulties at any point during this process, call the Grants.gov Customer Support Hotline at 800-518-4726, 606-545-5035, or via e-mail to [support@grants.gov](mailto:support@grants.gov), 24 hours a day, 7 days a week, except federal holidays. Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take up to several weeks** for first-time registrants to receive confirmation and a user password. OJP highly recommends that applicants start the registration process as early as

possible to prevent delays in submitting an application package by the specified application deadline.

All applicants are required to complete the following steps:

- 1. Acquire a Data Universal Numbering System (DUNS) number.** In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS number in their applications for a new award or renewal of an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and keeping track of entities receiving federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Obtain a DUNS number by calling Dun and Bradstreet at 866–705–5711 or by applying online at [www.dnb.com](http://www.dnb.com). A DUNS number is usually received within 1-2 business days.
- 2. Acquire or renew registration with the Central Contractor Registration (CCR) database.** OJP requires that all applicants (other than individuals) for federal financial assistance maintain current registrations in the CCR database. An applicant must be registered in the CCR to successfully register in Grants.gov. The CCR database is the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. Organizations that have previously submitted applications via Grants.gov are already registered with CCR, as it is a requirement for Grants.gov registration. Note, however, that applicants must **update or renew their CCR registration annually** to maintain an active status. Information about CCR registration procedures can be accessed at [www.ccr.gov](http://www.ccr.gov).
- 3. Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. The applicant organization's DUNS number must be used to complete this step. For more information about the registration process, go to [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).
- 4. Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. Note that there can be more than one AOR for the organization.
- 5. Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance number for this solicitation is 16.541, titled "Part E – Developing, Testing and Demonstrating Promising New Programs," and the funding opportunity number is OJJDP-2012-3299.
- 6. Complete the Disclosure of Lobbying Activities.** All applicants must complete this information. An applicant that expends any funds for lobbying activities must provide the detailed information requested on the form, *Disclosure of Lobbying Activities*, (SF-LLL). An applicant that does not expend any funds for lobbying activities should enter "N/A" in the required highlighted fields.

7. **Submit an application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive an e-mail validation message from Grants.gov. The validation message will state whether the application has been received and validated, or rejected, with an explanation. **Important:** Applicants are urged to submit applications **at least 72 hours prior** to the due date of the application to allow time to receive the validation message and to correct any problems that may have caused a rejection notification.

**Note: Grants.gov will forward the application to OJP’s Grants Management System (GMS). GMS does not accept executable file types as application attachments.** These disallowed file types include, but are not limited to, the following extensions: “.com,” “.bat,” “.exe,” “.vbs,” “.cfg,” “.dat,” “.db,” “.dbf,” “.dll,” “.ini,” “.log,” “.ora,” “.sys,” and “.zip.”

**Note: Duplicate Applications.** If an applicant submits multiple versions of an application, OJJDP will review the most recent version submitted.

### **Experiencing Unforeseen Grants.gov Technical Issues**

If an applicant experiences unforeseen Grants.gov technical issues beyond the applicant’s control that prevent submission of its application by the deadline, the applicant must email the Justice Information Center (see Page 1 for contact information) **within 24 hours after the application deadline** and request approval to submit its application. The applicant must include in the e-mail: a description of the technical difficulties, a timeline of submission efforts, the complete grant application, the applicant DUNS number, and Grants.gov Help Desk tracking number(s) the applicant has received. **Note: Requests are not automatically approved by OJJDP.** After the program office reviews all of the information submitted, and contacts the Grants.gov Help Desk to validate the technical issues reported, OJP will contact the applicant to either approve or deny the request to submit a late application. If the technical issues reported cannot be validated, the application will be rejected as untimely.

To ensure a fair competition for limited discretionary funds, the following conditions are not valid reasons to permit late submissions: (1) failure to begin the registration process in sufficient time, (2) failure to follow Grants.gov instructions on how to register and apply as posted on its Web site, (3) failure to follow all of the instructions in the OJP solicitation, and (4) technical issues experienced with the applicant’s computer or information technology environment, including firewalls.

Notifications regarding known technical problems with Grants.gov, if any, are posted at the top of the OJP funding Web page at [www.ojp.usdoj.gov/funding/solicitations.htm](http://www.ojp.usdoj.gov/funding/solicitations.htm).

### **What an Application Is Expected To Include**

Applicants should anticipate that failure to submit an application that contains all of the specified elements may negatively affect the review of the application; and, should a decision be made to make an award, it may result in the inclusion of special conditions that preclude access to or use of award funds pending satisfaction of the conditions.

Moreover, applicants should anticipate that applications that are unresponsive to the scope of the solicitation, or that do not include application elements designated by OJJDP to be critical, will neither proceed to peer review nor receive further consideration. Under this solicitation,

OJJDP has designated the following application elements as critical: Program Narrative, and a Budget Detail Worksheet or a Budget Narrative.

OJP strongly recommends use of appropriately descriptive file names (e.g., "Program Narrative," "Budget Detail Worksheet and Budget Narrative," "Timelines," "Memoranda of Understanding," "Resumes") for all attachments. OJP recommends that resumes be included in a single file.

## 1. Information to Complete the Application for Federal Assistance (SF-424)

The SF-424 is a standard form used as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and GMS take information from the applicant's profile to populate the fields on this form. When selecting "type of applicant," if the applicant is a for-profit entity, select "For-Profit Organization" or "Small Business" (as applicable). Instructions on completing the SF 424 are available at [www.grants.gov/assets/SF424Instructions.pdf](http://www.grants.gov/assets/SF424Instructions.pdf).

## 2. Program Narrative

Applicants must submit a program narrative that presents a detailed description of the purpose, goals, objectives, strategies, design, and management of the proposed program. The program narrative should be double-spaced with 1-inch margins, not exceeding 30 pages of 8½ by 11 inches, and use a standard 12-point font, preferably Times New Roman. Pages should be numbered "1 of 30," etc. The project abstract, tables, charts, pictures, etc., including all captions, legends, keys, subtext, etc., may be single-spaced, and will count in the 30-page limit. Material required under the Budget and Budget Narrative and Additional Attachments sections will not count toward the program narrative page count. Applicants may provide bibliographical references as a separate attachment that will not count toward the 30-page program narrative limit. If the program narrative fails to comply with these length-related restrictions, noncompliance may be considered in peer review and in final award decisions.

Applicants may provide bibliographical references as a separate attachment that will not count toward the 30-page program narrative limit.

The program narrative should address the following selection criteria: (1) project abstract; (2) statement of the problem; (3) goals, objectives, and performance measures; (4) program design and implementation; and (5) capabilities/competencies. The applicant should clearly delineate the connections between and among each of these sections. For example, the applicant should derive the goals and objectives directly from the problems to be addressed. Similarly, the project design section should clearly explain how the program's structure and activities will accomplish the goals and objectives identified in the previous section.

The following sections should be included as part of the program narrative.

- a. **Project Abstract.** Applicants should include a project abstract as the first page of the program narrative, and it is included in the page limitation specified above. The abstract should not exceed 200 words and briefly describe the project's purpose, identify the population to be served, and summarize the activities that the applicant will implement to achieve the project's goals and objectives. These goals and objectives should focus on short-term and intermediate outcomes (see Goals, Objectives, and Performance

Measures, below). The abstract should describe how the applicant will measure progress toward these goals.

- b. Statement of the Problem.** Applicants must clearly describe the research or evaluation questions they will address. They should discuss how previous research supports and shapes these questions and how the program will address pertinent issues of concern to the areas of juvenile justice, delinquency prevention, and juvenile justice system improvement. Applicants should be clear about how the proposed study will contribute to knowledge and practice in response to the Purpose, Goals, and Objectives of this solicitation (see Program-Specific Information, page 3).

Applicants should describe any research or evaluation studies that relate to the problem and contribute to the applicant's understanding of its causes and potential solutions. While OJJDP expects applicants to review the research literature for relevant studies, they should also explore whether unpublished local sources of research or evaluation data are available.

- c. Goals, Objectives, and Performance Measures.** Applicants should describe the goals of the proposed program and identify its objectives. When formulating the program's goals and objectives, applicants should be cognizant of the performance measures that OJJDP will require successful applicants to provide.

**Goals.** Applicants should clearly state what impact the conduct of this research/evaluation project would have in terms of informing our understanding of research questions directly related to EUDL's mission of preventing underage drinking and enforcing underage drinking laws.

**Program Objectives.** Applicants should explain how the program will accomplish its goals. Objectives are specific, quantifiable statements of the project's desired results. They should be clearly linked to the problem identified in the preceding section and measurable.

**Performance Measures.** OJJDP requires award recipients to report data in support of mandated performance measures for this solicitation (see Performance Measures, page 8.) OJJDP does not require applicants to submit performance measures data with their applications. For the application, applicants should indicate an understanding of these requirements and discuss how they will gather the required data, should they receive funding.

OJJDP encourages award recipients to use information from existing program records to fulfill performance measures reporting requirements rather than initiating new data collection activities for this purpose.

- d. Project Design and Implementation.** Applicants should describe the specific strategies that they will use to implement the proposed research or evaluation.

Design elements should follow directly from the research or evaluation project's goals and objectives, and the data to be collected should clearly support these ends. Applicants should describe the research or evaluation methodology in detail and demonstrate the validity and usefulness of the data that they will collect. Applicants should consider the rigor and soundness of the methodology and analytical and

technical approaches for the proposed research or evaluation and address the feasibility of the proposed project and any potential challenges.

Applicants should address the major activities of their proposed study and how they will implement them. Components should include the following, as applicable:

- linkage, coordination, and cooperation with program partners and sites and OJJDP.
- methodology that clearly identifies the hypotheses to be tested and how the methodology will maximize the applicant's ability to test the hypotheses.
- the study's primary research questions and how they address existing gaps in the literature and will inform future practice.
- recruitment and retention of research subjects, including anticipated challenges and how the applicant will address them.
- description of quantitative and qualitative data collection and analysis methods and the tools to be used, addressing applicant's expertise in these techniques under "Capabilities/ Competencies."
- procedures for collecting, managing, storing, and transmitting data and identifying software and data verification procedures and procedures to remove identifying information from data prior to submission to OJJDP.
- logic model linking evaluation questions, data elements, data sources, data collection strategies, and analytical techniques (see Logic Model, below).

Successful applicants must provide OJJDP with evidence of receipt of IRB clearance prior to collecting data. IRB clearance is not required at application.

This section should also include details regarding any leveraged resources (cash or in-kind) from local sources to support the project and discuss plans for sustainability beyond the grant period.

Applicants should identify any other relevant federal, state, or private foundation grants that serve to support the goals and objectives of this proposed research/evaluation.

**Logic Model.** Applicants should include a logic model that graphically illustrates how the performance measures are related to the project's problems, goals, objectives, and design. Sample logic models are available at [www.ojjdp.gov/grantees/pm/logic\\_models.html](http://www.ojjdp.gov/grantees/pm/logic_models.html). Applicants should submit the logic model as a separate attachment, as stipulated in Additional Attachments, page 16.

**Timeline.** Applicants should submit a realistic timeline or milestone chart that indicates major tasks associated with the goals and objectives of the project, assigns responsibility for each, and plots completion of each task by month or quarter for the duration of the award, using "Year 1," "Month 1," "Quarter 1," etc., not calendar dates (see "Sample Project Timelines" at [ojjdp.gov/grantees/timelines.html](http://ojjdp.gov/grantees/timelines.html)).

Applicants should submit the timeline as a separate attachment, as stipulated in Additional Attachments, page 16. On receipt of an award, the recipient may revise the timeline, based on training and technical assistance that OJJDP will provide.

- e. Capabilities and Competencies.** Applicants should describe the roles and responsibilities of project staff and explain the program's organizational structure and operations. Management and staffing patterns should be clearly connected to the project design described in the previous section. This section should describe the experience and capability of the applicant's organization and any contractors that the applicant will use to implement and manage this effort and its associated federal funding, highlighting any previous experience implementing research and evaluation projects of similar design or magnitude.

**Letters of Support/Memoranda of Understanding.** If submitting a joint application, as described under Eligibility, page 3, applicants should provide signed and dated letters of support or memoranda of understanding for all key partners that include the following:

- expression of support for the program and a statement of willingness to participate and collaborate with it.
- description of the partner's current role and responsibilities in the planning process and expected responsibilities when the program is operational.
- estimate of the percent of time that the partner will devote to the planning and operation of the project.

### 3. Budget Detail Worksheet and Budget Narrative

Applicants should provide a budget that (1) is complete, allowable, and cost-effective in relation to the proposed activities; (2) shows the cost calculations demonstrating how they arrived at the total amount requested; and (3) provides a brief supporting narrative to link costs with project activities. The budget should cover the entire award period.

All funds budgeted under this program are to be used in direct support of research and evaluation expenses (refer to Amount and Length of Awards, page 6, for further guidance).

The budget should include the necessary expenses for travel and lodging for a 2.5 day national training event held in Washington DC.

For questions pertaining to budget and examples of allowable and unallowable costs, see the OJP Financial Guide at [www.ojp.usdoj.gov/financialguide/index.htm](http://www.ojp.usdoj.gov/financialguide/index.htm).

- a. Budget Detail Worksheet.** A sample Budget Detail Worksheet can be found at [www.ojp.gov/funding/forms/budget\\_detail.pdf](http://www.ojp.gov/funding/forms/budget_detail.pdf). Applicants who submit the budget in a different format should include the budget categories listed in the sample budget worksheet. The budget detail worksheet should be mathematically sound.
- b. Budget Narrative.** The Budget Narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. Proposed budgets are expected to be complete; reasonable and allowable; cost-effective; and necessary for project activities. The narrative should be mathematically sound and correspond with the

information and figures the applicant provides in the Budget Detail Worksheet. The narrative should explain how the applicant estimated and calculated all costs and how they are relevant to the completion of the proposed project. The narrative may include tables for clarification purposes but need not be in a spreadsheet format. As with the Budget Detail Worksheet, the Budget Narrative should be broken down by year.

#### **4. Indirect Cost Rate Agreement (if applicable)**

Indirect costs are allowed only if the applicant has a federally approved indirect cost rate. (This requirement does not apply to units of local government.) A copy of the rate approval should be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant federal agency, which will review all documentation and approve a rate for the applicant organization or, if the applicant's accounting system permits, costs may be allocated in the direct cost categories. If DOJ is the cognizant federal agency, obtain information needed to submit an indirect cost rate proposal at [www.ojp.usdoj.gov/funding/pdfs/indirect\\_costs.pdf](http://www.ojp.usdoj.gov/funding/pdfs/indirect_costs.pdf).

#### **5. Tribal Authorizing Resolution (if applicable)**

If an application is being submitted by either (1) a tribe or tribal organization or (2) a third party proposing to provide direct services or assistance to residents on tribal lands, then a current authorizing resolution of the governing body of the tribal entity or other enactment of the tribal council or comparable governing body authorizing the inclusion of the tribe or tribal organization and its membership should be included with the application. In those instances when an organization or consortium of tribes proposes to apply for a grant on behalf of a tribe or multiple specific tribes, then the application should include a resolution (or comparable legal documentation, as may be applicable) from all tribes that will be included as a part of the services/assistance provided under the grant. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without authorizing resolution or other enactment of each tribal governing body) may submit a copy of its consortium bylaws with the application in lieu of tribal resolutions (or comparable legal documentation).

If an applicant is unable to obtain and submit with its application a fully-executed (*i.e.*, signed) copy of a tribal resolution or other, comparable legal documentation as may be consistent with the tribe's governance structure, then, at minimum, the applicant should submit an unsigned, draft version of such legal documentation as part of its application (except in cases where, with respect to a tribal consortium applicant, consortium bylaws allow action without the support of all consortium member tribes). If selected for funding, use of and access to funds will be contingent on receipt of the fully-executed tribal resolution or other, comparable legal documentation.

#### **6. Additional Attachments**

Applicants should submit the following information, as stipulated in the cited pages, as attachments to their application. While the materials listed below are not assigned specific point values, peer reviewers will, as appropriate, consider these items when rating applications. For example, reviewers will consider résumés, job descriptions, and/or letters of support/memoranda of understanding when assessing "Capabilities/Competencies." Peer reviewers will not consider any additional information that the applicant submits other than that specified below.



- logic model (see Logic Model, page 14)
- timeline or milestone chart (see Timeline, page 14)
- résumés of all key personnel
- job descriptions outlining roles and responsibilities for all key positions
- letters of support/memoranda of understanding from partner organizations (see Letters of Support/Memoranda of Understanding, page 15)
- evidence of nonprofit status, e.g., a copy of the tax exemption letter from the Internal Revenue Service, if applicable
- evidence of for-profit status, e.g., a copy of the articles of incorporation, if applicable.

## 7. Other Standard Forms

Additional forms that may be required in connection with an award are available on OJP's funding page at [www.ojp.usdoj.gov/funding/forms.htm](http://www.ojp.usdoj.gov/funding/forms.htm). For successful applicants, receipt of funds may be contingent upon submission of all necessary forms. Note in particular the following forms.

- [Standard Assurances](#). Applicants must read, certify, and submit this form in GMS prior to the receipt of any award funds.
- [Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements](#). Applicants must read, certify, and submit in GMS prior to the receipt of any award funds.
- [Accounting System and Financial Capability Questionnaire](#). (required for any applicant other than an individual that is a non-governmental entity and that has not received any award from OJP within the past 3 years; this form must be downloaded, completed, and submitted.)

## Selection Criteria

The following five selection criteria will be used to evaluate each application, with the different weight given to each based on the percentage value listed after each individual criterion. For example, the first criterion, Statement of the Problem, is worth 20 percent of the entire score in the application review process. Peer reviewers will evaluate and score applications under each criterion in terms of responsiveness to the discussion under Program-Specific Information, page 3, and What an Application Is Expected To Include, page 11.

1. Statement of the Problem (15 percent)
2. Goals, Objectives, and Performance Measures (15 percent)
3. Project Design and Implementation (40 percent)
4. Capabilities and Competencies (20 percent)
5. Budget (complete; reasonable and allowable; cost-effective, and necessary for research/evaluation activities) (10 percent)

## Review Process

OJP is committed to ensuring a fair and open process for awarding grants. OJJDP reviews the application to make sure that the information presented is reasonable, understandable, measurable, and achievable, as well as consistent with the solicitation.

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. OJJDP may use either internal peer reviewers, external peer reviewers, or a combination, to review the applications under this solicitation. An external peer reviewer is an expert in the subject matter of a given solicitation who is NOT a current DOJ employee. An internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. Applications that meet basic minimum requirements will be evaluated, scored, and rated by a peer review panel. Peer reviewers' ratings and any resulting recommendations are advisory only. In addition to peer review ratings, considerations for OJJDP's research award recommendations and decisions include, but are not limited to: (1) appropriateness and strength of research design, (2) planned dissemination of findings, and (3) potential impact on the field. OJJDP may also consider inclusion of underserved populations, geographic diversity, strategic priorities, past performance, and available funding.

The Office of the Chief Financial Officer, in consultation with OJJDP, conducts a financial review of applications for potential discretionary awards to evaluate the fiscal integrity and financial capability of applicants; examines proposed costs to determine if the Budget Detail Worksheet and Budget Narrative accurately explain project costs; and determines whether costs are reasonable, necessary, and allowable under applicable federal cost principles and agency regulations.

All final award decisions will be made by the Administrator of OJJDP, who also may give consideration to factors including, but not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding when making awards.

## Additional Requirements

Applicants selected for awards must agree to comply with additional legal requirements upon acceptance of an award. OJP strongly encourages applicants to review the information pertaining to these additional requirements prior to submitting an application. Additional information for each requirement can be found at [www.ojp.usdoj.gov/funding/other\\_requirements.htm](http://www.ojp.usdoj.gov/funding/other_requirements.htm).

- Civil Rights Compliance
- Civil Rights Compliance Specific to State Administering Agencies
- Faith-Based and Other Community Organizations
- Confidentiality
- Research and the Protection of Human Subjects
- Anti-Lobbying Act

- Financial and Government Audit Requirements
- National Environmental Policy Act (NEPA)
- DOJ Information Technology Standards (if applicable)
- Single Point of Contact Review
- Non-Supplanting of State or Local Funds
- Criminal Penalty for False Statements
- Compliance with [Office of Justice Programs Financial Guide](#)
- Suspension or Termination of Funding
- Nonprofit Organizations
- For-Profit Organizations
- Government Performance and Results Act (GPRA)
- Rights in Intellectual Property
- Federal Funding Accountability and Transparency Act (FFATA) of 2006
- Awards in Excess of \$5,000,000 – Federal Taxes Certification Requirement
- Active CCR Registration

## **Provide Feedback to OJP on This Solicitation**

To assist OJP in improving its application and award processes, we encourage applicants to provide feedback on this solicitation, application submission process, and/or the application review/peer review process. Feedback can be provided to [OJPSolicitationFeedback@usdoj.gov](mailto:OJPSolicitationFeedback@usdoj.gov).

## Appendix: Application Checklist

### OJJDP FY 2012 Enforcing Underage Drinking Laws Field-Initiated Research and Evaluation Program

This application checklist has been created to assist in developing an application.

#### Eligibility Requirements:

- State or territory
- Unit of local government, including federally recognized tribal government
- Nonprofit and for-profit organization, including tribal nonprofit and for-profit organization
- Institution of higher education, including tribal institution of higher education.
- The federal amount requested is within the allowable limit of \$500,000.

#### What an Application Should Include:

- Disclosure of Lobbying Activities, (SF-LLL) (see page 10)
- Application for Federal Assistance (SF 424) (see page 12)
  
- Program Narrative (see page 12)
  - Format (double spaced, 12-point standard font, 1" standard margins, narrative is 30 pages or less)
  - Project Abstract
  - Statement of the Problem
  - Goals, Objectives, and Performance Measures
  - Project Design and Implementation
  - Capabilities/Competencies
  
- Budget Detail Worksheet and Budget Narrative (see page 15)
- Indirect Cost Rate Agreement (if applicable) (see page 16)
- Tribal Authorizing Resolution (if applicable) (see page 16)
  
- Additional Attachments (see page 16)
  - logic model
  - timeline or milestone chart
  - résumés of all key personnel
  - job descriptions for all key positions
  - letters of support/memoranda of understanding from partner organizations
  - evidence of nonprofit status e.g., copy of articles of incorporation, if applicable
  - evidence of for-profit status e.g., copy of tax exemption letter from the Internal Revenue Service, if applicable
  
- Other Standard Forms, Certifications, and Other Components, (see page 17) including:
  - DUNS number
  - CCR registration
  - Certifications
  - Accounting System and Financial Capability Questionnaire