



The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Office of Juvenile Justice and Delinquency Prevention](#) is seeking applications for funding under the OJJDP Fiscal Year (FY) 2014 Tribal Healing to Wellness Court Responses to Underage Drinking Initiative. This initiative furthers DOJ's mission by supporting tribal efforts to develop or enhance Juvenile, Juvenile and Family, or Family Healing to Wellness Court responses to youth younger than 21 years old who possess or consume alcohol.

OJJDP FY 2014 Tribal Healing to Wellness Court Responses to Underage Drinking Initiative

Eligibility

There are two categories of funding available as part of this solicitation.

Category 1: Project Sites. Eligible applicants are limited to federally recognized Indian tribal governments (as determined by the Secretary of the Interior) that are currently operating juvenile, juvenile and family, or family Healing to Wellness Courts. (Tribal youth courts are not eligible.)

Category 2: Training and Technical Assistance. Eligible applicants are limited to 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 may elect to make awards for applications submitted under this solicitation in future fiscal years, dependent on the merit of the applications and on the availability of appropriations.

Deadline

Applicants must register with [Grants.gov](#) prior to submitting an application. (See "How To Apply," page 25.) All applications are due by 11:59 p.m. eastern time on August 1, 2014. (See "Deadlines: Registration and Application," page 4.)

All applicants are encouraged to read this [Important Notice: Applying for Grants in Grants.gov](#).

Contact Information

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

Applicants who experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their applications by the deadline must e-mail JIC@telesishq.com **within 24 hours after the application deadline** and request approval to submit their application.

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, 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.

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Contents

| | |
|--|----|
| Overview | 4 |
| Deadlines: Registration and Application | 4 |
| Eligibility | 4 |
| Program-Specific Information | 5 |
| Performance Measures | 12 |
| Project Evaluations | 14 |
| What an Application Is Expected To Include | 15 |
| 1. Information to Complete the Application for Federal Assistance (SF-424) | 15 |
| 2. Project Abstract | 15 |
| 3. Program Narrative | 16 |
| 4. Budget Detail Worksheet and Budget Narrative | 19 |
| 5. Indirect Cost Rate Agreement (if applicable) | 20 |
| 6. Tribal Authority To Apply for Grants | 20 |
| 7. Applicant Disclosure of High Risk Status | 21 |
| 8. Additional Attachments | 21 |
| 9. Accounting System and Financial Capability Questionnaire | 23 |
| Selection Criteria | 23 |
| Review Process | 24 |
| Additional Requirements | 24 |
| How To Apply | 25 |
| Provide Feedback to OJP | 28 |
| Application Checklist | 29 |

OJJDP FY 2014 Tribal Healing to Wellness Court Responses to Underage Drinking Initiative (CFDA #16.727 and 16.585)

Overview

The Office of Juvenile Justice and Delinquency Prevention (OJJDP) envisions a nation and tribal nations where our children are healthy, educated, and free from violence. If they come into contact with the family and juvenile justice system, the contact should be rare, fair and beneficial to them.

To meet this vision, tribal juvenile, juvenile and family, or family Healing to Wellness Courts (hereinafter referred to as Tribal Healing to Wellness Courts) provide comprehensive, developmentally appropriate, community-based, and culturally appropriate services for youth who come in contact with the tribal juvenile justice system due to alcohol or other drug use. This program supports efforts of such courts to develop or enhance their capacity to address issues related to youth younger than 21 years old who possess and consume alcohol. Such capacity development and enhancements are for reducing the number of alcohol-related offenses; alcohol-related traffic injuries or fatalities where this age group's use of alcohol may have been a factor; increasing the number of activities to deter underage drinking; increasing the number of youth who participate in activities to deter underage drinking; and decreasing the number of crimes against persons or property where youth younger than 21 consuming alcohol may have been a factor. In addition to supporting program implementation and direct service activities, this initiative will fund a single cooperative agreement to a training and technical assistance provider to support project sites.

This program is authorized by 42 USC 3797u et seq. and paragraph (3)(C) under the Juvenile Justice Programs heading of the Department of Justice Appropriations Act, 2014 P.L. 113-76, 128 Stat. 5, 64.

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, OJP urges applicants to **submit applications 72 hours** prior to the application due date. The deadline to apply for funding under this announcement is 11:59 p.m. eastern time on August 1, 2014. See "How To Apply" on page 25 for details.

Eligibility

There are two categories of funding available as a part of this solicitation.

Category 1: Project Sites. Eligible applicants are limited to federally recognized Indian tribal governments (as determined by the Secretary of the Interior) that are currently operating juvenile, juvenile and family, or family Healing to Wellness Courts.

Category 2: Training and Technical Assistance. Eligible applicants are limited to 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 may elect to make awards for applications submitted under this solicitation in future fiscal years, dependent on the merit of the applications and on the availability of appropriations.

Program-Specific Information

In 2002, OJJDP supported the development and release of the American Indian Development Associates report *Indian Country Law Enforcement and the Challenges of Enforcing Underage Drinking Laws*¹. The report states that “many Indian nations indicate that underage drinking ranks high among the crime, violence, and social problems plaguing American Indian and Alaska Native communities today.”

American Indians and Alaska Natives suffer disproportionately from substance use disorders compared with other racial groups in the United States.² Although underage alcohol use and abuse is a nationwide problem, it is clear that the related issues impact tribal youth at a disproportionate level. In fact, underage drinking not only has an impact on youth and families; it also affects the community and the juvenile justice system. The 2014 edition of *Tribal Healing to Wellness Courts*³ states that “many American Indian and Alaska Native nations have high juvenile populations. According to the 2010 Census, 42 percent of the American Indian population is under the age of twenty-five.” In 2011, 361 Native American youth were committed to residential placement for every 100,000 Native American youth in the U.S. population. This is more than three times the rate for white youth and, among all race/ethnic groups, is second only to the rate for African American youth.⁴

In 2013, Joseph Thomas Flies-away and Carrie E. Garrow wrote an article entitled, *Healing to Wellness Courts: Therapeutic Jurisprudence*⁵ that stated “defendants, respondents, or otherwise court-involved persons return to court over and over again on similar charges or petitions, most of which involve the abusive use of alcohol and other substances, all of which cause extensive physical, intellectual, emotional, and spiritual harm. From our observation and experiences in criminal matters, it is clear that standard sentencing schemes of incarceration and/or a fine do not effectively deter abusive drinking. Many defendants are not averse to spending a short period of time in jail and/or paying a fine. Though tribal criminal public intoxication provisions of law and order codes are useful, some do not have the desired impact. Standard criminal penalties do nothing for an individual whose addiction is long term; they do not address the underlying problems—the emotional, psychological, and social difficulties many

¹ American Indian Development Associates. 2002. *Indian Country Law Enforcement and the Challenges of Enforcing Underage Drinking Laws*. Albuquerque, NM: American Indian Development Associates. Available at: <http://aidainc.net/Publications/indiancountrylawuad.pdf>.

² Office of Applied Studies. 2006. *Results from the 2005 National Survey on Drug Use and Health: National findings* (DHHS Publication No. 06-4194, NSDUH Series H-30). Rockville, MD: U.S. Department of Health and Human Services, Substance Abuse and Mental Health Services Administration.

³ Flies-Away, J.T., Garrow, C., Sekaquaptewa, P. 2014. *Tribal Healing to Wellness Courts: The Key Components* (2nd Edition). West Hollywood, CA: Tribal Law and Policy Institute.

⁴ Hockenberry, S. In press. *Juveniles in Residential Placement, 2011*. Washington, DC: U.S. Department of Justice, Office of Justice Programs, Office of Juvenile Justice and Delinquency Prevention.

⁵ Flies-Away, J.T., and Garrow, C.E. 2013. “Healing to Wellness Courts: Therapeutic Jurisprudence.” *Michigan State Law Review* 2013(403): 404-450.

defendants, respondents, or petitioners face in their daily lives that foster their desires to drink and drug destructively.”

As a result, many tribes are establishing juvenile Healing to Wellness Courts. As an alternative to detention, these courts have been successful at establishing innovative programs to address the specific needs of juvenile participants. This is especially important because many tribes do not have access to either a tribal-, state-, or a Bureau of Indian Affairs-operated detention facility. Tribes are often forced to expend funds to contract for bed spaces in locations that can be more than 5 hours away. Bureau of Indian Affairs facilities can be more than 7 hours away. Moreover, even if tribes have funding to pay for space in local state or county facilities, they may not provide the level of programming the tribes desire for their juvenile members (e.g., substance abuse treatment, education, or vocation and/or employment training).⁶

Purpose

This initiative will enhance the capacity of Tribal Healing to Wellness Courts to respond to the alcohol-related issues of youth who are younger than 21. OJJDP expects that an eligible applicant with a Tribal Healing to Wellness Court will function in accordance with the corresponding 10 key components or principles, as listed below in the Goals, Objectives, and Deliverable section. Under this initiative, OJJDP expects successful applicants in Category 1 to develop or enhance policy, procedure, assessment tools, or service models that address youth younger than 21 who possess and/or consume alcohol and suffer from alcohol-related issues. OJJDP expects successful applicants under Category 2 to deliver training and technical assistance to those selected Tribal Healing to Wellness Courts that will implement the program enhancements, assist with data collection and report development related to program outcomes, and plan and conduct a meeting of the grantees under this initiative.

OJJDP will require applicants under Category 1 to inventory their existing policies, procedures, assessment tools, services, and programs that address youth younger than 21 who possess and consume alcohol. OJJDP will also require applicants to identify gaps in these areas, develop a strategic plan to address the gaps, and implement the plan. See Category 1 Goals and Objectives below for more information

OJJDP will require applicants under Category 2 to develop, design, and deliver training and technical assistance that provides support and guidance to the Category 1 project sites as they implement their strategies to effectively respond to the diverse needs of youth younger than 21 who possess and/or consume alcohol and suffer from alcohol-related issues. Applicants must clearly explain how they will be culturally relevant and knowledgeable about Tribal Healing to Wellness Courts. Technical assistance may involve ongoing phone consultations, Webinars, and other distance/online learning technologies that facilitate peer-to-peer learning. Training and technical assistance may also include facilitating a face-to-face meeting to provide specific training and enhance peer-to-peer information sharing. OJJDP will expect the award recipient to help collect program sites' data and develop reports on outcome data and other relevant information. The technical assistance provider will work in partnership with OJJDP to accomplish the tasks identified below. Applicants should clearly demonstrate their knowledge and experience in implementing training and technical assistance similar to those listed under the Category 2 Goals and Objectives.

⁶ Flies-Away, J.T., Garrow, C., Sekaquaptewa, P. 2014.

Goals, Objectives, and Deliverables

The program's goal is to improve outcomes for at-risk and high-risk tribal youth and reduce negative outcomes related to underage drinking, including juvenile delinquency and injury or fatality due to alcohol-related impaired driving. To achieve this goal, the program will focus on supporting qualified Tribal Healing to Wellness Court programs (Category 1) to develop or enhance policy, procedure, assessment tools, or service models that address youth who possess and/or consume alcohol and suffer from alcohol-related issues. Programs should enhance tribal collaboratives and partnerships, address the needs of tribal youth, and utilize tribal resources, as appropriate.

Category 1 objectives and deliverables include:

- inventory policies, procedures, assessment tools, and services that currently address youth who possess and/or consume alcohol and suffer from alcohol-related issues. Grantees will present the findings in a report completed with assistance from the training and technical assistance provider that this initiative supports.
- determine gaps in policies, procedures, assessment tools, and services that new or improved activities would enhance in working with youth. Gaps to be addressed may include:
 - culturally appropriate provisions for right to counsel for persons younger than 21 who have alcohol-related issues.
 - judicial policies that work appropriately in tribal justice systems to allow for delinquent charges/records to be expunged after completion of court-ordered action/programming.
- identify what relevant data is being collected regarding tribal underage alcohol possession and consumption and its related issues. Describe where the tribe and state share data, how it occurs, and what is shared.
- develop or enhance policies, procedures, assessment tools, and services that address youth who possess and/or consume alcohol and suffer from alcohol-related issues. The Tribal Healing to Wellness Court 10 Key Components are the basic operational characteristics that all Healing to Wellness Courts should share as benchmarks for performance. OJJDP also will use them when considering drug court grant awards. Applicants can direct funding to support enhancements to their existing Tribal Healing to Wellness Court in any of the 10 Key components, as follows:
 - **Key Component #1: Individual and Community Healing Focus.** Tribal Healing to Wellness Court uses a team approach to bring together alcohol and drug treatment, community healing resources, and the tribal justice process to achieve the physical and spiritual healing of the individual participant, and to promote Native nation building and the well-being of the community.
 - **Key Component #2: Referral Points and Legal Process.** Participants enter Tribal Healing to Wellness Court through various referral points and legal processes that promote tribal sovereignty and the participant's due (fair) process rights.

- **Key Component #3: Screening and Eligibility.** Eligible court-involved substance-abusing parents, guardians, juveniles, and adults are identified early through legal and clinical screening for eligibility and are promptly placed into the Tribal Healing to Wellness Court. Funds from this program cannot serve violent offenders. For purposes of this grant program, the term violent offender means a juvenile who has been convicted of or adjudicated delinquent for a felony-level offense that (1) has as an element, the use, attempted use, or threatened use of physical force against the person or property of another or the possession or use of a firearm; or (2) by its nature, involved a substantial risk that physical force against the person or property of another may have been used in the course of committing the offense.
- **Key Component #4: Treatment and Rehabilitation.** Tribal Healing to Wellness Court provides access to holistic, structured, and phased alcohol and drug abuse treatment and rehabilitation services that incorporate culture and tradition.

Key Component #5: Intensive Supervision. Tribal Healing to Wellness Court participants are monitored through intensive supervision that includes frequent and random testing for alcohol and drug use, while participants and their families benefit from effective team-based case management. The authorizing statute, 42 U.S.C.3797u(c) (1), requires mandatory periodic drug testing. Participants must be tested for every controlled substance that they have been known to abuse and for any that the court may require.

- **Key Component #6: Incentives and Sanctions.** Progressive rewards (or incentives) and consequences (or sanctions) are used to encourage participant compliance with the Tribal Healing to Wellness Court requirements. The court receiving funds under this solicitation must impose graduated sanctions that increase punitive measures, therapeutic measures, or both whenever a participant fails a drug test. Such sanctions and measures may include, but are not limited to, one or more of the following:
 - Incarceration.
 - Detoxification treatment.
 - Residential treatment.
 - Increased time in the program.
 - Termination from the program.
 - Increased drug screening requirements.
 - Increased court appearances.
 - Increased counseling.
 - Increased supervision.
 - Electronic monitoring.
- **Key Component #7: Judicial Interaction.** Ongoing involvement of a Tribal Healing to Wellness Court judge with court team and staffing and ongoing judge interaction with each participant is required. One or more designated judges must supervise participating offenders.
- **Key Component #8: Monitoring and Evaluation.** Process and performance measurement and evaluation are used to monitor and evaluate the achievement of program goals; identify needed improvements to the Tribal Healing to Wellness Court and to the tribal court process; determine participant progress; and provide information for governing bodies, interested community groups, and funding sources.

- **Key Component #9: Continuing Interdisciplinary and Community Education.** Continuing interdisciplinary and community education promote effective Tribal Healing to Wellness Court planning, implementation, and operation.
- **Key Component #10: Team Interaction.** The development and maintenance of ongoing commitments, communication, coordination, and cooperation among Tribal Healing to Wellness Court team members, service providers and payers, the community, and relevant organizations, including the use of formal written procedures and agreements, are critical for Tribal Healing to Wellness Court success. The written procedures document that appropriate consultation with affected agencies occurred and that all affected agencies will coordinate in the implementation of the program.

Category 2 objectives and deliverables include:

- provide support, technical assistance, and training to Tribal Healing to Wellness Court project sites that are developing or enhancing policies, procedures, assessment tools, and services that address youth who possess and/or consume alcohol and suffer from alcohol-related issues. Such support is to be provided to the courts and their stakeholders, including, but not limited to, family and juvenile justice professionals, teachers and other school personnel, law enforcement officers, prosecutors, child advocates, victim service providers, case managers, outreach workers, the judiciary, health and mental health professionals, and other relevant stakeholders, as the project site identifies.
- assess the individual and collective training and technical assistance needs of project sites and develop technical assistance plans for each site. Possible training and technical assistance needs of the project sites could include assistance with developing strategic plans, inventory of program activity reports, collaborative partnerships, establishing or enhancing program work, assisting with program data collection, subject matter training and sustainability.
- facilitate peer-to-peer information sharing between the project sites and networking to promote problem solving and innovation through the exchange of information and ideas across project sites.
- provide technical assistance that includes ongoing phone consultations, Webinars, and other distance/online learning technologies that facilitate peer-to-peer learning.
- arrange for diverse subject matter experts to provide onsite consultations.
- establish tools and practical culturally appropriate techniques for working across different disciplines to facilitate information sharing, communication, and coordination.
- develop and maintain a pool of experts who can provide onsite technical assistance tailored to the specific needs of each project site. OJJDP will expect experts to employ a cross-discipline approach and act as problem-solving agents to assist the project sites as they address challenges, barriers, and unintended consequences.
- convene grantee meetings, including providing logistical support, developing meeting agendas, and identifying faculty and/or consultants.

- perform all logistics to support training and technical assistance activities and events.
- work collaboratively with OJJDP to develop and provide materials, including training agendas and other products, prior to any training or technical assistance events or any site visits that expert consultants conduct.
- plan and coordinate, in conjunction with OJJDP, a cross-site meeting of OJJDP project site grantees.

The awardee will produce written synopses or summaries of all meetings, onsite visits, conference calls, and trainings and provide other performance measure data, as described below.

Evidence-Based Programs or Practices

OJP strongly emphasizes the use of data and evidence in policy making and program development in criminal justice, juvenile justice, and crime victim services. OJP is committed to:

- improving the quantity and quality of evidence OJP generates;
- integrating evidence into program, practice, and policy decisions within OJP and the field; and
- improving the translation of evidence into practice.

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 Web site and OJJDP's [Model Programs Guide](#) Web site are two resources that applicants may use to find information about evidence-based programs in criminal justice, juvenile justice, and crime victim services.

Attorney General's National Task Force on Children Exposed to Violence

OJJDP is committed to facilitating identification, screening, assessment, and treatment to promote the recovery and well-being of children, youth, and families who have been exposed to violence. In December 2012, the Attorney General's National Task Force on Children Exposed to Violence published a report with more than 50 recommendations to improve the nation's response to children exposed to violence. The report can be found at www.justice.gov/defendingchildhood/cev-rpt-full.pdf. OJJDP encourages applicants to review the report and, when appropriate, include the use of trauma-informed care and training in the project design of programs serving youth and families.

Amount and Length of Awards

Category 1: Project Sites. OJJDP expects to make as many as six awards of as much as \$320,000 per award for a 24-month project period.

Category 2: Training and Technical Assistance. OJJDP expects to make one cooperative agreement of as much as \$600,000 for a 36-month project period.

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

For Category 2 only: OJJDP will enter into a cooperative agreement with the successful applicant. In furtherance of the goals and objectives described above, OJJDP's role will include the following tasks:

- reviewing and approving major work plans, including changes to such plans, and key decisions pertaining to project operations.
- reviewing and approving major project-generated documents and materials used in the provision of project services.
- providing guidance in significant project planning meetings and participating in project sponsored training events or conferences.

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, recipients may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the award recipient at a rate that exceeds 110 percent 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 2014 salary table for SES employees is available at www.opm.gov/pay-leave. Note: A recipient may compensate an employee at a greater 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 Assistant Attorney General for OJP may exercise discretion to waive, on an individual basis, the limitation on compensation rates allowable under an award. Applicants requesting a waiver should include a detailed justification in the budget narrative of their applications. Applicants who do not submit a waiver request and justification with their applications should anticipate that OJP will request that they adjust and resubmit their budgets.

The justification should include the particular qualifications and expertise of the individual, the uniqueness of the service the individual will provide, 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.

Prior Approval, Planning, and Reporting of Conference/Meeting/Training Costs. OJP strongly encourages applicants who propose to use award funds for any conference-, meeting-,

or training-related activity to review carefully—before submitting an application—the OJP policy and guidance on “conference” approval, planning, and reporting available at www.ojp.gov/funding/confcost.htm. OJP policy and guidance (1) encourage minimization of conference, meeting, and training costs; (2) require prior written approval (which may affect project timelines) of most such costs for cooperative agreement recipients and of some such costs for grant recipients; and (3) set cost limits, including a general prohibition of all food and beverage costs.

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 for individuals with limited English proficiency may be allowable. 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 at www.ojp.usdoj.gov/funding/other_requirements.htm.

Match Requirement. This solicitation does not require a match.⁷ However, if a successful application proposes a voluntary match amount, and OJP approves the budget, the total match amount incorporated into the approved budget becomes mandatory and subject to audit.

Performance Measures

To assist the Department with fulfilling its responsibilities under the Government Performance and Results Act of 1993 (GPRA), Public Law 103-62, and the GPRA Modernization Act of 2010, Public Law 111-352, applicants who receive funding under this solicitation must provide data that measure the results of their work done under this solicitation. OJP will require any award recipient, post award, to provide the data requested in the “Data Grantee Provides” column so that OJP can calculate values for the “Performance Measures” column. Category 1 applicants will need to submit their performance measures in the semi-annual progress reports. OJJDP will require award recipients under Category 2 to submit semiannual performance metrics of relevant data through the Data Reporting Tool (DCTAT) located at www.ojjdp-dctat.org/. Performance measures for this solicitation are as follows:

Category 1: Project Sites

| Objective | Performance Measure(s) | Data Grantee Provides |
|---|--|--|
| The program’s goal is to reduce and respond to underage drinking in selected tribal communities through the use of Juvenile, Juvenile and Family, or Family Healing to Wellness Courts. | The performance measures will differ, depending on the specific program goals and objectives. Examples are below: Reduction in the number of alcohol-related offenses involving tribal youth younger than 21. | The following data must be submitted to the training and technical assistance provider, as directed by OJJDP: Number of DUIs/DWIs among underage persons. Number of traffic accidents involving underage persons where alcohol may have been a factor. Number of crimes against persons, property, or pets where underage persons consuming alcohol may have been a factor. |

⁷ Pursuant to 42 USC 3797u-5, the requirement of a matching contribution has been waived in total.

| | | |
|--|---|---|
| | Reduction in alcohol-related traffic injuries or fatalities where an underage person's use of alcohol may have been a factor (tribal youth younger than 21.) | Number of traffic accidents involving underage persons where alcohol may have been a factor at the beginning of reporting. Number of alcohol-related traffic injuries or fatalities where alcohol may have been a factor during the reporting period. |
| | Reduction in the incidence of unintentional injuries related to tribal youth younger than 21 consuming alcohol. | Number of emergency room visits where an underage person's consumption of alcohol may have been a factor at the beginning of the reporting period. Number of emergency room visits where an underage person's consumption of alcohol may have been a factor during the reporting period. |
| | Increase in the number Tribal Healing to Wellness Court procedures that address alcohol-related issues for youth younger than 21. Number of new or enhanced policies that address alcohol-related issues for youth younger than 21 at the beginning of the reporting period. | Number of new or enhanced policies and/ or procedures that address alcohol-related issues for youth younger than 21 at the beginning of the reporting period (by type i.e. policy, procedure, assessment). Number of new or enhanced policies and /or procedures that address alcohol-related issues for youth younger than 21 at the end of the reporting period. |
| | Increase in the number of activities designed to deter underage drinking. | Number of activities designed to deter underage drinking. Number of underage persons participating in activities to deter underage drinking. Number of meetings between the grantee and other underage drinking programs in the community. Number of other underage drinking programs with whom the grantee has coordinated activities. |

Category 2: Training and Technical Assistance

| Objective | Performance Measure(s) | Data Grantee Provides |
|--|--|--|
| The primary objective will be the delivery of training and technical assistance to assist Juvenile, Family or Juvenile, and Family Tribal Healing to Wellness Courts project sites for the purpose of preventing and addressing alcohol possession | Number of planning or training events held. | Number of planning or training events held. |
| | Number of people trained. | Number of people trained. |
| | Percentage of people exhibiting an increased knowledge of the program area during the reporting period. | Number of people exhibiting increased knowledge of the program area (determined by pre- and post- testing). Number of people exhibiting an increase in knowledge post-training. |
| | Percentage of organizations reporting improvements in operations based on training and technical assistance. | The number of organizations reporting improvements in operations based on training and technical assistance. Number of organizations served by training and technical assistance. |

| | | |
|--|--|--|
| and consumption among youth younger than 21. | Percentage of those served by training and technical assistance who reported implementing an evidence-based program and/or practice during or after the training and technical assistance. | Number of programs served by training and technical assistance that reported using an evidence-based program and/or practice. Number of programs served by training and technical assistance. |
| | Number of program materials disseminated during the reporting period. | Number of program materials disseminated during the reporting period. |

OJP does not require applicants to submit performance measures data with their applications. 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 15 for additional information.

Project Evaluations

Applicants that propose to use funds awarded through this solicitation to conduct project evaluations or statistical data collections should be aware that these activities (such as systematic investigations to develop or contribute to generalizable knowledge) may constitute research, which 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)). The following information pertains to applications that propose to conduct research and involves human subjects:

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 an Institutional Review Board, in accordance with the regulations, review and approve most research involving human subjects that any federal department or agency conducts or supports before an award recipient may expend federal funds 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).

OJP has developed a decision tree (www.ojp.usdoj.gov/funding/pdfs/decision_tree.pdf) to assist applicants in assessing whether an activity they plan to undertake with OJP funds may constitute research involving human subjects. **Applicants should review this decision tree and include a statement in their application narrative that clarifies if they intend to use any information from a project evaluation or data collection to contribute to generalizable knowledge or if they intend to use the information solely for internal improvements and/or to meet OJP's performance measures data reporting requirements.** If an application includes a research, demonstration evaluation, or statistical data collection component, OJP will examine that component to determine whether it meets the definition of research.

For additional information visit the "Research and Protection of Human Subjects" and the "Confidentiality" sections of the OJP "Other Requirements" Web page at www.ojp.usdoj.gov/funding/other_requirements.htm.

What an Application Is Expected To Include

Applicants should anticipate that if they fail to submit an application that contains all of the specified elements, it may negatively affect the review of their application; and, should a decision be made to make an award, it may result in the inclusion of special conditions that preclude the recipient from accessing or using award funds pending satisfaction of the conditions.

Moreover, applicants should anticipate that applications that are determined to be nonresponsive to the scope of the solicitation, do not request funding within the funding limit, or do not include the application elements that OJJDP has designated 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, Budget Detail Worksheet or Budget Narrative and the Tribal Authority to Apply for Grants.

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

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

The SF-424 is a required standard form used as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and OJP's Grants Management System (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).

2. Project Abstract

Applications should include a high-quality project abstract that summarizes the proposed project in 400 words or less. Abstracts should be—

- written for a general public audience.
- submitted as a separate attachment with “Project Abstract” as part of its file name.
- single-spaced, using a standard 12-point font (Times New Roman) with 1-inch margins.

As a separate attachment, the abstract will **not** count against the page limit for the program narrative.

The abstract should include a brief description of the project’s purpose, the population to be served; the Tribal Wellness Court, including the number of years the court has been operational; and the activities that the applicant will implement to achieve the project’s goals and objectives. The abstract should describe how the applicant will measure progress toward these goals. The abstract should indicate whether the applicant will use any portion of the project budget to conduct research as described in Project Evaluations on page 14.

All project abstracts should follow the detailed template available at www.ojp.usdoj.gov/funding/Project_Abstract_Template.pdf.

Permission to Share Project Abstract with the Public. It is unlikely that OJJDP will be able to fund all promising applications submitted under this solicitation, but it may have the opportunity to share information with the public regarding promising but unfunded applications, for example, through a listing on a Web page available to the public. The intent of this public posting would be to allow other possible funders to become aware of such proposals.

In the project abstract template, applicants are asked to indicate whether they give OJP permission to share their abstract (including contact information) with the public. Granting (or failing to grant) this permission will not affect OJP’s funding decisions, and, if the application is not funded, granting permission will not guarantee that abstract information will be shared, nor will it guarantee funding from any other source.

Note: OJP may choose not to list a project that otherwise would have been included in a listing of promising but unfunded applications, should the abstract fail to meet the format and content requirements noted above and outlined in the project abstract template.

3. 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 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, OJJDP may consider such noncompliance in peer review and in final award decisions.

The program narrative should address the following selection criteria: (1) statement of the problem; (2) goals, objectives, and performance measures; (3) program design and implementation; and (4) 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. **Statement of the Problem.** Applicants should briefly describe the nature and scope of the underage drinking problem that the program will address. The applicant should use data to provide evidence that the problem exists, demonstrate the size and scope of the problem, and document the effects of the problem on the target population and the larger community. Applicants should describe the target population and any previous or current attempts to address the problem.

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.

- b. **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 describe the program's intent to change, reduce, or eliminate the problem noted in the previous section and outline the project's goals.

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. (Examples of measurable objectives include the following: reduction in the number of repeat alcohol-related offenses, increased understanding of negative impact of alcohol use on youth development, and expanded counseling services to cover an additional 50 at-risk youth.)

Performance Measures. OJJDP does not require applicants to submit performance measures data with their applications. Performance measures (see Performance Measures, page 12) are included as an alert that OJJDP will require successful applicants to submit specific data as part of their reporting requirements. 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.

- c. Project Design and Implementation.** Applicants should detail how the project will operate throughout the funding period and describe the strategies that they will use to achieve the goals and objectives identified in the previous section. Applicants should describe how they will complete the deliverables stated in the Goals, Objectives, and Deliverables section on page 7.

For Category 1, applicants should:

- describe how they will inventory their existing policies, procedures, assessment tools, services, and programs that address youth who possess and consume alcohol and identify any gaps in these areas.
- describe how they will develop a strategic plan to address these gaps.
- describe how they will implement the strategic plan addressing the gaps and the following requirements, if they are not gaps:
 - consultation and coordination with appropriate state, local, or Indian tribal prosecutors, particularly when program participants fail to comply with program requirements.
 - the methodology that they will use to evaluate the program.
- explain the applicant's inability to fund the program adequately without federal assistance.
- certify that they will use the federal support to supplement, and not supplant, state, Indian tribal, and local sources of funding that would otherwise be available.
- identify related governmental or community initiatives that complement or will be coordinated with the proposal.
- specify plans for obtaining necessary support and continuing the proposed program following the conclusion of federal support.

For Category 2, applicants should:

- describe the types of training and technical assistance the organization will provide the sites in gathering data, identifying gaps, and developing and implementing the strategic plans.
- explain how they will be culturally relevant and knowledgeable about Tribal Healing to Wellness Courts.
- describe how they will collect program sites' data and develop reports on outcome data and other relevant information.
- demonstrate their knowledge and experience in implementing training and technical assistance.

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.

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. Applicants should submit the logic model as a separate attachment, as stipulated in Additional Attachments, page 21.

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 www.ojjdp.gov/grantees/timelines.html).

Applicants should submit the timeline as a separate attachment, as stipulated in Additional Attachments, page 21. On receipt of an award, the recipient may revise the timeline, based on training and technical assistance that OJJDP will provide.

- d. **Capabilities and Competencies.** This section should describe the experience and capability of the applicant organization and any contractors or subgrantees that the applicant will use to implement and manage this effort and its associated federal funding, highlighting any previous experience implementing projects of similar design or magnitude. Applicants should highlight their experience/capability/capacity to manage subawards, including details on their system for fiscal accountability. Management and staffing patterns should be clearly connected to the project design described in the previous section. Applicants should describe the roles and responsibilities of project staff and explain the program's organizational structure and operations. Applicants should include a copy of an organizational chart showing how the organization operates, including who manages the finances; how the organization manages subawards, if there are any; and the management of the project proposed for funding.

4. 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.

The budget must include estimated travel and lodging costs to support attendance at one joint meeting of all project sites and OJJDP. Applicants should budget for 2-3 key program leaders (at least one of which is court personnel) to travel and stay for 2 nights at a location that OJJDP will determine. It is understood that the budgeted amount is an estimate for purposes of the application.

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.

- a. **Budget Detail Worksheet.** A sample Budget Detail Worksheet can be found at www.ojp.gov/funding/forms/budget_detail.pdf. Applicants who submit their budget in a

different format should include the budget categories listed in the sample budget worksheet.

- b. Budget Narrative.** The budget narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. OJP expects proposed budgets to be complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities).

Applicants should explain in their budget narratives how they will maximize cost effectiveness of grant expenditures. Budget narratives should generally describe cost effectiveness in relation to potential alternatives and the goals of the project. For example, a budget narrative should detail why planned in-person meetings are necessary, or how technology and collaboration with outside organizations could be used to reduce costs, without compromising quality.

The narrative should be mathematically sound and correspond with the information and figures provided 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.

- c. Non-Competitive Procurement Contracts In Excess of Simplified Acquisition Threshold.** If an applicant proposes to make one or more non-competitive procurements of products or services, where the non-competitive procurement will exceed the simplified acquisition threshold (also known as the small purchase threshold), which is currently set at \$150,000, the application should address the considerations outlined in the [OJP Financial Guide](#).

5. 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.) Attach a copy of the federally approved indirect cost rate agreement to the application. Applicants who do not have an approved rate may request one through their 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. For assistance with identifying your cognizant agency, contact the Customer Service Center at 1-800-458-0786 or at ask.ocfo@usdoj.gov. If DOJ is the cognizant federal agency, applicants may obtain information needed to submit an indirect cost rate proposal at www.ojp.usdoj.gov/funding/pdfs/indirect_costs.pdf.

6. Tribal Authority To Apply for Grants

OJJDP asks that applicants submit documentation reflective of their legal authority on behalf of their tribes to apply for grants under the Healing to Wellness Program. Recognizing that tribes have different forms of governance, OJJDP will not require that applicants provide a prescribed form of documentation. Applicants may submit a resolution, letter, affidavit, or other documentation, as appropriate for that tribe, certifying that they have the legal authority to apply for Healing To Wellness awards on behalf of the tribe. **This documentation must be current, be sufficient to prove authority for the application,**

contain authorized signature(s), and be submitted by the application's due date, (8/1/2014).

7. Applicant Disclosure of High Risk Status

Applicants are to disclose whether they are currently designated high risk by another federal grant making agency. This includes any status requiring additional oversight by the federal agency due to past programmatic or financial concerns. If an applicant is designated high risk by another federal grant making agency, you must email the following information to OJPComplianceReporting@usdoj.gov at the time of application submission:

- the federal agency that currently designated the applicant as high risk.
- date the applicant was designated high risk.
- the high risk point of contact name, phone number, and email address, from that federal agency.
- reasons for the high risk status.

OJP seeks this information to ensure appropriate federal oversight of any grant award. Unlike the Excluded Parties List, this high risk information does not disqualify any organization from receiving an OJP award. However, additional grant oversight may be included, if necessary, in award documentation.

8. Additional Attachments

Applicants should submit the following information, as stipulated in the cited pages, as attachments to their applications. 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 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.

- a. Applicant disclosure of pending applications.** Applicants are to disclose whether they have pending applications for federally funded grants or subgrants (including cooperative agreements) that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation. The disclosure should include both direct applications for federal funding (e.g., applications to federal agencies) and indirect applications for such funding (e.g., applications to state agencies that will subaward federal funds).

OJP seeks this information to help avoid any inappropriate duplication of funding. Leveraging multiple funding sources in a complementary manner to implement comprehensive programs or projects is encouraged and is not seen as inappropriate duplication.

Applicants that have pending applications as described above are to provide the following information about pending applications submitted within the last 12 months:

- the federal or state funding agency.
- the solicitation name/project name.
- the point of contact information at the applicable funding agency.

| Federal or State Funding Agency | Solicitation Name/ Project Name | Name/Phone/E-mail for Point of Contact at Funding Agency |
|---|--|---|
| DOJ/COPS | COPS Hiring Program | Jane Doe, 202/000-0000; jane.doe@usdoj.gov |
| HHS/Substance Abuse & Mental Health Services Administration | Drug Free Communities Mentoring Program/North County Youth Mentoring Program | John Doe, 202/000-0000; john.doe@hhs.gov |

Applicants should include the table as a separate attachment, with the file name “Disclosure of Pending Applications,” to their application. Applicants that do not have pending applications as described above are to include a statement to this effect in the separate attachment page (e.g., “[Applicant Name on SF-424] does not have pending applications submitted within the last 12 months for federally funded grants or subgrants (including cooperative agreements) that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation.”).

- b. Research and Evaluation Independence and Integrity.** If a proposal involves research and/or evaluation, regardless of the proposal’s other merits, in order to receive funds, the applicant must demonstrate research/evaluation independence, including appropriate safeguards to ensure research/evaluation objectivity and integrity.

For purposes of this solicitation, research and evaluation independence and integrity pertains to ensuring that the design, conduct, or reporting of research and evaluation funded by OJJDP grants, cooperative agreements, or contracts will not be biased by any personal or financial conflict of interest on the part of the investigators responsible for the research and evaluation or on the part of the applicant organization. Conflicts can be either actual or apparent. Examples of potential investigator (or other personal) conflict situations may include those in which an investigator would be in a position to evaluate a spouse’s work product (actual conflict), or an investigator would be in a position to evaluate the work of a former colleague (potential apparent conflict). With regard to potential organizational conflicts of interest, as one example, generally an organization could not be given a grant to evaluate a project if that organization had itself provided substantial prior technical assistance to that project, as the organization in such an instance would appear to be evaluating the effectiveness of its own prior work. The key is whether a reasonable person understanding all of the facts would be able to have confidence that the results of any research or evaluation project are objective and reliable. Any outside personal or financial interest that casts doubt on that objectivity and reliability is a problem.

In the attachment dealing with research and evaluation independence and integrity, the

applicant should explain the process and procedures that the applicant has put in place to identify and eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or subrecipients. It should also identify any potential organizational conflicts of interest on the part of the applicant with regard to the proposed research/evaluation. If the applicant reasonably believes that no potential personal or organizational conflicts of interest exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion. Documentation that may be helpful in this regard could include organizational codes of ethics/conduct or policies regarding organizational, personal, and financial conflicts of interest.

For situations in which potential personal or organizational conflicts of interest exist, in the attachment, the applicant should identify the safeguards the applicant has or will put in place to eliminate, mitigate, or otherwise address those conflicts of interest.

Considerations in assessing research and evaluation independence and integrity will include, but may not be limited to, the adequacy of the applicant's efforts to identify factors that could affect the objectivity or integrity of the proposed staff and/or the organization in carrying out the research, development, or evaluation activity; and the adequacy of the applicant's existing or proposed remedies to control any such factors.

- c. logic model (see Logic Model, page 19)
- d. timeline or milestone chart (see Timeline, page 19)
- e. résumés of all key personnel
- f. job descriptions outlining roles and responsibilities for all key positions
- g. evidence of nonprofit status, e.g., a copy of the tax exemption letter from the Internal Revenue Service, if applicable.
- h. evidence of for-profit status, e.g., a copy of the articles of incorporation, if applicable.

9. Accounting System and Financial Capability Questionnaire

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 must download, complete, and submit this [form](#).

Selection Criteria

1. Statement of the Problem (20 percent)
2. Goals, Objectives and Performance Measures (10 percent)
3. Project Design and Implementation (40 percent)
4. Capabilities and Competencies (25 percent)
5. Budget: complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities). Budget narratives should generally demonstrate how applicants will maximize cost effectiveness of grant expenditures. Budget narratives should demonstrate

cost effectiveness in relation to potential alternatives and the goals of the project.⁸ (5 percent)

See *What an Application Is Expected To Include*, page 15, for the criteria that the peer reviewers will use to evaluate applications.

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 internal peer reviewers, external peer reviewers, or a combination, to review the applications. 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. A peer review panel will evaluate, score, and rate applications that meet basic minimum requirements. Peer reviewers' ratings and any resulting recommendations are advisory only. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding.

The Office of the Chief Financial Officer, in consultation with OJJDP, reviews 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.

Additional Requirements

Applicants selected for awards must agree to comply with additional legal requirements upon acceptance of an award. OJP 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.

- 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

⁸ Generally speaking, a reasonable cost is a cost that, in its nature or amount, does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the costs.

- Financial and Government Audit Requirements
- Reporting of Potential Fraud, Waste, and Abuse, and Similar Misconduct
- 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 of 2006 (FFATA)
- Awards in Excess of \$5,000,000 – Federal Taxes Certification Requirement
- Active SAM Registration
- Policy and Guidance for Approval, Planning, and Reporting of Conferences (including Meetings and Trainings)
- OJP Training Guiding Principles for Grantees and Subgrantees

How To Apply

Applicants must register in, and submit applications through Grants.gov, a “one-stop storefront” to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at www.Grants.gov. Applicants who experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800-518-4726** or **606-545-5035**, 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 several weeks** for first-time registrants to receive confirmation and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 72 hours prior to the application due

date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

OJJDP strongly encourages all prospective applicants to sign up for Grants.gov e-mail notifications regarding this solicitation. If this solicitation is cancelled or modified, individuals who sign up with Grants.gov for updates will be notified.

Note on File Names and File Types: Grants.gov only permits the use of certain specific characters in names of attachment files. Valid file names may include only the characters shown in the table below. Grants.gov is designed to reject any application that includes an attachment(s) with a file name that contains any characters not shown in the table below. Grants.gov is designed to forward successfully submitted applications to OJP’s Grants Management System (GMS).

| Characters | Special Characters | | |
|--------------------|--|-------------------|-----------------------|
| Upper case (A – Z) | Parenthesis () | Curly braces { } | Square brackets [] |
| Lower case (a – z) | Ampersand (&) | Tilde (~) | Exclamation point (!) |
| Underscore (_) | Comma (,) | Semicolon (;) | Apostrophe (‘) |
| Hyphen (-) | At sign (@) | Number sign (#) | Dollar sign (\$) |
| Space | Percent sign (%) | Plus sign (+) | Equal sign (=) |
| Period (.) | When using the ampersand (&) in XML, applicants must use the “&amp;,” format. | | |

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.” GMS may reject applications with files that use these extensions. It is important to allow time to change the type of file(s) if the application is rejected.

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 a supplement to an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and differentiating 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. Call Dun and Bradstreet at 866–705–5711 to obtain a DUNS number or apply online at www.dnb.com. A DUNS number is usually received within 1-2 business days.
- 2. Acquire registration with the System for Award Management (SAM).** SAM is the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. OJP requires all applicants (other than individuals) for federal financial assistance to maintain current registrations in the SAM database. Applicants must be registered in SAM to successfully register in Grants.gov. Applicants must **update or renew their SAM registration annually** to maintain an active status.

Applications cannot be successfully submitted in Grants.gov until Grants.gov receives the SAM registration information. The information transfer from SAM to Grants.gov can take up

to 48 hours. OJP recommends that the applicant register or renew registration with SAM as early as possible.

Information about SAM registration procedures can be accessed at www.sam.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/web/grants/register.html.
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 an organization can have more than one AOR.
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 numbers for this solicitation is 16.727, titled "Enforcing Underage Drinking Laws Program", and 16.585, titled "Drug Court Discretionary Program" and the funding opportunity number is OJJDP-2014-3938.
6. **Select the correct Competition ID.** Some OJP solicitations posted to Grants.gov contain multiple purpose areas, denoted by individual Competition IDs. If applying to a solicitation with multiple Competition IDs, select the appropriate Competition ID for the intended purpose area of the application.

Category 1: Project Sites. Competition ID: OJJDP-2014-3939.

Category 2: Training and Technical Assistance. Competition ID: OJJDP-2014-3940.

7. **Complete the Disclosure of Lobbying Activities.** All applicants must complete this information. Applicants who expend any funds for lobbying activities must provide the detailed information requested on the form *Disclosure of Lobbying Activities (SF-LLL)*. Applicants who do not expend any funds for lobbying activities should enter "N/A" in the required highlighted fields.
8. **Submit a valid 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 message will state whether the application has been received and validated, or rejected due to errors, with an explanation. It is possible to first receive a message indicating that the application is received and then receive a rejection notice a few minutes or hours later. Submitting well ahead of the deadline provides time to correct the problem(s) that caused the rejection. **Important:** OJP urges applicants to submit applications **at least 72 hours prior** to the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

Click [here](#) for further details on DUNS, SAM, and Grants.gov registration steps and timeframes.

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

Experiencing Unforeseen Grants.gov Technical Issues

Applicants who experience unforeseen Grants.gov technical issues beyond their control that prevent them from submitting their application by the deadline must e-mail the OJJDP contact identified in the Contact Information section on page 2 **within 24 hours after the application deadline** and request approval to submit their applications. The e-mail must describe the technical difficulties and include a timeline of the applicant's submission efforts, the complete grant application, the applicant's DUNS number, and any Grants.gov Help Desk or SAM tracking number(s). **Note: OJJDP does not automatically approve requests.** After OJJDP reviews the submission and contacts the Grants.gov or SAM Help Desks to validate the reported technical issues, OJP will inform the applicant whether the request to submit a late application has been approved or denied. If OJP determines that the applicant failed to follow all required procedures, which resulted in an untimely application submission, OJP will deny the applicant's request to submit their application.

The following conditions are generally insufficient to justify late submissions:

- failure to register in SAM or Grants.gov in sufficient time.
- failure to follow Grants.gov instructions on how to register and apply as posted on its Web site.
- failure to follow each instruction in the OJP solicitation.
- technical issues 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.

Provide Feedback to OJP

To assist OJP in improving its application and award processes, we encourage applicants to provide feedback on this solicitation, the application submission process, and/or the application review/peer review process. Provide feedback to OJPSolicitationFeedback@usdoj.gov.

IMPORTANT: This e-mail is for feedback and suggestions only. Replies are **not** sent from this mailbox. If you have specific questions on any program or technical aspect of the solicitation, **you must** directly contact the appropriate number or e-mail listed on the front of this solicitation document. These contacts are provided to help ensure that you can directly reach an individual who can address your specific questions in a timely manner.

If you are interested in being a reviewer for other OJP grant applications, please e-mail your resume to ojpperreview@lmbps.com. The OJP Solicitation Feedback e-mail account will not forward your resume. **Note:** Neither you nor anyone else from your organization can be a peer reviewer in a competition in which you or your organization have submitted an application.

Application Checklist

OJJDP FY 2014 Tribal Healing to Wellness Court Responses to Underage Drinking Initiative

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

What an Applicant Should Do:

Prior to Registering in Grants.gov:

- Acquire a DUNS number (see page 26)
- Acquire or renew registration with SAM (see page 26)

To Register with Grants.gov:

- Acquire AOR and Grants.gov username/password (see page 27)
- Acquire AOR confirmation from the E-Biz POC (see page 27)

To Find Funding Opportunity:

- Search for the funding opportunity on Grants.gov (see page 27)
- Select the correct Competition ID (see page 27)
- Download Funding Opportunity and Application Package
- Sign up for Grants.gov e-mail notifications (optional) (see page 26)
- Read [Important Notice: Applying for Grants in Grants.gov](#)

General Requirements:

- Review "[Other Requirements](#)" Web page

Scope Requirement:

- The federal amount requested is within the allowable limits of as much as \$320,000 for Category 1 and as much as \$600,000 for Category 2.

Eligibility Requirement:

Category 1:

- Federally recognized tribal government currently operating a juvenile, juvenile and family, or family Healing to Wellness Court

Category 2:

- Nonprofit or for-profit organization, including tribal nonprofit or for-profit organization
- Institution of higher education, including tribal institution of higher education

What an Application Is Expected to Include:

- Application for Federal Assistance (SF-424) (see page 15)
- Project Abstract (see page 15)
- Program Narrative (see page 16)

- _____ Budget Detail Worksheet (see page 19)
- _____ Budget Narrative (see page 20)
 - _____ Employee Compensation Waiver request and justification (see page 11)
 - _____ Read OJP policy and guidance on “conference” approval, planning, and reporting available at www.ojp.gov/funding/confcost.htm (see page 12)
- _____ Disclosure of Lobbying Activities (SF-LLL) (see page 27)
- _____ Indirect Cost Rate Agreement (if applicable) (see page 20)
- _____ Tribal Authority To Apply for Grants (see page 20)
- _____ Applicant Disclosure of High Risk Status (see page 21)
- _____ Additional Attachments (see page 21)
 - _____ applicant Disclosure of Pending Applications
 - _____ logic model (see page 19)
 - _____ timeline or milestone chart (see page 19)
 - _____ résumés of all key personnel
 - _____ job descriptions outlining roles and responsibilities for all key positions
 - _____ 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.
- _____ Accounting System and Financial Capability Questionnaire (see page 23)