



MAY 05		NIJ
Solicitation for Proposals		
Evaluation of the Bureau of Justice Assistance's Indian Alcohol and Substance Abuse Demonstration Programs		
Notice: You <i>must</i> submit your application using the Office of Justice Programs' automated Grants Management System. Paper applications will not be accepted. We suggest you begin the process as soon as possible. To start the process, go to http://www.ojp.usdoj.gov/fundopps.htm .		Deadline: June 15, 2005 8 p.m. eastern time SL 000703

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Evaluation of the Bureau of Justice Assistance's Indian Alcohol and Substance Abuse Demonstration Programs

I. Introduction

The National Institute of Justice (NIJ) is the research, development, and evaluation agency of the U.S. Department of Justice and a component of the Office of Justice Programs. NIJ provides objective, independent, evidence-based knowledge and tools to enhance the administration of justice and public safety. NIJ solicits proposals to inform its search for the knowledge and tools to guide policy and practice.

NIJ seeks participatory outcome evaluations of two initiatives supported by Fiscal Year 2003 discretionary funds from the Bureau of Justice Assistance's (BJA) Indian Alcohol and Substance Abuse Demonstration (IASAD) program. Evaluations of these initiatives will inform and enhance knowledge in the development and implementation of alcohol and substance abuse services in American Indian and Alaska Native communities.

Due date: The due date is June 15, 2005. Extensions to the deadlines are generally not granted.

Page limit: The program narrative section of your proposal must not exceed 30 double-spaced pages in 12-point font with 1-inch margins. Abstract, table of contents, charts, figures, appendixes, and government forms do not count toward the 30-page limit for the narrative section.

Reasons for rejection: NIJ may reject applications that are incomplete, do not respond to the scope of the solicitation, do not comply with format requirements, or are submitted after the deadline. No additions to the original submission are allowed.

How to submit applications to NIJ: Instructions for applying are in "Guidelines: How to Submit Applications," available on the NIJ Web site at <http://www.ojp.usdoj.gov/nij/funding.htm#gsya>.

II. Proposal Topics

NIJ and BJA are working together to understand the effectiveness of two initiatives funded under BJA's Indian Alcohol and Substance Abuse Demonstration (IASAD) program. The purpose of the IASAD program is to reduce crimes associated with the distribution and use of alcohol and controlled substances in tribal communities. The program seeks to mobilize tribal communities to

implement or enhance innovative, collaborative efforts that address public safety issues related to alcohol and substance abuse. The two initiatives selected were chosen from a large pool of projects because of their scope, activities, and potential for rigorous evaluation.

An overview of the IASAD program, the evaluation's scope of work, and the description of the two initiatives under consideration are appended to this solicitation:

- Indian Alcohol and Substance Abuse Demonstration (IASAD) Program Overview
- Evaluation's Scope of Work
- Lummi Nation's Community Mobilization Against Drugs (CMAD) Initiative
- Sisseton-Wahpeton Oyate Tribe Alcohol And Substance Abuse Prevention Project

As you develop your evaluation design, you should review carefully the evaluability assessments provided in the appendices.

BJA will use the information from this study to report on progress of the IASAD program and efforts to address public safety issues associated with alcohol and substance abuse in Indian Country. In addition, the results of this effort will inform tribal, State, and Federal leaders, and government funding agencies on the delivery of alcohol and substance abuse services in Indian Country.

III. General Requirements and Guidance

NIJ is asking you to submit a proposal that states the problem under investigation (including goals and objectives of the proposed project) and the relevance of the project to public policy, practice, or theory. The program narrative section should state the research question and objectives and explain how the work will contribute to knowledge and practice. It should describe in sufficient detail the research methods and analytic strategy.

Your application should include these elements:

- **Program Narrative**

The Program Narrative includes:

- a. Abstract (not to exceed 400 words).
- b. Table of contents.
- c. Main body. Includes:
 - Purpose, goals, and objectives.
 - Review of relevant literature.
 - Research design and methods.

- Implications for policy and practice.
- Management plan and organization.
- Dissemination strategy.

d. Appendixes. (Not counted against solicitation page limit.) Includes:

- Bibliography/References. (If applicable.)
- List of key personnel (Required.)
- Résumés of key personnel. (Required.)
- List of previous and current NIJ awards (Required.)
- Letters of cooperation/support or administrative agreements from organizations collaborating in the project. (If applicable.)
- Chart for timeline, research calendar, or milestones. (Required.)
- Other materials required by the solicitation.

- **Budget Detail Worksheet**

- **Budget Narrative**

- **Negotiated Indirect Rate Agreement** (If applicable.)

- **Other Program Attachments**

These include several forms, available on OJP's funding page at <http://www.ojp.usdoj.gov/forms/htm>.

Instructions for submitting proposals can be found in "Guidelines: How to Submit Applications," (available at <http://www.ojp.usdoj.gov/nij/funding.htm#gsya>) and the Office of Justice Programs Grants Management System Handbook (available at <http://www.ojp.usdoj.gov/fundopps.htm>).

A. Submit applications online: Paper applications are not accepted. Applications must be submitted through the Office of Justice Programs' online Grants Management System. NIJ suggests you begin the process early, especially if this is the first time you have used the system. To begin, go to <http://www.ojp.usdoj.gov/fundopps.htm>. There are three types of documents that can be uploaded to an application package: PDFs, Word documents, and text documents.

B. Relevance of the project for policy and practice: Higher quality proposals clearly explain the practical implications of the project. They connect technical expertise with policy and practice. To ensure that the project has strong relevance for policy and practice, some researchers and technologists collaborate with practitioners and policymakers. You may include letters showing support from practitioners, but they carry less weight than clear evidence that you understand why policymakers and practitioners would benefit from your

work and how they would use it. While a partnership may affect State or local activities, it should also have broader implications for others across the country.

- C. Equal opportunity for all applicants:** It is OJP's policy that faith-based and community organizations that statutorily qualify as eligible applicants under OJP programs are invited and encouraged to apply for awards. Faith-based and community organizations will be considered for an award on the same basis as any other eligible applicants and, if they receive an award, will be treated on an equal basis with non-faith-based and community organization grantees in the administration of such awards. No eligible applicant or grantee will be discriminated against on the basis of its religious character or affiliation, religious name, or the religious composition of its board of directors or persons working in the organization.
- D. Cofunding:** A grant made by NIJ under this solicitation may account for up to 100 percent of the total cost of the project. You must indicate whether you believe it is feasible for you to contribute cash, facilities, or services as non-Federal support for the project. Your proposal should identify generally any such contributions that you expect to make and your proposed budget should indicate in detail which items, if any, will be supported with non-Federal contributions.
- E. Number of grants to be awarded:** NIJ's grant award process is highly competitive. The number of awards NIJ makes is always subject to the availability of funds and the number and quality of applications received.
- F. When awards will be made:** All applicants, whether they are accepted or rejected, will be notified. The review and approval process takes about 6 months. You should not propose to begin work until at least 6 months after the proposal deadline on the cover of this solicitation. Also, you should not expect to receive notification of a decision for at least 6 months after that date. Lists of awards are updated regularly on NIJ's Web site at <http://www.ojp.usdoj.gov/nij/funding.htm>.
- G. Financial audits are required:** If your organization spends \$500,000 or more of Federal funds during the fiscal year, you may be asked to submit an organization-wide financial and compliance audit report before any award is made. The audit must be performed in accordance with the U.S. Government Accountability Office Government Accounting Standards and must conform to Chapter 19 ("Audit Requirements") of the Office of Justice Programs' Financial Guide (available at <http://www.ojp.usdoj.gov/FinGuide>). You may include the costs of complying with these audits in the proposed budget submitted as part of your application. Detailed information regarding the independent audit is available in Office of Management and Budget Circular A-133 (available at <http://www.whitehouse.gov/omb/circulars>).

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- H. An environmental assessment may be required:** All award recipients must comply with the National Environmental Policy Act (NEPA). To ensure NEPA compliance, NIJ may require some award recipients to submit additional information.
- I. Protection of confidentiality:** Federal regulations require applicants for NIJ funding to outline specific procedures for protecting private information about individuals as part of the Privacy Certificate submitted with the application package. For additional information, see “Guidelines: How to Submit Applications,” <http://www.ojp.usdoj.gov/nij/funding.htm#gasya>.
- J. A DUNS number is required:** The Office of Management and Budget requires that all businesses and nonprofit applicants for Federal funds include a DUNS (Data Universal Numeric System) number in their application for a new award or renewal of an award. Applications without a DUNS number are incomplete. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and keeping track of entities receiving Federal funds. The identifier is used for tracking purposes and to validate address and point of contact information. NIJ will use the DUNS number throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Obtain one by calling 1-866-705-5711 or by applying online at <http://www.dunandbradstreet.com>. Individuals are exempt from this requirement.
- K. Funds cannot be used to lobby:** Under the Anti-Lobbying Act (18 U.S.C. § 1913), grantees generally may not use funds to support the enactment, repeal, or modification of any law, regulation, or policy at any level of government. For additional information on rules and regulations, see “Guidelines: How to Submit Applications” at <http://www.ojp.usdoj.gov/nij/funding.htm#gasya> and OJP’s Financial Guide at <http://www.ojp.usdoj.gov/FinGuide>.
- L. What will *not* be funded:**
1. Provision of training or direct service.
 2. Proposals primarily to purchase equipment, materials, or supplies. (Your budget may include these items if they are necessary to conduct applied research, development, demonstration, evaluation, or analysis, but NIJ does not fund proposals that are primarily to purchase equipment.)
 3. Work that will be funded under another specific solicitation.
- M. Cost of proposed work:** NIJ intends to award \$475,000 for a participatory outcome evaluation of the Lummi Nation and Sisseton-Wahpeton Oyate Tribes’ alcohol and substance abuse initiatives. All awards are subject to the availability of appropriated funds. If you propose a project that exceeds the amount of money that may be available for this solicitation, we recommend that you divide the project into phases, stages, or tasks so that NIJ can consider making an award for a specific portion of the work. NIJ cannot guarantee

that subsequent phases, stages, or tasks will be funded. Such additional funding depends on NIJ's resources and your satisfactory completion of each phase, stage, or task. Note: Deliverables (e.g., a final report) will be required at the end of each phase, stage, or task.

N. Call for assistance:

For technical guidance about using the Grants Management System, call the hotline at 1–888–549–9901. For questions about this solicitation, the research being solicited, or other NIJ funding opportunities, see the NIJ web site at <http://www.ojp.usdoj.gov/nij> or contact NIJ at 202–307–2942.

IV. Selection Criteria

NIJ is firmly committed to the competitive process in awarding grants. All proposals are subjected to an independent peer-review panel evaluation. External peer-review panelists consider both technical and programmatic merits. Panelists are selected based on their expertise in subject areas pertinent to the proposals.

Peer-review panelists will evaluate proposals using the criteria listed below. NIJ staff then make recommendations to the NIJ Director. The Director makes final award decisions.

Successful applicants must demonstrate the following:

A. Understanding of the problem and its importance.

B. Quality and technical merit.

1. Awareness of the state of current research or technology.
2. Soundness of methodology and analytic and technical approach.
3. Feasibility of proposed project and awareness of pitfalls.
4. Innovation and creativity (when appropriate).

C. Impact of the proposed project.

1. Potential for significant advances in scientific or technical understanding of the problem.
2. Potential for significant advances in the field.
3. Relevance for improving the policy and practice of criminal justice and related agencies and improving public safety, security, and quality of life.
4. Affordability and cost-effectiveness of proposed end products, when applicable (e.g., purchase price and maintenance costs for a new technology or cost of training to use the technology).
5. Perceived potential for commercialization and/or implementation of a new technology (when applicable).

D. Capabilities, demonstrated productivity, and experience of applicants.

1. Qualifications and experience of proposed staff.
2. Demonstrated ability of proposed staff and organization to manage the effort.
3. Adequacy of the plan to manage the project, including how various tasks are subdivided and resources are used.
4. Successful past performance on NIJ grants and contracts (when applicable).

E. Budget.

1. Total cost of the project relative to the perceived benefit.
2. Appropriateness of the budget relative to the level of effort.
3. Use of existing resources to conserve costs.

F. Dissemination strategy.

1. Well-defined plan for the grant recipient to disseminate results to appropriate audiences, including researchers, practitioners, and policymakers.
2. Suggestions for print and electronic products NIJ might develop for practitioners and policymakers.

V. Requirements for Successful Applicants

If your proposal is funded, you will be required to submit several reports and other materials as follows:

- A. Final report:** The final report should be a comprehensive overview of the project and should include a detailed description of the project design, data, and methods; a full presentation of scientific findings; and a thorough discussion of the implications of the project findings for criminal justice practice and policy. It must contain an abstract of no more than 400 words and an executive summary of no more than 2,500 words.

A draft of the final report, abstract, and executive summary must be submitted 90 days before the end date of the grant. The draft final report will be peer reviewed upon submission. The reviews will be forwarded to the author with suggestions for revisions. The author must then submit the revised final report, abstract, and executive summary by the end date of the grant. The abstract, executive summary, and final report must be submitted in both paper and electronic formats.

For evaluation studies, the final report should include a section on measuring program performance. This section should outline the measures used to evaluate program effectiveness, modifications made to those measures as a result of the evaluation, and recommendations regarding these and other potential performance measures for similar programs. (This information will be particularly valuable to NIJ and other Federal program

agencies in implementing performance measures for federally funded criminal justice programs.)

B. Interim reports: Grantees must submit quarterly financial reports, semi-annual progress reports, and a final progress report. Future awards and fund drawdowns may be withheld if reports are delinquent. Post-award reporting requirements are described in “Guidelines: How to Submit Applications,” available at <http://www.ojp.usdoj.gov/nij/funding.htm#gsya>.

C. Materials concerning protection of confidential information and human subjects: Recipients of NIJ research funds must comply with Federal regulations concerning the protection of private information about individuals. Recipients also must comply with Federal regulations concerning protection of human subjects. In general, all research involving human subjects that is conducted or supported by NIJ funds must be reviewed and approved by an Institutional Review Board before Federal funds are expended for that research. NIJ may also ask grant recipients for additional information related to privacy and human subjects testing.

Information regarding NIJ’s requirements for privacy and protection of human subjects appears in “Guidelines: How to Submit Applications,” which is available at <http://www.ojp.usdoj.gov/nij/funding.htm#gsya>, and at NIJ’s Human Subjects Protection web page, <http://www.ojp.usdoj.gov/nij/humansubjects>.

D. Electronic data: Some grant recipients will be required to submit electronic data and supporting documentation, such as a codebook or dictionary, capable of being re-analyzed and used by other researchers. The materials must be submitted by the end date of the grant. Grant applicants should ensure that the proposed timeline and budget accommodate these requirements.

E. Performance guidelines: As part of government-wide efforts to measure the performance of Federal funding, in May 2002, the White House issued guidance on how to evaluate the performance of Federal research programs. Research should be: (1) relevant—that is, important and appropriate for meeting the needs of the field, (2) of high quality, and (3) well-managed by grantees and well-monitored by the Federal agency. Therefore, in addition to the reporting requirements discussed above, a grantee’s performance on an award made under this solicitation will be evaluated on whether the final research report was (1) relevant to the needs of the field as measured by whether the grantee’s substantive scope did not deviate from the funded proposal or any subsequent agency modifications to the scope; (2) of high quality as assessed by peer reviewers; and (3) well-managed as measured by whether significant interim project milestones were achieved, final deadlines were met, and costs remained within approved limits. For more information see “Guidelines: How to Submit Applications,” available at <http://www.ojp.usdoj.gov/nij/funding.htm#gsya>.

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Indian Alcohol and Substance Demonstration (IASAD) Program Overview

The United States has a unique trust responsibility to protect and act for the betterment of Indian tribes. This trust responsibility extends to the protection of Indian sovereignty. The U.S. Department of Justice has sought to fulfill this responsibility by increasing its involvement in addressing crime and justice issues for American Indians and Alaska Natives during the last ten years. This involvement was strengthened in 1997 with the launch of the Indian Country Law Enforcement Initiative. This initiative, developed by the U.S. Justice and Interior Departments, working with tribal governments, seeks to increase law enforcement standards, enhance public safety, and improve the quality of life in tribal communities.

Available research on crime, justice, and victimization in Indian Country confirms the significant needs that were instrumental in launching the Indian Country Law Enforcement Initiative. For example, substance abuse and the co-occurrence of alcohol use and offending are particularly high among American Indians. Alcohol and other drugs of abuse are often involved in violent crime, ranging from homicides to child abuse. The violent crime rate among American Indians is almost 2.5 times the national rate for ages 12 and above. American Indian victims of crime report that alcohol was a factor in almost half of the violent crimes committed against them. An estimated 7 in 10 American Indians in local jails convicted of a violent crime had been drinking when they committed the offense.¹ In response to these statistics, the Indian Alcohol and Substance Abuse Demonstration (IASAD) program was created in 2001 under Public Law 106-553 and is being administered by BJA. Under the program, tribes develop new or enhance existing strategies that prevent, interdict, and treat alcohol and drug use by members of tribal communities.

In 2003 BJA requested that NIJ conduct an evaluation of the IASAD program. NIJ commissioned an evaluability assessment (EA) of the six IASAD 2003 grantees to determine whether or not a full evaluation of the program was warranted and to identify those grantee sites that would most likely present the best opportunity for an outcome evaluation.

The EA showed that important results could be obtained from evaluating IASAD program components that address alcohol and substance abuse that have been implemented to date. The evaluations would describe the services being provided and the obstacles being faced. Based on the EA, NIJ selected two tribal initiatives directed at addressing public safety issues related to

¹ Bureau of Justice Statistics *American Indian and Crime* report, Feb. 1999.

alcohol and substance abuse. Two tribes agreed to participate in full evaluations – The Lummi Nation and Sisseton-Wahpeton Oyate Tribes.

The goal of this evaluation is to gain practical, measurable, and descriptive information on the IASAD program and efforts to address public safety issues associated with alcohol and substance abuse in Indian Country. In addition, the evaluation will provide feedback to the U.S. Department of Justice, NIJ, BJA, the grantees, Federal stakeholders, and others in Indian Country, regarding the processes and early outcomes of the IASAD program.

Evaluation's Scope of Work

This solicitation will support the evaluation of two alcohol and substance abuse initiatives funded through BJA's IASAD program. Applicants should include a detailed evaluation plan which will provide feedback to BJA and the grantees, emphasizing the development and implementation of these programs where applicable. Measurable outcomes are strongly encouraged where applicable.

It is not expected that all objectives can be evaluated across both active grantee initiatives. However, proposals should balance those objectives that can be applied across both tribes with those most applicable to indepth, site-specific evaluations.

Evaluation efforts may include but are not limited to:

- A. Describing the overall comprehensive efforts employed by the Lummi Nation and Sisseton-Wahpeton Oyate Tribes to address alcohol and substance abuse.
- B. Identifying the vision, strategy, and goals of the individual program components and determine if the goals of the overall initiative are/were achieved.
- C. Constructing logic models to summarize the initiatives' overall mechanisms of change by linking processes to eventual program effects.
- D. Providing analysis of alcohol and substance abuse services being provided measuring impact or change (e.g., population served, types of services, facilities, demographics, travel and transportation, locations, equipment, etc.) and perceived levels of satisfaction.
- E. Surveying tribal members' perceptions (including those not served by programs) of the services they think should be provided, what services they think are actually being provided, and whether or not the services met their needs.

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- F. Identifying gaps in services delivered and barriers to the integration of services including recommendations on how to eliminate gaps and barriers.
 - G. Performing cost-benefit analyses (social and/or economic models) addressing geographic, demographics, facilities, staffing, equipment, travel, experience, transportation, hours of operation, length of program, and other factors which account for funding and populations served.
 - H. Identifying, describing, and evaluating program components and strategies that adopt a holistic approach in providing culturally appropriate alcohol and substance abuse services.
 - I. Identifying and explaining the effects of integrating tribal cultural and community values into alcohol and substance abuse prevention and diversion strategies.
 - J. Identifying and explaining how program interventions have impacted subsequent offending or drug-abusing patterns looking at overall changes in knowledge, attitudes, and behaviors.
 - K. Researching and documenting the interactions between the programs' law enforcement, courts, and health services components.
 - L. Evaluating early outcomes in the reductions and/or increases of violent crime incidents (e.g., domestic violence, child abuse, juvenile offenses, etc.), arrests, prosecutions, and recidivism involving alcohol and substance abuse.
 - M. Evaluating the permanency and accessibility of these programs and provide recommendations for improvement.
 - N. Recommending promising strategies to improving alcohol and substance abuse services for American Indians.

Participatory Evaluations

The goal of a participatory evaluation is to make the evaluation more responsive and appropriate to tribes' needs and real life contexts. The proposed approach should, therefore, reflect the philosophy of this type of evaluation and should demonstrate a practical recognition of the role of the evaluator as facilitator, collaborator, and learning resource. In addition, the evaluation should be structured to have an on-site evaluation team member at each of the research sites for the duration of the evaluation. The design should also facilitate involvement with tribal stakeholders at each location. Applicants are asked to address how this participatory evaluation will be operationalized for both the Lummi Nation and the Sisseton-Wahpeton Oyate Tribes. Elements to be addressed are described below.

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- Applicants under this solicitation are strongly encouraged to: (1) involve indigenous people in the design and implementation of their research; (2) work to provide research findings that have clear practical implications for the tribe in which the study is being conducted, as well as for American Indian and Alaska Native communities in general; (3) use methods of inquiry that incorporate both qualitative and quantitative techniques while being sensitive to local customs and values; and (4) incorporate formal communications of findings to the Indian tribes involved (e.g., report review and verification to tribal council and program staff).
 - Applicants under this solicitation are strongly encouraged to describe the process that will be used to consult with and involve (i.e., provide feedback) all stakeholders on a range of evaluation issues. Stakeholders are defined inclusively for purposes of these sites to include a broad range of participants from each site as well as the Federal agencies involved. Applicants should provide specific examples on both the process and substance of stakeholders' involvement.
 - Applicants under this solicitation are strongly encouraged to describe strategies that will be used to maintain the integrity of the evaluation in this participatory context including a statement about the role(s) of the evaluator in a participatory evaluation.
 - Applicants are required to make use of the statistical data available at the tribal sites for the purposes of this evaluation.
 - Applicants must include information in their proposal that addresses their qualifications to conduct participatory evaluations including knowledge about, and experience in conducting research in Indian Country. Also, applicants are strongly encouraged to involve the faculty and/or students of tribal colleges in this evaluation.
 - Applicants should propose evaluation timetables and durations consistent with the objective of performing a rigorous and successful outcome evaluation. You should also plan to produce a detailed evaluation design and work plan to NIJ within 60 days of award.
 - Finally, applicants should include funds in their budget to travel to at least 2 meetings that involve the Lummi Nation and Sisseton-Wahpeton Oyate Tribes that are either held by

the BJA technical assistance contractor or convened by the Office of Justice Programs involving these grantees so they can update participants on evaluation progress and provide advice regarding evaluation issues. These meetings will be held at alternating sites.

Evaluability Assessment: Lummi Nation's Community Mobilization Against Drugs Initiative

Grantee: The Lummi Nation

Grant Period: September 1, 2003–August 31, 2006

Award Amount: \$500,000

Project Summary: The Lummi Nation's Community Mobilization Against Drugs (CMAD) Initiative is a collaborative strategy to coalesce tribal and nontribal programs serving Lummi members and residents to address problems, issues, and needs resulting from drug trafficking, substance abuse, and related criminal activities. The goal of the CMAD program is to "provide a safe, supportive, and attractive community and living environment for all members of the community."

Specific goals also include:

- Increase identification, apprehension, and prosecution of individuals engaged in illegal alcohol transportation, distribution, or use.
- Increase access of tribal members to law enforcement officials to respond to alcohol-related incidents.
- Increase the use of technology monitoring stations to supplement patrol and investigative work.
- Increase visibility of law enforcement on the reservation.

The program also seeks to reduce and eliminate illegal drug trafficking, and the use and abuse of alcohol by tribal members.

EVALUABILITY ASSESSMENT: LUMMI NATION'S
COMMUNITY MOBILIZATION AGAINST DRUGS

SYNOPSIS

Grantee: Lummi Nation

Grant Duration: September 1, 2003–August 31, 2006

Award Amount: \$500,000

Project Summary: The Lummi Nation's Community Mobilization Against Drugs (CMAD) Initiative is a collaborative strategy to coalesce tribal and nontribal programs serving Lummi members and residents to address problems, issues, and needs resulting from drug trafficking, substance abuse, and related criminal activities. The goal of the CMAD program, according to Lummi council member Darrell Hillaire, is to "provide a safe, supportive, and attractive community and living environment for all members of the community." Specific goals also include:

- Increase identification, apprehension, and prosecution of individuals engaged in illegal alcohol transportation, distribution, or use.
- Increase access of tribal members to law enforcement officials to respond to alcohol-related incidents.
- Increase the use of technology monitoring stations to supplement patrol and investigative work.
- Increase visibility of law enforcement on the reservation.

The program also seeks to reduce and eliminate illegal drug trafficking and the use and abuse of alcohol by tribal members.

Scope of Evaluability Assessment: This evaluability assessment (EA) of the Lummi Nation CMAD involved: (1) an assessment of the tribe's narrative grant application to BJA; (2) brief telephone contacts with tribal staff to facilitate and schedule onsite visits by EA contractor staff; (3) onsite interviews; (4) postsite visit telephone interviews with Lummi CMAD staff; and (5) analysis of qualitative data obtained from interviews.

Summary of Evaluability Assessment Activity: During the site visit on December 17 and 18, 2004, contractor staff (Sheila McKinney, Caliber Associates, and Ada Melton, AIDA) conducted interviews with 17 tribal and community participants. Followup phone interviews were conducted with the project data coordination and statistical staff to address specific questions regarding the scope of tribal data resources and the contents of data sets.

Findings: This community-focused intervention has made strong initial progress toward defining necessary community partnerships and has adapted an established model (Community Readiness) for planning the delivery of services to the community. The Shxwolewen Initiative is comprehensive in scope, and with additional programmatic specification, can be designed as an effective intervention.

We envision and recommend an iterative, formative study as a first stage in an ongoing series of evaluative processes to demonstrate the effectiveness of this project. In fact, there is already strong internal support for this type of evaluation. A major strength of this program is its “clear vision,” its committed tribal leadership, and its motivated program staff.

A participant-focused, formative study (key interview method) would permit a review of policies, program materials, program operations and activities, program organization, staffing patterns, training, community involvement, and likely effects on client service delivery systems.

Initial Project Analysis

1. What could an evaluation of this project add to what we know?

This evaluation would provide information on several important areas that are germane to helping tribes address substance abuse problems and issues such as:

- Strategies based on cultural approaches to collaboration and bringing internal tribal programs and agencies together to solve major drug and alcohol problems.
- Documentation of cultural or tribal-based philosophies to understanding the causal and contributing factors to alcohol and drug abuse in Indian communities.
- Documentation of TEPEE strategies that work and how they work.
- Documentation of strategies to working with external State, County and Federal agencies and other nongovernmental agencies to address and/or respond to alcohol and drug problems occurring on Indian lands or affecting Indian people.

A formative type evaluation could also result in the identification of effective public policy strategies that support the TEPEE strategy.

2. Which audiences would benefit from this evaluation?

The most direct audiences are Indian practitioners, administrators, and policymakers. Other groups would include State and Federal program administrators, funders, and policymakers, foundations, and Indian and non-Indian researchers.

3. What could they do with the findings?

An evaluation could serve as a catalyst for the following:

- Replication of strategies that work in Indian communities for collaboration and coordination of effort to address substance abuse and the problems and needs of clients, families, and communities.
- Peer-to-peer tribal consultation on community mobilization and program development.
- Effective policy development aimed at addressing alcohol and substance abuse with laws, program policies, and law enforcement regulations for police, housing, and schools.
- Improve training for tribal staffs working with substance abuse clients or issues.
- Improvement of treatment strategies.
- Better use of resources and staff.

Finally, an evaluation could assist in the development of effective roles and responsibilities for tribal leadership, program staff, and the community at large.

4. Is the grantee interested in being evaluated?

Yes, the grantee expressed willingness and interest in participating in an evaluation.

5. What is the background/history of this project?

The Lummi Nation first acknowledged the existence of the drug and alcohol problems in their community over 10 years ago. In 1993, the tribe passed a resolution to work toward achieving a drug-free reservation. However, the resolution lacked focus and leadership and was essentially an unfunded mandate that was also not enforceable. As a result of four to five generations of alcohol and drug abuse among the tribal membership, the Lummi Nation experienced several tragedies with loss of life from drug overdoses, suicide, homicide, and infant deaths and other types of victimization. While the tribe recognized and acknowledged the substance abuse problem in its community, the responses to address the problem were developed “running on

emotion and not well thought out.” The growing fatalities, crime, and victimization rates led the tribal council to commission a study to examine the problem six years ago. This study has helped the tribe gain a full understanding of the problem, the causal and contribution factors, and guidance in developing strategies and approaches to address the problem from legal, social, mental and physical health, and spiritual perspectives. The tribe realized it needed to deal with illegal drug use, abuse, and trafficking as well as the sale of prescription drugs (oxycontin) and the over-prescribing of prescription drugs for people with mental health problems.

The CMAD was established as a way to involve the community and to reclaim the community from “the clutches of alcohol, drugs, traffickers, and criminals.” The CMAD is a way to focus and intersect governmental and community strengths and resources to address the problem. Zero tolerance for drugs is promoted by the CMAD as a strategy to affect (reduce) community tolerance for alcohol and drug use and trafficking.

After first-year efforts, the CMAD Initiative adopted a refined strategy entitled, Comprehensive TEPEE strategy (the title was changed to the Lummi word “Shxwolewen”), which focuses on five areas for the CMAD team to direct program and policy development efforts. The five areas are treatment, education, prevention, employment, and enforcement. An evaluation component includes collection of program data to track progress toward achievement of goals in each of the five TEPEE areas. In addition to this program, the Lummi Tribal Court has received grant funds from DOJ to implement an adult drug court. The Lummi Drug Court is currently in a pilot stage of operation.

6. *What are the project’s outcome goals, in the view of the project director?*

The primary outcome goals emerging from the TEPEE strategy, include:

- Reduced illicit drug trafficking.
- Reductions in rates of substance use disorder and addiction.
- Prevention of drug abuse and underage drinking among youth.

Over time, tribal members who traffic in illicit drugs and rely on these illegal sources of income will become employed in productive activities, and these behaviors will be reflected in higher rates of employment, decreased arrests and prosecutions for drug-related offenses, and increases in self-reported income derived from legitimate sources.

Another outcome goal is community mobilization so that the community becomes involved in all aspects of prevention, intervention, and suppression of alcohol and drug use and abuse and

trafficking. The director (who is the tribal chairman) wants to implement strategies and approaches that are more holistic and community- and culture-based. He wants programs and policies to be data-driven and for the tribe to create its own evidence of what works and does not work in their community to address alcohol and drug problems, issues, needs, and concerns. He wants this to occur through coordinated efforts by tribal programs and cooperative support from nontribal programs and agencies.

While not explicitly stated in the proposal or program goals, the tribe is promoting the CMAD strategy intertribally within Washington State and with other American and Alaska Native tribes and Canadian tribes. The tribal chairman and other council members have presented the initiative at conferences and training settings and the tribe is planning an Indian Country conference on substance abuse that will feature the CMAD strategies.

7. Does the proposal/project director describe key elements?

The project director and coordinator described the key components of the program, which include:

- Community Readiness Model.
- Schxwolewen (TEPEE) model.
- Tribal leadership involvement.
- Partnerships among tribal programs to implement the TEPEE model.
- Community outreach.
- Outreach to nontribal agencies and programs.
- Media advocacy and exposure.
- Plans for sustainability of the CMAD Initiative.

A final, critical element of the program is the design, development, and implementation of a data management system to support collection of information for program evaluation, client tracking, information sharing, planning and reporting, and other needs.

The fact that the data management systems have yet to be designed and implemented means that there is currently a lack of specific information available regarding key data systems and elements (see Questions 13 and 14 below).

8. Do they describe how the project's primary activities contribute to goals?

Yes, the respondents provide clear description and examples of how their activities support achievement of goals. For example, interviews with the housing director identified several zero-tolerance activities such as drug testing of tenants, eviction of drug dealers in public housing, surveillance cameras to detect drug trafficking activities, and community policing which support several goals articulated in the proposal.

9. Can you sketch the logic by which activities should affect goals?

The project is still early in the implementation stage and resources are being directed toward community-focused planning. The program director will need to become more specific about the exact inputs, processes, and results that will track the programs' effects. In general terms, the program initiative (Shxwolewen) is comprised of a holistic, five-team strategy (Treatment, Education, Prevention, Employment, and Enforcement: TEPEE) that seeks to address ongoing community health needs.

10. Are there other local projects providing similar services that could be used for comparisons?

We know of no local project that would be particularly useful, largely due to the fact that each tribal entity has unique historical, social, political, and economic circumstances.

However, similar programs have been implemented in other rural Native American settings to foster community healing and to address social problems (including substance abuse, youth suicide, HIV transmission) and some of these programs may be useful points of reference when performing qualitative evaluations of the present intervention. For example, the Robert Wood Johnson Foundation funded the *Healthy Nations Initiative* to create community-based strategies for substance abuse prevention, treatment, and aftercare (Noe, T., Fleming, C. M. & Manson, 2003). The published process evaluation summary outlines successful strategies for developing and sustaining substance abuse programs in AIAN communities and an assessment of their impact and accomplishments. In addition, Fleming (1994) provides a qualitative evaluation of a community development approach to substance abuse prevention and risk behaviors among youth on Montana's Flathead Reservation. That intervention stressed a "healing process to break the generational cycle associated with these problems."

11. Will samples that figure in outcome measurement be large enough to generate statistically significant findings for modest effect sizes?

Sampling will not be recommended. At the time a comprehensive outcome evaluation is implemented at the tribal level, it would be recommended that resources be made available to record process and outcome data on the population universe (i.e., full tribal census or age-specific categories of the tribal membership) in order to provide generalizable between-group and population comparisons.

12. Is the grantee planning an evaluation?

Yes, the grantee is planning to evaluate the components of service delivery, and the Community Readiness Model includes an evaluation component. The intent of these planned evaluation activities, however, is process specification (i.e., formative) as opposed to an outcome (impact) focused evaluation.

13. What data systems exist that would facilitate evaluation?

The tribe has recently established an information management department, and project staff are in an initial data collection mode. This involves assessing data sources from tribal police and tribal court departments, the (substance abuse) Treatment Care Center, and the Housing and Family Services departments. Each of these data sources could support evaluation activities.

14. What are the key data elements contained in these systems?

The program is not at a stage of implementation where the *specific* data elements or variables to be employed in evaluation(s) have been identified.

Tribal police use the CRIS reporting system, which contains crime report data that would support baseline and followup data reporting on law enforcement trends. Treatment admissions and discharge data should be available from the DASA Target system, which contains demographic, referral, health assessment, family and living arrangements, employment and income, arrests and criminal involvement, and current and past substance use information. However, a single person is in charge of treatment records coding, and there are backlogs of records to be entered into the DASA Target system.

Tribal court order records are now being accessed to determine who has been sentenced to treatment and who has been adjudicated through the tribal drug court, as well as to determine the accuracy of baseline rates for these measures.

15. Are there data to estimate unit costs of services or activities?

There would be substantial technical and resource barriers to obtaining data related to unit costs of services. Unitized cost estimates of specific tribal justice services (enforcement, prevention, and treatment) could probably be developed with additional investments in data collection, retrieval, and/or coding. Program evaluators would have to weigh the tradeoffs between the (probably high) resources expended and the (probably low) level of precision attained in estimating per unit costs. As an illustration of the broad issue, it is well known that community-based substance abuse treatment providers have been largely unable to develop reliable and meaningful unit cost metrics given more immediate priorities for limited funds and resources.

16. Are there data about possible comparison samples?

The use of comparison samples is not recommended. The unique social, historical, and cultural context of individual Native American tribal communities renders the use of comparison samples invalid.

17. In general, how useful are the data systems to impact evaluation?

Generally, there appear to be sufficient, useful data sources to support an impact evaluation once the project has been implemented. Data management staff we spoke with are still trying to understand and inventory the data contained in these systems for future evaluation purposes.

SITE VISIT EVALUABILITY ASSESSMENT

18. What is the stage of implementation?

The initiative has completed at least a year of planning and is in the final stages of some planning while beginning to implement other components. Several supporting or programmatic aspects are still in developmental stages. The tribe is using a Community Readiness Model developed by the Tri-Ethnic Center for Prevention Research, a division of the Psychology Department at Colorado State University. This model is helping the tribe to thoroughly understand the problem and what needs to be done through structured assessment, diagnosis of systems, and identification of strategies to implement community change. The following activities and tasks have occurred or are ongoing:

- Refinement of goals and objectives and design of program benchmarks or indicators, and flow chart of how clients enter the system, i.e., treatment.

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- Several assessment activities involving community input have occurred using facilitated traditional circle sessions; these sessions may be linked to the Community Readiness Model.
 - The CMAD team meets regularly.
 - Media advocacy activities appear to be occurring regularly with information about the initiative and its goals and objectives featured in local newspapers and other media.

Each aspect of the CMAD strategy is under development with some aspects already in place. Importantly, the project has hired two staff members to manage data and statistics that can be used to support the implementation and ongoing evaluation of this effort.

19. *Is the intervention being implemented as planned and on schedule?*

In general, the intervention is proceeding as planned (see question above for additional details).

20. *What is the intervention to be evaluated?*

The CMAD was established as a way to involve the community and to reclaim the community from “the clutches of alcohol, drugs, traffickers, and criminals.” The approach will assess community readiness for change and apply a five-tiered strategy to addressing those needs. Team building will be used to align resources with each of the five strategies (treatment, education, prevention, employment, and enforcement). The CMAD coordinator will be in charge of conducting community readiness assessments.

21. *Is the intervention traditional, western, or mixed?*

The intervention is mixed. While not articulated strongly in program goals, tribal leadership, via the tribal chairman and council, is an expected role derived from customary tenets of shared leadership that also requires leaders to model good life-ways found in Lummi culture, beliefs and practices. In this view of leadership, several tribal council members, including the chairman are following the *Red Road*, which promotes sobriety in daily life.

The TEPEE strategy is considered a holistic approach to address substance abuse at the individual, community, and governance level. Most importantly, the TEPEE strategy helps programs work outside the confines of bureaucracy that can limit creativity or impose boundaries that make it difficult to provide services that are based on client-driven needs.

In the TEPEE strategy, several tribal and/or culture-based strategies are included:

- **Treatment.** Approaches are based on Lummi healing circles, smudging, and smokehouse ceremonies and may include others not mentioned during the interviews.
- **Education.** Lummi culture, tradition, and philosophies are taught to youth through the YES program.
- **Prevention.** The Safe House for youth includes Lummi approaches for provision of care to children and youth.
- **Employment.** Subsistence fishing is a tribal economy which is being revived, however, it has hard working conditions that place fishermen and women in dangerous and harsh environments that can lead to the use of prescription drugs illegally acquired to relieve pain or to endure rigorous weather environments.
- **Enforcement.** Some strategies include tribal remedies for offenders such as banishment, which is the loss of the privilege to live on the Lummi reservation. This has occurred a few times and there are ways for a banished member to return. Another strategy includes talking circles and indigenous justice approaches to solving conflicts in families due to the use and/or abuse of alcohol and drugs by adult and juvenile offenders.

Other program interventions that are being considered have a Western orientation, such as youth sports tournaments, midnight basketball, and treatment programs.

22. *What outcomes could be assessed? By what measures?*

The project staff has not yet implemented specific interventions nor has it identified the outcomes or measurement specifications. General outcome measure categories that were discussed with the staff include numbers/rates of substance-related criminal arrests (and re-offense rates), arrests for DUI/DWI, substance abuse treatment admissions (and re-admissions), changes in community attitudes about acceptability of drug use, employment, and others.

23. *Are there valid comparison groups?*

We strongly considered the possibilities for using comparison groups (e.g., other local tribal entities) to assess the current set of grantee programs. Ultimately, such a strategy was deemed to be impractical, and might actually contradict one of the fundamental strengths of these programs—namely, that prevention and treatment programs are more appropriate and effective when unique, tribal-specific customs and cultural components are incorporated into service interventions.

24. *Is random assignment possible? If not, why not?*

This intervention involves critically important prevention and treatment services, and the potential targets of the intervention include all tribal members. Random assignment among tribal adults and youth would raise serious ethical and community concerns.

25. *What threats to a sound evaluation are most likely to occur?*

We have concerns about the lack of specification of the interventions and services to be applied. In other words, how will *specific* interventions be linked to *specific*, measurable goals? The focus of the early part of the initiative has been on developing partnerships, trust, and basic tribal/project infrastructure, but it is difficult to envision a rigorous program evaluation without more specificity in the causal relationships among project components and outcomes.

A secondary concern is the possibility that changes in tribal leadership may result in new administration officials who could not provide the same high level of leadership that currently exists.

26. *Are there hidden strengths in the project?*

Hidden strengths of the project include:

- Top-level leadership and commitment from tribal chairman, council, and judiciary.
- Committed program staffs for collaboration, coordination, and cooperation.
- Commitment to community change through effective exercise of sovereignty that is helping to obtain and sustain community support.

Tribal staff members and leaders have demonstrated the necessary focus, persistence, and perseverance to achieve the tribal vision of a healthy Lummi Nation. This vision is being achieved through reformation of community institutions.

27. *What are the sizes and characteristics of the target populations?*

The target population is assumed to include all tribal youth and adults who are at-risk for substance-related problems—virtually the entire tribal population. The tribal population was estimated at 3,670 in 1997.

28. *How is the target population identified (i.e., what are eligibility criteria)? Who/what gets excluded as a target?*

As described above, the target population is equal to the whole tribal population; there would be no logical or valid exclusionary criteria.

29. Have the characteristics of the target population changed over time?

This is unknown, but not directly relevant to this assessment or a prospective evaluation activity.

30. How large would target and comparison samples be after one year of observation?

As indicated in item #23 above, we are not recommending the use of a comparison group for program evaluation purposes, nor would such an evaluation design have validity across different tribal populations.

31. What would the target population receive in a comparison sample?

This would not be applicable to the design we recommend for this project.

32. What are the shortcomings/gaps in delivering the intervention?

Given the initial stages of implementation in the community, it may be some time before any shortcomings or gaps in the intervention can be assessed.

33. What do recipients of the intervention think the project does?

The intervention has not yet been implemented fully in the community; it is largely in the planning or early implementation stage.

34. How do they assess the services received?

This is not yet determined, but narrative data from interviews with key stakeholders, offenders, and treatment clients could capture information about the quality and the timeliness of service interventions. Positive community impacts or outcomes would only be measurable after the program has been in effect for some time.

35. Is there an integration of specific tribal customs into service delivery?

Yes. The community approach to combating drug use includes the principle of tribal sovereignty to enforce the custom of tribal expulsion or banishment as a tool to rid the community of drug sellers and drug houses. Traditional approaches to individual, family, and community healing are incorporated into the design of the services.

36. What kinds of data elements are available from existing data sources?

The program is not at a stage of implementation where the *specific* data elements or variables to be employed in evaluation(s) have been identified.

Tribal police use the CRIS reporting system, which contains crime report data that would support baseline and followup data reporting on law enforcement trends. Treatment admissions and discharge data should be available from the DASA Target system, which contains demographic, referral, health assessment, family and living arrangements, employment and income, arrests and criminal involvement, and current and past substance use information. However, a single person is in charge of treatment records coding, and there are backlogs of records to be entered into the DASA Target system.

Tribal court order records are now being accessed to determine who has been sentenced to treatment and who has been adjudicated through the tribal drug court, as well as to determine the accuracy of baseline rates for these measures.

37. Do protocols exist for data sharing within the program or with external agencies?

Informal protocols exist, and the data coordinator reports no current operational or departmental barriers to obtaining data for the program.

38. What specific input, process, and outcome measures would data support?

They have not yet identified their input, process, and outcome measures/variables.

39. How complete are data records? Can you get samples?

They have not yet identified the data to be collected or the data records that will be necessary.

40. What routine reports are produced?

They have not yet identified the data to be collected or the data records that will be necessary.

41. Can target populations be followed over time?

The tribal data contacts saw no barriers to obtaining individual level data over time once the initial data systems are in place. Most tribal members live on or near their tribal community most of their lives. Additionally, most tribal members maintain ties to their tribal community for various reasons related to membership rights, privileges, and benefits.

42. Can services delivered be identified?

Yes, but there needs to be greater specificity in the targeted services and their predicted outcomes or results.

43. Can systems help diagnose implementation problems?

The systems are not fully in place, but staff is aware of the need to be able to identify problems that occur as the program is being implemented.

44. Do staff tell consistent stories about the project?

Yes.

45. Are their backgrounds appropriate for the project's activities?

Yes.

46. Does the staff have special experience (e.g., elder status), training, or skills?

Many of the community members involved in the CMAD initiative have tribal leader and/or elder status. Skill levels of the project staff appear to be appropriate to the activities and tasks in which they are engaged.

47. What do partners provide?

Partners provide services as appropriate, e.g., housing, counseling, in-patient treatment, law enforcement services. As CMAD team members, partners support CMAD activities, provide input on policy, share information across programs, and support one another's efforts.

48. How integral to project success are the partners?

All community partners are essential for CMAD success.

49. What changes is the director willing to make to support the evaluation?

Currently, the tribe is setting up baseline data through the Lummi Office of Statistics.

CONCLUSIONS

50. Would you recommend that the project be evaluated? Why or why not?

Yes, but we would envision an iterative, formative study as a first stage in an ongoing series of evaluative processes. In fact, there is strong support for this type of evaluation. Major strengths of the program include a clear vision and committed tribal leadership and program staffs.

A participant-focused, formative study (key interview method) would permit a review of policies, program materials, program operations and activities, program organization, staffing patterns,

training, community involvement, and likely effects on client service delivery systems.

51. What kinds of evaluation designs would you propose?

There are a number of methodological challenges specific to evaluations of program effects in Indian Country settings. These issues effectively prevent the researcher from applying true experimental (i.e., randomized) or even quasi-experimental research designs. The current project might benefit from a full range of formative evaluation activities, including qualitative ethnographic methods to assure or enhance the cultural relevance of all program components.

This project is best suited to a full-coverage approach, whereby potential targets of the intervention, and therefore its evaluation, include all tribal members. Full coverage designs are appropriate in programs where government-sponsored social programs are mandated to cover all targets in the population, and where it is the right of all eligible targets not only to participate, but to receive the same intensity or array of services.

A before/after design where the intervention targets are their own (reflexive) controls and where repeated measurements are gathered over time (actual time series analysis may or may not be possible) would be a viable model for measuring net impacts of these interventions. Through assessments of changes in individual and aggregate behavior at different points in time (i.e., longitudinal data collection), evaluators may be able to establish overall changes in knowledge, attitudes, and behaviors that can be attributed to program intervention(s). Limited collection of survey data could also be used to describe treatment patterns and movement along the treatment continuum.

Ada Melton, from American Indian Development Associates, also recommended three possible levels of evaluation, in order of likelihood for success at this time:

- Policy evaluation of laws, policies, and protocols developed as result of the CMAD Initiative; several are listed in the CMAD handout entitled, *On Overview of the Lummi Nation CMAD Initiative: A Vision of a Healthy Community*. An evaluation could include a content analysis, measure dissemination, implementation, and enforcement.
- A process evaluation would also provide good information on how the collaboration conducts its work, particularly to review the ability to sustain commitment by all the partner agencies and the methods used to coordinate effort and obtain cooperation from internal programs and agencies, as well as outside jurisdictions.

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- An outcome evaluation would provide information on how well the CMAD collaborative achieved intended outcomes to reduce substance abuse, increase law enforcement, eliminate drug trafficking and sale of prescription drugs like oxycontin, and affect community change, especially to reduce the tolerance for alcohol and drug use and abuse.

52. What should DOJ's grant manager know about this project?

We have some concerns about the lack of specification of the interventions and services to be applied under this project. In other words, how will *specific* interventions be linked to *specific*, measurable goals? The focus of the early part of the initiative has been on developing partnerships, trust, and basic tribal/project infrastructure and these should rightly be counted as program successes. Nevertheless, it is difficult to envision a rigorous program evaluation without more specificity in the causal relationships among project components and outcomes. We would encourage the Lummi tribal staff to access training and technical assistance in developing these.

Evaluability Assessment: Sisseton-Wahpeton Oyate Tribe Alcohol And Substance Abuse Prevention Project

Grantee: Sisseton-Wahpeton Oyate Tribe

Grant Duration: September 1, 2003–August 31, 2006

Award Amount: \$316,509

Project Summary: The purpose of the Sisseton-Wahpeton Oyate Tribe Alcohol and Substance Abuse Prevention Project is to enhance the collaboration and cooperation between tribal and other law enforcement agencies and treatment services to reduce crimes associated with the distribution and use of alcohol and illegal drugs on the reservation. To do this, the tribe will hire a law enforcement officer to focus on stopping the transportation of alcohol and drugs onto the reservation and will hire an alcohol and drug counselor/probation officer to provide services to youth under 21 years of age who are on probation for committing a crime involving alcohol or drugs.

EVALUABILITY ASSESSMENT: SISSETON-WAHPETON OYATE TRIBE ALCOHOL AND
SUBSTANCE ABUSE PREVENTION PROJECT

SYNOPSIS

Grantee: Sisseton-Wahpeton Oyate Tribe

Grant Duration: September 1, 2003–August 31, 2006

Award Amount: \$316,509

Project Summary: The purpose of the Sisseton-Wahpeton Oyate Tribe Alcohol and Substance Abuse Prevention Project is to enhance the collaboration and cooperation between tribal and other law enforcement agencies and treatment services to reduce crimes associated with the distribution and use of alcohol and illegal drugs on the reservation. To do this, the tribe will hire a law enforcement officer to focus on stopping the transportation of alcohol and drugs onto the reservation and will hire an alcohol and drug counselor/probation officer to provide services to youth under 21 years of age who are on probation for committing a crime involving alcohol or drugs.

Scope of Evaluability Assessment: This evaluability assessment (EA) of the Sisseton-Wahpeton Oyate tribe Alcohol and Substance Abuse Prevention Project involved: (1) an assessment of the tribe's narrative grant application to BJA; (2) brief telephone contacts with tribal staff to facilitate and schedule an onsite visit by the EA staff; (3) onsite interviews with the project director and key tribal staff; and (4) analysis of qualitative data obtained from the interviews.

Summary of Evaluability Assessment Activity: The site visit to Sisseton-Wahpeton Oyate Tribe took place January 28–29, 2004. The EA team included Hayes Lewis, American Indian Development Associates; Judith Walton, Caliber Inc.; and Debra Stoe, NIJ. The EA team conducted interviews with the following individuals:

Captain Gary Gaikowski, Tribal Law Enforcement
Michael Peters, Tribal Secretary
Alvah Quinn, Tribal Council
Ken Harding, Child Protective Services

Shannon Seaboy, Program Manager, Dakota Pride
Richard Bird, Director, Dakota Pride
Davana Black Thunder, Director, Women's Circle
Lou Robertson, BIA Criminal Investigator
The Honorable B.J. Jones, Chief Judge, Sisseton-Wahpeton Oyate Tribal Courts.

Findings: The program has a strong foundation upon which to build an effective project and a strong evaluation. There is widespread community support to stop the use of alcohol and drugs by youth on the reservation and there are a variety of services directed to youth for prevention and treatment. The tribe would benefit from technical assistance to develop program logic models, an evaluation plan, and a data collection system.

INITIAL PROJECT ANALYSIS

1. *What could an evaluation of this project add to what we know?*

An evaluation would provide information about the impact of improved coordination between tribal law enforcement and other law enforcement agencies to reduce crimes associated with alcohol and drugs in Indian Country. An evaluation would also yield useful information regarding the effectiveness of an alcohol and drug counselor/probation officer to link youth on probation with community resources as a strategy to reduce crimes. This project also emphasizes the integration of traditional customs and values into prevention and treatment programs. An evaluation would provide information about the success of these strategies.

2. *Which audiences would benefit from this evaluation?*

The Sisseton-Wahpeton Oyate and other Indian tribes would benefit from an evaluation of the proposed activities. Tribal, Federal, State and County law enforcement agencies also would benefit from an evaluation. Others to benefit would include funders and policymakers.

3. *What could they do with the findings?*

The Sisseton-Wahpeton Oyate could use the evaluation results to make program improvements to current programs or use the results in planning future programs. Other tribes could use the evaluation results as they plan similar programs. Tribal and other law enforcement agencies could use the results to assess the benefits derived from enhanced coordination and investments in the tribal justice infrastructure. Policymakers and potential funders could use the evaluation results to make decisions about funding new programs that use similar strategies to reduce crimes associated with the distribution and use of alcohol and drugs in Indian Country.

4. *Is the grantee interested in being evaluated?*

Initially, staff was concerned about who was going to conduct the evaluation and how the evaluation results were going to be used. After a discussion to explain the evaluation process and the benefits of an evaluation, they were interested in being evaluated.

5. *What is the background/history of this project?*

In the last two years, 10 young tribal members have died because young people were driving under the influence of drugs and alcohol. These tragedies brought together concerned tribal members to focus on strategies to prevent drug and alcohol use among young tribal members.

6. *What are the project's outcome goals, in the view of the director?*

The director identified the following broad goals:

- Increase cooperation between tribal law enforcement and local law enforcement to identify, apprehend, and prosecute those who are engaged in illegal drug and alcohol transportation, distribution, or use.
- Reduce the recurrence of alcohol- and drug-related crimes by tribal members under the age of 22.
- Increase the number of youth on probation who are receiving prevention and treatment services, specifically those services that are based on traditional values and customs.

7. *Does the proposal/project director describe key project elements?*

The general elements of the program that were identified by the project director were to build capacity within the tribal justice system by hiring additional staff and to enhance tribal efforts to provide both traditional and Western prevention and treatment services to youth on probation.

8. *Do they describe how the project's primary activities contribute to goals?*

Project activities will contribute to project goals in the following ways: (1) MOUs that are developed between tribal and Federal and County law enforcement will allow these agencies to be better able to identify, apprehend, and prosecute those tribal members who are engaged in illegal drug and alcohol transportation, or use; (2) youth who receive prevention and treatment services, including those with a strong focus on traditional strategies, will be less likely to commit crimes associated with alcohol and drugs.

9. Can you sketch the logic by which activities should affect goals?

Yes. The project director and tribal judge were able to clearly identify how the proposed activities would impact the tribal population and project goals.

10. Are there other local projects providing similar services that could be used for comparisons?

No. There are no similar projects on the Sisseton-Wahpeton Oyate Reservation or in the area.

11. Will samples that figure in outcome measurement be large enough to generate statistically significant findings for modest effect size?

Sampling is not recommended. The total number of tribal members who live on or near the reservation is 4,268. The project will target those youth between the ages of 8 and 22 who are on probation. The number of youth in this group was not available during the site visit. Followup telephone calls to obtain these data were not successful. A comprehensive outcome evaluation that includes all members of the target population is recommended.

12. Is the grantee planning an evaluation?

No. The project director was told of the technical assistance that was available from Fox Valley to develop an evaluation.

13. What data systems exist that would facilitate evaluation?

The tribal courts and law enforcement have data systems. There currently is a basic tracking system to follow incidents through law enforcement and the judicial system. The tribal court has received a grant from BJA to develop an MIS to link the court and law enforcement. This system will enable staff to track alcohol and drug arrests and to determine the status of youth on probation.

14. What are the key data elements contained in these systems?

Crime data and incident reports are available.

15. Are there data to estimate unit costs of services or activities?

There are no formalized systems to collect data on unit costs of services or activities. Records of program prevention and treatment activities could be cross-referenced with program budgets to generate data to estimate unit costs of services per participant. Cost estimates of specific tribal enforcement services could be developed with additional investments in data collection, retrieval, and coding.

16. Are there data about possible comparison samples?

The use of comparison samples is not recommended. The unique social, historical, and cultural context of individual Native American tribal communities renders the use of comparison samples invalid.

17. In general, how useful are the data systems to impact evaluation?

Incident reports, court records on offenses, referral data, and participant/offender data are currently being collected. In general, the data systems that exist will be useful to assess program outcomes. The data system to be developed under a BJA grant will be useful in automating and linking the data systems from the courts and law enforcement. Data from both agencies will be essential to establishing a project baseline.

SITE VISIT EVALUABILITY ASSESSMENT

18. What is the stage of implementation?

The grant was to have begun in September 2003 however, as of January 2004 they had received authorization to draw down funds. By the end on January 2004 staff had begun project implementation by placing an advertisement in the local newspaper to hire one full-time law enforcement officer and one full-time person to serve as both an alcohol counselor and probation officer.

19. Is the intervention being implemented as planned and on schedule?

The intervention implantation is behind schedule by three to four months because the grantee received authorization to spend funds in January 2004 instead of September 2003 as anticipated.

20. What is the intervention to be evaluated?

Under this grant, they are going to hire a law enforcement officer and an individual who will serve as an alcohol and drug counselor and probation officer.

The law enforcement officer will focus on stopping the transportation of alcohol and drugs onto the reservation and will coordinate with County and State law enforcement to do this. This individual will serve as the link between the tribal court and law enforcement and will target those adults who provide alcohol and drugs to minors or provide locations where these activities can occur.

The alcohol and drug counselor/probation officer will provide counseling services to youth who are 22 or younger who have committed alcohol or drug offenses. This individual will monitor and supervise youthful offenders involved in alcohol- or drug-related crimes. The counselor/probation officer will work closely with and refer youth to the tribe's horse society, buffalo farm, and other community services.

21. Is the intervention traditional, Western, or mixed?

The interventions that are proposed are based on both traditional and Western approaches. The use of an additional law enforcement officer to stop the transportation of illegal drugs and alcohol onto the reservation is a Western intervention.

One of the primary duties of the counselor/probation officer is to refer youth who have committed alcohol- or drug-related offenses to treatment and other services on the reservation. Many of the current services on the reservation are based on traditional tribal values. Youth will be referred to the tribe's horse therapy program. Horses have played a very important role in tribal culture. Through this program, horses will be used to promote responsibility and interdependence, and youth will be instructed on the traditional practices associated with horses. The tribe has established a buffalo ranch to reintroduce into tribal culture traditional beliefs and practices associated with buffalos.

The tribe has a treatment program called Dakota Pride that uses both Western and traditional interventions to treat alcohol and drug use. Dakota Pride follows the AA model and incorporates sweat lodges, talking circles, Red Road speakers, medicine men, and sun dances into the treatment program.

Women's Circle, a domestic violence and sexual assault center, also will receive referrals from the counselor/probation officer. Women's Circle uses a combination of traditional and Western approaches. The center provides shelter, offers support groups, and assists clients in obtaining needed services, including making arrangements with the medicine man and making sweats available.

The tribe is emphasizing teaching and use of the tribal language. Tiospa Zina Tribal School and the community college currently teach the Dakota language to youth on the reservation. The counselor/probation officer will interact with the tribal school as they monitor and provide services to youth. Youth will be required to take at least 80 hours of tribal language instruction as part of treatment.

Additionally, crafts will be used to promote pride in their heritage and to learn traditional skill associated with making regalia for powwow dancing.

22. What outcomes could be assessed? By what measures?

Outcomes	Measures
Identification, apprehension, and prosecution of those engaged in illegal drug and alcohol transportation, distribution, or use.	Pre- and post-program number of people identified, apprehended, and prosecuted for illegal drug and alcohol transportation, distribution, or use.
Identification, apprehension, and prosecution of those individuals who are delivering alcohol and drugs to tribal members on the fee lands and tribal members then bring the alcohol and drugs onto the reservation.	Pre- and post-program number of prosecutions of those persons who deliver drugs to tribal members who then bring them onto the reservation; pre- and post-program number of prosecutions of those persons who deliver alcohol to tribal members under 21 years of age who then bring the alcohol onto the reservation.
Reduction in the recurrence of alcohol and/or drug-related crimes by tribal members under the age of 22.	Pre- and post-program number of recurrences of alcohol and drug-related crimes by tribal members under the age of 22.
Reduction in the number of fatal car crashes where drugs or alcohol were factors and tribal members under 22 years of age were involved.	Pre- and post-program number of fatal car crashes where drugs or alcohol were factors and tribal members under 22 years of age were involved.
Reduction in the recurrence of alcohol- and substance abuse-related crimes.	Pre- and post-program number of crimes committed by tribal youth between the ages of 8 and 21 who are on probation.

23. Are there valid comparison groups?

We strongly considered the possibilities for using comparison groups (e.g., other local tribal entities) to assess the current set of grantee programs. Ultimately, such a strategy was deemed to be impractical, and might actually contradict one of the fundamental strengths of these programs—namely, that prevention and treatment programs are more appropriate and effective

when unique, tribal-specific customs and cultural components are incorporated into service interventions.

24. *Is random assignment possible? If not, why not?*

This is a full coverage intervention, and the potential targets of the intervention include all tribal members. Random assignment among tribal adults and youth would raise serious ethical and community concerns.

25. *What threats to a sound evaluation are most likely to occur?*

The tribal court, law enforcement and other tribal agencies will have access to an MIS that will enhance the sharing of data. It will be important for staff to be motivated and trained in how to use the system so that the data are collected and the system is used properly.

26. *Are there hidden strengths in the project?*

There are at least two strengths of the project. The first strength is the substantial tribal and community support for the prevention of alcohol and drug use among young tribal members. Five percent of tribal proceeds from the tribe's casino is designated for youth program funding. The Tribal Council is very supportive of stopping illegal use of alcohol and drugs on the reservation. In the last two years, 10 young tribal members have died because young people were driving under the influence of drugs and alcohol. These tragic deaths have galvanized the community.

Community members have formed a task force, which includes tribal law enforcement and the tribal court, to focus on how to prevent the use of drugs and alcohol by young tribal members.

The second strength is that there are a variety of services that are available for the target population to assist them while they are on probation. Dakota Pride provides out-patient treatment services for youth and in-patient services for those over 21; there are three Boys and Girls Clubs on the reservation; and there is Women's Circle, a domestic violence and sexual assault shelter for women. The tribe is building a health clinic that will include a wellness center, an assisted living center, and a substance abuse treatment center. The tribe has a building in Sisseton where they plan to have youth activities, including all-night basketball, after school, and during weekends. They currently do not have funding for staff.

27. *What are the sizes and characteristics of the target populations?*

There are two target populations. One target population is youth offenders seen by the tribal court for alcohol- or drug-related offenses who are between the ages of 8 and 22. The total number of tribal members who reside on or near the reservation is 4,268.

The second target group is adults who transport drugs and alcohol onto the reservation and those who provide alcohol and drugs to minors and young adults or who provide locations where they can use drugs and alcohol. The numbers in each target population were not available either during the site visit or by followup telephone calls.

28. How is the target population identified (i.e., what are eligibility criteria)? Who/what gets excluded as a target?

Eligibility is determined for the first group by age and by the offense that they have committed. Those who are excluded are members who are older than 22 or younger than 8 who use alcohol or drugs, those who use alcohol and/or illegal drugs and have not been apprehended by law enforcement, and those who are between the ages of 8 and 22 who have been prosecuted for crimes that are not alcohol- or drug-related.

The second target group (i.e., those who transport drugs and alcohol onto the reservation and those who provide drugs and alcohol to minors and young adults or who provide locations where these substances can be used) will be identified by the law enforcement officer. Those who are excluded as the target group are those members who do not transport alcohol and drugs, provide alcohol and drugs to minors and young adults, or provide locations to those who are engaging in these activities but have not been identified by law enforcement.

29. Have the characteristics of the target population changed over time?

The characteristics of the target population (i.e., youth between the ages of 8 and 22 and those who transport drugs and alcohol onto the reservation or provide drugs or alcohol to minors) have not changed in the last several years.

30. How large would target and comparison samples be after one year of observation?

As indicated in item #23 above, we are not recommending the use of a comparison group for program evaluation purposes, nor would such an evaluation design have validity across different tribal populations.

31. What would the target population receive in a comparison sample?

This would not be applicable to the design we recommend for this project.

32. What are the shortcomings/gaps in delivering the intervention?

The program is in the planning stage and has not yet begun to deliver interventions. Currently, information is not being shared in timely and appropriate ways between tribal law enforcement and the BIA and Federal law enforcement. MOUs or informal procedures of conduct and cooperation have not been developed between tribal law enforcement and County and State law enforcement. Data collection systems need to be developed and implemented. If not resolved, these issues may become serious shortcomings in delivering the intervention.

33. What do recipients of the intervention think the project does?

The project has not yet begun to provide services so that it was not possible to interview recipients of the intervention.

34. How do they assess the services received?

The project has not yet begun providing services so it was not possible for recipients to assess services.

35. Is there an integration of specific tribal customs into service delivery?

Yes, there is a proposed integration of tribal customs into service delivery. The counselor/probation officer will refer youth on probation to the tribe's horse therapy and buffalo farm projects. In these programs, youth will be responsible for caring for, feeding, and raising the horse or buffalo and learning how these animals were both integral parts of the Sisseton-Wahpeton Oyate culture. Additionally, youth will be referred to Dakota Pride, the tribe's treatment center. Dakota Pride uses the services of traditional healers, sun dances, talking circles, and sweats as part of their drug and alcohol treatment. Those on probation will be required to take 80 hours of instruction in the Oyate language. Traditional crafts will be taught to youth.

36. What kinds of data elements are available from existing data sources?

Crime data and incident reports are available. There currently is a basic tracking system to follow incidents through law enforcement and the judicial system.

37. Do protocols exist for data sharing within the program or with external agencies?

No. The present protocols are informal.

38. What specific input, process, and outcome measures would data support?

The project partners must come together to decide on the specific interventions to be implemented and the data elements that must be collected to measure the outcomes.

39. How complete are data records? Can you get samples?

The project director and partners have not yet decided on what data records will be used.

40. What routine reports are produced?

Tribal courts, law enforcement, Child Protective Services, Women's Circle, and BIA produce reports.

41. Can target populations be followed over time?

The population is relatively stable. With the development of a database and tracking system the target populations can be followed over time.

42. Can delivered services be identified?

Yes, if service providers cooperate in developing and using a tracking system.

43. Can systems help diagnose implementation problems?

Ideally, the database and tracking system will be developed to provide the users with information to assist them in diagnosing implementation problems.

44. Do staff tell consistent stories about the project?

The program director is currently the only staff to be identified. He is placing advertisements for additional staff, the law enforcement officer, and the counselor/probation officer.

Some of the partners who were interviewed (e.g., Tribal Council members, the director of the women's shelter) were not clear about the goals of the project or their role in the project.

45. Are their backgrounds appropriate for the project's activities?

The project director is a captain in the tribal police and has been a member for many years. He is knowledgeable of tribal culture and trusted by the community.

46. Do the staff have special experience (e.g., elder status), training, or skills?

The project director has training in law enforcement and special experience and skills in being part of tribal law enforcement for the Sisseton-Wahpeton Oyate. Partner staff have specialized skill in working with tribal members on the reservation. For example, the director of the women's shelter has experience in working closely with tribal and other law enforcement agencies to address the needs of women who have been the victims of domestic violence or sexual assault.

47. What do partners provide/receive?

The formal partners are law enforcement and tribal courts. Law enforcement will be able to hire an additional law enforcement officer. The tribal court will have the funds to hire a part-time alcohol and drug counselor and part-time probation officer.

The informal partners are the tribal TANF program, Tribal Child Protection program, Child Support Enforcement program, Tiospa Zina Tribal School, Tribal Court's Adult Treatment Court, Dakota Pride, and the Horse Therapy and Buffalo Farm project. These partners will provide services to the target population. The counties of Roberts, Day, and Marshall will share information with tribal law enforcement. Tribal elected officials and tribal elders are also considered collaborative partners. They will share their knowledge, support, and leadership to the interventions.

48. How integral to project success are the partners?

Partners are critical to the success of the project. One important role of the counselor/probation officer is to make appropriate referrals for young tribal members to tribal services. To make referrals and gather data regarding the referrals and the services provided will require the cooperation of the partners.

The support by the tribal elected officials and tribal elders will be essential to the success of the project.

49. What changes is the director willing to make to support the evaluation?

The director and members of the Tribal Council understood the benefits to the tribe of conducting an evaluation. If they understood the underlying reason for the changes to support an evaluation, then it is likely that they would be willing to make the changes.

CONCLUSIONS

50. Would you recommend that the project be evaluated? Why or why not?

Yes. There is strong tribal support for projects to support the prevention and treatment of alcohol and drug use by young tribal members. There are well-established agencies that will provide alcohol- and drug-related services to the target population. Data are currently being collected by tribal law enforcement and the tribal courts.

51. What kinds of evaluation designs would you propose?

There are a number of methodological challenges specific to evaluations of program effects in Indian Country settings. These issues effectively prevent the researcher from applying true experimental (i.e., randomized) or even quasi-experimental research designs. The current project might benefit from a full range of formative evaluation activities, including qualitative ethnographic methods to assure or enhance the cultural relevance of all program components.

This project is best suited to a full-coverage approach, whereby potential targets of the intervention, and therefore its evaluation, include all tribal members. Full coverage designs are appropriate in programs where government-sponsored social programs are mandated to cover all targets in the population, and where it is the right of all eligible targets not only to participate, but to receive the same intensity or array of services.

A before/after design where the intervention targets are their own (reflexive) controls and where repeated measurements are gathered over time (actual time series analysis may or may not be possible) would be a viable model for measuring net impacts of these interventions. Through assessments of changes in individual and aggregate behavior at different points in time (i.e., longitudinal data collection), evaluators may be able to establish overall changes in knowledge, attitudes, and behaviors that can be attributed to program intervention(s). Limited collection of survey data could also be used to describe treatment patterns and movement along the treatment continuum.

52. What should DOJ's grant manager know about this project?

At the time of the site visit (late January 2004), the tribal council had not been informed about this project. The site visit team met with the tribal secretary who was not aware of the grant award. The tribal secretary was not opposed to the overall goals of this grant, but spoke at length about the need to focus drug and alcohol prevention interventions on parents. The grant submission identified youth as the target population rather than parents and families. The project director was planning to present a summary of the goals of the grant and the interventions to be implemented at the upcoming Tribal Council meeting. It is imperative to the success of the grant that the Tribal Council fully support the specific goals and interventions to be implemented

The reservation is a checkerboard jurisdiction because the original land has been broken into many noncontiguous sections. Parts of the reservation are located in South Dakota, North Dakota, and Minnesota and span eight counties. This complicates the ability of State, tribal, and Federal law enforcement officers to provide services because jurisdiction must be established and requires the cooperation of these law enforcement agencies. The development of MOUs

among these agencies will be essential for sharing information to better identify, investigate, and prosecute those who are using, selling, or transporting alcohol and drugs, and to track those who are on probation.

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1. Begin the application process early—especially if you have never used the online Grants Management System before. NIJ will not accept applications received after the closing date and time listed on the cover. To start the process, go to <http://www.ojp.usdoj.gov/fundopps.htm>.
2. Review “Guidelines: How to Submit Applications” for complete instructions, available at <http://www.ojp.usdoj.gov/nij/funding.htm#gasya>.
3. Although your proposal may budget for the purchase of equipment if the equipment is necessary to conduct the project, NIJ will not fund applications that are primarily to purchase equipment, materials, or supplies.
4. Call for help:
 - For technical guidance about the Grants Management System, call the hotline at 1-888-549-9901.

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