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The [U.S. Department of Justice](#) (DOJ), [Office of Justice Programs](#) (OJP), [Bureau of Justice Assistance](#) (BJA) is seeking applications for funding under the Harold Rogers Prescription Drug Monitoring Program. This program furthers the Department's mission by providing resources to plan, implement, and enhance prescription drug monitoring programs to prevent and reduce misuse and abuse of prescription drugs and to aid in investigations of pharmaceutical crime.

## Harold Rogers Prescription Drug Monitoring Program FY 2013 Competitive Grant Announcement

### Eligibility

**Implementation and Enhancement Grants (Category 1):** Applicants are limited to state governments that have a pending or enacted enabling statute or regulation requiring the submission of controlled substance prescription data to an authorized state agency.

**Tribal Prescription Drug Monitoring Program Data Sharing Grants (Category 2):** Applicants are limited to federally recognized tribal governments as defined under the Indian Self Determination Act, 25 U.S.C. 450b(e).

**Data-Driven Multi-Disciplinary Approaches to Reducing Rx Abuse Grants (Category 3):** Applicants are limited to state agencies (health departments, law enforcement authorities, etc.) and units of county government located in states with existing and operational prescription drug monitoring programs.

BJA may elect to make awards for applications submitted under this solicitation in future fiscal years, dependent on the merit of the applications and on the availability of appropriations.

### Deadline

Applicants must register with [Grants.gov](#) prior to submitting an application. (See "How To Apply," page 24.) All applications are due by 11:59 p.m. eastern time on May 2, 2013. (See "Deadlines: Registration and Application," page 4.)

### Contact Information

For technical assistance with submitting the application, contact the Grants.gov Customer Support Hotline at 800-518-4726 or 606-545-5035, or via e-mail to [support@grants.gov](mailto:support@grants.gov).

**Note:** The [Grants.gov](#) Support Hotline hours of operation are 24 hours a day, 7 days a week, except federal holidays.

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

Grants.gov number assigned to this announcement: BJA-2013-3526

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# CONTENTS

Overview	4
Deadlines: Registration and Application	4
Eligibility	4
Harold Rogers Prescription Drug Monitoring Program—Specific Information	4
Performance Measures	10
Notice of Post-Award FFATA Reporting Requirement	14
What an Application Should Include	14
Information to Complete the Application for Federal Assistance (SF-424)	
Abstract	
Program Narrative	
Budget Detail Worksheet and Budget Narrative	
Indirect Cost Rate Agreement (if applicable)	
Tribal Authorizing Resolution (if applicable)	
Additional Attachments	
Other Standard Forms	
Selection Criteria	20
Review Process	23
Additional Requirements	23
How To Apply	24
Provide Feedback to OJP on This Solicitation	27
Application Checklist	28

# Harold Rogers Prescription Drug Monitoring Program (CFDA #16.754)

## Overview

The primary purpose of the Harold Rogers Prescription Drug Monitoring Program (PDMP) is to enhance the capacity of regulatory and law enforcement agencies and public health officials to collect and analyze controlled substance prescription data and other scheduled chemical products through a centralized database administered by an authorized state agency. The program was created by the FY 2002 U.S. Department of Justice Appropriations Act (Public Law 107-77) and has received funding under each subsequent year's Appropriations Act.

## Deadlines: Registration and Application

Applicants must register with Grants.gov in order to submit an application. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 72 hours prior to the application due date. The deadline to apply for funding under this announcement is 11:59 pm eastern time on May 2, 2013. See "How To Apply" on page 24 for details. Note that while the deadline for submission is 11:59 p.m. eastern time on May 2, 2013, staff assistance through the BJA Justice Information Center is only available until 8:00 p.m. eastern time (see "Contact Information" on the page 2 for more information about BJA's Justice Information Center).

## Eligibility

Refer to the title page for eligibility under this program.

## Harold Rogers Prescription Drug Monitoring Program—Specific Information

### Goals, Objectives, and Deliverables

PDMPs help prevent and detect the diversion and abuse of pharmaceutical controlled substances. Forty-three states now have operational PDMPs, and six states and one U.S. territory (Guam) have enacted legislation to establish a PDMP but are not fully operational. Under the BJA grant program, 12 awards were made in FY 2012 for states to implement or enhance a PDMP. Since inception of the grant program in FY 2002, grants have been awarded to 49 states and 1 U.S. territory to support their efforts to plan, implement, or enhance a PDMP. Performance measure data results for current grantees can be found at: [www.bja.gov/ProgramDetails.aspx?Program\\_ID=72](http://www.bja.gov/ProgramDetails.aspx?Program_ID=72).

The Harold Rogers Prescription Drug Monitoring Program allows for state discretion to plan, implement, or enhance a PDMP to accommodate local decision-making based on state laws and preferences, while encouraging the replication of promising practices. In FY 2012, the program expanded to provide funding to federally-recognized tribal governments for the specific purpose of enabling tribal health care providers to provide data to and access data contained within state PDMPs. In FY 2013, the program is expanding further to provide funding to states

and localities to assemble a local collaborative effort of public health and criminal justice professionals to pilot innovative ways to use PDMP and other data to inform prevention, treatment, and enforcement efforts.

Grant funds under this program can be used to:

- Build a state-level data collection and analysis system to enhance the capacity of regulatory and law enforcement agencies and public health officials for future prevention efforts.
- Enhance existing programs' abilities to analyze and use collected data to identify drug abuse trends, identify and address sources of diversion, and increase the number of users of the PDMP.
- Facilitate and participate in national evaluation efforts to assess efficiency and effectiveness.
- Plan, implement, and increase the exchange of information under the [PMP Information Exchange \(PMIX\) Architecture](#) among states to prevent cross-border diversion.
- Assess the efficiency and effectiveness of state-level programs to make improvements and encourage additional states to implement programs.
- Enhance collaborations with law enforcement, prosecutors, treatment professionals, the medical community, pharmacies, and regulatory boards to establish a comprehensive PDMP strategy.
- Enable federally recognized tribal governments to establish the policy, legal, and technological infrastructure to share PDMP data from health care facilities with the appropriate state PDMP.
- Pilot a local collaborative effort between public health and criminal justice professionals to collect and analyze various sources of data to determine best practices for sharing data, regulatory schemes, deconfliction strategies, intelligence gathering, prioritization of treatment, and prevention efforts for at-risk individuals and communities. Data should be used to identify areas at greatest risk for prescription drug abuse and overdose deaths and create data-driven responses at the local level to include education, outreach, treatment, and enforcement.

For information on model PDMP legislation, visit the [Alliance of States with Prescription Monitoring Programs](#) or the [National Alliance for Model State Drug Laws](#) web site.

Any organization using OJP grant funds, in whole or in part, to collect, aggregate, and/or share data on behalf of a government agency, must guarantee that the agency that owns the data and its approved designee(s) will retain unrestricted access to the data, in accordance with all applicable laws, regulations, and BJA policy: a) in an expeditious manner upon request by the agency; b) in a clearly defined format that is open, user-friendly, and unfettered by unreasonable proprietary restrictions; and c) at a minimal additional cost to the requestor (which cost may be borne by using grant funds).

BJA administers this program in coordination with the U.S. Drug Enforcement Administration's Office of Diversion Control, the Office of National Drug Control Policy, the U.S. Centers for Disease Control and Prevention, the U.S. Food and Drug Administration, and the Substance Abuse and Mental Health Services Administration's Center for Substance Abuse Treatment.

## Priority Considerations

Based on promising practices identified by existing programs, BJA will give priority consideration to PDMPs (Category 1) that include:

- The provision of unsolicited prescription history reports to prescribers and dispensers.
- The authority and capability to exchange information with other state PDMPs in compliance with the PMIX Architecture.
- The ability to share statistical and/or de-identified prescription data with researchers for tracking trends in drug usage and abuse, analysis of patient demographics, or identifying geographical areas of usage and abuse.
- The required electronic submission of data for prescriptions in Schedules II, III, IV, and V.
- The submission of data elements consistent with the most recent version of standards established by the American Society for Automation in Pharmacy.
- Access to collected data by federal, state, local, and tribal law enforcement and public health officials, and regulatory boards.
- Confidentiality, security and privacy provisions regarding the collected data.
- Education and outreach to stakeholders (i.e., prescribers, pharmacists, law enforcement, and regulatory boards) on how to access and utilize prescription history reports.

Note: Applicants MUST state in their applications which of the above priority considerations their state PDMP currently employs.

## Information Sharing Requirements

In furtherance of states' goals to improve the monitoring of controlled substances, BJA supported the development of consensus-based, national standards to enable the interstate sharing of PDMP data. These standards and related operational guidelines have been referred to as the PMIX Specifications. Concurrently, in response to the needs of states, BJA supported the implementation of an operational interstate data sharing hub, known as the RxCheck hub, to implement the PMIX Specifications and successfully pilot this operational solution between Kentucky and Ohio. The National PMIX Architecture now provides a framework within which states share data seamlessly back and forth across state borders regardless of their chosen technical solution.

Guidance materials and technical assistance are available to all state PDMPs who have the authority to exchange data beyond their state border. Funds should be used to implement information sharing with other state PDMPs within the grant period using technical solutions that are compliant with the National PMIX Architecture. Should an applicant propose to utilize the RxCheck Hub as its data sharing tool, a Letter of Commitment from another state must be included in the application that demonstrates its commitment to share data with the applicant state once the technology and appropriate agreements are in place. States that select the PMIX Hub as their technical solution will also be required to participate in the RxCheckHub's Governance Group to ensure that the PMIX Hub's future technical enhancements and developments continue to serve the needs of all user states.

For more information on the National PMIX Architecture, please visit the PDMP Training and Technical Assistance Center's web site at [pdmpassist.org/content/prescription-drug-monitoring-information-architecture-pmix](http://pdmpassist.org/content/prescription-drug-monitoring-information-architecture-pmix).

## Evidence-Based Programs or Practices

OJP places a strong emphasis on the use of data and evidence in policy making and program development in criminal justice. OJP is committed to:

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

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

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

A state should submit one application only in either Category 1 or 3. Tribal governments should submit one application only in Category 2. Counties should submit one application only in Category 3.

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

### **CATEGORY 1: IMPLEMENTATION AND ENHANCEMENT. Up to: \$400,000. Project period: 18 months. Competition ID: BJA-2013-3527.**

States that have in place legislation or regulations that require the submission of dispensing data to a centralized database and authorize and/or designate a state agency to provide program oversight and implementation; or are seeking to improve an existing PDMP may apply for a Category 1 grant. States with legislative authority to establish a pilot program in one or more jurisdictions of that state also may apply for a Category 1 grant. Funds may be used to establish and build a data collection and analysis system; develop an infrastructure to support programmatic activities; facilitate the exchange of information and collected prescription data and other scheduled chemical products among states; facilitate the establishment of collaborations; develop a training program for system users; produce and disseminate educational materials; and assess the efficiency and effectiveness of the program. Funds may also be used to enhance the functioning of a data collection and analysis system; enhance an existing educational or training program; support collaborations with law enforcement and prosecutors or public health officials; support collaborations with treatment providers and drug courts; facilitate electronic information sharing among states in compliance with the National PMIX Architecture; expand monitoring to Schedules II, III, IV, and V; develop or enhance the capacity to provide unsolicited reports of controlled substance prescribing to authorized individuals or entities; and assess the efficiency and effectiveness of the program. If proposing to assess the efficiency and effectiveness of a program, applicants are strongly encouraged to partner with local universities and/or state agencies in order to evaluate the program as it relates to prescription drug diversion and overdose.

**CATEGORY 2: Tribal PDMP Data Sharing Grants. Up to: \$150,000. Project period: 18 months. Competition ID: BJA-2013-3528.**

Tribal governments seeking to report to and request data from individual states' PDMPs for the purpose of equipping providers with prescription drug monitoring history data are eligible to apply for Tribal PDMP Data Sharing Grants. Funds may be used to enable federally-recognized tribal governments to develop and implement the necessary legal, policy, and technical infrastructure to support the reporting and requesting of patient-level controlled substance prescription dispensing data transmission from tribal and urban health care facilities (to include tribes, tribal organizations, or urban health programs operating under Indian Self-Determination and Education Assistance Act (ISDEAA) Title I Self-Determination Contracts, ISDEAA Title V Self-Governance Compacts, or Indian Health Care Improvement Act (IHCIA) Title V Contracts) to the state prescription drug monitoring program; facilitate the establishment of collaborations; develop a training program for system users and practitioners; and produce and disseminate educational materials.

**CATEGORY 3: Data-Driven Multi-Disciplinary Approaches to Reducing Rx Abuse Grants. Up to: \$400,000. Project period: 18 months. Competition ID: BJA-2013-3529.**

States and counties within states with an existing and operational prescription drug monitoring program seeking to pilot an innovative approach to combating and reducing prescription drug abuse may apply for Data-Driven Multi-Disciplinary Approaches to Reducing Rx Abuse Grants. Funds may be used to form multi-disciplinary action groups consisting of county, state, and federal criminal justice professionals in addition to state and local health authorities as well treatment providers. Action group members may include (but are not limited to): district attorney's office, state health department, state medical and pharmacy boards, police and sheriff departments, probation and parole, local drug treatment providers, and community organizations. The action groups will collect data from various sources such as medical examiners, emergency rooms, crime data, and other relevant sources that can help to corroborate PDMP data as well as provide additional information to help pinpoint specific locations within the county that are at-risk for prescription drug abuse and drug overdose deaths. Grant activities should focus on data sharing arrangements, data collection, and analysis. Applicants should describe the type of strategies to be developed and the areas (e.g., prevention, treatment, regulatory activity, enforcement) the action group plans to have impact to address prescription drug abuse rates in a defined jurisdiction(s). It is anticipated that grantees will determine best practices for sharing data, regulatory schemes, deconfliction strategies, intelligence gathering, targeted regulatory and enforcement activity, and prioritization of treatment and prevention efforts for at-risk individuals and communities. Data should be used to identify areas at greatest risk for prescription drug diversion, abuse, and overdose deaths and create data-driven responses at the local level to include education, outreach, treatment, and enforcement.

## **Budget Information**

### **Limitation on Use of Award Funds for Employee Compensation; Waiver**

With respect to any award of more than \$250,000 made under this solicitation, recipients may not use federal funds to pay total cash compensation (salary plus cash bonuses) to any employee of the award recipient at a rate that exceeds 110 percent of the maximum annual salary payable to a member of the Federal Government's Senior Executive Service (SES) at an agency with a Certified SES Performance Appraisal System for that year. The 2012 salary table for SES employees is available at [www.opm.gov/oca/12tables/indexSES.asp](http://www.opm.gov/oca/12tables/indexSES.asp). Note: A recipient may compensate an employee at a greater rate, provided the amount in excess of this

compensation limitation is paid with non-federal funds. (Any such additional compensation will not be considered matching funds where match requirements apply.)

The Assistant Attorney General (AAG) for OJP may exercise discretion to waive, on an individual basis, the limitation on compensation rates allowable under an award. An applicant requesting a waiver should include a detailed justification in the budget narrative of the application. Unless the applicant submits a waiver request and justification with the application, the applicant should anticipate that OJP will request the applicant to adjust and resubmit the budget.

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

### **Minimization of Conference Costs**

OJP encourages applicants to review the OJP guidance on conference approval, planning, and reporting that is available on the OJP web site at [www.ojp.gov/funding/confcost.htm](http://www.ojp.gov/funding/confcost.htm). This guidance sets out the current OJP policy, which requires all funding recipients that propose to hold or sponsor conferences (including meetings, trainings, and other similar events) to minimize costs, requires OJP review and prior written approval of most conference costs for cooperative agreement recipients (and certain costs for grant recipients), and generally prohibits the use of OJP funding to provide food and beverages at conferences. The guidance also sets upper limits on many conference costs, including facility space, audio/visual services, logistical planning services, programmatic planning services, and food and beverages (in the rare cases where food and beverage costs are permitted at all).

Prior review and approval of conference costs can take time (see the guidance for specific deadlines), and applicants should take this into account when submitting proposals. Applicants also should understand that conference cost limits may change and that they should check the guidance for updates before incurring such costs.

Note on food and beverages: OJP may make exceptions to the general prohibition on using OJP funding for food and beverages, but will do so only in rare cases where food and beverages are not otherwise available (e.g., in extremely remote areas); the size of the event and capacity of nearby food and beverage vendors would make it impractical to not provide food and beverages; or a special presentation at a conference requires a plenary address where conference participants have no other time to obtain food and beverages. Any such exception requires OJP's prior written approval. The restriction on food and beverages does not apply to water provided at no cost, but does apply to any and all other refreshments, regardless of the size or nature of the meeting. Additionally, this restriction does not affect direct payment of per diem amounts to individuals in a travel status under your organization's travel policy.

### **Costs Associated with Language Assistance (if applicable)**

If an applicant proposes a program or activity that would deliver services or benefits to individuals, the costs of taking reasonable steps to provide meaningful access to those services or benefits for individuals with limited English proficiency may be allowable. Reasonable steps to provide meaningful access to services or benefits may include interpretation or translation services where appropriate.

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

### Match Requirement

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

### Performance Measures

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

Objective	Measure	Data Grantee Reports
<b>Category 1</b> Support coordination among PDMP partners to increase compliance and use of the PDMP	Percent increase in the number of licensed prescribers trained to use the state's PDMP system	A. Number of licensed prescribers in the state B. Number of licensed prescribers <i>formally</i> trained to use the PDMP system C. Number of licensed prescribers <i>informally</i> trained to use the PDMP system
	Percent increase in the number of licensed pharmacists trained to use the state's PDMP system	A. Number of licensed pharmacists in the state B. Number of licensed pharmacists <i>formally</i> trained to use the PDMP system C. Number of licensed pharmacists <i>informally</i> trained to use the PDMP system
	Percent increase in the number of authorized investigators trained to use the state's PDMP system	A. Number of investigators authorized to use the PDMP system to conduct investigations for law enforcement or regulatory purposes B. Number authorized investigators <i>formally</i> trained to use the PDMP system C. Number of authorized investigators <i>informally</i> trained to use the PDMP system
	Percent increase in reporting compliance	A. Number of pharmacies required to report to the PDMP system B. Of those, the number who reported to the PDMP at least once during the 3-month reporting period

	Percent increase in the number of licensed prescribers and pharmacists registered to use the PDMP system	<ul style="list-style-type: none"> <li>A. Number of licensed prescribers</li> <li>B. Number of <i>prescribers</i> registered to use the PDMP system</li> <li>C. Number of licensed pharmacists</li> <li>D. Number of <i>pharmacists</i> registered to use the PDMP system</li> </ul>
	Percent increase in the number of authorized investigators accessing the PDMP system	<ul style="list-style-type: none"> <li>A. Number of <i>authorized investigators</i> accessing the PDMP system at least once during the 3-month reporting period</li> </ul>
Increase ability to detect prescription drug diversion, abuse and overdose	Percent change in the number of high-dose painkiller prescriptions filled	<ul style="list-style-type: none"> <li>A. Number of adults filling prescriptions for painkillers with a morphine equivalent greater than 100mg per day during the reporting period</li> <li>B. Number of youth filling prescriptions for painkillers with a morphine equivalent greater than 100mg per day during the reporting period</li> <li>C. Number of patients receiving a LA/ER opioid without first having an opioid prescription in the previous 60 days</li> <li>D. Number of patients filling prescriptions for painkillers with a morphine equivalent greater than 100 mg per day during the previous reporting period.</li> </ul>
	Percent change in the relative amounts of schedule II, III, and IV medications dispensed	<ul style="list-style-type: none"> <li>A. Number of patients filling prescriptions for schedule II, III, and IV pain relievers, tranquilizers, stimulants, and sedatives</li> <li>B. Number of doses of schedule II, III, and IV pain relievers, tranquilizers, stimulants, and sedatives dispensed during the reporting period</li> <li>C. Number of doses of schedule II, III, and IV pain relievers, tranquilizers, stimulants, and sedatives dispensed during the previous reporting period</li> </ul>

	<p>Percent change in the number of patients exceeding established thresholds for the number of prescriptions written by multiple prescribers and filled at multiple pharmacies</p> <p>Percent change in the relative amounts of schedule II, III, and IV medications dispensed to patients exceeding the above thresholds</p>	<p>A. Number of patients filling prescriptions exceeding the following thresholds:</p> <ul style="list-style-type: none"> <li>• 5+ Prescribers and 5+ Pharmacies in 3 Months</li> <li>• 10+ Prescribers and 10+ Pharmacies in 3 Months</li> <li>• 5+ Prescribers and 5+ Pharmacies in 6 Months</li> <li>• 10+ Prescribers and 10+ Pharmacies in 6 Months</li> </ul> <p>B. Number of patients filling prescriptions exceeding the above threshold during the previous reporting period.</p> <p>C. Number of doses of schedule II, III, and/or IV medications dispensed to patients exceeding the above thresholds.</p> <p>D. Number of doses of schedule II, III, and/or IV medications dispensed to patients exceeding the above thresholds during the previous reporting period.</p>
	<p>Percent change in the number of prescribers writing prescriptions for high-dose pain killers</p> <p>Number of prescribers with 10 percent or more of patients paying cash for controlled prescription drugs</p>	<p>A. Number of prescribers writing 15 percent or more of their pain killer prescriptions at <math>\geq 100</math> MME</p> <p>B. Number of prescribers writing painkiller prescriptions co-prescribed with benzodiazepines and dispensed within 7 days</p> <p>C. Number of prescribers with 10 percent or more of patients paying cash for controlled prescription drugs</p> <p>D. Number of prescribers with 5 percent or more of patients exceeding established thresholds for the number of prescriptions written by multiple prescribers and filled at multiple pharmacies</p>
<p>Improve the monitoring of controlled substances by increasing information sharing among authorized users and other state PDMPs</p>	<p>Percent increase in the number of solicited and unsolicited reports distributed to users and shared with systems</p>	<p>A. Number of solicited reports provided to pharmacists, regulatory agencies, patients, researchers, drug treatment programs, and drug court judges, and law enforcement, located:</p> <ul style="list-style-type: none"> <li>• Within the state housing the PDMP</li> <li>• Outside the state housing the PDMP</li> </ul> <p>B. Number of unsolicited reports provided pharmacists, regulatory agencies, patients, researchers, drug treatment programs, and drug court judges, and law enforcement, located:</p> <ul style="list-style-type: none"> <li>• Within the state housing the PDMP</li> <li>• Outside the state housing the PDMP</li> </ul>

Objectives	Performance Measure	Data Grantee Provides
<p><b>Category 2</b> Provide support to tribal governments seeking to report to and request data from individual</p>	<p>Percentage of stakeholder involvement</p>	<p>A. Total number of stakeholders necessary to develop and implement the necessary legal, policy, and technical infrastructure to support the effort</p> <p>B. Number of stakeholders engaged in the effort</p>

states' PDMPs for the purpose of equipping providers with prescription drug monitoring history data.	Percent of objective(s) fully met	Have the following objective(s) been met: A. Legal, policy and technical infrastructure established for reporting and requesting dispensing data B. Tribal health care providers provide data to and access data contained within state PDMPs
	Percent increase in reports generated	During the current reporting period, by type of user: A. Number of intra- and inter-state solicited reports to end user B. Number of intra- and inter-state unsolicited reports to end user C. Total number of reports D. Total number of reports during the previous reporting period
	Number of materials developed	Number of materials developed to include: A. Training program for systems users and practitioners B. Educational materials
	Number of educational materials disseminated	Number of educational materials disseminated
	The number of individuals trained formally in coordinating and sharing	Number of individuals trained by profession type

Objectives	Performance Measure	Data Grantee Provides
<b>Category 3</b> Support the establishment of a multi-disciplinary action group to pilot an innovative approach to combating and reducing prescription drug abuse.	Percent increase in information sharing capacity amongst state's PDMP system	A. Number of solicited reports provided to another state's PDMP system B. Number of unsolicited reports provided another state's PDMP system
	Number of agencies/entities participating in the multi-disciplinary action group	A. Number of agencies/entities participating in the multi-disciplinary action group B. Types of agencies/entities participating in the multi-disciplinary action group
	Deliverables that meet expectation	A. Number of tools and materials developed for the field. B. Number of tools and materials developed for the field that meet expectations as determined by BJA

OJP does not require applicants to submit performance measures data with their applications. Instead, applicants should discuss in their application their proposed methods for collecting data for performance measures. Refer to the section "What an Application Should Include" on page 14 for additional information.

### **Note on Project Evaluations**

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

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

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

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

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

### **What an Application Should Include**

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

Moreover, applicants should anticipate that applications that are determined to be nonresponsive to the scope of the solicitation, or that do not include the application elements that BJA has designated to be critical, will neither proceed to peer review nor receive further consideration. Under this solicitation, BJA has designated the following application elements as critical: Abstract, Program Narrative, and Budget Detail Worksheet and Budget Narrative.

Applicants may combine the Budget Narrative and the Budget Detail Worksheet in one document. However, if an applicant submits only one document, it must contain **both** narrative and detail information.

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

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

The SF-424 is a required standard form used as a cover sheet for submission of pre-applications, applications, and related information. Grants.gov and GMS take information from the applicant's profile to populate the fields on this form. When selecting "type of applicant," if the applicant is a for-profit entity, select "For-Profit Organization" or "Small Business" (as applicable).

#### 2. **Abstract**

Applications should include a high-quality "Project Abstract" that summarizes the proposed project in 400 words or less. Project abstracts should be—

- Written for a general public audience.
- Submitted as a separate attachment with <Project Abstract> as part of its file name.
- Identify the category under which the application is being submitted
- List all priority considerations that the applicant meets
- List the total number of prescribers in the past year that have prescribed a controlled substance, including the percentage of those prescribers who are registered with the state PDMP
- Provide the percentage of prescribers who have prescribed a controlled substance in the past month who have checked the PDMP database.
- Single-spaced, using a standard 12-point font (Times New Roman) with 1-inch margins.

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

All project abstracts should follow the detailed template available at [www.ojp.usdoj.gov/funding/Project\\_Abstract\\_Template.pdf](http://www.ojp.usdoj.gov/funding/Project_Abstract_Template.pdf).

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

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

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

### 3. Program Narrative

The program narrative should be double-spaced, using a standard 12-point font (Times New Roman is preferred) with 1-inch margins, and must not exceed 20 pages. Number pages “1 of 20,” “2 of 20,” etc.

If the program narrative fails to comply with these length-related restrictions, BJA may consider such noncompliance in peer review and in final award decisions.

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

- a. Statement of the Problem
- b. Project Design and Implementation
- c. Capabilities and Competencies
- d. Plan for Collecting the Data Required for this Solicitation’s Performance Measures  
BJA does not require applicants to submit performance measures data with their application. Performance measures are included as an alert that BJA will require successful applicants to submit specific data as part of their reporting requirements. For the application, applicants should indicate an understanding of these requirements and discuss how they will gather the required data, should they receive funding.
- e. Plan for Measuring Program Success to Inform Plans for Sustainment

### 4. Budget Detail Worksheet and Budget Narrative

#### a. Budget Detail Worksheet

A sample Budget Detail Worksheet can be found at [www.ojp.gov/funding/forms/budget\\_detail.pdf](http://www.ojp.gov/funding/forms/budget_detail.pdf). Applicants that submit their budget in a different format should include the budget categories listed in the sample budget worksheet.

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

#### b. Budget Narrative

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

Applicants should demonstrate in their budget narratives how they will maximize cost effectiveness of grant expenditures. Budget narratives should generally describe cost effectiveness in relation to potential alternatives and the goals of the project. For example, a budget narrative should detail why planned in-person meetings are

BJA-2013-3526

necessary, or how technology and collaboration with outside organizations could be used to reduce costs, without compromising quality.

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

**Additional Budget Requirements:**

- For Category 1 Implementation or Enhancement applicants, include funding to support at least two staff to attend one 3-day national meeting in Washington, DC and one 2-day regional meeting within your region.
- For Category 1 Enhancement applicants (does not apply to Implementation applicants), up to 25 percent of enhancement funding can be used toward PDMP operating expenses. The remaining funds must be used to enhance the functioning of an existing program.

**5. Indirect Cost Rate Agreement (if applicable)**

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

**6. Tribal Authorizing Resolution (if applicable)**

Tribes, tribal organizations, or third parties proposing to provide direct services or assistance to residents on tribal lands should include in their applications a resolution, a letter, affidavit, or other documentation, as appropriate, that certifies that the applicant has the legal authority from the tribe(s) to implement the proposed project on tribal lands. In those instances when an organization or consortium of tribes applies for a grant on behalf of a tribe or multiple specific tribes, then the application should include appropriate legal documentation, as described above, from all tribes that would receive services/assistance under the grant. A consortium of tribes for which existing consortium bylaws allow action without support from all tribes in the consortium (i.e., without an authorizing resolution or comparable legal documentation from each tribal governing body) may submit, instead, a copy of its consortium bylaws with the application.

**7. Additional Attachments**

**a. Letters of Support and/or Memoranda of Understanding/Agreement**

Applicants under Category 3 should attach Letters of Support and/or Memoranda of Understanding/Agreement between the partner agencies and offices to show commitment for participation in the proposed action group.

**b. Logic Model, Project Timeline, and Position Descriptions**

Attach a Logic Model that links key project activities with program goals and performance measures; a Project Timeline (with an estimated start date of October 1, 2013) with each project goal, related objective, activity, expected completion date, and responsible person or organization; and Position Descriptions for key positions.

**c. Applicant disclosure of pending applications**

Applicants are to disclose whether they have pending applications for federally funded assistance that include requests for funding to support the same project being proposed under this solicitation and will cover the identical cost items outlined in the budget narrative and worksheet in the application under this solicitation. The disclosure should include both direct applications for federal funding (e.g., applications to federal agencies) and indirect applications for such funding (e.g., applications to State agencies that will be subawarding federal funds).

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

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

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

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

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

**d. Research and Evaluation Independence and Integrity**

If a proposal involves research and/or evaluation, regardless of the proposal's rating under the selection criteria, in order to receive funds, the applicant's proposal must demonstrate research/evaluation independence, including appropriate safeguards to

ensure research/evaluation objectivity and integrity.

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

In the attachment dealing with research and evaluation independence and integrity, the applicant should explain the process and procedures that the applicant has put in place to identify and eliminate (or, at the very least, mitigate) potential personal or financial conflicts of interest on the part of its staff, consultants, and/or subrecipients. It should also identify any potential organizational conflicts of interest on the part of the applicant with regard to the proposed research/evaluation. If the applicant reasonably believes that no potential personal or organizational conflicts of interest exist, then the applicant should provide a brief narrative explanation of how and why it reached that conclusion.

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

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

## 8. Other Standard Forms

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

- a. [Standard Assurances](#)\*  
Applicants must read, certify, and submit this form in GMS prior to the receipt of any award funds.

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

\*These OJP Standard Assurances and Certifications are forms which applicants accept in GMS. They are not additional forms to be uploaded at the time of application submission.

## Selection Criteria

The following six selection criteria will be used to evaluate each application, with the different weight given to each based on the percentage value listed after each individual criteria. For example, the first criteria, "Statement of the Problem," is worth 15 percent of the entire score in the application review process.

### 1. Statement of the Problem (15 percent of 100)

Describe the impact that the abuse and diversion of controlled substances is having on your state. Provide data to support your discussion.

- For Implementation and Enhancement applicants (Category 1): for those applicants in the Implementation phase, discuss the efforts that have been taken to implement the system, in which department/agency the program will be housed including how many personnel are required to staff operations of the PDMP, how many prescribers and dispensers there are in the state, and any problems they anticipate in implementing a program/pilot full scale. If funds will be used to fund additional PDMP personnel, provide the percentage increase of total staff in addition to detailing what additional staff roles will be and how additional positions will contribute to meeting the overall goals of the project.
- For Implementation and Enhancement applicants (Category 1): for those applicants in the Enhancement phase, discuss the current registration and utilization of the system by prescribers, dispensers, and law enforcement; how many dispensers report to the system; current training and registration efforts taken to date; results of any completed program analysis or evaluation; and the weaknesses of the current system. For applicants proposing to implement information sharing with other state PDMPs using the PMIX specifications, discuss the need for interstate data sharing, describe the current barriers in place to implement interstate data sharing, and discuss the efforts that have been taken to implement interstate data sharing.
- For Tribal PDMP Data Sharing applicants (Category 2), identify the state PDMP(s) your government wishes to share data with, access data from, and efforts that have been taken to establish and formalize relationships between required participant entities.
- For Data-Driven Multi-Disciplinary Approaches to Reducing Rx Abuse applicants (Category 3), discuss the prescription drug abuse problem in the identified target county based on current data.
- For all categories, provide data on prescription drug abuse rates in the applicant state, if available.

## 2. Project Design and Implementation (40 percent of 100)

**Strategy Overview (10 percent of 100):** A clear connection should be shown between the proposed strategy and the problem. For Categories 1, 2, and 3, summarize the state's or tribe's overall strategy to reduce the abuse and diversion of pharmaceutical controlled substances. Describe current law enforcement activities, public health initiatives, and/or government and industry partnerships addressing this problem and describe how the state's PDMP fits into this strategy. For Implementation and Enhancement applications, identify the statute that provides for a prescription drug monitoring database, the state agency that has been designated to carry out the mandates of this legislation, and how that agency is positioned to implement the activities proposed.

For Category 1 applications that are proposing to implement information sharing with other state PDMPs using the PMIX specifications, identify the authority (either through statute or regulation) that allows information sharing with other states and describe the agency's capacity and readiness to implement the activities required for information sharing.

For Category 2 applications that are proposing to share tribal health facility information with a specific state PDMP, summarize the tribal government's overall strategy to reduce the abuse and diversion of pharmaceutical controlled substances; current law enforcement activities, public health initiatives, and/or tribal government and industry partnerships addressing the problem; and how access to and participation in specific PDMPs contributes to this strategy. Specifically discuss how the proposed activities will be implemented by the applicant.

For Category 3 applications, describe the proposed partnership and the various members of the action group and what efforts have been taken to include local, state, and federal partners. Discuss what the individual roles will be of each of the team members and who will be responsible for which particular duties and responsibilities. Discuss what data sources will be collected and any legal, policy, or other barriers to gaining access to the data and how those barriers will be addressed. Discuss who will provide analysis of the data, once collected, and how the analyses will be applied to inform the development of data-driven local strategies. Describe the type of strategies to be developed and the areas (e.g., prevention, treatment, regulatory activity, enforcement) the action group plans to have impact to address prescription drug abuse rates in a defined jurisdiction(s). Describe how best practices will be identified and shared for data sharing, regulatory schemes, deconfliction strategies, intelligence gathering, targeted regulatory and enforcement activity, and prioritization of treatment and prevention efforts for at-risk individuals and communities. Explain how data will be used to identify areas at greatest risk for prescription drug diversion, abuse, and overdose deaths and create data-driven responses at the local level to include education, outreach, treatment, and enforcement.

**Program Implementation (20 percent of 100):** Describe what the state/county/tribal government proposes to do and how the state/county/tribal government will do it. If applicable, describe how the state/local/tribal government will address the priority considerations listed on pages 5-6. Attach a logic model and a project timeline. Explain how each task will support and/or enhance the development of the PDMP (for Category 1), or the local county or tribal government's capacity to respond to prescription drug abuse in the identified community (for Categories 2 and 3). Explain the targets for each goal. For instance, if as part of an enhancement activity, the applicant proposes to increase the

BJA-2013-3526

number of prescribers, or subset of prescribers using the PDMP, state the current usage rate and the target usage rate.

For Category 1 applications that are proposing to implement information sharing with other state PDMPs in compliance with the National PMIX Architecture, applicants must clearly demonstrate the program implementation plan to share data with other states, including the identification of the specific technical solution they plan to employ, by the end of the grant period.

**Collaboration (10 percent of 100):** Identify who the state agency/local/tribal government will collaborate with (e.g., state, regulatory, and law enforcement officials; public health officials; state substance abuse director; consumers), their responsibilities, and how the state/local/tribal government will involve them in the project and provide outreach to the community. Describe the strategy to collaborate with other public and private agencies as appropriate and organizations. Include any previous collaboration that occurred that will help to achieve these goals.

**3. Capabilities and Competencies (15 percent of 100)**

Describe the management structure and staffing, specifically identifying the key person responsible for carrying out program activities. Demonstrate the capability to implement the project successfully. Attach position descriptions.

**4. Plan for Collecting the Data Required for this Solicitation's Performance Measures (10 percent of 100)**

For Tribal PDMP Data Sharing applicants (Category 2), identify a plan for responding to BJA performance measures and who will be responsible for data collection and reporting.

For all other applicants (Categories 1 or 3), explain how the state will know if the program works in order to assess the impact of its efforts. Describe the data the state has access to and/or will collect to show a reduction in diversion, abuse, and inappropriate use as a result of program implementation or enhancement. Explain what will be measured, how the information will be used, and who is responsible for reporting on BJA performance measures. Current grantees should describe their progress toward compliance with current BJA performance measurement data reporting.

**5. Plan for Measuring Program Success to Inform Plans for Sustainment (10 percent of 100)**

Describe how efforts and partnerships will be leveraged to build long-term support and resources to sustain the PDMP (Categories 1, 2, and 3) or the Tribal PDMP data sharing initiative or action group when the federal grant ends. Describe the policies, statutes, and regulations that will need to be put in place to support and sustain service delivery.

**6. Budget (10 percent of 100)**

Submit a budget that is complete, cost effective, and allowable (e.g., reasonable, allocable, and necessary for project activities). Budget narratives should generally demonstrate how applicants will maximize cost effectiveness of grant expenditures. Budget narratives should

demonstrate cost effectiveness in relation to potential alternatives and the goals of the project.<sup>1</sup>

## Review Process

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

Peer reviewers will review the applications submitted under this solicitation that meet basic minimum requirements. BJA may use either internal peer reviewers, external peer reviewers, or a combination, to review the applications. An external peer reviewer is an expert in the subject matter of a given solicitation who is NOT a current DOJ employee. An internal reviewer is a current DOJ employee who is well-versed or has expertise in the subject matter of this solicitation. A peer review panel will evaluate, score, and rate applications that meet basic minimum requirements. Peer reviewers' ratings and any resulting recommendations are advisory only. In addition to peer review ratings, considerations for award recommendations and decisions may include, but are not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding.

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

Absent explicit statutory authorization or written delegation of authority to the contrary, all final award decisions will be made by the Assistant Attorney General, who may consider factors including, but not limited to, underserved populations, geographic diversity, strategic priorities, past performance, and available funding when making awards.

## Additional Requirements

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

- Civil Rights Compliance
- Civil Rights Compliance Specific to State Administering Agencies
- Faith-Based and Other Community Organizations
- Confidentiality

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<sup>1</sup> Generally speaking, a reasonable cost is a cost that, in its nature or amount, does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the costs.

- Research and the Protection of Human Subjects
- Anti-Lobbying Act
- Financial and Government Audit Requirements
- National Environmental Policy Act (NEPA)
- DOJ Information Technology Standards (if applicable)
- Single Point of Contact Review
- Non-Supplanting of State or Local Funds
- Criminal Penalty for False Statements
- Compliance with [Office of Justice Programs Financial Guide](#)
- Suspension or Termination of Funding
- Nonprofit Organizations
- For-profit Organizations
- Government Performance and Results Act (GPRA)
- Rights in Intellectual Property
- Federal Funding Accountability and Transparency Act of 2006 (FFATA)
- Awards in Excess of \$5,000,000 – Federal Taxes Certification Requirement
- Policy and Guidance for Conference Approval, Planning, and Reporting
- OJP Training Guiding Principles for Grantees and Subgrantees

## How To Apply

Applicants must submit applications through Grants.gov. Applicants must first register with Grants.gov in order to submit an application through Grants.gov, a “one-stop storefront” to find federal funding opportunities and apply for funding. Find complete instructions on how to register and submit an application at [www.Grants.gov](http://www.Grants.gov). Applicants that experience technical difficulties during this process should call the Grants.gov Customer Support Hotline at **800-518-4726** or **606-545-5035**, 24 hours a day, 7 days a week, except federal holidays. Registering with Grants.gov is a one-time process; however, **processing delays may occur, and it can take several weeks** for first-time registrants to receive confirmation and a user password. OJP encourages applicants to **register several weeks before** the application submission deadline. In addition, OJP urges applicants to submit applications 72 hours prior to the application due

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

**Note:** BJA encourages all prospective applicants to sign up for Grants.gov email notifications regarding this solicitation. If this solicitation is cancelled or modified, individuals who sign up with Grants.gov for email updates will be notified.

All applicants are required to complete the following steps:

1. **Acquire a Data Universal Numbering System (DUNS) number.** In general, the Office of Management and Budget requires that all applicants (other than individuals) for federal funds include a DUNS number in their applications for a new award or a supplement to an existing award. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and differentiating entities receiving federal funds. The identifier is used for tracking purposes and to validate address and point of contact information for federal assistance applicants, recipients, and subrecipients. The DUNS number will be used throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Call Dun and Bradstreet at 866-705-5711 to obtain a DUNS number or apply online at [www.dnb.com](http://www.dnb.com). A DUNS number is usually received within 1-2 business days.
2. **Acquire registration with the System for Award Management (SAM). SAM replaces the Central Contractor Registration (CCR) database** as the repository for standard information about federal financial assistance applicants, recipients, and subrecipients. OJP requires all applicants (other than individuals) for federal financial assistance to maintain current registrations in the SAM database. Applicants must be registered in SAM to successfully register in Grants.gov. (Previously, organizations that had submitted applications via Grants.gov were registered with CCR, as it was a requirement for Grants.gov registration. SAM registration replaces CCR as a pre-requisite for Grants.gov registration.) Applicants must **update or renew their SAM registration annually** to maintain an active status.

Applicants that were previously registered in the CCR database must, at a minimum:

- Create a SAM account;
- Log in to SAM and migrate permissions to the SAM account (all the entity registrations and records should already have been migrated).

Applicants that were not previously registered in the CCR database must register in SAM prior to registering in Grants.gov. Information about SAM registration procedures can be accessed at [www.sam.gov](http://www.sam.gov).

3. **Acquire an Authorized Organization Representative (AOR) and a Grants.gov username and password.** Complete the AOR profile on Grants.gov and create a username and password. The applicant organization's DUNS number must be used to complete this step. For more information about the registration process, go to [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).
4. **Acquire confirmation for the AOR from the E-Business Point of Contact (E-Biz POC).** The E-Biz POC at the applicant organization must log into Grants.gov to confirm the applicant organization's AOR. Note that an organization can have more than one AOR.

5. **Search for the funding opportunity on Grants.gov.** Use the following identifying information when searching for the funding opportunity on Grants.gov. The Catalog of Federal Domestic Assistance (CFDA) number for this solicitation is CFDA #16.754, titled “Harold Rogers Prescription Drug Monitoring Program,” and the funding opportunity number is BJA-2013-3526.
6. **Select the correct Competition ID.** Some OJP solicitations posted to Grants.gov contain multiple purpose areas, denoted by the individual Competition ID. If applying to a solicitation with multiple Competition IDs, select the appropriate Competition ID for the intended purpose area of the application.
7. **Complete the Disclosure of Lobbying Activities.** All applicants must complete this information. Applicants that expend any funds for lobbying activities must provide the detailed information requested on the form, *Disclosure of Lobbying Activities* (SF-LLL). Applicants that do not expend any funds for lobbying activities should enter “N/A” in the required highlighted fields.
8. **Submit an application consistent with this solicitation by following the directions in Grants.gov.** Within 24–48 hours after submitting the electronic application, the applicant should receive an e-mail validation message from Grants.gov. The message will state whether the application has been received and validated, or rejected due to errors, with an explanation. **Important:** OJP urges applicants to submit applications **at least 72 hours prior** of the application due date to allow time to receive validation messages or rejection notifications from Grants.gov, and to correct in a timely fashion any problems that may have caused a rejection notification.

**Note: Grants.gov only permits the use of specific characters in names of attachment files. Valid file names may only include the following characters: A-Z, a-z, 0-9, underscore ( \_ ), hyphen (-), space, and period. Grants.gov will forward the application to OJP’s Grants Management System (GMS). GMS does not accept executable file types as application attachments.** These disallowed file types include, but are not limited to, the following extensions: “.com,” “.bat,” “.exe,” “.vbs,” “.cfg,” “.dat,” “.db,” “.dbf,” “.dll,” “.ini,” “.log,” “.ora,” “.sys,” and “.zip.”

**Note: Duplicate Applications**

If an applicant submits multiple versions of an application, BJA will review the most recent version submitted.

**Experiencing Unforeseen Grants.gov Technical Issues**

If an applicant experiences unforeseen Grants.gov technical issues beyond the applicant’s control that prevent submission of its application by the deadline, the applicant must contact BJA staff **within 24 hours after the deadline** and request approval to submit its application. At that time, BJA staff will instruct the applicant to submit specific information detailing the technical difficulties. The e-mail must describe the technical difficulties, and include a timeline of the applicant’s submission efforts, the complete grant application, the applicant’s DUNS number, and any Grants.gov Help Desk or SAM tracking number(s). **Note: BJA does not automatically approve requests.** After the program office reviews the submission, and contacts the Grants.gov or SAM Help Desks to validate the reported technical issues, OJP will inform the applicant whether the request to submit a late application has been approved or

denied. If the technical issues reported cannot be validated, OJP will reject the application as untimely.

The following conditions are not valid reasons to permit late submissions: (1) failure to register in sufficient time, (2) failure to follow Grants.gov instructions on how to register and apply as posted on its web site, (3) failure to follow each instruction in the OJP solicitation, and (4) technical issues with the applicant's computer or information technology environment, including firewalls.

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

## Provide Feedback to OJP on This Solicitation

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

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

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

# Application Checklist

## FY 2013 Harold Rogers Prescription Drug Monitoring Program

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

### Eligibility Requirement:

- Applicant is a state/local/tribal government.
- The federal amount requested is within the allowable limit(s) of: Category 1: \$400,000; Category 2: \$150,000; or Category 3: \$400,000.

### What an Application Should Include:

- Application for Federal Assistance (SF-424) (see page 15)
- Abstract\* (see page 15)
- Program Narrative\* (see page 16)
- Budget Detail Worksheet\* (see page 16)
- Budget Narrative\* (see page 16)
- Disclosure of Lobbying Activities (see page 25)
- Indirect Cost Rate Agreement (if applicable) (see page 17)
- Tribal Authorizing Resolution (if applicable) (see page 17)
- Additional Attachments (see page 17)
  - Letters of Support and/or Memoranda of Understanding/Agreement (Category 3 only)
  - Logic Model
  - Project Timeline
  - Position Descriptions
  - Applicant disclosure of pending applications
- Other Standard Forms as applicable (see page 19), including:
  - Accounting System and Financial Capability Questionnaire (if applicable)

\*These elements are the basic minimum requirements for applications. Applications that do not include these elements shall neither proceed to peer review nor receive further consideration by BJA.