



The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), Office of Juvenile Justice and Delinquency Prevention (OJJDP) is seeking applicants for its Fiscal Year (FY) 2011 Enforcing Underage Drinking Laws Assessment, Strategic Planning, and Implementation Initiative. This program furthers DOJ's mission by supporting communities' efforts to implement research-based and promising practices to enforce underage drinking laws and prevent underage persons from consuming alcohol.

OJJDP FY 2011 Enforcing Underage Drinking Laws Assessment, Strategic Planning, and Implementation Initiative

Eligibility

Applicants are limited to state agencies presently designated to administer the EUDL Block Grants Program, including those with active EUDL Discretionary Program grants, except for Maine, Nevada, and Washington, where the program outlined in this solicitation is currently operational. (See Eligibility, page 3.)

Deadline

Registration with [Grants.gov](#) is required prior to application submission. (See "How To Apply," page 7.) **All applications are due by 11:59 p.m., Eastern Time, on May 16, 2011.** (See "Deadlines: Registration and Application," page 3.)

Contact Information

For technical assistance with submitting an application, call the Grants.gov Customer Support Hotline at 1-800-518-4726 or e-mail support@grants.gov. Hotline hours of operation are 24 hours, 7 days a week, except federal holidays.

For assistance with any other requirements of this solicitation, contact the Justice Information Center at 1-877-927-5657 or via email to JIC@telesishq.com. The Center hours of operation are 8:30 a.m. to 5:00 p.m., Eastern Time, Monday through Friday. On the solicitation close date, the Center will be open from 8:30 a.m. to 8:00 p.m., Eastern Time.

Grants.gov number assigned to this announcement: OJJDP-2011-2997.

Release Date: March 31, 2011

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OJJDP FY 2011 Enforcing Underage Drinking Laws Assessment, Strategic Planning, and Implementation Initiative (CFDA #16.727)

Overview

This initiative seeks to reduce the availability to and consumption of alcoholic beverages by persons who are younger than 21 years old through assessment, strategic planning, and program implementation. The initiative will provide funds to governor-designated state agencies who are successful applicants to implement research-based and promising practices to enforce underage drinking laws and prevent underage persons from consuming alcohol. This program will be authorized by an act appropriating funds for the Department of Justice.

Deadlines: Registration and Application

Registration with Grants.gov is required prior to application submission. OJJDP encourages applicants to register several weeks before the application deadline of 11:59 p.m., Eastern Time, on May 16, 2011. See “How To Apply,” page 7, for details.

Eligibility

Applicants are limited to state agencies presently designated to administer the Enforcing Underage Drinking Laws (EUDL) Block Grants Program, including those with active EUDL Discretionary Program grants, with the exception of Maine, Nevada, and Washington, where the program outlined in this solicitation is currently operational. A list of the eligible state agencies is available at www.udetc.org.

Program-Specific Information

Purpose

This program supports the reduction of the availability of alcoholic beverages to, and the consumption of, alcoholic beverages by persons who are younger than 21 years old, through independent assessment, strategic planning, and program implementation.

Goals, Objectives, and Deliverables

Selected states, and their communities, will:

- conduct an independent assessment of both state and local underage drinking in the first year of the program.
- develop a long-range strategic plan based on the independent assessment as part of first-year program activities.

- implement selected elements of the strategic plan that will serve to:
 - o decrease the number of first-time alcohol-related incidents.
 - o decrease incidence of unintentional injuries related to alcohol consumption among underage persons.
 - o reduce alcohol-related traffic injuries or fatalities among underage persons.
 - o increase the number of underage military personnel participating in activities designed to deter underage drinking.

OJJDP will assign major tasks and deliverables under this guidance based upon a review of the application. At a minimum, the grantees will provide and submit semi-annual progress reports.

Amount and Length of Awards

OJJDP will award as much as \$800,000 through cooperative agreements to as many as three states for a 3-year project period. As a result of the independent assessment and strategic planning process outlined in the solicitation, each state may provide sub-grants to between one and three communities to implement elements of the program and/or each state may develop and implement select state-level activities from the OJJDP-approved strategic plan.

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.
- reviewing and approving any proposed solicitations prior to release or publication.

All awards are subject to the availability of appropriated funds and 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 2011 salary table for SES employees is available at www.opm.gov/oca/11tables/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 Assistant Attorney General for OJP. An applicant that wishes to request a waiver must 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 that is to be done.

Match Requirement. Match is not required for this program. Although match is not required, if applicants will use other sources of funding to augment this program, they should acknowledge these funds in the program narrative of their application, not the budget detail worksheet. See the section on Program Design and Implementation.

Performance Measures

To assist the Department in fulfilling its responsibilities under the Government Performance and Results Act (GPRA), Public Law 103-62, applicants that receive funding under this solicitation must provide data that measure the results of their work. 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)	Data Grantee Provides
The program's goal is to reduce underage drinking in selected communities by systematically implementing best or promising practices that attain the objectives of increasing the enforcement of underage drinking laws and enhancing research-based prevention planning and programming.	<p>The performance measures will differ, depending on the specific program goals and objectives. Examples are below:</p> <p>Reduction in the number of alcohol-related offenses involving underage persons.</p> <p>Reduction in alcohol-related traffic injuries or fatalities where an underage person's use of alcohol may have been a factor.</p> <p>Reduction in the incidence of unintentional injuries related to underage persons' consumption of alcohol.</p>	<p>The following data must be submitted to the evaluator, as directed by OJJDP:</p> <p>Number of DUIs/DWIs among underage persons.</p> <p>Number of traffic accidents involving underage persons where alcohol may have been a factor.</p> <p>Number of crimes against persons, property, or pets where alcohol consumption by underage persons may have been a factor.</p>

		<p>Number of alcohol-related traffic injuries or fatalities where an underage person's use of alcohol may have been a factor.</p> <p>Number of emergency room visits where an underage person's consumption of alcohol may have been a factor.</p> <p>Number of activities designed to deter underage drinking.</p> <p>Number of underage persons participating in activities designed to deter underage drinking.</p> <p>Number of meetings between the grantee and other underage drinking programs in the community.</p> <p>Number of other underage drinking programs with whom the grantee has coordinated activities.</p>
	<p>Increase in the number of activities designed to deter underage drinking.</p> <p>Increase in the number of underage military personnel participating in activities designed to deter underage drinking.</p> <p>Increase in the level of coordination between the grantee and other underage drinking programs in the community.</p>	

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," page 9, for additional information.

Project Evaluations

Applicants that propose to use funds awarded through this solicitation to conduct project evaluations should be aware that certain project evaluations (such as systematic investigations to develop or contribute to generalizable knowledge) may constitute "research" for purposes of applicable DOJ human subjects protections. However, project evaluations that are intended to generate internal improvements to a program or service or to meet OJP's performance measure data reporting requirements likely do not constitute "research." Applicants should provide sufficient information for OJP to determine whether the particular project they propose would either intentionally or unintentionally collect and/or use information in such a way that it meets the DOJ regulatory definition of research.

Research, for the purposes of human subjects protections for OJP-funded programs, is defined as "a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge" [28 C.F.R. § 46.102(d)]. For additional information on determining whether a proposed activity would constitute research, see the decision tree on the "Research and the Protection of Human Subjects" section of the OJP "Other Requirements for OJP Applications" Web page (www.ojp.usdoj.gov/funding/other_requirements.htm). Applicants whose proposals may involve

a research or statistical component also should review “Confidentiality” section on that Web page.

For more information about OJJDP performance measures, see www.ojjdp.ncjrs.gov/grantees/pm/index.html.

Notice of New Post-Award Reporting Requirements

Applicants should anticipate that 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), will be required 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.

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 should be submitted through Grants.gov. Complete instructions on how to register and submit an application can be found at www.grants.gov. Applicants who experience difficulties during this process should call the Grants.gov Customer Support Hotline at 1-800-518-4726. Hotline hours of operation are 24 hours, 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. OJJDP recommends that applicants register as early as possible to avoid delays in submitting their applications by the deadline.

All applicants are required to complete the following steps:

1. **Acquire a DUNS number.** A DUNS number is required for Grants.gov registration. OMB requires that all applicants for federal funds (other than individuals, who are exempt from this requirement) 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 tracking entities receiving federal funds. The identifier is used 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 1-866-705-5711 or by applying online at www.dnb.com.
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 Central Contractor Registration (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. However, 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.

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. Applicants must use their organization's DUNS number to complete this step. For more information about the registration process, visit www.grants.gov/applicants/get_registered.jsp.
4. **Acquire Confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The applicant's E-Biz POC must log into Grants.gov to confirm the organization's AOR. 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 number for this solicitation is 16.727 titled "Enforcing Underage Drinking Laws Program," and the funding opportunity number is OJJDP-2011-2997.
6. **Submit an Application Addressing All Solicitation Requirements.** Within 24–48 hours after submitting an electronic application, the applicant should receive an e-mail validation message from Grants.gov. The validation will state whether OJJDP has received and validated the application or rejected it, with an explanation. Important: OJJDP urges applicants to submit their 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.

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."

Grants.gov Technical Issues

Applicants who experience unforeseen Grants.gov technical issues that prevent them from submitting their applications by the deadline must contact OJJDP staff within 24 hours after the deadline and request approval to submit their applications. At that time, OJJDP staff will instruct the applicant to submit specific information detailing the technical difficulties. The applicant must e-mail a description of their technical difficulties, a timeline of submission efforts, their complete grant application, their DUNS number, and Grants.gov Help Desk tracking numbers they have received. After OJJDP reviews the information and contacts the Grants.gov Help Desk to validate the technical issues reported, OJP will contact the applicant to inform them whether their request has been approved or denied. If OJJDP cannot validate the technical issues reported, the Office will reject the application 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.

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

What an Application Is Expected To Include

This section describes what an application should include and sets out a number of elements. 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 OJJDP decide to make an award, it may result in OJJDP including special conditions that preclude access to or use of award funds pending satisfaction of the conditions.

Moreover, applicants should anticipate that some application elements are so critical that applications that do not respond to the scope of the solicitation, that do not meet the eligibility requirements, that do not request funding within the funding limit, that do not include a program narrative, budget detail worksheet, or a budget narrative will neither proceed to peer review nor receive further consideration.

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

Standard Form-424 (SF-424)

The SF-424 is a standard form required for use 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 www07.grants.gov/assets/SF424Instructions.pdf.

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 "Other Attachments" sections will not count toward the program narrative page count. If the program narrative fails to comply with these length-related restrictions, noncompliance may be considered in peer review and in final award decisions.

The program narrative should address the following selection criteria: (1) statement of the problem, (2) performance measures requirements, (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.

- **Statement of the Problem**

Applicants should briefly describe the nature and scope of the underage drinking problem in the jurisdiction that this project will address. Briefly describe issues related to assessing the problems and developing and adhering to a long-term strategic plan. This description should include:

- recent efforts to assess state and/or local underage drinking issues and the problems encountered.
- challenges in developing and implementing statewide and/or local strategic plans.
- data, at least as current as 2008, in regard to the following:
 - o off-premise outlet compliance with underage drinking laws in the selected communities.
 - o issues related to underage drinking (e.g., number of unintentional injuries related to alcohol consumption, number of alcohol-related traffic injuries/fatalities, number of first-time alcohol-related incidents).
 - o driving while intoxicated incidents in the selected communities and throughout the state.
 - o discussion of underage drinking policy issues within the selected communities and at the state level.
 - o discussion of other underage drinking issues that your state and selected communities have experienced.

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

- **Performance Measures Requirements**

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 will be required of successful applicants.

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. The initial objective will be to conduct an independent needs assessment as OJJDP and the solicitation have outlined (see Attachments A-C for details). Subsequent objectives will be program-oriented. The findings of the needs assessment will drive the program work; however, the applicant should focus program activities on the reduction of underage access and consumption of alcohol with the justice system and enforcement of underage drinking laws at the core.

Until the independent assessment is completed post award, the applicant may present what is most likely to be the programmatic focus, based on current information. If the independent assessment does not confirm their proposed program activities, applicants may adjust or augment their plans post assessment and with OJJDP concurrence. In general, the objectives of the application should address a minimum of #1 and #3 and one other from the following areas: (1) program management and strategic planning, (2) prevention that measurably reduces underage drinking, (3) juvenile and criminal justice systems, (4) communication program, (5) alcohol use, and (6) program evaluation and data. (See Attachment A for details.)

Performance Measures. Award recipients are required to report data in support of mandated performance measures for this solicitation (see "Performance Measures," page 5.) OJJDP does not require applicants to submit performance measures data with their applications. Applicants should describe the steps they will take to assemble the information needed to comply with OJJDP's performance measures reporting requirements. Award recipients will be encouraged to use information from existing program records to fulfill performance measures reporting requirements, rather than initiating new data collection activities for this purpose. To ensure confidentiality of program records, award recipients will also be required to submit a completed Privacy Certificate pre-award. (See www.ojjdp.ncjrs.gov/grantees/pm/faq.html for more information).

- **Program Design/Implementation**

Applicants should detail how the program 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 are encouraged to select research-based practices for their programs and adopt a project design that will facilitate the gathering of data on the required performance measures. Assistance with identifying research-based and promising practices is available at www.udetc.org or by calling 877-335-1287

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 federal, state, or private foundation grants that serve the same local area and target population.

Careful review of Attachment A will assist with the following requirements for Program Design and Implementation. The applicant must address a minimum of #1 and #3 below and one of the other areas from the following:

1. Program Management and Strategic Planning

State and local coalitions. The application should describe what justice-focused coalitions and individuals will be involved in the management of the work and the strategic planning.

Strategic planning. Applicants should describe how they will host the independent assessment team's implementation of the assessment process, including provision of team needs, meeting place logistics and arrangements for transport of individuals for the team interview.

- Grantees must collect all assessment data before OJJDP's independent assessment team visits the site. Grantees must collect and provide as much of the data described in Attachment B as possible. If elements of the data request are not available, the grantee should provide reasons it is unavailable. For purposes of the application, the applicant should describe what they know they can provide to the independent assessment team post award, what is unavailable, and why.
- Applicants should describe the meeting facilities and logistical support for OJJDP's independent assessment team, including required supplies, that they will provide. (See Attachment C for details.)

Program management and resources. The applicant should describe the individuals who will manage the implementation of this 3-year grant, including the program manager, a data/evaluation manager, and/or any other management deemed necessary for success, such as a local coordinator(s).

Data and records. Applicants should describe how they will access data and records from existing resources, collect data and records during the life of the program and share them with OJJDP, and secure them to protect confidentiality and privacy interests.

Communications. The applicant should describe a plan to maintain appropriate communication to support the program management and strategic planning.

2. Prevention

Highlighting and supporting specific prevention programs that have measurably reduced underage drinking. The applicant may include this type of prevention programming if it is strategically implemented in conjunction with enforcement and activities focused on the justice system as well.

Engagement in prevention activities of alcohol beverage enforcement agencies, law enforcement, alcohol service trainers, community-based programs focusing on underage drinking, schools, employers, community coalitions, youth, and youth programs. The applicant should ensure that these types of community members are engaged. Others may be added as well, including the military.

3. Juvenile and Criminal Justice Systems

Systems that address underage drinking using alcohol beverage regulations, laws, enforcement, and publicity to enhance general deterrence, prosecution, adjudication, and probation supervision. OJJDP encourages applicants to engage their juvenile and

criminal justice systems, as appropriate, in underage drinking issues. They should ensure that all juveniles in custody are handled in compliance with the Jail Removal Requirements of the Juvenile Justice and Delinquency Prevention Act of 1974, as amended. Program leaders should ensure that those taken into custody are handled in compliance with the Act.

4. Communication Program

States should develop and implement a comprehensive EUDL communication program that supports priority policies and program efforts. Communication strategies should be directed at preventing underage drinking and reducing the risk of alcohol-related injury, death, and the resulting medical, legal, social, and other costs.

Communications should highlight and support specific EUDL program activities underway in the community and be culturally relevant and appropriate to the audience. Where possible, the applicant should address the type of population they intend to serve. If the target population is multilingual or culturally diverse, priority policies and program efforts should take this into account.

5. Alcohol Use

Due to costs and priority requirements for the work, it may not be possible to address screening, assessment, and monitoring, both through the criminal and juvenile justice systems and in cooperation with medical and health care settings with grant funds. OJJDP encourages the applicant, however, to seek partnerships that will result in this type of service for youth with underage drinking issues.

6. Program Evaluation and Data

Applicants should address how they will develop evaluations, records systems to capture underage drinking data, and information management and records systems to determine the success of the planning and program efforts.

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 ojjdp.ncjrs.gov/grantees/performance.html. The logic model should be submitted as a separate attachment, as stipulated in "Other Attachments," page 15.

Timeline. Applicants should submit a timeline or milestone chart that indicates major tasks, 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.ncjrs.gov/grantees/timelines.html). The timeline should be submitted as a separate attachment, as stipulated in "Other Attachments," page 15. On receipt of an award, the timeline may be revised based on training and technical assistance provided by OJJDP.

- **Capabilities/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 projects of similar design or magnitude.

The state will provide a full-time program manager, who will serve as a liaison to the independent assessment team. The program manager also will monitor, coordinate, and provide training and technical support to implementation sites as outlined in the strategic plan and the selected elements for implementation during the grant period. Training and technical assistance should be provided in collaboration with the EUDL national training and technical assistance provider, the Underage Drinking Enforcement Training Center.

Due to the potential complexity of this effort, OJJDP recommends that the program manager work with the EUDL State Coordinator. The state program manager will work with the selected communities to ensure that each has, at a minimum, a half-time local coordinator. The local coordinator will develop and maintain a local coalition or similar body to select and implement best and most promising practices from the strategic plan and assist the evaluator in collecting data to support the evaluation.

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.

Since there is no match requirement, applicants should not describe any additional resources in this section but should discuss them in the program narrative. OJJDP strongly encourages applicants to plan for a 3-year project period and detail appropriately the first 8 to 12 months of planning and initial implementation in the budget narrative and budget worksheet, which should address the following budget elements or explain why a particular element is omitted:

- all costs associated with hosting the independent assessment and the independent assessment team during the first year of operation. The budget should include costs of travel, lodging, and meals for an independent assessment team of as many as five members. The budget should also include costs associated with the logistics of the independent assessment as outlined in Appendix C. Stipends for the independent assessment team should not be included in the budget.
- all costs associated with hosting a second visit from the independent assessment team in the third year to determine how well the state has utilized the assessment report and implemented the selected components of the strategic plan. Costs for this second trip should be approximately the same as for the initial trip in the first year.
- a state program manager and community coordinator(s), who will gather performance outcome data.
- compliance checks.
- driving while intoxicated enforcement enhancement.

- data collection.
- participation in training opportunities and the annual National Leadership Conference.
- other activities that promote the achievement of the performance outcome measures and implementation of selected portions of the strategic plan based on the independent assessment report.
- **Budget Detail Worksheet**

The worksheet should provide the detailed computation for each budget line item, listing the cost of each and showing how the applicant calculated it. For example, costs for personnel should show the annual salary rate and the percentage of time devoted to the project for each employee paid through grant funds. The budget detail worksheet should present a complete and detailed itemization of all proposed costs.

A sample Budget Detail Worksheet can be found at www.ojp.gov/funding/forms/budget_detail.pdf. If the budget is submitted in a different format, the budget categories listed in the sample budget worksheet should be included.

- **Budget Narrative**

The Budget Narrative should thoroughly and clearly describe every category of expense listed in the Budget Detail Worksheet. The narrative should be mathematically sound and correspond with the information and figures provided in the Budget Detail Worksheet. The narrative should explain how all costs were estimated and calculated 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.

For questions pertaining to budget and examples of allowable and unallowable costs, see the OJP Financial at www.ojp.usdoj.gov/financialguide/index.htm.

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/financialguide/part3/part3chap17.htm.

Other 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 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 13)
- timeline or milestone chart (see “Timeline,” page 13)
- résumés of all key personnel
- job descriptions outlining roles and responsibilities for all key positions
- letters of support

Other Standard Forms

Additional forms that may be required in connection with an award are available with their instructions on OJP’s funding page at 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:

- [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 then uploaded)
- [Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements](#) (required to be submitted in GMS prior to the receipt of any award funds))
- [Disclosure of Lobbying Activities](#) (required for any applicant that expends any funds for lobbying activities; this form must be downloaded, completed, and then uploaded)
- [Standard Assurances](#) (required to be submitted in GMS prior to the receipt of any award funds).

Selection Criteria

OJJDP will rate applications that proceed to peer review on a 100-point scale, based on the following point values for the selection criteria:

1. Statement of the Problem (15 points)
2. Performance Measures Requirements (15 points)
3. Program Design and Implementation (35 points)
4. Capabilities and Competencies (20 points)
5. Budget (15 points)

See “What an Application Is Expected To Include,” page 9, for descriptions of the above criteria.

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 and its requirements.

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 field of the subject matter of a given solicitation who is not a current U.S. Department of Justice employee. An internal reviewer is a current U.S. Department of Justice employee who is well-versed or has expertise in the subject matter of this solicitation. A peer review panel will evaluate, score, and rate all eligible applications. 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, 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.

Absent explicit statutory authorization or written delegation of authority to the contrary, all final award decisions will be made by the Assistant Attorney General, 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. Find additional information for each requirement at www.ojp.usdoj.gov/funding/other_requirements.htm.

- Civil Rights Compliance
- 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

Appendix A: EUDL Technical Assessment Program Guide

Each state should engage appropriate partners to develop and implement a comprehensive program to prevent youth from drinking alcohol while under the legal age and to reduce the incidence of this occurring.

This document describes the EUDL components and strategies that a state should employ and the component and strategy criteria that they should meet. It also provides states guidance for conducting technical assessments of their programs. These assessments are conducted by panels of outside experts, who identify the strengths and weaknesses of state EUDL programs and offer recommendations for program and system improvements. The outside experts should have programmatic experience in the areas that affect underage drinking as well as national experience with the issues presented.

The components of a comprehensive EUDL program are interrelated. They include the following:

Program Management and Strategic Planning. State and local coalitions, strategic planning, program management and resources, data and records, and communications.

Prevention. Highlighting and support for specific prevention programs that show measurable improvement in the reduction of underage drinking; and engagement in prevention activities of alcohol beverage enforcement agencies, law enforcement, alcohol service trainers, community-based programs focusing on underage drinking, schools, employers, community coalitions, and youth and youth programs.

Juvenile and Criminal Justice Systems. Systems that address underage drinking using alcohol beverage regulations, laws, enforcement, publicity to enhance general deterrence, prosecution, adjudication, and probation supervision. They should assure that all juveniles in custody are handled in compliance with the Jail Removal Requirements of the JJDP.

Communication Program. A consistent and coherent program that supports priority policies and program efforts and is culturally relevant and multilingual.

Alcohol Use. Screening, assessment, and monitoring, both through the criminal and juvenile justice systems and in cooperation with medical and health care settings.

Program Evaluation and Data. Evaluation, records systems to capture underage drinking data, and information management and records systems.

Many partners are needed to assure a successful EUDL program. Because each governor decides where the EUDL program will be located, the department housing the program in one state may not be the same as in another. For a list of the current EUDL locations, consult the listing at www.udetc.org/StateInformation.asp.

I. Program Management and Strategic Planning

An effective EUDL program requires strong commitment by the states and communities. Other elements of a good EUDL program are dedicated leadership, strategic planning, program management, and an effective communication program. While federal funds cannot

be used to promote policy development, sound policy development is an essential component of a comprehensive approach. The leadership should have the ability to create an inclusive synergy to address the program needs as well as adequate time to focus on programmatic needs. Program efforts should be data-driven and science-based. Criteria for choosing programs to implement and replicate should include a strong theoretical framework and independent evaluations determining the program's success. Programs and activities should focus on underage drinking—including the adults who supply the alcohol to youth—guided by problem identification, and they should be carefully managed and monitored for effectiveness. Adequate resources should be devoted to the problem. An assessment by independent experts should support EUDL program policy development and strategic planning processes.

A. State and Local Coalitions

States and local subdivisions should convene Enforcing Underage Drinking Laws coalitions and foster leadership, commitment, and coordination among all parties interested in the EUDL program. A statewide coalition should be convened following each EUDL assessment to develop a statewide strategic plan for implementing the assessment recommendations and to oversee its implementation. Coalitions should:

- enjoy active support and participation from the highest levels of leadership in the agencies and communities.
- include members who represent all interested parties, both traditional and nontraditional, such as representatives of: government—alcohol beverage enforcement, law enforcement, juvenile and criminal justice, public health, and driver licensing and education agencies—and business (employers and unions); the military; medical and health care organizations; and multicultural, faith-based, advocacy, youth, and other community groups.
- recommend goals and objectives, provide policy guidance, identify available resources, and develop leveraging opportunities.
- coordinate programs and activities to ensure that they complement rather than compete with each other. If the state funds local programs, their goals and objectives should cascade from the state's goals and objectives.
- operate continuously, based on clear authority and direction. It is desirable that the state-level —Underage Drinking Law Enforcement Coalition|| be established by law.

B. Strategic Planning

States should develop and implement an overall plan for short- and long-term activities to prevent underage drinking. The plan should:

- be based on careful problem identification that uses police stops, juvenile custody, arrests, convictions, emergency room admissions, and other available data to identify the populations and geographic areas most at risk.

- allocate resources for EUDL programs that are most likely to be effective and measurable, focusing on the populations and geographic areas most at risk.
- include measurable short-term objectives and long-range goals to prevent and reduce underage drinking.

Following each EUDL assessment, states should develop or update a statewide strategic plan focused on implementing the assessment recommendations. A statewide leadership team should be convened and charged with overseeing their implementation.

C. Program Management

State governors designate a lead agency with responsibility for overall EUDL program management and operations. That agency should establish procedures to ensure that EUDL program activities are implemented as intended. The procedures should provide for systematic monitoring and review of ongoing efforts to:

- ensure that appropriate data are collected to assess program impact and evaluation.
- measure progress in achieving established goals and objectives.
- detect and correct problems quickly.

D. Resources

States should allocate sufficient funding, staffing, and other resources to support their EUDL programs that are:

- adequate to meet program needs and proportional to the underage drinking problem.
- steady and derived from dedicated sources, which may include public or private funds.

E. Data and Records

States should establish and maintain juvenile and criminal records systems that provide underage drinking data. States also should access data from other sources (e.g., U.S. Census, Crash Outcome Data Evaluation System [CODES]) to fully inform the program. (For further details about data and records, see section VI.B.)

F. Communication Program

States should develop and implement a comprehensive communication program that supports EUDL priority policies and program efforts. (For further details about the communication program, see Section IV.)

II. Prevention

EUDL prevention programs should aim to reduce underage drinking through law enforcement efforts that include some environmental approaches associated with public

health—changing risky or dangerous behaviors and creating safe environments. Prevention programs should promote communication strategies that specifically highlight and support program components to prevent and reduce underage drinking. EUDL prevention activities that educate the public on the effects of alcohol use by youth and limit the availability of alcohol should be aimed at parents and other adults.

Prevention programs may include responsible practices for alcohol beverage sales and service, shoulder taps, and other law enforcement activities, as well as community-based programs carried out in schools, at work sites, in medical and health care facilities, and by community coalitions. The aim of such programs should be to prevent and reduce underage drinking, and their impact should be measurable.

EUDL prevention efforts should be directed specifically at underage drinking. Programs and activities should be science-based, determined to be effective and measurable, and include a communication component.

A. Responsible Alcohol Service

States should promote policies and practices that prevent the drinking of alcoholic beverages by persons younger than 21 years old. For example, States should:

- adopt and enforce programs to prevent sales or service of alcoholic beverages to persons younger than age 21, including compliance checks and —shoulder tap|| activities and the proper use of technology in alcohol retail establishments, particularly those catering to youth, to verify proper identification and to recognize false identification.
- provide adequate resources (including funds, staff, and training) to enforce alcohol beverage control regulations. States should coordinate with traditional state, county, municipal, and tribal law enforcement agencies to determine where underage drinkers obtained their alcohol and use this information to monitor compliance with regulations.
- promote no alcohol service under 21 programs, and provide written policies and training.
- encourage alcohol sales and service establishments to display educational information about the minimum legal drinking age and exclusion of underage drinkers from their alcohol service.
- provide that commercial establishments and social hosts may be held responsible for damages caused by an underage patron or guest who was served alcohol.

B. Community-Based Programs

Community-based EUDL programs implement prevention strategies at the local level through a variety of settings, including in partnerships involving alcohol beverage enforcement agencies, law enforcement, schools, employers, medical and health care professionals, and community coalitions. The goals and objectives for the community should cascade from those of the state EUDL program.

C-1. Schools

School-based prevention programs, beginning in elementary school and continuing through college and trade school, can play a critical role in preventing underage drinking. These programs should be developmentally appropriate, culturally relevant, and coordinated with health promotion programs. States should:

- coordinate with departments of education on K-12 education content about alcohol—with appropriate emphasis on the prevention of underage drinking—as part of a comprehensive health education program.
- promote alcohol-free events throughout the year, with particular emphasis on high-risk times, such as homecoming, spring break, prom, and graduation.
- establish and support student organizations that promote alcohol-free decisions, and encourage statewide coordination among these groups.
- encourage training for school personnel (such as resource officers, health care providers, counselors, health educators, and coaches) to enable them to provide information to students supporting alcohol-free decisions, and identify students who may be using alcohol.
- encourage colleges, universities, and trade schools to establish and enforce policies to reduce alcohol availability on campus; and encourage them to work with local businesses, alcohol beverage enforcement agencies, and law enforcement agencies to reduce such problems in neighboring communities.

C-2. Employers

States should provide information and technical assistance to employers and encourage them to offer programs to reduce underage drinking by their employees and their families. These programs should include:

- how to address underage drinking.
- employee awareness and education programs about underage drinking in the family, in the community, and on the work site.
- underage drinking prevention programs for youthful employees.

C-3. Community Coalitions

Community EUDL coalitions provide the opportunity to conduct underage drinking prevention programs collaboratively with other interested parties at the local level. The local coalitions often offer communications toolkits for local media relations, advertising, and public affairs activities. Coalition members should include representatives of government—alcohol beverage enforcement agencies, law enforcement, criminal justice, public health, driver licensing, and education agencies; business (employers and unions); the military; medical and health care communities; multicultural, faith-based,

advocacy, and other community groups; and, as appropriate, neighboring counties. States should:

- encourage communities to establish EUDL community coalitions focused on underage drinking prevention and include a wide variety of community members and leaders.
- provide general and technical information to these groups, including data on the underage drinking problem in the community and information on science-based underage drinking prevention programs.
- encourage these groups to provide support for local alcohol beverage enforcement agencies and law enforcement in their prevention efforts aimed at reducing underage drinking.
- encourage the alcohol beverage enforcement agencies and professionals such as prosecutors, judges, nurses, doctors, emergency medical personnel, law enforcement officers, and treatment professionals to serve as community spokespeople to educate the public about the consequences of underage drinking.

III. Criminal Justice System

Each state should use the various components of its criminal justice system—laws, enforcement, prosecution, adjudication, and probation—to achieve both specific and general deterrence of underage drinking. Specific deterrence focuses on individual offenders and seeks to ensure that underage drinkers will be detected, taken into custody or arrested, prosecuted, and subject to swift and appropriate sanctions. Using these measures, the criminal justice system seeks to reduce recidivism. General deterrence seeks to increase the perception that underage drinkers will face legal consequences, discouraging individuals from underage drinking.

A multidisciplinary approach and close coordination among all components of the juvenile and criminal justice system are needed to make the system work effectively. In addition, coordination is needed among alcohol beverage enforcement agencies and the law enforcement agencies—on the state, county, and municipal levels—to create and sustain both specific and general deterrence.

A. Laws

Each state should enact underage drinking laws that are sound, easy to understand, and can be effectively enforced. The laws should clearly define the offense of underage drinking and the related offenses under the alcohol control laws; contain provisions that facilitate effective enforcement; and establish effective consequences. The offenses should include:

- possession or consumption of alcohol by any person younger than age 21.
- supplying or providing alcohol by anyone (corporate or individual) to a person younger than age 21.

- driving by persons younger than age 21 with any measurable blood alcohol level (e.g., 0.02 or greater).
- possession or consumption of any open alcoholic beverage in the passenger area of a motor vehicle located on a public highway or right-of-way when anyone younger than age 21 is in the car.

Laws should include provisions to facilitate effective enforcement that authorizes:

- alcohol beverage enforcement agencies and law enforcement to conduct alcohol interdiction exercises to determine whether operators are selling to youth younger than age 21 or underage youth are buying alcohol.
- law enforcement to use proven alcohol-detection technology—including breath, blood, and saliva testing—to improve the detection of alcohol in youth.

Effective measures should include:

- youth and parent education programs about underage drinking.
- appropriate probation supervision, including abstention from use of alcohol.
- community service in a setting that helps the youth gain an understanding of alcohol risks.
- assessment of all underage drinkers for alcohol misuse problems.
- driver's license suspension for persons younger than age 21 for any repeat violation of laws involving the use or possession of alcohol.

B. Enforcement

States should conduct frequent, highly visible, well-publicized, and fully coordinated underage drinking law enforcement efforts throughout the state, especially in locations where underage drinking of alcohol most often occurs. To maximize visibility, the state should conduct periodic heightened efforts and also sustained efforts throughout the year. Both periodic and sustained efforts should be supported by publicity. To maximize resources, the state should coordinate efforts among the alcohol beverage enforcement and state, county, and municipal law enforcement agencies. To increase the probability of detection, arrest, and prosecution, participating officers should receive training in the latest underage drinking law enforcement techniques. States should:

- ensure that executive levels of each agency overseeing alcohol beverage enforcement and law enforcement—at both the state and local levels—make underage drinking law enforcement a priority and provide adequate resources.
- develop and implement a year-round underage drinking law enforcement plan (coordinated with a complementary communication plan) that includes:
 - o periods of heightened enforcement (e.g., three consecutive weekends over 16 days) and frequent (e.g., monthly), sustained coverage throughout the year.

- o a high degree of participation and coordination among alcohol beverage enforcement agencies and state, county, municipal, and tribal law enforcement agencies, such as through law enforcement task forces.
- have alcohol beverage enforcement agencies and law enforcement professionals serve as liaisons with local chapters of police organizations and associations that represent diverse groups, helping to enhance coordination and participation, and improve collaboration of enforcement efforts.
- deploy enforcement resources based on the identification of underage drinking problems, particularly in locations where underage drinking most often occurs.
- conduct highly visible underage drinking enforcement that maximizes contact between officers and the underage drinkers and widely publicize these efforts—before, while, and after they occur.
- coordinate efforts with alcohol beverage enforcement officials (see section II.A., Responsible Alcohol Service).
- use technology to enhance law enforcement efforts (e.g., video equipment, devices to detect alcohol in breath and saliva, and mobile data terminals).
- require that alcohol beverage enforcement officers and law enforcement officers involved in enforcing alcohol laws receive state-of-the-art training in the latest law enforcement techniques and emerging technologies.
- expedite the custodial or arrest process (e.g., by reducing paperwork and processing time from the time of arrest to booking and/or release).
- measure success emphasizing quantitative data, including the level of effort (e.g., number of participating agencies, checkpoints conducted, arrests made), public awareness (e.g., of message and actual enforcement), reported change in behavior (e.g., number of underage drinkers), and outcomes (e.g., alcohol-related fatalities and injuries caused by underage drinkers).

C. Publicizing High-Visibility Enforcement

States should actively communicate their underage drinking law enforcement efforts to increase the public's perception of the risks of detection, detention, arrest, prosecution, dispositions, and sentencing. Publicity should be culturally relevant, appropriate to the audience, and based on market research. States should:

- focus on creating a perception of the risk of detection, detention, arrest, prosecution, sanctions, dispositions, and punishment for underage drinking.
- develop and implement a year-round communication plan that includes:
 - o messages coordinated with national campaigns;

- o special emphasis during times of heightened enforcement and high-risk holiday periods (including coverage before and reports of results afterward);
- o regular (e.g., monthly), sustained coverage throughout the year, using messages (or “media hooks”) that are law enforcement related;
- o earned and donated advertising.
- use clear, concise messages to increase public awareness (e.g., messages that point out penalties and direct costs to the young offenders such as loss of license, lifetime arrest and conviction record, fines, court costs, lawyer fees, and insurance). For adults, the same penalties and costs apply except that the loss of a driver’s license becomes the loss of the alcohol beverage license.
- monitor and evaluate the media efforts to measure public awareness and changes in attitudes and behavior.

D. Prosecution

States should implement a comprehensive program to visibly and effectively prosecute and publicize underage drinking reduction efforts, including helping to coordinate and deliver training and technical assistance to prosecutors handling underage drinking cases throughout the state. States should:

- make juvenile and underage drinking cases a high priority for prosecution and assign these cases to knowledgeable and experienced prosecutors.
- encourage vigorous and consistent prosecution of those who provide alcohol to minors, particularly when the underage drinking results in a fatality or injury.
- provide sufficient resources to prosecute underage drinking and adult provision of alcohol cases and develop programs to retain qualified prosecutors.

E. Adjudication

When adjudicating cases involving underage drinking and the provision of alcohol to a minor, states should impose effective, appropriate, and research-based sanctions, followed by close supervision and the threat of harsher consequences for noncompliance. Each state should provide judges with the latest state-of-the-art education on underage drinking and adult sentencing for provision to minors, alternative sanctions, and emerging technologies. Enforcement and prosecution efforts are strengthened by knowledgeable, impartial, and effective adjudication.

Each state should improve case management for underage drinking law violations and ensure that personnel develop an understanding of the underage drinking problems to speed up disposition and adjudication. Courts also should increase access to testing and assessment to help identify underage alcohol misuse and dependence problems and help prevent these individuals from re-offending. The courts also should require sentence monitoring and enforcement. Each states should:

- involve its highest court in taking a leadership role and engaging judges in effectively adjudicating underage drinking cases and ensuring that they are assigned to knowledgeable and experienced judges.
- encourage consistency in the adjudication of underage drinking offenses and the imposition of effective and appropriate sanctions.
- provide sufficient resources to adjudicate underage drinking cases in a timely manner and effectively manage dockets brought before judges.
- ensure that judges who handle underage drinking and provision of alcohol to a minor receive state-of-the-art education (such as in technical evidence), emerging technologies for the detection of alcohol, and sentencing strategies for the underage drinker and the adult provider of alcohol.
- use court strategies to reduce recidivism through effective sentencing and close monitoring. Increase the use of drug or alcohol assessments, identify offenders with alcohol misuse problems, apply effective and appropriate sentences (including abstinence from alcohol), and closely monitor compliance.
- provide probation programs with adequate staffing, training, and resources, including technological resources, to monitor and guide offender behavior.

F. Programs

Each state's driver licensing agency should conduct programs that reinforce and complement the state's overall program to deter and prevent underage drinking, including:

- Graduated Driver Licensing (GDL) for novice drivers that includes three distinct licensing phases for young novice drivers (learner's permit, restricted license, and unrestricted license) that
 - o requires a learner's permit for a minimum of 6 months and a total combined period of 1 year before being eligible for an unrestricted license.
 - o requires that drivers practice driving with parental or adult supervision for a minimum number of hours and demonstrate safe driving practices before they may drive unaccompanied by a parent or adult.
 - o requires a nighttime driving restriction and limits on the number of young passengers who may be in the vehicle during phase two.
 - o provides that the permit, the restricted and unrestricted license, and licenses to issued drivers younger and older than age 21 be easily distinguishable.
 - o provides for license suspension for drivers younger than age 21 who drive with a BAC exceeding the limit set by the state's zero tolerance law.

- o A program to prevent individuals from obtaining and using a fraudulently obtained or altered driver's license, including training for:
 - o alcoholic beverage sellers to recognize fraudulent or altered licenses and IDs and what to do with these documents and those attempting to use them.
 - o license examiners to recognize fraudulent documents and those seeking to fraudulently apply for them.

IV. Communication Program

States should develop and implement a comprehensive EUDL communication program that supports priority policies and program efforts. Communication strategies should be directed at preventing underage drinking and reducing the risk of alcohol-related injury, death, and the resulting medical, legal, social, and other costs. Communications should highlight and support specific EUDL program activities underway in the community and be culturally relevant and appropriate to the audience. States should:

- use a EUDL communications strategy that focuses principally on increasing knowledge and awareness, changing attitudes, and influencing and sustaining appropriate behavior.
- adopt a comprehensive marketing approach that coordinates elements like media relations and public affairs/advocacy.
- use data and market research to identify specific audience segments to maximize resources and effectiveness.
- develop and implement a year-round EUDL communication plan that includes:
 - o policy and program priorities
 - o messages coordinated with national campaigns
 - o special emphasis during holiday periods and other high-risk times throughout the year, such as New Year's, the Fourth of July, Labor Day, Halloween, prom season, and graduation
 - o appropriate use of core-message platforms that emphasize the problem of underage drinking, enforcement, and personal responsibility—and with messages that are culturally relevant and linguistically appropriate
 - o capturing earned and donated media
 - o key alliances with private and public partners
 - o evaluation and survey tools.
- direct communication efforts at populations and geographic areas at highest risk or with emerging underage drinking problems, and be creative in encouraging media coverage, using a variety of messages or "hooks" (such as inviting reporters to ride-along with

alcohol beverage enforcement agencies and law enforcement officers and observing under-cover liquor law enforcement operations).

- encourage communities, businesses, and others to financially support and participate in EUDL communication efforts to extend their reach, particularly to populations in geographic areas at highest risk.

V. Alcohol: Screening, Assessment

Each state should encourage its employers, educators, justice system, and health care professionals to implement a system to identify and intervene with underage drinkers. Although the EUDL program has neither been mandated nor funded to address the critical issues of treatment and rehabilitation, for a small group of underage drinkers these services are very important. The treatment of alcohol dependence resources are located in the health agencies and other agencies that receive the funding for such services.

A. Screening and Assessment

Each state should encourage its employers, educators, and health care professionals to have a systematic program to screen and/or assess youth to determine whether they have an alcohol use disorder and, as appropriate, briefly intervene or refer them for appropriate treatment. EUDL, while not funded to provide such services, should encourage year-round screening and brief intervention by medical and health providers.

1. Criminal Justice System

Within the criminal justice system, underage drinkers who have been convicted of an offense should be assessed to determine whether they have an alcohol misuse problem and their need for treatment. The assessment should be required by law and completed before disposition, sentencing, or reaching a plea agreement. The assessment should be:

- used to decide whether a treatment and rehabilitation program should be part of the sanctions imposed by the court and what type of treatment would be most appropriate.
- based on standardized assessment criteria, including standard psychometric instruments, historical information (e.g., prior alcohol or drug-related arrests or convictions), and structured clinical interviews.
- appropriate for the offender's age and culture (e.g., use specialized assessment instruments tailored to and validated for youth or multicultural groups).

2. Treatment and Rehabilitation

As noted above, the EUDL program has not been mandated or funded to address treatment and rehabilitation, but for a small group of underage drinkers these services are very important. Each state should work with health care professionals, public health departments, and third-party payers to bring underage drinking law enforcement efforts to the attention of these groups. This will help ensure that offenders with alcohol misuse problems receive and complete appropriate treatment.

Other federal and state agencies are funded to provide resources for these programs.

B. Monitoring Underage Drinkers

Each state should establish a program to facilitate close monitoring of underage drinkers. Monitoring functions should be housed in the driver licensing, judicial, corrections, and treatment systems. Monitoring systems should be able to determine the status of all offenders in meeting their sentencing requirements for sanctions and/or rehabilitation, and they must be able to alert courts to noncompliance. Monitoring requirements should be established by law to assure that underage drinkers and adult suppliers comply with sanctions and that the judicial system is responsive. Noncompliant offenders should be handled swiftly, either judicially or administratively. States should:

- have an effective monitoring system for all underage drinkers.
- include driver's license tracking systems as an essential component of monitoring.
- generate periodic reports on offender compliance with administrative or judicially imposed sanctions.

VI. Program Evaluation and Data

A. Evaluation

Each state should routinely evaluate EUDL programs and activities to determine their effectiveness, and have access to and analyze reliable data sources for problem identification and program planning. Each state should conduct several different types of evaluations to effectively measure progress, to determine effectiveness, to plan and implement new program strategies, and to ensure that resources are allocated appropriately. The evaluation should be:

- planned before EUDL programs are initiated to ensure that appropriate data are available and adequate resources allocated.
- designed to use available data.
- used to determine whether goals and objectives have been met and to guide future programs and activities.
- organized and completed at the state and local level.
- reported on regularly to project and program managers and policymakers.

B. Data and Records

To fully support their EUDL program, states should establish and maintain records systems featuring accurate and regular data collection. Each system should use data from other sources, such as the U.S. Census, the youth and family surveys administered

in the states and communities, and the Crash Outcome Data Evaluation System (CODES). The state records systems should:

- permit the state to quantify:
 - o the extent of the underage drinking problem
 - o the impact on various populations (e.g., by specific age, gender, race, and ethnicity)
 - o the level of effort dedicated to the problem (e.g., level of enforcement activities, training, and earned media)
 - o the impact of the effort (e.g., public attitudes, awareness, and behavior change).
- contain electronic records of arrests, dispositions, driver licensing actions, and other sanctions for underage drinking offenders and the adult providers of alcohol.
- permit offenders to be tracked from arrest through disposition and compliance with sanctions.
- collect data to show compliance with the Jail Removal [and Separation Requirements](#) of the JJDP requirements and seek to assure that all juveniles in custody are handled in compliance with this law.
- be accurate, timely, and linked and readily accessible to persons authorized to receive the information, such as law enforcement, courts, licensing officials and treatment providers.

C. Information and Records Systems (including Licensing)

Each state's driver's licensing agency should maintain a system of records that enables the state to: (1) identify underage drinkers; (2) maintain a complete driving history of underage drinkers; (3) receive timely and accurate arrest and conviction data from law enforcement agencies and the courts; and (4) provide timely and accurate driver history records to law enforcement and the courts. The record system should:

- include communication protocols that permit real-time linkage and exchange of data between law enforcement, the courts, the state driver's licensing and vehicle registration authorities, liquor law enforcement, and other parties with a need for this information.
- provide immediate and up-to-date driving records for the courts to use when adjudicating and sentencing youth convicted of underage drinking.
- provide for the timely entry of any administrative or judicially imposed license action and the electronic retrieval of conviction records from the courts.
- provide for the effective exchange of data with state, local, tribal and military agencies, and with other governmental or sovereign entities.

VII. Guidance Documents

What follows is a sampling of Guidance documents that describe research-based and promising practices. The documents are available at www.udetc.org or by calling 877–335–1287.

- *Strategies to Reduce Underage Alcohol Use: Typology and Brief Overview* – This document provides a summary of the various strategies commonly used to reduce underage drinking and indicates the level of effect that might be expected from each strategy. The information is designed to assist States and Territories in setting priorities for activities to be funded with block grant money.
www.udetc.org/documents/strategies.pdf
- *Strategic Media Advocacy for Enforcement of Underage Drinking Laws* – The vast majority of States and Territories identified media campaigns as major component of their initial State and Territory action plans. In addition, media coverage is an essential component of enforcement. This guide provides State and Territory Coordinators and others with practical information on using media efficiently and effectively to bring about better enforcement of underage drinking laws. www.udetc.org/documents/rfp.pdf
- *Environmental Strategies to Prevent Alcohol Problems on College Campuses* – This document includes a comprehensive review of the literature regarding the whole range of environmental prevention programs that can be used on college campuses. It provides guidance to planners and policy-makers as to the expected effectiveness and acceptability of various approaches on campus and in the communities surrounding campuses. www.udetc.org/documents/EnvStratCollege.pdf
- *Preventing Sales of Alcohol to Minors: what You Should Know About Merchant Education Programs* – This brief document describes Merchant Education programs and their role in comprehensive community strategies to reduce underage drinking. The document discusses the effectiveness of Merchant Education, identifies necessary components and provides resources for more information.
www.udetc.org/documents/PreventingSales.pdf
- *Regulatory Strategies for Preventing Youth Access to Alcohol: Best Practices* – This document identifies the various types of laws that can be used to restrict minor's access to alcohol and to enhance enforcement efforts. The characteristics of well-crafted laws are described and common loopholes pointed out. The information can be used to identify needed changes in legislation as well as opportunities for better enforcement.
www.udetc.org/documents/accesslaws.pdf
- *Tips for Soliciting Cohesive Enforcement Program Plans: Writing Effective RFPs for the sub-Granting Process* – This brief document provides State and Territory Coordinators with a format for constructing requests for proposals that are likely to elicit cohesive and effective plans from local communities. www.udetc.org/documents/rfp.pdf
- *Guide to Enforcing Impaired Driving Laws for Youth* – Discusses the problem of impaired driving among youth and the importance of enforcement in this population. Describes how to increase the visibility and impact of zero tolerance laws for reducing underage

drinking and driving. Describes barriers to enforcing impaired driving laws with youth and techniques for overcoming these barriers. www.udetc.org/documents/rfp.pdf

Appendix B: EUDL Frequently Requested Data Elements

During the course of the assessment, the Technical Assistance Team will need to review a variety of statistical information about alcohol beverage sales and availability and their impact on youth driving in the state. The following are data elements that are likely to be requested for EUDL assessments. While the list does not comprise all of the statistical information the team may request, it does represent the most pertinent data elements. And while it is recognized that some of this information may not be available in some states, this list is provided for planning purposes for states planning EUDL assessments.

- 1.** Number of youth ages 12 through 21
- 2.** Number of stops, detentions, or arrests of persons younger than 21
- 3.** Number of alcohol beverage sales outlets and servers cited for liquor law violations
- 4.** Number of adults arrested for illegal alcohol sales (bootlegging) and how many of those sales involved persons younger than 21 either as seller or buyer
- 5.** Number of licensed outlets in each county or parish
- 6.** Number of alcohol beverage enforcement officers
- 7.** Data from courts, alcohol beverage control agencies, law enforcement agencies, and other available reports showing the number of state and local arrests and juvenile detentions, the number of alcohol beverage violations, and the number of administrative actions against the alcohol vendors and the dispositions of such cases
- 8.** For underage drivers:
 - a.** Number of licensed drivers
 - b.** Number of fatal crashes
 - c.** Number of motor vehicle fatalities
 - d.** Number of motor vehicle injuries
 - e.** Number of alcohol-related crashes
 - f.** Number of alcohol- and other drug-related fatal crashes
 - g.** Number of alcohol-related traffic fatalities
 - h.** Number of alcohol-related traffic crash injuries
 - i.** Traffic fatalities per 100 million vehicle miles traveled (9VMT)
 - j.** Number of DUI arrests
 - k.** Average BAC at arrest

- l.** Number of convictions for DUI (1st, 2nd, 3rd offense, etc.)
 - m.** Proportion of alcohol-related arrests that result in convictions
 - n.** Proportion of alcohol-related arrests that result in license suspension (where applicable)
- 9.** State demographics such as population, ethnic and minority representation, age distributions, etc.

Appendix C: EUDL Assessment Support Requirements

Meeting Room Requirements

The size of the meeting room is determined by how many participants the state chooses to involve in the briefing at any one time (3-4 participants). Expert Team members and an OJJDP representative and facilitator will be seated in the meeting room along with the presenter panels. Tables in the meeting room should be set up so as to allow informal discussion between the Expert Team and presenter panels. A table or combination of tables large enough to accommodate the 3-to-4 Expert Team members comfortably should be arranged facing table(s) set up for the presenter panels. A table for OJJDP staff also should be set up in the room (to be determined). Presenter table(s) should accommodate panels of at least 6 people at any one time, seated comfortably. There should be ample room for presenters to move about to make presentations, provide handouts, and interact with the team. This room must be available to the team members 24 hours a day starting on Sunday at 5:00 p.m. and running through Friday, 3:00 p.m.

Workroom/Office Requirements

A separate workroom/office is required for the administrative assistant and team. The preferred arrangement is a suite (adjoining the administrative assistant's hotel sleeping room) large enough to accommodate up to 8 comfortably, a meeting or conference table, and office equipment (PC, laser printer, full-size copier, and supplies) set up for the team's use. This arrangement works well in providing sufficient space for the team members to work, and generate the final report, as well as in safeguarding equipment and administrative personnel (who will be working alone very late at night). If a suite arrangement is not available or suite space will not accommodate the team's needs, a room separate from the administrative assistant's sleeping quarters should be reserved for this purpose. The workroom/office must be available to the team 24 hours a day.

Logistical Support

To prepare the final report at the conclusion of the visit, the team requires the following technical support on site:

1. IBM-compatible, Pentium-based PC with a color monitor; a USB port; and a hard drive loaded with Windows XP, Microsoft Office 2003, and a virus scan program **(must be set up the first day) (No Vista)**
2. A minimum of three (3) laptop Pentium computers with a USB port and loaded with Windows XP and Microsoft Office 2003 **(No Vista)**
3. A **high-speed** laser printer, with spare toner cartridge
4. A high-speed collating photocopy machine (with spare toner cartridge) set up in the workroom/office work area. Also 24-hour technical assistance and easy access to an alternative quick copying center such as the hotel's business center (as an emergency backup only)
5. A digital projector

Appendix D: Application Checklist

OJJDP FY 2011 Enforcing Underage Drinking Laws Assessment, Strategic Planning, and Implementation Initiative

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

Eligibility Requirements:

- _____ State agency that administers the EUDL Block Grants Program,
- _____ The federal amount requested is within the allowable limits of \$800,000.

What an Application is Expected to Include:

- _____ Application for Federal Assistance (SF-424) (see page 9)
- _____ Program Narrative
 - _____ Format (double spaced, 12-point standard font, 1" standard margins, narrative is 30 pages or less)
 - _____ Statement of the Problem
 - _____ Performance Measures Requirements
 - _____ Project Design and Implementation
 - _____ Capabilities/Competencies
- _____ Budget Detail Worksheet and Budget Narrative (see page 14)
- _____ Indirect Cost Rate Agreement (if applicable) (see page 15)
- _____ Other Attachments (see page 15)
 - _____ logic model
 - _____ timeline or milestone chart
 - _____ résumés of all key personnel
 - _____ job descriptions for all key positions.
 - _____ letters of support
- _____ Other Standard Forms, Certifications, and Other Components (see page 16), including:
 - _____ DUNS number
 - _____ CCR registration
 - _____ Certifications
 - _____ Disclosure of lobbying activities (if applicable)
 - _____ Accounting System and Financial Capability Questionnaire (if applicable)